

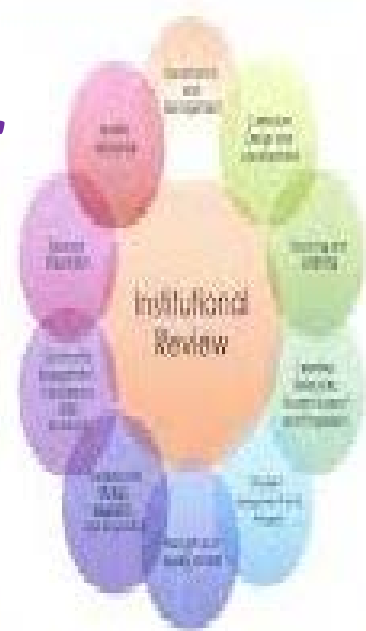
Residential Workshop on Role of IQAUs in State Universities

Quality Assurance and Accreditation Council
University Grants Commission
18th & 19th May 2016



The ten criteria selected for Institutional Review

1. Governance and Management.
2. Curriculum Design and Development.
3. Teaching and Learning.
4. Learning Resources, Student Support and Progression.
5. Student Assessment and Awards.



The ten criteria selected for Institutional Review (Cont.)



6. Strength and Quality of Staff.
7. Postgraduate Studies, Research, Innovation and Commercialization.
8. Community Engagement, Consultancy and Outreach.
9. Distance Education.
10. Quality Assurance.

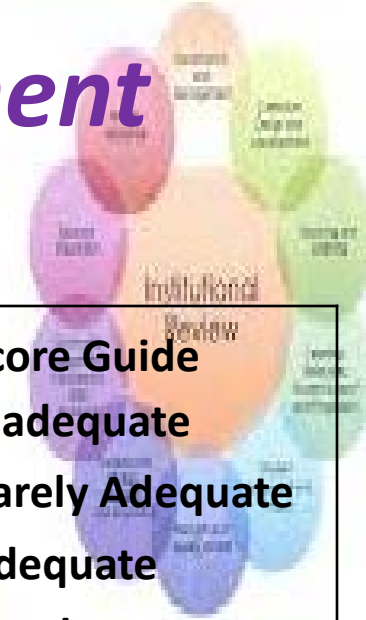
1. Governance and Management



Criterion 1 is captured in the following ‘Standards’

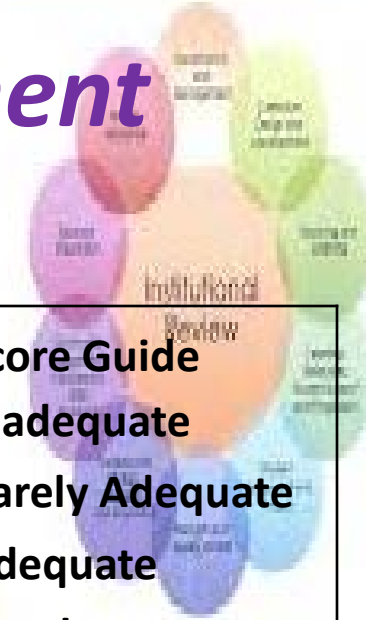
No	Standards	Examples of Evidence	Score Guide 0 - Inadequate 1 - Barely Adequate 2 - Adequate 3 - Good								
1.1	The organizational structure, governance and management system are in compliance with respective Acts, relevant Ordinances and their amendments, Establishment Codes, rules and regulations 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.	<table> <tr> <td>0</td><td>1</td><td>2</td><td>3</td></tr> <tr> <td><input type="radio"/></td><td><input type="radio"/></td><td><input type="radio"/></td><td><input type="radio"/></td></tr> </table>	0	1	2	3	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
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1. Governance and Management (Cont.)



