KSU – QMS GUIDEBOOK

(1ST EDITION, APRIL 2011)

KING SAUD UNIVERSITY
QUALITY MANAGEMENT SYSTEM

APRIL, 2011

Guide to KSU – QMS Handbook (Practitioner and Professional Version, 2nd Edition, December 2010)

In 2009, King Saud University embarked on a journey towards achievement of excellence through its KSU Strategic Plan 2030. Matching this was the development of the KSU – QMS (Quality Management System) to kick start the never ending but pervasive quality journey throughout the whole institution at all levels of operations. To manage quality, a structured and systematic approach is needed to organize and manage the Quality Management System and mechanisms in KSU. The approach used in KSU is based on the following principles:

1. Quality is the role and responsibility of all members of the KSU Family as Quality is a single holistic and unified entity that creates and delivers on education value to the society and community.

2. Quality cuts across boundaries of all units that should contribute and commit to the same quality standard with the administrative units supporting and servicing the direct quality actions affecting quality performance of the institution, colleges and programs.

3. Quality brings about and enhances sharing of data, information and knowledge and learning from each other to bring about a learning organization in KSU.

4. Quality is a seamless set of actions and activities that synergizes the policies, processes, procedures and people of the institution as a single holistic entity with a singular set of mission and goals that streamlines and unifies the institution towards its commitment to the society and communities.

This KSU – QMS Guidebook (1st Edition, April 2011) is divided in 6 main sections as follows:

1. Basic Fundamentals of KSU – QMS
2. Objectives of KSU – QMS
3. Rubrics of KSU – QMS
4. KSU – QMS Quality Model
5. Assessment Fundamentals using the ADLI and LeTCI approach
6. Internal Audit and Assessment and Annual Monitoring Cycle

The KSU – QMS is designed to benefit the institution, the colleges and the programs in strives of their units' or individual quality management and improvement through:

*   A systematic approach to the quality management towards its accreditation and performance management of its educational offers and value creations.
*   A standardized set of standards and criteria that reflects generally and internationally accepted quality and accreditation criteria an in compliance with NCAAA.
*   An internationally accepted performance scoring system that provides a snapshot of the annual quality performance that can be used as an internal performance management system of the college and program.
*   A system to identify potential strengths, opportunities for improvements and to set up action plans for further and continuous improvements, based on the annual performance analysis and assessment.
*   An annual monitoring system to assure their quality strives over a period of time that supports trend analysis of its KPI and performance assessment.

I. Basic Fundamentals of KSU – QMS

Basically there are 3 very fundamental steps that the KSU – QMS will address in achieving its quality mission and objectives of the KSU's endeavor towards its 2030 KSU Vision and Mission. This can be depicted by the 3 generic steps that exist in all quality strives of identifying:

Step 1: Organization Profile – Define who you are & what is important to you which needs to be identified first as what the institution do is based on why, what and how the institution exists, and what are the capabilities and resources that it can use to achieve its ends means in terms of:

> ➤ Vision, Mission, Goals and Objectives
> ➤ Core capabilities and competencies
> ➤ Products, customers
> ➤ Workforce, facilities
> ➤ Competitors, strategic challenges/advantages
> (Audit and Assessment is normally referenced to these key profiles)

Step 2: How does KSU run itself? – This would mean identifying the key processes and its criteria. So the key question that needs to be addressed is "What are the KEY or CORE processes?" in terms of its:

> ➤ Leadership and Governance
> ➤ Strategic Plan (development and deployment)
> ➤ Customer and Stakeholders (engagement, voice of customer, value)
> ➤ Measurement, Analysis and Knowledge Management (organization performance, information and knowledge management)
> ➤ Workforce (engagement, enrichment, development and assessment, capability and capacity and climate)
> ➤ Education Process Management (work systems design, key work processes, processes management and improvement)
> (Audit and Assessment of the Processes are normally in terms of the ADLI – Approach, Deployment, Learning and Integration)

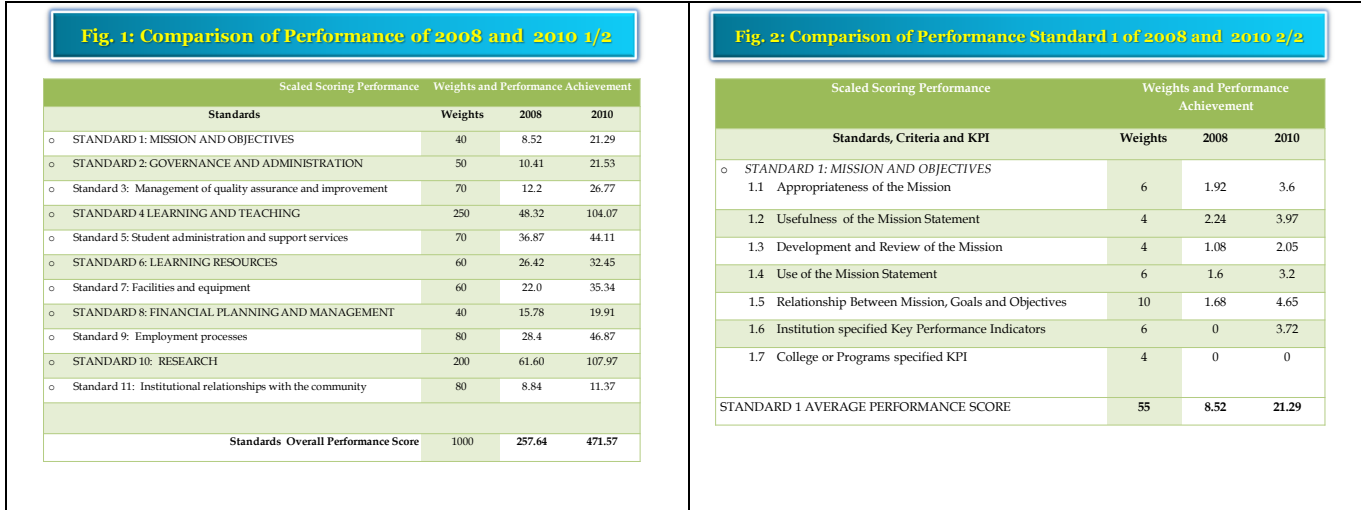**Step 3: What are the results that KSU intend to achieve?**

> ➤ What are your key measures?
> ➤ Are you measuring what you should be measuring to support the Organizational Profile and Process Categories?
> (Audit and Assessment of the Results are normally in terms of the LeTCI – Level, Trend, Comparison and Integration)
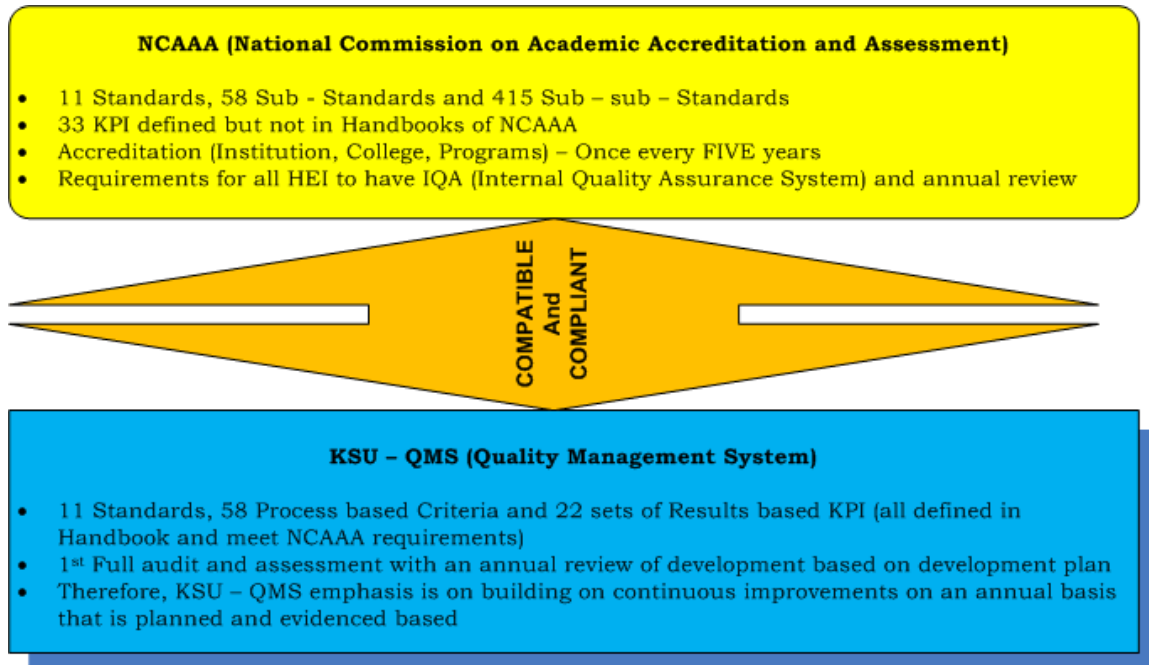
II. Objectives of KSU – QMS

NCAAA requires that all academic institutions, colleges and programs have an IQA (Internal Quality Assurance) system. As such, in 2009 KSU initiated the institution quality management system called the KSU – QMS (Quality Management System). Based on the fundamentals above, the end outcomes desired of the KSU – QMS (key features summarized in Appendix 1) are that the KSU – QMS is used to audit and assess the quality performance of the institution, college or programs to provide a comparative and summative performance progress report:

> o Assess the performance of the institution, college or program based on the KSU – QMS NCAAA compliant Standards and Criteria through the use of an internationally accepted scoring methodology (MBNQA – Malcolm Baldrige National Quality Award) on a scale of 1000 as shown in the Figures 1 and 2.

