TRAINING WORKSHOP FOR REVIEWERS INSTITUTIONAL REVIEW SRI LANKAN UNIVERSITIES & HEIS

Quality Assessment- Standards for Assessment

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Standards for Assessment

Quality assessment in higher education is a diagnostic review and evaluation of the University's/HEI's compliance with a set of best practices and the degree of attainment of the 'Standards'/Benchmarks prescribed by the UGC-QAAC

The best practices captured into specific statements termed 'Standards'

The Standards are to be used by reviewers, to measure quantitatively or qualitatively, the degree of compliance with best practices and the level of attainment in the relevant 'Standards'

Standards...

- ✓ Standards are usually established by an authority (rule or principle) by general consensus as a basis for comparison
- ✓ They define exactly how a task should be completed or what the outputs and outcomes would be
- ✓ The self-evaluation report (SER) of the University/HEI has
 to be structured in line with the 'Standards'
- ✓ In order to facilitate the use of standards in assessment, examples of evidence are given against each standard

....Standards

- ✓ During the review, the peer team after scrutiny of the documentary evidence provided for each standard, will measure its level of attainment and give a corresponding score
- ✓ To arrive at standard and criteria-wise assessments, examples of evidence and a score-guide on a 4-point Likert scale are provided.
- ✓ The examples of evidence are not exhaustive and the university/HEI may present any relevant evidence deemed appropriate for a particular standard
- ✓ The standards could be used for both IQA & EQA

Standards, Sources of Evidence & Score Guide Criterion 1- Governance and Management

Scope -

- ✓ Legal Acts, establishment codes, Rules, Regulations
- ✓ national policy framework and strategies are integrated within the governance and management
- ✓ The University/HEI determines its own mission and objectives that reflect its values and standards, academic commitments, national needs and international context
- ✓ The University/HEI has clear and effective communication channels.
- ✓ The University/HEI has administrative policies, procedures, appropriately qualified personnel, efficient management and administrative capacity, physical facilities, financial stability, and resources adequate for effective operations and evidence-based strategic decision making
- ✓ The University/HEI should manage its activities in a technology-enabled way in addition to using technology as a teaching/learning resource

Criterion 1- Governance and Management

N	No.	Standards	Examples of Evidence	Score Guide 0 - Inadequate 1 - Barely Adequate 2 - Adequate 3 - Good
1.	.1	The organizational structure, governance and management system are in compliance with respective Acts, relevant Ordinances and their amendments, Establishment Codes, rules and regulations issued by the relevant Ministries/Authorities or Articles of Association where relevant	University Act and Ordinances; University Calendar and By-laws; Organogram; Manual of Procedures/Standard Operational Procedures (SOP) approved by the relevant authorities	0 1 2 3
1.	.29	The University/HEI has put into practice a comprehensive policy and has strategies and action plans drawn up in line with the UGC Circular 919 to curb ragging and any other form of intimidation and harassment of students	Policy and Strategy document on curbing ragging; Student disciplinary by-laws; Mechanisms for preventing ragging and related misdemeanours; Reports on incidences of ragging and related misdemeanours and	0 1 2 3

Criterion 2 – Curriculum& Programme Development

Scope -

- ✓ Academic Programs reflect University/HEI's mission, goals and objectives
- ✓ Programs are designed and developed according to needs analysis based on an audit of existing courses and programs, market research, liaison with industry, national and regional priorities according to approved procedures
- ✓ The program complies with the SLQF and as far as possible with SBS and any deviations justified with reasons
- ✓ Adequate emphasis is given in the course design for the development of self-directed learning and lifelong learning
- ✓ Courses clearly present the learning outcomes, content, teaching and learning strategies, assessment strategies, and student support approaches
- ✓ There is an identified process for monitoring and review of programs/courses.