No	Standards	Examples of Evidence	Score Guide 0 - Inadequate 1 - Barely Adequate 2 - Adequate 3 - Good
1.2	The University/HEIs Strategic Plan is in alignment with the National Higher Education Policy Framework and Action plans of institutes/ faculties/centres/units are in line with University/HEIs strategic plan.	National Higher Education Policy Framework; Corporate Plan/Strategic Plan; Action Plans of institutes/faculties/centres/ units.	<div> 0 1 2 3 </div> <div> <input type="radio"/> <input type="radio"/> <input type="radio"/> <input type="radio"/> </div>

1. Governance and Management (Cont.)



No	Standards	Examples of Evidence	Score Guide 0 - Inadequate 1 - Barely Adequate 2 - Adequate 3 - Good
1.3	Vision and mission statements are clear and articulate publicly the University/HEI's commitments reflecting national, regional and international trends.	Corporate Plan/Strategic Plan; Minutes of the Strategic Management Plan Committee and Planning and Development Committee; Action Plans of institutes faculties/ centres/units.	<div> 0 1 2 3 </div> <div> <input type="radio"/> <input type="radio"/> <input type="radio"/> <input type="radio"/> </div>

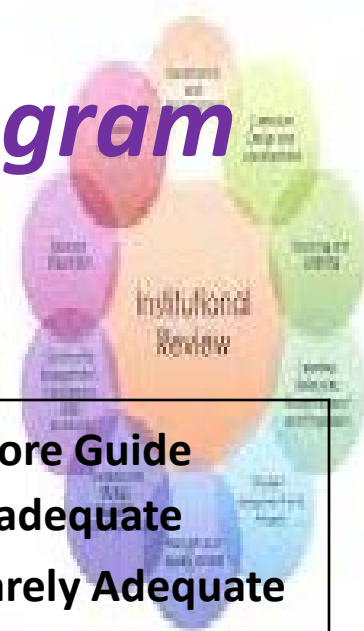
Criterion 2 – Curriculum and Program Development

Criterion 2 is captured in the following ‘Standards’



No	Standards	Examples of Evidence	Score Guide 0 - Inadequate 1 - Barely Adequate 2 - Adequate 3 - Good
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.	<div> <div>0</div> <div>1</div> <div>2</div> <div>3</div> </div> <div> <input type="radio"/> <input type="radio"/> <input type="radio"/> <input type="radio"/> </div>

Criterion 2 – Curriculum and Program Development (Cont.)



No	Standards	Examples of Evidence	Score Guide 0 - Inadequate 1 - Barely Adequate 2 - Adequate 3 - Good								
2.2	The University/HEI communicates to all concerned the policies and principles on which programmes are designed and developed, and the regulations by which programmes are assessed by the academic authority.	Curriculum development documents with programme evaluation policies and procedures; credit accumulation and transfer policy and procedure; Minutes of Faculty Boards/Senate.	<table border="1"> <thead> <tr> <th>0</th> <th>1</th> <th>2</th> <th>3</th> </tr> </thead> <tbody> <tr> <td><input type="radio"/></td> <td><input type="radio"/></td> <td><input type="radio"/></td> <td><input type="radio"/></td> </tr> </tbody> </table>	0	1	2	3	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
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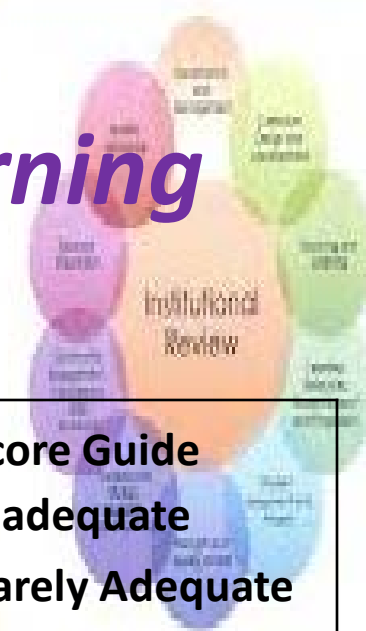
Score Guide

0 - Inadequate
1 - Barely Adequate
2 - Adequate
3 - Good

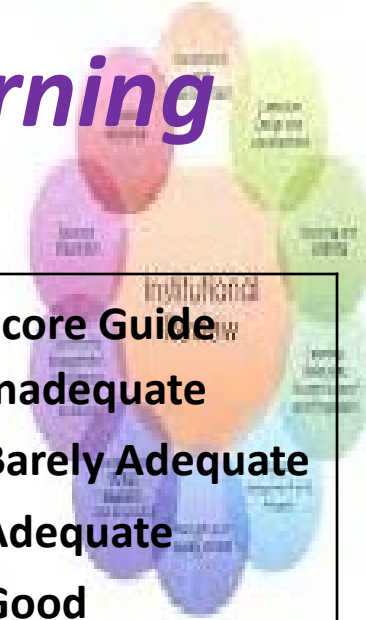
Criterion 3 – Teaching and Learning

Criterion 3 is captured in the following ‘Standards’

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;	<div> <div>0</div> <div>1</div> <div>2</div> <div>3</div> </div> <div> <div>○</div> <div>○</div> <div>○</div> <div>○</div> </div>



Criterion 3 – Teaching and Learning (Cont.)