- o Provide a comparative picture of performance assessment across the different programs or colleges.
- o Determine the Strengths or Opportunities for improvements on a year-on-year basis for progressive continuous improvements over the years of the college or programs leading to accreditation on a 5-year cyclical basis.

Fig. 1: Comparison of Performance of 2008 and 2010 1/2

	Scaled Scoring Performance	Weights and Performance Achievement		
Standards		**Weights**	**2008**	**2010**
o STANDARD 1: MISSION AND OBJECTIVES		40	8.52	21.29
o STANDARD 2: GOVERNANCE AND ADMINISTRATION		50	10.41	21.53
o Standard 3: Management of quality assurance and improvement		70	12.2	26.77
o STANDARD 4 LEARNING AND TEACHING		250	48.32	104.07
o Standard 5: Student administration and support services		70	36.87	44.11
o STANDARD 6: LEARNING RESOURCES		60	26.42	32.45
o Standard 7: Facilities and equipment		60	22.0	35.34
o STANDARD 8: FINANCIAL PLANNING AND MANAGEMENT		40	15.78	19.91
o Standard 9: Employment processes		80	28.4	46.87
o STANDARD 10: RESEARCH		200	61.60	107.97
o Standard 11: Institutional relationships with the community		80	8.84	11.37
Standards Overall Performance Score		1000	257.64	471.57

Fig. 2: Comparison of Performance Standard 1 of 2008 and 2010 2/2

	Scaled Scoring Performance	Weights and Performance Achievement		
Standards, Criteria and KPI		**Weights**	**2008**	**2010**
o *STANDARD 1: MISSION AND OBJECTIVES*				
1.1 Appropriateness of the Mission		6	1.92	3.6
1.2 Usefulness of the Mission Statement		4	2.24	3.97
1.3 Development and Review of the Mission		4	1.08	2.05
1.4 Use of the Mission Statement		6	1.6	3.2
1.5 Relationship Between Mission, Goals and Objectives		10	1.68	4.65
1.6 Institution specified Key Performance Indicators		6	0	3.72
1.7 College or Programs specified KPI		4	0	0
STANDARD 1 AVERAGE PERFORMANCE SCORE		55	8.52	21.29

III. Rubrics of KSU – QMS

Fig 3: Rubrics of KSU – QMS compliance with NCAAA

To ensure compliance with the NCAAA, the NCAAA 11 Standards and 58 Sub-Standards and 415 Sub-sub-standards are used as the blueprint (Fig. 3) for the Standards, Criteria and Items of the KSU – QMS Quality Model (Fig. 5). The Standards, Criteria and Items as used in the KSU –

QMS is explained in Figure 4 as shown for Standard 1, Criteria 1.2 and the Items 1.1.1 to 1.1.4. Performance assessment is based on the evaluation of performance of the items in each of the criteria with all the criteria making up a specific standard. Another rationale is that a completely new set of standards and criteria not compliant with NCAAA will bring about an IQA that does not support the EQA (Accreditation by NCAAA).

KSU combines the institutional requirements and the program requirements into one standardized set that are applicable at the institutional, college or program level. The key rationale is that the same standards and criteria can be cascaded from top to bottom and is comparable across all program areas, and that the overall performance of the institution is based on the holistic accumulation and aggregations of the sum total efforts of all the colleges and programs culminating in the institutional performance. As such, KSU will maintain one singular set of quality standards, criteria and items that are applicable at the institutional, collegial or program levels, ultimately called the KSU – QMS Handbook (King Saud University Quality Management System Handbook – 2nd Edition for Practitioner, December 2010) and KSU – QMS Handbook (King Saud University Quality Management System Handbook – 2nd Edition for Professional, December 2010).

KSU – QMS Standards, Criteria and Items	Explanations
o **Standard 1: Mission and Objectives**	**STANDARD Requirement**
1.1 Appropriateness of the Mission	**1.1 CRITERIA Requirement**
1.1.1 The mission for the college and program should be consistent with the mission of the institution, and the institution's mission with the establishment charter of the institution.	**1.1.1 ITEM details Requirement**
1.1.2 The mission should establish directions for the development of the institution, colleges or programs that are appropriate for the institution, colleges or programs of its type and be relevant to and serve the needs of students and communities in Saudi Arabia.	**1.1.2 ITEM details Requirement**
1.1.3 The mission should be consistent with Islamic beliefs and values and the economics and cultural requirements of the Kingdom of Saudi Arabia.	**1.1.3 ITEM details Requirement**
1.1.4 The mission should be explained to its stakeholders in ways that demonstrate its appropriateness.	**1.1.4 ITEM details Requirement**

Figure 4: Explanation of Standard, Criteria and Item requirement

The sample Standard 1, Criteria 1.1 and Items 1.1.1 to 1.1.4 illustrated above in Figure 4 shows the depth levels used in each of the standard with its explanation as discussed below:

- *Standard –* This defines one of the key categorical areas in the academic performance audit and assessment, of which there are 11 key standards used to audit and assess the performance and achievements of the institution, college or programs. This represents the **OVERALL STANDARD REQUIREMENT**. Satisfying this requirement does not mean that the entire criteria requirements had been met or achieved, of which only a partial set might have been accomplished leading to the overall performance scoring to be reduced.

- *Criteria –* This defines the main sub-components of each of standard or sub-categorical area. This means that in evaluating the standards performance, there are areas of emphasis within the same category and normally this would comprehensively covers the key sub-components of each standard or category. This represents the **CRITERIA REQUIREMENT**. The achievement of the overall requirement is based on fulfilling the entire set of criteria requirement which

means that all the sub-components must be addressed. Satisfying this requirement does not mean that the entire Standard requirements had been met or achieved. Partial criteria accomplishment will lead to the overall standard performance scoring to be reduced.

- *Items –* This defines the intricate details or item requirements of each of the criterion detailing the elaborate mechanisms that need to be established and implemented or addressed in order to achieve the criterion. This represents the **ITEM REQUIREMENT**. The full achievement of the performance of each criterion is the comprehensive achievement of each and every item in each criterion that leads to the accomplishments of the entire criteria set.

As such the KSU – QMS has a set of 58 process based criteria, which are based on NCAAA. Based on the KSU – QMS Performance Excellence Model, there is also another set of results-based criteria, of which 2 sets of KPI are defined:

- 1 Generic set of KPI for the 11 standards that are applicable across the institution, college or program; there are 29 quantitative KPI and 35 qualitative KPI totaling 64 KPI.
- 1 College or program defined set of KPI unique to the operations of the college or program

IV.   KSU – QMS Quality Model

Fig 5: KSU – QMS Quality Model © 2010 KING SAUD UNIVERSITY
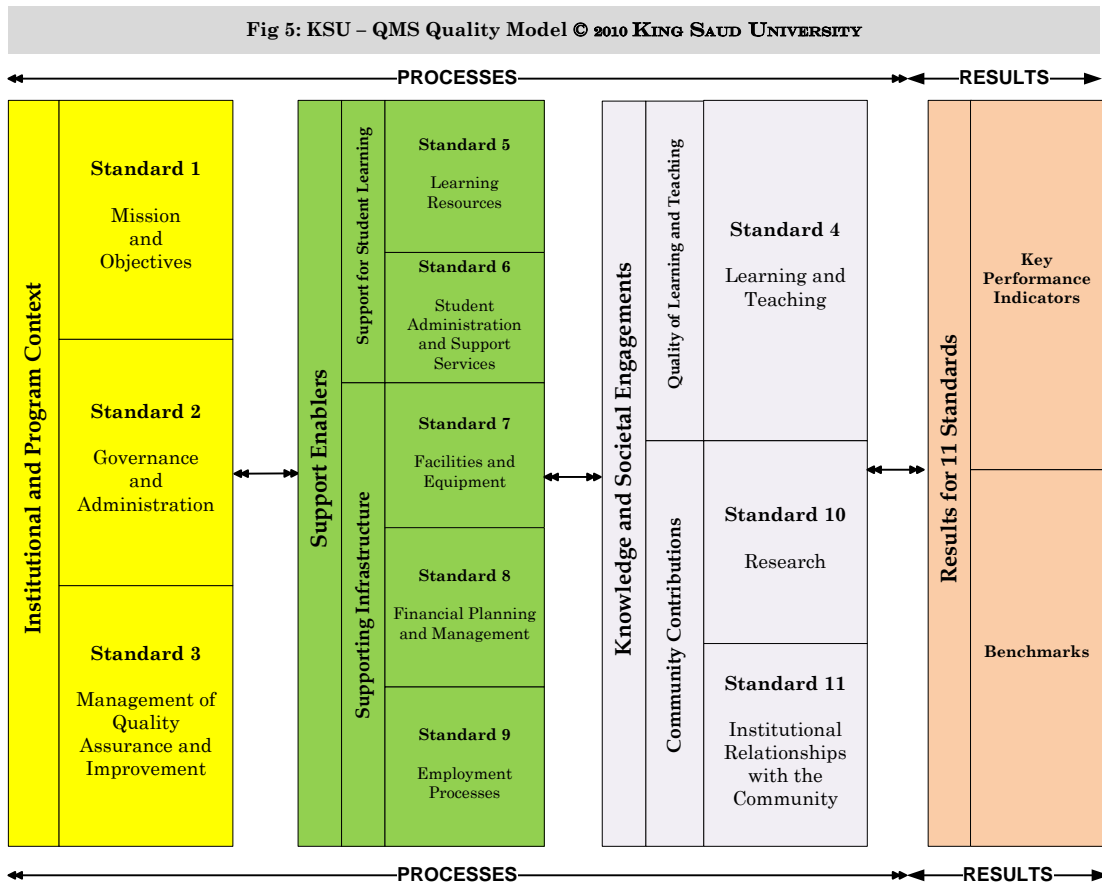
As shown in Fig. 5, in the KSU – QMS Quality Model, based on the internationally accepted MBNQA and EFQM, there are two groups of Criteria: 11 sets of Process-based Criteria based on the NCAAA Standards and Results-based Criteria based on the KPI as developed by the university. In the Model, there are four main groupings of the KSU – QMS Standards and KPI (details are shown in Appendix 2 and 3) of:

