



**KSU – QMS WORK BOOK**  
**(1<sup>ST</sup> EDITION, MAY 2009)**

**KING SAUD UNIVERSITY QUALITY  
MANAGEMENT SYSTEM**

**MAY, 2009**  
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## KSU – QMS Self-Study Readiness and Assessment Performance Workbook

*Legend: SID (Statistics, Information and Documents), I (Institution), C (College)*

- SID I - A:** Institution Charter, Institution Organization or Authority Chart  
**SID C - A:** College Charter, College Organization or Authority Chart
- SID I - B:** Institution Catalog  
**SID C - B:** College Catalog
- SID I - C:** Institution Organizational Profile (Historical to present standing)  
**SID C - C:** College Organizational Profile
- SID I - D: Institutional Statistics**  
**SID C - D: Collegial Statistics**
  - SID I - D1: Intitutional Characteristics** - Number of Colleges and Programs, Faculty/Staff/Students Profile, Learning resources and facilities profile  
**SID C - D1: College Characteristics** - Number of Departments, Faculty/Staff/Students Profile, Learning resources and facilities profile
  - SID I - D2: Institutional Faculty Statistics:** Ratio of Instructor : Assistant Prof. : Associate Prof. : Professor by College, Department, by Local Vs. Expat, by Highest Degree attainment, by Geographic Distribution  
**SID C - D2: College Faculty Statistics:** Ratio of Instructor : Assistant Prof. : Associate Prof. : Professor by Department, by Local Vs. Expat, by Highest Degree attainment, by Geographic Distribution
  - SID I - D3: Institutional Staff Statistics:** Number of staff by Department, by Local Vs. Expat, by Highest Degree attainment, by Geographic Distribution  
**SID C - D3: College Staff Statistics:** Number of staff by Department, by Local Vs. Expat, by Highest Degree attainment, by Geographic Distribution
  - SID I - D4: Institutional Students Statistics:** Number of Students by College and Department, by Local Vs. Expat, by year of program, by Geographic Distribution, enrolment rate by year (1<sup>st</sup> year to 5<sup>th</sup> year), retirement and probation rate by year (1<sup>st</sup> year to 5<sup>th</sup> year), retention rate by year (1<sup>st</sup> year to 5<sup>th</sup> year)  
**SID C - D4: College Students Statistics:** Number of Students by College and Department, by Local Vs. Expat, by year of program, by Geographic Distribution, enrolment rate by year (1<sup>st</sup> year to 5<sup>th</sup> year), retirement and probation rate by year (1<sup>st</sup> year to 5<sup>th</sup> year), retention rate by year (1<sup>st</sup> year to 5<sup>th</sup> year)
  - SID I - D5: Institution Learning Resources Statistics:** Number and Types of Learning resource availability, utilization rate by faculty, staff and students  
**SID C - D5: College Learning Resources Statistics:** Number and Types of Learning resource availability, utilization rate by faculty, staff and students

## STANDARD 1: MISSION, GOALS AND OBJECTIVES

- SID I - 1.1:** Institution Strategic Plan and Action Plans  
**SID C - 1.1:** College Strategic Plan and Action Plans
- SID I - 1.2:** Statements of Institutional Vision, Mission, Values, Goals  
**SID C - 1.2:** Statements of College Vision, Mission, Values, Goals

| Institutional, College and Program Context  | Weights        | Score (%)        | Weighted Score        | SID Evidence of Conformance and Compliance        | Explanation of Non-Conformance or Non-Compliance        |
|---|----------------|------------------|-----------------------|---|---|
| <b>Standard 1 Mission, Goals and Objectives</b>   | <b>55</b>      |                  |                       |   |   |
| <b>1.1 Appropriateness of the Mission</b>   | <b>4</b>       |                  |                       |   |   |
| 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              |                  |                       |   |   |
| 1.1.2 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              |                  |                       |   |   |
| 1.1.3 The mission should be consistent with Islamic beliefs and values and the economics and cultural requirements of the Kingdom of Saudi Arabia.  | 1              |                  |                       |   |   |
| 1.1.4 The mission should be explained to its stakeholders in ways that demonstrate its appropriateness.   | 1              |                  |                       |   |   |
|   | <b>Weights</b> | <b>Score (%)</b> | <b>Weighted Score</b> | <b>SID Evidence of Conformance and Compliance</b> | <b>Explanation of Non-Conformance or Non-Compliance</b> |
| <b>1.2 Usefulness of the Mission Statement</b>  | <b>6</b>       |                  |                       |   |   |
| 1.2.1 The mission statement should be relevant to all the institution, colleges or programs activities and be sufficiently specific to provide an effective guide for decision-making and choices among alternative planning strategies.                                  | 2              |                  |                       |   |   |
| 1.2.2 The mission statement should be achievable through effective strategies that can be implemented within the level of resources expected to be available.   | 2              |                  |                       |   |   |
| 1.2.3 The mission statement should be clear enough to provide criteria for evaluation of progress towards its achievement.  | 2              |                  |                       |   |   |
|   | <b>Weights</b> | <b>Score (%)</b> | <b>Weighted Score</b> | <b>SID Evidence of Conformance and Compliance</b> | <b>Explanation of Non-Conformance or Non-Compliance</b> |
| <b>1.3 Development and Review of the Mission</b>  | <b>4</b>       |                  |                       |   |   |
| 1.3.1 The mission should be defined in consultation with and with the support of major stakeholders of the institution, colleges or programs and its community.   | 1              |                  |                       |   |   |
| 1.3.2 The mission should be formally approved by the appropriate decision making body within the institution or governing body of the institution, colleges or programs.  | 1              |                  |                       |   |   |
| 1.3.3 The mission should be periodically reviewed and reaffirmed or amended as appropriate in the light of changing circumstances.  | 1              |                  |                       |   |   |
| 1.3.4 Stakeholders should be kept informed about the mission and any changes made to it.  | 1              |                  |                       |   |   |

|   | Weights        | Score (%)        | Weighted Score        | SID Evidence of Conformance and Compliance        | Explanation of Non-Conformance or Non-Compliance        |
|---|----------------|------------------|-----------------------|---|---|
| <b>1.4 Use Made of the Mission</b>  | <b>6</b>       |                  |                       |   |   |
| 1.4.1 The mission should be used as the basis for a strategic plan over a specified medium term (e.g. 5 years).   | 2              |                  |                       |   |   |
| 1.4.2 The mission should be publicized within the institution, colleges or programs and actions taken to ensure that it is known about and supported by faculty and staff.  | 2              |                  |                       |   |   |
| 1.4.3 The mission should be consistently used as a guide and provide criteria in resource allocations and major institution, colleges or programs project or policy consideration and proposals   | 2              |                  |                       |   |   |
|   | <b>Weights</b> | <b>Score (%)</b> | <b>Weighted Score</b> | <b>SID Evidence of Conformance and Compliance</b> | <b>Explanation of Non-Conformance or Non-Compliance</b> |
| <b>1.5 Relationship Between Mission, Goals and Objectives</b>   | <b>12</b>      |                  |                       |   |   |
| 1.5.1 Medium and long term goals for the development of the institution, colleges or programs should be consistent with and support the mission.  | 3              |                  |                       |   |   |
| 1.5.2 Goals should be stated clearly enough to guide planning and decision making in ways that are consistent with the mission.   | 3              |                  |                       |   |   |
| 1.5.3 Goals and objectives for the development of the institution, colleges or programs should be reviewed periodically and modified if necessary in response to results achieved and in the light if changing circumstances to ensure that they continue to support the mission. | 3              |                  |                       |   |   |
| 1.5.4 Specific objectives established for total institutional, colleges or programs initiatives and for activities of organizational units within it should be consistent with the mission and broader goals for development derived from it.                                     | 3              |                  |                       |   |   |
|   | <b>Weights</b> | <b>Score (%)</b> | <b>Weighted Score</b> | <b>SID Evidence of Conformance and Compliance</b> | <b>Explanation of Non-Conformance or Non-Compliance</b> |
| <b>1.6 Key Performance Indicators or Benchmarks</b>   | <b>15</b>      |                  |                       |   |   |
| 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)       | 5              |                  |                       |   |   |
| 1.6.2 Level of institution's colleges' or programs' strategy map alignment achievement with the national HE strategies (levels)   | 5              |                  |                       |   |   |
| 1.6.3 Percentage of institution's, colleges' or programs' goal achievements according to the operational indicators that is set. (%)  | 5              |                  |                       |   |   |
|   | <b>Weights</b> | <b>Score (%)</b> | <b>Weighted Score</b> | <b>SID Evidence of Conformance and Compliance</b> | <b>Explanation of Non-Conformance or Non-Compliance</b> |
| <b>1.7 Additional KPI and Benchmarks</b>  | <b>8</b>       |                  |                       |   |   |
| <i>(describe additional KPI or benchmarks used by college or programs and provide evidence or documentations of KPI achievement)</i>  |                |                  |                       |   |   |
| 1.7.1 (KPI specific to Institution, College or Program)   | 2              |                  |                       |   |   |
| 1.7.2 (KPI specific to Institution, College or Program)   | 2              |                  |                       |   |   |
| 1.7.3 (KPI specific to Institution, College or Program)   | 2              |                  |                       |   |   |
| 1.7.4 (KPI specific to Institution, College or Program)   | 2              |                  |                       |   |   |

## Overall Assessment of Compliance to Standard and Performance

| Scaled Scoring Performance   | Weights and Scoring         |         |                 | Overall Performance | SID Evidence of Conformance and Compliance |
|--|-----------------------------|---------|-----------------|---------------------|--|
|  | Standards, Criteria and KPI | Weights | Consensus Score |                     |  |
| ○ <i>Standard 1: Mission and Objectives</i>                          |                             |         |                 |                     |  |
| 1.1 Appropriateness of the Mission                                   | 4                           |         |                 |                     |  |
| 1.2 Usefulness of the Mission Statement                              | 6                           |         |                 |                     |  |
| 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               | 12                          |         |                 |                     |  |
| 1.6 Generic KPI or Benchmark   | 15                          |         |                 |                     |  |
| 1.7 Institution/College/Program/Administrative Unit KPI or Benchmark | 8                           |         |                 |                     |  |
| <b>Standard 1 Average Performance Score</b>                          | <b>55</b>                   |         |                 |                     |  |

### Level of Conformance and Compliance with Standard and Criteria

- Level 1** No indication of any conformance and compliance to Standard
- Level 2** Initial indication of compliance with overall standard requirements, and partial compliance with criteria requirements
- Level 3** Initial indication of compliance with overall standard requirements, and partial compliance with criteria requirements and the detailed items requirements
- Level 4** Indication of compliance with overall standard requirements, and compliance with most of the criteria requirements and some of the detailed items requirements
- Level 5** Indication of compliance with overall standard requirements, and compliance with most of the criteria requirements and most of the detailed items requirements
- Level 6** In full conformance and compliance with overall standard requirements, the criteria requirements and the detailed items requirements

Provide a clear and concise explanation and analysis of how the SID (Statistics, Information and Documents) provided above in each of the Criteria and Items, support an evidence based approach in the performance audit and assessment. Explain each of the criteria independently using the items as supporting evidence.

Based on the analysis above identify and summarize the key actions to be taken to take proactive and remedial actions to improve on its existing practices. Use the action plan format below for the detailed action plan

## Action Plan

Based on the audit and assessment of the Standard, Criteria and Items performance, and the required SID (Statistics, Information and Documents) that are needed to substantiate an evidenced based performance assessment, use the attachment to identify the actions and activities needed to be taken or actioned on.

|   |                     |
|---|---------------------|
| 1. Department or Organizational Unit  |                     |
| 2. Recommendation<br>No(s)            Recommendation (s)                        |                     |
| 3. Action Planned on Standard/Criteria/Item Number OR Grouped Standard/Criteria |                     |
| Person Responsible  | Date for Completion |
| 4. Reasons if no Action Planned   |                     |
| Approved  |                     |
| 5. Summary Report on Action Completed   |                     |
| Completion Certified  | Date Completed      |

## STANDARD 2: GOVERNANCE AND ADMINISTRATION

- SID I - 2.1: Institution By-law:** Provide the institution by-laws or basic documents demonstrating the institution legal responsibility and accountability, codes of professional and academic conduct of the faculty and students  
**SID C - 2.1: College By-law:** Provide the institution by-laws or basic documents demonstrating the college legal responsibility and accountability, codes of professional and academic conduct of the faculty and students
  
- SID I - 2.2: Institutional Governing Board:** Provide documentation of the structure, authority, and autonomy of the Institution Governing Board, its internal and external composition, policies and procedures and guiding principles of the Governing Board and Committees that are enshrined in its codes of practices and manual and minutes governing its governing and regulatory practices in reviewing institutional academic and administrative policies.  
**SID C - 2.2: College Governing Board:** Provide documentation of the structure, authority, and autonomy of the college Governing Board, its internal and external composition, policies and procedures and guiding principles of the Governing Board and Committees that are enshrined in its codes of practices and manual and minutes governing its governing and regulatory practices in reviewing college academic and administrative policies.
  
- SID I - 2.3: Institution Governing Board Member:** Provide a list of the internal and external representation of the Institution Board Members including their name, designation, affiliation and occupation, and compensation.  
**SID C - 2.3: College Governing Board Member:** Provide a list of the internal and external representation of the Board Members including their name, designation, affiliation and occupation, and compensation
  
- SID I - 2.4: Institution Administrative Committee and Members:** Provide a list of the internal and external representation of the various Institution Administrative Committees and its members including their name, designation, affiliation and occupation, and compensation to oversee the various key institutional administrative polices.  
**SID C - 2.4: College Administrative Committee and Members:** Provide a list of the internal and external representation of the various College Administrative Committees and its members including their name, designation, affiliation and occupation, and compensation to oversee the various key collegial administrative polices.