Criterion 2 – Curriculum& Programme Development

No.	Standards	Examples of Evidence	0 · 1 · Ac 2 ·	- Ina - Ba	adeo arel uate lequ		
2.1	The University/HEI systematically and consistently maintains conformity of academic programmes with its mission and goals; approval of course design and development by the academic authority; regular monitoring and review of programmes	Organizational arrangements for curriculum development and approval; TOR and guidelines for Senate and Faculty level curriculum development committees; Curriculum development documents with programme evaluation policies and procedures		0 0	1 0	2	3
2.15	The programmes are periodically reviewed (5-year cycle) for continuing validity, synchronizing with EQA and relevance of programmes offered	Internal/external review reports; EQA reports, reports from professional bodies; accreditation reports; feedback from stakeholders; remedial measures taken		O	Ō	Ō	0

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Criterion 3 – Teaching and Learning

Scope -

✓ The teaching and learning process is student-centred in keeping with outcome-based education

✓ Faculty uses multiple teaching and learning methods to engage students actively in the learning process and adopt an assessment strategy aligned with ILOs

Criterion 3 – Teaching and Learning

No.	Standards	Examples of Evidence	Score Guide 0 - Inadequate 1 - Barely Adequate 2 - Adequate 3 - Good
3.1	The University/HEI adopts a teaching and learning plan which includes modes of delivery, student support, resource allocation, individual responsibilities, implementation arrangements, and approaches to continuous enhancement of quality	Teaching learning plans of faculties/programmes; Records of attendance and delivery of lectures/ tutorials/practicals/ clinicals; samples of students' log books/ portfolios; Minutes of Faculty Boards/Senate	0 1 2 3
3.10	The academic staff enrich the content of the discipline and teaching and learning strategy with recent advances in research and published literature	Research output of staff in relation to their discipline/ teaching learning; evidence of teachers incorporating their own research output and those in the public domain	0 0 0 0

Criterion 4 – Learning Resources, Student Support & Progression

- ✓ The University/HEI has adequate and appropriate infrastructure and maintenance facilities
 for the mode and type of teaching and learning and for the number of students to conduct
 quality academic programmes
- ✓ University/HEI's strategic, operational, and financial plans recognize and support adequacy, appropriate and optimal use of facilities including new technologies, communication channels, teaching learning, management and administration and quality assurance of programmes
- ✓ The University/HEI/Faculty/Department facilitates the use of technological innovations in educational transaction to enrich the learning experiences it provides to students
- ✓ Students are supported adequately by provision of a range of opportunities for tutoring, mentoring, counselling, and stimulation of peer support structures to facilitate their holistic progression
- ✓ The University/HEI provides adequate support for student-centred learning and outcome-based education

Criterion 4 – Learning Resources, Student Support & Progression

No.	Standards	Examples of Evidence	Score Guide 0 - Inadequate 1 - Barely Adequate 2 - Adequate 3 - Good
4.1	The University/HEI has an efficient administration that responds promptly to all student enquiries on admissions, programmes, examinations, fees, dues, graduation and scholarships etc. with accurate and complete answers	Web site with FAQs; Job descriptions of relevant staff; administrative structure; students' feedback; help desk	0 1 2 3
4.14	The University/HEI has a means of determining students' satisfaction after the completion of their programme of study and use the feedback for remedial action	Student satisfaction survey data; evidence of use of findings of feedback survey for continuous improvement	0 1 2 3

Criterion 5 – Student Assessment and Awards

Scope -

- ✓ The University/HEI has effective assessment systems, both incourse and end of course, that reflect academic standards and
 measure the accomplishment of the learning outcomes for
 individual programmes/courses through the use of diagnostic,
 formative and summative types of assessments
- ✓ The University/HEI ensures that principles, procedures, and
 processes of all assessments are explicit, fair, transparent, valid
 and consistent while ensuring confidentiality and integrity

Criterion 5 – Student Assessment and Awards

No.	Standards	Examples of Evidence	Score Guide 0 - Inadequate 1 - Barely Adequate 2 - Adequate 3 - Good
5.1	The University/HEI has effective procedures for designing, approving, monitoring and reviewing the assessment strategies for programmes and awards; implementing policies and procedures rigorously through appropriate assessment practices to ensure that the academic standards of the awards are maintained	By-laws, examination rules and regulations; Curriculum; past question papers; random samples of answer scripts; marks sheets; theses and dissertations; undergraduate project reports; in-course assessment records	0 1 2 3
5.15	University/HEI has in place a policy, mechanism and procedures for recognition of prior learning/qualifications, inter-faculty and interinstitutional credit transfer and made available to prospective applicants	Approved policy and guidelines for recognition of prior learning/qualifications; Policy and regulations on credit transfers; Evidence of action	0 0 0 0

