

**Quality Assurance Unit (QAU)**

**Institutional Quality Assurance Cell  
Operations Manual**

**Higher Education Quality Enhancement Project (HEQEP)  
University Grants Commission of Bangladesh  
Ministry of Education  
Government of the People's Republic of Bangladesh**

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## **Institutional Quality Assurance Cell Operations Manual (IQACOM)**

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# Institutional Quality Assurance Cell Operations Manual

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## Abbreviations and Acronyms

<b>ADP</b>	Annual Development Program
<b>AIF</b>	Academic Innovation Fund
<b>AfriQAN</b>	Quality Assurance Network for African Higher Education
<b>ANQAHE</b>	Arab Network for Quality Assurance in Higher Education
<b>APQN</b>	Asia Pacific Quality Network
<b>BDT</b>	Bangladeshi Taka. The currency used as legal tender in Bangladesh
<b>CANQATE</b>	Caribbean Area Network for Quality Assurance in Tertiary Education
<b>ENQA</b>	European Association for Quality Assurance in Higher Education
<b>FMR</b>	Financial Management Report
<b>GAAP</b>	Governance and Accountability Action Plan
<b>GIQAC</b>	Global Initiative for Quality Assurance Capacity
<b>GoB</b>	Government of Bangladesh
<b>HEI</b>	Higher Education Institution
<b>HEQEP</b>	Higher Education Quality Enhancement Project
<b>IDA</b>	International Development Association
<b>ILO</b>	Intended Learning Outcomes
<b>INQAAHE</b>	International Network for Quality Assurance Agencies in Higher Education
<b>NEP</b>	National Education Policy 2010
<b>PIC</b>	Project Implementation Committee. The committee chaired by Chairman <b>UGC</b> to provide operational guidance to <b>HEQEP</b>
<b>PSC</b>	Project Steering Committee. The inter-ministerial committee chaired by the Secretary, <b>MoE</b> to provide policy guidance to the <b>HEQEP</b>
<b>IQAC</b>	Institutional Quality Assurance Cell
<b>IQACF</b>	IQAC Fund
<b>IQACO</b>	Institutional Quality Assurance Cell Office
<b>IQAR</b>	Institutional Quality Assurance Report
<b>MoE</b>	Ministry of Education
<b>NQF</b>	National Qualifications Framework
<b>O &amp; M</b>	Operation and Maintenance

<b>QAC</b>	Quality Assurance Committee
<b>QAACB</b>	Quality Assurance & Accreditation Council, Bangladesh
<b>QAP</b>	Quality Assurance Proposal
<b>QAU</b>	Quality Assurance Unit in the UGC
<b>QF</b>	Qualifications Framework
<b>SA</b>	Self-Assessment
<b>UGC</b>	Universities Grants Commission
<b>UGCAR</b>	UGC Annual Report
<b>UNESCO</b>	United Nations Educational, Scientific and Cultural Organization
<b>VC</b>	Vice Chancellor. The highest management position in a Bangladeshi university.



## Glossary

<b>Academic Council</b>	The highest academic authority in the university responsible for maintenance of standards of instruction, education and examination.
<b>Academic Program</b>	Also called Study Program. Please see below the entry at Study Program
<b>Accreditation</b>	The process by which a government or private agency evaluates the quality of a higher education institution as a whole or a specific study program in order to formally recognize it as having met certain pre-determined minimal criteria or standards.
<b>Additional Financing Schedule</b>	This refers to the additional funding provided to HEQEP by IDA and GoB.
<b>Assessment</b>	The process of systematic gathering, quantifying, and using of information in view of judging the instructional effectiveness and the curricular adequacy of a higher education institution as a whole or academic program. Assessment is necessary in order to validate a formal accreditation decision, but it does not necessarily lead to an accreditation outcome. It also means a technically designed process for evaluating student learning outcomes and for improving student learning and development as well as teaching effectiveness.
<b>Audit</b>	The process of reviewing an institution or a study program by external peers that is primarily focused on its accountability, and determining if the stated goals and objectives in terms of curriculum, teachers, infrastructure, etc., are met.
<b>Best Practice</b>	A method or an innovative process involving a range of safe and reasonable practices resulting in the improved performance of a higher education institution or an academic program, usually recognized as ‘best’ by other peer institutions. A best practice does not necessarily represent an absolute, ultimate example or pattern, its application assures the improved performance of a higher education institution or program; rather it identifies the best approach to a specific situation, as institutions and programs vary greatly in compositions and scope.
<b>Benchmarking</b>	A standardized method for collecting and reporting critical operational data in a way that enables relevant comparisons among the performances of different institutions or programs, usually with a view of establishing good practices, diagnosing problems in performance, and identifying areas of strength. It gives the institution or the program the external references and the best practices on which to base its evaluation and to design its working processes.
<b>Culture of Evidence</b>	As it relates to institutional quality culture, the culture of evidence is a mindset acquired in a higher education institution and based on clear ethical values, principles, and rules, which consists of the self-assessment of its learning outcomes, engaging the teaching staff and

the academic administration in a thoughtful, regular collection, selection, and use of relevant institutional performance indicators, in order to inform and prove, whenever and to whomever necessary, that it is doing well in specific areas, e.g., institutional planning, decision making, quality, etc., and for the purpose of improving its learning and teaching outcomes. The “culture of evidence” is the empirical basis for the quality culture of a higher education institution.

<b>Consultative Committee</b>	Consultative Committee is not a decision making body of the university but acts as an advisory committee such as the International Advisory Council, Staff-Student Committee and Industrial Advisory Board.
<b>Deliberative Committee</b>	A decision making committee of the university such as the Syndicate, Examination Board and Academic Committees.
<b>Department</b>	Department means an academic unit in a university that offers study and research programs that lead to awards of degrees/diploma by the university. It may also refer to a non-academic unit such as IT Center, Bursary and Department of Student Affairs.
<b>Designer</b>	The body designing the procedure.
<b>Documented Procedure</b>	Procedures that are represented in a written form.
<b>Faculty</b>	An academic entity which includes departments, centers, institutes, academies and other such academic bodies, such as School of Pharmacy or Center for Business Management Studies.
<b>HEI</b>	Higher Education Institution or University
<b>National Qualifications Framework (NQF)</b>	Generally, a NQF is designed to provide nationally recognized and homogeneous standards and qualifications, as well as recognition for all learning of knowledge and competencies and a basis for further review, articulation and development of existing and impending qualifications. Also, among other purposes, it should facilitate curricular change and allow for the improvement of access and social inclusion, as well as the integration of changing societal needs. A NQF is primarily developed by the National Quality Assurance and Accreditation Council through a medium-term process of policy development and public consultation.
<b>Outcomes</b>	Anticipated or achieved results of programs or the accomplishment of institutional objectives, as demonstrated by a wide range of indicators, such as, student knowledge, cognitive skills and attitudes. Outcomes are direct results of the instructional program, planned in terms of learner growth in all areas.
<b>Performance Indicators (PIs)</b>	A range of statistical parameters representing a measure of the extent to which a higher education institution or a study program is performing in a certain quality dimension. They allow HEIs to benchmark their own performances or allow comparison among HEIs. Common examples of PIs are, number of admission seekers/applications per seat/place, entry scores of candidates, research

grants and contracts gained, research articles or studies published, teacher/student ratio, institutions incomes and expenditures, institution's or department's equipment/furniture, etc.

<b>Procedure</b>	Procedure is a set of sequentially arranged actions to be followed in solving a problem or accomplishing a particular task. It includes policies, regulations, processes, systems and rules that fall within the purview of a QA body such as Student Regulations and Registration Process.
<b>Procedure Owner</b>	The authority that manages the implementation of a procedure. For example the procedure owner of an Assessment Appeal Process is the Examination Department.
<b>Quality Assurance Committee (QAC)</b>	The committee set up by the university authority for institutional oversight of IQAC.
<b>Quality Culture</b>	It refers to a set of shared, accepted, and integrated patterns of quality to be found in the organizational cultures and the management systems of institutions. Awareness of and commitment to the quality of higher education, in conjunction with a solid culture of evidence and with the efficient management of this quality (through quality assurance procedures) are the ingredients of a quality culture.
<b>Qualification</b>	Any higher education award, i.e., degree, diploma or other type of formal certification, issued by a competent authority attesting to the successful completion of a course program. It covers a wide variety of higher education awards at different levels and across countries, e.g., Bachelor's and Master's Degree, the Doctorate, Baccalaureate etc. A qualification is important in terms of what it signifies: competencies and range of knowledge and skills.
<b>Qualifications Framework</b>	A comprehensive policy framework defining all nationally recognized qualifications in higher education in terms of work load, level, quality, learning outcomes and profiles. It should be designed to be comprehensible through the use of specific descriptions for each qualification covering both its breadth (competencies associated with learning outcomes) and its depth (level). It is structured horizontally in order to cover all qualifications awarded in a system, and, vertically, by level. Its purpose is to facilitate: (i) curriculum development and design of study programs; (ii) student and graduate mobility; and (iii) recognition of periods of study and credentials
<b>Quality Assurance</b>	A system that supports performance according to established criteria or standards.
<b>Quality Assurance Proposal (QAP)</b>	Proposal submitted by the university in a prescribed format for establishing the IQAC.
<b>Self-Assessment</b>	The process of self-assessment consists of the systematic collection of administrative data, the questioning of students and teachers, and the holding of moderated interviews with teachers and students, resulting in a self-assessment report. Self-assessment is a collective institutional reflection and an opportunity for quality enhancement. The resulting

SA report further serves to provide information to external peer reviewers who validate the self-assessment conducted by the institution after undertaking a thorough audit.

**Stakeholders**

A person or a group of person that has an interest or concern in the activities of the university.

**Standards**

Statements regarding an expected level of requirements and conditions against which quality is assessed or that must be attained by higher education institutions and their programs in order for them to be accredited or certified. The term standard means both a fixed criteria against which an outcome can be matched, and a level of attainment.

**Study Program**

A core modular component of higher education including all the activities, i.e., design, organization, management, as well as the process of teaching, learning and research, carried out in a certain field and leading to an academic qualification. Study programs are established by higher education institutions and may differ by level of academic qualification, e.g., Diploma, Bachelor, Master, Doctorate, Baccalaureate, etc., study mode, e.g., full-time, part-time, distance learning, etc., and field of knowledge specialization, in accordance with academic and professional division of labor. A study program is accomplished through; (i) a curriculum, including all disciplines leading to an academic qualification, distributed by year of study, their weight being expressed in type of study credits; (ii) syllabuses or course programs, containing a description of the teaching and learning themes and practices associated with teaching, learning and evaluation; (iii) the organizational chart of students and teaching staff covering the period of implementation of study program; (iv) the system of academic quality assurance for all activities necessary for the completion of the study program.

**Strategic Plan**

A plan that puts in place the targeted achievements of objectives within a marked timeline. It is a road map which contains broadly defined goals and objectives that are represented in a sequence of steps for achieving the desired future.

**Syndicate**

The highest executive authority in the public and private universities. Syndicate is used as a generic term in this document that also means the Regent Board in newly established public universities.

**Syndicate Brief**

Proposal of a procedure (new or significantly revised) for the endorsement of the Syndicate.

**Undocumented Procedure**

Procedures that are practiced but not represented in a written form.

**University's Quality Assurance Framework**

A document which sets out the general parameter for QA activities in the university and ensures that the right things are being done for the right reasons. For example the framework ensures that appropriate program delivery disciplines and governance are implemented effectively. A framework supports innovation and improvement while cultivating a culture of transparency and accountability.

## Preface

It is an accepted fact that higher education forms the basis of the knowledge society, a comprehensive system of creativity and innovation, which is crucially important for the sustainable socioeconomic development of a nation. Recently, higher education in Bangladesh has experienced a phenomenal growth at least in quantity, doubling in number of tertiary level students from 1.12 million to 2.61 million in last four years. But the quality of education and research could not match the horizontal increase. There is a popular saying that quantity without quality is a sure prescription for disaster, while quality without quantity can act like seeds and at least something to build on. So quality is very important in higher education.

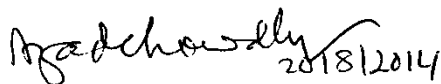
The present government headed by the Hon'ble Prime Minister Sheikh Hasina is committed to change the landscape of higher education through enhancement of quality of higher education and research in the country. Her dream has been transformed into reality by her capable education minister Mr. Nurul Islam Nahid through establishment of universities, formation of accreditation council, opening up of channels of cross border higher education and upgrading the University Grants Commission into Higher Education Commission. For achieving the target of quality education the GOB and the World Bank has generously funded the project which is known as Higher Education Quality Enhancement Project (HEQEP). The project is being meticulously implemented by the University Grants Commission, with help of the project officials and that of by the World Bank.

Establishment of Quality Assurance Mechanism is one of the major components of HEQEP. The launching ceremony of Quality Assurance Mechanism in Bangladesh through calling for the proposal of Quality Assurance (QAP) and establishing the Institutional Quality Assurance Cell (IQAC) in each of the universities has been already in place. Establishment of IQACs at the universities would create an enabling framework to provide quality education.

The **IQAC Operation Manual (IQACOM)** offers a set of guidelines and the processes to facilitate the functioning of the **IQAC**. It aims to improve quality of teaching, learning and research in all the higher education institutions in Bangladesh. It covers almost every aspect of operations of the quality assurance process within the universities and defines a comprehensive set of policy instruments and concepts to introduce an effective internal QA system. This **IQACOM** also includes various useful QA tools and guidelines for practitioners. These tools and guidelines would facilitates the functioning of Institutional Quality Assurance Cells (**IQAC**).

I, believe, the Vice Chancellors of the universities will take necessary actions immediately to make the IQACs functional, which would enhance the capacity of the universities to provide quality education. This will benefit the universities, specially teachers, and students and other stakeholders such as the employers and the society at large. It is expected that sincere cooperation from the university authorities and academics to utilize the opportunity will be forthcoming.

I thank the GoB and World Bank for this initiative of Quality Assurance.



2018/2014

**(Prof. Dr. A. K. Azad Chowdhury)**  
Chairman (State Minister)  
University Grants Commission of Bangladesh.

## Introduction

Bangladesh is a developing country and its economy is in transition from traditional agriculture to industry, manufacturing and service sectors. Bangladesh intends to avail the opportunities offered by globalization to build a knowledge society. Improving the quality of its tertiary education is vitally necessary to spur the country to a higher growth trajectory for attaining the middle income status by 2020. The tertiary education in Bangladesh, currently, has been facing many deeply rooted and intertwined challenges. These include, inadequate enabling environment for improving the quality of education and research, weak governance and accountability, poor planning and monitoring capacities, and insufficient funding. All these challenges are compounded by lack of robust academic culture. These drawbacks can only be mitigated by developing a quality culture and ensuring good practices in higher education institutions (HEIs).

The Bangladesh government (**GoB**) recognizes that the country is at risk of being marginalized in a highly competitive global economy because its tertiary education systems are not adequately prepared to capitalize on the creation and application of knowledge. It also realizes that the state has the responsibility to put in place an enabling framework that would encourage tertiary education institutions to be more innovative and responsive to the demanding needs for rapid economic growth, and to empower the graduates with right skills for successfully competing in the global knowledge economy.

In Bangladesh, University Grants Commission (UGC) acts as the intermediary between the Government and the universities for regulating the affairs of all the universities. But currently, there is no recognized quality assurance (QA) mechanism for public and private universities in Bangladesh. The deficiency was recognized in the UGC's *Strategic Plan for Higher Education 2006-2026*, and in GoB's National Education Policy (NEP) 2010. The Strategic Plan, *inter alia*, recommended the establishment of an independent Accreditation Council for both public and private universities in Bangladesh. Following the recommendations made in the *Strategic Plan* the Ministry of Education prepared and launched in mid 2009 the Higher Education Quality Enhancement Project (HEQEP) with the financial support of the World Bank.

The experience and lessons learned from the 25 Self-Assessment subprojects implemented in 15 universities under HEQEP generated heightened awareness among the faculty members and management regarding the need for initiating QA in higher education. It also prepared the ground and readiness on the part of the institutions to follow up the recommendations made in SA reports and expand the SA exercise to include all HEIs in phases. Against this backdrop the Ministry of Education, the UGC and the HEIs feel that it is high time to establish institutional QA cell in every public and private university to develop a mechanism for the systematic review of study programs, to ensure quality teaching-learning, research, knowledge generation and support services standards at an acceptable level.

Based on the above developments, a Quality Assurance Unit (QAU) within the organizational structure of University Grants Commission (UGC) of Bangladesh was created under HEQEP to initiate the QA mechanism in Bangladesh's HEIs. As a first step in this endeavor the HEQEP would also support the establishment of IQACs in universities and the

QAU would provide guidance and technical assistance to the IQACs in order to make them functional. The QAU will function as a temporary council until the formation of the national Quality Assurance and Accreditation Council, Bangladesh (QAACB) in 2016. QAU would begin work on drafting of the national qualifications framework and other quality assurance documents. The QAACB upon its establishment shall take over the quality assurance activities of QAU and the latter would continue to liaise between IQAC, UGC and QAACB in respect of QA activities. However, the QAU shall remain as a unit within the UGC with revised roles and responsibilities.

This IQAC Operations Manual offers a set of guidelines and the processes to facilitate the functioning of the IQAC. It aims to improve quality of teaching, learning and research in all the higher education institutions in Bangladesh. It covers almost every aspect of operation of the quality assurance process within the universities and defines a comprehensive set of policy instruments and concepts to introduce an effective internal QA system. In order to make it user friendly, this IQAC OM also includes various useful QA tools and guidelines for the practitioners. These tools and guidelines would facilitate the functioning of the Institutional Quality Assurance Cells (IQAC).

It is expected that with proper functioning of the IQACs a quality culture will be created in Bangladesh. Hopefully, this Manual will be very useful to all those who are directly or indirectly involved in quality assurance in higher education institutions. Users of this IQACOM are the universities, academic staff, students and other stakeholders like employers and society as well.

This Manual comprises of nine chapters. **Chapter 1** provides introduction, which includes the background referring the current situation in Bangladesh and global perspective of quality assurance practices in higher education. **Chapter 2** contains the concept of Quality Assurance mechanism in higher education. This chapter also outlines the general principles of quality assurance. **Chapter 3** provides an overview of the quality assurance mechanism in Bangladesh. It specifies the strategic role of UGC, QAU and IQAC in effective management of quality assurance in Bangladesh. It also explains the future dimensions of the QA practices of Bangladesh. **Chapter 4** describes the different aspects of IQAC specifying process of establishment, objectives and functions. This chapter also includes institutional oversight mechanism and relationships between IQACs, QAU and UGC. **Chapter 5** outlines the quality assurance framework for Bangladesh. It specifies the quality assurance areas important for Bangladesh, implementation levels and stages of QA system in Bangladesh with expected outcomes. **Chapter 6** describes the evaluation and assessment system in quality assurance. It contains a brief description of self-assessment and audit procedures. **Chapter 7** describes the process of articulating training and development for capacity building. **Chapter 8** recognizes the importance of management of conflicts and confidentiality in QA practices. **Chapter 9** provides an overview on how existing procedures are reviewed and undocumented ones are formalized. This chapter provides insights to the development of new procedures which may be initiated by the IQAC or the procedure owner. This chapter also examines the design and development of new procedures.

It is expected that with proper functioning of the IQACs a quality culture will be created in Bangladesh. Hopefully, this manual will be very useful to all those who are directly or indirectly involved in quality assurance in higher education institutions. Users of this

IQACOM are the universities, academic staff, students and other stakeholders like employers and society as well.

The notable benefits to be gained by the stakeholders through the implementation of IQACs are presented in following table:

**Table 1: Benefits of IQAC to Different Stakeholders**

Universities	Academic Staff	Students	Other stakeholders
<ul style="list-style-type: none"> <li>✓ Well functioning QA system</li> <li>✓ Improved capacity to assess and evaluate study programs</li> <li>✓ Greater Transparency and accountability in academic management</li> <li>✓ Readiness for accreditation of study programs,</li> <li>✓ Image building and acceptability of academic exchange</li> <li>✓ Enhanced competitiveness to attract talented students.</li> <li>✓ Improved capacity to address new educational demands and competitive challenges; and</li> <li>✓ Improved capacity for producing qualified graduates for the labor market at home and abroad</li> </ul>	<ul style="list-style-type: none"> <li>✓ Enhanced professional skills and knowledge to provide better teaching learning</li> <li>✓ Enhanced capacity to understand the needs of the students and employers</li> <li>✓ Enhanced capacity to modernize curriculum in response to market demands</li> <li>✓ Better opportunities for establishing collaborative research network with national and foreign universities; and</li> <li>✓ Enhanced capacity and effectiveness of professionals engaged in QA.</li> </ul>	<ul style="list-style-type: none"> <li>✓ Improved teaching learning opportunities</li> <li>Improved teaching learning to attain the learning goals</li> <li>✓ Enhanced competitiveness and competencies to meet the job market requirements;</li> <li>✓ Enhanced employability with improved quality and image of the university; and</li> <li>✓ Enhanced acceptability to reputed universities for further higher studies.</li> </ul>	<ul style="list-style-type: none"> <li>✓ Better opportunities for the employers to recruit competent graduates</li> <li>✓ Enhanced competitiveness of the organizations and business firms</li> <li>✓ Improved image of the country</li> <li>✓ Improved competitiveness of the country with innovative and creative human capital</li> <li>✓ Promote standard of living with ethical practices in social life</li> <li>✓ Value for money/investment by the parents; and</li> <li>✓ Enhanced Peoples' confidence on higher education.</li> </ul>

At the end of the Manual QA tools in the form of templates, guidelines and concept notes have been included as annexes. These QA tools have been developed in accordance with the



international QA practices. These are samples and quite flexible to accommodate the requirements of the universities of various size, capacity and type. However, the concept note, guidelines and templates would be very useful to the universities for the purpose of international compatibility and acceptability in respect of quality assurance practices. This Manual should not be considered as the final document that cannot be revised, modified and updated to respond the changing situations and needs that may arise in the course of QA practices. This Manual will be open to modifications and revisions periodically based on the feedback obtained from the practitioners from time to time and to accommodate the changed circumstances in coming years.

The QAU would like to record its sincere gratitude to Professor A K Azad Chowdhury, Chairman, UGC and State Minister for his pioneering role for establishing the quality assurance mechanism in Bangladesh and for the support provided to the QAU in making it functional within a short time. The QAU is also grateful to Professor M Muhibur Rahman, member, UGC in charge of HEQEP for his extremely valuable suggestions and inputs for preparing this operations manual. WE also gratefully acknowledge the technical assistance provided to QAU by the World Bank's education team for the drafting of this manual. We sincerely thank the acting project director of HEQEP and its concerned officials who provided the logistics and facilities to QAU for setting up its office and working environment. Lastly I gratefully acknowledge the contribution of the Ministry of Education, especially the Hon'ble Minister and secretary for their overall guidance and leadership for enhancing the quality and relevance of higher education in Bangladesh, particularly the Ministry's patronage of HEQEP that made it possible for the QAU to start the onerous journey for establishing quality assurance in the country's higher education institutions.



**Professor Mesbahuddin Ahmed**  
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## **Chapter 1**

# **The Context**

### **1.1 Global Perspective on Quality Assurance**

Establishment of quality assurance system in higher education is a global concern now. There is a growing demand for quality assurance (QA) mechanisms at national, regional and global levels. Over the years, it is observed that there is an increase in the number of HE institutions and increased involvement of external stakeholders through changes in governance structures. The higher education institutions around the world have been introduced to quality assurance system internally with formal institutional approach and documentation. This has been done with the establishment of quality assurance agencies like accreditation bodies at the national level. The integration of Quality Assurance principles into higher education became effective in Europe under the Bologna Process which started in 1999. In Africa, Middle East and Asia significance of quality assurance in higher education is also recognized. In South Asia India, Pakistan and Sri Lanka have well structured quality assurance system in place. Thus, the quality assurance in higher education has become an increasing and important global trend. To support the increasing number of internal quality assurance systems many quality assurance agencies are functioning across the world with standard practices. These quality assurance agencies are also very active in establishing harmony and uniformity across the countries.

### **1.2 Reasons for Growth of QA Practices**

Notable reasons for such rapid growth of QA practices and QA agencies worldwide include:

- 1.2.1. Increase in number of students and diversity of emerging study programs in tertiary education;
- 1.2.2. Increasing interest of parents, students and funding agencies to ensure that the money is being well-spent;
- 1.2.3. Increasing mobility of students putting pressure on the HEIs to become globally acceptable for quality standard;
- 1.2.4. Increasing competition among the HEIs to become the credible source higher education; and
- 1.2.5. Governments increasingly wanting to hold HEIs accountable for performance in terms quality of graduates, national relevance, ability to meet the needs of the society.