|  | Weights   | Score (%) | Weighted Score | SID Evidence of Conformance and Compliance | Explanation of Non-Conformance or Non-Compliance |
|--|-----------|-----------|----------------|--|--|
| <b>Standard 2 Governance and Administration</b>  | <b>65</b> |           |                |  |  |
| <b>2.1 Governing Body</b>  | <b>12</b> |           |                |  |  |
| 2.1.1 The governing body of the institution, college or program should have as its primary objective the effective development of the institution, college or program in the interests of its students and the communities it serves.  | 1         |           |                |  |  |
| 2.1.2 Membership of the governing body of the institution, college or program should include individuals with the range of perspectives and expertise needed to guide the educational policies of the institution, college or program.   | 1         |           |                |  |  |
| 2.1.3 The members of the governing body should be familiar with the range of activities of the institution, college or program and the needs of the communities it serves.   | 1         |           |                |  |  |
| 2.1.4 New members of the governing body of the institution, college or program should be thoroughly inducted into their role with information about the institution, college or program, and the role and processes of the governing body itself.  | 1         |           |                |  |  |
| 2.1.5 The governing body of the institution, college or program should periodically review the mission, goals and objectives of the institution, college or program.   | 1         |           |                |  |  |
| 2.1.6 The governing body of the institution, college or program should ensure that the mission, goals and objectives of the institution, college or program are reflected in detailed planning and activities.   | 1         |           |                |  |  |
| 2.1.7 The governing body of the institution, college or program should monitor and accept responsibility and accountability for the total operations of the institution, college or program.   | 1         |           |                |  |  |
| 2.1.8 The governing body of the institution, college or program should establish sub committees (including members of the governing body, senior faculty and staff, and outside persons as appropriate) to give detailed consideration to major responsibilities such as finance and budget, staffing policies and remuneration, strategic planning, and facilities.                                       | 1         |           |                |  |  |
| 2.1.9 The governing body of the institution, college or program should define its responsibilities in such a way that the respective roles and responsibilities of the governing body for overall policy and accountability, the senior administration for management, and the academic decision making structures for program development, are clearly differentiated, defined, and followed in practice. | 1         |           |                |  |  |
| 2.1.10 In their role as members of the governing body, those who are also members of the institution, college or program or staff, they should act in the interests of the institution, college or program as a whole rather than as representatives of sectional interests.   | 1         |           |                |  |  |
| 2.1.11 The governing body institution, college or program should regularly review its own effectiveness and develop and implement plans for improvement in the way it operates.  | 1         |           |                |  |  |

|                       |   |                |                  |                       |   |   |
|-----------------------|---|----------------|------------------|-----------------------|---|---|
| 2.1.12                | The governing body institution, college or program should have as its primary objective the effective development of the institution, college or program in the interests of its students and the communities it serves.  | 1              |                  |                       |   |   |
|                       |   | <b>Weights</b> | <b>Score (%)</b> | <b>Weighted Score</b> | <b>SID Evidence of Conformance and Compliance</b> | <b>Explanation of Non-Conformance or Non-Compliance</b> |
| <b>2.2 Leadership</b> |   | <b>10</b>      |                  |                       |   |   |
| 2.2.1                 | The responsibilities of institution, college or program managers should be clearly defined in position descriptions.  | 1              |                  |                       |   |   |
| 2.2.2                 | Institution, college or program managers should anticipate issues and opportunities and exercise initiative in response.  | 1              |                  |                       |   |   |
| 2.2.3                 | Institution, college or program managers should ensure that action needed in their area of responsibility is taken in an effective and timely manner.   | 1              |                  |                       |   |   |
| 2.2.4                 | Institution, college or program managers at all levels in the institution should encourage teamwork and cooperation in achievement of institutional goals and objectives within their areas of responsibility and with colleagues in other sections of the institution to ensure effective overall functioning of the total institution, college or program.  | 1              |                  |                       |   |   |
| 2.2.5                 | Institution, college or program managers should have sufficient authority to ensure compliance within the institution, college or program with formally established or agreed institution, college or program policies and procedures.  | 1              |                  |                       |   |   |
| 2.2.6                 | Institution, college or program managers at all levels should accept responsibility for the quality and effectiveness of activities within their area of responsibility regardless of whether those actions or activities are undertaken by them personally or by others responsible to them.   | 1              |                  |                       |   |   |
| 2.2.7                 | When responsibilities are delegated to others this should be done appropriately within a clearly defined reporting and accountability framework.  | 1              |                  |                       |   |   |
| 2.2.8                 | Institution, college or program managers should provide leadership, and encourage and reward initiative on the part of faculty members, staff and subordinates within clearly defined policy parameters.  | 1              |                  |                       |   |   |
| 2.2.9                 | Regular and constructive feedback including advice and support should be given on performance of faculty members, staffs and subordinates by the unit head in a manner that contributes to their personal and professional development  | 1              |                  |                       |   |   |
| 2.2.10                | Institution, college or program senior managers should ensure that submissions of proposals for institution, college or program developments and recommendations on policy issues should be presented to the appropriate governing body of the institution, college or program and in a manner that are fully documented and presented in a form that clearly identifies policy issues for decision and the consequences of alternatives. | 1              |                  |                       |   |   |

|   | Weights        | Score (%)        | Weighted Score        | SID Evidence of Conformance and Compliance        | Explanation of Non-Conformance or Non-Compliance        |
|---|----------------|------------------|-----------------------|---|---|
| <b>2.3 Planning Process</b>   | <b>11</b>      |                  |                       |   |   |
| 2.3.1 Planning should be strategic, incorporating priorities for development and appropriate sequencing of action to produce the most effective short-term and long-term results.   | 1              |                  |                       |   |   |
| 2.3.2 Plans should take full and realistic account of aspects of the internal and external environment affecting development of the institution, college or program and the demands for graduates and the skills they require.  | 1              |                  |                       |   |   |
| 2.3.3 Planning processes should provide for appropriate levels of involvement and understanding with stakeholders, faculty members and staff throughout the institutional, college or program community.  | 1              |                  |                       |   |   |
| 2.3.4 Plans should be effectively communicated to all concerned, with impacts and requirements made clear for different constituencies.   | 1              |                  |                       |   |   |
| 2.3.5 Implementation of plans should be monitored with checks made against short term and medium term targets.  | 1              |                  |                       |   |   |
| 2.3.6 Plans should be reviewed, adapted and modified, with corrective action taken as required in response to operational developments, formative evaluation, and changing circumstances.   | 1              |                  |                       |   |   |
| 2.3.7 Plans should be directly linked to information management systems that provide regular feedback on both ongoing routine activities and progress in strategic initiatives through regular reports on key performance indicators to senior management in the institution, college or program. | 1              |                  |                       |   |   |
| 2.3.8 Risk assessment and management should be an integral component of planning strategies with appropriate mechanisms developed for risk assessment and minimization.   | 1              |                  |                       |   |   |
| 2.3.9 Strategic planning should be integrated with annual and longer term budget processes that provide for medium term adjustments as required.  | 1              |                  |                       |   |   |
| 2.3.10 Planning should have a particular focus on intended learning outcomes for students in the institution, college or program with course content and teaching and assessment strategies that reflect both the background of students and theory and research on different kinds of learning.  | 1              |                  |                       |   |   |
| 2.3.11 Plans for program delivery in the institution, college or program should be set out in program specifications, and in course specifications that clearly identify the contribution of each course to the total program.  | 1              |                  |                       |   |   |
|   | <b>Weights</b> | <b>Score (%)</b> | <b>Weighted Score</b> | <b>SID Evidence of Conformance and Compliance</b> | <b>Explanation of Non-Conformance or Non-Compliance</b> |
| <b>2.4 Relationship Between Sections for Male and Female Students</b>   | <b>4</b>       |                  |                       |   |   |
| 2.4.1 Male and female sections should be adequately represented in the membership of relevant committees and councils in the institution, college or program through processes that are consistent with bylaws and regulations of the Higher Council of Education.                                | 1              |                  |                       |   |   |

|                                     |  |                |                  |                       |   |   |
|-------------------------------------|--|----------------|------------------|-----------------------|---|---|
| 2.4.2                               | There should be effective communication and coordination and full involvement in planning and reporting processes between members of these committees and councils, and between individuals in the different sections in the institution, college or program carrying out related activities in teaching the same course.  | 1              |                  |                       |   |   |
| 2.4.3                               | Planning processes and mechanisms, resources, facilities and staffing provisions and program and course specifications for performance evaluation should lead to comparable standards in each section in the institution, college or program while taking account of differing needs.  | 1              |                  |                       |   |   |
| 2.4.4                               | Quality indicators, information, evaluations and reports and planning and implementation processes at the institution, college and program levels should show results for both sections indicating similarities and differences as well as overall performance.  | 1              |                  |                       |   |   |
|                                     |  | <b>Weights</b> | <b>Score (%)</b> | <b>Weighted Score</b> | <b>SID Evidence of Conformance and Compliance</b> | <b>Explanation of Non-Conformance or Non-Compliance</b> |
| <b>2.5 Integrity</b>                |  | <b>4</b>       |                  |                       |   |   |
| 2.5.1                               | Codes of practice should be established to require that teaching and other staff and students, and all committees and organizations, act consistently with high standards of ethical conduct in the conduct and reporting of research, in teaching, performance evaluation and assessment, and in the conduct of administrative and service activities.            | 1              |                  |                       |   |   |
| 2.5.2                               | Policies and procedures at the institution, college or program should be regularly reviewed and modified as necessary to ensure continuing high standards of ethical conduct.  | 1              |                  |                       |   |   |
| 2.5.3                               | The institution should represent itself honestly and accurately to internal constituencies and external agencies. Advertising and promotional material should always be truthful, avoid any actual or implied misrepresentations or exaggerated claims, or negative comments about other institutions, colleges or programs.                                       | 1              |                  |                       |   |   |
| 2.5.4                               | Regulations should be established to provide for declarations of pecuniary interest and avoidance of conflict of interest and these regulations should be consistently followed. The regulations should apply to the governing board and to all committees and other decision making bodies and faculty members and staffs in the institution, college or program. | 1              |                  |                       |   |   |
|                                     |  | <b>Weights</b> | <b>Score (%)</b> | <b>Weighted Score</b> | <b>SID Evidence of Conformance and Compliance</b> | <b>Explanation of Non-Conformance or Non-Compliance</b> |
| <b>2.6 Policies and Regulations</b> |  | <b>5</b>       |                  |                       |   |   |
| 2.6.1                               | The institution, college or program should establish and maintain a policy and procedures manual setting out regulations and procedures for dealing with all major areas of activity within the institution, college or program.   | 1              |                  |                       |   |   |
| 2.6.2                               | Terms of reference or statements of responsibility should be established for major committees and administrative and academic positions within the institution, college or program and included in the policy and procedures manual.   | 1              |                  |                       |   |   |

|  |  |                |                  |                       |   |   |
|--|--|----------------|------------------|-----------------------|---|---|
| 2.6.3                                      | Policies, regulations and related documents should be readily accessible to all teaching and other staff and students who are affected by them, including new members of teaching and other staff, and members of committees.  | 1              |                  |                       |   |   |
| 2.6.4                                      | Student responsibilities, codes of conduct, and regulations affecting their behavior should be specified and made known to students when they begin studies at the institution, with decisions made on all matters recorded and referred to as future guidelines to ensure consistency.  | 1              |                  |                       |   |   |
| 2.6.5                                      | A systemic program of review should be followed through which all policies, regulations, terms of reference and statements of responsibility and guidelines or regulations dealing with recurring issues are periodically reviewed.  | 1              |                  |                       |   |   |
|  |  | <b>Weights</b> | <b>Score (%)</b> | <b>Weighted Score</b> | <b>SID Evidence of Conformance and Compliance</b> | <b>Explanation of Non-Conformance or Non-Compliance</b> |
| <b>2.7 Organization Climate</b>            |  | <b>5</b>       |                  |                       |   |   |
| 2.7.1                                      | Developing and maintaining a positive organizational climate in the institution, college or program should be taken seriously by senior managers and appropriate strategies adopted to achieve this result.  | 1              |                  |                       |   |   |
| 2.7.2                                      | Opinions of teaching and other staff should be sought on major initiatives and information provided on how those opinions have been considered and responded to.   | 1              |                  |                       |   |   |
| 2.7.3                                      | Significant achievements and contributions to the institution, college or program or the community by teaching and other staff or students should be recognized and appropriately acknowledged.  | 1              |                  |                       |   |   |
| 2.7.4                                      | Information about issues, plans and developments at the institution, college or program should be regularly communicated to teaching and other staff through means such as newsletters, internal publications or electronic communications.  | 1              |                  |                       |   |   |
| 2.7.5                                      | Responsibility should be given to a senior administrator or central unit to conduct periodic surveys dealing with issues relevant to organizational climate in the institution, college or program including such matters as job satisfaction, confidence in future development, sense of involvement in planning and development. | 1              |                  |                       |   |   |
|  |  | <b>Weights</b> | <b>Score (%)</b> | <b>Weighted Score</b> | <b>SID Evidence of Conformance and Compliance</b> | <b>Explanation of Non-Conformance or Non-Compliance</b> |
| <b>2.8 Associated Centers and Entities</b> |  | <b>5</b>       |                  |                       |   |   |
| 2.8.1                                      | The institution, college or program should ensure that there is consistency between the functions of the centre and entity and the establishment charter and mission of the institution, college or program.   | 1              |                  |                       |   |   |
| 2.8.2                                      | Policies affecting the centre and entity including administrative and financial relationships with the institution, college or program should be clearly specified.  | 1              |                  |                       |   |   |
| 2.8.3                                      | Reporting mechanisms should be established that ensure that the governing body of the institution, college or program has effective oversight of the activities of the centre and entity.  | 1              |                  |                       |   |   |

|  |   |                |                  |                       |   |   |
|--|---|----------------|------------------|-----------------------|---|---|
| 2.8.4  | Audited financial reports on the financial affairs of the centre and entity should be reviewed regularly by the relevant committee of the governing body of the institution, college or program.  | 1              |                  |                       |   |   |
| 2.8.5  | Administrative arrangements and planning mechanisms for activities of the centre and entity should provide for adequate risk assessment including protection for the institution, college or program against financial or legal liabilities.  | 1              |                  |                       |   |   |
|  |   | <b>Weights</b> | <b>Score (%)</b> | <b>Weighted Score</b> | <b>SID Evidence of Conformance and Compliance</b> | <b>Explanation of Non-Conformance or Non-Compliance</b> |
| <b>2.9 Key Performance Indicators or Benchmarks</b>  |   | <b>9</b>       |                  |                       |   |   |
| 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) | 3              |                  |                       |   |   |
| 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)  | 3              |                  |                       |   |   |
| 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)  | 3              |                  |                       |   |   |
|  |   | <b>Weights</b> | <b>Score (%)</b> | <b>Weighted Score</b> | <b>SID Evidence of Conformance and Compliance</b> | <b>Explanation of Non-Conformance or Non-Compliance</b> |
| <b>2.10 Additional KPI and Benchmarks as used</b>  |   | <b>0</b>       |                  |                       |   |   |
| <i>(describe additional KPI or benchmarks used by college or programs and provide evidence or documentations of KPI achievement)</i> |   |                |                  |                       |   |   |
| 2.10.1   | (KPI specific to Institution, College or Program)   |                |                  |                       |   |   |
| 2.10.2   | (KPI specific to Institution, College or Program)   |                |                  |                       |   |   |
| 2.10.3   | (KPI specific to Institution, College or Program)   |                |                  |                       |   |   |
| 2.10.4   | (KPI specific to Institution, College or Program)   |                |                  |                       |   |   |

## Overall Assessment of Compliance to Standard and Performance

| Scaled Scoring Performance                         |  | Weights and Scoring |                 | Overall Performance | SID Evidence of Conformance and Compliance |
|--|--|---------------------|-----------------|---------------------|--|
| Standards, Criteria and KPI                        |  | Weights             | Consensus Score |                     |  |
| ○ <i>Standard 2: Governance and Administration</i> |  |                     |                 |                     |  |
| 2.1  | Governing Body   | 12                  |                 |                     |  |
| 2.2  | Leadership   | 10                  |                 |                     |  |
| 2.3  | Planning Processes   | 11                  |                 |                     |  |
| 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                       | 5                   |                 |                     |  |
| 2.9  | Generic KPI or Benchmark   | 9                   |                 |                     |  |
| 2.10   | Institution/College/Program/Administrative Unit KPI or Benchmark | 0                   |                 |                     |  |
| <b>Standard 2 Average Performance Score</b>        |  | <b>65</b>           |                 |                     |  |

### Level of Conformance and Compliance with Standard and Criteria

- Level 1** No indication of any conformance and compliance to Standard
- Level 2** Initial indication of compliance with overall standard requirements, and partial compliance with criteria requirements
- Level 3** Initial indication of compliance with overall standard requirements, and partial compliance with criteria requirements and the detailed items requirements
- Level 4** Indication of compliance with overall standard requirements, and compliance with most of the criteria requirements and some of the detailed items requirements
- Level 5** Indication of compliance with overall standard requirements, and compliance with most of the criteria requirements and most of the detailed items requirements
- Level 6** In full conformance and compliance with overall standard requirements, the criteria requirements and the detailed items requirements