Criterion 6 - Strength and Quality of Staff

Scope -

- ✓ The University/HEI has qualified and competent faculty and staff needed for effective high quality programmes and student services
- ✓ Professional development of human resource is regularly organized for faculty and staff to assist in efficient and effective management of the design, development and delivery of programmes and courses and student-centred learning
- ✓ University/HEI facilitates faculty and staff to be innovative and creative and recognizes excellence in teaching and learning, research and community engagement

Criterion 6 - Strength and Quality of Staff

No.	Standards	Examples of Evidence	Score Guide 0 - Inadequate 1 - Barely Adequate 2 - Adequate 3 - Good
6.1	The University/HEI has a comprehensive human resource (HR) policy on recruitment, retention, performance appraisal, career development, promotion, leave, grievance, rewards, occupational health and safety	Approved cadre in relation to UGC Cadre norms; University/HEI register on approved and available cadre; data on cadre filled and vacant; HR policy; Performance appraisal forms; records of rewards; Grievance committee meeting minutes; Guidelines on occupational health and safety and protective measures	0 1 2 3 O O O O
6.11	Staff feedback is regularly obtained through diverse means and concerns are addressed adequately	Staff feedback; Actions taken	0000

Criterion 7 –Postgraduate studies, Research, Innovation and Cammercialization

- ✓ The University/HEI has an adequate infrastructure and administrative and financial mechanisms for research and post graduate degrees
- ✓ University/HEI is able to attract competitive research funding nationally and globally
- ✓ The results of research are published in indexed peer reviewed journals and where relevant patents obtained
- ✓ degrees sharpen critical thinking and transferable skills to a high degree and prepare students for a wide range of careers both in academia and outside
- ✓ Systematic and transparent monitoring and assessment mechanisms are in place to ensure students' progress
- ✓ The requirements for the awards are consistent with the respective SLQF levels.
- ✓ Ethical aspects of research are adequately addressed. Research, consultancy and extension services are actively promoted to build linkages with industry, business, community and public organizations which foster close relationships between the world of work and the world of learning for the students

Criterion 7 –Postgraduate studies, Research, Innovation and Commercialization

No.	Standards	Examples of Evidence	Score Guide 0 - Inadequate 1 - Barely Adequate 2 - Adequate 3 - Good
7.1	The University/HEI recognizes post graduate training, research innovation, scholarship, and commercialization as core functions as reflected in the Strategic Plan and organizational structure	Strategic Plan; evidence of facilities available for postgraduate training, comparable with national and international benchmarks; Handbook; Prospectus; website	0 1 2 3
7.25	The University/HEI has policies, Institutional arrangements and procedures for research/ innovation and commercialization	University/HEI's Annual finance report; IPR policies; Commercial management plan linked to Strategic Plan; Transparent budget; Business planning partnership agreement with exit strategies; Project monitoring/litigation procedures; Staff training programmes on finances and business skills; list of commercialized products; Annual Report	0 1 2 3 O O O O

Criterion 8 – Community Engagement, Consultancy and Outreach

Scope -

✓ The University/HEI is responsive to the needs of the community and supports community outreach by providing consultancy and extension services

✓ Continuous encouragement of faculty to offer consultancy not only builds up the reputation of the faculty but also helps in augmenting institutional image and social acceptance while providing new areas for research

Criterion 8 – Community Engagement, Consultancy and Outreach

No.	Standards	Examples of Evidence	Score Guide 0 - Inadequate 1 - Barely Adequate 2 - Adequate 3 - Good
8.1	The University/HEI has a policy and strategy to foster and promote consultancy and extension services to build linkages with industry and community	Institutional procedures on linkages with industry; brochures on consultancy and extension services; monitoring and evaluation records of consultancies undertaken	0 1 2 3
8.6	Where appropriate professional courses have access to service facilities as required, through which faculties could provide a professional service to the public	Policy and procedures for professional programmes/ courses of the University/ HEI providing service facilities to the public; evidence of service to the public.eg. clinic services, health camps, MOUs with relevant ministries	0 1 2 3