No	Standards	Examples of Evidence	Score Guide 0 - Inadequate 1 - Barely Adequate 2 - Adequate 3 - Good
3.2	The University/HEI adopts the policy of student-centred teaching and learning process to ensure that students actively engage in and interact with all prescribed study material, peers and teachers.	University/HEI-wide policy and strategy on teaching and learning; approved curricula; training programmes on student-centred teaching for staff at all levels; peer observation records and staff performance appraisal documents; student satisfaction surveys; records on active learning ie. utilization of language and computer laboratories and library etc.; samples of students' log books/portfolios, and evidence of group activities, creative work, inventions, & innovations.	<div> <div>0</div> <div>1</div> <div>2</div> <div>3</div> </div> <div> <input type="radio"/> <input type="radio"/> <input type="radio"/> <input type="radio"/> </div>

Criterion 3 – Teaching and Learning (Cont.)

No	Standards	Examples of Evidence	Score Guide 0 - Inadequate 1 - Barely Adequate 2 - Adequate 3 - Good
3.3	The University/HEI evaluates and continuously improves its learning provision and regularly benchmarks learning outcomes to ensure consistency.	Policy on benchmarking learning outcomes documents; evidence of regular programme reviews and analyzed data; evidence of improving programmes based on the outcome of reviews.	<div> <div>0</div> <div>1</div> <div>2</div> <div>3</div> </div> <div> <input type="radio"/> <input type="radio"/> <input type="radio"/> <input type="radio"/> </div>

Criterion 4 – Learning Resources, Student Support and Progression

Criterion 4 is captured in the following ‘Standards’

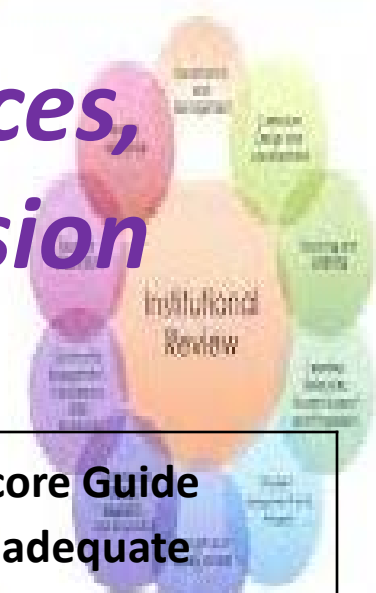
No	Standards	Examples of Evidence	Score Guide 0 - Inadequate 1 - Barely Adequate 2 - Adequate 3 - Good								
4.1	The University/HEI has an efficient administration that responds promptly to all student enquiries on admissions, programmes, examinations, fees, dues, graduation and scholarships etc. with accurate and complete answers.	Web site with FAQs; Job descriptions of relevant staff; administrative structure; students’ feedback; help desk.	<table border="0"> <tr> <td>0</td> <td>1</td> <td>2</td> <td>3</td> </tr> <tr> <td></td> <td></td> <td></td> <td></td> </tr> </table>	0	1	2	3				
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Institutional Review

- 1. Institutional Review
- 2. Research and Design
- 3. Human Subjects Protection
- 4. Data and Ethics
- 5. Funding, Research, and Institutional Support
- 6. Health Care Quality
- 7. Researcher's Role
- 8. Researcher's Responsibilities and Ethics
- 9. Researcher's Role in Research
- 10. Researcher's Role in Research

QAA Council

Criterion 4 – Learning Resources, Student Support and Progression (Cont.)



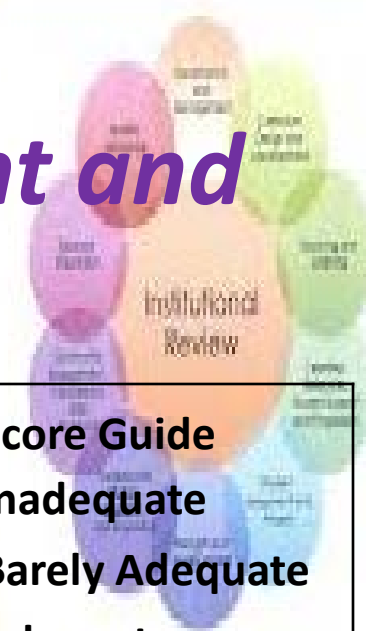
No	Standards	Examples of Evidence	Score Guide 0 - Inadequate 1 - Barely Adequate 2 - Adequate 3 - Good
4.3	The University/HEI securely maintains updates and ensures confidentiality of permanent records of all currently enrolled learners.	A comprehensive, up to date MIS with data on students; Evidence of measures such as firewalls, passwords etc. for maintaining security and confidentiality of records.	<div> <div>0</div> <div>1</div> <div>2</div> <div>3</div> </div> <div> <input type="radio"/> <input type="radio"/> <input type="radio"/> <input type="radio"/> </div>