### **1.3 Quality Assurance (QA) Networks**

Cross-border collaboration in quality assurance is increasingly being practiced these days. Regional quality assurance networks have been established in many parts of the

world. A few of these networks are Asia Pacific Quality Network (APQN), Quality Assurance Network for African Higher Education (AfriQAN), Arab Network for Quality Assurance in Higher Education (ANQAHE), Caribbean Area Network for Quality Assurance in Tertiary Education (CANQATE), European Association for Quality Assurance in Higher Education (ENQA). The purpose to establish these networks is to develop and foster cooperation on QA among the member countries. The International Network for Quality Assurance Agencies in Higher Education (INQAAHE) was established in 1991. It is an association of more than 200 organizations from 130 countries active in the practices of quality assurance in higher education. INQAAHE is a forum for the discussion of global issues relating to quality assurance in higher education. Among the South Asian countries, India, Pakistan, Sri Lanka and Maldives, Nepal and Bhutan are already full members of the INQAAHE. In 2007, the World Bank and UNESCO established a partnership that launched the Global Initiative for Quality Assurance Capacity (GIQAC) to support the evolution of quality assurance in higher education in developing countries and countries-in-transition. GIQAC will serve as an umbrella for the regional networks, providing global coherence, a forum for cross-regional knowledge sharing, and leveraging additional resources to make these efforts sustainable.

## **Chapter 2**

# **Quality Assurance in Practice**

### **2.1 Quality in Education**

The graduates must come out of the university equipped with requisite qualifications and skills that the society and the country need for achieving higher economic growth and prosperity. Here quality of graduates has been defined as, fitness of purposes (Woodhouse, 1999). Quality education includes (UNICEF, 2000):

- 2.1.1 Quality of learners with commitment and interest to explore their potentials maximizing the learning opportunities;
- 2.1.2 Environments that are healthy, safe, protective and gender-sensitive, and provide adequate resources and facilities;
- 2.1.3 Content that is reflected in relevant curricula and materials for the acquisition of basic skills, attitude and knowledge referring for life;
- 2.1.4 Processes through which effective and student centered teaching learning and meaningful assessment to facilitate attainment of learning and reduce disparities; and
- 2.1.5 Outcomes that encompass knowledge, skills and attitudes, and are linked to national goals for education and positive participation in society.

In an ever changing environmental setting the definition of quality education and requirements for quality education are also changing. Rapid transformations in societies brought about by the amazing development of information technologies, globalization, and the growing complexities of economic pursuits are driving people to newer engagements in livelihoods. All these factors forced organizations to become more efficient and productive than ever before in human history. As such, nations and institutions that will succeed in future will be those, capable of fostering creativity and innovation, managing and mastering these changes effectively. Quality of education can only be measured by the employability of the graduates in an increasingly competitive job market and extent of their contribution to organizations and national development. Quality in education refers the outcomes of educational system in terms of knowledge, skills and attitudes, which addresses expectations of stakeholders and national relevance in general.

### **2.2 Quality Assurance System**

Quality comes out of a well structured process or system. This system refers institutional arrangements including infrastructure, evidence of good practices, and guiding principles for education. Quality assurance process determines whether the graduates achieved the predetermined standard in terms of knowledge, skills, attitudes and values that addresses the expectations of the stakeholders. The quality assurance process includes, designing academic programs with specific ILOs, strategies, implementation, and systematic review of the process to measure the effectiveness and continuous improvement. It enables the HEIs to provide assurance of learning

with confidence. Implicitly, it is the responsibility of the higher education institutions (HEIs) to maintain, improve and deliver the generally acceptable standards of quality of its study programs. However, quality assurance systems in higher education comprises of two basic components: an internal component and an external component. External QA complements internal QA systems for improved and better performance.

### 2.2.1 Internal Quality Assurance

Internal quality assurance system is composed of the arrangements within the institution to provide assurance of learning with people's confidence. Internal QA is considered as the corner stone of QA in higher education. Everybody working in an institution must be responsible and accountable to develop the quality culture. The implementation of internal QA mechanisms would create a sense of responsibility and a new awareness of process approach throughout the institution (Colin, 2006). Areas that are considered of particular importance in internal quality assurance include (QAAC, 2003):

- 2.2.1.1 Policy and procedures for higher education;
  - 2.2.1.2 Periodic review of these policy and procedures for effectiveness;
  - 2.2.1.3 Self-assessment of programs and educational system in respect of accepted quality assurance areas;
  - 2.2.1.4 Prompt, appropriate, and sensitive managerial action to redress problems, supported by adequate information;
  - 2.2.1.5 Benchmarking and preparation of comprehensive plan for further improvement; and
  - 2.2.1.6 Promoting a process of continuous improvement
- ### 2.2.2 External Quality Assurance

In case of external quality assurance a credible body or agency external to a particular HEI will be assigned to certify the internal quality assurance system as an effective and competent means to ensure quality in higher education. In addition, external quality assurance agency provides feedback and technical supports to the HEIs through periodic assessment and validation of internal QA system. External quality assurance can play a very important role in strengthening internal quality assurance. External quality assurance system provides HEIs an opportunity to compare their academic programs and standards with equivalent national and international standards and to set benchmarks for further improvement. It is to be noted that external quality assurance is not to challenge the practices and autonomy of the internal quality assurance system but to support by providing guidelines to adopt improved national and international standards of quality assurance practices.

## 2.3 Quality Assurance Principles

- 2.3.1 Across the countries quality assurance system works under some principles. These principles are basically to guide the quality assurance drive toward greater accountability, transparency and credibility. The QA principles applicable for effective functioning of quality assurance (QA) system are as follows:

- 2.3.1.1 Responsibility: QA system of a higher education institution is primarily responsible for quality assurance in education;
- 2.3.1.2 Focus: Quality assurance system should focus on safeguarding the interests of the major stakeholders;
- 2.3.1.3 Involvement: Participation of all who are involved in the process of education need to be ensured with clearly assigned responsibilities for quality assurance;
- 2.3.1.4 Purpose: Quality assurance is not to prove anything but to improve;
- 2.3.1.5 Commitment: Commitment to continuous improvement;
- 2.3.1.6 Continuity: Quality Assurance is a dynamic and continuous process;
- 2.3.1.7 Flexibility: QA system need to be flexible enough to accept and accommodate feedback from a variety of internal and external constituencies;
- 2.3.1.8 Organized effort: QA practices need to be initiated and managed under a structured organization;
- 2.3.1.9 Shared benefit: All the developments and improvement out of the QA system need to be shared duly among the stakeholders ;
- 2.3.1.10 Fairness: Decisions and measures taken to redress problems and improve the process need to be supported by adequate information and evidences;
- 2.3.1.11 Autonomy: QA system should exercise the autonomy with a prime objective of quality assurance in education with accountability;
- 2.3.1.12 Transparency: QA system need to be transparent in all aspects of its activities including the academic and financial matters.

## **Chapter 3**

# **Quality Assurance in Bangladesh**

### **3.1 Urgency for establishing QA Mechanism in Bangladesh**

- 3.1.1 With the changes in the quality requirements in higher education there is an urgency to look into the effectiveness of the existing study programs and beyond the traditional approach of teaching learning. Higher education must be more closely aligned to the needs of the society and country, needs of the graduates to explore their potentials in terms of creativity and innovation for employability and lifelong learning. HEIs should focus on preparing graduates with positive mindset, skills and competence, which would help them to handle the real life situation favorably. Besides, there is an increasing demand from the stakeholders on the HEIs to be more accountable for their activities and responsible about quality education.
- 3.1.2 Recently, in Bangladesh the scope of higher education expanded remarkably with the increasing number of universities both in private and public sector. But quality of education has not improved to the desired standards. Graduates coming out of the universities have been increasingly facing difficulties to get gainful employment in highly competitive job markets within the country and abroad where quality makes a difference. Every year large number of graduates with higher education degrees remain unemployed in Bangladesh. Failure to get gainful employment creates frustration in the mind of graduates and makes students reluctant to be actively engaged in the academic improvement. The cumulative effects creates imbalance in the society. The only way to face the challenges is to focus on meeting quality standards through quality assurance. A well functioning quality assurance system could push higher education in Bangladesh forward to greater heights with visible transparency, accountability and peoples' confidence.. As such, there is an urgency of establishing internal quality assurance system within the universities in Bangladesh.

### **3.2 University Grants Commission (UGC) of Bangladesh**

- 3.2.1 University Grants Commission (UGC), an attached institution of the Ministry of Education (MoE) is the apex body exercising oversight for all public and private universities. UGC act as the intermediary between the Government and the universities for regulating the financial and academic affairs of all the universities under a legal framework. Its mission is to ensure quality in higher education. It also aims to achieve qualitative improvement in the governance and management of the universities by establishing accountable institutional and academic management, educational discipline, financial propriety, responsible administration and transparency.
- 3.2.2 The primary objectives of the UGC are to supervise, maintain, promote and coordinate university education. It is also responsible for maintaining standard and quality of education in all the public and private universities in Bangladesh. Considering the needs and aspirations of the people and the society UGC is working to:



- 3.2.2.1 organize and motivate the universities to act as change agents so that they can create new frontiers of knowledge through demand-driven and innovative teaching and research to cope with the rapidly changing globalized society;
- 3.2.2.2 develop the universities as centers of excellence which in turn will produce trained and skilled manpower capable of resolving socio-economic problems, contribute in economic progress and prosperity of the country;
- 3.2.2.3 examine and assess the quality and standard of teaching and research in university level education;
- 3.2.2.4 assess and assist the private universities to develop their curricula;
- 3.2.2.5 assess, formulate and implement plans and programs for proper and appropriate development of the universities;
- 3.2.2.6 foster national, regional and international linkages and collaboration in the field of teaching, learning and research;
- 3.2.2.7 provide support to the universities in staff development, student mobility etc.

### **3.3 Quality Assurance Unit (QAU)**

- 3.3.1 Recognizing the urgency of establishing a quality assurance system the Quality Assurance Unit (**QAU**) within the UGC's organizational structure was created to oversee the establishment of Institutional Quality Assurance Cells (**IQAC**) at individual universities both in public and private sector. The **QAU** would function on the basis of a process of continuous consultation. Its decisions and work plan will be the outcomes of interacting activities such as holding regular meetings, workshops with the higher education institutions, eminent academics, QA experts and major stakeholders beyond the universities.

#### Vision of the QAU

To achieve academic excellence through quality assurance practices in higher education institutions (HEIs) as a credible and internationally recognized agency.

#### Mission of QAU

To gain confidence of the stakeholders in the globalized setting by ensuring best practices in universities in Bangladesh with transparency, accountability and credibility in accordance with internationally acceptable quality assurance practices.

#### 3.3.2 Objectives of QAU

The general objective of the QAU is to promote a quality culture within the higher education institutions in Bangladesh ensuring good practices and governance. The specific objectives are to:

- 3.3.2.1 Guide the universities for establishing institutional quality assurance cell (IQAC);
- 3.3.2.2 Improve the governance and management of academic programs by establishing QA mechanism at individual university level;
- 3.3.2.3 Meet the greater demand for transparency and accountability of universities in Bangladesh;

3.3.2.4 Capacity building through providing technical assistance to the universities for effective management of QA process; and

3.3.2.5 Ensure good practices for quality assurance in higher education institutions of Bangladesh.

### 3.3.3 Functions of QAU

The major functions of the **QAU** are to:

3.3.3.1 develop Quality Assurance Framework, Standards & QA requirements for the higher education institutions (**HEIs**) in Bangladesh;

3.3.3.2 prepare the **IQAC** Operations Manual and other quality assurance related documents and templates;

3.3.3.3 motivate the top management of the universities to adopt appropriate QA mechanism through establishing **IQAC** at the individual university level;

3.3.3.4 oversee the establishment of **IQAC** at individual universities in Bangladesh;

3.3.3.5 arrange workshops to make **HEIs** aware about the QA and related matters to remain competitive, through adopting transparent, credible and formal quality assurance system;

3.3.3.6 arrange necessary capacity building activities like training and provide expert and technical assistance in the areas of quality assurance to fulfill the mandate of the **QAU**;

3.3.3.7 monitor and evaluate university's QA practices and processes through audit, survey and other instruments;

3.3.3.8 co-ordinate all QA related activities at the national level; and

3.3.3.9 liaise with **UGC** and other external QA agencies.

## 3.4 Institutional Quality Assurance Cell (IQAC)

3.4.1 Higher education forms the basis of knowledge society, a comprehensive system of creativity and innovation, which are very critical for attaining rapid socioeconomic development. In Bangladesh the scope of higher education is expanding fast in both public and private sectors. The government, UGC and the universities feel an increasing need to look at the quality and standard of higher education. Fostering global competence through quality education needs the values of quest for excellence through the development of benchmarks of excellences, good practices in higher education and institutionalization of continuous improvement process. **UGC** is responding positively to these challenges and is committed to change the higher education landscape through establishing **IQAC** at the university level.

3.4.2 Currently, in Bangladesh, every university has its own rules and regulations relating to academic program management. But in true sense, no quality assurance body is functional at the university level with specific responsibility of ensuring good practices. The establishment of an **IQAC** is an indispensable first step towards the

development of internal quality assurance system in an university. The general objective of **IQAC** is to promote a quality enhancement culture within the university by ensuring that the academic units adopt and implement QA standards and benchmarked quality criteria.

- 3.4.3 The **IQAC** will be set up following an administrative order of the university authority. It shall be organized in such a way as befits the size, existing structure and capacity of the university as delineated in the Act.
- 3.4.4 The role of **IQAC** is to:
  - 3.4.4.1 support the university in achieving its vision through providing good quality education;
  - 3.4.4.2 function as a central quality assurance unit for the university and review existing standards and procedures;
  - 3.4.4.3 develop new standards, policies, systems, processes, and procedures by adapting and incorporating best practices;
  - 3.4.4.4 systematically monitor and evaluate university's practices and processes through audit, survey and other instruments as deemed fit to ensure generally acceptable standards of quality;

### **3.5 Salient Features of QA System to be introduced by the QAU**

The salient features of the Quality Assurance System to be introduced by the **QAU** are:

- 3.5.1 The **IQACs** will manage the internal quality assurance system in individual universities;
- 3.5.2 Universities are responsible to maintain quality of their own study programs and academic infrastructure;
- 3.5.3 **IQACs** will be established and managed in conformity with the operational guidelines provided in the **IQAC** Operations Manual;
- 3.5.4 The **QAU** will facilitate and strengthen the capacity of **IQACs** as internal QA practitioners at the university level to assure the quality in higher education and to achieve global recognition;
- 3.5.5 The QA system is completely a participatory approach. Both academic and non-academic staffs who are involved in the process of education required to carry out their responsibilities in accordance with the QA principles and standard practices;
- 3.5.6 The **QAU** will not impose any unnecessary burden on the universities for the purpose of Quality Assurance beyond the internationally accepted standard practices;
- 3.5.7 The QA system will not limit the ability of the universities to provide good quality education by maintaining the standard practices in accordance with the QA principles and guidelines of **QAU**;
- 3.5.8 The **QAU** will continue to develop and upgrade the quality assurance framework and QA documents in consultation with the higher education community and other stakeholders; and

3.5.9 The development of Quality Assurance system is a continuous process, thus the system introduced will be reviewed and modified in response to the emerging needs.

### **3.6 Future Developments**

#### **3.6.1 Institutionalization of IQAC**

The National Education Policy 2010 (NEP) of Bangladesh stipulates the establishment of a National Accreditation Council that would ensure quality of the academic programs offered by the higher education institutions of the country. Establishment of quality assurance mechanism at the universities is the first step towards the formation of the proposed Accreditation Council. The concept of **IQAC** is to set up the internal quality assurance system in the universities and to make them ready to meet the requirements for accreditation. The **IQACs** shall become a permanent body of the universities that will be sustained and maintained under the revenue budget of the university.

#### **3.6.2 Formation of QAACB**

The **QAU** will function as a temporary council until the formation of the national Quality Assurance and Accreditation Council, Bangladesh (**QAACB**), and would continue to function, for preparing the national qualifications framework and other quality assurance documents. **QAACB** will be formed under an Act and upon its establishment shall take over the quality assurance activities of **QAU**. The **QAU** shall remain as a unit within the UGC with revised roles and responsibilities and will function as a coordinating unit between the **QAACB**, **UGC**, **IQACs** and universities;

#### **3.6.3 Future Dimensions of QA System**

With the establishment and proper functioning of the **IQACs** in universities higher education in Bangladesh will move into the systematic and organized activities on quality assurance. The major areas of QA in the global context are:

- (a) Quality Culture;
- (b) Global Quality Label; and
- (c) Internationalization of QA

#### **3.6.4 Quality Culture**

Quality is a habit under certain culture. Key to the success and sustainability of quality assurance is basically quality culture. Quality culture represents a set of shared and recognized values, attitude and behavioral pattern, which will be extended to the incoming members of the community and society. Culture guides the way of thinking and discharging responsibilities in all aspects of operations. The fundamental aspect of quality culture is strong commitment for continuous improvement with a holistic approach and harmony recognizing the contribution of all involved in the process. Evidences of quality culture need to be reflected in all areas including governance, teaching learning, program management, code of conduct, code of practice etc. But it takes time to develop quality culture. There are many areas of quality assurance that are very important for quality education, but currently not

practiced in Bangladesh. Besides, the traditional mindset of people concerned need to be changed to accommodate and accept new concepts, new practices and norms of quality culture. The **QAU** has been established to promote that quality culture in higher education through the **IQACs**. **IQACs** need to become effective change agents for the expected quality culture in higher education. Self-Assessment of study programs shall be the initiation of the faculty and the institutions to adapt the QA culture. Once the quality culture is developed within the universities it will become easier to practice the QA processes according to international standards of quality.

### 3.6.5 Global Quality Label

Global quality label may be considered as recognition to the quality assurance agencies for globally trustworthy QA practices. It is like branding of quality education for achieving global confidence. A national higher education community in the context of globalization can not ignore the issue of acceptance of its quality assurance by the international higher education community. Globalization of professions and mobility of students around the globe is an increasing trend in recent times. Similarly, the increase of transnational and cross border mobility of students is also significant in this context. Both of these trends create pressure on institutions to make the study programs internationally recognized and acceptable. International recognition and compatibility are important to attract international students and to make the Bangladeshi students acceptable for exchange programs, academic collaboration and placement in international organizations. Global quality label is very critical for positive perception and image in favor of higher education of the country to address the demand of these global trends. Such global quality label may be achieved with the approval and recognition of credible international agencies like **IAUP** and **INQAAHE**. With the establishment of **QAU** at national level and **IQACs** at the universities Bangladesh will be able to show to the world that it takes the issue of quality education seriously. Thus, with the successful implementation and practice of QA culture Bangladesh would move ahead to get the recognition of quality label at the international level with credibility.

### 3.6.6 Internationalization

Internationalization of quality assurance has become important around the world for the sustainability of the quality assurance organizations engaged in assuring and improving quality in higher education. The **QAU** would introduce internationally accepted QA concepts and practices in universities in Bangladesh. It is required to build its capacity, acceptance by academia and extend practices beyond Bangladesh. Many **QA** agencies perform a number of functions to assure and enhance the quality of higher education across the countries. **QAU** would develop a network with credible external QA agencies and organizations like **APQN** and **INQAAHE**. Such QA networking will be in the form of knowledge and resource sharing, peer review, mutual recognition, participation in forum and other QA related activities. It would be very effective to promote quality culture in the country and beyond with uniformity and conformity to international standards of QA practices.

## **Chapter 4**

# **Institutional Quality Assurance Cell**

### **4.1 Significance of IQAC**

Currently, the scope of higher education is expanding rapidly in Bangladesh both in public and private sector with wide diversity in programs and in some cases mode of education. Individual universities are managing study programs following their own systems and practices. But no evidence of institutional set up with defined mission and responsibility in accordance with generally accepted QA principles within the university is available. In the absence of effective quality assurance culture, the ongoing practices lacks transparency, accountability, consistency and evidence of good practice. Internal quality assurance infrastructure is indispensable for a quality assurance culture in a university. The setting up of **IQACs** at public and private universities would promote the QA culture to ensure quality in education.

### **4.2 Establishment of IQAC**

4.2.1 The IQAC will be established in each university under an administrative order of the university authority. It shall be organized in such a way as befits the size, existing structure and capacity of the university as delineated in the Act. For the initial period the **IQAC** shall be established with the financial assistance from HEQEP. However, the **IQACs** shall become a permanent organ of the universities and their operations will be sustained and maintained under the revenue budget of the institution. For this purpose universities will prepare a succession plan during the project period with the objectives of its continuity. For the purpose of a dynamic and effective **IQAC** the concerned university must take initiative to increase the availability of experienced and competent academics. This may include the following:

4.2.1.1 Identifying those have interest and ability to work in QA;

4.2.1.2 Providing critical development experiences through training, workshop and study visit;

4.2.1.3 To develop high-potential QA leaders university shall identify, train, and retain talents to ensure the smooth functioning of the **IQAC** and development of the QA culture in the University;

4.2.1.4 The university shall make necessary funding provisions in its revenue budget to meet the costs of the **IQAC** on a regular basis and include the **IQAC** in its permanent organizational set up.

#### **4.2.2 IQAC Funding**

In order to establish the **IQAC** the Institutional Quality Assurance Fund (**IQACF**) will be made available to public and private universities that fulfill the eligibility criteria defined in **IQACF** Operations Manual. The **IQACF** allocation will be made in a mode where the total cost of **IQAC** will be shared equally between the project

and the proposal submitting university. There will be three rounds of proposal calls respectively in 2014, 2015 and 2016 for the universities listed under Group A, Group B and Group C. For the IQAC funding the eligible universities are required to submit proposal in prescribed formats of QAP in response to the proposal call by the QAU. The proposal call will be published in the national dailies and be posted on **UGC** and **HEQEP** websites followed press conference. All proposal submitting entities are requested to consult the **IQACOM& IQACFOM** prior to drafting and submission of the QA proposals (QAP). The **QAU** shall announce the list of **QAPs** awarded for IQACF and the names of the universities by posting it on the **HEQEP, QAU** and **UGC** websites and communicate the information to the awarded universities' **VCs** and concerned **IQAC** Directors through mail. The awarded **QAPs** thereafter shall become the under-implementation **IQAC** sub-projects. All IQAC Fund recipient institutions shall execute a contract with **UGC** after awards have been announced by **QAU, UGC**. Disbursement of grants to awarded institutions shall commence after the contract has been signed by the concerned parties. The total period from proposal call to announcement of award would take nine weeks. A flow chart on proposal submission and selection process is included in Annex 18.

### **4.3 Objectives of the IQAC**

- 4.3.1 The general objective of the **IQAC** is to promote a quality assurance culture within the university. The specific objectives are to:
  - 4.3.1.1 Institutionalize the quality assurance culture in accordance with national QA guidelines and international practices;
  - 4.3.1.2 Ensure that the university's quality assurance procedures are designed following the **QAU** guidelines and national requirements;
  - 4.3.1.3 Develop, maintain and enhance quality of education and people's perception in favor of the university through consistent quality assurance practice and performance;
  - 4.3.1.4 Build image of the university with confidence of the stakeholders ensuring transparency, accountability, and good practices in all aspects of management; and
  - 4.3.1.5 Prepare the university to meet the external quality assurance assessment and accreditation requirements.

### **4.4 Functions of IQAC**

In order to achieve the objectives the major functions of the IQAC will be to:

- 4.4.1 Facilitate the mission and objectives of the university for enhancing the quality and relevance of higher education and respond to global trends on quality education;
- 4.4.2 Guide and assist the program offering entities of the university to define program objectives;
- 4.4.3 Develop standards and benchmarks for various academic and administrative activities of the university;
- 4.4.4 Review existing procedures for further improvement of delivery of higher education;

- 4.4.5 Prepare QA documents and procedures for use within the university following specifications and guidelines provided in the IQAC OM;
- 4.4.6 Encourage staff to maintain professional code of conduct in accordance with the **QAU** guidelines and international practices and facilitate to maintain good practices in operations;
- 4.4.7 Provide necessary support to the study program offering academic units, i.e., departments, faculties and institutes to conduct the self-assessment, external peer review and implement QA process at program level;
- 4.4.8 Conduct regular monitoring of implementation of policies, systems, processes and procedures;
- 4.4.9 Facilitate to conduct institutional assessment;
- 4.4.10 Facilitate the approval of new program offering entity and new programs for existing entities using appropriate procedures;
- 4.4.11 Develop a data base containing information regarding quality assurance, which will be deliverable to all stakeholders;
- 4.4.12 Prepare and produce annual institutional quality assurance report (IQAR) and monitoring report assessing the activities of **IQAC** and submit to the QAC;
- 4.4.13 Develop an Institutional QA Strategic Plan for every 5 years and ensure its implementation and monitoring of achievements;
- 4.4.14 Co - ordinate all QA related activities within the university;
- 4.4.15 Liaise with **QAU** and other external QA agencies;
- 4.4.16 Organize workshops, seminars and appropriate training for capacity building and promoting QA culture at all levels of the university;
- 4.4.17 Advise university management, faculty and departments on QA and related matters;
- 4.4.18 Take initiative and lead to establish staff development center at the university;
- 4.4.19 Prepare the detailed budget of the **IQAC**; and
- 4.4.20 Conduct impromptu audit at any level of the university if necessary.