1. **Institutional and Program Context (Process-based Criteria) –** This is the main "umbrella" or supra component that brings strategic directions to tie together the other operational components. Leadership is needed to spearhead the commitment to quality improvements and innovations that affects performance excellence throughout the whole organization governance and administration, supported by the omnipotent and pervasive Quality Management System. As such, Standards 1, 2 and 3 are put under this institutional and program context.

2. **Support Enablers (Process-based Criteria) –** A key set of competence and capabilities that supports the success of the academic elements are the key support enablers. These would consist of the support infrastructure of facilities and equipments to support a conducive teaching and learning environment, financial management as the life blood feeding all elements of the organizational resources, human resources focus of engaging and empowering the "human capitals" through development and motivational efforts to push forward the frontiers of performance excellence. This also includes the support for student learning of the learning resources and students services which are critical and central to the success of the student learning experiences.

3. **Knowledge and Societal Engagements (Process-based Criteria) –** This represents the heart and soul of the institution of quality teaching and learning by the human capital to push forward the frontiers of teaching, learning, research and societal contributions through knowledge development, creation and sharing for the benefits of societal development.

4. **Results (Results-based Criteria) –** This is based on the mantra of "management through measurement" in the beliefs that measurements of performance of the key educational processes in the Standards 1 to 11 can support better management of the educational values and commitment to the stakeholders based on the institution's strategic intent, its vision, mission and values. These are shown by their KPI (Key Performance Indicators) and Benchmarks for comparative performance.

As there are two main sets of criteria, the Process-based criteria of the 11 Standards, and the Results-based criteria of the KPI (both qualitative and qualitative), the assessment is based on the MBNQA of ADLI for the Process-based criteria and the LeTCI for the Results-based Criteria. Explanation of the ADLI and LeTCI assessment approach is shown in Fig. 5. The total points for all the 11 sets of Standards and KPI is based on 1000 points, of which different weights will be allocated to the Standards, Criteria. Items and KPI based on the institution mission and context. The scoring is based on a 100 % for each item assessed multiplied by the weight to arrive at a weighted score for each item summating to the criterion and each of the criterion summating to the overall performance. The scores for all the Standards and KPI are summated to 1000 as illustrated in the example of performance assessment in Figures 1 and 2. The performance assessment approach using the ADLI and LeTCI to assess the processes and the results are explained in Section V.

To provide an appropriate assessment framework, weights are assigned based on a 1000 points scale. The weight allocated for each of the 11 Standards and its Criteria is based on the rationale of the vision and mission of the university and the key responsibilities of a university. Based on the above rationale, the assignment of the weights for each of the standards and criteria for the KSU – QMS as shown in Appendix 2 is based on the following principles:

- The basic and priority mission of a higher education institution is teaching, learning and research and social services which form the fundamental reasons for the existence of the institution or its mission.
- The KSU mission of being a research university and also laying a stronger foundation in its existing teaching and learning as this is a priority mission of all higher education institutions that contributes to the societal and social development of the nation.
- The student-centered approach whereby the teaching – learning must shift from a teacher-centered to the student-centered to fully develop all the key components of the students based on the Qualification Framework of KSA.
- The service and support infrastructure of the supporting administrative units not attached to the colleges but are of critical importance in the successful service support of the academic programs.

V.   Assessment Fundamentals using the ADLI and LeTCI approach

In any organization there are two main set of fundamentals underlying all areas of operation, which were identified earlier as the key PROCESSES used in achieving the mission of the organization. These processes will lead to certain outputs and outcomes in terms of a specific set of RESULTS. Performance assessment must be determined of the processes and the results, and for the processes, the ADLI approach is used, while the LeTCI is used for the results assessment. As shown in Figure 6, ADLI is used for the assessment of the Process – Based Criteria and LeTCI is used for the assessment of Results – Based Criteria (which are normally the KPI – Key Performance Indicators that can be both quantitative of Qualitative). The definition of ADLI and LeTCI are also shown in Figure 6.
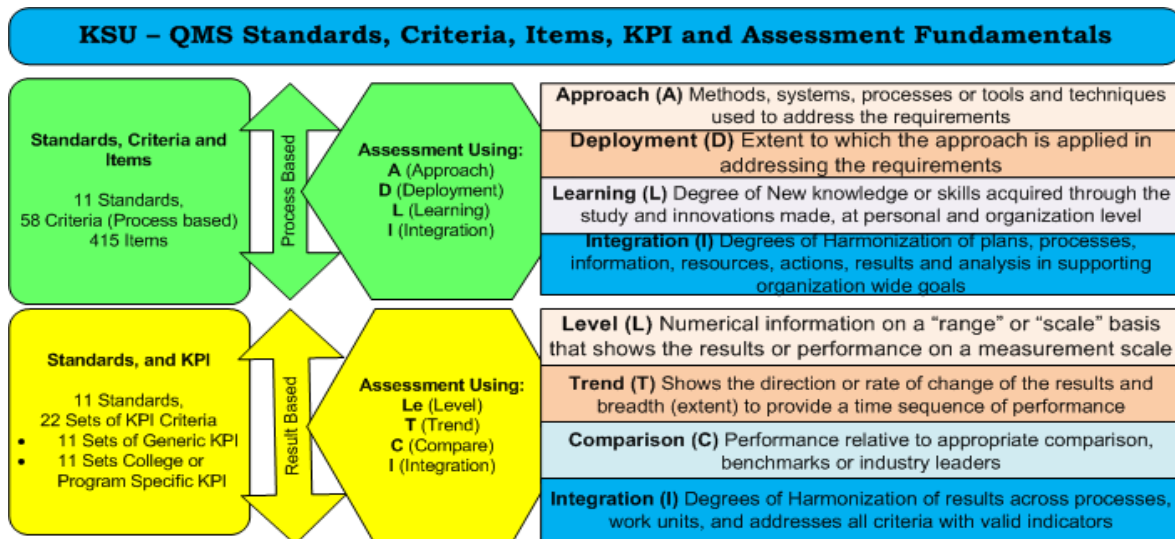

Fig. 6: Assessment fundamentals of the Standards and KPI using the ADLI and LeTCI approach

What exactly are ADLI and LeTCI? These are some of the questions that can be used as the guides in the assessment of:

- ➢ **The PROCESS based criteria**:
    - ○ **APPROACH:** How do you do it? What are the steps in your process? How repeatable is it?

- o **DEPLOYMENT:** Is your approach consistently applied across your organization? Who uses it?
- o **LEARNING:** Do you refine your approach through systematic evaluation and improvement?
- o **INTEGRATION:** Is your approach aligned with your organizational needs? How is it linked to other approaches/processes?