**Provide a clear and concise explanation and analysis of how the SID (Statistics, Information and Documents) provided above in each of the Criteria and Items, support an evidence based approach in the performance audit and assessment. Explain each of the criteria independently using the items as supporting evidence.**

**Based on the analysis above identify and summarize the key actions to be taken to take proactive and remedial actions to improve on its existing practices. Use the action plan format below for the detailed action plan**

## Action Plan

Based on the audit and assessment of the Standard, Criteria and Items performance, and the required SID (Statistics, Information and Documents) that are needed to substantiate an evidenced based performance assessment, use the attachment to identify the actions and activities needed to be taken or actioned on.

|   |                     |
|---|---------------------|
| 1. Department or Organizational Unit  |                     |
| 2. Recommendation<br>No(s)            Recommendation (s)                        |                     |
| 3. Action Planned on Standard/Criteria/Item Number OR Grouped Standard/Criteria |                     |
| Person Responsible  | Date for Completion |
| 4. Reasons if no Action Planned   |                     |
| Approved  |                     |
| 5. Summary Report on Action Completed   |                     |
| Completion Certified  | Date Completed      |

## STANDARD 3: MANAGEMENT OF QUALITY ASSURANCE AND IMPROVEMENT

- SID I - 3.1: Institution Quality Management System:** Provide documentation and evidence of the existence of the institution internal quality management system addressing its internal audit and assessment needs and requirements and assuring its institutional quality assessment and assurance practices.
- SID C - 3.1: College Quality Management System:** Provide documentation and evidence of the existence of the college internal quality management system addressing its internal audit and assessment needs and requirements and assuring its college quality assessment and assurance practices.
- SID I - 3.1: Institution Quality Plan:** Provide documentation and evidence of the existence of the institution quality plan addressing its strive for continuous improvements of its IQA assuring its institutional quality assessment and assurance practices.
- SID C - 3.1: College Quality Plan:** Provide documentation and evidence of the existence of the college quality plan addressing its strive for continuous improvements of its IQA assuring its institutional quality assessment and assurance practices.

|   | Weights        | Score (%)        | Weighted Score        | SID Evidence of Conformance and Compliance        | Explanation of Non-Conformance or Non-Compliance        |
|---|----------------|------------------|-----------------------|---|---|
| <b>Standard 3: Management of Quality Assurance and Improvement</b>  | <b>70</b>      |                  |                       |   |   |
| <b>3.1 Commitment to Quality Improvement</b>  | <b>8</b>       |                  |                       |   |   |
| 3.1.1 The Rector, Dean, Director or Chair should give strong support for quality assurance improvement activities.  | 1              |                  |                       |   |   |
| 3.1.2 Adequate resources should be provided for the leadership and management of quality assurance processes.   | 1              |                  |                       |   |   |
| 3.1.3 All teaching and other staff should participate in self-assessments and cooperate with reporting and improvement processes in their sphere of activity.   | 1              |                  |                       |   |   |
| 3.1.4 Innovation and creativity should be encouraged at all levels in the organization within a framework of clear policy guidelines and accountability processes.  | 1              |                  |                       |   |   |
| 3.1.5 Mistakes and weaknesses should be recognized by those responsible and used as a basis for planning for improvement.   | 1              |                  |                       |   |   |
| 3.1.6 Improvements in performance and outstanding achievements should be recognized.  | 1              |                  |                       |   |   |
| 3.1.7 Evaluation and planning for improvement should be integrated into normal planning processes.  | 1              |                  |                       |   |   |
| 3.1.8 Evaluations should be based on evidence, linked to appropriate standards, with predetermined indicators, and independent verification of interpretations.   | 1              |                  |                       |   |   |
|   | <b>Weights</b> | <b>Score (%)</b> | <b>Weighted Score</b> | <b>SID Evidence of Conformance and Compliance</b> | <b>Explanation of Non-Conformance or Non-Compliance</b> |
| <b>3.2 Scope of Quality Assurance Processes</b>   | <b>6</b>       |                  |                       |   |   |
| 3.2.1 All academic and administrative units within the institution, college or program (including the governing body and senior management) should participate in the processes of quality assurance and improvement. | 1              |                  |                       |   |   |

|  |   |                |                  |                       |   |   |
|--|---|----------------|------------------|-----------------------|---|---|
| 3.2.2  | Quality evaluations and assessment process and regular evaluations and assessment should be carried out and reports prepared that provide an overview of performance quality issues for the institution, college or program as a whole and for organizational units and major functions or the total program as well as the components within it aiming at all aspects of program planning and delivery in both the male and female section, including services and resources provided by other parts of the institution, college or program. | 1              |                  |                       |   |   |
| 3.2.3  | Quality evaluations and assessment process should consider inputs and processes but give particular attention to quality of outcomes.   | 1              |                  |                       |   |   |
| 3.2.4  | Quality evaluations and assessment process should deal with performance in relation to continuing routine activities as well as to strategic objectives.  | 1              |                  |                       |   |   |
| 3.2.5  | Quality evaluations and assessment process should ensure that acceptable standards are met, and also that there is continuing improvement in performance.   | 1              |                  |                       |   |   |
| 3.2.6  | Institutional, college or program research relevant to the achievement of the institution, college or program goals and objectives and the monitoring and improvement of quality should be carried out and the results made known to senior management and the institution, college or program community.   | 1              |                  |                       |   |   |
|  |   | <b>Weights</b> | <b>Score (%)</b> | <b>Weighted Score</b> | <b>SID Evidence of Conformance and Compliance</b> | <b>Explanation of Non-Conformance or Non-Compliance</b> |
| <b>3.3 Administration of Quality Assurance Processes</b> |   | <b>18</b>      |                  |                       |   |   |
| 3.3.1  | Responsibility should be assigned and sufficient time given for a senior member of institution, college or program to provide leadership, guidance and support for the quality processes within the institution, college or program.  | 1              |                  |                       |   |   |
| 3.3.2  | A quality centre or units should be established within the institution, college or program central administration and sufficient staff, resources and administrative support given for the centre to operate effectively.   | 1              |                  |                       |   |   |
| 3.3.3  | A quality committee should be formed with members drawn from all major sections of the institution, college or program.   | 1              |                  |                       |   |   |
| 3.3.4  | A member of the institution, college or program senior administration should be appointed to chair the committee. (This person should normally be at the level of a vice rector in the institution or a deputy dean in a college and work closely with the director of the institution quality centre in leading and supporting quality initiatives throughout the institution.)  | 1              |                  |                       |   |   |
| 3.3.5  | The roles and responsibilities of the institution, college or program quality centre and committee, and the relationship of these to other administrative and planning agencies should be clearly specified.  | 1              |                  |                       |   |   |
| 3.3.6  | If quality assurance functions are managed by more than one organizational unit, their activities should be effectively coordinated under the supervision of a senior administrator.  | 1              |                  |                       |   |   |

|  |   |                |                  |                       |   |   |
|--|---|----------------|------------------|-----------------------|---|---|
| 3.3.7  | Quality assurance functions throughout the institution, college or program should be fully integrated into normal planning and development strategies of the institution, college or program in a defined cycle of planning, implementation, assessment and review.   | 1              |                  |                       |   |   |
| 3.3.8  | Common forms and survey instruments should be used for similar activities across the institution, college or program (e.g. programs, libraries, etc) and responses used in independent analyses of results including trends over time. (This does not preclude additional questions relevant to different programs or special instruments dealing with particular functions e.g. specialized libraries or student services) | 1              |                  |                       |   |   |
| 3.3.9  | The quality assurance arrangements should themselves be regularly evaluated and improved in a comparable manner to other functions within the institution, college or program.  | 1              |                  |                       |   |   |
|  |   | <b>Weights</b> | <b>Score (%)</b> | <b>Weighted Score</b> | <b>SID Evidence of Conformance and Compliance</b> | <b>Explanation of Non-Conformance or Non-Compliance</b> |
| <b>3.4 Use of Indicators and Benchmarks</b>        |   | <b>6</b>       |                  |                       |   |   |
| 3.4.1  | A limited number of key performance indicators should be identified that are capable of objective measurement for evaluation of the performance of the institution, college or program as a whole and as required by the institution.   | 1              |                  |                       |   |   |
| 3.4.2  | Additional performance indicators should be selected for different academic and administrative units within the institution, college or program for the institution, college or program evaluation.   | 1              |                  |                       |   |   |
| 3.4.3  | When functions are carried out in a number of different academic or administrative units there should be some common indicators and these should be used for comparisons of performance as well as for overall institutional, college or program evaluation.  | 1              |                  |                       |   |   |
| 3.4.4  | Performance benchmarks for comparing quality of performance should be established for the institution, college or program as a whole, and for academic and administrative units. These benchmarks should include past performance at the institution, college or program but must also include appropriate external comparisons.  | 1              |                  |                       |   |   |
| 3.4.5  | Performance benchmarks for major items are approved by the appropriate committee or council within the institution, college or program (e.g. senior academic committee, university council)   | 1              |                  |                       |   |   |
| 3.4.6  | The format for specifying indicators and benchmarks should be consistent across the institution, college or program with those used across the institution as a whole.  | 1              |                  |                       |   |   |
|  |   | <b>Weights</b> | <b>Score (%)</b> | <b>Weighted Score</b> | <b>SID Evidence of Conformance and Compliance</b> | <b>Explanation of Non-Conformance or Non-Compliance</b> |
| <b>3.5 Independent Verification of Evaluations</b> |   | <b>6</b>       |                  |                       |   |   |
| 3.5.1  | Self-evaluations of quality of performance should whenever possible be based on several related sources of evidence including feedback through user surveys and opinions of stakeholders such as students and faculty, graduates and employers.   | 2              |                  |                       |   |   |

|            |   |                |                  |                       |   |   |
|------------|---|----------------|------------------|-----------------------|---|---|
| 3.5.2      | Standards of learning outcomes achieved by students should be checked in relation to the requirements of the National Qualifications Framework and standards at other comparable institutions   | 2              |                  |                       |   |   |
| 3.5.3      | Conclusions based on interpretations of evidence should be verified through independent advice from persons familiar with the type of activity concerned and impartial mechanisms should be used to reconcile any differing opinions. | 2              |                  |                       |   |   |
|            |   | <b>Weights</b> | <b>Score (%)</b> | <b>Weighted Score</b> | <b>SID Evidence of Conformance and Compliance</b> | <b>Explanation of Non-Conformance or Non-Compliance</b> |
| <b>3.6</b> | <b>Key Performance Indicators or Benchmarks</b>   | <b>18</b>      |                  |                       |   |   |
| 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              |                  |                       |   |   |
| 3.6.2      | Percentage of the full-time faculty members obtaining academic or professional awards at the national or international level. (%)   | 3              |                  |                       |   |   |
| 3.6.3      | Level of development achievement of internal QA systems and mechanisms which is part of the education management process. (Levels)  | 3              |                  |                       |   |   |
| 3.6.4      | Level of Internal Quality Assurance systems and mechanisms achievement that bring about continuous development of education quality (Levels)  | 3              |                  |                       |   |   |
| 3.6.5      | Level of systems and mechanisms achievement to share QA knowledge and skills to the students. (levels)  | 3              |                  |                       |   |   |
| 3.6.6      | Level of effectiveness achievement of the Internal Quality Assurance (Levels)   | 3              |                  |                       |   |   |
|            |   | <b>Weights</b> | <b>Score (%)</b> | <b>Weighted Score</b> | <b>SID Evidence of Conformance and Compliance</b> | <b>Explanation of Non-Conformance or Non-Compliance</b> |
| <b>3.7</b> | <b>Additional KPI and Benchmarks as used</b>  | <b>8</b>       |                  |                       |   |   |
|            | <i>(describe additional KPI or benchmarks used by college or programs and provide evidence or documentations of KPI achievement)</i>  |                |                  |                       |   |   |
| 3.7.1      | (KPI specific to Institution, College or Program)   | 2              |                  |                       |   |   |
| 3.7.2      | (KPI specific to Institution, College or Program)   | 2              |                  |                       |   |   |
| 3.7.3      | (KPI specific to Institution, College or Program)   | 2              |                  |                       |   |   |
| 3.7.4      | (KPI specific to Institution, College or Program)   | 2              |                  |                       |   |   |

## Overall Assessment of Compliance to Standard and Performance

| Scaled Scoring Performance   |   |  |  | Weights and Scoring |                 | Overall Performance | SID Evidence of Conformance and Compliance |
|--|---|--|--|---------------------|-----------------|---------------------|--|
| Standards, Criteria and KPI  |   |  |  | Weights             | Consensus Score |                     |  |
| ○ <i>Standard 3: Management of Quality Assurance and Improvement</i> |   |  |  |                     |                 |                     |  |
| 3.1  | Institutional Commitment to Quality Improvement                   |  |  | 8                   |                 |                     |  |
| 3.2  | Scope of Quality Assurance Processes                              |  |  | 6                   |                 |                     |  |
| 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  | Generic KPI or Benchmark  |  |  | 18                  |                 |                     |  |
| 3.7  | Institution/College/Program/ Administrative Unit KPI or Benchmark |  |  | 8                   |                 |                     |  |
| <b>Standard 3 Average Performance Score</b>                          |   |  |  | <b>70</b>           |                 |                     |  |

### Level of Conformance and Compliance with Standard and Criteria

- Level 1** No indication of any conformance and compliance to Standard
- Level 2** Initial indication of compliance with overall standard requirements, and partial compliance with criteria requirements
- Level 3** Initial indication of compliance with overall standard requirements, and partial compliance with criteria requirements and the detailed items requirements
- Level 4** Indication of compliance with overall standard requirements, and compliance with most of the criteria requirements and some of the detailed items requirements
- Level 5** Indication of compliance with overall standard requirements, and compliance with most of the criteria requirements and most of the detailed items requirements
- Level 6** In full conformance and compliance with overall standard requirements, the criteria requirements and the detailed items requirements

**Provide a clear and concise explanation and analysis of how the SID (Statistics, Information and Documents) provided above in each of the Criteria and Items, support an evidence based approach in the performance audit and assessment. Explain each of the criteria independently using the items as supporting evidence.**

**Based on the analysis above identify and summarize the key actions to be taken to take proactive and remedial actions to improve on its existing practices. Use the action plan format below for the detailed action plan**

## Action Plan

Based on the audit and assessment of the Standard, Criteria and Items performance, and the required SID (Statistics, Information and Documents) that are needed to substantiate an evidenced based performance assessment, use the attachment to identify the actions and activities needed to be taken or actioned on.

|   |                     |
|---|---------------------|
| 1. Department or Organizational Unit  |                     |
| 2. Recommendation<br>No(s)            Recommendation (s)                        |                     |
| 3. Action Planned on Standard/Criteria/Item Number OR Grouped Standard/Criteria |                     |
| Person Responsible  | Date for Completion |
| 4. Reasons if no Action Planned   |                     |
| Approved  |                     |
| 5. Summary Report on Action Completed   |                     |
| Completion Certified  | Date Completed      |

## STANDARD 4 LEARNING AND TEACHING

- SID I - 4.1: Institution Oversight of Quality Teaching and Learning:** Provide documentation and evidence of the existence of the institution bodies and committees, policies and procedures or systems and mechanisms applied in overseeing the quality of teaching and learning assuring its institutional quality teaching and learning assessment and assurance practices.  
**SID C - 4.1: College Oversight of Quality Teaching and Learning:** Provide documentation and evidence of the existence of the college bodies and committees, policies and procedures or systems and mechanisms applied in overseeing the quality of teaching and learning assuring its college quality teaching and learning assessment and assurance practices.
- SID I - 4.2: Institution Student Learning Outcomes:** Provide documentation and evidence of the existence that the college's student learning outcomes conform to the institutional strategic directions and meeting the minimum NCAAA National qualification Framework assuring its institutional quality teaching and learning assessment and assurance practices.  
**SID C - 4.2: College Student Learning Outcomes:** Provide documentation and evidence of the existence that the college's and the department's student learning outcomes conform to the institutional and college strategic directions and meeting the minimum NCAAA National qualification Framework at the program and subject level assuring its institutional quality teaching and learning assessment and assurance practices.
- SID I - 4.3: Institution Oversight of Program development, evaluation and review process:** Provide documentation and evidence of the existence of the institution bodies and committees, policies and procedures or systems and mechanisms applied in overseeing the quality of the systematic program development, evaluation and review processes and procedures assuring its institutional quality teaching and learning assessment and assurance practices.  
**SID C - 4.3: College Oversight of Program development, evaluation and review process:** Provide documentation and evidence of the existence of the college bodies and committees, policies and procedures or systems and mechanisms applied in overseeing the quality of the systematic program development, evaluation and review processes and procedures assuring its college quality teaching and learning assessment and assurance practices.
- SID I - 4.4: Institution Student Learning Outcomes:** Provide documentation and evidence of the existence of an implemented, systematic and sustained process that the college's student learning outcomes conform to the institutional strategic directions and meeting the minimum NCAAA National qualification Framework assuring its institutional quality teaching and learning assessment and assurance practices.  
**SID C - 4.4: College Student Learning Outcomes:** Provide documentation and evidence of the existence of an implemented, systematic and sustained process that the college's and the department's student learning outcomes conform to the institutional and college strategic directions and meeting the minimum NCAAA National qualification Framework at the program and subject level assuring its college quality teaching and learning assessment and assurance practices.