#### **4.5 Composition of IQAC**

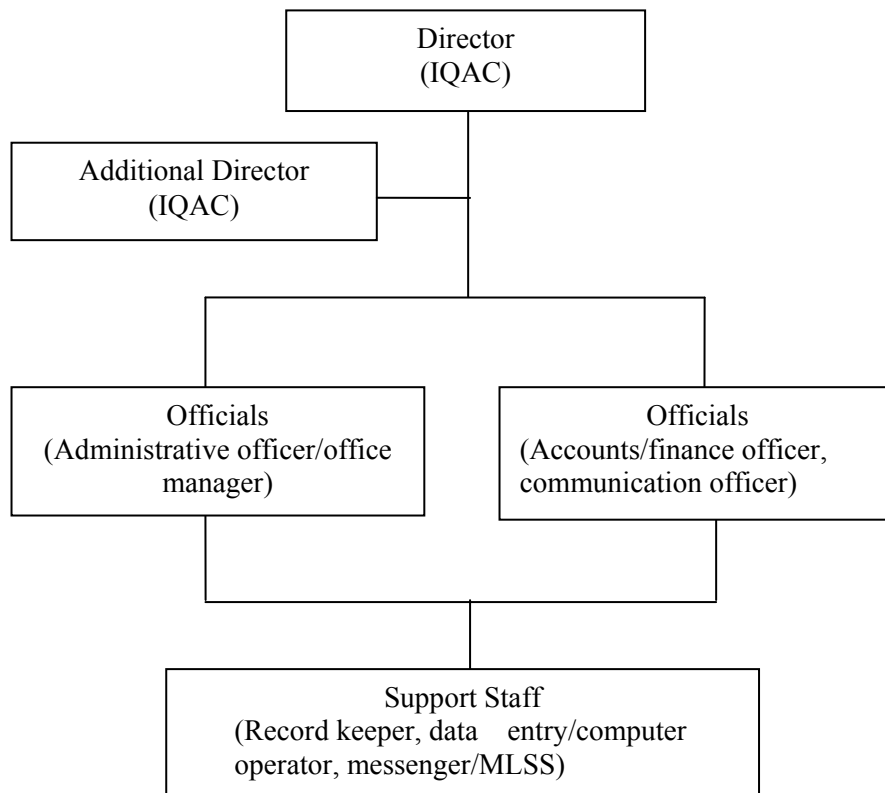
- 4.5.1 Depending on the size of the university, the IQAC may be staffed by at least two senior academics and suitably qualified support staff.
- 4.5.2 The Head of the IQAC shall be called Director (IQAC ) and s/he will be supported by at least one and maximum two Additional Director(s) depending on the size of the university. Both of these positions will be filled up only by senior academics suitably qualified for managing quality assurance activities. Director and Additional Director(s) of the IQAC shall be appointed by the Vice Chancellor for a period of three years (project period).Directors and Additional Directors will be posted to IQAC on deputation as full time and be exempted from their normal teaching duties during the tenure of their appointment.



- 4.5.3 Non-academic personnel shall be appointed temporarily as technical/support staff, e.g., administrative/office manager, accounts officer, communications officer, record keeper, data entry/computer operator, MLSS etc. To assist the Director and Additional Director(s) in discharging their responsibilities regarding **IQAC** activities, appointment of provisional technical/support staffs shall follow the university's relevant recruitment and service rules.
- 4.5.4 The management and operational leadership of **IQAC** shall be vested in the hands of the Director who shall function as the chief executive officer (CEO) and Drawing and Disbursing Officer (DDO) of the IQAC.
- 4.5.5 The reporting authority of the Director of IQAC shall be the Vice Chancellor of the university.

An indicative structure of **IQAC** is presented in Figure 1 below:

**Figure 1: Indicative Organogram of IQAC**



#### **4.6 Terms of Reference for the Director, IQAC**

- 4.6.1 S/he shall oversee the administration of the **IQAC** and be responsible for all of its activities;

- 4.6.2 Establish milestones and performance indicators for implementation of the IQAC subproject according to work plan and for monitoring the results and assess the progress of work;
- 4.6.3 Function as the chief liaison officer between the university and the QAU;
- 4.6.4 Coordinate, supervise and monitor all QA related activities of the IQAC within the university as specified under section 4.4 of the IQAC OM;
- 4.6.5 Organize training programs for IQAC staff and faculty members of the university on QA mechanism;
- 4.6.6 Organize workshop to make the staffers aware and to promote the QA culture within the university;
- 4.6.7 Guide and supervise the IQAC staffers' work for satisfactory performance and execution of assigned tasks for QA;
- 4.6.8 Hold regular meetings to assess the performance of IQAC in promoting the QA culture within the university; and
- 4.6.9 Execute all QA related decisions as directed by the QAC and Syndicate of the university.

#### **4.7 Self-Assessment Committee (SAC)**

There shall be a three member Self-Assessment Committee in each program offering entity of the university. The Dean/Chairman/ Head of the program offering entity will form the SA Committee for the entity. The Head and two members of the SAC shall be filled up by the appropriately qualified senior academics of the entity. The SAC will be formed and function for one year. During this one year period the SAC will conduct the self-assessment of the programs of the entity. In addition, the SAC will oversee the QA related activities within the program offering entity and will make sure that all the QA activities undertaken by the IQAC and applicable for the entity are being implemented properly. The SAC in cooperation with IQAC will work to develop the QA culture within the entity .

#### **4.8 Performance Indicators**

Performance Indicators are key instruments for measuring the progress of planned activities<sup>1</sup>. IQAC is responsible to introduce and implement the QA process within the university. Performance of the IQAC in conducting the activities and progress in attaining the specific objectives will be measured by using the pre-determined performance indicators based on work plan milestones. A sample of performance indicators for IQAC covering three years of activities is presented in the following Table:

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<sup>1</sup> Please see the glossary.

**Table 2: A Sample of Performance Indicators for the IQAC<sup>2</sup>**

Sl. No.	Indicators	Time line
1	Establish IQAC by providing office space, logistics and facilities and appointment of required staff.	
2	Drafting IQAC work, training and financing plans and preparation of budget	
3	Number of existing policies, systems, processes and procedures reviewed.	
4	Identify and prioritize the development of new policies and obtain endorsement by the Syndicate.	
5	Implement new policies according to the work plan.	
6	Number of programs completed self-assessment exercises with external peer review	
7	Progress in conducting institutional assessment.	
8	Prepared IQAR and submitted to Syndicate and QAU	
9	Prepared IQAC Annual Report and submitted to QAC and QAU	

#### **4.9 Institutional Oversight**

In order to look after the key issues of quality assurance and activities of the IQAC the Quality Assurance Committee (**QAC**) shall be constituted in each university. The IQAC shall report to the VC and be supervised by the University's **QAC**. The composition of the QAC shall be as follows:

- 4.9.1 Vice Chancellor of the university (*Chair*)
- 4.9.2 Pro-Vice Chancellor (Pro-VC academic shall be the member if the university has two Pro-VCs)
- 4.9.3 One member of the Board of Trustee ( for private universities)
- 4.9.4 Director of Finance and Accounts
- 4.9.5 Director of **IQAC**
- 4.9.6 All Deans
- 4.9.7 Director(s) of all institutes of the university, that are not under any Faculty or Dean
- 4.9.8 Any other two senior academics/personnel appointed by the Syndicate nominated by the Vice-Chancellor
- 4.9.9 Registrar of the University

<sup>2</sup> Please refer to the table on performance indicators included in the proposal format for establishing IQAC.

4.9.10 Additional Director of **IQAC** shall be the member-secretary of the **QAC** (in cases of more than one Additional Director, the Vice Chancellor shall nominate the member-secretary from the two). The member-secretary shall issue the notice of the meeting, write the minutes of the meeting of the **QAC** and circulate it among the concerned academics.

#### **4.10 The Terms of Reference of the QAC**

4.10.1 **QAC** shall be responsible, on behalf of the Syndicate, for the institutional oversight of the **IQAC**. Functions and responsibilities of the **QAC** would include the following but not limited to:

4.10.1.1 The **QAC** shall be an advisory body to the **IQAC** for developing an effective and workable system of quality assurance;

4.10.1.2 **QAC** shall act as a planning forum for the discussion and promotion of developments in quality assurance culture;

4.10.1.3 All members of the Committee are expected to be cooperative and constructive in approach and actively participate in the working of the Committee;

4.10.1.4 **QAC** shall oversee the activities of **IQAC** and implementation of the quality assurance framework of the university;

4.10.1.5 The **QAC** shall meet at least twice a year to provide guidance and direction to the **IQAC** but may sit earlier if required;

4.10.1.6 The member-secretary of the **QAC** will serve the notice of the meeting of **QAC** following Vice Chancellor's directive and circulate the minutes.

#### **4.11 Functional Relationship of IQAC with QAC and QAU**

4.11.1 The **QAU** will provide guidance to the **IQAC** to implement QA process within the university in all matters concerning quality assurance;

4.11.2 The **IQAC** shall liaise between the **QAU**, **UGC** and the university in matters of quality assurance;

4.11.3 The **UGC** shall consider the **IQAC** as the main agency for establishing the quality culture in the university in general and quality assurance of higher education in particular;

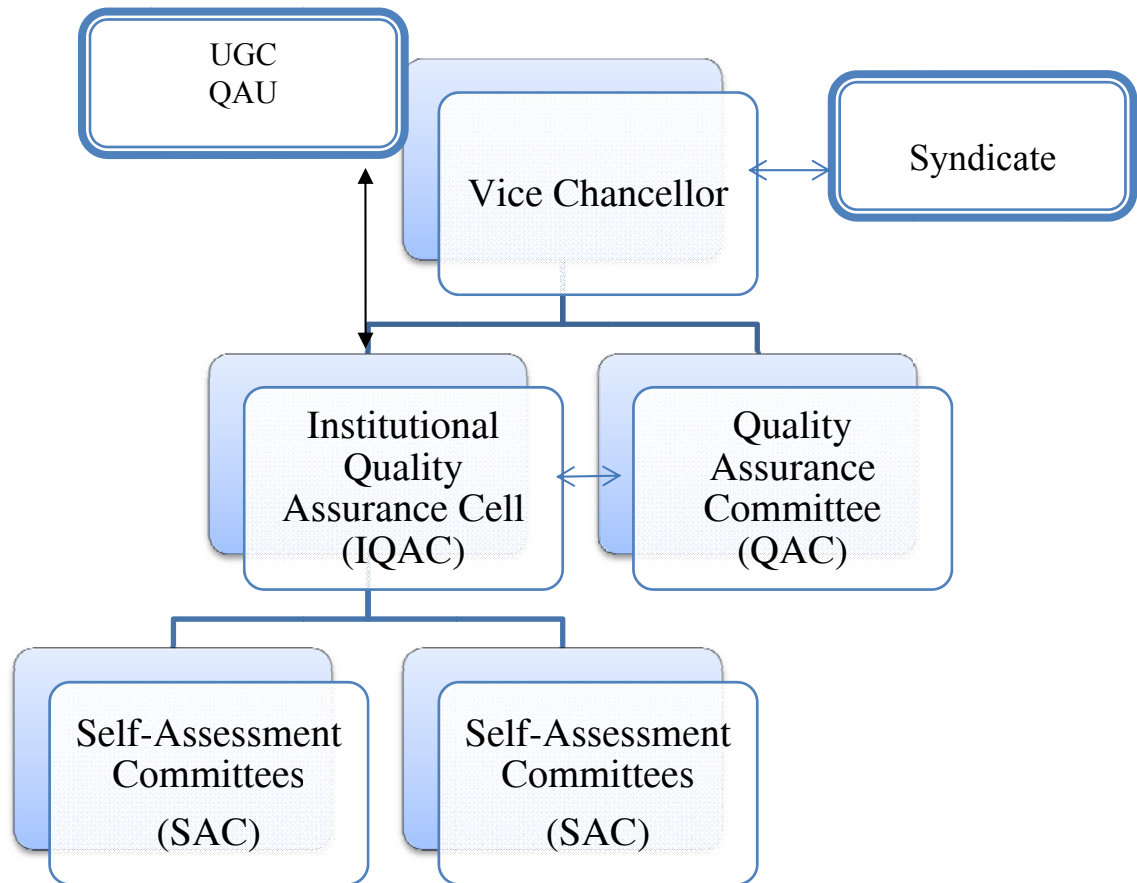
4.11.4 The **IQAC** shall implement the QA process in accordance with the guidelines of **QAU** to conform with the international standard of QA practices;

4.11.5 The **QAC** shall act as an advisory body to the **IQAC** for developing an effective and workable system of quality assurance and oversee the activities of the **IQAC**;

4.11.6 The **IQAC** will implement QA and related activities as specified in section 4.4 of the **IQAC OM** and shall report to the **QAC**;

4.11.7 The Vice Chancellor as the Chairman of the **QAC** of the university shall place all the decisions, documents, QA strategic plan of the university and reports prepared by the **IQAC** for ratification and endorsement by the Syndicate.

**Figure 2: The Relational Structure of the IQAC, Syndicate, QAC and the QAU**



## **Chapter 5**

# **Quality Assurance Framework**

### **5.1 Quality Assurance Areas**

Developing QA culture is a continuous process and it requires special attention to QA areas. In respect of current setting following quality assurance areas may be critical to develop the desired quality assurance culture in Bangladesh:

#### **5.1.1 Governance**

Governance becomes a crucial issue in quality assurance in higher education. Governance at university encompasses the organizational structures, legislative framework and processes through which, policies and programs are developed, managed and delivered. Governance facilitates the achievement of the stated mission and objectives of the university. The central administration and statutory bodies like Board of Trustees, Syndicate, Academic Council and the Vice Chancellor are the powerful actors in university's governance system. The players involved in ensuring the governance at the university includes all the administrative layers from top management to the program level management. Some of the areas of governance at the university include the following but not limited to:

0.0.0.1 Corporate vision, mission and objectives;

0.0.0.2 Setting the academic standard through defining the graduate profile and learning outcomes in respect of national relevance, mission and objectives of the university in compliance with the national qualification framework and external reference standards;

0.0.0.3 Process to design, review and ratify the procedures;

0.0.0.4 Academic leadership and autonomy;

0.0.0.5 Documentation at all levels of university administration from central to individual faculty members;

0.0.0.6 Peer observation to get useful insights for the purpose of improvement in all aspects of teaching learning assessment and capacity;

0.0.0.7 Management of stakeholders feedback to get useful insights for the purpose of improvement in all aspects of teaching learning assessment and capacity; and

0.0.0.8 Program management including specific program objectives, intended learning outcomes and ordinance on the programs.

#### **5.1.2 Curriculum Content Design & Review**

Curriculum refers to a well defined and prescribed course of studies, lessons and activities, which students must complete to fulfill the requirements for acquiring the degree. **IQAC** will facilitate the integration of the procedure in redesigning and modernizing the curricula to accommodate the job market requirements. The

curriculum plays a crucial role in achieving the mission and objectives of the university including the intended learning outcomes and overall effectiveness of the programs. Curriculum design & review process include:

- 5.1.2.1 Involvement of stakeholders;
- 5.1.2.2 Need assessment: Regulatory requirements, qualifications framework, existing & emerging industry needs, general societal factors, community needs, professional & career requirements etc.
- 5.1.2.3 Content& Structure: Selecting Foundation, Major, Minor, Categorization of courses, Audit course & Capstone;
- 5.1.2.4 Defining Course Learning Outcomes (CLO): Observable, specific and measurable learning outcomes in terms of knowledge, skills and attitude;
- 5.1.2.5 Skill development mechanism or strategy;
- 5.1.2.6 Evaluation & Review: Review process and involvement of major stakeholders with special attention to achievement of CLOs, employability of the graduates, course evaluation by the students and respective course teachers, identifying gaps and lapses in existing curriculum through curriculum alignment, initiative to close the gap;
- 5.1.3 **Student:** Admission Progress and Achievements
  - 5.1.3.1 **Entry qualification:** Quality of learners in terms of commitment and prerequisite qualifications are critical for quality education.
  - 5.1.3.2 **Admission Procedure:** To get the quality intake it is very important to select the right candidates for the right academic programs.
  - 5.1.3.3 **Progress & Achievement:** The quality assurance system of universities and higher education institutions should be in place to assure that levels of students' achievements are maintained with due consideration for the use of external reference points and evaluation of achievement.
- 5.1.4 Physical Facilities

Quality physical facilities are integral part of the quality learning opportunities at the university. For the purpose of quality assurance in higher education it is to be ensured that the facilities are appropriate, adequate and well managed. Physical facilities are important for strengthening effective teaching learning and provide quality education include:

- 5.1.4.1 **Classroom** facilities must be adequate and well equipped;
- 5.1.4.2 **Library facilities** with broadband connectivity and access to Digital Library facilities must be adequate, accessible and useful;
- 5.1.4.3 **Laboratory and field laboratories** must be adequate, well equipped, accessible and useful;
- 5.1.4.4 **Medical facilities** must be adequate, well equipped, accessible and useful to provide emergency healthcare services ensuring health and hygiene within the campus;

- 5.1.4.5 **Other facilities** like clean, spatially adequate and separate leisure rooms for male and female students, canteen facilities with nutritious and safe food, reading rooms, theater, auditorium for staging cultural programs etc.
- 5.1.4.6 In addition, some discipline specific facilities, very critical for proper learning, need to be ensured. For example, clinic & hospital and farmland facilities for disciplines like Dentistry, Veterinary Science, Medicine and agriculture etc.
- 5.1.5 Teaching - Learning and Assessment
  - 5.1.5.1 Teaching Learning

For the purpose of quality in teaching learning following factors are very critical:

**Quality Staff:** It is to be ensured that the staffs of all categories including academic, support, technical and administrative are adequate and skilled to meet the requirements of academic standards and strategies of teaching learning.

**Appropriate teaching learning methods:** Teaching learning method, in fact, sets the stage for everything in terms of learning outcomes. Efforts in this area pay great dividends in terms of attainment of learning goals and quality of education as well. Attainment of learning goals depends on the role and involvement of students and teachers in the process. Teachers need to be diligent in transferring new knowledge to the students effectively so that the goal of teaching succeeds. The teachers should use innovative teaching techniques to make the students keen, focused and interested to learn the subjects taught, and are able to maintain a scholarly approach for engaging students in academic activities.

**Use of Lesson plan:** Use of lesson plan is a growing practice in teaching learning internationally. It specifies the subject matter to be taught, learning objectives and assessment of that learning for each and every class. As a result, at the beginning of a session students become very clear regarding what will be taught, how it will be taught, how the attainment of learning will be assessed and subjects they supposed to learn.

**Technology integration:** In this age of information technology work has become increasingly computer centric. As such, technology integration in teaching is very critical for quality in education. Technology integration in teaching learning will make it a lot easier and more effective to communicate ideas and complex subjects meaningfully in class rooms. In addition, use of technology in teaching will encourage students to access e-resources for studying, use computer for academic preparation and IT devices for problem solving.

**Focus:** Teaching learning in higher education must address the higher order of learning in educational domain, i.e., application for creation. At the tertiary level of education heightened cognitive skills are very important.

**Skill Development Mechanism:** It is required to keep in mind that education is all about to gain a set of skills. Such skills will make the graduates competent to face the reality of life, to develop the attitude of lifelong learning and to contribute in the socioeconomic development of the country. As such, teaching learning should not be



confined within the class room only. Classroom learning is not enough to develop the desired skills. Universities must have a comprehensive skill development plan incorporating the curricular, co-curricular and extra-curricular activities.

#### 5.1.5.2 Student performance Assessment

Student Assessment is comprised of a set of activities to measure the attainment of learning outcomes. Assessment is a systematic process of collecting, analyzing and interpreting information to determine the extent to which learning objectives have been achieved. Assessment creates a basis for judgment on the performance of student. Thus, effective and appropriate performance assessment approach is very important to judge the level of attainment of learning outcomes and skill development. It needs to be confirmed that students are well informed about the criteria, processes, techniques, tools and rubrics that will be used to assess performance. Like teaching learning student performance assessment approach must be focused on higher order learning.

#### 5.1.6 Student Support Services

5.1.6.1 **Academic guidance and counseling:** Academic environment at the tertiary education is significantly different from that of secondary and higher secondary level. It is very critical to guide the students so that they can cope with the challenges and opportunities of university life. Sufficient and proper academic guidance and counseling beyond regular class-room lecture time is very effective in making the students serious regarding studies and motivate them to explore the ever expanding frontier of knowledge.

5.1.6.2 **Co-curricular & Extra-curricular Activities:** Co-curricular and extra-curricular activities are the integral part of the skill development mechanism. University must have some departments or centers like Department of Physical Education, Teacher Student Cultural Centre (TSCC) and facilities to stage drama, hold debates, musical soiree, publish journals and exhibit fine arts. In addition, at the department or program level students association or society, like debating club, environment club, culture club etc. should be allowed. These organizations shall be developed with specific responsibilities or terms of reference to organize sports, entertainment programs and cultural activities on a regular basis involving students.

5.1.6.3 **Career & Placement:** Quality of graduates is mostly measured by the employability and extent of contribution to the organizations, community and national development.. All types of jobs are not necessarily suitable for all students. Career counseling and placement arrangement may play a very critical role to get the right job opportunities and selecting suitable career path.

5.1.6.4 **Alumni Services:** Well organized alumni association is very effective to get in touch with the industry and working life. It would also help the university to develop institutional network and university industry collaboration (UIC) for promoting research and placement of the graduates.

5.1.6.5 **Community Services:** The quality assurance system needs to ensure that the university makes a significant contribution to the community, to the society and to

the country. Community involvement is an effective way of understanding the social issues and working with people. Community involvement aims to improve students' knowledge, skills and confidence and organizational ability and resources. Community involvement makes an important contribution towards promoting lifelong learning, social inclusion and active citizenship.

#### 5.1.7 Staff and Facilities

5.1.7.1 **Recruitment:** To employ competent people, university must have a transparent and appropriate recruitment policy for both academic and non-academic staff that would facilitate selection of the right person for the right job. Universities are required to maintain reasonable teacher student ratio suitable for particular discipline.

5.1.7.2 **Staff Development:** Quality assurance recognizes the importance of training and development. Training is very important to enhance the professional skills of the staff and to keep them up-to-date with best practices in quality assurance. University must have a well organized staff development policy and programs for its implementation including setting up of a training institute.

5.1.7.3 **Career Development:** University must have service rules for the career development of its staff. In addition, university must have provisions to allow and motivate faculty members for further higher study and advanced research.

5.1.7.4 **Key Performance Indicators (KPI):** Well defined KPIs may act as a source of motivation and means to ensure accountability of staff. Performance of an academic institution or faculty members should not be confined to producing graduates only. It is important to have specific performance and success indicators that contribute to graduates' skills development, teaching learning, research and extension services, national and international recognition and contribution to socioeconomic development.

#### 5.1.8 Research and Extension

The core objective of higher education is to contribute to the sustainable development and improvement of society as a whole. It is undeniable fact that research forms the basis of creativity and innovation, which is regarded as critical for sustainable growth and development. Research also makes teaching learning effective and practice oriented. University must develop capacity with appropriate facilities and provisions to:

5.1.8.1 undertake cutting edge research;

5.1.8.2 give due recognition and priority to research;

5.1.8.3 motivate faculty members and competent students to go for research and innovation;

5.1.8.4 explore the possibility of corporate funding for university industry research collaboration.

5.1.8.5 disseminate and transfer the research findings from laboratory to the field through extension services;

5.1.8.6 apply for patent and commercialize the patented product; and,

5.1.8.7 establish commercial arms for doing business..

### 5.1.9 Continuous Improvement

Universities must have set policies and institutional set up for quality assurance. Top management of the university should have commitment for developing quality culture which recognizes the importance of quality and quality assurance in practice. As an explicit evidence of such commitment **IQAC** should develop and implement a strategy for the continuous enhancement of quality.

## 5.2 Levels of Quality Assurance

Quality assurance system shall work both at the institutional and program levels.

### 5.2.1 Quality Assurance at Institutional Level

Universities are primarily responsible for quality assurance in higher education. The quality assurance at the institutional level is required to develop a unique quality culture within the university. Quality Assurance at institutional level recognizes different disciplinary contexts because it involves stakeholders from different academic disciplines.

Institutional level quality assurance requires:

- Investments for capacity building in quality assurance to perform quality management effectively;
- Highly committed university management for the establishment and maintenance of quality assurance infrastructure;
- Institutionalization of quality assurance as an integral part of university management policy.

The Outcomes of QA at Institutional Level are:

- Well structured QA mechanism at the university
- Budget allocation for QA on regular basis
- Evidence of good practices at all levels of administration
- Approval, monitoring and periodic review of programs using standard format and process
- Reports containing information on academic programs and other activities of the university; and,
- Prevalence of quality culture in the university

### 5.2.2 Quality Assurance at Program Level

University offers study programs in various subjects. These study programs constitute the core of a university. For the purpose of accreditation of the programs by the national accreditation agency and recognition of the conferred degrees by foreign universities it is very important that QA practices are in place at the academic unit, i.e., at the department . QA at the program level and institutional level supports each other.

The outcomes of QA at program level are:

- Self-Assessment Reports
- Modernization of the curricula
- Introduction of programs in emerging subjects
- Promotion of academic innovation
- Course evaluation report on a regular basis
- Evaluation of teaching performance on a regular basis
- Ability to meet the expectations of stakeholders
- Readiness to meet the quality requirements and program accreditation
- Effectiveness and competitiveness of the programs

### **5.3 Stages of Introducing Quality Assurance**

#### **5.3.1 Stage I**

Stage I of introducing the QA system in Higher education focuses on:

- Developing the QA manual, tools and documents in consultation with the major stakeholders;
- Developing awareness, engagement and ownership of all stakeholders to the QA process.

Outcomes:

- Guidelines for Quality Assurance practices;
- Sense of responsibility and sense of ownership of the stakeholders.

#### **5.3.2 Stage II**

Stage II is to facilitate the establishment of IQACs at the universities. Universities shall build required capacity of the IQACs with the guidance and technical support of the QAU to make it functional.