An example can be shown for the Employee Performance Review as follows:

- • **APPROACH:** Annual process with standardized tool **(SYSTEMATIC – which is repeatable and replicable)**
- • **DEPLOYMENT:** Every employee, all levels of the organization, all departments and sections **(DEPTH and WIDTH)**
- • **LEARNING:** Annual evaluation & improvement by Workforce Team & HR **(CONTINUOUS IMPROVEMENTS and INNOVATIONS)**
- • **INTEGRATION**
  - – Behavior Standards, Values, Key Customer Requirements, Core Competencies, Personal Goal Cards
  - – Building Blocks of Leadership
  - – Balanced scorecard: Timely completion of performance reviews

➢ **The RESULTS based criteria**:
- o **LEVELS:** What is your current performance? **(PERFORMANCE ANALYSIS)**
- o **TRENDS:** How have you performed over time? **(TREND ANALYSIS)**
- o **COMPARISONS:** How does your performance compare to other organizations? **(BENCHMARKING)**
- o **INTEGRATION:** Do you segment your results? Do you show results for important customers, products/services, markets, processes?
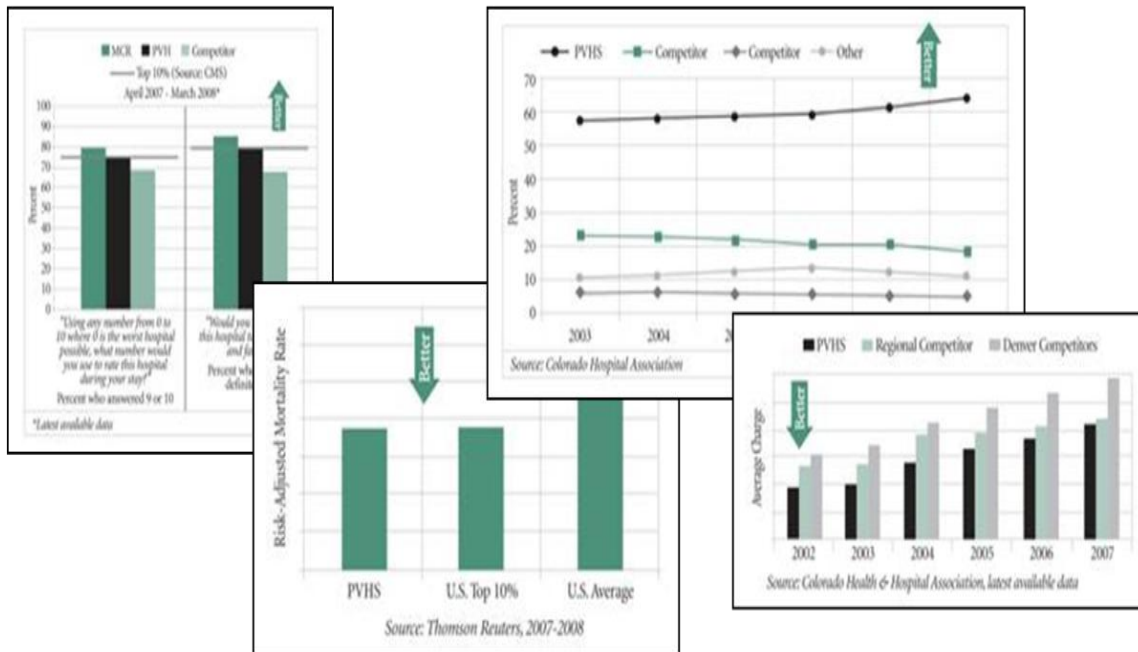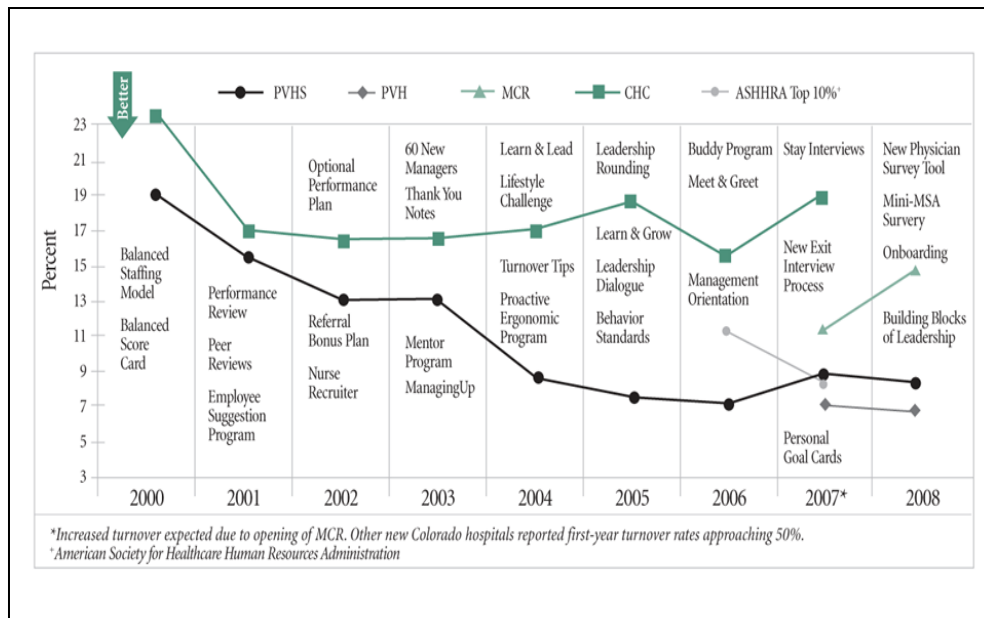
Figure 7: Results based criteria Performance depicted graphically for trend analysis

An example of the Employee Results of the Staff Voluntary Turnover can be depicted graphically as shown below, with other examples (Figure 7) also shown of the use of graphs to depict the performance trends. These results performance trends as best depicted graphically to provide a 3 to 5 years performance trend analysis which should also be shown with comparative benchmarks, if available.

Fig. 8: Performance Scoring Sample of a full Standard 1 and its Criteria 1.1 to 1.7

1st Column	2nd Column	3rd Column	4th Column	5th Column	6th Column	7th Column	8th Column	9th Column	10th Column
KSU – QMS Performance Scoring Worksheet	Weights	Score (%)	Weighted Score	Goals Set	Goals Achv.	Develop.	Effective	Previous Perf.	Overall Perf.
Overall Institution / College / Program Score	1000	35%	350.00						316.14
Standard 1 Mission, Goals and Objectives	40	52%	20.8					10.6	16.14
1.1 Appropriateness of the Mission	6	60%	3.6	0.5	0.60	1	1	1.6	3.6
1.2 Usefulness of the Mission Statement	4	60%	2.4	0.6	0.60	1	1	1.8	2.4
1.3 Development and Review of the Mission	4	50%	2	0.5	0.50	1	1	1.6	2.0
1.4 Use Made of the Mission	6	60%	3.6	0.5	0.60	1	1	2.1	3.6
1.5 Relationship Between Mission, Goals and Objectives	10	30%	3	0.5	0.30	0	0	2.5	2.9
1.6 Institution specified Key Performance Indicators	6	30 %	1.8	0.5	0.30	0	0	1.0	1.64
1.7 College or Programs specified KPI	4	0 %	0	0.5	0.00	0	0	0	0

The scoring guidelines for the process – based criteria using the ADLI and theresults – based criteria using the LeTCI are shown in Appendix 4 and 5 respectively. Figure 8 shows a worked example of the performance scoring of Standard 1 which has a weight of 40 out of the 1000 points for the 11 Standards. As noted earlier, the weight for each Standard is assigned based on the vision and mission of the institution. Key highlights:

- As shown in the 10th Column, the overall performance for the academic year 2010 for all the Standards is 316.14/1000. This means that the institution has systematic approaches for each of its Criteria 1.1. to 1.5 that are in the early stages of deployment throughout the whole university system and its colleges and programs. It also shows the result performance that do show some reports of KPI performance level and the beginning of some trends performance at the institution level, but not at the college or program levels.
- For Standard 1, the institution performance 16.14 (10th Column) as compared to the previous performance of 10.6 (9th Column).
- The "goals set" (5th Column) at the beginning of the year as compared to the "goals achieved" (6th Column) is relatively better for all the Criteria 1.1 to 1.4 with the exception of Criteria 1,5 and 1.6 and no performance improvements recorded for Criteria 1,7.
- Overall, it can be said that there is improvements made from 2010 as compared to the previous year performance.
- The next step is to identify the strengths and opportunities for improvements and put them into the next academic year action plans for continuous development and improvements.

VI.   Internal Audit and Assessment and Annual Monitoring Cycle
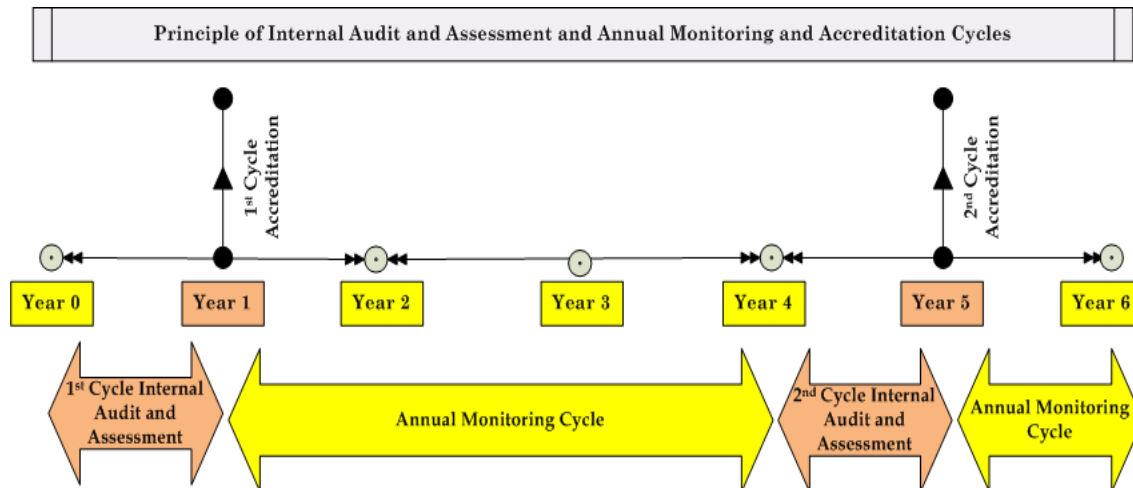

Figure 9: Internal Audit and Assessment and Annual Monitoring and accreditation Cycle

The NCAAA requires that an institution, college and programs go for a periodic 5-year accreditation cycle. An accreditation requires external review and assessment of its performance. The KSU – QMS which is the IQA of the institution, college and program has provided for an external university appointed Board of Assessors to review, evaluate and assess the institution, college or program in the Internal Audit and Assessment exercise conducted before the accreditation exercise (Figure 9). In between the accreditation cycles, there will be an annual monitoring of the institution, college and programs that would not entail a full internal audit and assessment exercise but maintain and sustain a progressive continuous quality improvement to provide evidence of progressive improvement on an annual basis as planned. This is to ensure that quality in maintained and sustained on an annual basis with evidence of progressive continuous improvements over the periods leading up to the next accreditation cycle. The similarities and differences of the Internal Audit and Assessment Cycle are detailed in Appendix 6.