- SID I - 4.5: Institution Oversight of Quality of teaching and teaching staffs, Support for Improvements processes:** Provide documentation and evidence of the existence of the institution bodies and committees, policies and procedures or systems and mechanisms applied in overseeing the quality of the teaching, qualifications of the teaching staffs and processes and procedures for the support of the development and improvements of teaching and learning practices and teaching staffs assuring its institutional quality teaching and learning assessment and assurance practices.

**SID C - 4.5: College Oversight of Quality of teaching and teaching staffs, Support for Improvements processes:** Provide documentation and evidence of the existence of the college bodies and committees, policies and procedures or systems and mechanisms applied in overseeing the quality of the teaching, qualifications of the teaching staffs and processes and procedures for the support of the development and improvements of teaching and learning practices and teaching staffs assuring its college quality teaching and learning assessment and assurance practices.
- SID I - 4.6: Institution education assistance and field experience:** Provide documentation and evidence of the existence that there is an implemented, systematic and sustained education assistance and field experience for the students assuring its institutional quality teaching and learning assessment and assurance practices.

**SID C - 4.6: College education assistance and field experience:** Provide documentation and evidence of the existence that there is implemented, systematic and sustained education assistance and field experience for the students assuring its college quality teaching and learning assessment and assurance practices.
- SID I - 4.7: Institution Oversight of Student Assessment for Improvements processes:** Provide documentation and evidence of the existence of the institution committees, policies and procedures or systems and mechanisms applied in overseeing the student assessment of the institution teaching and learning practices affecting the development and improvements of teaching and learning practices and teaching staffs assuring its institutional quality teaching and learning assessment and assurance practices.

**SID C - 4.7: College Oversight of Student Assessment for Improvements processes:** Provide documentation and evidence of the existence of the college committees, policies and procedures or systems and mechanisms applied in overseeing the student assessment of the college teaching and learning practices affecting the development and improvements of teaching and learning practices and teaching staffs assuring its college quality teaching and learning assessment and assurance practices.
- SID I - 4.8: Institution partnership arrangement with other institutions:** Provide documentation and evidence of the existence that there is an implemented, systematic and sustained development of institutional partnerships with other institutions that can assist in assuring its institutional quality teaching and learning assessment and assurance practices.

**SID C - 4.8: College partnership arrangement with other institutions:** Provide documentation and evidence of the existence that there is an implemented, systematic and sustained development of college partnerships with other institutions that can assist in assuring its college quality teaching and learning assessment and assurance practices.

|  | Weights    | Score (%) | Weighted Score | SID Evidence of Conformance and Compliance | Explanation of Non-Conformance or Non-Compliance |
|--|------------|-----------|----------------|--|--|
| <b>Standard 4 Learning and Teaching</b>  | <b>250</b> |           |                |  |  |
| <b>4.1 Oversight of Quality of Learning and Teaching</b>   | <b>18</b>  |           |                |  |  |
| 4.1.1 New program proposals and proposals for major changes in programs should be thoroughly evaluated and approved by the institution, college or program senior academic committee.  | 2          |           |                |  |  |
| 4.1.2 The evaluation of new programs or major changes in programs by the senior academic committee should include consideration of the matters described in the standard for learning and teaching, including any special requirements applicable to the field of study concerned, and requirements for graduates in that field in Saudi Arabia.             | 2          |           |                |  |  |
| 4.1.3 Data on key performance indicators for all programs should be reviewed annually by senior administrators responsible for academic affairs, the institution's quality committee and the institution, college or program senior academic committee, with overall institutional performance reported to the governing board.                              | 2          |           |                |  |  |
| 4.1.4 The institution, college or program should ensure that annual reports for all programs are prepared, and reviewed by department/college committees, and appropriate action taken in response to action recommendations in those reports.   | 2          |           |                |  |  |
| 4.1.5 The institution, college or program should ensure that self evaluations using the self evaluation scales for higher education programs are undertaken periodically (e.g. every two or three years) for all programs and reports prepared for consideration by the quality committee and the institution, college or program senior academic committee. | 2          |           |                |  |  |
| 4.1.6 Reports on the overall quality of programs throughout the institution, college or program should be prepared periodically (e.g. every three years) for consideration within the institution, college or program indicating common strengths and weaknesses, and significant variations in quality between programs/departments and sections.           | 2          |           |                |  |  |
| 4.1.7 Reports by departments to their college, or by departments or colleges to the central administration of the institution, college or program, should be appropriately acknowledged with responses made to any queries or proposals made.  | 2          |           |                |  |  |
| 4.1.8 The senior administrator responsible for academic affairs in the institution, college or program should take responsibility, in cooperation with the quality committee and deans/heads of department, for developing and implementing strategies for improvement when required to deal with common issues across the institution, college or program.  | 2          |           |                |  |  |
| 4.1.9 The institution, college or program should cooperate with and support participation in institutional strategies for improvement, and take additional initiatives to deal with quality issues found in their own programs.  | 2          |           |                |  |  |

|  | Weights        | Score (%)        | Weighted Score        | SID Evidence of Conformance and Compliance        | Explanation of Non-Conformance or Non-Compliance        |
|--|----------------|------------------|-----------------------|---|---|
| <b>4.2 Student Learning Outcomes</b>   | <b>20</b>      |                  |                       |   |   |
| 4.2.1 Relevant academic and professional advice should be considered when defining intended learning outcomes.   | 4              |                  |                       |   |   |
| 4.2.2 Intended learning outcomes should be consistent with the National Qualifications Framework. (covering all of the domains of learning at the standards required).   | 4              |                  |                       |   |   |
| 4.2.3 Programs leading to professional qualifications should develop learning outcomes that meet requirements for professional practice in the Kingdom of Saudi Arabia in the fields concerned. These requirements should include local accreditation requirements and take account of international accreditation requirements for that field of study, and any Saudi Arabian regulations or regional needs.                | 4              |                  |                       |   |   |
| 4.2.4 Any special student attributes specified by the institution for its graduates should be incorporated as intended learning outcomes in all programs offered and appropriate teaching strategies and forms of student assessment used for them.  | 4              |                  |                       |   |   |
| 4.2.5 Appropriate program evaluation mechanisms, including graduating student surveys, employment outcome data, employer feedback and subsequent performance of graduates, should be used to provide evidence about the appropriateness of intended learning outcomes and the extent to which they are achieved. (see also sections 4.3 and 4.4 dealing with processes for program evaluation and verification of standards) | 4              |                  |                       |   |   |
|  | <b>Weights</b> | <b>Score (%)</b> | <b>Weighted Score</b> | <b>SID Evidence of Conformance and Compliance</b> | <b>Explanation of Non-Conformance or Non-Compliance</b> |
| <b>4.3 Program Development Process</b>   | <b>21</b>      |                  |                       |   |   |
| 4.3.1 Plans for delivery and evaluation of programs should be set out in detailed program specifications that include knowledge and skills to be acquired, and strategies for teaching and assessment for the progressive development of learning in all the domains of learning.  | 3              |                  |                       |   |   |
| 4.3.2 Plans for courses should be set out in course specifications that include knowledge and skills to be acquired and strategies for teaching and assessment for the domains of learning to be addressed in each course.   | 3              |                  |                       |   |   |
| 4.3.3 The content and strategies set out in course specifications should be coordinated and followed in practice to ensure effective progressive development of learning for the total program in all the domains of learning.   | 3              |                  |                       |   |   |
| 4.3.4 Planning should include any action necessary to ensure that teaching staff are familiar with and are able to use the strategies included in the program and course specifications.   | 3              |                  |                       |   |   |
| 4.3.5 The academic or professional fields for which students are being prepared should be monitored on a continuing basis with necessary adjustments made in programs and in text and reference materials to ensure continuing relevance and quality.  | 3              |                  |                       |   |   |

|  |   |                |                  |                       |   |   |
|--|---|----------------|------------------|-----------------------|---|---|
| 4.3.6  | In all professional programs continuing advisory panels with membership that includes leading practitioners from the relevant occupations or professions should be used to monitor and advise on content and quality of programs.   | 3              |                  |                       |   |   |
| 4.3.7  | New program proposals or major changes in programs should be assessed and approved or rejected by the institution's senior academic committee using criteria that ensure thorough and appropriate consultation in planning and capacity for effective implementation.               | 3              |                  |                       |   |   |
|  |   | <b>Weights</b> | <b>Score (%)</b> | <b>Weighted Score</b> | <b>SID Evidence of Conformance and Compliance</b> | <b>Explanation of Non-Conformance or Non-Compliance</b> |
| <b>4.4 Program Evaluation and Review Processes</b> |   | <b>20</b>      |                  |                       |   |   |
| 4.4.1  | Courses and programs should be evaluated and reported on annually and reports should include information about the effectiveness of planned strategies and the extent to which intended learning outcomes are being achieved.   | 2              |                  |                       |   |   |
| 4.4.2  | When changes are made as a result of evaluations details of those changes and the reasons for them should be retained in course and program portfolios.   | 2              |                  |                       |   |   |
| 4.4.3  | Quality indicators that include learning outcome measures should be established for all courses and programs.   | 2              |                  |                       |   |   |
| 4.4.4  | Records of student completion rates should be kept for all courses and for programs as a whole and included among quality indicators.   | 2              |                  |                       |   |   |
| 4.4.5  | Reports on programs that include quality indicators should be reviewed annually by senior administrators and quality committees.  | 2              |                  |                       |   |   |
| 4.4.6  | Data on quality indicators for programs should be compared across the institution and with other appropriate external benchmarks.   | 2              |                  |                       |   |   |
| 4.4.7  | If problems are found through program evaluations appropriate action should be taken to make improvements, either within the program concerned or through institutional action as appropriate.  | 2              |                  |                       |   |   |
| 4.4.8  | In addition to annual evaluations a comprehensive reassessment of every program should be conducted at least once every five years.   | 2              |                  |                       |   |   |
| 4.4.9  | Program reviews should involve experienced people from relevant industries and professions, and experienced faculty from other institutions.  | 2              |                  |                       |   |   |
| 4.4.10   | In program reviews opinions about the quality of the program including the extent to which intended learning outcomes are achieved should be sought from students and graduates through surveys and interviews, discussions with faculty, and other stakeholders such as employers. | 2              |                  |                       |   |   |

|  |   | Weights   | Score (%) | Weighted Score | SID Evidence of Conformance and Compliance | Explanation of Non-Conformance or Non-Compliance |
|--|---|-----------|-----------|----------------|--|--|
| <b>4.5 Student Assessment</b>                |   | <b>15</b> |           |                |  |  |
| 4.5.1  | Student assessment mechanisms should be appropriate for the different forms of learning sought.   | 3         |           |                |  |  |
| 4.5.2  | Appropriate, valid and reliable mechanisms should be used to verify standards of student achievement in relation to relevant internal and external benchmarks. (Arrangements may include measures such as check marking of random samples of student work by teaching staff at other institutions, and independent comparisons of standards achieved with other comparable institutions within Saudi Arabia, and internationally.)  | 3         |           |                |  |  |
| 4.5.3  | Policies and procedures should include action to be taken to deal with situations where standards of student achievement are inadequate or inconsistently assessed.   | 3         |           |                |  |  |
| 4.5.4  | Effective procedures should be used to ensure that work submitted by students is actually done by the students concerned.   | 3         |           |                |  |  |
| 4.5.5  | Assessment practices should be clearly communicated to students at the beginning of courses.  | 3         |           |                |  |  |
|  |   | Weights   | Score (%) | Weighted Score | SID Evidence of Conformance and Compliance | Explanation of Non-Conformance or Non-Compliance |
| <b>4.6 Education Assistance for Students</b> |   | <b>20</b> |           |                |  |  |
| 4.6.1  | Teaching staff should be available at sufficient scheduled times for consultation and advice to students.   | 2         |           |                |  |  |
| 4.6.2  | Adequate tutorial assistance should be provided to ensure understanding and ability to apply learning.  | 2         |           |                |  |  |
| 4.6.3  | Appropriate preparatory and orientation mechanisms should be used to prepare students for study in a higher education environment. Particular attention should be given to preparation for the language of instruction, self directed learning, and transition programs if necessary for students transferring to the institution with credit for previous studies.   | 2         |           |                |  |  |
| 4.6.4  | For any programs in which the language of instruction is English, action should be taken to ensure that language skills are adequate for instruction in that language when students begin their studies. (This may be done through language training prior to admission to the program. Language skills expected on entry should be benchmarked against other highly regarded institutions with the objective of skills at least comparable to minimum requirements for admission of international students in universities in English speaking countries. If such preparatory programs are outsourced to other providers this does not remove responsibility for ensuring these standards are met from the institution offering the higher education program.) | 2         |           |                |  |  |
| 4.6.5  | Systems should be established within each program for monitoring and coordinating student workload across courses.  | 2         |           |                |  |  |
| 4.6.6  | Progress of individual students should be monitored and assistance and/or counseling given to those facing difficulties.  | 2         |           |                |  |  |