Criterion 5 – Student Assessment and Awards

Criterion 5 is captured in the following ‘Standards’





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.	<table> <tr> <td>0</td> <td>1</td> <td>2</td> <td>3</td> </tr> <tr> <td><input type="radio"/></td> <td><input type="radio"/></td> <td><input type="radio"/></td> <td><input type="radio"/></td> </tr> </table>	0	1	2	3	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
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Criterion 5 – Student Assessment and Awards (Cont.)



No	Standards	Examples of Evidence	Score Guide 0 - Inadequate 1 - Barely Adequate 2 - Adequate 3 - Good
5.2	The University/HEI reviews and amends assessment regulations periodically as appropriate, to assure itself that the regulations remain fit for purpose.	Minutes of review meetings; Amended By-laws, rules and regulations; Curriculum Development/Evaluation Committee minutes; Senate/Academic syndicate/ Governing Board minutes.	<div> <div>0</div> <div>1</div> <div>2</div> <div>3</div> </div> <div> <div>○</div> <div>○</div> <div>○</div> <div>○</div> </div>

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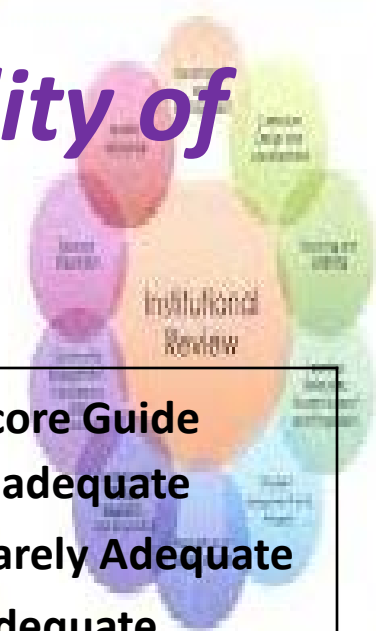
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Criterion 6 - Strength and Quality of Staff

Criterion 6 is captured in the following 'Standards'

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.	<div> <div>0</div> <div>1</div> <div>2</div> <div>3</div> </div> <div> <div>○</div> <div>○</div> <div>○</div> <div>○</div> </div>





Criterion 6 - Strength and Quality of Staff (Cont.)



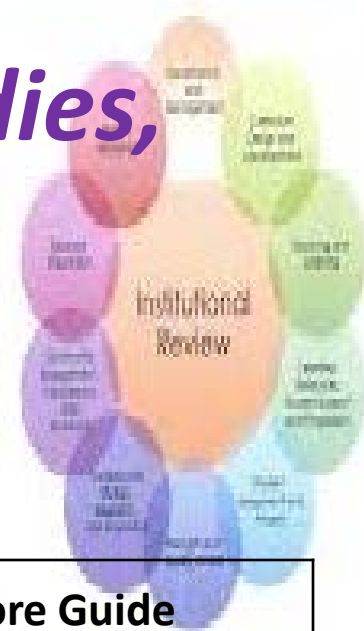
No	Standards	Examples of Evidence	Score Guide 0 - Inadequate 1 - Barely Adequate 2 - Adequate 3 - Good
6.2	The University/HEI has sufficient number of teaching staff who are suitably qualified, adequately trained in pedagogy, and experienced for their particular teaching responsibilities, research and outreach activities.	Policy on staff: student ratio with respect to the discipline; Policy and procedures for staff recruitment; cadre estimates matched against UGC approved cadre and the gaps; University/HEI's efforts to remedy the gaps; qualification profile of existing academic cadre (cadre books); retirement and succession plans.	<div> 0 1 2 3 </div> <div> <input type="radio"/> <input type="radio"/> <input type="radio"/> <input type="radio"/> </div>

Criterion 6 - Strength and Quality of Staff (Cont.)