Outcomes

- Self Assessment of academic programs with external peer review;
- Quality Assurance culture;
- Readiness to meet the requirements for program accreditation.

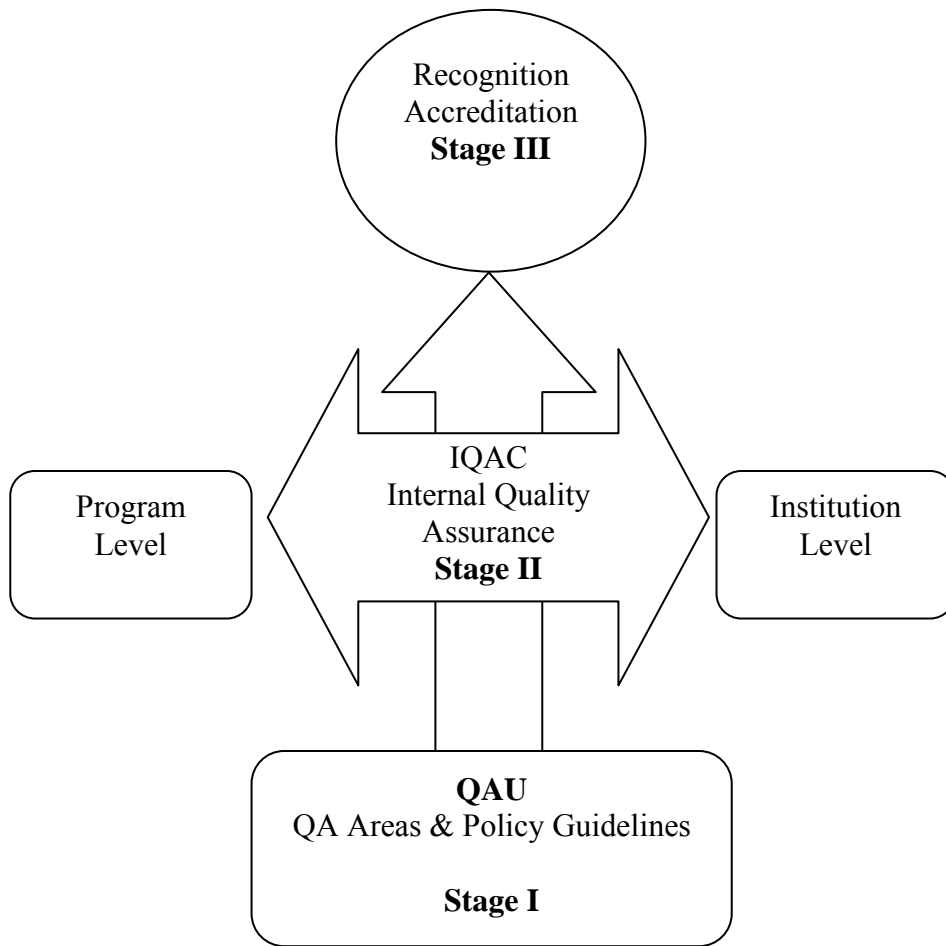
#### **5.3.3 State III**

Stage III will focus on developing quality assurance and national accreditation council, gaining recognition of QA practices by external quality assurance agencies in accordance with the international standard.

Outcomes:

- Program accreditation;
- Institutional accreditation;
- Ability to meet the quality standard with credibility.

**Figure 3: Stages to Introduce QA in Bangladesh**



## **Chapter 6**

# **Procedure Design and Review**

### **6.1 Procedures**

- 6.1 Procedure is a set of sequentially arranged actions to be followed in solving a problem or accomplishing a particular task. It includes policies, regulations, processes, systems and rules that fall within the purview of a QA body such as Student Regulations and Registration Process. A procedure becomes archaic over time and therefore requires to be reviewed on a periodical basis. Advancement in technology, change in personnel or even change in the way processes are understood or executed are some of the reasons for the need for change. These may become evident usually at an audit or when the implementation of the procedure causes undesirable outcome and does not meet the initial objectives. The procedure should be amended to reflect current practice. In the event there is no call for the review or change of a procedure it shall be reviewed on a biennial basis to assess its effectiveness.

Reviewing an existing procedure may be done internally by staff of the faculty or department (procedure owner) or by the IQAC. A review exercise will help to re-visit the procedure with a fresh eye for process improvement and efficiency. Existing procedures may either be documented or undocumented but practiced. This chapter explains how a review of both the documented and undocumented procedure may be conducted.

### **6.2 Documented Procedure**

Documented procedure generally comes in different formats and need to be standardized to a uniform format. Uniformity facilitates tracking and reviewing. Where the change or review originates from the procedure owner, IQAC shall provide support in terms of advice and software to enable smooth completion of the exercise. The process of converting a documented procedure to a standardized format is listed below:

- 6.2.1 Identify procedure for conversion.
- 6.2.1.1 The procedure owner is responsible for identifying the procedure that does not conform to the standard format.
- 6.2.1.2 Upon identifying the procedure, the procedure owner shall list and review the procedures in order to make the processes more efficient and effective.
- 6.2.2 Verify procedure before conversion
- 6.2.2.1 The procedure owner shall meet and discuss with the various stakeholders as applicable about the procedure before this is converted to the new format and through this explore ways to improve and enhance the procedure.
- 6.2.2.2 The document change form shall be used to record the changes to the procedure. This form shall be developed by IQAC.

6.2.2.3 A document change form shall be used for each procedure that is modified. The form shall be approved by the procedure owner and endorsed by IQAC.

6.2.3 Convert the procedure to the new format

6.2.3.1 Complete the procedure template by incorporating the stakeholders' comments.

6.2.3.2 Decide on the date that the 'new' procedure shall take effect.

6.2.4 Verify procedure after conversion

6.2.4.1 Meet with the stakeholders (as applicable) to run through the procedure before finalizing it.

6.2.4.2 Additional comments from the stakeholders during this meeting may be incorporated into the procedure. Otherwise, the comments shall be considered when the procedure is reviewed in the future.

6.2.5 Finalize procedure

6.2.5.1 Finalize the procedure by signing off on the cover of the procedure document. The procedure shall be signed-off by the Head of Faculty or Department who is the procedure owner and endorsed by IQAC.

6.2.5.2 Once finalized, the procedure owner has the responsibility to circulate the revised procedure to the staff of the relevant faculty or department and copy to the IQAC.

### **6.3 Undocumented Procedure**

Undocumented procedures are present in many institutions as these are often created due to unforeseen circumstances. It is also very common to have procedures followed by faculties, departments and individuals to resolve situations that are peculiar to them. This section covers undocumented or non-recorded procedures.

Steps of developing such a procedure may be documented as follows:

6.3.1 List the procedure

6.3.1.1 The faculty or department shall list all the procedures that are not documented.

6.3.1.2 Often in universities, there may be common undocumented procedures across faculties and departments. Therefore, IQAC may call a meeting with the Heads of faculties and departments to discuss and prioritize them.

6.3.2 Document the procedure

6.3.2.1 The faculty shall document the process flow of the procedure before discussing it with other members of the faculty.

6.3.2.2 The narration and flow chart shall be documented to facilitate discussion on the procedure.

6.3.3 Stakeholder Input

6.3.3.1 The respective owners shall discuss with the stakeholders the proposed procedure in order to refine the process.

6.3.3.2 The procedure shall be amended to incorporate comments from the stakeholders.

6.3.3.3 The revised procedure shall be shared with stakeholders before finalizing it.

#### 6.3.4 Finalizing the procedure

6.3.4.1 The finalized procedure shall be confirmed by the signing off on the cover of the procedure document by the procedure owner and endorsed by IQAC.

6.3.4.2 Once finalized the procedure shall then be circulated via email to the staff of the faculty or department and a copy to IQAC by the procedure owner.

### 6.4 New Procedures

The following key questions need to be answered during the formulation of a new procedure:

- a) What is the objective and scope of the new procedure?
- b) Who is responsible for developing the new procedure?
- c) How is the new procedure developed?
- d) When should the new procedure be reviewed?

The necessary design and development activities shall be carefully considered and put in place to ensure suitability, quality and legitimacy. At the very beginning of the process, apart from needs analysis, it is important to understand the objectives and scope of the new procedure. The needs analysis should also include the following consideration:

- i) Financial feasibility
- ii) Regulatory and resource requirements, and
- iii) Roles and responsibilities of faculties/departments (internal and external) involved.

An internal faculty/department refers to a faculty or department in the university and external refers to a partner in the case of collaboration between the university and another institution of higher education.

### 6.5 The Design Process

The design process usually commences with a request or identification of a need. The need for the procedure is identified by IQAC, or raised by the faculty or department responsible (e.g. Admission Office, Examinations Office). For convenience, the body designing the procedure shall be identified as the 'designer'. The proposal shall be prepared with reference to the Undocumented Procedure process. Proposal, design and development activities shall be reviewed and approved by the Syndicate for which a brief must be prepared by IQAC. Minutes of meetings shall be prepared, circulated and maintained for audit purposes.

#### 6.5.1 Identification of New Procedures

6.5.1.1 The designer shall identify and list the new procedures based on the needs of the stakeholders. This can arise out of an audit exercise to meet certain needs.



6.5.1.2 The designer shall discuss with relevant stakeholders and obtain their feedback on the objective of the new procedure and identify its scope and structure.

#### 6.5.2 Formulation of Procedures

6.5.2.1 The involvement of IQAC during the formulation process should be clearly written.

6.5.2.2 The policy designer shall then formulate the procedure and further discuss this with the stakeholders.

6.5.2.3 The completed procedure shall be circulated to relevant stakeholders for final feedback.

6.5.2.4 Recommendations and feedback are need to be considered and incorporated into the new procedure as necessary.

6.5.2.5 If the department or policy owner develops the policy, IQAC plays a crucial supporting role by providing input and assistance as required.

#### 6.5.3 Review and Approval

6.5.3.1 A Syndicate Brief shall be prepared by IQAC and tabled at the Syndicate meeting for approval and endorsement. The brief shall propose the effective date for implementation. The brief is a good way to chart the development process and becomes the starting point of reference in the review of procedure in future.

6.5.3.2 The Syndicate shall review the proposal for the new procedure. If there are changes to be made, the proposal shall be returned to the faculty/department concerned through the IQAC for amendment. The revised proposal need to be re-tabled to the Syndicate.

6.5.3.3 All proposals by the Syndicate shall be filed into the Proposal File, with the decision of the Syndicate recorded.

6.5.3.4 All other deliberative committees will be notified of the new policies.

6.5.3.5 The procedure shall be effective from the date stipulated as approved by the Syndicate.

#### 6.5.4 Implementation

6.5.4.1 Upon approval by the Syndicate, the procedure owner shall make the necessary arrangements to implement the new practice.

6.5.4.2 The procedure owner shall convey the information via committee meetings and/or through email to the relevant departments.

#### 6.5.5 Monitoring

6.5.5.1 The procedure owner shall review the procedures one (1) year post implementation.

6.5.5.2 The monitoring of procedure shall be done following the activities such as internal audits and satisfaction surveys.

6.5.5.3 If the procedure does not meet stakeholders' needs, the procedure owner shall review it accordingly.

## **Chapter 7**

# **Evaluation and Assessment**

7.1 Quality assurance refers to the assessment and evaluation of ongoing processes, it monitors whether the system is properly working or not, and keeps the system on right track. Evaluation and assessment forms the basis of decisions to guide the quality assurance mechanism towards the achievement of objectives and mission. The components of evaluation and assessment for quality assurance system are:

- (a) Internal QA System involving self-assessment, internal audit etc.
- (b) External QA System involves external peer review and accreditation by internationally recognized QA agencies and accrediting bodies.
- (c) Meta evaluation by the government through QAU, UGC.

### 7.1.1 Internal Assessment

Excellence in education demands continuous efforts to identify the better ways to deal with the matters relating to education. Higher education institutions move towards further improvement and excellence by identifying lapses in the system and adopting appropriate remedies through internal assessment. Internal assessment generally takes the form of self-assessment of programs and the institution .

### 7.1.2 Self-Assessment

Self-Assessment does not mean that evidences of quality education are not available. Self-Assessment provides direction to improve further. Self-Assessment examines the state of practices and quality using a well structured survey framework. Self-Assessment serves as a preparation for external peer review and validation for approval and accreditation. It explores the following issues(IUCEA, 2010):

- What the university does to provide education ?
- Does the university does the right things to provide education ?
- Is the university doing the right things in the right ways ?
- Has the university clearly defined goals to achieve ?
- Does the process guiding the university to achieve the goals ?

In order to address the above issues the most useful tool is self-assessment. Quality assurance suggests self-assessment for both at program and institution levels. The processes of conducting self-assessment (SA) is outlined in the SA Manual.

- i) Program level self-assessment: University is basically made of the core activities of teaching learning and research. Quality of education in a university generally refers the quality of teaching learning and research. All these academic activities are taking place at the program level. Thus, self-assessment of the program is very critical for improving the quality of teaching learning and research.

- ii) Institutional self-assessment: Institutional self-assessment provides feedback regarding the strengths, weaknesses, opportunities and threats relevant to quality assurance within the university. Quality assurance framework within the university involves all the administrative wings of university. It covers from governance to implementation of policies and procedures.

### 7.1.3 Principles of Self-Assessment

For the purpose for effective management of SA process and gainful use of the findings following principles are required to take into account:

- 7.1.3.1 Self-Assessment is not to prove anything but to improve;
- 7.1.3.2 Self-Assessment is a collaborative effort by all members of the entity;
- 7.1.3.3 Self-Assessment process is required to involve all stakeholders of the programs and university under assessment;
- 7.1.3.4 All the findings of the SA exercise should be based on facts and information;
- 7.1.3.5 In order to create sense of responsibility and ownership sensitization of the SA findings is important;
- 7.1.3.6 For the purpose of effective implementation of the improvement plan the SA exercise need to be accepted by the academics, officials, students, and authority being assessed.

### 7.1.4 Aspects of Self-Assessment

Developing QA culture is a continuous process and requires special attention to QA areas. The QA areas as described in the section 5.1 of this OM may be followed for the purpose of gathering information to make the SA informative and meaningful.

### 7.1.5 External Peer Review and Validation of Self-Assessment

There shall be a three member external peer review team with at least one as subject expert (for program review) and at least one recognized QA expert. It is expected that the peer review panel members will visit the concerned university. It will be a three-day visit under a well structured schedule. The entity undertaking self-assessment will make the arrangement for peer review process in consultation with the IQAC and follow the guidance of QAU. External peer review will be based on the SA Report prepared by concerned program offering entity and other documents made available during the external peer review. Subsequently the review panel will prepare and submit the peer review and validation report collectively to the Head of the program offering entity (in case of program assessment) and to Director IQAC. Director IQAC will place the reports in the QAC meeting and forward one copy of the report to the QAU. Key features of the peer review process include:

- 7.1.5.1 critical analysis of the Self-Assessment Report (SAR);
- 7.1.5.2 peer observation of the key aspects of the self-assessment exercise;
- 7.1.5.3 gathering information on activities relating to quality assurance in higher education through discussions with major stakeholders, i.e. students, faculty, alumni, employers, university administration and senior management of the university;

7.1.5.4 identifying the strengths and weaknesses of the program offering entity or the university;

7.1.5.5 identifying the areas that need further improvement for quality enhancement of higher education; and,

7.1.5.6 providing guidelines for effective quality assurance in education.

#### 7.1.6 Internal Audit

In addition to the self-assessment quality assurance uses internal audit as the tool for monitoring the implementation of policies and evaluate the performance of the faculties and departments. Quality assurance audits are performed in order to ensure that the systems are in place and are being followed properly. The IQAC shall conduct internal audit on a regular basis to ensure that the activities of the faculties and departments comply with the quality assurance framework and standards. During the audit the IQAC will collect all relevant information pertaining to the various activities of the concerned department or faculty, analyze the information collected for producing a comprehensive report. The faculty or department shall take the necessary steps to act upon the points raised in the report for the effective management of quality assurance at the faculty or department.

7.1.6.1 There are many types of QA audits and it is important to select the type that fits best the identified needs and objectives. Audits are thematic, holistic or maintenance. A thematic audit covers any of the following aspects:

- i) Compliance audit shall be performed by IQAC to confirm if the faculty or department is meeting the legal and regulatory requirements with the sole purpose of ensuring effectiveness of the corrective action, if any.
- ii) System audit is an audit performed on any of the systems within the university. Non-conformity in system is critical because of the direct consequence to the output.
- iii) Program audit will inevitably audit the processes utilised in the delivery of the program to meet the standard.

7.1.6.2 A holistic audit combines all three aspects of thematic audit while a maintenance audit is a follow-up (post-audit) audit. Once an audit cycle is completed, IQAC shall carry out follow-up audits to ensure maintenance of the minimum standards and continuous quality improvement. The IQAC shall always be prepared to conduct impromptu audits as required by the Syndicate or QAC arising from circumstances that deem such audits necessary.

#### 7.1.7 Stages in Audit

Conducting an audit usually comprises three stages, namely, pre-audit planning, conducting the audit and post-audit. These stages are described below:

##### 7.1.7.1 Pre-Audit Planning

Planning for an audit is crucial to ensure that it is effectively carried out. IQAC's plan for an audit will include:

- IQAC shall prepare proposal for an audit/review of a specific faculty/department
- to be submitted to the QA Committee for its approval. This proposal shall indicate, among others, the following:
- The type, purpose and scope of audit;
- Timeline for the audit exercise from pre-audit planning to the submission of the final report;
- Members of the audit panel and terms of reference.
- obtaining the necessary approval from the QA Committee

Once the QA Committee has approved the Audit Panel, the IQAC shall take the following action:

- Issue appointment letters to members of the audit panel with the terms of reference;
- Conduct an audit briefing for panel members.
- notifying the faculty or department to be audited:

IQAC shall inform the faculty/department/entity to be audited to take the necessary actions to make all required documents available for the audit as well as make other arrangements as required.

- The concerned faculty/department /entity shall appoint a person to liaise so that all matters pertaining to the audit can be channeled through the liaison official.
- The faculty/department/program offering entity shall update all documents such as course files using prescribed guidelines.(see the Annex 8).
- Collect all relevant documents – student files and records, assignments, practical note books, question papers, sample answer scripts and such other documents related to the audit or as applicable.
- Arrange for interviews with selected staff and students.
- Arrange classroom teaching observation by the panel using a standard observation schedule.(A sample of which is given in Annex 16)
- ensuring that all documentation is received by the audit team;
- determining the timeline for the exercise which will depend on the type of audit to be carried out.

#### 7.1.7.2 Conducting the Audit

Members of the audit panel shall visit the concerned faculty/entity to conduct the audit exercise according to the schedule. The audit at site enables panel members to locate and review evidences. The audit at site will be an opportunity for the panel members to view additional evidence that was not available earlier.

- a) During the on-site audit, the panel shall attend a meeting before the review of documents commences and the exit meeting when the panel presents its draft report to the faculty at the end of the audit visit. The exit report represents the

findings made by the panel members and will constitute the basis of the final report.

- b) The tasks to be carried out during the on-site audit are as stated below.
- Review documents submitted as well as additional evidences;
  - Visit to facilities – learning space, classrooms, laboratories and other specialized facilities, and library as applicable for the purpose of the audit;
  - Conduct interviews of selected staff and students as required for the purpose of the audit;
  - Observe activities as required for the purpose of the audit;
  - Prepare preliminary audit report to be presented at the exit meeting.

#### 7.1.7.3 Post-Audit

Following the audit, panel members are required to prepare the final report. This report will be submitted to the IQAC.

- a) Members of the panel meet to finalize the report;
- b) Discuss audit outcomes for inclusion in the report and preparing the draft report for the exit meeting;
- c) Finalize the report;
- d) Submission of the final report.

#### 7.1.8 Reporting

Reporting is an integral part of the QA mechanism and is designed to help the university to manage and achieve the objectives in a controlled manner. Reporting helps to identify areas of weakness, potential problems and developing strategic plan to resolve those problems.

#### 7.1.9 Characteristics of a Good Report

- i) The report must be able to meet the needs and information requirements of the stakeholders. This is largely due to the fact that stakeholders are users of the report and information contained within the report will be utilized for other activities such as strategic planning and resources allocation.
- ii) The report should clearly identify the purpose and scope.
- iii) A report should contain sound arguments, be readable and formatted in such a way as to help readers to understand the contents with ease (e.g. meaningful headings/titles, written in clear and concise language with keyword index and glossary and in a neutral tone).
- iv) The report must be a summary of the activities and the conclusions derived thereof. It is important that the report be accurate, clear and persuasive, and supported by facts and evidences.
- v) It should contain commendations, affirmations and recommendations for improvement. Recommendations should be practical in nature limited to the more important issues so as to focus on priority.

vi) Reports should be balanced and constructive, conveying all the findings positive or otherwise and be encouraging to support continuous improvement.

vii) The report should be focused and provide only reliable, relevant and complementary information to support the recommendations made.

#### 7.1.10 Types of Reports

There are two types of QA reports, internal and external. An internal report is prepared after a self-assessment and internal audit have been done. Annual report prepared by the IQAC and concerned entities are also internal report. External report is the outcome of an assessment done by external QA agencies.

##### i) Self-Assessment Report

The Self-Assessment reports are very critical to the QA system. IQAC will prepare the institutional self-assessment report and program offering entities will prepare their own self-assessment reports.

- It is a self-reflective and critical evaluation of current state of QA practices;
- The self-assessment report should provide comprehensive information on the QA areas;
- Standard Self-Assessment report should motivate the internal QA by identifying its weaknesses and strengths;
- internal SA report is to be prepared for external assessment and informing the external evaluators about internal QA System;
- Self-Assessment report will be used as the core document for the purpose of external peer review.

##### (ii) Institutional Quality Assurance Report (IQAR)

This report is to be prepared by the IQAC to ensure that annual monitoring has been carried out. The report reviews the quality of teaching, learning, research, governance, management and other QA related activities. The IQAC shall submit the report to the Syndicate/Regent Board with the approval of QAC.

(A sample template is provided in annex13).

##### (iii) Audit Report

This report shall be named according to the type of audit that was carried out. The IQAC shall be responsible for the audit report. It shall employ a panel of three to five auditors selected from the senior faculty of the university with at least one qualified QA expert external to the university.

## 7.2 External QA Review and Accreditation

External QA assessment is an opportunity for the university to improve the QA process and academic standards further comparing the same with national and international practices. External QA agencies will carry out the external assessment with the formal invitation of the IQAC. External assessment will help to:

- 7.2.1 identify the strengths and weaknesses in QA practices;
- 7.2.2 develop the working plan to improve the QA practices and hence quality of education basing on the findings and recommendations of the external assessment;
- 7.2.3 safeguard the standards of awards and the quality of delivery of academics;
- 7.2.4 share good practices in the provision of education;
- 7.2.5 external assessment and accreditation would enhance confidence and image of the university; and,
- 7.2.6 external assessment creates a sound basis of accreditation and recognition.

### **7.3 Meta Evaluation By QAU/UGC**

The University Grants Commission (UGC) of Bangladesh was established by the government with the primary objectives to supervise, maintain, promote and coordinate university education. UGC is also responsible for maintaining standard and quality in all the public and private universities in Bangladesh. Thus, UGC through QAU has to perform the role of meta evaluator for assessing the QA systems of universities in Bangladesh. The objectives of such evaluation are to make sure that internal quality assurance systems are in place and working effectively in response to the public concerns in higher education. It is highly expected that such evaluation would make the universities more capable and accountable in providing higher education with internationally accepted quality standard. Meta evaluation will be mostly based on the annual report, institutional quality assurance report (IQAR) of the IQAC and external assessment report



## **Chapter 8**

# **Training and Skills Enhancement**

IQAC recognizes the importance of training and skills enhancement exercise as a means to maintain and improve professionalism. Training for different categories of staff will enable them to carry out specific tasks more efficiently than before. This in turn will instill confidence within IQAC and empower it to perform the work more entrusted to it proficiently. This will further augment the effectiveness and credibility of the exercises and activities undertaken by the IQAC.

### **8.1 Proposal for Training**

The training proposal should be prepared and approved by the Vice Chancellor, which will be reported to the Syndicate. In preparing the training proposal the following points need to be taken into consideration:

- 8.1.2 Determine areas of training to address institutional concerns such as overall staff development, capacity building in specific areas and to keep abreast of current developments;
- 8.1.2 Prepare the training modules and other communication materials;
- 8.1.3 Spell out the rationale and expected outcome of the training;
- 8.1.4 Prepare the training program and schedule – internally organized or externally sourced;
- 8.1.5 Prepare the budget for the training;
- 8.1.6 Identify the trainer(s) and resource persons;
- 8.1.7 Make arrangement of the logistics for organizing the training.

### **8.2 Internal Training**

IQAC can organize in-house training with the availability of qualified trainers. With the approval of Vice Chancellor IQAC can proceed to make the necessary arrangements to carry out the training as follows:

- 8.2.1 Announcement of the training to be organized specifying:
  - Title of training, its objectives and expected outcomes, and content of training;
  - Particulars of trainer(s) including area(s) of expertise;
  - Preparation of budget for the training program.
- 8.2.2 Preparation and dispatch of appointment letter(s) to trainer(s);
- 8.2.3 Extend invitation letters to staff to participate in the training;
- 8.2.4 Preparation for training materials – program, venue, contents, handouts, power point presentation etc.;
- 8.2.5 Preparing report on training based on evaluation by participants.