Criterion 9 – Distance Education

Scope -

- ✓ The UGC Circular on EDPs and Extension Courses (UGC Circular No. 932 of 2010), UGC Handbook on External Degrees and Extension Courses (UGC 2010) and External Degree Programmes Quality Assurance (EDP QA 2014) Manual provide the foundation for all distance learning policies, procedures, and activities
- ✓ Programmes are delivered through open and distance learning (ODL) methods in order to offer educational opportunities to students unable to enter the conventional system
- ✓ The University/HEI places great emphasis on the consistency, continuity and integrity of the learning environment
- ✓ All academic programmes/courses are taught by regular faculty and/or approved adjunct faculty or approved external training University/HEIs and adhere to same standards and requirements as identical courses conducted face to face
- ✓ Regardless of the delivery format, learning is the primary aim with achievement of stated programme learning outcomes as the primary assessment measure

Criterion 9 – Distance Education

No.	Standards	Examples of Evidence	Score Guide 0 - Inadequate 1 - Barely Adequate 2 - Adequate 3 - Good
9.1	The University/HEI in alignment with national policy and in consistence with its mission, operates a mechanism through open and distance learning (ODL), for those unable to enter a conventional system but aspire for higher/ tertiary education	Compliance with UGC Policy Framework and Guidelines; Corporate plan with mission statement reflecting ODL as an alternative delivery system; ODL programmes/courses in consistence with the mission and objectives	0 1 2 3
9.13	Policies, procedures and systems are in place for offshore academic programmes, to ensure sustenance of the institution, assurance of academic quality, and selection of partners, operational efficiencies, financial success and strategic relevance	Organizational documents, Annual reports; reports from partner organizations	0000

Criterion 10 – Quality Assurance

Scope -

- ✓ Quality Assurance (QA) is an integral part of the overall functioning of a University/ HEI to ensure that the University/HEI/programme fulfills the purpose as well as the standards set
- ✓ It is developed to ensure that the University/ HEI is committed to comply with national policies, regulations and guidelines prescribed by the regulatory agencies
- ✓ External monitoring emphasizes accountability as well as continuous improvement.
- Traditional regulatory methods to ensure quality of higher education are internal and carried out through Internal Quality Assurance Units (IQAUs)
- Critical self-assessment promotes the development of a quality culture that triggers continuous improvement and quality enhancement
- ✓ University/HEIs will develop best where external and internal QA are well balanced
- ✓ Academic networks are expected to play an important role in the development of QA
- ✓ Regular reporting to the highest body of the University/HEI assures that QA is well respected

Criterion 10 – Quality Assurance

No.	Standards	Examples of Evidence	Score Guide 0 - Inadequate 1 - Barely Adequate 2 - Adequate 3 - Good
10.1	University/HEI adopts quality assurance (QA) policy and strategy in alignment with the national policy on QA in Higher Education	Availability of University/ HEI's QA policy and a strategy for continuous enhancement of quality; Corporate/Strategic Plan and Action Plan	0 1 2 3
10.7	Recommendations/comments made by previous external quality assurance (EQA) reports are adequately addressed by IQAU and IQAC, Faculty Boards, Senate and Council and monitored by the IQAU	Council/Senate approved policy on follow up of recommendations of the Institutional Review Report (IRR); evidence of IQAU following recommendations; Faculty Board, Senate and Council minutes; Progress reports on remedial actions based on past QA report	0 1 2 3

Procedure for Use of Standards for Assessment of Performance of the

This process in the standards of the ten criteria based on the evidence given against each standard by the University/HEI and the score guide are used by the external peer review team in arriving at the final assessment of performance of a University/HEI

The terms used in the validation and the subsequent judgement on assessment of the University/HEI,

- Standard-wise judgement giving 'standard-wise score' Criterion-wise
- judgement giving 'raw criterion-wise score
- Application of weightages to obtain 'actual criterion-wise score
- Calculation of 'University/HEI score
- Grading of overall University/HEI performance on University/HEI score

The procedure is described in a series of steps

Step 1 - The evidence given against each standard by the University/HEI are carefully and objectively analyzed and assessed

Step 2 - Based on the evidence, assessment of the extent to which each standard has been achieved by the University/HEI is recorded by placing a tick in the appropriate circle against each standard on a 4 point scale from 0-3

Each standard will receive a score from 0-3 (standard –wise score)

Score Guide for each standard

Score	Descriptor	
3	Good	
2	Adequate	
1	Barely Adequate	
0	Inadequate	

Step 3 - Performance of each Criterion is derived by totalling the scores gained in all the standards in respect of the Criterion. The value obtained is the 'raw criterion-wise score'

Different weightages of Criteria

Recognizing the variance in their relative importance in a University/HEI, different Criteria have been allotted differential weightages on a thousand scale

The weightages given will be used for calculating the 'actual criterion-wise score'.