|                                |   |                |                  |                       |   |   |
|--------------------------------|---|----------------|------------------|-----------------------|---|---|
| 4.6.7                          | Year to year progression rates and program completion rates should be monitored and analyzed to identify and provide assistance to any categories of students who may be having difficulty.   | 2              |                  |                       |   |   |
| 4.6.8                          | Feedback to students on their performance and results of assessments should be given promptly and accompanied by mechanisms for assistance if needed.   | 2              |                  |                       |   |   |
| 4.6.9                          | Adequate facilities should be provided for private study, with access to computer terminals and other necessary equipment.  | 2              |                  |                       |   |   |
| 4.6.10                         | Teaching staff should be familiar with the range of support services available in the institution, college or program for students, and should refer them to appropriate sources of assistance when required.   | 2              |                  |                       |   |   |
|                                |   | <b>Weights</b> | <b>Score (%)</b> | <b>Weighted Score</b> | <b>SID Evidence of Conformance and Compliance</b> | <b>Explanation of Non-Conformance or Non-Compliance</b> |
| <b>4.7 Quality of Teaching</b> |   | <b>22</b>      |                  |                       |   |   |
| 4.7.1                          | Effective orientation and training programs should be provided for new, short term and part time staff. (To be effective these programs should ensure that teaching staff are fully briefed on required learning outcomes, on planned teaching strategies, and the contribution of their course to the program as a whole.) | 2              |                  |                       |   |   |
| 4.7.2                          | Strategies of teaching and assessment set out in program and course specifications should be followed by teaching staff.  | 2              |                  |                       |   |   |
| 4.7.3                          | Students should be fully informed about course requirements in advance through course descriptions that include knowledge and skills to be developed, work requirements and assessment processes.   | 2              |                  |                       |   |   |
| 4.7.4                          | The conduct of courses should be consistent with the outlines provided to students and with the course specifications.  | 2              |                  |                       |   |   |
| 4.7.5                          | Textbooks and reference material should be up to date and incorporate the latest developments in the field of study.  | 2              |                  |                       |   |   |
| 4.7.6                          | Textbooks and other required materials should be available in sufficient quantities before classes commence.  | 2              |                  |                       |   |   |
| 4.7.7                          | Attendance requirements in courses should be made clear to students and compliance with these requirements monitored and enforced.  | 2              |                  |                       |   |   |
| 4.7.8                          | Effective systems should be used for evaluation of courses and of teaching.   | 2              |                  |                       |   |   |
| 4.7.9                          | The effectiveness of different planned teaching strategies in achieving learning outcomes should be regularly assessed and adjustments should be made in response to evidence about their effectiveness.  | 2              |                  |                       |   |   |
| 4.7.10                         | Reports should be provided to program coordinators on the delivery of each course and these should include details if any planned content and strategies could not be dealt with.   | 2              |                  |                       |   |   |
| 4.7.11                         | Appropriate adjustments should be made in plans for teaching after consideration of course reports  | 2              |                  |                       |   |   |

|   | Weights        | Score (%)        | Weighted Score        | SID Evidence of Conformance and Compliance        | Explanation of Non-Conformance or Non-Compliance        |
|---|----------------|------------------|-----------------------|---|---|
| <b>4.8 Support for Improvements in Quality of Teaching</b>  | <b>15</b>      |                  |                       |   |   |
| 4.8.1 Training programs in teaching skills should be provided for both new and continuing teaching staff.   | 3              |                  |                       |   |   |
| 4.8.2 Opportunities should be provided for additional professional and academic development of teaching staff, with special assistance given to any who are facing difficulties.  | 3              |                  |                       |   |   |
| 4.8.3 The extent to which teaching staff are involved in professional development to improve quality of teaching should be monitored.   | 3              |                  |                       |   |   |
| 4.8.4 Teaching staff should be encouraged to develop strategies for improvement of their own teaching and to maintain a portfolio of evidence of evaluations and strategies for improvement.  | 3              |                  |                       |   |   |
| 4.8.5 Formal recognition should be given to outstanding teaching, and encouragement given for innovation and creativity.  | 3              |                  |                       |   |   |
|   | <b>Weights</b> | <b>Score (%)</b> | <b>Weighted Score</b> | <b>SID Evidence of Conformance and Compliance</b> | <b>Explanation of Non-Conformance or Non-Compliance</b> |
| <b>4.9 Qualifications and Experience of Teaching Staff</b>  | <b>15</b>      |                  |                       |   |   |
| 4.9.1 All teaching staff should have appropriate qualifications and experience for the courses they teach. For undergraduate and Master's Degree programs this would normally require academic qualifications in their specific teaching area at least one level above that of the program in which they teach.         | 3              |                  |                       |   |   |
| 4.9.2 If part time teaching staff are appointed (for example in a professional program where current industry experience may be sought) there should be an appropriate mix of full time and part time teaching staff. (As a general guideline at least 75 % of teaching staff should be employed on a full time basis). | 3              |                  |                       |   |   |
| 4.9.3 All teaching staff should be involved on a continuing basis in scholarly activities that ensure they remain up to date with the latest developments in their field and can involve their students in learning that incorporates those developments.   | 3              |                  |                       |   |   |
| 4.9.4 All full time staff teaching post-graduate courses should be active in scholarship and research in the fields of study they teach.  | 3              |                  |                       |   |   |
| 4.9.5 In professional programs teaching teams should include some experienced and highly skilled professionals in the field.  | 3              |                  |                       |   |   |
|   | <b>Weights</b> | <b>Score (%)</b> | <b>Weighted Score</b> | <b>SID Evidence of Conformance and Compliance</b> | <b>Explanation of Non-Conformance or Non-Compliance</b> |
| <b>4.10 Field Experience Activities</b>   | <b>24</b>      |                  |                       |   |   |
| 4.10.1 Intended student learning outcomes from the field experience should be clearly specified and effective processes followed to ensure that those learning outcomes, and strategies to develop that learning, are understood by students and supervising staff in the field setting.                                | 3              |                  |                       |   |   |
| 4.10.2 Supervising staff in field locations should be thoroughly briefed on their role and the relationship of the field experience to the program as a whole.  | 3              |                  |                       |   |   |

|   |   |                |                  |                       |   |   |
|---|---|----------------|------------------|-----------------------|---|---|
| 4.10.3  | Students should be thoroughly prepared for participation in the field experience through briefings and descriptive material.  | 3              |                  |                       |   |   |
| 4.10.4  | Arrangements should be made for follow up meetings or classes for students to reflect on and generalize from their experience, applying that experience to situations likely to be faced in later employment.   | 3              |                  |                       |   |   |
| 4.10.5  | Field experience placements that are selected should have the capacity to develop the learning outcomes sought and their effectiveness in developing that learning should be evaluated.   | 3              |                  |                       |   |   |
| 4.10.6  | If supervisors in the field setting and teaching staff from the institution are both involved in student assessments, criteria for assessment should be clearly specified and explained, and procedures established for reconciling differing opinions.   | 3              |                  |                       |   |   |
| 4.10.7  | Provision should be made for evaluations of the field experience activity by students, by supervising staff in the field setting, and by teaching staff of the institution, and the results of those evaluations considered in subsequent planning.   | 3              |                  |                       |   |   |
| 4.10.8  | Preparations for the field experience should include a thorough risk assessment for all parties involved, and plans to minimize and deal with those risks.  | 3              |                  |                       |   |   |
|   |   | <b>Weights</b> | <b>Score (%)</b> | <b>Weighted Score</b> | <b>SID Evidence of Conformance and Compliance</b> | <b>Explanation of Non-Conformance or Non-Compliance</b> |
| <b>4.11 Partnership Arrangement with Other Institutions</b> |   | <b>24</b>      |                  |                       |   |   |
| 4.11.1  | The respective responsibilities of the local institution and the partner should be clearly defined in formal agreements enforceable under the laws of Saudi Arabia.   | 3              |                  |                       |   |   |
| 4.11.2  | The effectiveness of the partnership arrangements should be regularly reviewed.   | 3              |                  |                       |   |   |
| 4.11.3  | Briefings and consultations on course and program requirements should be adequate, and effective mechanisms should be available for ongoing consultation on emerging issues.  | 3              |                  |                       |   |   |
| 4.11.4  | Teaching staff from the partner institution who are familiar with the content of courses offered under the partnership arrangement should visit regularly for consultation about course details and standards of assessments.   | 3              |                  |                       |   |   |
| 4.11.5  | If arrangements involve assessment of student work by the partner institution in addition to assessments within the local institution, procedures should be used that ensure that final assessments are completed promptly and results made available to students within the time specified for reporting of student results under Saudi Arabian regulations. | 3              |                  |                       |   |   |
| 4.11.6  | If programs are based on those of partner institutions, courses, assignments and examinations should be adapted to the local environment, avoid unfamiliar colloquial expressions, and use examples and illustrations relevant to the local setting where the programs are to be offered.   | 3              |                  |                       |   |   |
| 4.11.7  | Programs and courses should be consistent with the requirements of the Qualifications Framework for Saudi Arabia, and in vocational or professional programs, include regulations and conventions relevant to the Saudi Arabian environment.  | 3              |                  |                       |   |   |

|  |  |                |                  |                       |   |   |
|--|--|----------------|------------------|-----------------------|---|---|
| 4.11.8   | If courses or programs developed by a partner institution are delivered in Saudi Arabia adequate processes should be followed to ensure that standards of student achievement are at least equal to those achieved elsewhere by the partner institution as well as by other appropriate institutions selected for benchmarking purposes. | 3              |                  |                       |   |   |
|  |  | <b>Weights</b> | <b>Score (%)</b> | <b>Weighted Score</b> | <b>SID Evidence of Conformance and Compliance</b> | <b>Explanation of Non-Conformance or Non-Compliance</b> |
| <b>4.12 Key Performance Indicators or Benchmarks</b>   |  | <b>24</b>      |                  |                       |   |   |
| 4.12.1   | Level of systems and mechanisms achievement for the development and management of each curriculum. (Levels)  | 2              |                  |                       |   |   |
| 4.12.2   | Percentage of Bachelor graduates who work in their major field of study  | 2              |                  |                       |   |   |
| 4.12.3   | Percentage of Programs meeting the standard criteria in proportion to the total number of programs   | 2              |                  |                       |   |   |
| 4.12.4   | Level of learning processes achievement which are student-centered. (Levels)   | 2              |                  |                       |   |   |
| 4.12.5   | Level of achievement of the Student-centered learning process, especially learning from practicum and real experiences. (Levels)   | 2              |                  |                       |   |   |
| 4.12.6   | Level of achievement of the students' satisfaction with the faculty members' quality of teaching and with the supporting resources (Levels)  | 2              |                  |                       |   |   |
| 4.12.7   | Number of full-time equivalent students in proportion to the total number of full-time faculty members (%)   | 2              |                  |                       |   |   |
| 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  | 2              |                  |                       |   |   |
| 4.12.9   | Proportion of the full-time faculty members holding academic titles of teaching assistant, teacher, instructor, Assistant Professor, Associate Professor, and Professor. (%)   | 2              |                  |                       |   |   |
| 4.12.10  | Level of Compliance achievement of the teaching professional ethics (Levels)   | 2              |                  |                       |   |   |
| 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)   | 2              |                  |                       |   |   |
| 4.12.12  | Percentage of the Bachelor graduates who can secure jobs and who can be self-employed within one year. (%)   | 2              |                  |                       |   |   |
|  |  | <b>Weights</b> | <b>Score (%)</b> | <b>Weighted Score</b> | <b>SID Evidence of Conformance and Compliance</b> | <b>Explanation of Non-Conformance or Non-Compliance</b> |
| <b>4.13 Additional KPI and Benchmarks as used</b>  |  | <b>12</b>      |                  |                       |   |   |
| <i>(describe additional KPI or benchmarks used by college or programs and provide evidence or documentations of KPI achievement)</i> |  |                |                  |                       |   |   |
| 4.13.11  | (KPI specific to Institution, College or Program)  | 3              |                  |                       |   |   |
| 4.13.12  | (KPI specific to Institution, College or Program)  | 3              |                  |                       |   |   |
| 4.13.13  | (KPI specific to Institution, College or Program)  | 3              |                  |                       |   |   |
| 4.13.14  | (KPI specific to Institution, College or Program)  | 3              |                  |                       |   |   |

## Overall Assessment of Compliance to Standard and Performance

| Scaled Scoring Performance                  |  | Weights and Scoring |                 |                     |  |
|---|--|---------------------|-----------------|---------------------|--|
| Standards, Criteria and KPI                 |  | Weights             | Consensus Score | Overall Performance | SID Evidence of Conformance and Compliance |
| ○ <i>Standard 4 Learning and Teaching</i>   |  |                     |                 |                     |  |
| 4.1   | Oversight of Quality of Learning and Teaching                    | 18                  |                 |                     |  |
| 4.2   | Student Learning Outcomes  | 20                  |                 |                     |  |
| 4.3   | Program Development Processes                                    | 21                  |                 |                     |  |
| 4.4   | Program Evaluation and Review Processes                          | 20                  |                 |                     |  |
| 4.5   | Student Assessment   | 15                  |                 |                     |  |
| 4.6   | Educational Assistance for Students                              | 20                  |                 |                     |  |
| 4.7   | Quality of Teaching  | 22                  |                 |                     |  |
| 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                 | 24                  |                 |                     |  |
| 4.12  | Generic KPI or Benchmark   | 24                  |                 |                     |  |
| 4.13  | Institution/College/Program/Administrative Unit KPI or Benchmark | 12                  |                 |                     |  |
| <b>Standard 4 Average Performance Score</b> |  | <b>250</b>          |                 |                     |  |

### Level of Conformance and Compliance with Standard and Criteria

- Level 1** No indication of any conformance and compliance to Standard
- Level 2** Initial indication of compliance with overall standard requirements, and partial compliance with criteria requirements
- Level 3** Initial indication of compliance with overall standard requirements, and partial compliance with criteria requirements and the detailed items requirements
- Level 4** Indication of compliance with overall standard requirements, and compliance with most of the criteria requirements and some of the detailed items requirements
- Level 5** Indication of compliance with overall standard requirements, and compliance with most of the criteria requirements and most of the detailed items requirements
- Level 6** In full conformance and compliance with overall standard requirements, the criteria requirements and the detailed items requirements

**Provide a clear and concise explanation and analysis of how the SID (Statistics, Information and Documents) provided above in each of the Criteria and Items, support an evidence based approach in the performance audit and assessment. Explain each of the criteria independently using the items as supporting evidence.**

**Based on the analysis above identify and summarize the key actions to be taken to take proactive and remedial actions to improve on its existing practices. Use the action plan format below for the detailed action plan**

## Action Plan

Based on the audit and assessment of the Standard, Criteria and Items performance, and the required SID (Statistics, Information and Documents) that are needed to substantiate an evidenced based performance assessment, use the attachment to identify the actions and activities needed to be taken or actioned on.

|   |                     |
|---|---------------------|
| 1. Department or Organizational Unit  |                     |
| 2. Recommendation<br>No(s)            Recommendation (s)                        |                     |
| 3. Action Planned on Standard/Criteria/Item Number OR Grouped Standard/Criteria |                     |
| Person Responsible  | Date for Completion |
| 4. Reasons if no Action Planned   |                     |
| Approved  |                     |
| 5. Summary Report on Action Completed   |                     |
| Completion Certified  | Date Completed      |