### **8.3 External Training**

IQAC recognizes the need for external training. Besides, academic staff(s) can submit request to IQAC for attending external training. IQAC shall prepare a proposal for training of (staffs) provided by an external organization and submit it for approval of the Vice Chancellor. The proposal should contain justification and budget for the external training.

**After the training an evaluation report explaining learning outcomes and experiences of the training need to be prepared and submitted to QAC.**

## **Chapter 9**

# **Management of Conflicts and Confidentiality**

### **9.1 Significance**

Confidentiality and effective management of conflict of interest are two important pillars in quality assurance and quality culture. All officers of the IQAC and members of the QAC are naturally academics and administrative staff members of the university. As such, it is inevitable that breach of confidence and situations of conflict may arise. This may happen due to the implications of a decision, reporting or recommendation made by the IQAC on a faculty, department or program. Any such incident may have negative impact on the confidence of stakeholders, perception of people, student enrolment, funding for the university and staff morale. The stakeholders of the university have rights to expect that all personnel in the IQAC will perform their duties in a fair, unbiased and confidential manner. The decisions, recommendations, report they make are not influenced by self-interest, private affiliations, or the likelihood of personal gain or loss. Thus, effective management of confidentiality and conflict of interests is of particular importance to quality assurance system of the university.

(A sample of conflicts of interest and confidentiality declaration form is in annex 14)

### **9.2 Management of Conflicts**

This refers to a situation where the personal interests of the officer, whether pecuniary or otherwise, conflicts with that of the organization or the faculty that is being audited. The primary goal of the system to manage conflicts of interest is to ensure that assigned functions are performed on proper grounds for the interest of quality assurance and university without bias. The IQAC shall develop and implement a conflict of interest policy to identify, manage and monitor any conflict of interest. A clear policy on conflict of interest promotes an organizational climate where conflicts of interest are properly identified and resolved or managed timely with clarity, transparency and accountability. Following points may be useful in this regard:

- 9.2.1 The policy shall be practical, sensible and produced based on the understanding that conflicts of interests do occur in the normal course of QA work;
- 9.2.2 Identifying and disclosing conflicts is an integral part of duty of the concerned staff.
- 9.2.3 IQAC officers and persons linked to it must have a clear understanding of what constitutes a conflict of interest in order to manage such conflicts effectively;
- 9.2.4 The coverage of the policy should be sufficient enough to govern management of conflicts of interest;
- 9.2.5 It shall foster confidence and collegiality among the members of the university.

## **A Sample of a Conflict of Interest Policy**

Officers of IQAC, members of the QA Committee and auditors are committed to identifying and avoiding situations and activities that constitute a Conflict of Interest in the execution of their duties for the University. Furthermore, activities, situations, and relationships that might create the perception of or potential for a Conflict of Interest shall be identified and managed appropriately. The University believes that clear guidelines and principles for reporting and managing actual, potential, and perceived Conflicts of Interest will assist staff and students in maintaining the highest level of integrity in their endeavors.

An **actual** Conflict of Interest arises in a situation where financial or other personal considerations compromise an individual's objectivity, professional judgment, professional integrity, and/or ability to perform his or her responsibilities to the University. In addition to situations that clearly give rise to an actual Conflict of Interest, individuals are cautioned also to consider gray areas that might create the perception of or the potential for a Conflict of Interest.

Adapted from the Policy Summary University of Notre Dame, Indiana, USA

Source: <http://conflictpolicy.nd.edu/policy-procedure/>

### **9.3 Management of Confidentiality**

Confidentiality in quality assurance is linked to preparation and publication of reports and information and the rules relating to access or restriction of information. Officials of IQAC and members of the QAC will receive information in the form of documents, progress and annual reports and findings of audits. All such documents and information must be used only for the purpose of quality assurance and be disseminated only to persons who are authorised to receive the information as per the provisions of the university or specified in the IQAC OM. All information shall be kept confidential and no analytical results shall be released to any third party without prior consent of the parties concerned. Such provisions relating to confidentiality extends also to members of audit teams.

#### **Example: Confidentiality in Practice**

The global excitement for ranking and rating of universities and programs and the human nature of comparing performances, faculties would like to know how they performed in relation to each other. It is very common to receive requests for information on how other faculties or departments performed. This can range from the very pedantic requests on the percentage of survey participation to the more complex ones such as the findings of an audit exercise. At no time should the IQAC or the members of the QA Committee divulge individual information to others than the faculty concerned. Any sharing of information of one faculty or department with another will be breach of confidentiality.

Therefore, at the release of quantifiable results it is good to provide the mean (average) score for the university. The mean score shall provide a measure for comparing the faculty's or department's 'achievement' with the whole of the university. The faculty or department shall be able to rate its performance by knowing whether it is above or below the average.

## **References**

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- Woodhouse, D., (Woodhouse,1999), *Quality and Internationalisation in Higher Education*, Programme on Institutional Management in Higher Education (IMHE), Organisation for Economic Co-Operation and Development (OECD), Paris, pp. 29–44.
- Peiris, Colin N. (2006). Need for Quality Assurance and Accreditation Seminar on “Knowledge for Development: Assessing the Capacity, Quality and Relevance of Universities in Asia” Colombo, P.8
- Quality Assurance and Accreditation Council of Sri Lanka, (QAAC, 2003), Internal Quality Assurance Manual for Sri Lankan Universities, Colombo, P.2

## **Documents Consulted**

In preparing this IQAC Operation Manual a number of books, reports, articles and QA manual have been consulted. Contribution of those QA related documents in preparing this manual, QA tools and templates is highly acknowledged. Concepts and ideas borrowed from the documents mentioned helped to make the IQAC OM in accordance with the internationally accepted QA practices.

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17. Defining Quality in Education, A paper presented by UNICEF at the meeting of The International Working Group on Education Florence, Italy, June , 2000
18. Quality Assurance Manual for Higher Education in Pakistan, Higher Education Commission, Islamabad.
19. Zia Batool and Riaz Hussain Qureshi, (Zia and Qureshi), *Quality Assurance Manual for Higher Education in Pakistan*, Higher Education Commission, Islamabad P.27
20. Zia Batool and Riaz Hussain Qureshi, (Zia and Qureshi), *Quality Assurance Manual for Higher Education in Pakistan*, Higher Education Commission, Islamabad P.4.1

### **Useful Links**

In carrying out its responsibilities, the IQAC may refer to the following documents and/or links for further information and samples:

Makerere University.(2007). *Quality Assurance Policy Framework*. Kampala: at [www.policies.mak.ac.ug/](http://www.policies.mak.ac.ug/)

Ontario Universities Council on Quality Assurance; Quality Assurance Framework (2012); <http://www.oucqa.ca/wp-content/uploads/2014/01/Quality-Assurance-Framework-and-Guide-Updated-January-2014.pdf>

Quality Assurance Netherlands Universities (QANU). (2011). *Guideline for writing a self-assessment report for a limited programme assessment*. Utrecht: at [www.qanu.nl](http://www.qanu.nl).

Royal Audit Authority (u.d.). *Handbook on Quality Assurance*. Bhutan: [www.bhutanaudit.gov.bt/publications](http://www.bhutanaudit.gov.bt/publications)

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The Quality Assurance Agency for Higher Education (QAA).(2013). *Code of Practice for Members of the QAA Board*. Gloucester: at [www.qaa.ac.uk/Publications](http://www.qaa.ac.uk/Publications)

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University of Glasgow; [http://www.gla.ac.uk/media/media\\_127773\\_en.pdf](http://www.gla.ac.uk/media/media_127773_en.pdf)

New England Association of Schools & Colleges: Commission on Institutions of Higher Education (CIHE) <http://cihe.neasc.org/institutional-reports-resources/reporting-guidelines/comprehensive-evaluation>

New England Association of Schools & Colleges: Commission on Institutions of Higher Education(CIHE)[https://cihe.neasc.org/sites/cihe.neasc.org/files /downloads/Standards/Standards\\_for\\_Accreditation.pdf](https://cihe.neasc.org/sites/cihe.neasc.org/files/downloads/Standards/Standards_for_Accreditation.pdf)

## **Annexes**

A few templates, guidelines and concept notes included are developed in accordance with the international QA practices. The concept note, guidelines and templates would be very useful to the universities for the purpose of internationally compatible and acceptable quality assurance practices. Need to mention that these are just samples. Universities and program offering entities may customize these templates depending on the requirements and context.



## **NEW PROGRAM PROPOSAL FORM**

### **(Name of the University) NEW PROGRAM PROPOSAL**

- 1 Name of the Proposed Program:
- 2 Program offering entity:
- 3 Faculty/Institute/Center:
- 4 Program duration:..... years; ..... semesters
- 5 Date of Approval by the Academic Committee
- 6 Proposed commencement date:
- 7 Projected student numbers:

<b>Year</b>	<b>Year 1</b>	<b>Year 2</b>	<b>Year 3</b>	<b>Year 4</b>	<b>Year 5</b>
<b>Projected student numbers</b>					

#### **A. Program Details**

8. Program aims
9. Program learning outcomes
10. Rationale for the program:
11. Curriculum Design Committee:
12. Curriculum Design Process:
13. Program structure:
14. Program components and credit distribution

<b>Classification of Courses</b>	<b>No. of Courses</b>	<b>Credit</b>	<b>Percentage</b>
Compulsory Courses			
Core/Major/Concentration <ul style="list-style-type: none"> <li>• Courses</li> <li>• Project/Research Paper/Thesis</li> </ul>			
Elective Courses			

Minor Courses			
Practical			
Internship/Industrial attachment			
Oral Examination/Viva-Voce			
Others (specify).....			
<b>Total Credit</b>			<b>100%</b>

15. List of courses

No	Course Code	Year/Semester	Title of the Courses	Classification	Credit (Weight)
1					
2					
3					
4					
5					
6					
7					
8					
9					
10					
11					
12					

**B. Fitness of the purposes**

16. Demand- Supply (Industry and economic trends):
17. Target Market (market, entry qualifications, competitor analysis, competitive advantage if applicable):
18. National relevance (Relevance with the objective of National Education policy, socioeconomic conditions of the country etc. ):

**C. Facilities and Resources**

19. Availability of staff

- Academic Yes/No
- Administrative/Support Yes/No

If No, kindly indicate plans and estimated additional costs:

20. Space

Additional Estimated Costs

- Staff offices
- Classroom
- Special rooms – laboratories etc
- Others (specify)

(If not available, kindly indicate plans and estimated additional costs)

21. Text / Reference Books:

- State existing collection and sources of reading materials in the relevant areas for the proposed program):
- Anticipated costs for:  
Year 1                  Year 2                  Year 3
- Additional books
- New journals/database subscription
- Audio visual materials
- Others (specify) ....

22. IT resources

State anticipated additional IT and multimedia requirements with estimated costs for the delivery of the proposed program:

**E. Endorsement by the Program Offering Entity:**

The Committee of Courses and Studies/ Curriculum Committee confirms the following:

- 
- 

The Academic Committee confirms the following:

- 
- 
- 

Head/Chairman of the Program Offering Entity .....

Date: .....

**F. Endorsement by Faculty**

The Faculty confirms the following:

- 
- 
- 

Dean .....

Date: .....

**G. Endorsement by IQAC**

The IQAC confirms the following:

- 
- 
- 

Director .....

Date: .....

**DOCUMENT CHANGE FORM**

<b>DOCUMENT CHANGE FORM</b>	
Originator :	Date :
Procedure No. :	
Procedure Title :	
Issue No. :	
Nature of Change :	
Reason(s) for Change :	
<b>COMMENTS/APPROVAL</b>	
1) Head of the Department Approved/Not Approved  Signature : ..... Date :	2) IQAC Endorsed by  Signature : ..... Date :
3) QAU Endorsed by  Signature : ..... Date :	

## **COURSE SPECIFICATIONS FORM**

**University** .....

**Faculty** .....

### **Course specifications**

Name of the Program (s) .....

Major or minor/optional .....

Entity offering the program .....

Department offering the course .....

Academic year/Level .....

### **A- Basic Information**

Title of the Course:

Code:

Credit:

Number of Lectures:

Number of Tutorial:

Number of Practical:

Total:

### **B- Professional Information**

#### **1. Overall aims of course**

.....

.....

#### **2. Intended learning outcomes of the course (ILOs)**

##### **a. Knowledge**

i. ....

ii. ....

iii. ....

##### **b. Skills**

i. ....

ii. ....

iii. ....

c. Attitude

- i. ....
- ii. ....
- iii. ....

**3. Contents :**

Topic	No. of hours	Lecture	Tutorial/Practical

**4. Teaching and learning methods**

- a. ....
- b. ....
- c. ....
- d. ....

**5. Student assessment methods**

- a. Formative
- b. Summative

**Assessment schedule**

- Assessment 1 ..... Week .....
- Assessment 2 ..... Week .....
- Assessment 3 ..... Week .....
- Assessment 4 ..... Week .....

**Weighting of assessments**

Continuous assessment	%
Mid-term examination	%
Final term examination	%
Oral examination	%
Practical examination	%
Semester work	%
Other types of examination	%
Total	100%

**6. List of References**

- a. Course notes .....
- b. Essential books(text books).....  
.....
- c. Recommended Reference books.....
- d. Periodicals, Websites,....etc.....  
.....  
.....

**7. Facilities required for teaching and learning**.....  
.....

**Course Coordinator/Teacher:**

**Head of Department**

**Date:** / /



***IQACOM Annex 4***

**STUDENT COURSE EVALUATION FORM**

**(To be filled by each Student at the time of Course Completion)**

Department \_\_\_\_\_ Course No: \_\_\_\_\_

Course Title \_\_\_\_\_ Teacher Name: \_\_\_\_\_

Year of Study \_\_\_\_\_ Semester/Term: \_\_\_\_\_

*Please give us your views so that Course quality can be improved.*

*You are encouraged to be frank and constructive in your comments*

Evaluate the following aspects of the course by marking “√” in the box of corresponding column according to the scale given:

5–Strongly agree; 4–Agree; 3–Neutral; 2–Disagree; 1–Strongly disagree;

**CORE QUESTIONS**

<b>I. Course Content and Organization</b>					
1. The course objectives were clear					
2. The Course workload was manageable					
3. The Course was well organized (e.g. access to materials, notification of changes, etc.)					
Additional Comments:					
<b>II. Student Contribution</b>					
4. Approximate level of your own attendance during the whole Course					
5. Participated actively in the Course					
6. Progress in this Course					
Additional Comments:					
<b>III. Learning Environment and Teaching Methods</b>					
7. Course was well structured to achieve the learning outcomes (there was a good balance of lectures, tutorials, practical etc.)					
8. The learning and teaching methods encouraged participation.					
9. The overall environment in the class was conducive to learning.					
10. Classrooms were satisfactory					
Additional Comments:					
<b>IV. Learning Resources</b>					
11. Learning materials (Lesson Plans, Course Notes etc.) were relevant and useful.					

12. Recommended readings, books etc. were relevant and appropriate					
13. The provision of learning resources in the library was adequate and appropriate					
14. The provision of learning resources on the Web was adequate and appropriate (if relevant)					
Additional Comments:					
<b>V. Quality of Delivery</b>					
15. The Course stimulated my interest and thought on the subject area					
16. The pace of the Course was appropriate					
17. Ideas and concepts were presented clearly					
Additional Comments					
<b>VI. Assessment</b>					
18. The method of assessment were reasonable					
19. Feedback on assessment was timely					
20. Feedback on assessment was helpful					
Additional Comments					

### **ADDITIONAL CORE QUESTIONS**

<b>VII. Tutorial</b>					
1. The material in the tutorials was useful					
2. Amount of work needed for tutorials was affordable					
3. The tutor dealt effectively with my problems					
<b>VIII. Practical</b>					
1. The material in the practical was useful					
2. The demonstrators dealt effectively with my problems.					

### **OVERALL EVALUATION**

The best features of the Course were:

The Course could have been improved by:

***IQACOM Annex 5***

**TEMPLATE FOR ANNUAL COURSE REPORTS**

University .....Faculty .....Department.....

**I. Basic Information**

1. Code and Title:

2. Name of the Program(s):

3. Year /Level/Semester of programs:

4. Units/ Credit hours:

Lectures  Tutorial  Practical  Total

5. Names of course instructor contributing to the delivery of the course

a. ....

b. ....

c. ....

Course coordinator (if any) .....

External evaluator .....

**II. Statistical Information**

No. of students attending the course: No. %

No. of students completing the course: No. %

**Results:**

Passed: No.% Failed: No. %

**Achievement of Students:**

Letter Grade	No. of Students	%
A+		
A		
A--		
B+		
B		
B--		
C+		
C		
D		

**III. Professional Information**

**1. Course teaching**

<b>Topics actually taught</b>	<b>No. of hours</b>	<b>Course Instructor</b>

**Topics taught as a percentage of the content specified:**

 >90%

 70-90%

 ,70%

Reasons in detail for not teaching any topic

.....  
 .....  
 .....

If any topics were taught which are not specified, give reasons in detail

.....  
 .....  
 .....

**2. Teaching and learning methods:**

Lectures:

Practical training/laboratory:

Seminar /Workshop:

Class activity:

**Case Study:**

Other assignment/homework:

If teaching and learning methods were used other than those specified, list, and give reasons:

.....  
 .....

**3. Student assessment:**

Method of assessment	Percentage of Total
Written examination	<input type="text"/>
Oral examination	<input type="text"/>
Practical /laboratory work	<input type="text"/>
Other assignments/class work(Specify)	<input type="text"/>
Total 100%	<input type="text"/>

Involvement of external evaluator

.....  
.....  
.....

**4. Facilities and teaching materials:**

Totally adequate

Adequate to some extent

Inadequate

List any inadequacies

.....  
.....

**5. Administrative constraints**

List any difficulties encountered

.....  
.....  
.....

**6. Student evaluation of the course:**

List any criticisms

.....  
.....  
.....

**7. Comments from external evaluator(s):**

.....  
.....  
.....

**8. Course enhancement:**

**Progress on actions identified in the previous year's action plan:**

(State whether or not completed and give reasons for any non-completion)

.....  
.....

**9. Action plan for academic year 20XX – 20YY**

Actions required	Completion date	Person responsible
.....	.....	.....
.....	.....	.....

**Course coordinator/Teacher:**

**Signature:**

**Date:** / /

***IQACOM Annex 6***

**FACULTY COURSE REVIEW REPORT**

**(To be filled by each teacher at the time of Course Completion)**

For completion by the course instructor and transmission to Head of the Department with copies of the Course outline

Department:		Faculty:			
Course Code:		Title			
Session:		Semester/Term			
Credit Value:		Level			
Name of Course		No. of students contact hour	Lectures		Other (Please State)
Instructor:			Seminars		
Assessment Methods: give precise details (no & length of assignments, exams, weightings etc)					

**Distribution of Grade/Marks and other Outcomes: (Use the prescribed grading system of the university)**

**Post graduate/Undergraduate**

Number of Enrolled Students:

Scale	Letter Grade	Number of students	%
80% and above	A+		
75% to less than 80%	A		
70% to less than 75%	A-		
65% to less than 70%	B+		
60% to less than 65%	B		
55% to less than 60%	B-		
50% to less than 55%	C+		
45% to less than 50%	C		
40% to less than 45%	D		
Less than 40%	F		
Incomplete	I		
Withdrawal	W		
<b>Total</b>			

**Overview/Evaluation (Course Coordinator's Comments)**

Feedback: first summarize, and then comment on feedback received from:(These boxes will expand as you type in your answer.)

1) Student (Course Evaluation) Questionnaires:
2) External Examiners or Moderators (if any):
3) Curriculum: Comment on the continuing appropriateness of the Course curriculum in relation to the intended learning outcomes and its compliance with the National Qualification Framework
4) Assessment: Comment on the continuing effectiveness of method(s) of assessment in relation to the intended learning outcomes (Course objectives)
5) Enhancement: Comment on the implementation of changes proposed in earlier Faculty Course Review Reports
6) Outline any changes in the future delivery or structure of the Course that this semester/term's experience may prompt
<b>Name:</b> _____ <b>Date</b> _____ <b>(Course Instructor (S))</b>
<b>Name:</b> _____ <b>Date</b> _____ <b>(Head of the department)</b>



***IQACOM Annex 7***

## **GUIDELINES FOR WRITING COURSE REPORTS**

### **General rules**

1. The University should have a file for each program containing the specification of its courses. Three copies should be available, one with the academic /course coordinator, second one with the head of the degree offering entity and the third one with the director IQAC
2. The University should provide the necessary supports to ascertain periodic reviewing and updating of the curricula.
3. The University should have clear academic standards and benchmarks for each education program.
4. At the end of the semester/term/year, each and every course instructor should submit a course report to the head of the degree offering entity.

### **I. Basic Information**

1. **Degree offering entity:** Write the name of the degree offering entity.
2. **Program:** Write the title of the program(s) to which the course contributes
3. **Course title and code:** Write the title and the code (the letter(s) and the number that identifies the course in the faculty by - law). If there is no code, leave the space blank.
4. **Year / Level:** Write the year and/or level of the students attending the course
5. **No. of hours/ units:** Referring to the ordinance / by-laws, write the number of weekly contact hours of the course.
6. **Teaching staff:** Write the name(s) of course instructor(s) teaching the course.

### **II. Statistical Information**

1. **No. of students starting the course:** Write the number of students starting the course at the beginning of the semester / term / year.
2. **No. of students at the end of the course:** Write the number of students retained in the course at the end of the semester / term / year.
3. **Results of students' assessment:** Write the number and percentage of pass students as well as fail students.
4. **Distribution of passed students according to:** Fill in the allocated space, the number, as well as the percentage of students for each grade.

### **III. Professional Information**

1. **Course topics taught:** In the first column of the table, write the topics actually covered in the semester/year. In the second column of the table, write the actual hours spent in covering each topic. In the third column, write the name of the course instructor covering each topic.

Write in the space provided the percentage of the specified topics actually covered. State the reasons for the failure to cover any of the specified topics. If topics, not included in the course specification, were taught, justify this action.

**2. Teaching and learning methods:**

Tick in the appropriate rectangle, the method used. Write any comments.

Lectures.....	<input type="checkbox"/>
Practical training / lab.....	<input type="checkbox"/>
Discussion sessions.....	<input type="checkbox"/>
Class activities .....	<input type="checkbox"/>
Case studies .....	<input type="checkbox"/>
Other assignments.....	<input type="checkbox"/>

**3. Student assessment:**

a. Methods of assessment

Tick in the appropriate place the method(s) used.

b. State the rules applied for the selection of the examination committee.

State the names of the members of the examination committee.

c. State the involvement of the external evaluator in :

- The match between the examination and the topics taught.
- The existence of grading criteria in examination sheets.
- The allocation and distribution of marks and weighting.
- Effectiveness of the overall assessments in measuring the achievement of the intended learning outcomes (ILOs).

**4. Facilities and teaching materials:**

Tick the boxes provided to indicate whether or not the facilities for learning and teaching material s are adequate. If there are any inadequacies, identify them, together with any problems in the delivery of the course or achieving the ILOs, which resulted.

**5. Administration constraints:**

State any administrative constraints related to teaching and learning (lack of some facilities or funds, teaching aids, site visits, qualified personnel for laboratory and administration). Also mention any management problems or regulations, which impeded the delivery of the course and the achievement of the ILOs.

**6. Results of course evaluation by students:**

State the main points resulting from the analysis of students' evaluation of the course, and the response to any criticisms by the faculty members delivering the course, together with their proposals for dealing with those issues.

**7. External evaluator' comments:**

State the issues raised by the external evaluator and the responses from the faculty members delivering the course, together with their proposals for dealing with those issues.

**8. Course enhancement:**

a. List the issues identified in the action plan from the previous year and whether or not they have been dealt with effectively. When issues have not been effectively dealt with, give reasons, and include in the current year's action plan. Write the issues not handled from those raised in the previous report and the reasons for overlooking such issues.

b. Action plan for program enhancement over the next academic year: List:

- Issues and actions required
- Time schedule
- Persons(s) responsible for the successful achievement of the specified action.

The action plan is fundamental to the success of the quality system. It appears at the end of the report, because it is the result of all of prior analysis. Enhancement can only take place if issues are identified and then acted upon and resolved. The action plan identifies the issues, prioritizes them, and dictates the necessary action to be taken. It is also clearly places the responsibility for the implementation of the action and the resolution of the associated issues, in a given time scale on named individuals.

## **GUIDELINES FOR COMPILING A COURSE SPECIFICATION**

### **General rules**

1. The University should have a file for each course “Course File” containing the course specification, samples of previous examination sheets, and results of student evaluation of the course as well as the percentages of students dropping out, passing, and failing the course. The file should include other relevant information as necessary.
2. The University should ensure the existence of two copies of the course file, one for the course instructor and the other for the head of the degree offering entity or course coordinator. This will help in follow-up.
3. The University should provide a system for course evaluation.
4. The Academic Committee / Faculty Committee/ Academic Council should approve the course specification when preparing/reforming/developing an educational program and before authorization of the program by higher authority or, in case of reviewing a course to cope with novel topics or to add/ delete some of program academic standards.