Differential weightages of Criteria

No.	Assessment Criteria	Weightage on a thousand scale
1	Governance and Management	180
2	Curriculum Design and Development	120
3	Teaching and Learning	100
4	Learning Resources, Student Support and Progression	80
5	Student Assessment and Awards	100
6	Strength and Quality of Staff	100
7	Postgraduate studies, Research, Innovation and Commercialization	100
8	Community Engagement, Consultancy and Outreach	60
9	Distance Education	40
10	Quality Assurance	120
	Total	1000

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Step 4 - Based on the weightages listed and the formula given in Box 1, the 'raw criterion-wise score' is converted into an 'actual criterion-wise score'

Taking Criterion 1 which has 29 standards as an example, and a fictitious value of 60 for the raw criterion score given by the review team, the actual criterion-wise score for Governance and Management

Box 1 - Formula for converting 'raw score' to 'actual score' on the weighted scale

Maximum raw score for each criterion = total number of standards for the respective criterion x 3 which is the maximum score for any standard

Raw criterion-wise score x weightage in a 1000 point scale = 'actual criterion-wise score'

Example: Criterion 1 with weightage of 180 (Table 4.2) and 29 standards

Raw criterion-wise score (given by the peer team) = 60

Maximum Score = $(29 \text{ standards } \times 3) = 87$

Weightage in a 1000 scale = 180 (as in Table 4.2)

Actual criterion-wise score= $\underline{60}$ X180 = 133.3

■ Step 5 - The University/HEI-wise score is derived by totalling all the 'actual criterion-wise scores' of the ten criteria and converting the total to a percentage

No	Criteria	Weighted	actual
		minimum	criteria-wise
		score*	score
1	Governance and Management	90	124
2	Curriculum Design and Development	60	80
3	Teaching and Learning	50	71
4	Learning Resources, Student Support and Progression	40	56
5	Student Assessment and Awards	50	80
6	Strength and Quality of Staff	50	75
7	Postgraduate studies, Research, Innovation and	50	68
	Commercialization		
8	Community Engagement, Consultancy and Outreach	30	40
9	Distance Education	20	25
10	Quality Assurance	60	90
	Total		709
	%		70.9

Grading of Overall University/HEI performance

University/ HEI score%	Actual criteria- wise score	Grade	Performance descriptor	Interpretation of descriptor
≥80	Equal to or more than the minimum weighted score for each of all 10 criteria (Table 4.3).	A	Very Good	High level of accomplishment of quality expected of an academic institution; should move towards excellence
70 - 79	Equal to or more than the minimum weighted score for nine of the 10 criteria (Table 4.3)	В	Good	Satisfactory level of accomplishment of quality expected of an academic institution; room for improvement
60 – 69	Equal to or more than the minimum weighted score for eight of the 10 criteria (Table 4.3)	С	Satisfactory	Minimum level of accomplishment of quality expected of an academic institution; definitely requires improvement
<60	Irrespective of minimum weighted criterion scores.	D	Unsatisfactory	Inadequate level of accomplishment of quality expected of an academic institution: Needs significant degree of improvement in all aspects

Training Workshop for Reviewers of Institutional Review of Sri Lankan Universities & HEI's

Final Assessment of Performance of a University/HEI

For a University/HEI to receive an 'A' Grade

- i) Overall University/HEI Score of ≥ 80%
- ii) A score equal to or more than the weighted minimum score for each of all 10 criteria

For a University/HEI to receive a 'B' Grade

- i) Overall University/HEI Score between 70% 79%
- ii) A score equal to or more than the weighted minimum score for at least nine out of the 10 criteria

For a University/HEI to receive a 'C' Grade

- i) Overall University/HEI Score between 60% 69%
- ii) A score equal to or more than the weighted minimum score for at least eight out of the 10 criteria

For a University/HEI to receive a 'D' Grade

i) Overall University/HEI Score of < 60% irrespective of weighted minimum criterion scores