## STANDARD 5: SUPPORT FOR STUDENT LEARNING

- SID I - 5.1: Institution Admission and registration System:** Provide documentation and evidence of the existence of the policies, procedures and practices or systems and mechanisms applied in the students admission, registration, and payment requirements assuring its institutional quality admission system assessment and assurance practices. Provide also the admissions and actual enrolment profile and the retention and graduation rate and the enrolment projections of the future for the institution and colleges. (Separate them into specific tables of the different type of profiles)  
**SID C - 5.1: College Admission and registration System:** Provide documentation and evidence of the existence of the policies and procedures or systems and mechanisms applied in the students' admission, registration, and payment requirements assuring its college quality admission system assessment and assurance practices. Provide also the admissions and actual enrolment profile and the retention and graduation rate and the enrolment projections of the future for the college and departments. (Separate them into specific tables of the different type of profiles)
- SID I - 5.2: Institution Student Records and Management System:** Provide documentation and evidence of the existence that the institution has an efficient and effective students' records system and student management system of its codes of conduct and appeal system assuring its institutional quality teaching and learning assessment and assurance practices.  
**SID C - 5.2: College Student Records and Management System:** Provide documentation and evidence of the existence that the institution has an efficient and effective students' records system and student management system of its codes of conduct and appeal system assuring its college quality teaching and learning assessment and assurance practices.
- SID I - 5.3: Institution Student and Services Handbook:** Provide evidence of a Student Handbook on the students detailing the students' code of conducts, appeal system, developmental and counseling system and comprehensive students' services including academic and financial and housing and practices in the institution and the colleges. Evidence of the planning and assessment must be provided to ensure its quality service offerings.  
**SID C - 5.3: College Student and Services Handbook:** Provide evidence of a Student Handbook on the students detailing the students' code of conducts, appeal system, developmental and counseling system and comprehensive students' services including academic and financial and housing and practices in the college and departments. Evidence of the planning and assessment must be provided to ensure its quality service offerings.

|  | Weights   | Score (%) | Weighted Score | SID Evidence of Conformance and Compliance | Explanation of Non-Conformance or Non-Compliance |
|--|-----------|-----------|----------------|--|--|
| <b>Standard 5 Support for Student Learning</b>   | <b>80</b> |           |                |  |  |
| <b>5.1 Student Admissions</b>  | <b>11</b> |           |                |  |  |
| 5.1.1 Student registration processes of the institution, college or program should not be unduly time consuming and should be simple for students to use   | 1         |           |                |  |  |
| 5.1.2 Computerized systems used for admission processes should be linked to data recording and retrieval systems of the institution, college or program. (For example to fee payment requirements if applicable, the issue of student identity cards, program and course registrations, and statistical reporting requirements.) | 1         |           |                |  |  |
| 5.1.3 Admissions requirements of the institution, college or program should be clearly specified and appropriate for the institution and its programs  | 1         |           |                |  |  |

|            |  |                |                  |                       |   |   |
|------------|--|----------------|------------------|-----------------------|---|---|
| 5.1.4      | Admission requirements of institution, college or program should be consistently and fairly applied.   | 1              |                  |                       |   |   |
| 5.1.5      | Student fees of the institution, college or program, if required, should be paid at the time of registration unless specific approval has been given in advance for deferral of payments.  | 1              |                  |                       |   |   |
| 5.1.6      | If the institution's regulations provide for deferral of payments, the conditions and dates for payment should be clearly specified in a formal agreement signed by the student and witnessed, and opportunities for financial counseling provided.  | 1              |                  |                       |   |   |
| 5.1.7      | Student advisors familiar with details of course requirements should be available to provide assistance prior to and during the student registration process.  | 1              |                  |                       |   |   |
| 5.1.8      | Rules governing admission with advanced standing to the institution, college or program should be clearly specified.   | 1              |                  |                       |   |   |
| 5.1.9      | Decisions on exemptions from course requirements or advanced standing should be made known to students by authorized staff before classes commence.  | 1              |                  |                       |   |   |
| 5.1.10     | Complete information about the institution, college or program including the range of courses and programs, program requirements, costs, services and other relevant information should be publicly available to potential students and families prior to applications for admission.  | 1              |                  |                       |   |   |
| 5.1.11     | A comprehensive orientation program should be available for beginning students to ensure thorough understanding of the range of services and facilities available to them, and of their obligations and responsibilities.  | 1              |                  |                       |   |   |
|            |  | <b>Weights</b> | <b>Score (%)</b> | <b>Weighted Score</b> | <b>SID Evidence of Conformance and Compliance</b> | <b>Explanation of Non-Conformance or Non-Compliance</b> |
| <b>5.2</b> | <b>Student Records</b>   | <b>8</b>       |                  |                       |   |   |
| 5.2.1      | Effective security should be provided for student records of the institution, college or program. (Central files containing cumulative records of student's enrolment and performance should be maintained in a secure area with back up files kept in a different and secure location, preferably in a different building or off campus). | 1              |                  |                       |   |   |
| 5.2.2      | Formal policies should be developed by institution, college or program to specify the content of permanent student records and their retention and disposal.   | 1              |                  |                       |   |   |
| 5.2.3      | The student record system of the institution, college or program should regularly provide statistical data they require for planning, reporting and quality assurance to departments, colleges, the quality centre and senior managers of the institution, college or program.   | 1              |                  |                       |   |   |
| 5.2.4      | Clear rules at the institution, college or program should be established and maintained governing privacy of information and controlling access to individual student records.   | 1              |                  |                       |   |   |
| 5.2.5      | Automated procedures should be in place for monitoring student progress throughout their programs in the institution, college or program.  | 1              |                  |                       |   |   |

|  |  |                |                  |                       |   |   |
|--|--|----------------|------------------|-----------------------|---|---|
| 5.2.6  | Timelines for reporting and recording results and updating records should be clearly defined and adhered to by the institution, college or program.  | 1              |                  |                       |   |   |
| 5.2.7  | Results should be finalized, officially approved, and communicated to students within times by the institution, college or program as specified in institutional and Ministry requirements.  | 1              |                  |                       |   |   |
| 5.2.8  | Eligibility for graduation from the institution, college or program should be formally verified in relation to program and course requirements.  | 1              |                  |                       |   |   |
|  |  | <b>Weights</b> | <b>Score (%)</b> | <b>Weighted Score</b> | <b>SID Evidence of Conformance and Compliance</b> | <b>Explanation of Non-Conformance or Non-Compliance</b> |
| <b>5.3 Student Management</b>                          |  | <b>16</b>      |                  |                       |   |   |
| 5.3.1  | A code of behavior by the institution, college or program should be approved by the governing body and made widely available within the institution, college or program, specifying rights and responsibilities of students.   | 2              |                  |                       |   |   |
| 5.3.2  | Regulations should specify action to be taken for breaches of student discipline including the responsibilities of relevant officers and committees, and penalties, which may be imposed.  | 2              |                  |                       |   |   |
| 5.3.3  | Disciplinary action should be taken promptly, and full documentation including details of evidence should be retained in secure institutional records.   | 2              |                  |                       |   |   |
| 5.3.4  | Student appeal and grievance procedures should be specified in regulations, published, and made widely known within the institution. The regulations should make clear the grounds on which academic appeals may be based, the criteria for decisions, and the remedies available. | 2              |                  |                       |   |   |
| 5.3.5  | Appeal and grievance procedures should protect against time wasting on trivial issues, but still provide adequate opportunity for matters of concern to students to be fairly dealt with and supported by student counseling provisions.   | 2              |                  |                       |   |   |
| 5.3.6  | Appeal and grievance procedures should guarantee impartial consideration by persons or committees independent of the parties involved in the issue, or who made a decision or imposed a penalty that is being appealed against.  | 2              |                  |                       |   |   |
| 5.3.7  | Procedures should be established to ensure that students are protected against subsequent punitive action or discrimination following consideration of a grievance or appeal.  | 2              |                  |                       |   |   |
| 5.3.8  | Appropriate policies and procedures should be in place to deal with academic misconduct, including plagiarism and other forms of cheating.   | 2              |                  |                       |   |   |
|  |  | <b>Weights</b> | <b>Score (%)</b> | <b>Weighted Score</b> | <b>SID Evidence of Conformance and Compliance</b> | <b>Explanation of Non-Conformance or Non-Compliance</b> |
| <b>5.4 Planning and Evaluation of Student Services</b> |  | <b>14</b>      |                  |                       |   |   |
| 5.4.1  | The range of services provided and the resources of the institution, college or program devoted to them should reflect the mission of the institution and any special requirements of the student population.  | 2              |                  |                       |   |   |
| 5.4.2  | Formal plans of the institution, college or program should be developed for the provision and improvement of student services and the implementation and effectiveness of those plans should be monitored on a regular basis.  | 2              |                  |                       |   |   |

|            |  |                |                  |                       |   |   |
|------------|--|----------------|------------------|-----------------------|---|---|
| 5.4.3      | A senior member of teaching or other staff should be assigned responsibility for oversight and development of student services.  | 2              |                  |                       |   |   |
| 5.4.4      | The effectiveness and relevance of services of the institution, college or program should be regularly monitored through processes that include surveys of student usage and satisfaction. Services should be modified in response to evaluation and feedback.   | 2              |                  |                       |   |   |
| 5.4.5      | Adequate facilities and financial support of the institution, college or program should be provided for the student services that are needed.  | 2              |                  |                       |   |   |
| 5.4.6      | If services are provided through student organizations of the institution, college or program, assistance should be given in management and organization if required, and there should be effective oversight of financial management and reporting.             | 2              |                  |                       |   |   |
| 5.4.7      | If student newspapers or other student documents are published there should be clear guidelines defining publication standards and editorial policy, and the extent and nature of oversight by the institution, college or program.                              | 2              |                  |                       |   |   |
|            |  | <b>Weights</b> | <b>Score (%)</b> | <b>Weighted Score</b> | <b>SID Evidence of Conformance and Compliance</b> | <b>Explanation of Non-Conformance or Non-Compliance</b> |
| <b>5.5</b> | <b>Medical and Counseling Services</b>   | <b>4</b>       |                  |                       |   |   |
| 5.5.1      | Student counseling and medical services in the institution, college or program should be staffed by people with the necessary professional qualifications.   | 1              |                  |                       |   |   |
| 5.5.2      | Medical and counseling services in the institution, college or program should be readily accessible with provision made for emergency assistance when required. (Fees for services may be charged and they may be provided on a part time basis.)                | 1              |                  |                       |   |   |
| 5.5.3      | Adequate protection in the institution, college or program should be provided, and supported by regulation or a code of conduct, to protect the confidentiality of personal issues discussed with teaching or other staff or students.                           | 1              |                  |                       |   |   |
| 5.5.4      | Effective mechanisms in the institution, college or program should be established for follow up to ensure student welfare and to evaluate quality of service.  | 1              |                  |                       |   |   |
|            |  | <b>Weights</b> | <b>Score (%)</b> | <b>Weighted Score</b> | <b>SID Evidence of Conformance and Compliance</b> | <b>Explanation of Non-Conformance or Non-Compliance</b> |
| <b>5.6</b> | <b>Extra-curricular Activities for Students</b>  | <b>5</b>       |                  |                       |   |   |
| 5.6.1      | Opportunities by the institution, college or program should be provided for participation in religious observances consistent with Islamic beliefs and traditions.   | 1              |                  |                       |   |   |
| 5.6.2      | Arrangements by the institution, college or program should be made to organize and encourage student participation in cultural activities such as clubs and societies, and special events in the arts and other fields appropriate to their interests and needs. | 1              |                  |                       |   |   |
| 5.6.3      | Opportunities by the institution, college or program should be provided through appropriate facilities and organizational arrangements for informal social interaction among students.   | 1              |                  |                       |   |   |

|            |   |                |                  |                       |   |   |
|------------|---|----------------|------------------|-----------------------|---|---|
| 5.6.4      | Participation in sports should be encouraged by the institution, college or program, both for skilled athletes and for others, and appropriate competitive and non-competitive physical activities in which they can be involved should be arranged.              | 1              |                  |                       |   |   |
| 5.6.5      | The extent of student participation in extra-curricular activities of the institution, college or program should be monitored and benchmarked against other comparable institutions, and where necessary strategies developed to improve levels of participation. | 1              |                  |                       |   |   |
|            |   | <b>Weights</b> | <b>Score (%)</b> | <b>Weighted Score</b> | <b>SID Evidence of Conformance and Compliance</b> | <b>Explanation of Non-Conformance or Non-Compliance</b> |
| <b>5.7</b> | <b>Key Performance Indicators or Benchmarks</b>   | <b>12</b>      |                  |                       |   |   |
| 5.7.1      | Level of Services achievement provided for students and alumni. (Levels)  | 4              |                  |                       |   |   |
| 5.7.2      | Level of promotions of student activities achievement which are complete and in line with the desirable characteristics of the graduates. (Levels)  | 4              |                  |                       |   |   |
| 5.7.3      | Percentage of students participating in student development activities/projects in proportion to the total number of full-time students   | 4              |                  |                       |   |   |
|            |   | <b>Weights</b> | <b>Score (%)</b> | <b>Weighted Score</b> | <b>SID Evidence of Conformance and Compliance</b> | <b>Explanation of Non-Conformance or Non-Compliance</b> |
| <b>5.8</b> | <b>Additional KPI and Benchmarks as used</b>  | <b>10</b>      |                  |                       |   |   |
|            | <i>(describe additional KPI or benchmarks used by college or programs and provide evidence or documentations of KPI achievement)</i>  |                |                  |                       |   |   |
| 5.8.1      | (KPI specific to Institution, College or Program)   | 3              |                  |                       |   |   |
| 5.8.2      | (KPI specific to Institution, College or Program)   | 3              |                  |                       |   |   |
| 5.8.3      | (KPI specific to Institution, College or Program)   | 2              |                  |                       |   |   |
| 5.8.4      | (KPI specific to Institution, College or Program)   | 2              |                  |                       |   |   |

## Overall Assessment of Compliance to Standard and Performance

| Scaled Scoring Performance                  |  | Weights and Scoring |                 | Overall Performance | SID Evidence of Conformance and Compliance |
|---|--|---------------------|-----------------|---------------------|--|
| Standards, Criteria and KPI                 |  | Weights             | Consensus Score |                     |  |
| ○   | <b>Standard 5: Student Administration and Support Services</b>       |                     |                 |                     |  |
|   | 5.1 Student Admissions   | 11                  |                 |                     |  |
|   | 5.2 Student Records  | 8                   |                 |                     |  |
|   | 5.3 Student Management   | 16                  |                 |                     |  |
|   | 5.4 Planning and Evaluation of Student Services                      | 14                  |                 |                     |  |
|   | 5.5 Medical and Counseling Services                                  | 4                   |                 |                     |  |
|   | 5.6 Extra Curricular Activities for Students                         | 5                   |                 |                     |  |
|   | 5.7 Generic KPI or Benchmark   | 9                   |                 |                     |  |
|   | 5.8 Institution/College/Program/Administrative Unit KPI or Benchmark | 13                  |                 |                     |  |
| <b>Standard 5 Average Performance Score</b> |  | <b>80</b>           |                 |                     |  |

### Level of Conformance and Compliance with Standard and Criteria

- Level 1** No indication of any conformance and compliance to Standard
- Level 2** Initial indication of compliance with overall standard requirements, and partial compliance with criteria requirements
- Level 3** Initial indication of compliance with overall standard requirements, and partial compliance with criteria requirements and the detailed items requirements
- Level 4** Indication of compliance with overall standard requirements, and compliance with most of the criteria requirements and some of the detailed items requirements
- Level 5** Indication of compliance with overall standard requirements, and compliance with most of the criteria requirements and most of the detailed items requirements
- Level 6** In full conformance and compliance with overall standard requirements, the criteria requirements and the detailed items requirements

Provide a clear and concise explanation and analysis of how the SID (Statistics, Information and Documents provided above in each of the Criteria and Items, support an evidence based approach in the performance audit and assessment. Explain each of the criteria independently using the items as supporting evidence.