### **I. Basic Information**

1. **Program Title:** Write the title of the program (s) which contain the course, and identify if major/ minor/optional, where relevant.
2. **Entity offering the program (s):** Write the name of the entity responsible for program (s)
3. **Department responsible for the course:** Write the name of the department responsible for teaching the course.
4. **Course code:** Write the code (the letter(s) and the number that identify the course in the faculty by – laws). If there is no code, leave the space blank.
5. **Year / Level:** Write the year and/or level of the students attending the course.
6. **No. of hours/units:** Referring to the ordinance / by-laws, write the number of weekly contact hours of the course.
7. **Authorization date of course specification:** Write the year in which the course specification has been authorized.

### **II. Professional Information**

1. **Course aims: Overall course** aims should be expressed as the outcomes to be achieved by students completing the course as significant and assessable qualities.
2. **Intended Learning Outcomes from the course:**  
**Express the ILOs of the course in terms of:**
  - a. **Knowledge:** The main information is to be gained and the concepts that should be understood, applied analyzed, evaluated and created from the course.

- b. **Skills:** The skills to be obtained and should be imitated, manipulated, précised, articulated and naturalized from the course.
  - c. **Attitude:** The concepts that should influence to organize and internalize values.
- 3. Course content:** Write in the main course topics, the number of hours allocated for teaching each topic for lectures as well as for seminars, tutorials, exercises, laboratory work, etc. The topics should comply with the content.
- 4. Teaching and learning methods:** Identify the methods used in delivering the course such as lectures, discussion sessions, information collection from different sources, practical, research assignment, field visits, and case studies etc.
- 5. Student assessment:**
- a. Write down the assessment methods used, such as written examinations (continuous assessment, mid-term, regular, at the end of term) class activities (reports, discussion, practical... etc.). Match the methods used with the course ILOs.
  - b. Time Schedule: identify the percentage of marks allocated to teach assessment tool mentioned above
  - c. Formative only assessment are those, which do not contribute to the overall grading system, but are important in the learning process.
- 6. List of text books and references:**
- a. Lectures notes: When notes are available, specify whether they are prepared in the form of a book authorized by the department or are handed out to the students part by part.
  - b. Essential books (text books): When the lecturer uses one book that covers most of course contents, specify the book.
  - c. When the lecturer uses more than one book, which contains parts of the course specify the books and the topics covered by each.
  - d. General references, journals, periodicals, newspapers, web sites, which enrich the learning process should also be listed.
  - e. The references that should be identified in the above items should be written in a standard way (publisher, edition, year, author(s)...etc. Refer also to locations for reading or buying the specified references.
- 7. Facilities required for teaching and learning:**

The facilities include: appropriate teaching accommodation, including teaching aids, laboratories, laboratory equipment, computers etc, facilities for field work, site visits etc, which are necessary for teaching the course.

## **RESEARCH STUDENT PROGRESS REPORT**

**(To be filled by Master/ MPhil/PhD Research Students on six monthly basis)**

**Period of Reporting:**

1.	Name of the Student with Designation and Address	:	
2.	Contact address, Telephone etc.	:	
3.	Name of supervisor with designation, contact address, telephone etc.	:	
4.	Name of Program, Department and University	:	
5	Research Title/Topic	:	
6	Date of admission	:	
7	Date of completion of Course work (if any)	:	
8	Number of course/credit completed (if any)	:	
9	Cumulative Grade Point Average (CGPA) secured		
10	Research Area	:	
11	Date of Defense on Research Proposal		
12	Date of initiation of research	:	
13	Please outline details of progress in your research since your last report (including any research publications):	:	
14	Work Plan for the next 6 months?	:	
17	Reference of deputation order and period (if applicable)	:	
	i) First time	:	
	ii) Second time		
	iii) Third time		
20	Work summary for last 6 months(including any research publications):	:	
21.	Expected date of completion of degree	:	
22	Progress of Activities: (as per activity plan of the student)	:	

23. Problems/Constraints (if any) :

Student's signature: \_\_\_\_\_ Date: \_\_\_\_\_

Comment on work progress by the supervisor:

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**Signature:** \_\_\_\_\_ **Date:** \_\_\_\_\_

**Head of Department Comments:**

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**Signature:** \_\_\_\_\_ **Date:** \_\_\_\_\_

**Progress of Activities: (as per activity plan of the student)**

Activities	1 <sup>st</sup> six month	2 <sup>nd</sup> six month	3 <sup>rd</sup> six month	4 <sup>th</sup> six month	5 <sup>th</sup> six month	6 <sup>th</sup> six month	7 <sup>th</sup> six month	8 <sup>th</sup> six month

Note: Please submit the activities plan in excel spread sheet as a Gantt Chart

For assistant please consult: [www.ganttchart.com](http://www.ganttchart.com)

## **CONCEPT NOTE ON SELF-ASSESSMENT**

Self-assessment refers to a comprehensive, systematic review of an education institution's activities including academic programs. The SA process allows the organization to discern clearly its strengths and areas in which improvements are required and culminates in planned development actions.

### **Suggested Self-Assessment Process Activities**

#### **A. Preparation Phase**

##### **A1. Appointment of the Self-Assessment Committee**

For a particular self assessment exercise there shall be a Self Assessment Committee. Interested, experienced and qualified faculty members may be the members of the SA committee.

##### **A2. Training and preparation of the SA Committee**

All the SA Committee members may need to have training on the process of conducting SA exercise and its implication of quality education. Training would prepare them to organize and implement SA process activities effectively with a positive attitude.

##### **A3. Support services necessary for SA implementation**

Faculty/Department needs to provide required support services to conduct the SA exercise properly, which may include the following:

- Support staff
- Academic staffs to collect and process information
- Meeting rooms, computers and photocopier
- Office supplies (paper, file folders etc.)
- Adequate funds to meet the costs associated with the SA process activities.

##### **A4. Preparation of the SA process**

- Finalizing the activity schedule
- Selecting the stakeholders to be interviewed for information
- Preparing the survey tools
- Team building

#### **B. Implementation Phase**

- Information gathering: Data collation using the survey tools
- Data analysis and preparing the internal SA report
- Preparation of the Internal SA Report



- Presentation of the Internal SA Report to the QAC or members of the program offering entity (as applicable). SA Committee will finalize the accommodating the outcomes of the discussion during presentation.

### **C. External Peer Review and Validation Phase**

- Selection and appointment of the external peer reviewers
- Delivery of the Internal SA Report to the external peers
- Planning of the external peer site visit
- Facilitating external peer visit with appropriate and agreed schedule and logistics support
- Wrap up on the findings of external peer review

### **D. Submission of External Peer Review Report**

The external peer review panel will submit the final review and validation report as per the ToR.

### **E. Improvement Plan**

- Preparing and Sharing the Improvement plan

It is highly recommended that after finalizing the SA report the findings and recommendation shall be communicated with the concerned faculty members and officials. The SA committee finally will prepare an improvement plan basing on the findings and recommendations in the final SA report and external peer review report for further improvement.

- Submission
- At the end of the SA process the final report along with the improvement plan need to be submitted to the respective authorities including IQAC.
- Endorsement by the Authority

SA committee will appraise the Vice chancellor about the improvement plan for further necessary support to implement the improvement plan. The university authority will provide supports including budget allocation to implement the improvement plan.

## **Program Self Assessment SURVEY QUESTIONNAIRE FOR EMPLOYER**

The purpose of this survey is to obtain employers' input on the quality of education of \_\_\_\_\_ program of \_\_\_\_\_ University. The survey is with regard to \_\_\_\_\_ graduates \_\_\_\_\_ University employed at your organization. Your sincere cooperation would enable us to improve the quality of our graduates as per your requirements.

Name of the Institute/Organization: \_\_\_\_\_

Corporate Office Address \_\_\_\_\_

Email: \_\_\_\_\_ Web: \_\_\_\_\_

Nature:  Academic  Research  Business Enterprise  Others \_\_\_\_\_

Establishment Year: \_\_\_\_\_

**1. Ways of Sourcing for Entry Level Employee**

Sourcing Ways	Previously	Currently
	%	%
Online Application(Ad/Without Ad)		
Direct Hard Copy Application with Ad		
Internship		
Campus Recruitment		
Networking with Reputed Universities		
Other		

**2. Experience Requirement for Entry Level Employees:**

Highly Experienced  Experience for few years  Fresh  Can not be generalized

**3. Please rate the following dimensions of quality of graduates according to importance in recruitment using the following rating scale:**

(5: Extremely important 4: very important 3: Important 2: Less important 1: Not important at all)

No.	Dimensions of Quality	Rating
A. Knowledge		
4.1	Job knowledge (knowledge on subject matter)	
4.2	IT Knowledge	
4.3	Knowledge in designing a system component or process	
B. Communication Skills		
4.4	Oral communication	
4.5	Report writing	
4.6	Presentation skills	
C. Interpersonal Skills		
4.7	Ability to work in teams	
4.8	Leadership	
4.9	Independent thinking/ Self Confidence	
4.10	Self Motivation/ Commitment to job	
4.11	Reliability	
4.12	Appreciation of ethical values	
4.13	Adaptability	
D. Work Skills		
4.14	Time management skills	
4.15	Judgment	
4.16	Problem formulation, solving and decision making skills	
4.17	Collecting and analyzing appropriate data	
4.18	Ability to link theory to Practice	
4.19	Discipline	
4.20	Sense of Responsibility	

4. Please evaluate the following dimensions of competence of graduates ..... program, ... University based on their performance at your organization using the following scale:  
 5 – Excellent    4 – Very Good    3 – Good    2 – Fair    1 – Poor

No.	Dimensions of Quality	
E. Knowledge		
4.1	Job knowledge (knowledge on subject matter)	
4.2	IT Knowledge	
4.3	Knowledge in designing a system component or process	
F. Communication Skills		
4.4	Oral communication	
4.5	Report writing	
4.6	Presentation skills	
G. Interpersonal Skills		
4.7	Ability to work in teams	
4.8	Leadership	
4.9	Independent thinking/ Self Confidence	
4.10	Self Motivation/ Commitment to job	
4.11	Reliability	
4.12	Appreciation of ethical values	
4.13	Adaptability	
H. Work Skills		
4.14	Time management skills	
4.15	Judgment	
4.16	Problem formulation, solving and decision making skills	
4.17	Collecting and analyzing appropriate data	
4.18	Ability to link theory to Practice	
4.19	Discipline	
4.20	Sense of Responsibility	

5. Major weaknesses you have observed in the Graduates of .... Program .....  
University working at your organization
6. Do you provide any training right after recruitment before assigning any responsibility:  
Yes/No  
If Yes, Please specify....
7. General Comments  
Please make additional comments or suggestions, which you think would help to  
strengthen our programs for the preparation of graduates.

**IQACOM Annex 10.2**

**Program Self Assessment  
SURVEY QUESTIONNAIRE FOR ALUMNI**

(To be filled by the Graduates)

This form includes statements for self assessment at program level. You as a graduate are requested to give your sincere comment against each of the statements by putting a tick (√) mark. Your sincere evaluation will be helpful for correct assessment of the program so that next improvement plan may be undertaken. **Be honest!!**

Name of the program: \_\_\_\_\_ Department/Discipline: \_\_\_\_\_

Faculty/School: \_\_\_\_\_ University: \_\_\_\_\_

Degree and service Information:

1. Current status:

- a) Searching Job    b) Employed in an organization    c) Engaged with own business

If the answer is b or c

Name of present organization \_\_\_\_\_

Designation: \_\_\_\_\_

Address: \_\_\_\_\_

2. Year of Passing/graduation:

3. Date of your first employment:

4. Time taken to get the first employment opportunity:

Year	Month

5. Training or any other courses or program attended to get job after graduation from 'X' University     Yes  No    If yes, please specify \_\_\_\_\_

6. Recruitment process you faced to get involved with your present organization

Direct Offer	
Direct Oral Interview	
Written & Oral Interview	
Other (Pls. Specify)	

7. Way of submitting application/CV for current employment

Ways	
Online Application (against Ad/Personal contact)	
Direct Hard Copy Application (against Ad/Personal contact)	
Internship	
Campus Recruitment	
Other	

8. Evaluate the following aspects of the program in terms capacity to provide quality education by marking “√” in the box of corresponding column according to the scale given:

5–Strongly agree; 4–Agree; 3–Neutral; 2–Disagree; 1–Strongly disagree;

A. Governance

Area of Evaluation	5	4	3	2	1
1. Department provided written information in advance about the aims, objectives, learning outcomes, and methods of assessment of the program to the students.					
2. The department provided its student a conducive learning environment in which scholarly and creative achievements were nurtured					
3. Fairness and transparency of academic decisions at all levels were maintained					
4. Academic calendar was maintained properly					
5. Results at all levels were published according to the stipulated time mentioned in the ordinance					
6. Teachers were friendly and cooperative to the students and which made a positive impact over the teaching-learning environment					
7. Students’ opinion regarding academic and extra-academic matters were treated properly					
8. Formal process using structured questionnaire to collect student feedback was in practice.					
9. Website was informative and students could use that in various purposes					

**B. Curriculum**

Area of Evaluation	5	4	3	2	1
1. Curriculum addresses the program objectives and program learning outcomes					
2. Curriculum in the program was too heavy and induces huge pressure					
3. Courses in the curriculum were structured and arranged properly					
4. Teaching strategies stated in curriculum were appropriate for achieving learning outcomes					
5. Assessment strategies were suitable and match to the learning outcomes					
6. The curriculum was effective in enhancing team-working abilities.					
7. The curriculum was effective in developing analytical and problem solving skills.					
8. The curriculum was effective in developing ICT & communication skills.					

**C. Teaching-learning**

Item	5	4	3	2	1
1. The department created such a teaching-learning environment that inspired students to become life-long learner					
2. The teachers provided additional practical ideas from real life situation apart from the textbook					
3. The teachers remained available during the specified office hours and after class for consultations					
4. Teaching-learning approach was interactive and supportive for the achievement of the program learning outcomes					
5. Class size was optimum so that students could interact with the teachers and took the opportunity to participate and feedback for better teaching learning					
6. Technological devices were used as regular practice to improve teaching-learning process					
7. Teaching and learning strategies inspired students for their own learning and to achieve learning outcomes					
8. Diverse teaching-learning methods were used to achieve intended learning outcomes (ILOs)					
9. Lesson plans were designed addressing aims and objectives of each course that guides effective teaching-learning					

D. Assessment

Item	5	4	3	2	1
1. The frequency, methods and criteria of assessment, including the grading criteria were clearly communicated to students on the commencement of the term/semester					
2. Diverse methods and tools were used appropriately to assess the learning outcomes and competencies.					
3. The students were provided feedback on each assessment before the next one.					
4. Students' learning assessment procedures were maintained fairly.					
5. The content of examinations was representative of the course material					

E. Institutional structures and facilities

Item	5	4	3	2	1
1. Classrooms were good in number, well spaced, well equipped and well maintained to ensure effective delivery					
2. Laboratories were good in number, well spaced with relevant well off equipments, competent manpower and properly maintained for conducive teaching and learning					
3. The library had adequate and up-to-date reference materials that meet the academic & research needs					
4. The library provided appropriate ICT-mediated reference materials					
5. Internet facilities with sufficient bandwidth capacity were available					
6. Adequate office room facilities along with relevant equipments and competent manpower were available to support the students' need					
7. Adequate indoor and outdoor healthcare facilities were available					



F. Student Support

Item	5	4	3	2	1
1. There was an arrangement to provide guidance and counseling for academic improvement and to take special care of the weak students					
2. There were scholarships/ grants available to students in case of hardship.					
3. The students were encouraged to involve in co- curricular and extra-curricular activities.					
4. There was placement and career planning office in the university and/or department for maintaining communication with alumni and employers					
5. The placement and career planning office provided effective services to the graduating students					
6. Alumni support is available in internship and academic preparation					
7. There were opportunities and students were encouraged to get involve with community services					

G. Research and Extension

Item	5	4	3	2	1
1. The faculty/department has a policy and a program on research and development					
2. Adequate funds and facilities were provided to sustain undertaken policy and program					
3. Teachers were always eager to hunt research fund for smooth running of the research.					
4. Teachers encouraged and prepared students for engagement in research, scholarship and development.					
5. Research outputs were regularly published in reputed impact factor journal					
6. Research findings in the form of theses, monographs and publications were properly used in current teaching-learning.					
7. Research findings were patented and used for commercial purposes.					
8. The faculty/department was involved in community services with the developed technologies					

H. Staff

Item	5	4	3	2	1
1. The teachers in the department were well qualified					
2. Number of teachers was adequate to run the programs smoothly					
3. Supporting staffs in the laboratories and fields were adequate, efficient and supportive					
4. Academics had enough opportunity to take part in different training program for skill development					
5. Nonacademic staffs had enough opportunity to take part in different training program for skill development					
6. The faculty/department provided mentoring and formative guidance for new academic staff as part of its staff development program.					

9. What are the best aspects of your program?

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10. What aspects of your program could be improved?

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***IQACOM Annex 10.3***

## Program Self Assessment SURVEY QUESTIONNAIRE FOR STUDENTS

(To be filled by the Existing Students)

This form includes statements for self assessment at program level. You as a graduating student are requested to give your sincere comment against each of the statements by putting a tick (√) mark. Your sincere evaluation will be helpful for correct assessment of the program so that next improvement plan may be undertaken. **Be honest!!**

**Name of the program:** \_\_\_\_\_ **Department/Discipline:** \_\_\_\_\_

**Faculty/School:** \_\_\_\_\_ **University:** \_\_\_\_\_

GPA/CGPA Earned

SSC	HSC	1 <sup>st</sup> year		2 <sup>nd</sup> year		3 <sup>rd</sup> year		4 <sup>th</sup> year		5 <sup>th</sup> year		CGPA
		Lev I	Lev II	Lev I	Lev II	Lev I	Lev II	Lev I	Lev II	Lev I	Lev II	
<b>YGPA</b>												

1. Number of classes held to complete the course

Number of Courses Completed by the responding student	Number of Classes held to complete the course	Number of courses
	Less than 15	
	16 to 20 Classes	
	21 to 25 Classes	
	26 to 30 Classes	
	31 to 35 Classes	
	36 and above	

2. Classes are mostly:  Lecture based  Interactive  Both

3. Evaluate the following aspects of the program in terms capacity to provide quality education by marking “√” in the box of corresponding column according to the scale given:

5–Strongly agree; 4–Agree; 3–Neutral; 2–Disagree; 1–Strongly disagree;

**A. Governance**

<b>Area of Evaluation</b>	<b>5</b>	<b>4</b>	<b>3</b>	<b>2</b>	<b>1</b>
1. Department provides written information in advance about the aims, objectives, learning outcomes, and methods of assessment of the program to the students.					
2. The department provides its student a conducive learning environment in which scholarly and creative achievements are nurtured					
3. Fairness and transparency of academic decisions at all levels are maintained					
4. Academic calendar is maintained properly					
5. Results at all levels are published according to the stipulated time mentioned in the ordinance					
6. Teachers are friendly and cooperative to the students and which made a positive impact over the teaching-learning environment					
7. Students' opinion regarding academic and extra-academic matters are treated properly					
8. Formal process using structured questionnaire to collect student feedback is in practice.					
9. Website is informative and students can use that in various purposes					

**B. Curriculum**

<b>Area of Evaluation</b>	<b>5</b>	<b>4</b>	<b>3</b>	<b>2</b>	<b>1</b>
1. Curriculum addresses the program objectives and program learning outcomes					
2. Curriculum in the program is too heavy and induces huge pressure					
3. Courses in the curriculum are structured and arranged properly					
4. Teaching strategies stated in curriculum are appropriate for achieving learning outcomes					
5. Assessment strategies are suitable and match to the learning outcomes					
6. The curriculum is effective in enhancing team-working abilities.					
7. The curriculum is effective in developing analytical and problem solving skills.					
8. The curriculum is effective in developing ICT & communication skills.					

**C. Teaching-learning**

Item	5	4	3	2	1
1. The department creates such a teaching-learning environment that inspired students to become life-long learner					
2. The teachers provides additional practical ideas from real life situation apart from the textbook					
3. The teachers remain available during the specified office hours and after class for consultations					
4. Teaching-learning approach is interactive and supportive for the achievement of the program learning outcomes					
5. Class size is optimum so that students could interact with the teachers and took the opportunity to participate and feedback for better teaching learning					
6. Technological devices are used as regular practice to improve teaching-learning process					
7. Teaching and learning strategies inspires students for their own learning and to achieve learning outcomes					
8. Diverse teaching-learning methods are used to achieve intended learning outcomes (ILOs)					
9. Lesson plans are designed addressing aims and objectives of each course that guides effective teaching-learning					

**D. Assessment**

Item	5	4	3	2	1
1. The frequency, methods and criteria of assessment, including the grading criteria are clearly communicated to students on the commencement of the term/semester					
2. Diverse methods and tools are used appropriately to assess the learning outcomes and competencies.					
3. The students are provided feedback on each assessment before the next one.					
4. Students' learning assessment procedures are maintained fairly.					
5. The content of examinations is representative of the course material					

**E. Institutional structures and facilities**

Item	5	4	3	2	1
1. Classrooms are good in number, well spaced, well equipped and well maintained to ensure effective delivery					
2. Laboratories are good in number, well spaced with relevant well off equipments, competent manpower and properly maintained for conducive teaching and learning					
3. The library has adequate and up-to-date reference materials that meet the academic research needs					
4. The library provides appropriate ICT-mediated reference materials					
5. Internet facilities with sufficient bandwidth capacity are available					
6. Adequate office room facilities along with relevant equipments and competent manpower are available to support the students' need					
7. Adequate indoor and outdoor healthcare facilities were available					

**F. Student Support**

Item	5	4	3	2	1
1. There is an arrangement to provide guidance and counseling for academic improvement and to take special care of the weak students					
2. There are scholarships/ grants available to students in case of hardship.					
3. The students are encouraged to involve in co- and extra-curricular activities.					
4. There is placement and career planning office in the university and/or department for maintaining communication with alumni and employers					
5. The placement and career planning office provides effective services to the graduating students					
6. Alumni support in internship and academic preparation					
7. There are opportunities and students are encouraged to get involve with community services					

**G. Research and Extension**

Item	5	4	3	2	1
1. The faculty/department has a policy and a program on research and development					
2. Adequate funds and facilities are provided to sustain undertaken policy and program					
3. Teachers are always eager to hunt research fund for smooth running of the research.					
4. Teachers encourage and prepare students for engagement in research, scholarship and development.					
5. Research outputs are regularly published in reputed impact factor journal					
6. Research findings in the form of theses, monographs and publications are properly used in current teaching-learning.					
7. Research findings are patented and used for commercial purposes.					
8. The faculty/department is involved in community services with the developed technologies					

**H. Staff**

Item	5	4	3	2	1
1. The teachers in the department are well qualified					
2. Number of teachers is adequate to run the programs smoothly					
3. Supporting staffs in the laboratories and fields are adequate, efficient and supportive					
4. Academics have enough opportunity to take part in different training program for skill development					
5. Nonacademic staffs have enough opportunity to take part in different training program for skill development					
6. The faculty/department provides mentoring and formative guidance for new academic staff as part of its staff development program.					

7. What are the best aspects of your program?

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8. What aspects of your program could be improved?