- **Internal Audit and Assessment Cycle –** The KSU – QMS is the main system used by KSU to manage the quality within the KSU system that covers the institution, colleges and program. As all colleges and programs in KSU and KSA has to be accredited by NCAAA, which requires that all colleges and programs have an IQA and that the college and programs have external reviews, it is the essential that the colleges and programs use this as their de facto internal quality management system. The KSU – QMS provides both the fundamentals of an IQA and requisite external review as this is done through the Internal Audit and Assessment processes, and is assessed by an independent Board of Assessors. This Internal Audit and Assessment is only conducted before the College or programs goes for their every 5 years mandatory NCAAA accreditation, and is interspersed with an annual monitoring cycle (Fig.9).
- **Annual Monitoring Cycle –** The main monitoring normally takes place at the core of the educational processes which is represented by the colleges and the programs and their programs offerings. At the same time, it is essential that the institution is able to understand and synthesizes all the programs' offerings to ensure and assure that they achieve the institution's vision and mission and that of the college. As such, the annual monitoring process is aimed at capturing the quality feedback loop on an annual basis to ensure that the quality drives is maintained and sustained through continuous improvements from once accreditation cycle to another. It does not necessitate a full internal audit and assessment as requirement in preparation of the cyclical accreditation 5 years period. But it does need to ensure that the periods in between the accreditation cycle still sustain the continuous improvements that culminate in the 2nd Internal Audit and Assessment Cycle.

In conclusion, the KSU – QMS is the main mechanism or system set up to support and ensure the following:

- A systematic approach is designed to provide a performance assessment system of the main processes used to achieve a set of results based on its education mission to create and deliver educational value to the stakeholders and society.
- An internationally accepted assessment methodology that is a key benchmarked performance assessment methodology used in many countries for organizational performance assessment for quality awards.
- That the assessment methodology using the ADLI and LeTCI provides a set of concrete and constructive but objective performance assessment of the key educational processes and the results based on the KSU – QMS Quality Model.
- That the assessment can identify key strengths and opprtuities for improvements that brings about continuous improvements and innovations in the never-ending quality journey and strive for excellence.

As there is no perfect model, continuous improvements to the system and model is anticipated. But presently, it is hoped that the extant KSU – QMS can be used by the KSU communities of scholars as a main system to create and deliver on educational values of which KSU anticipates the commitment of one and all in KSU. We wish everyone the best in their quality journey and continuous strive for educational excellence.

Appendix 1: Key Features of the KSU – QMS Quality Performance Excellence System
Standards, Criteria and Items: • 1 comprehensive set of Standards, Criteria and Items applicable for the institution, college and program, as the performance of the programs aggregates and summates into the college and ultimately the institution performance • There are 11 Standards and 58 Criteria based on the NCAAA institution set which are classified as **Process-Based Criteria** • The KPI and Benchmark are classified as the **Results-Based Criteria**
KPI (Key Performance Indicators): • Has two sets of KPI: ➢ A generic set defined by the institution for all programs and the institution as a whole ➢ A set to be defined by the institution and program • The generic set of KPI are applicable across board to all programs which are aggregated and summated into the overall college and institution performance ➢ 2 sets of KPI are used, Qualitative and Quantitative KPI ➢ The Qualitative set uses a PDCA and ADLI criteria to determine the performance level criteria ➢ The quantitative set uses the normal percentage, ratios or numeric to determine the performance ranges
Internal Audit and Assessment and Annual Monitoring: • The institution and program does a self-assessment and prepares an assessment report and is assessed by an external team (Board of Assessors) appointed by KSU for the internal audit and assessment before the 5-year cyclical accreditation cycle. • After the institution, college or programs has attained the accreditation, the period between the next accreditation cycle will be the annual monitoring whereby the institution, college or programs has to maintain and sustain their progressive annual quality continuous improvements as planned. • Strengths, Opportunities for improvement and evidence are documented in the Self – Study Report (SSR) which is the main report used in both the Internal Audit and Assessment and Annual Monitoring.
Management: • The SSR will be used as the basis of an annual operation plan for continuous improvement and innovation by the institution, college or program • The annual operation plan is linked to the roll-over of the institution or program strategic plan
Assessment Approach (explained in detail in Chapter 3 of KSU – QMS Handbook, Practitioner Edition): • The overall performance is based on the weighted scoring for both the Process-based and Results-based Criteria leading to a 1000 points scale system. • The overall performance of the institution, college or program is the summation both the Process-based Standards, Criteria and Items Values and the Results-based KPI. • A 6 levels Scaled Performance Scoring System using a weighted score approach is used to determine the performance of each Process-Based Criteria and Result-Based Criteria contributing to 80% of the overall performance achievement score • The performance of each criteria also takes into account the "goals set" and "goals achieved" leading to "development" and "effectiveness" being measured contributing to remaining 20% of the performance achievement score. • The Items and Criteria are summated and aggregated into the determination of performance for each Standard which forms the Process-based Criteria • The KPI forms the Results-based Criteria
Assessment Time Frame: • The annual monitoring is done on an annual basis that coincides with the annual academic planning cycle, whereas the internal audit and assessment is done prior to the application for accreditation. • The annual monitoring supplemented by the internal audit and assessment prior to accreditation will

lead to the 5 – year accreditation cycle.

Reports:

- Has a generic context and content format for the self-study and assessment report for the institution, college and program called the Self – Study Report (SSR).
- Has an independent QPAR (Quality Performance Assessment Report) that parallels the self-assessment of the college prepared by the Board of Assessors after the internal audit and assessment.
- The SSR and QPAR of each of the program aggregate and summate into the annual College Performance Report all of which will aggregate and summate into the Institution Performance Report.

Appendix 2: KSU – QMS Standards, Criteria and Weights

KSU – QMS Standards and Criteria	Weights (1000 points)
o **Standard 1: Mission and Objectives**	**40 points**
1.1 Appropriateness of the Mission	6
1.2 Usefulness of the Mission Statement	4
1.3 Development and Review of the Mission	4
1.4 Use of the Mission Statement	6
1.5 Relationship Between Mission, Goals and Objectives	10
1.6 Institution Specified KPI	6
1.7 College or Program specified KPI	4
o **Standard 2: Governance and Administration**	**50 points**
2.1 Governing Body	5
2.2 Leadership	5
2.3 Planning Processes	5
2.4 Relationship Between Sections for Male and Female Students	4
2.5 Integrity	4
2.6 Policies and Regulations	5
2.7 Organizational Climate	5
2.8 Associated Centers and Controlled Entities	4
2.9 Institution Specified KPI	9
2.10 College or Program specified KPI	0
o **Standard 3: Management of Quality Assurance and Improvement**	**70 points**
3.1 Commitment to Quality Improvement	7
3.2 Scope of Quality Assurance Processes	7
3.3 Administration of Quality Assurance Processes	18
3.4 Use of Indicators and Benchmarks	6
3.5 Independent Verification of Standards	6
3.6 Institution Specified KPI	18
3.7 College or Program specified KPI	8
o **Standard 4: Learning and Teaching**	**250 points**
4.1 Oversight of Quality of Learning and Teaching	24
4.2 Student Learning Outcomes	20
4.3 Program Development Processes	18
4.4 Program Evaluation and Review Processes	24
4.5 Student Assessment	15
4.6 Educational Assistance for Students	18
4.7 Quality of Teaching	24
4.8 Support for Improvements in Quality of Teaching	15
4.9 Qualifications and Experience of Teaching Staff	15
4.10 Field Experience Activities	24
4.11 Partnership Arrangements with Other Institutions	17
4.12 Institution Specified KPI	24
4.13 College or Program specified KPI	12
o **Standard 5: Student Administration and Support Services**	**70 points**
5.1 Student Admissions	12
5.2 Student Records	8
5.3 Student Management	8
5.4 Planning and Evaluation of Student Services	7
5.5 Medical and Counseling Services	6
5.6 Extra Curricular Activities for Students	5
5.7 Institution Specified KPI	12
5.8 College or Program specified KPI	12
o **Standard 6: Learning Resources**	**60 points**
6.1 Planning and Evaluation	15
6.2 Organization	8
6.3 Support for Users	7
6.4 Resources and Facilities	9
6.5 Institution Specified KPI	12
6.6 College or Program specified KPI	9