Based on the analysis above identify and summarize the key actions to be taken to take proactive and remedial actions to improve on its existing practices. Use the action plan format below for the detailed action plan

## Action Plan

Based on the audit and assessment of the Standard, Criteria and Items performance, and the required SID (Statistics, Information and Documents) that are needed to substantiate an evidenced based performance assessment, use the attachment to identify the actions and activities needed to be taken or actioned on.

|   |                     |
|---|---------------------|
| 1. Department or Organizational Unit  |                     |
| 2. Recommendation<br>No(s)            Recommendation (s)                        |                     |
| 3. Action Planned on Standard/Criteria/Item Number OR Grouped Standard/Criteria |                     |
| Person Responsible  | Date for Completion |
| 4. Reasons if no Action Planned   |                     |
| Approved  |                     |
| 5. Summary Report on Action Completed   |                     |
| Completion Certified  | Date Completed      |

## STANDARD 6: LEARNING RESOURCES

- SID I - 6.1: Institution Learning Resources Plan and System:** Provide documentation and evidence of the existence of the institution learning resource plan detailing the quantity and quality of the learning resources needs and requirements, the policies, procedures and practices or systems and mechanisms applied in the planning and evaluation assuring its institutional quality learning resources system assessment and assurance practices.
- SID C - 6.1: College Learning Resources Plan and System:** Provide documentation and evidence of the existence of the institution learning resource plan detailing the quantity and quality of the learning resources needs and requirements, the policies, procedures and practices or systems and mechanisms applied in the planning and evaluation assuring its institutional quality learning resources system assessment and assurance practices.
- SID I - 6.2: Institution Learning Resources Organization and support Management System:** Provide documentation and evidence of the existence that the institution has an efficient and effective institution learning resources organization and support management system assuring its institutional learning resources management assessment and assurance practices.
- SID C - 6.2: College Learning Resources Organization and support Management System:** Provide documentation and evidence of the existence that the college has an efficient and effective college learning resources organization and support management system assuring its college learning resources management assessment and assurance practices.

|   | Weights   | Score (%) | Weighted Score | SID Evidence of Conformance and Compliance | Explanation of Non-Conformance or Non-Compliance |
|---|-----------|-----------|----------------|--|--|
| <b>Standard 6 Learning Resources</b>  | <b>60</b> |           |                |  |  |
| <b>6.1 Planning and Evaluation</b>  | <b>14</b> |           |                |  |  |
| 6.1.1 Policies guiding the provision of library/resource centre services should give special attention to support for the particular educational programs and research requirements of the institution.   | 2         |           |                |  |  |
| 6.1.2 A learning resource strategy should be developed which is directly linked to strategic priorities for program development, and adjusted as required as new programs are introduced.   | 2         |           |                |  |  |
| 6.1.3 The adequacy of library and resource centre materials should be formally evaluated at least biennially.   | 2         |           |                |  |  |
| 6.1.4 Evaluation procedures should include user surveys dealing with effectiveness in meeting user needs (considering teaching staff and student satisfaction, extent of usage, consistency with requirements of teaching and learning at the institution, range of services provided, and comparisons with other comparable institutions). | 2         |           |                |  |  |
| 6.1.5 Evaluation processes include analysis of data on usage of resources in relation to teaching and learning requirements.  | 2         |           |                |  |  |
| 6.1.6 Early advice should be obtained from teaching staff responsible for courses and programs about requirements to support teaching and learning.   | 2         |           |                |  |  |
| 6.1.7 Reserve book collections and other reference materials should be regularly reviewed with advice from teaching staff to ensure adequate access to necessary materials for courses on offer at any time.  | 2         |           |                |  |  |

|  | Weights  | Score (%) | Weighted Score | SID Evidence of Conformance and Compliance | Explanation of Non-Conformance or Non-Compliance |
|--|----------|-----------|----------------|--|--|
| <b>6.2 Organization</b>  | <b>8</b> |           |                |  |  |
| 6.2.1 Library and resource centers and associated facilities and services should be available for extended hours to ensure access when required by users.                                    | 1        |           |                |  |  |
| 6.2.2 Collections should be arranged catalogued according to internationally recognized good library practice.   | 1        |           |                |  |  |
| 6.2.3 Agreements should be made for cooperation with other libraries and resource centers for interlibrary loans and sharing of resources and services.                                      | 1        |           |                |  |  |
| 6.2.4 Reliable systems should be used for recording loans and returns, with efficient follow up for overdue material.  | 1        |           |                |  |  |
| 6.2.5 Heavy-demand and required reading materials should be held in a reserve collection.  | 1        |           |                |  |  |
| 6.2.6 There should be reliable and efficient access to on-line data-bases and research and journal material relevant to the institution's programs.  | 1        |           |                |  |  |
| 6.2.7 Rules for behavior within the library should be established and enforced to ensure maintenance of an environment conducive to effective study and student and staff research.          | 1        |           |                |  |  |
| 6.2.8 Effective security systems should be used to prevent loss of materials and inappropriate use of the internet.  | 1        |           |                |  |  |
|  | Weights  | Score (%) | Weighted Score | SID Evidence of Conformance and Compliance | Explanation of Non-Conformance or Non-Compliance |
| <b>6.3 Support for Users</b>   | <b>7</b> |           |                |  |  |
| 6.3.1 Orientation and training programs should be provided for new students and other users to prepare them to access facilities and services.   | 1        |           |                |  |  |
| 6.3.2 Assistance should be available for users in conducting searches and locating and using information.  | 1        |           |                |  |  |
| 6.3.3 A reference service should be available through which in-depth questions are answered by qualified librarians.   | 1        |           |                |  |  |
| 6.3.4 Electronic and/or other automated systems with search facilities should be available to assist in locating resources within the institution and in other collections.                  | 1        |           |                |  |  |
| 6.3.5 Appropriate procedures should be used to keep users informed of library developments such as acquisition of new materials, training programs, or changes in services or opening hours. | 1        |           |                |  |  |
| 6.3.6 Printed or electronic guides should be available to help users find materials for popular subject areas, compiling reference lists or using data bases.                                | 1        |           |                |  |  |
| 6.3.7 Library and resource centers should be staffed by sufficient people qualified and skilled in relevant fields of librarianship and information technology.                              | 1        |           |                |  |  |
|  | Weights  | Score (%) | Weighted Score | SID Evidence of Conformance and Compliance | Explanation of Non-Conformance or Non-Compliance |
| <b>6.4 Resources and Facilities</b>  | <b>9</b> |           |                |  |  |
| 6.4.1 Adequate financial resources must be provided for acquisitions, cataloguing, equipment, and for services and system development.   | 1        |           |                |  |  |
| 6.4.2 The availability of on line access and inter library loan facilities should not be used to reduce commitment to providing adequate physical resources on-site.                         | 1        |           |                |  |  |

|  |   |                |                  |                       |   |   |
|--|---|----------------|------------------|-----------------------|---|---|
| 6.4.3  | Adequate facilities should be provided to house collections in a way that makes them readily accessible.  | 1              |                  |                       |   |   |
| 6.4.4  | Up to date computer technology should be provided to support electronic access to resources and reference material.   | 1              |                  |                       |   |   |
| 6.4.5  | Copying facilities supported by efficient payment mechanisms for users should be provided.  | 1              |                  |                       |   |   |
| 6.4.6  | Facilities should be available for using personal laptop computers.   | 1              |                  |                       |   |   |
| 6.4.7  | Books, journals and other materials should be available in Arabic and English (or other languages) as required for programs taught and research undertaken in the institution.  | 1              |                  |                       |   |   |
| 6.4.8  | Facilities should be provided for both individual and small group study and research.   | 1              |                  |                       |   |   |
| 6.4.9  | The level of provision of resources (numbers of books, seats, group study facilities etc) should be benchmarked against good quality similar institutions and be adequate for the size of the institution and the programs offered. | 1              |                  |                       |   |   |
|  |   | <b>Weights</b> | <b>Score (%)</b> | <b>Weighted Score</b> | <b>SID Evidence of Conformance and Compliance</b> | <b>Explanation of Non-Conformance or Non-Compliance</b> |
| <b>6.5 Key Performance Indicators or Benchmarks</b>  |   | <b>12</b>      |                  |                       |   |   |
| 6.5.1  | Level of capacity and capability achievement of the learning resources supportive of the management, teaching and learning, and research (Levels)   | 3              |                  |                       |   |   |
| 6.5.2  | Level of management and administration achievement of the learning resources supporting the goals of the university and colleges in achieving their academic mission (Levels)   | 3              |                  |                       |   |   |
| 6.5.3  | Level of learning resources achievement meeting the needs of the colleges and the stakeholders (Levels)   | 3              |                  |                       |   |   |
| 6.5.4  | Level of quality achievement of learning resources and facilities in supporting a conducive learning and social environment (Levels)  | 3              |                  |                       |   |   |
|  |   | <b>Weights</b> | <b>Score (%)</b> | <b>Weighted Score</b> | <b>SID Evidence of Conformance and Compliance</b> | <b>Explanation of Non-Conformance or Non-Compliance</b> |
| <b>6.6 Additional KPI and Benchmarks as used</b>   |   | <b>10</b>      |                  |                       |   |   |
| <i>(Describe additional KPI or benchmarks used by college or programs and provide evidence or documentations of KPI achievement)</i> |   |                |                  |                       |   |   |
| 6.6.1  | (KPI specific to Institution, College or Program)   | 3              |                  |                       |   |   |
| 6.6.2  | (KPI specific to Institution, College or Program)   | 2              |                  |                       |   |   |
| 6.6.3  | (KPI specific to Institution, College or Program)   | 2              |                  |                       |   |   |
| 6.6.4  | (KPI specific to Institution, College or Program)   | 2              |                  |                       |   |   |

## Overall Assessment of Compliance to Standard and Performance

| Scaled Scoring Performance                  |   | Weights and Scoring |                 | Overall Performance | SID Evidence of Conformance and Compliance |
|---|---|---------------------|-----------------|---------------------|--|
| Standards, Criteria and KPI                 |   | Weights             | Consensus Score |                     |  |
| ○ <i>Standard 6: Learning Resources</i>     |   |                     |                 |                     |  |
| 6.1   | Planning and Evaluation   | 14                  |                 |                     |  |
| 6.2   | Organization  | 8                   |                 |                     |  |
| 6.3   | Support for Users   | 7                   |                 |                     |  |
| 6.4   | Resources and Facilities  | 9                   |                 |                     |  |
| 6.5   | Generic KPI or Benchmark  | 12                  |                 |                     |  |
| 6.6   | Institution/College/Program/ Administrative Unit KPI or Benchmark | 10                  |                 |                     |  |
| <b>Standard 6 Average Performance Score</b> |   | <b>60</b>           |                 |                     |  |

### Level of Conformance and Compliance with Standard and Criteria

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**Provide a clear and concise explanation and analysis of how the SID (Statistics, Information and Documents) provided above in each of the Criteria and Items, support an evidence based approach in the performance audit and assessment. Explain each of the criteria independently using the items as supporting evidence.**

**Based on the analysis above identify and summarize the key actions to be taken to take proactive and remedial actions to improve on its existing practices. Use the action plan format below for the detailed action plan**

## Action Plan

Based on the audit and assessment of the Standard, Criteria and Items performance, and the required SID (Statistics, Information and Documents) that are needed to substantiate an evidenced based performance assessment, use the attachment to identify the actions and activities needed to be taken or actioned on.

|   |                     |
|---|---------------------|
| 1. Department or Organizational Unit  |                     |
| 2. Recommendation<br>No(s)            Recommendation (s)                        |                     |
| 3. Action Planned on Standard/Criteria/Item Number OR Grouped Standard/Criteria |                     |
| Person Responsible  | Date for Completion |
| 4. Reasons if no Action Planned   |                     |
| Approved  |                     |
| 5. Summary Report on Action Completed   |                     |
| Completion Certified  | Date Completed      |

## STANDARD 7 FACILITIES AND EQUIPMENT

- SID I – 7.1: Institution Facilities and Equipment Plan:** Provide documentation and evidence of the existence of the institution facilities and equipment plan detailing the quantity and quality of the facilities and equipment needs and requirements, the policies, procedures and practices or systems and mechanisms applied in the planning and evaluation assuring its institutional quality facilities and equipment system assessment and assurance practices.
- SID C – 7.1: College Facilities and Equipment Plan:** Provide documentation and evidence of the existence of the college facilities and equipment plan detailing the quantity and quality of the college facilities and equipment needs and requirements, the policies, procedures and practices or systems and mechanisms applied in the planning and evaluation assuring its quality college facilities and equipment system assessment and assurance practices.
- SID I – 7.2: Institution Facilities and Equipment Organization and support Management System:** Provide documentation and evidence of the existence that the institution has an efficient and effective institution facilities and equipment organization and support management system covering the management and administration of the overall facilities and equipment including the ICT and student housing assuring its institutional facilities and equipment management assessment and assurance practices.
- SID C – 7.2: College Facilities and Equipment Organization and support Management System:** Provide documentation and evidence of the existence that the college has an efficient and effective college facilities and equipment organization and support management system management and administration of the overall facilities and equipment including the ICT and student housing assuring its college facilities and equipment management assessment and assurance practices.