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**IQACOM Annex 10.4**

**Program Self Assessment  
SURVEY QUESTIONNAIRE FOR NON-ACADEMIC STAFFS**

(To be filled by the non-academic staffs)

This form includes statements for self assessment at program level. You as a non-academic staff are requested to give your sincere comment against each of the statements by putting a tick (√) mark on appropriate grade-column. Your sincere evaluation will be helpful for correct assessment of the program so that next improvement plan may be undertaken. **Be honest!!**

Name: \_\_\_\_\_ Years of experience \_\_\_\_\_

Department: \_\_\_\_\_ Faculty: \_\_\_\_\_

University: \_\_\_\_\_

- I. Evaluate the following aspects of the program in terms capacity to provide quality education by marking “√” in the box of corresponding column according to the scale given:

5–Strongly agree; 4–Agree; 3–Neutral; 2–Disagree; 1–Strongly disagree;

**A. Governance:**

Item	5	4	3	2	1
1. Department provides a brochure to the students in advance consisting a comprehensive guidelines of the program					
2. Fairness and transparency of academic decisions at all levels are maintained					
3. The department provides its student a conducive learning environment in which scholarly and creative achievements are nurtured					
4. Academic calendar is maintained properly					
5. Results at all levels are published in compliance with the ordinance					
6. Documentations (decisions of committees, class attendance registers, questions, continuous assessment answer scripts, marks, examination results, students’ progress etc) are maintained properly					
7. Perfect evaluating system for nonacademic staffs’ performance is prevailing					
8. Teachers are friendly and cooperative to the staffs and which make a positive impact over the teaching-learning environment					
9. University has defined procedures for all activities performed					

**B. Institutional structure and facilities**

Item	5	4	3	2	1
8. Classrooms are good in number, well spaced, well equipped and well maintained to ensure effective delivery					
9. Laboratories are good in number, well spaced with relevant well off equipments and properly maintained for conducive teaching and learning					
10. Internet facilities with sufficient bandwidth capacity are available					
11. Adequate office room facilities along with relevant equipments and competent manpower are available					

**C. Staff: Recruitment and development**

Item	5	4	3	2	1
1. Nonacademic staffs are competent and responsive					
2. Nonacademic staffs have enough opportunity to take part in different training program for skill development					
3. The Faculty/Department has policy to complement non-academic staffs related to service, development and appraisal.					
4. The faculty/department provides mentoring and formative guidance for new non-academic staff as part of its staff development program.					
5. The recruitment and up-gradation policy is good enough and inspiring					
6. Competence, experience and sincerity are the only criteria for promotion and up-gradation					

**D. Students support**

Areas of Evaluation	5	4	3	2	1
1. The faculty/department maintains students progress documents and offer appropriate developmental or remedial support to assist students who need such support					
2. The faculty/department maintains active linkages with its alumni and employers.					
3. Students have access to appropriate and adequate support services, such as physical, social, financial and recreational facilities, and counseling and health services.					
4. Students and staffs maintain a good relationship that makes teaching-learning environment healthy					

2. What are the major weaknesses you have observed in the department

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3. Your suggestion to improve the teaching learning environment:

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## Program Self Assessment SURVEY QUESTIONNAIRE FOR ACADEMIC STAFF

(To be filled by the faculty members)

This form includes statements for self assessment at program level. You as a teacher are requested to give your sincere comment against each of the statements by putting a tick (√) mark on appropriate grade-column. Your sincere evaluation will be helpful for meaningful assessment of the program so that next improvement plan may be undertaken. **Be honest!!**

**Name:** \_\_\_\_\_ **Years of experience:** \_\_\_\_\_

**Department/Discipline:** \_\_\_\_\_ **Faculty/School:** \_\_\_\_\_

**University:** \_\_\_\_\_

1. Evaluate the following aspects of the program in terms capacity to provide quality education by marking “√” in the box of corresponding column according to the scale given:

5–Strongly agree; 4–Agree; 3–Neutral; 2–Disagree; 1–Strongly disagree;

### A. Governance

Areas of Evaluation	5	4	3	2	1
1. Program aims, objectives and Learning outcomes are clear enough					
2. The program objectives and learning outcomes are periodically reviewed in consultation with stakeholders (students, alumni, employers, civil society organizations and international peers etc.)					
3. Peer observation, mentoring and feed back is in practice					
4. Department provides student handbook containing the program aims, objectives, learning outcomes, and methods of assessment of the students.					
5. Fairness and transparency of academic decisions at all levels are maintained					
6. Decision making procedure in the discipline/department is participatory					
7. The department provides student a conducive learning environment in which scholarly and creative achievements are nurtured.					
8. Academic calendar is maintained properly					
9. Results at all levels are published in compliance with the ordinance					
10. Documentations (decisions of committees, class attendance registers, questions, continuous assessment answer scripts, marks, examination results, students’ progress etc) are maintained properly					

11. Definition of accountability lines for academic staff and non-academic staff is clear					
12. KPIs are well defined and well communicated					
13. Perfect evaluating system for teaching staffs' performance is prevailing.					
14. Students' opinion regarding academic and extra-academic matters are treated properly					
15. Teachers are friendly and cooperative to each other and which make a positive impact over the teaching-learning environment					
16. Internal quality assurance unit is working					

**B. Curriculum Design and Review**

Areas of Evaluation	5	4	3	2	1
1. Curriculum addresses the program objectives and program learning outcomes					
2. Inputs from the relevant stakeholders are taken into consideration in designing curriculum					
3. Curriculum consists course learning outcomes, content, teaching strategy and assessment strategy					
4. Curriculum evaluation is done regularly following appropriate procedures with the involvement of students, teachers and other stakeholders.					
5. Volume of curriculum in terms of study load is optimum for achieving learning outcomes.					
6. Stated teaching strategies are appropriate for achieving learning outcomes					
7. Assessment strategies are suitable and match to the learning outcomes					
8. Current curriculum is reviewed and updated regularly in consultation with the stakeholders (students, alumni, employers, civil society organizations and international peers etc.)					
9. Current curriculum is enough to develop students' creativity, positive attitude with ethical standard.					

**C. Teaching Learning**

<b>Areas of Evaluation</b>	<b>5</b>	<b>4</b>	<b>3</b>	<b>2</b>	<b>1</b>
1. Size of the class is good for better teaching learning					
2. Technological devices are available for use in teaching					
3. Students are sincere and committed to learning					
4. Teaching and learning strategies inspires students for their own learning					
5. Diverse teaching-learning methods are used to achieve intended learning outcomes (ILOs)					
6. Multiple techniques are used to develop communication skills					
7. Interactive teaching-learning approach supports the achievement of the program learning outcomes					
8. Co-curricular activities which enrich students' experiences, and foster personal development and responsibility are encompassed in teaching-learning process					
9. Lesson plans are designed addressing aims and objectives of each course that guides effective teaching-learning					

**D. Learning Assessment**

1. Both summative and formative assessment strategies are followed	<b>5</b>	<b>4</b>	<b>3</b>	<b>2</b>	<b>1</b>
2. The frequency, methods and criteria of assessment, including the grading criteria are clearly communicated to students on the commencement of the term/semester					
3. Diverse methods and tools are used appropriately to assess the learning outcomes and competencies.					
4. The students are provided feedback on each assessment before the next one.					
5. The learning assessment methods ensure the validity, reliability, consistency					
6. The assessment system is reviewed at appropriate scheduled intervals.					
7. The review of the assessment system is done in consultation with external experts					

**E. Structure and Facilities**

<b>Areas of Evaluation</b>	<b>5</b>	<b>4</b>	<b>3</b>	<b>2</b>	<b>1</b>
1. Classrooms are good in number, well spaced, well equipped and well maintained to ensure effective delivery					
2. Laboratories are good in number, well spaced with relevant well off equipments and properly maintained for conducive teaching and learning					
3. The library has adequate and up-to-date reference materials that meet the academic research needs					
4. The library provides appropriate ICT-mediated reference materials					
5. Internet facilities with sufficient bandwidth capacity are available					
6. Adequate office room facilities along with relevant equipments and competent manpower are available					

**F. Research & Extension Services**

<b>Areas of Evaluation</b>	<b>5</b>	<b>4</b>	<b>3</b>	<b>2</b>	<b>1</b>
1. The faculty/department has a policy and a program on research and development					
2. Adequate funds and facilities are provided to sustain undertaken policy and program					
3. Teachers are always eager to hunt research fund for smooth running of the research.					
4. Teachers encourage and prepare students for engagement in research, scholarship and development.					
5. Research outputs are regularly published in reputed impact factor journal					
6. Research findings in the form of theses, monographs and publications are properly used in current teaching-learning.					
7. Research findings are patented and used for commercial purposes.					
8. The faculty/department is involved in community services with the developed technologies					

**G. Students Supports**

<b>Areas of Evaluation</b>	<b>5</b>	<b>4</b>	<b>3</b>	<b>2</b>	<b>1</b>
1. The faculty/department maintains students progress documents and offer appropriate developmental or remedial support to assist students who need such support					
2. The faculty/department maintains active linkages with its alumni and employers.					
3. The faculty/department encourages the alumni to play a role in preparing the students for their professional future, and to provide linkages with industry and the professions.					
4. The faculty/department encourages the alumni to play a role in the development of the program.					
5. The faculty/department facilitates students' activities and student organization to gain basic managerial and leadership experience, to encourage character building, to inculcate a sense of belonging and responsibility, and to promote active citizenship.					
6. The faculty/department encourages students and provides adequate facilities to be involved in publication activities					
7. The faculty/department has a policy and programs for active student participation in areas that affect their welfare, for example, peer counseling, co-curricular activities, and community engagement.					
8. Students have access to appropriate and adequate support services, such as physical, social, financial and recreational facilities, and counseling and health services.					
9. There has a mechanism for students to minimize grievances and make appeals relating to student support services.					
10. Student support services are evaluated regularly to ensure their adequacy, effectiveness and safety.					
11. The faculty/department provides academic and career counseling to the students by qualified staff and issues with confidentialities					



**H. Staff**

<b>Areas of Evaluation</b>	<b>5</b>	<b>4</b>	<b>3</b>	<b>2</b>	<b>1</b>
1. Teachers work load in teaching and research is justified					
2. Academics have enough opportunity to take part in different training program for skill development					
3. Nonacademic staffs are competent and responsive					
4. Nonacademic staffs have enough opportunity to take part in different training program for skill development					
5. Teacher student ratio is justified					
6. The Faculty/Department has policy to complement academic staffs related to service, development and appraisal.					
7. The faculty/department provides mentoring and formative guidance for new academic staff as part of its staff development program.					
8. The faculty/department provides necessary training, tools and technology for self-learning, access to information and for communication to the academic staffs					

**I. Process Control Internal (Quality Assurance and Continuous quality Improvement)**

<b>Areas of Evaluation</b>	<b>5</b>	<b>4</b>	<b>3</b>	<b>2</b>	<b>1</b>
1. The faculty/department supports the University policies, procedures and mechanisms for regular reviewing and updating of its structures, functions, strategies and core activities to ensure continuous quality improvement.					
2. The faculty/department develops a system to review its programs from time to time.					
3. The faculty/department has already initiated a review of the program, implement its recommendations, and record the achievements accomplished in the quality improvement of the program.					
4. The Dean or Head of the faculty/department plays a prominent role in the policy processes of the faculty/department.					
5. The faculty/department embraces the spirit of continual quality improvement taking into consideration past experiences, present conditions, and future possibilities.					
6. The faculty/department ensures that courses are taken by the teachers uniformly throughout the term					
7. The faculty/department always tries to maintain academic calendar					
8. The faculty/department ensures the culture as a usual practice for evaluation of the teachers by the students and its documentation					

2. Major weaknesses you have observed in the quality of your graduates

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3. Your suggestion to improve the quality of graduates:

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## **Program Self Assessment REPORT FORMAT**

<b>Chapter 1: Introduction</b> 1.1 Significance of program Self Assessment 1.2 Process of Assessment 1.3 Overview of the university 1.4 Mission and objectives of the university 1.5 Overview of the program offering entity 1.6 Intended Learning Outcomes of the program 1.7 Graduate Profile
<b>Chapter 2: Governance</b> 2.1 Program Management 2.2. Academic Documentation 2.3 Peer Observation & Feedback Process 2.4 Internal Quality Assurance Process 2.5 Key Performance Indicators (KPIs)
<b>Chapter 3: Curriculum Design &amp; Review</b> 3.1 Need Assessment 3.2 Curriculum Design 3.3 Curriculum Review Process 3.4 Curriculum Alignment /Skill Mapping 3.5 Gaps in Curriculum : Adequacy to Meet the Needs
<b>Chapter 4: Student</b> 4.1 Admission 4.2 Progress and Achievement
<b>Chapter 5: Teaching Learning and Assessment</b>
<b>Chapter 6: Staff</b> 6.1 Recruitment 6.2 Staff Development
<b>Chapter 7: Physical Facilities</b>
<b>Chapter 8: Student Support Services</b> 8.1 Co-curricular and Extra-curricular Activities 8.2 Academic Guidance and Counseling

8.3 Career & Placement 8.4 Alumni Services 8.5 Community Services
<b>Chapter 9: Research and Extension</b>
<b>Chapter 9: Process Control</b>
<b>Chapter 10: SWOT Analysis</b> 10.1 Strengths 10.2 Weaknesses 10.3 Opportunities 10.4 Threats
<b>Chapter 11: Conclusion and Improvement Plan</b> 11.1 Strategic plan for further improvement of the institution 11.2 Conclusion
<b>Appendix</b>

**IQACOM Annex 10.7**

**Institutional Self Assessment  
SURVEY QUESTIONNAIRE FOR ACADEMIC STAFF**

**(To be filed by the Faculty Members)**

This form includes statements for self assessment at institution level. You are requested to give your sincere comment against each of the statements by putting a tick (√) mark on appropriate box. Your sincere evaluation will be helpful for perfect assessment of the institution, which in effect, would help to improve the performance of the institution further.

1. Evaluate the following aspects of the university in terms capacity to provide quality education by marking “√” in the box of corresponding column according to the scale given.

5–Strongly agree      4–Agree      3–Neutral      2–Disagree      1–Strongly disagree

**A. Governance**

Areas of Evaluation	5	4	3	2	1
<b>A.1 Mission and Objectives</b>					
1. Mission and objectives of the university are clearly defined					
2. Mission and objective of the university are well communicated					
3. University acts according to the mission and objectives					
<b>A.2 Governance Structure</b>					
4. Statutory bodies under the act/ordinance are functioning properly					
5. University website is well designed with easy access to information					
6. Students union/association is active to protect rights of the students					
<b>A.3 Policy and Management</b>					
7. Decision making procedure in the university is democratic/participatory					
8. Documentations are maintained properly					
9. University provide handbook with details of academic programs and rules regulations					
10. Fairness and transparency of academic decisions at all levels are maintained (such as admission, publication of results etc.)					

11. University authority is sincere enough to maintain sound environment to teaching learning.					
12. Academic calendar is maintained properly					
13. Results at all levels are published in compliance with the ordinance					
14. University has policy and mechanism to entertain the disabled students for higher education					
15. University has very attractive service rules and career development opportunities to retain the competent and qualified staff members					
16. University has set policy to resolve students grievance in case of assessment					
17. Students' opinion regarding academic and extra-academic matters are treated properly					
<b>A.4 Accountability &amp; Transparency</b>					
18. Definition of accountability lines for academic staff and non-academic staff is clear enough and well communicated					
19. Recruitment process is good to select the best candidates with fairness and transparency					
20. Key performance indicators (KPIs) are well defined for both academic and non-academic staff members					
21. Staff performance appraisal process is executed with fairness and transparency					
<b>A.5 Autonomy</b>					
22. Internal QA system is functioning with enough autonomy					
23. Teachers are performing in accordance of university rules with out interference					

**B. Curriculum Design and Review**

Areas of Evaluation	5	4	3	2	1
1. Inputs from the relevant stakeholders are taken into consideration in designing curriculum					
2. Curriculum consists aims, objectives, learning outcomes, content, teaching strategy and assessment strategy					
3. Curriculum review is done regularly following appropriate procedures and documentation.					

**C. Physical Facilities**

Areas of Evaluation	5	4	3	2	1
1. Classrooms are good in number, well spaced, well equipped and well maintained to ensure effective delivery					
2. Laboratories are good in number, well spaced with relevant well off equipments and properly maintained for conducive teaching and learning					
3. The library has adequate and up-to-date reference materials that meet the academic research needs					
4. The library provides appropriate ICT-mediated reference materials					
5. Internet facilities with sufficient bandwidth capacity are available					
6. Adequate office room facilities along with relevant equipments and competent manpower are available					
7. Enough facilities of Sports and culture					
8. Enough medical facilities for the university community					

**D. Research & Extension Services**

Areas of Evaluation	5	4	3	2	1
1. The university has policy and program on research and development					
2. University has institutional set up to coordinate advanced research					
3. Adequate funds and facilities are provided to innovative research and development					
4. Capacity to hunt research fund for smooth running of the research.					
5. University encourages students for engagement in research, scholarship and development.					
6. Research outputs are regularly published in reputed impact factor journal					
7. Research findings in the form of theses, monographs and publications are properly preserved used in current teaching-learning.					
8. Research findings are patented and used for commercial purposes.					
9. The university is involved in community services with the output of research and development activities					

**E. External Relations**

<b>Areas of Evaluation</b>	<b>5</b>	<b>4</b>	<b>3</b>	<b>2</b>	<b>1</b>
1. The university maintains active institutional linkages with research and academic institutions at national and international levels.					
2. University has set policy and mechanism for university industry collaboration					
3. The university has institutional set up for community services					
4. University encourages to involve in consultancy services					

**F. Staff**

<b>Areas of Evaluation</b>	<b>5</b>	<b>4</b>	<b>3</b>	<b>2</b>	<b>1</b>
1. Teachers work load in teaching and research is justified					
2. Academics have enough opportunity including financial assistance to take part in different training program, workshop, conferences etc. for professional skill development					
3. University has provision to arrange experience sharing sessions to transfer the knowledge and experience from attending training, workshop and conferences.					
4. Staffs are competent and responsive					
5. Teacher student ratio is justified					
6. The university provides necessary training, tools and technology for self-learning, access to information and for communication to the academic staffs					
7. University has resourceful and effective staff development center					
8. Peer observation, mentoring and feedback are in practice					



**G. Process Control (Internal Quality Assurance and Continuous quality Improvement)**

Areas of Evaluation	5	4	3	2	1
1. University has effective quality assurance system in action.					
2. University authority is committed to ensure good practices in levels of administration					
3. University encourages innovative thinking and participation in QA activities					
4. The university nurtures the spirit of continual quality improvement taking past experiences, present conditions, and future possibilities into consideration.					
5. University has a quality culture with commitment to continuous improvement					
6. University rewards the staff members who are maintaining quality assurance and evidences of good practices.					
7. The university evaluates performance to check whether the achievements are in line with the expected outcomes and mission					

2. Major weaknesses of your institution that you have observed:

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3. Your suggestion to improve the quality of graduates:

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## **Institutional Self Assessment SURVEY QUESTIONNAIRE FOR EXTERNAL STAKEHOLDERS**

**(To be filled by the employers and community people)**

This form includes statements for self assessment at institution level. You are requested to give your sincere comment against each of the statements by putting a tick (√) mark on appropriate box. Your sincere evaluation will be helpful for perfect assessment of the institution, which in effect, would help to improve the performance of the institution further.

1. Evaluate the following aspects of the university in terms capacity to provide quality education by marking “√” in the box of corresponding column according to the scale given.

5–Strongly agree      4–Agree      3–Neutral      2–Disagree      1–Strongly disagree

<b>Areas of Evaluation</b>	<b>5</b>	<b>4</b>	<b>3</b>	<b>2</b>	<b>1</b>
1. The mission statement of the university is defined in accordance with social and national context					
2. University website is well designed with easy access to information					
3. The university is responsive to the needs of the community.					
4. The university is responsive to the needs of the job market					
5. The university has a clear idea about the relevant					
6. demands and needs of the students/parents					
7. The university has a clear idea about the relevant					
8. demands and needs of the emerging global settings					
9. The university has clear guidelines on consultancy and					
10. community outreach					
11. The university has a structured method for obtaining					
12. feedback from external stakeholders					
13. University has set policy and mechanism for university industry collaboration					

14. The university maintains active institutional linkages with research and academic institutions at national and international levels.					
15. University has set policy and mechanism for university industry collaboration					
16. The university has institutional set up for community services					
17. University encourages to involve in consultancy services					

2. Major weaknesses of the university ..... that you have observed

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3. Your suggestion to improve the capacity of the university:

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## **Institutional Self Assessment SURVEY QUESTIONNAIRE FOR THE NON-ACADEMIC STAFF**

This form includes statements for self assessment at institution level. You are requested to give your sincere comment against each of the statements by putting a tick (√) mark on appropriate box. Your sincere evaluation will be helpful for perfect assessment of the institution, which in effect, would help to improve the performance of the institution further.

1. Evaluate the following aspects of the university in terms capacity to provide quality education by marking “√” in the box of corresponding column according to the scale given.

5–Strongly agree    4–Agree    3–Neutral    2–Disagree    1–Strongly disagree

### **A. Governance**

Areas of Evaluation	5	4	3	2	1
<b>A.1 Mission and Objectives</b>					
1. Mission and objectives of the university are clearly defined					
2. Mission and objectives of the university are well communicated					
3. University acts to achieve the mission and objectives					
<b>A.2 Governance Structure</b>					
4. Statutory bodies under the act/ordinance are functioning properly					
5. University website is well designed with easy access to information					
6. Students union/association is active to protect rights of the students					
<b>A.3 Policy and Management</b>					
7. Decision making procedure in the university is democratic/participatory					
8. Documentations are maintained properly					
9. Fairness and transparency of academic decisions at all levels are maintained (such as admission, publication of results etc.)					
10. University authority is sincere enough to maintain sound environment to teaching learning.					
11. University has very attractive service rules and career development opportunities to retain the competent and qualified staff members					

12. University has set policy to resolve students grievance in case of assessment					
<b>A.4 Accountability &amp; Transparency</b>					
13. Definition of accountability lines for academic staff and non-academic staff is clear enough and well communicated					
14. Recruitment process is good to select the best candidates with fairness and transparency					
15. Key performance indicators (KPIs) are well defined for both academic and non-academic staff members					
16. Staff performance appraisal process is executed with fairness and transparency					
<b>A.5 Autonomy</b>					
17. Internal QA system is functioning with enough autonomy					
18. Staffs are performing in accordance of university rules with out interference					

**B. Physical Facilities**

Areas of Evaluation	5	4	3	2	1
1. The library has adequate and up-to-date reference materials that meet the academic research needs					
2. The library provides appropriate ICT-mediated reference materials					
3. Internet facilities with sufficient bandwidth capacity are available					
4. Adequate office room facilities along with relevant equipments and competent manpower are available					
5. Enough medical facilities for the university community					

**C. Staff**

Areas of Evaluation	5	4	3	2	1
1. Have enough opportunity to take part in staff training program for professional skill development					
2. Staffs are competent and responsive					
3. The university provides necessary tools and technology for effective performance					
4. University has resourceful and effective staff development center					
5. Peer observation, mentoring and feedback are in practice					

**D. Process Control (Internal Quality Assurance and Continuous quality Improvement)**

Areas of Evaluation	5	4	3	2	1
1. University has effective quality assurance system in action.					
2. University authority is committed to ensure good practices in levels of administration					
3. University encourages innovative thinking and participation in QA activities					
4. University has a quality culture with commitment to continuous improvement					
5. University rewards the staff members who are maintaining quality assurance and evidences of good practices.					

2. What are the major weaknesses you have observed in the quality of your graduates

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3. Your suggestion to improve the quality of graduates:

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***IQACOM Annex 10.10***

**Institutional Assessment  
(SURVEY QUESTIONNAIRE FOR THE STUDENTS)**

This form includes statements for self assessment at institution level. You are requested to give your sincere comment against each of the statements by putting a tick (√) mark on appropriate box. Your sincere evaluation will be helpful for perfect assessment of the institution, which in effect, would help to improve the performance of the institution further.

1. Evaluate the following aspects of the university in terms capacity to provide quality education by marking “√” in the box of corresponding column according to the scale given.

5–Strongly agree    4–Agree    3–Neutral    2–Disagree    1–Strongly disagree

**A. Governance**

Areas of Evaluation	5	4	3	2	1
<b>A.1 Mission and Objectives</b>					
1. Mission and objectives of the university are clearly defined					
2. Mission and objective of the university are well communicated					
<b>A.2 Governance Structure</b>					
3. University website is well designed with easy access to information					
4. Students union/association is active to protect rights of the students					
<b>A.3 Policy and Management</b>					
5. Documentations are maintained properly					
6. University provide handbook with details of academic programs and rules regulations					
7. Fairness and transparency of academic decisions at all levels are maintained (such as admission, publication of results etc.)					
8. University authority is sincere enough to maintain sound environment to teaching learning.					
9. Academic calendar is maintained properly					
10. University has set policy to resolve students grievance in case of assessment					
11. Students’ opinion regarding academic and extra-academic matters are treated properly					

**B. Physical Facilities**

Areas of Evaluation	5	4	3	2	1
1. Classrooms are good in number, well spaced, well equipped and well maintained to ensure effective delivery					
2. Laboratories are good in number, well spaced with relevant well off equipments and properly maintained for conducive teaching and learning					
3. The library has adequate and up-to-date reference materials that meet the academic research needs					
4. The library provides appropriate ICT-mediated reference materials					
5. Internet facilities with sufficient bandwidth capacity are available					
6. Enough facilities of Sports and culture					
7. Enough medical facilities for the university community					

**A. Research & Extension Services**

Areas of Evaluation	5	4	3	2	1
1. The university has policy and program on research and development					
2. University has institutional set up to coordinate advanced research					
3. Adequate funds and facilities are provided to innovative research and development					
4. Capacity to hunt research fund for smooth running of the research.					
5. University encourages students for engagement in research, scholarship and development.					
6. Research findings in the form of theses, monographs and publications are properly preserved used in current teaching-learning.					
7. The university is involved in community services with the output of research and development activities					



**B. Students Supports**

<b>Areas of Evaluation</b>	<b>5</b>	<b>4</b>	<b>3</b>	<b>2</b>	<b>1</b>
1. The university maintains active institutional linkages with its alumni and employers.					
2. University has set policy and mechanism for academic guidance and counseling					
3. The university has institutional set up for placement and career counseling to the students.					
4. University provides financial assistance to the meritorious and distressed students					
5. Concerned offices of the university are sincere and cooperative in handling the students affairs					

**C. Process Control (Internal Quality Assurance and Continuous quality Improvement)**

<b>Areas of Evaluation</b>	<b>5</b>	<b>4</b>	<b>3</b>	<b>2</b>	<b>1</b>
1. University has effective quality assurance system in action.					
2. University authority is committed to ensure good practices in levels of administration					
3. The university nurtures the spirit of continual quality improvement taking past experiences, present conditions, and future possibilities into consideration.					
4. University has a quality culture with commitment to continuous improvement					
5. University rewards students for extraordinary performances in academic and non academic affairs					

1. What are the major weaknesses you have observed in the quality of your graduates

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2. Your suggestion to improve the quality of graduates:

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**IQACOM Annex 10.11**

**Institutional Assessment  
SURVEY QUESTIONNAIRE FOR THE GRADUATES**

This form includes statements for self assessment at institution level. You are requested to give your sincere comment against each of the statements by putting a tick (√) mark on appropriate box. Your sincere evaluation will be helpful for perfect assessment of the institution, which in effect, would help to improve the performance of the institution further.