o	**Standard 7: Facilities and Equipment**		**60 points**
7.1	Policy and Planning		**6**
7.2	Quality of and Adequacy of Facilities		**9**
7.3	Management and Administration		**8**
7.4	Information Technology		**11**
7.5	Student Residences		**8**
7.6	Institution Specified KPI		**9**
7.7	College or Program specified KPI		**9**
o	**Standard 8: Financial Planning and Management**		**40 points**
8.1	Financial Planning and Budgeting		**9**
8.2	Financial Management		**9**
8.3	Auditing and Risk Management		**4**
8.4	Institution Specified KPI		**14**
8.5	College or Program specified KPI		**4**
o	**Standard 9: Faculty and Staff Employment Processes**		**80 points**
9.1	Policy and Administration		**20**
9.2	Recruitment		**18**
9.3	Personal and Career Development		**22**
9.4	Discipline, Complaints and Dispute Resolution		**10**
9.5	Institution Specified KPI		**6**
9.6	College or Program specified KPI		**4**
o	**Standard 10: Research**		**200 points**
10.1	Institutional Research Policies		**45**
10.2	Faculty and Student Involvement		**40**
10.3	Commercialization of Research		**15**
10.4	Facilities and Equipment		**25**
10.5	Institution Specified KPI		**48**
10.6	College or Program specified KPI		**27**
o	**Standard 11: Institutional Relationships with the Community**		**80 points**
11.1	Institutional Policies on Community Relationships		**12**
11.2	Interactions With the Community		**24**
11.3	Institutional Reputation		**24**
11.4	Institution Specified KPI		**16**
11.5	College or Program specified KPI		**4**
Total of 11 Standards, 58 Process and 22 Results Criteria			**1000 points**

Appendix 3: KSU – QMS Standards, Criteria and KPI

KSU – QMS Categorization of Standards and Criteria based on NCAAA

Institutional Context
- o Standard 1: Mission and Objectives
- o Standard 2: Governance and Administration
- o Standard 3: Management of Quality Assurance and Improvement

Quality of Learning and Teaching
- o Standard 4: Learning and Teaching

Community Contributions
- o Standard 10: Research
- o Standard 11: Institutional Relationships with the Community

Support for Student Learning
- o Standard 5: Student Administration and Support Services
- o Standard 6: Learning Resources

Supporting Infrastructure
- o Standard 7: Facilities and Equipment
- o Standard 8: Financial Planning and Management
- o Standard 9: Faculty and Staff Employment Processes

Compliance with NCAAA Standards, Criteria and Items

The NCAAA has 58 criteria based on the 11 Standards, NCAAA do not specify their KPI in the handbooks.

KSU – QMS has 80 Criteria (58 Standards of which is fully compliant with NCAAA and 11 sets of Institution KPI and 11 sets of College specified KPI. The KSU – QMS specified 64 Institutional KPI (details of Standard, Criteria and KPI are shown in Appendix 1) as:

- Quantitative Indicators = 29
- Qualitative Indicators = 35

Appendix 3: Process-based Standards and Criteria and Results-based KPI under KSU – QMS

Institutional Context		Key Performance Indicators	
o	*Standard 1: Mission and Objectives*	1.6.1	Level of stated institution's, colleges' or programs' philosophy or commitments; processes to formulate strategy and plans, and plans are implemented; development of KPI achievement to measure the plans, implementation and achievements in all missions. *(levels)*
1.1	Appropriateness of the Mission		
1.2	Usefulness of the Mission Statement		
1.3	Development and Review of the Mission		
1.4	Use of the Mission Statement		
1.5	Relationship Between Mission, Goals and Objectives	1.6.2	Level of institution's colleges' or programs' strategy map alignment achievement with the national HE strategies *(levels)*
1.6	Key Performance Indicators		
1.7	Additional KPI of College		
		1.6.3	Percentage of institution's, colleges' or

	programs' goal s and indicators achievements according to the operational goals and indicators that is set. *(%)*

Number of Criteria = 5 Process + 2 Result	**Number of KPI = 3 (1 Quantitative, 2 Qualitative)**

o *Standard 2: Governance and Administration* 2.1 Governing Body 2.2 Leadership 2.3 Planning Processes 2.4 Relationship Between Sections for Male and Female Students 2.5 Integrity 2.6 Policies and Regulations 2.7 Organizational Climate 2.8 Associated Centers and Controlled Entities 2.9 Key Performance Indicators 2.10 Additional KPI of College	2.9.1 Level of achievement of Institution, College or Program committees and executives having the vision that drives the mission, and that reflects its policies and objectives, leading to the goal of good administration, with participative management style, emphasis on empowerment, transparency, and auditability, as well as the ability to sustain the institution, college or program to compete in the international arena. *(levels)* 2.9.2 Level of development achievement of the institution, college or program to become a learning organization, by making use of both internal and external audits *(levels)* 2.9.3 Level of success achievement of the communication and cascading of the university indicators and objectives to the college, program and personal level. *(levels)*

Number of Criteria = 8 Process + 2 Result	**Number of KPI = 3 (3 Qualitative)**

Institutional Context

o *Standard 3: Management of Quality Assurance and Improvement* 3.1 Institutional Commitment to Quality Improvement 3.2 Scope of Quality Assurance Processes 3.3 Administration of Quality Assurance Processes 3.4 Use of Indicators and Benchmarks 3.5 Independent Verification of Standards 3.6 Key Performance Indicators 3.7 Additional KPI of College	3.6.1 Percentage of students and alumni graduated in the last 3 years who are recognized in the areas of academics, or profession, or sports, health, arts and cultures, and environment at the national or international level *(%)* 3.6.2 Percentage of the full-time faculty members obtaining academic or professional awards at the national or international level. *(%)* 3.6.3 Level of development achievement of internal QA systems and mechanisms which is part of the education management process. *(levels)* 3.6.4 Level of Internal Quality Assurance systems and mechanisms achievement that bring about continuous development of education quality *(levels)* 3.6.5 Level of systems and mechanisms achievement to share QA knowledge and skills to the students. *(levels)* 3.6.6 Level of effectiveness achievement of the Internal Quality Assurance *(levels)*

Number of Criteria = 5 Process + 2 Result	**Number of KPI = 6 (2 Quantitative, 4 Qualitative)**

Quality of Learning and Teaching

o *Standard 4 Learning and Teaching*	

4.1	Oversight of Quality of Learning and Teaching	4.12.1	Level of systems and mechanisms achievement for the development and management of each curriculum. (levels)
4.2	Student Learning Outcomes		
4.3	Program Development Processes	4.12.2	Percentage of Bachelor graduates who work in their major field of study
4.4	Program Evaluation and Review Processes	4.12.3	Percentage of Programs meeting the standard criteria in proportion to the total number of programs
4.5	Student Assessment		
4.6	Educational Assistance for Students		
4.7	Quality of Teaching	4.12.4	Level of learning processes achievement which are student-centered. (Levels)
4.8	Support for Improvements in Quality of Teaching	4.12.5	Level of achievement of the Student-centered learning process, especially learning from practicum and real experiences. (levels)
4.9	Qualifications and Experience of Teaching Staff		
4.10	Field Experience Activities	4.12.6	Level of achievement of the students' satisfaction with the faculty members' quality of teaching and with the supporting resources (levels)
4.11	Partnership Arrangements with Other Institutions		
4.12	Key Performance Indicators		
4.13	Additional KPI of College	4.12.7	Number of full-time equivalent students in proportion to the total number of full-time faculty members (%)
		4.12.8	Percentage of full-time faculty members holding Doctoral degrees or equivalent in proportion to the total number of full-time faculty members
		4.12.9	Proportion of the full-time faculty members holding academic titles of teaching assistant, instructor, Assistant Professor, Associate Professor, and Professor. (%)
		4.12.10	Level of Compliance achievement of the teaching professional ethics (levels)
		4.12.11	Levels of the systems and mechanisms achievement to encourage the faculty members to conduct research for the purpose of improving the teaching and learning. (levels)
		4.12.12	Percentage of the Bachelor graduates who can secure jobs and who can be self-employed within one year. (%)

Number of Criteria = 11 Process + 2 Result	**Number of KPI = 12 (6 Quantitative, 6 Qualitative)**