No	Standards	Examples of Evidence	Score Guide 0 - Inadequate 1 - Barely Adequate 2 - Adequate 3 - Good
6.3	The University/HEI has ensured that all faculties/institutes/centres/units have adequate and qualified academic and non-academic cadre as per the approved faculty/department staff: student ratio.	HR records; Institutional staff: student ratio norms based on faculties and departments.	<div> 0 1 2 3 </div> <div>     </div>

Criterion 7 –Postgraduate studies, Research, Innovation and Commercialization



Criterion 7 is captured in the following ‘Standards’

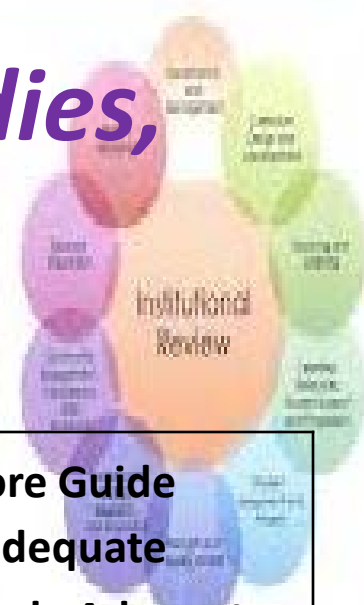
No	Standards	Examples of Evidence	Score Guide 0 - Inadequate 1 - Barely Adequate 2 - Adequate 3 - Good
7.1	The University/HEI recognizes post graduate training, research innovation, scholarship, and commercialization as core functions as reflected in the Strategic Plan and organizational structure.	Strategic Plan; evidence of facilities available for postgraduate training, comparable with national and international benchmarks; Handbook; Prospectus; website. QAA Council	<div> 0 1 2 3 </div> <div>     </div>

Criterion 7 –Postgraduate studies, Research, Innovation and Commercialization (Cont.)



No	Standards	Examples of Evidence	Score Guide 0 - Inadequate 1 - Barely Adequate 2 - Adequate 3 - Good
7.2	The University/HEI has established By-laws and Regulations, subject-specific guidelines (where relevant) for postgraduate degrees readily available to students, staff, and examiners.	By-laws and regulations for postgraduate degrees; subject-specific guidelines where appropriate; evidence of dissemination to prospective students and registered students; website.	<div>0 1 2 3</div> <div>○ ○ ○ ○</div>

Criterion 7 –Postgraduate studies, Research, Innovation and Commercialization (Cont.)



No	Standards	Examples of Evidence	Score Guide 0 - Inadequate 1 - Barely Adequate 2 - Adequate 3 - Good
7.3	The University/HEI has clear procedures for selection, admission, enrollment, and induction of postgraduate students.	Admission procedures in place; evidence of consistent application; evidence of induction programmes.	<div> <div>0</div> <div>1</div> <div>2</div> <div>3</div> </div> <div> <input type="radio"/> <input type="radio"/> <input type="radio"/> <input type="radio"/> </div>

Criterion 8 – Community Engagement, Consultancy and Outreach

Criterion 8 is captured in the following ‘Standards’

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.	<div>0 1 2 3</div> <div>○ ○ ○ ○</div>

Criterion 8 – Community Engagement, Consultancy and Outreach (Cont.)

No	Standards	Examples of Evidence	Score Guide 0 - Inadequate 1 - Barely Adequate 2 - Adequate 3 - Good
8.2	The University/HEI has appropriate mechanisms and adequate resources to facilitate and encourage staff and students to engage in community services, consultancy services and outreach activities for the benefit of the wider community and such programmes are widely publicized.	Documents on Policy and Strategy on community engagement; co-curricular activities; websites, leaflets, brochures and newsletters for awareness creation and publicity on expertise and resources available for community services; sponsorships sought for fiscal support.	<div> <div>0</div> <div>1</div> <div>2</div> <div>3</div> </div> <div> <input type="radio"/> <input type="radio"/> <input type="radio"/> <input type="radio"/> </div>

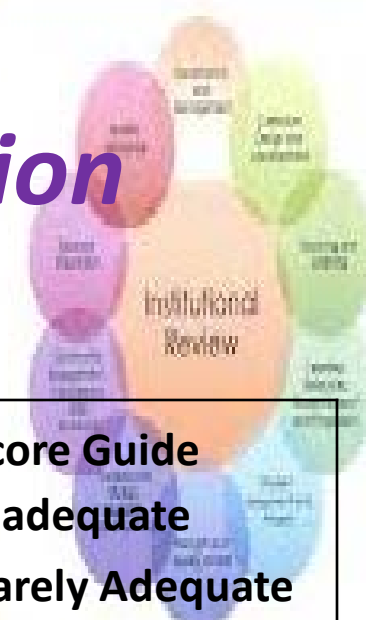
Criterion 8 – Community Engagement, Consultancy and Outreach (Cont.)