1. Evaluate the following aspects of the university in terms capacity to provide quality education by marking “√” in the box of corresponding column according to the scale given.

5–Strongly agree      4–Agree      3–Neutral      2–Disagree      1–Strongly disagree

**A. Governance**

Areas of Evaluation	5	4	3	2	1
<b>A.1 Mission and Objectives</b>					
1. Mission and objectives of the university were clearly defined					
2. Mission and objective of the university were well communicated					
<b>A.2 Governance Structure</b>					
3. University website was well designed with easy access to information					
4. Students union/association was active to protect rights of the students					
<b>A.3 Policy and Management</b>					
5. Documentations were maintained properly					
6. University provided handbook with details of academic programs and rules regulations					
7. Fairness and transparency of academic decisions at all levels were maintained (such as admission, publication of results etc.)					
8. University authority was sincere enough to maintain sound environment to teaching learning.					
9. Academic calendar was maintained properly					
10. University had set policy to resolve students grievance in case of assessment					
11. Students’ opinion regarding academic and extra-academic matters were treated properly					

**B. Physical Facilities**

Areas of Evaluation	5	4	3	2	1
1. Classrooms were good in number, well spaced, well equipped and well maintained to ensure effective delivery					
2. Laboratories were good in number, well spaced with relevant well off equipments and properly maintained for conducive teaching and learning					
3. The library had adequate and up-to-date reference materials that meet the academic research needs					
4. The library provided appropriate ICT-mediated reference materials					
5. Internet facilities with sufficient bandwidth capacity were available					
6. Enough facilities of Sports and culture					
7. Enough medical facilities for the university community					

**C. Research & Extension Services**

Areas of Evaluation	5	4	3	2	1
1. The university had policy and program on research and development					
2. University had institutional set up to coordinate advanced research					
3. Adequate funds and facilities were provided to innovative research and development					
4. Capacity to hunt research fund for smooth running of the research.					
5. University encouraged students for engagement in research, scholarship and development.					
6. Research findings in the form of theses, monographs and publications were properly preserved used in current teaching-learning.					

7. The university was involved in community services with the output of research and development activities					
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**D. Students Supports**

Areas of Evaluation	5	4	3	2	1
1. The university maintained active institutional linkages with its alumni and employers.					
2. University had set policy and mechanism for academic guidance and counseling					
3. The university had institutional set up for placement and career counseling to the students.					
4. University provided financial assistance to the meritorious and distressed students					
5. Concerned offices of the university were sincere and cooperative in handling the students affairs					

**E. Process Control (Internal Quality Assurance and Continuous quality Improvement)**

Areas of Evaluation	5	4	3	2	1
1. University had effective quality assurance system in action.					
2. University authority was committed to ensure good practices in levels of administration					
3. The university nurtured the spirit of continual quality improvement taking past experiences, present conditions, and future possibilities into consideration.					
4. University had a quality culture with commitment to continuous improvement					
5. University rewarded the students for extraordinary performances in academic and non-academic affairs					

1. What are the major weaknesses you have observed in the quality of your graduates

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2. Your suggestion to improve the quality of graduates:

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## **INSTITUTIONAL SELF ASSESSMENT REPORT FORMAT**

<p><b>Chapter 1: Introduction</b></p> <p>1.1 Significance of Institutional Self Assessment</p> <p>1.2 Process of Assessment</p> <p>1.3 Overview of the university</p> <p><b>1.4 Mission and objectives of the university</b></p>
<p><b>Chapter 2: The core activities</b></p> <p>2.1 Education</p> <p>2.2 Research</p> <p>2.3 Outreach Activities</p>
<p><b>Chapter 3: Quality assurance</b></p> <p>3.1 Internal Quality Assurance system</p> <p>3.2 Benchmarking</p>
<p><b>Chapter 4: Achievements</b></p> <p>4.1 Achieved outcomes (graduates)/graduate profile</p> <p>4.2. Research out put</p> <p>4.3. Community outreach</p>
<p><b>Chapter 5: Stakeholder Opinion</b></p> <p>5.1. Students</p> <p>5.2. Alumni (graduates)</p> <p>5.3. Employers &amp; Community</p> <p>5.4 Academic and non-academic staffs</p>
<p><b>Chapter 6 SWOT analysis</b></p> <p>6.1 Strengths</p> <p>6.2 Weaknesses</p> <p>6.3 Opportunities</p> <p>6.4 Threats</p>
<p><b>Chapter 7: Conclusion and Strategic Plan</b></p> <p>7.1 Strategic plan for further improvement of the institution</p> <p>7.2 Conclusion</p>
<p><b>Appendix</b></p>

## **GUIDELINES FOR PEER-REVIEWERS**

### **Introduction**

1. The UGC through its QA Unit wishes to ensure that the peer-review process makes a full contribution to its quality assurance and accreditation process. In this context the role of the peer-reviewers is multifaceted and demanding. The reviewers can assist the universities to develop their quality assurance systems and for continual improvement of their standards.
2. This note offers guidance to the reviewers and other participants in the peer-review process on the standards of conduct expected.
3. The QA Unit will monitor and evaluate the effectiveness of the review process.

### **Code of Conduct**

4. The reviewer is expected to:
  - Take all reasonable steps to know and understand the published quality assurance and accreditation process and in particular the methods of developmental engagements and accreditation.
  - Ensure that they remain up to date with any developments in the published method, including attending conferences and workshops arranged for peer-reviewers by the Unit.
  - Conduct their roles and activities in reviews in a way that fully respects the published method and protocols, including reaching justifiable evidence- based judgments.
  - Undertake their part in review in a way that respects the mission of the entity they are visiting and avoids bringing to the process any prejudices.
  - Show courtesy to all colleagues with whom they work in the review team and in the institution, including respect for their views and opinion.
  - Complete the assignment on time and to a high professional standard, drawing upon the hand book and the guidance provided in the review.
  - Respect the confidences shared in the course of the review, so that they do not divulge any information on the self-evaluation, the findings of the review team or the conduct of the review to any other university, any member of the public or the media.
  - Contribute a requested by the QA Unit, to the evaluation of the process by offering constructive comment of their experiences as a reviewer.
  - It is expected that peer reviewers will provide the entity with judgments basing on the review observations for all the QA areas and overall.



## **Internal Audit Scale**

### **Internal Academic Audit**

#### Rating Scale

Rating	Description
5 (Excellent)	There are <b>clear</b> and <b>documented</b> policies, procedures and strategies, which are <b>consistently</b> followed across the school. Conformance to these policies, procedures or strategies is being monitored and action taken for improvement.
4 (Very Good)	There are <b>clear</b> and <b>documented</b> policies, procedures and strategies, which are <b>mostly followed</b> . Conformance to these policies, procedures or strategies is being monitored and action taken for improvement.
3 (Good)	<b>Some form</b> of process takes place, but policies/procedures/strategies are <b>not clearly stated or documented</b> . Adherence and monitoring takes place but are <b>not consistent</b> .
2 (Poor)	Process takes place <b>in isolation</b> . There are <b>no clear</b> policies/procedures/strategies guiding the implementation of the process. Monitoring is not consistent.
1 (Unsatisfactory)	<b>No evidence</b> of any policy/procedure/strategies. Process or action takes place on <b>ad-hoc</b> basis when necessary.

## TEMPLATE OF FACULTY/DEPARTMENT QUALITY ASSURANCE REPORT

(Will be prepared by the degree offering entity and forwarded to IQAC through Faculty QA Cell)

### QUALITY ASSURANCE REPORT (QAR)

(Name of the Entity with address and website)

Basic Information

1.1 Date of Establishment:

1.2 Total Number of Staffs:

Items	Male		Female		Total
	Full time	Part time	Full time	Part time	
Teachers					
Teachers with PhD					
Administrative staff					
Support Staff					
<b>Total</b>					

1.3 Number of Faculty Positions:

Position	Total Faculty	Recruited During the Year	Position Remains Vacant
Lecturer			
Assistant Professor			
Associate Professor			
Professor			
<b>Total</b>			

1.4 Faculty Members participation in conferences and symposia during the year:

<b>Status</b>	<b>No. of Faculty</b>	<b>International level</b>	<b>National level</b>	<b>Total</b>
Attended Seminars/ Workshops				
Presented papers				
Resource Persons				

1.5 Total Number of Students

<b>Items</b>	<b>Male</b>	<b>Female</b>	<b>Total</b>
Students:			
International students			
<b>Total</b>			

1.6 Academic Programs of the Entity:

<b>Programs</b>	<b>Existing Programs</b>	<b>Programs added during the year</b>
Programs		
PhD		
M. Phil		
Masters		
Under Graduate		
PG Diploma		
Advanced Diploma		
Diploma		
Certificate		
Others		
<b>Total</b>		

1.7 Accreditation Details (if any)

<b>Name of the Programs</b>	<b>Year of Accreditation</b>	<b>Validity Period</b>

1.8 Pattern of Program Management : Trimester /Semester /Annual

1.9 Development in Infrastructure Facilities:

<b>Facilities</b>	<b>Existing</b>	<b>Created during this year</b>	<b>Total</b>
Class rooms			
Laboratories			
Seminar Halls			
No. of important equipments purchased during the current year.			
Others (If any)			

1.10 Scholarships and Financial Support to the students:

	<b>Number of students benefitted</b>	<b>Amount</b>
Financial support from institution		
Financial support from government		
Financial support from other sources		
International/ National scholarships		

1.11 Co-curricular and Extra-curricular Activities organized by the students during this year:

1.12 Community Welfare Activities organized during this year:

1.13 Activities organized under university industry collaboration:

1.14 Quality improvement strategies adopted for each of the QA areas:

1.15 Activities undertaken for staff development during this year:

1.16 Initiatives taken to make the campus eco-friendly:

1.17 Number of collaborations: International .... National ... Any other

1.18 Number of linkages created during this year: International .... National

1.19 Research Budget of the university for the year:

1.20 Number of patents received this year

Number of research awards/ recognitions received by faculty and research fellows during this year:

1.22 Research funds sanctioned and received from various sources:

<b>Nature of the Project/Research</b>	<b>Duration Year</b>	<b>Source/Funding Agency</b>	<b>Total Fund received</b>

1.23 Research publications during the year:

	<b>International</b>	<b>National</b>	<b>Others</b>
Peer Review Journals			
Non-Peer Review Journals			
e-Journals			

Conference proceedings			
Books			

1.24 Number of organizations /Clubs active during the year:

<b>Nature of Organizations</b>	<b>Total</b>
Students Society	
Cultural	
Sports	
Cadet/Scouts	
Community club	
Philanthropic Club	
Others (Pls. Specify)	

2. IQAC cooperation received during the year

2.1 Summary of program self assessment specifying SWOT and recommendations if conducted during this year and not reported before:

<b>Name of the programs</b>	<b>Strengths</b>	<b>Weaknesses</b>	<b>Opportunities</b>	<b>Threats</b>	<b>Recommendations</b>

3. Summary of Teacher Evaluation Report by the Student

4. Summary of Annual Course Report

5. Describe the evidences of best practices during this year:

6. Achievements with reference to milestone and performance indicators

7. Benchmark for the coming year

8. Probable Constraints to achieve the benchmark(s)

9. Conclusion

10. Summary of Action plan for the next academic year

Name & Signature of the Head/Chairman \_\_\_\_\_

***IQACOM Annex 13***

## ANNUAL INSTITUTIONAL QUALITY ASSURANCE REPORT

Note:

- (a) Institutional Quality Assurance Report (IQAR) will be a summary of the AQAR reports prepared by the degree offering entities of the university.
- (b) The IQAC shall be responsible for the preparation of Annual Institutional Quality Assurance Report.
- (c) The IQAC shall submit the report to the Academic Council after presenting it to the QAC. Thereafter one copy of the report is submitted to the Syndicate and another copy to the QAU, UGC.

### ANNUAL INSTITUTIONAL QUALITY ASSURANCE REPORT (AIQAR)

(Name of the University with address and website)

1. Basic Information

1.1 Date of Establishment of IQAC:

1.2 IQAC Received Fund During the Year:

Sl.	Source	Amount
<b>Total</b>		

1.3 Total Number of Departments:      Faculties:      Centers:      Institutes:

1.4 Addition during the Year: Departments:      Faculties:      Centers:      Institutes:

1.5 Total Number of Staffs:

Items	Male		Female		Total
	Full time	Part time	Full time	Part time	
Teachers					

Teachers with PhD					
Administrative staff					
Support Staff					
<b>Total</b>					

1.6 Number of Faculty Positions:

<b>Position</b>	<b>Total Faculty</b>	<b>Recruited During the Year</b>	<b>Position Remains Vacant</b>
Lecturer			
Assistant Professor			
Associate Professor			
Professor			
<b>Total</b>			

1.7 Faculty Members participation in conferences and symposia during the year:

<b>Status</b>	<b>No. of Faculty</b>	<b>International level</b>	<b>National level</b>	<b>Total</b>
Attended Seminars/ Workshops				
Presented papers				
Resource Persons				

1.8 Total Number of Students

<b>Items</b>	<b>Male</b>	<b>Female</b>	<b>Total</b>
Students:			
International students			
<b>Total</b>			



1.9 Number of Academic Programs

<b>Programs</b>	<b>Existing Programs</b>	<b>Programs added during the year</b>
PhD		
M. Phil		
Masters		
Under Graduate		
PG Diploma		
Advanced Diploma		
Diploma		
Certificate		
Others		
<b>Total</b>		

1.10 Accreditation Details (if any)

<b>Name of the Programs</b>	<b>Institution</b>	<b>Year of Accreditation</b>	<b>Validity Period</b>

1.11 Pattern of Program Management

<b>Pattern</b>	<b>Number of Programs</b>

Trimester	
Semester	
Annual	

1.12 Development in Infrastructure Facilities:

<b>Facilities</b>	<b>Existing</b>	<b>Created during this year</b>	<b>Total</b>
Campus area			
Class rooms			
Laboratories			
Seminar Halls			
No. of important equipments purchased during the current year.			
Others (If any)			

1.13 Library services:

	<b>Existing</b>		<b>Added during this year</b>		<b>Total</b>	
	<b>No.</b>	<b>Value</b>	<b>No.</b>	<b>Value</b>	<b>No.</b>	<b>Value</b>
Text Books						
Reference Books						
e-Books						
Journals						
e-Journals						
Digital Database						

CD & Video						
Others (specify)						

1.14 Scholarships and Financial Support to the students:

	<b>Number of students benefitted</b>	<b>Amount</b>
Financial support from institution		
Financial support from government		
Financial support from other sources		
International/ National scholarships		

1.15 Co-curricular and Extra-curricular Activities organized by the students during this year:

1.16 Welfare activities for the university community during this year:

1.17 Activities organized under university industry collaboration:

1.18 Quality improvement strategies adopted by the institution for each of the QA areas:

1.19 Activities undertaken for staff development during this year:

1.20 Initiatives taken to make the campus eco-friendly:

1.21 Number of collaborations: International .... National ... Any other

1.22 Number of linkages created during this year: International .... National

1.23 Research Budget of the university for the year:

1.24 Number of patents received this year

1.25 Number of research awards/ recognitions received by faculty and research fellows

1.25 during this year:

1.26 Research funds sanctioned and received from various sources:

<b>Nature of the Project/Research</b>	<b>Duration Year</b>	<b>Source/Funding Agency</b>	<b>Total Fund received</b>


1.27 Research publications during the year:

	<b>International</b>	<b>National</b>	<b>Others</b>
Peer Review Journals			
Non-Peer Review Journals			
e-Journals			
Conference proceedings			
Books			

1.28 No. of organizations /Clubs:

<b>Nature of Organizations</b>	<b>Total</b>
Students Society	
Cultural	
Sports	
Cadet/Scouts	
Community club	
Philanthropic Club	
Others (Pls. Specify)	

2. IQAC Activities during the year

2.1 Number of IQAC meetings held during the year:

2.2 Number of meetings held with stakeholders during the year:

<b>Stakeholders</b>	<b>Total</b>
Students	
Teaching staffs	
Non teaching staffs	

Parents	
Employers	
Community leaders	
Alumni	
Others (Pls. Specify)	

2.3 No. of Seminars/Conferences/ Workshops/Symposia organized by the IQAC:

<b>Items</b>	<b>National</b>	<b>International</b>	<b>Total</b>
Seminar			
Workshop			
Conference			
Study Tour			
Training			

2.4 Number of programs carried out Self Assessment (If it is done during the academic year):

2.5 Number of program completed External Peer Review and validation(if any):

2.6 Summary of program self assessment specifying SWOT and recommendations:

Name of the programs	Strengths	Weaknesses	Opportunities	Threats	Recommendations

2.7 Summary of Institutional self assessment and external peer review:

Strengths	Weaknesses	Opportunities	Threats	Recommendations

2.8 Summary of Audit Reports during the academic year

- a) *Issue consideration*
- b) *Good practice highlighted in reports*
- 3. Summary of Teacher Evaluation Report by the Student
- 4. Summary of Annual Course Report
- 5. Describe the evidences of best practices during this year:
- 6. Achievements with reference to milestone and performance indicators
- 7. Benchmark for the year
- 8. Probable Constraints to achieve the benchmark
- 9. Conclusion
- 10. Summary of Action plan for the next academic year

Name & Signature of the Director, IQAC \_\_\_\_\_

Name & Signature of the Vice Chancellor \_\_\_\_\_

***IQACOM Annex 14***

**DECLARATION OF IDEPENDANCE AND  
CONFIDENTIALITY FORM**

(This form is to be completed by officers involved in audit prior to an audit exercise.)

<p>Name:</p>  <p>Title/Position within the University:</p>  <p>Faculty/Department:</p>  <p>Declaration of Independence and Disclosure of Conflict of Interest:</p>  <p><b>1. Declaration of Confidentiality</b></p> <p>I, hereby, declare that I shall hold in confidence all information obtained during this audit and shall deal with it in accordance to my terms of reference.</p> <p><b>2. Declaration of Independence</b></p> <p>“As the Chairperson/Member (delete as appropriate) of the audit team for (state the name of the audit here), I declare that to the best of my knowledge and belief I am able to carry out my responsibilities as required by my terms of reference without bias and independently.</p> <p><b>3. Disclosure of Conflict of Interest</b></p> <p>I declare that in carrying out my responsibilities in this audit exercise, I:</p> <p>(tick where appropriate)</p> <p><input type="checkbox"/>am not at risk of any possible conflict of interest</p> <p><input type="checkbox"/>declare a possible conflict of interest (please provide details below)</p> <p>_____</p> <p>_____</p>
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I, (name of the audit team member), hereby affirm the truth of the statements made above and I understand that I will be required to discontinue my current responsibilities if any of the above is shown to be untrue.

\_\_\_\_\_  
(Signature of Person submitting the Statement)

\_\_\_\_\_  
Date

\*\*\*\*\*For Official Use ONLY\*\*\*\*\*

Declaration accepted and verified by:

Comments/Observation if any:

\_\_\_\_\_  
\_\_\_\_\_

Name of IQAC Officer: \_\_\_\_\_

Signature: \_\_\_\_\_

Date: \_\_\_\_\_



**IQACOM Annex 15**

**TEACHER EVALUATION FORM**

**(To be filled by the student)**

This checklist includes statements for evaluating ‘**Teaching Performance**’ of a teacher. You as a student are requested to give your sincere comment against each of the statements. Your sincere evaluation will be helpful for improving ‘teaching quality’ of your honorable teacher community. **Be honest!!**

Course Title and Number: \_\_\_\_\_

Name of Instructor: \_\_\_\_\_ Semester \_\_\_\_\_

Department: \_\_\_\_\_ Degree \_\_\_\_\_

Evaluate the following aspects of the teaching performance in terms capacity to provide quality education by marking “√” in the box of corresponding column according to the scale given:

5–Strongly agree; 4–Agree; 3–Neutral; 2–Disagree; 1–Strongly disagree;

Aspects related to Teaching Performance	Scale				
	5	4	3	2	1
<b>A: Subject Matter Knowledge</b>					
1. Have sound and updated knowledge on subject					
2. Gives adequate information considering students level					
3. Makes topics easily understandable					
4. Gives appropriate and lively examples from real life situation to motivate the students for learning					
5. Provides additional material apart from the textbook					
<b>B: Presentation and Management</b>					
1. Has clear and audible voice					
2. Keeps class lively using wit (humor) & body language					
3. Encourages students’ participation (question-answer)					
4. Controls and maintain conducive environment for learning					
5. Provide and maintain lesson plan					

<b>C: Assessment</b>					
1. Remains keen and use multiple techniques for continuous assessment					
2. Sets easily understandable questions					
3. Sets questions relevant to intended learning outcomes					
4. Remains fair and unbiased in assessment					
5. Provide prompt feedback after every assessment					
<b>D: Students' Development</b>					
1. Always keen to explore potentials of the students					
2. Provide guidance and counseling					
3. Plays a role model for values and ethics					
<b>E: Professional Behavior</b>					
1. Remains honest, polite and gentle in any situation					
2. Shows respect towards students and encourages class participation					
3. Arrives and leaves the class on time					
4. Always completes the whole course					
5. Available during the specified office hours and for after-class consultations					

## CLASS ROOM TEACHING OBSERVATION REPORT FORMAT

(To be filled by the peer observer in class)

<b>A. General Information</b>					
1. Name of the program:					
2. Name of Teacher:					
3. Name of Observer:					
4. Title of Presentation:					
5. Venue /Date/Time:					
<b>B. Aspects Evaluated and Scoring Scale</b>					
5-Excellent    4-Very good    3-Good    2-Fair    1-Poor					
<i>(Please circle the score for each aspect)</i>					
<b>Description</b>	<b>Level of Evidence</b>				
<b>1. Set Induction</b>					
a) Clarity of objectives					
b) Relevance to topic					
c) Appropriateness of introduction					
<b>Subtotal for Section B1</b>					
<b>2. Content</b>					
a) Knowledge					
b) Extend of coverage					
c) Level of interest generated					
d) Logical flow of presentation					
e) Correctness of language used					
f) Clear and relevant use of analogies/examples					
<b>Subtotal for Section B2</b>					
<b>3. Presentation</b>					
a) Appropriate pacing					

b) Confidence					
c) Enthusiasm					
d) Provoking students to think					
e) Clarity of presentation					
f) Interaction with students					
g) Effective use of teaching/learning aids					
h) Effective class management					
<b>Subtotal for Section B3</b>					
<b>4. Closure</b>					
a) Appropriateness of closure					
b) Use of effective questions to gain feedback					
c) Appropriate links to the next lesson					
<b>Subtotal for Section B4</b>					
<b>Total Score</b>					
<b>Score</b>	<b>Interpretation</b>				
90 to 100	Excellent				
80 to less than 90	Very Good				
70 to less than 80	Good				
60 to less than 70	Fair				
50 to less than 60	Poor				
40 to less than 50	Very poor				
<b>C. Observer's Overall Comments and Suggestions for Improvement</b>					
<b>D. Presenter's Comment/Remarks</b>					
<b>F. Signatures:</b>					
1) Observer/Date	_____				
2) Presenter/Date					

***IQACOM Annex 17***

**SURVEY FORM FOR PhD PROGRAMS OFFERING ENTITY**

The following information is required for Departments in which a PhD program is offered.

1.	General Information:	
1.1	Name of the Department	
1.2	Name of the Faculty	
1.3	Date of initiation of PhD program	
1.4	Total number of academic journals subscribed in area relevant to PhD program.	
1.5	Number of Computers available per PhD student	
1.6	Total Internet Bandwidth available to all the students in the Department.	
2.	Faculty Resources:	
2.1	Number of faculty members holding PhD degree in the department.	
2.2	Number of approved PhD Advisors in the department.	
3.	Research Output:	
3.1	Total number of articles published last year in International Academic Journals that are authored by faculty members and students in the department.	
3.2	Total number of articles published last year in Asian Academic Journals that are authored by faculty members and students in the department.	
3.3	Total number of ongoing research projects in the department funded by different organizations	
3.4	Total Research Funds available to the Department from all sources.	
3.5	Number of active international linkages involving exchange of researchers/students/faculty etc. (Attach Details)	
4.	Student Information:	
4.1	Number of PhD degrees conferred to date to students from the Department during the past three academic years.	
4.2	Number of PhD students currently enrolled in the department.	
4.3	Ratio of number of students accepted to total number of applicants for PhD Program.	
5.	Program Information	

5.1	Entrance requirements into PhD Program (M.Sc. / MPhil) Indicate subjects or M.Sc. / MPhil	
5.2	Is your PhD program based on research only? (Y/N)	
5.3	Maximum number of years in which a PhD degree has to be completed after initial date of enrollment in PhD program.	
5.4	Total number of post M.Sc. (16 year equivalent) courses required for PhD	
5.5	Total number of MPhil level courses taught on average in a Term / Semester.	
5.6	Total number of PhD level courses taught on average in a Term / Semester.	
5.7	Do your students have to take/write:	
	a. PhD Qualifying examination (Y/N)	
	b. Comprehensive examination (Y/N)	
	c. Research paper in UGC approved Journal	
	d. Any other examination (Y/N)	
5.8	Total number of International examiners to which the PhD dissertation is sent.	
5.9	How is the selection of an examiner from technologically advanced countries carried out?	
5.10	Is there a minimum residency requirement (on campus) for award of PhD degree?	
6.	Additional Information	
6.1	Any other information that you would like to provide.	



**Figure 1: Flow Chart on QAP Selection Process (09 weeks)**