Community Contributions			
o	*Standard 10: Research*	10.5.1	Percentage of articles based on the Master graduates' theses that are published in proportion to the total number of the Master graduates' theses
10.1	Institutional Research Policies		
10.2	Faculty and Student Involvement		
10.3	Commercialization of Research		
10.4	Facilities and Equipment	10.5.2	Percentage of articles based on the Doctoral graduates' dissertations that are published in proportion to the total number of the Doctoral graduates' dissertations
10.5	Key Performance Indicators		
10.6	Additional KPI of College		
		10.5.3	Number of theses/ dissertations and students' academic works awarded at the national or international level within the past 3 years (number of works)
		10.5.4	Level of development of systems and

	mechanisms achievement to support the production of research and innovation works. (levels)
10.5.5	Level of development of systems and mechanisms achievement of the Knowledge Management System for research results and innovation works. (levels)
10.5.6	Amount of internal research and innovation funds in proportion to the total number of full-time faculty members
10.5.7	Amount of external research and innovation funds in proportion to the total number of full-time faculty members
10.5.8	Percentage of full-time faculty members receiving internal research or innovation funds in proportion to the total number of full-time faculty members
10.5.9	Percentage of full-time faculty members receiving external research or innovation funds in proportion to the total number of full-time faculty members
10.5.10	Percentage of research and innovations published, disseminated and/or used at the national and international levels in proportion to the total number of full-time faculty members
10.5.11	Number of research and innovations registered as intellectual property or patented within the past 5 years
10.5.12	Percentage of research articles cited in the refereed journals or the national or international databases (e.g. ISI, ERIC) in proportion to the total number of full-time faculty members

Number of Criteria = 4 Process + 2 Result	Number of KPI = 12 (10 Quantitative, 2 Qualitative)

o **Standard 11: Institutional Relationships with the Community** 11.1 Institutional Policies on Community Relationships 11.2 Interactions With the Community 11.3 Institutional Reputation 11.4 Key Performance Indicators 11.5 Additional KPI of College	11.4.1 Level of projects or activities achievement to support the curriculum development and teaching and learning and research, in which individuals, organizations and communities from outside also participate. *(levels)* 11.4.2 Level of achievement of satisfaction of employers/ business operators/ users of graduates /alumni /parents/ graduates. *(levels)* 11.4.3 Level of the systems and mechanisms achievement to provide academic services to the society according to the goals of the institution, college or program. (levels) 11.4.4 Level of the use of the knowledge and experiences achievement derived from the academic and professional services to develop the teaching and learning and

	research (levels)
	11.4.5 Level of success achievement in providing academic and professional services to external communities according to the institution, college or program mission *(levels)*
	11.4.6 <mark>Percentage of academic and professional service activities/ projects responding to the needs of developing and strengthening the society, community, country and the international community in proportion to the total number of full-time faculty members</mark>
	11.4.7 <mark>Number of nationally or internationally recognized centers or networks that provide academic and professional services (Number of centers or networks)</mark>
	11.4.8 Level of the success achievement of the opportunity for the external stakeholders to participate in the development of the college.*(levels)*
Number of Criteria = 3 Process + 2 Result	**Number of KPI = 8 (<mark>2 Quantitative,</mark> 6 Qualitative)**

Support for Student Learning	
o *Standard 5: Student Administration and Support Services* 5.1 Student Admissions 5.2 Student Records 5.3 Student Management 5.4 Planning and Evaluation of Student Services 5.5 Medical and Counseling Services 5.6 Extra Curricular Activities for Students 5.7 Key Performance Indicators 5.8 Additional KPI of College	5.7.1 Level of Services achievement provided for students. *(levels)* 5.7.2 Level of promotions of student activities achievement which are complete and in line with the desirable characteristics of the graduates. *(levels)* 5.7.3 <mark>Percentage of students participating in student development activities/projects in proportion to the total number of full-time students</mark>
Number of Criteria = 6 Process + 2 Result	**Number of KPI = 3 (<mark>1 Quantitative,</mark> 2 Qualitative)**

o *Standard 6: Learning Resources* 6.1 Planning and Evaluation 6.2 Organization 6.3 Support for Users 6.4 Resources and Facilities 6.5 Key Performance Indicators 6.6 Additional KPI of College	6.5.1 Level of capacity and capability achievement of the learning resources supportive of the management, teaching and learning, and research *(levels)* 6.5.2 Level of management and administration achievement of the learning resources supporting the goals of the colleges in achieving their academic mission *(levels)* 6.5.3 Level of learning resources achievement meeting the needs of the colleges and the stakeholders *(levels)* 6.5.4 Level of quality achievement of learning resources and facilities in supporting a conducive learning and social environment *(levels)*
Number of Criteria = 4 Process + 2 Result	**Number of KPI = 4 (4 Qualitative)**

Supporting Infrastructure	
o **Standard 7: Facilities and Equipment** 7.1 Policy and Planning 7.2 Quality of and Adequacy of Facilities 7.3 Management and Administration 7.4 Information Technology 7.5 Student Residences 7.6 Key Performance Indicators 7.7 Additional KPI of College	7.6.1 Level of the existing and planned capacity and capability of database systems and ICT achievement supportive of management, teaching and learning, and research *(levels)* 7.6.2 Level of management and administration achievement of the facilities and equipments supporting the university, college or program in achieving the academic mission and goals *(levels)* 7.6.3 Level of student residences achievement in supporting a conducive learning and social environment *(levels)*
Number of Criteria = 5 Process + 2 Result	**Number of KPI = 3 (3 Qualitative)**
o **Standard 8: Financial Planning and Management** 8.1 Financial Planning and Budgeting 8.2 Financial Management 8.3 Auditing and Risk Management 8.4 Key Performance Indicators 8.5 Additional KPI of College	8.4.1 Level of systems and mechanisms achievement for the allocation and analysis of the expense, and for the financial and budget audit, which are effective. (levels) 8.4.2 University revenues generated from providing academic and professional services in the name of the university in proportion to the total number of full-time faculty members 8.4.3 Percentage of University expenses incurred in cash and in kind in the preservation, development and enhancement of identity, art and culture in proportion to the total operation budget 8.4.4 Percentage of net income in proportion to the total operation budget 8.4.5 Budget per head for full-time faculty members' development in the country and abroad in proportion to the total number of full-time faculty members (SR per capita) 8.4.6 Operating expenses in the library system, computers and information center in proportion to the total number of full-time students (SR per capita) 8.4.7 Level of risk management system achievement as applied in the education administration processes (levels)
Number of Criteria = 3 Process + 2 Result	**Number of KPI = 7 (5 Quantitative, 2 Qualitative)**
o **Standard 9: Employment Processes** 9.1 Policy and Administration 9.2 Recruitment 9.3 Personal and Career Development 9.4 Discipline, Complaints and Dispute Resolution 9.5 Key Performance Indicators	9.5.1 Level of systems and mechanisms achievement of human resources management so that the personnel are developed and maintained for their quality and effectiveness. (levels) 9.5.2 Percentage of full-time faculty members participating in academic conferences or

9.6 Additional KPI of College	==presenting academic works in the country and abroad==
	9.5.3 ==Percentage of full-time supporting staff who were developed in professional knowledge and skills in the country and abroad==

Number of Criteria = 4 Process + 2 Result	**Number of KPI = 3 (==2 Quantitative,== 1 Qualitative)**

Total Number of Criteria = 58 Process + 22 Result = 80 Process and Result based Criteria	**Number of KPI = 64 (==29 Quantitative,== 35 Qualitative)**

Appendix 4: Scoring Guideline for PROCESS - based Standards and Criteria Requirements