No	Standards	Examples of Evidence	Score Guide 0 - Inadequate 1 - Barely Adequate 2 - Adequate 3 - Good
8.3	The University/HEI monitors community perceptions of its activities and adopts appropriate strategies to improve the understanding and enhancement of its reputation.	Periodic surveys to assess the impact on social transformation; documents and newspaper articles where community leaders have testified to the usefulness of the programmes of engagement, interactions with schools and communities etc.	<div>0 1 2 3</div> <div>○ ○ ○ ○</div>

Criterion 9 – Distance Education

Criterion 9 is captured in the following ‘Standards’

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.	<table border="0"> <tr> <td>0</td> <td>1</td> <td>2</td> <td>3</td> </tr> <tr> <td><input type="radio"/></td> <td><input type="radio"/></td> <td><input type="radio"/></td> <td><input type="radio"/></td> </tr> </table>	0	1	2	3	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
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Criterion 9 – Distance Education (Cont.)

No	Standards	Examples of Evidence	Score Guide 0 - Inadequate 1 - Barely Adequate 2 - Adequate 3 - Good
9.2	The University/HEI offers ODL programmes through a Centre for Open and Distance Learning (CODL) in alignment with the policy framework and guidelines issued by the UGC.	By-laws of CODL; Manual of Procedures for CODL; Records on student enrollment and graduation: Records on performance of students and graduates produced through EDPs.	<div> <div>0</div> <div>1</div> <div>2</div> <div>3</div> </div> <div> <input type="radio"/> <input type="radio"/> <input type="radio"/> <input type="radio"/> </div>

Criterion 9 – Distance Education (Cont.)

No	Standards	Examples of Evidence	Score Guide 0 - Inadequate 1 - Barely Adequate 2 - Adequate 3 - Good
9.3	The University/HEI ensures that students enrolled satisfy the requirements for admission as stipulated by the UGC.	Admission criteria documents approved by the Council in alignment with UGC guidelines, applied transparently, consistently and fairly; Senate minutes.	<div> <div>0</div> <div>1</div> <div>2</div> <div>3</div> </div> <div> <input type="radio"/> <input type="radio"/> <input type="radio"/> <input type="radio"/> </div>

Criterion 10 – Quality Assurance

Criterion 10 is captured in the following ‘Standards’



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.	<div> <div>0</div> <div>1</div> <div>2</div> <div>3</div> </div> <div> <div>○</div> <div>○</div> <div>○</div> <div>○</div> </div>

Criterion 10 – Quality Assurance(Cont.)

No	Standards	Examples of Evidence	Score Guide 0 - Inadequate 1 - Barely Adequate 2 - Adequate 3 - Good
10.2	Quality assurance processes involve all sections of the University/HEI effectively integrated into the normal planning and administrative processes.	Evidence of incorporation of QA policy and strategy in Institutional Strategic Plan and Action plans of institutes/ faculties/centres/units.	<div> <div>0</div> <div>1</div> <div>2</div> <div>3</div> </div> <div> <div><input type="radio"/></div> <div><input type="radio"/></div> <div><input type="radio"/></div> <div><input type="radio"/></div> </div>

Criterion 10 – Quality Assurance(Cont.)

No	Standards	Examples of Evidence	Score Guide 0 - Inadequate 1 - Barely Adequate 2 - Adequate 3 - Good
10.3	The stated policy and associated procedures for assurance of quality and standards are communicated to all stakeholders and implemented through internal quality assurance (IQA) mechanisms.	Evidence of QA policy, and procedures communicated to all stakeholders; established IQAC and IQAU with clearly defined TOR; evidence of internal processes for self monitoring, self analysis and assessment enabling continuous quality enhancement.	<div> <div>0</div> <div>1</div> <div>2</div> <div>3</div> </div> <div> <input type="radio"/> <input type="radio"/> <input type="radio"/> <input type="radio"/> </div>