SCORE	PROCESS – based Performance Scoring Guidelines
0% or 5% OR **No Star**	The practice, though relevant, is not followed at all based on the following: ❑ No SYSTEMATIC APPROACH (methodical, orderly, regular and organize) to Standards requirements is evident; information lacks specific methods, measures, deployment mechanisms, and evaluation, improvement, and learning factors. (A) ❑ Little or no DEPLOYMENT of any SYSTEMATIC APPROACH (methodical, orderly, regular and organize) is evident. (D) ❑ An improvement orientation is not evident; improvement is achieved through reacting to problems. (L) ❑ No organizational ALIGNMENT is evident; individual standards, areas or work units operate independently. (I)
10%, 15%, 20% or **25% OR** **1 Star**	The practice is followed occasionally but the quality is poor or not evaluated based on the following: ❑ The beginning of a SYSTEMATIC APPROACH (methodical, orderly, regular and organize) to the BASIC REQUIREMENTS of the Standards is evident. (A) ❑ The APPROACH (methodical, orderly, regular and organize) is in the early stages of DEPLOYMENT in most standards or work units, inhibiting progress in achieving the basic requirements of the Standards. (D) ❑ Early stages of a transition from reacting to problems to a general improvement orientation are evident. (L) ❑ The APPROACH is ALIGNED with other standards, areas or work units largely through joint problem solving. (I)
30%, 35%, 40% **or 45% OR** **2 Stars**	The practice is usually followed but the quality is less than satisfactory based on the following: ❑ An EFFECTIVE, SYSTEMATIC APPROACH, (methodical, orderly, regular and organize) responsive to the BASIC REQUIREMENTS of the Standards, is evident. (A) ❑ The APPROACH is DEPLOYED, although some standards, areas or work units are in early stages of DEPLOYMENT. (D) ❑ The beginning of a SYSTEMATIC APPROACH (methodical, orderly, regular and organize) to evaluation and improvement of KEY PROCESSES is evident. (L) ❑ The APPROACH is in the early stages of ALIGNMENT with the basic Institution, College or Program or Administrative Unit needs identified in response to the Institution, College or Program or Administrative Unit Profile and other Process Standards. (I)
50%, 55%, 60% **or 65% OR** **3 Stars**	The practice is followed most of the time. Evidence of the effectiveness of the activity is usually obtained and indicates that satisfactory standards of performance are normally achieved although there is some room for improvement. Plans for improvement in quality are made and progress in implementation is monitored. ❑ An EFFECTIVE, SYSTEMATIC APPROACH (methodical, orderly, regular and organize), responsive to the OVERALL REQUIREMENTS of the Standards, Criteria and Items is evident. (A) ❑ The APPROACH is well DEPLOYED, although DEPLOYMENT may vary in some standards, areas or work units. (D) ❑ A fact-based, SYSTEMATIC (methodical, orderly, regular and organize) evaluation and improvement PROCESS and some organizational LEARNING are in place for improving the efficiency and EFFECTIVENESS of KEY PROCESSES. (L) ❑ The APPROACH is ALIGNED with the Institution, College or Program or Administrative Unit needs identified in response to the Institution, College or Program or Administrative Unit Profile and other Process Standards. (I)
70%, 75%, **80%, or 85% OR** **4 Stars**	The practice is followed consistently. Indicators of quality of performance are established and suggest high quality but with still some room for improvement. Plans for this improvement have been developed and are being implemented, and progress is regularly monitored and reported on. ❑ An EFFECTIVE, SYSTEMATIC APPROACH (methodical, orderly, regular and organize), responsive to the MULTIPLE REQUIREMENTS of the Standards, Criteria and Items is evident. (A) ❑ The APPROACH is well DEPLOYED, with no significant gaps. (D) ❑ Fact-based, SYSTEMATIC (methodical, orderly, regular and organize) evaluation and improvement and organizational LEARNING are KEY management tools; there is clear evidence of refinement and INNOVATION as a result of organizational-level ANALYSIS and sharing. (L) ❑ The APPROACH is INTEGRATED with the Institution, College or Program or Administrative Unit needs identified in response to the Institution, College or Program or Administrative Unit Profile and other Process Standards. (I)
90%, 95% or 100% OR **5 Stars**	The practice is followed consistently and at a very high standard, with direct evidence or independent assessments indicating superior quality in relation to other comparable institutions. Despite clear evidence of high standards of performance plans for further improvement exist with realistic strategies and timelines established. ❑ An EFFECTIVE, SYSTEMATIC APPROACH (methodical, orderly, regular and organize), fully responsive to the MULTIPLE REQUIREMENTS of the Standards, Criteria and Items is evident. (A) ❑ The APPROACH is fully DEPLOYED without significant weaknesses or gaps in any areas or work units. (D) ❑ Fact-based, SYSTEMATIC (methodical, orderly, regular and organize) evaluation and improvement and organizational LEARNING are KEY organization-wide tools; refinement and INNOVATION, backed by ANALYSIS and sharing, are evident throughout the organization. (L) ❑ The APPROACH is well INTEGRATED with the Institution, College or Program or Administrative Unit needs identified in response to the Institution, College or Program or Administrative Unit Profile and other Process Standards. (I)

Source: Adapted from NIST (2009), *Malcolm Baldrige National Quality Award 2009 Criteria for Performance Excellence*, National Institute of Standards and Technology, US Department of Commerce, Washington, DC.

Available at: www.nist.gov/ and NCAAA (National Council for Academic Assessment and Accreditation) (2008), *Self Evaluation Scales for Higher Education Institutions,* (June 2008).

Appendix 5: Scoring Guidelines for RESULTS – based KPI Criteria

SCORE	RESULTS – based Performance Scoring Guidelines
0% or 5%	❑ There are no organizational PERFORMANCE RESULTS or poor RESULTS in the standards and areas reported. ❑ TREND data are either not reported or show mainly adverse TRENDS. ❑ Comparative information is not reported. ❑ RESULTS are not reported for any standards, criteria or items or areas of importance to the Institution, College or Program or Administrative Unit KEY MISSION or Institution, College or Program or Administrative Unit requirements.
10%, 15%, 20%, or 25%	❑ A few organizational PERFORMANCE RESULTS are reported; there are some improvements and/or early good PERFORMANCE LEVELS in a few standards, criteria or items or areas. ❑ Little or no TREND data are reported, or many of the TRENDS shown are adverse. ❑ Little or no comparative information is reported. ❑ RESULTS are reported for a few standards, criteria or items or areas of importance to the Institution, College or Program or Administrative Unit KEY MISSION or Institution, College or Program or Administrative Unit requirements.
30%, 35%, 40%, or 45%	❑ Improvements and/or good PERFORMANCE LEVELS are reported in many standards or areas addressed in the Standards requirements. ❑ Early stages of developing TRENDS are evident. ❑ Early stages of obtaining comparative information are evident. ❑ RESULTS are reported for many standards, criteria or items or areas of importance to the Institution, College or Program or Administrative Unit KEY MISSION or Institution, College or Program or Administrative Unit requirements.
50%, 55%, 60%, or 65%	❑ Improvement TRENDS and/or good PERFORMANCE LEVELS are reported for most s standards, criteria or items or areas addressed in the Standards requirements. ❑ No pattern of adverse TRENDS and no poor PERFORMANCE LEVELS are evident in standards, criteria or items or areas of importance to Institution, College or Program or Administrative Unit KEY MISSION or Institution, College or Program or Administrative Unit requirements. ❑ Some TRENDS and/or current PERFORMANCE LEVELS – evaluated against relevant comparisons and/or BENCHMARK – show standards or areas of good to very good relative PERFORMANCE. ❑ Institution, College or Program or Administrative Unit PERFORMANCE RESULTS address most KEY student, STAKEHOLDER, and PROCESS requirements.
70%, 75%, 80%, or 85%	❑ Current PERFORMANCE LEVELS are good to excellent in most standards, criteria or items or areas of importance to the Standards requirements. ❑ Most improvement TRENDS and/or current PERFORMANCE LEVELS have been sustained over time. ❑ Many to most reported TRENDS and/or current PERFORMANCE LEVELS—evaluated against relevant comparisons and/or BENCHMARKS—show areas of leadership and very good relative PERFORMANCE. ❑ Institution, College or Program or Administrative Unit PERFORMANCE RESULTS address most KEY student, STAKEHOLDER, PROCESS, and ACTION PLAN requirements.
90%,95%,or 100%	❑ Current PERFORMANCE LEVELS are excellent in most standards, criteria or items or areas of importance to the Standards requirements. ❑ Excellent improvement TRENDS and/or consistently excellent PERFORMANCE LEVELS are reported in most standards, criteria or items or areas. ❑ Evidence of education sector and BENCHMARK leadership is demonstrated in many standards, criteria or items or areas. ❑ Institution, College or Program or Administrative Unit PERFORMANCE RESULTS fully address KEY student, STAKEHOLDER, PROCESS, and ACTION PLAN requirements.

Source: Adapted from NIST (2009), *Malcolm Baldrige National Quality Award 2009 Criteria for Performance Excellence. National Institute of Standards and Technology*, US Department of Commerce, Washington, D.C., Available at: www.nist.gov/

Appendix 6: Similarities and differences of Internal Audit and Assessment and the Annual Monitoring

Key Differences	
Internal Audit and Assessment	**Annual Monitoring**
✦ Is a full scale exercise that takes place before the college or program goes for the NCAAA accreditation once every 5-year.	✦ There will not be a full audit and assessment but an annual monitoring of improvements or changes made as planned for each academic year.
✦ A full Board of Assessor is appointed to audit and assess the college or program to provide a systematic external review to the college and program based on the KSU – QMS and as required by the NCAAA.	✦ The Board of Assessor (BOA) will ensure that there are continuous improvements as planned in the action plans as this is only an annual monitoring exercise with the submission of the required reports.

Key Similarities	
Internal Audit and Assessment	**Annual Monitoring**
✦ The full scale exercise is based on the KSU – QMS with a full write-up of the SSR to report on the past years performance together with the Scaled Scoring Performance Worksheet that shows the performance of each academic year leading up to the accreditation cycle.	✦ In the annual monitoring the same SSR and Scaled Scoring Performance Worksheet produced is based on the KSU – QMS. The SSR will only report changes or improvements made over the past academic year. The Scaled Scoring Performance Worksheet will produce an annual status report of its performance scoring.
✦ Both the SSR and the Scaled Scoring Performance Worksheet has to be submitted to the Deanship of Quality prior to the planned accreditation for the full Internal Audit and Assessment by the university appointed Board of Assessors.	✦ Both the SSR and the Scaled Scoring Performance Worksheet has to be submitted to the Deanship of Quality on an annual basis for monitoring to ensure that actions and activities had been planned and executed for each academic year.

✦ Key reports that needs to be submitted to the Deanship of Quality for the full internal audit and assessment are:
   ✦ College or Program Annual Report (CAR or PAR)
   ✦ SSR (full version)
   ✦ Scaled Scoring Performance Worksheet
   ✦ College or Program annual action plans
   ✦ QPAR (full version)
	✦ Key reports that needs to be submitted to the Deanship of Quality for the annual monitoring are:
	   ✦ College or Program Annual Report (CAR or PAR)
	   ✦ SSR (simplified version)
	   ✦ Scaled Scoring Performance Worksheet
	   ✦ College or Program annual action plan
	   ✦ QPAR (simplified version)