|   | Weights   | Score (%) | Weighted Score | SID Evidence of Conformance and Compliance | Explanation of Non-Conformance or Non-Compliance |
|---|-----------|-----------|----------------|--|--|
| <b>Standard 7 Facilities and Equipment</b>  | <b>60</b> |           |                |  |  |
| <b>7.1 Policy and Planning</b>  | <b>6</b>  |           |                |  |  |
| 7.1.1 A long-term master plan that provides for capital developments and maintenance of facilities and equipment of the institution, college or program should be approved by the governing body.   | 1         |           |                |  |  |
| 7.1.2 Equipment planning of the institution, college or program should provide for major equipment acquisition, servicing and replacement according to a planned schedule.  | 1         |           |                |  |  |
| 7.1.3 Present and future users of facilities or major equipment of the institution, college or program should be involved in detailed consultations prior to acquisitions or development to ensure that current and anticipated future needs are met. | 1         |           |                |  |  |
| 7.1.4 Equipment policies of the institution, college or program should ensure to the greatest feasible extent, compatibility of equipment and systems across the institution.   | 1         |           |                |  |  |
| 7.1.5 Business plans of the institution, college or program should be prepared prior to major equipment acquisitions, with evaluation of alternatives of leasing or shared use with other agencies.   | 1         |           |                |  |  |

|   |  |                |                  |                       |   |   |
|---|--|----------------|------------------|-----------------------|---|---|
| 7.1.6   | Proposals for leasing of major facilities and for outsourced building and management of facilities of the institution, college or program should be fully evaluated in the long-term interests of the institution and managed in a way that ensures effective quality control and financial benefits.  | 1              |                  |                       |   |   |
|   |  | <b>Weights</b> | <b>Score (%)</b> | <b>Weighted Score</b> | <b>SID Evidence of Conformance and Compliance</b> | <b>Explanation of Non-Conformance or Non-Compliance</b> |
| <b>7.2 Quality and Adequacy of Facilities and Equipment</b> |  | <b>9</b>       |                  |                       |   |   |
| 7.2.1   | A clean, attractive and well maintained physical environment of both buildings and grounds of the institution, college or program should be maintained.  | 1              |                  |                       |   |   |
| 7.2.2   | Facilities of the institution, college or program should fully meet health and safety requirements.  | 1              |                  |                       |   |   |
| 7.2.3   | Quality assessment processes used by the institution, college or program should include both feedback from principal users about the adequacy and quality of facilities, and mechanisms for considering and responding to their views.   | 1              |                  |                       |   |   |
| 7.2.4   | Standards of provision of teaching, laboratory and research facilities of the institution, college or program should be benchmarked through comparisons with equivalent provisions at other comparable institutions. (This includes such things as classroom space, laboratory facilities and equipment, access to computing facilities and associated software, private study facilities, and research equipment. | 1              |                  |                       |   |   |
| 7.2.5   | Adequate facilities of the institution, college or program should be available for confidential consultations between staff and students   | 1              |                  |                       |   |   |
| 7.2.6   | Appropriate facilities of the institution, college or program should be provided for religious observances.  | 1              |                  |                       |   |   |
| 7.2.7   | Food service facilities of the institution, college or program should be adequate and appropriate for the needs of staff and students.   | 1              |                  |                       |   |   |
| 7.2.8   | Appropriate provision of the institution, college or program should be made for students and staff with physical disabilities or other special needs.  | 1              |                  |                       |   |   |
| 7.2.9   | Facilities of the institution, college or program should be provided for cultural, sporting and other extracurricular activities that are appropriate for the needs of the students attending the institution.   | 1              |                  |                       |   |   |
|   |  | <b>Weights</b> | <b>Score (%)</b> | <b>Weighted Score</b> | <b>SID Evidence of Conformance and Compliance</b> | <b>Explanation of Non-Conformance or Non-Compliance</b> |
| <b>7.3 Management and Administration</b>                    |  | <b>8</b>       |                  |                       |   |   |
| 7.3.1   | Complete inventories should be maintained of equipment owned or controlled by the institution, college or program including equipment assigned to individual staff for teaching and research.  | 1              |                  |                       |   |   |
| 7.3.2   | Services such as cleaning, waste disposal, minor maintenance, safety, and environmental management of the institution, college or program should be maintained efficiently and effectively under the supervision of a senior administrative officer.   | 1              |                  |                       |   |   |
| 7.3.3   | Regular condition assessments of the institution, college or program facilities and equipment should be carried out and provision made for preventative and corrective maintenance and replacement when required.  | 1              |                  |                       |   |   |

|                                   |   |                |                  |                       |   |   |
|-----------------------------------|---|----------------|------------------|-----------------------|---|---|
| 7.3.4                             | Effective security in the institution, college or program should be provided for specialized facilities and equipment for teaching and research, with responsibility between individual members of staff, departments or colleges, or central administration clearly defined. | 1              |                  |                       |   |   |
| 7.3.5                             | Effective systems in the institution, college or program should be used to ensure the personal security of teaching and other staff and students, with appropriate provisions for the security of their personal property.  | 1              |                  |                       |   |   |
| 7.3.6                             | Space utilization of the institution, college or program should be monitored and when appropriate facilities reallocated in response to changing requirements.  | 1              |                  |                       |   |   |
| 7.3.7                             | Scheduling of general-purpose facilities of the institution, college or program should be managed through an electronic booking and reservation system, and reports made to senior management on the extent and efficiency of use.  | 1              |                  |                       |   |   |
| 7.3.8                             | Arrangements should be made for shared use of underutilized facilities of the institution, college or program with adequate mechanisms for security of equipment.   | 1              |                  |                       |   |   |
|                                   |   | <b>Weights</b> | <b>Score (%)</b> | <b>Weighted Score</b> | <b>SID Evidence of Conformance and Compliance</b> | <b>Explanation of Non-Conformance or Non-Compliance</b> |
| <b>7.4 Information Technology</b> |   | <b>11</b>      |                  |                       |   |   |
| 7.4.1                             | Adequate computer equipment of the institution, college or program should be available and accessible for teaching and other staff and students throughout the institution.   | 1              |                  |                       |   |   |
| 7.4.2                             | The adequacy of provision of computer equipment of the institution, college or program should be regularly assessed through surveys or other means and comparisons with other institutions.   | 1              |                  |                       |   |   |
| 7.4.3                             | Policies governing the use of personal computers of the institution, college or program by students should be established and provision made for facilities to support their use in keeping with these policies.  | 1              |                  |                       |   |   |
| 7.4.4                             | Technical support of the institution, college or program should be available for teaching and other staff and students using information and communications technology.   | 1              |                  |                       |   |   |
| 7.4.5                             | Opportunities should be provided for teaching staff input into plans for acquisition and replacement of IT equipment of the institution, college or program.  | 1              |                  |                       |   |   |
| 7.4.6                             | Institution-wide acquisitions and replacement policies for software and hardware should be established to ensure that systems remain up to date and that compatibility is maintained as replacements are made.  | 1              |                  |                       |   |   |
| 7.4.7                             | Security systems of the institution, college or program should be established to protect privacy of personal and institutional information, and to protect against externally introduced viruses.   | 1              |                  |                       |   |   |
| 7.4.8                             | A code of conduct of the institution, college or program relating to inappropriate use of material on the internet should be established. Compliance with this code of conduct should be checked and instances of inappropriate behavior appropriately dealt with.            | 1              |                  |                       |   |   |

|   |  |                |                  |                       |   |   |
|---|--|----------------|------------------|-----------------------|---|---|
| 7.4.9   | Training programs of the institution, college or program should be provided for teaching and other staff to ensure effective use of computing equipment and appropriate software for teaching, student assessment, and administration. | 1              |                  |                       |   |   |
| 7.4.10  | Effective use should be made of information technology for administrative systems, reporting, and communications across the institution, college or program with secure access where appropriate.                                      | 1              |                  |                       |   |   |
| 7.4.11  | Internal information systems of the institution, college or program should be compatible with external reporting requirements.   | 1              |                  |                       |   |   |
|   |  | <b>Weights</b> | <b>Score (%)</b> | <b>Weighted Score</b> | <b>SID Evidence of Conformance and Compliance</b> | <b>Explanation of Non-Conformance or Non-Compliance</b> |
| <b>7.5 Student Residences</b>                       |  | <b>8</b>       |                  |                       |   |   |
| 7.5.1   | Accommodation of the institution, college or program should be of appropriate standard, providing a healthy, safe and secure environment for students.   | 1              |                  |                       |   |   |
| 7.5.2   | Facilities of the institution, college or program should make adequate provision for privacy and individual study.   | 1              |                  |                       |   |   |
| 7.5.3   | Facilities of the institution, college or program for social, cultural and physical activities should be adequate and appropriate for the students attending the institution   | 1              |                  |                       |   |   |
| 7.5.4   | Clearly defined codes of behavior of the institution, college or program should be established and be formally agreed to by students.  | 1              |                  |                       |   |   |
| 7.5.5   | Effective supervision by the institution, college or program should be provided by staff with the experience, expertise and authority to manage the facility as a secure and supportive learning environment.                          | 1              |                  |                       |   |   |
| 7.5.6   | Adequate food services, maintenance and medical facilities of the institution, college or program should be available or readily accessible.   | 1              |                  |                       |   |   |
| 7.5.7   | Provision of the institution, college or program should be made for adequate and appropriate religious facilities.   | 1              |                  |                       |   |   |
| 7.5.8   | Accommodation of the institution, college or program should be provided on or close to the campus or transport facilities provided to ensure easy access   | 1              |                  |                       |   |   |
|   |  | <b>Weights</b> | <b>Score (%)</b> | <b>Weighted Score</b> | <b>SID Evidence of Conformance and Compliance</b> | <b>Explanation of Non-Conformance or Non-Compliance</b> |
| <b>7.6 Key Performance Indicators or Benchmarks</b> |  | <b>9</b>       |                  |                       |   |   |
| 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)   | 3              |                  |                       |   |   |
| 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)   | 3              |                  |                       |   |   |
| 7.6.3   | Level of student residences achievement in supporting a conducive learning and social environment (Levels)   | 3              |                  |                       |   |   |

|  | Weights  | Score (%) | Weighted Score | SID Evidence of Conformance and Compliance | Explanation of Non-Conformance or Non-Compliance |
|--|----------|-----------|----------------|--|--|
| <b>7.7 Additional KPI and Benchmarks as used</b>   | <b>9</b> |           |                |  |  |
| <i>(describe additional KPI or benchmarks used by college or programs and provide evidence or documentations of KPI achievement)</i> |          |           |                |  |  |
| 7.7.1 (KPI specific to Institution, College or Program)  | 3        |           |                |  |  |
| 7.7.2 (KPI specific to Institution, College or Program)  | 2        |           |                |  |  |
| 7.7.3 (KPI specific to Institution, College or Program)  | 2        |           |                |  |  |
| 7.7.4 (KPI specific to Institution, College or Program)  | 2        |           |                |  |  |

## Overall Assessment of Compliance to Standard and Performance

| Scaled Scoring Performance                    |  | Weights and Scoring |                 | Overall Performance | SID Evidence of Conformance and Compliance |
|---|--|---------------------|-----------------|---------------------|--|
| Standards, Criteria and KPI                   |  | Weights             | Consensus Score |                     |  |
| ○ <i>Standard 7: Facilities and Equipment</i> |  |                     |                 |                     |  |
| 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   | Generic KPI or Benchmark   | 9                   |                 |                     |  |
| 7.7   | Institution/College/Program/Administrative Unit KPI or Benchmark | 9                   |                 |                     |  |
| <b>Standard 7 Average Performance Score</b>   |  | <b>60</b>           |                 |                     |  |

### Level of Conformance and Compliance with Standard and Criteria

- Level 1** No indication of any conformance and compliance to Standard
- Level 2** Initial indication of compliance with overall standard requirements, and partial compliance with criteria requirements
- Level 3** Initial indication of compliance with overall standard requirements, and partial compliance with criteria requirements and the detailed items requirements
- Level 4** Indication of compliance with overall standard requirements, and compliance with most of the criteria requirements and some of the detailed items requirements
- Level 5** Indication of compliance with overall standard requirements, and compliance with most of the criteria requirements and most of the detailed items requirements
- Level 6** In full conformance and compliance with overall standard requirements, the criteria requirements and the detailed items requirements

**Provide a clear and concise explanation and analysis of how the SID (Statistics, Information and Documents) provided above in each of the Criteria and Items, support an evidence based approach in the performance audit and assessment. Explain each of the criteria independently using the items as supporting evidence.**

**Based on the analysis above identify and summarize the key actions to be taken to take proactive and remedial actions to improve on its existing practices. Use the action plan format below for the detailed action plan**

## Action Plan

Based on the audit and assessment of the Standard, Criteria and Items performance, and the required SID (Statistics, Information and Documents) that are needed to substantiate an evidenced based performance assessment, use the attachment to identify the actions and activities needed to be taken or actioned on.

|   |                     |
|---|---------------------|
| 1. Department or Organizational Unit  |                     |
| 2. Recommendation<br>No(s)            Recommendation (s)                        |                     |
| 3. Action Planned on Standard/Criteria/Item Number OR Grouped Standard/Criteria |                     |
| Person Responsible  | Date for Completion |
| 4. Reasons if no Action Planned   |                     |
| Approved  |                     |
| 5. Summary Report on Action Completed   |                     |
| Completion Certified  | Date Completed      |

## STANDARD 8 FINANCIAL PLANNING AND MANAGEMENT

- SID I – 8.1:** Institution Financial and Budgeting Plans  
**SID C – 8.1:** College Financial and Budgeting Plans
- SID I – 8.2:** Institution Financial and Budgeting Management System: Provide documentation and evidence of the existence of the institution financial and budgeting management and administration systems detailing financial needs and requirements of the colleges and administrative units, the policies, procedures and practices or systems and mechanisms applied in the planning and evaluation of the institution financial management assuring its institutional quality financial management system assessment and assurance practices.  
**SID C – 8.2:** College Financial and Budgeting Management System: Provide documentation and evidence of the existence of the college financial and budgeting management and administration systems detailing financial needs and requirements of the college and departments, the policies, procedures and practices or systems and mechanisms applied in the planning and evaluation of the college financial management assuring its college quality financial management system assessment and assurance practices.
- SID I – 8.3:** Institution Risk Management Plan: Provide documentation and evidence of the existence of the institution risk management and administration systems detailing all types of risk needs and requirements of the institution, the policies, procedures and practices or systems and mechanisms applied in the planning and evaluation of the institution risk management assuring its institutional quality risk management system assessment and assurance practices.  
**SID C – 8.3:** College Risk Management Plan: Provide documentation and evidence of the existence of the college risk management and administration systems detailing all types of risk needs and requirements of the college, the policies, procedures and practices or systems and mechanisms applied in the planning and evaluation of the college risk management assuring its college quality risk management system assessment and assurance practices.

|  | Weights   | Score (%) | Weighted Score | SID Evidence of Conformance and Compliance | Explanation of Non-Conformance or Non-Compliance |
|--|-----------|-----------|----------------|--|--|
| <b>Standard 8 Financial Planning and Management</b>  | <b>45</b> |           |                |  |  |
| <b>8.1 Financial Planning and Budgeting</b>  | <b>10</b> |           |                |  |  |
| 8.1.1 Budgeting and resource allocations in the institution, college or program should be aligned with the mission and goals of the institution, college or program and strategic planning to achieve those goals.   | 1         |           |                |  |  |
| 8.1.2 Annual budgets of the institution, college or program should be established within a framework of long term revenue and expenditure projections, which are progressively adjusted in the light of experience.  | 1         |           |                |  |  |
| 8.1.3 Budget proposals of the institution, college or program should be developed by senior academic and administrative staff in consultation with cost centre managers, carefully reviewed, and presented to the governing body for approval.                     | 1         |           |                |  |  |
| 8.1.4 Proposals for new programs or major activities, equipment or facilities in the institution, college or program should be accompanied by business plans that include independently verified cost estimates and cost impacts on other services and activities. | 1         |           |                |  |  |

|                                 |  |                |                  |                       |   |   |
|---------------------------------|--|----------------|------------------|-----------------------|---|---|
| 8.1.5                           | If new ventures in the institution, college or program are cross-subsidized from existing funding sources the cost sharing strategy should be made explicit and intermediate and long term costs and benefits assessed.  | 1              |                  |                       |   |   |
| 8.1.6                           | The amount of financial resources available for the institution, college or program should be sufficient for quality programs offer, and if loans in the institution, college or program are used, the debt and liquidity ratios and cost equivalent should be monitored and benchmarked against commercial practice and equivalent ratios in other higher education institutions. | 1              |                  |                       |   |   |
| 8.1.7                           | Ratios of expenditure on salaries and other major expense categories relative to total expenditure of the institution, college or program should be monitored allowing appropriate variations for colleges or departments with different cost structures.  | 1              |                  |                       |   |   |
| 8.1.8                           | Borrowing and other long term financing schemes of the institution, college or program should be used sparingly as a strategic financing strategy to improve capacity rather than to meet unanticipated short term operating costs, and financial planning should ensure that obligations can be met from projected additional revenue or from known existing revenue sources.     | 1              |                  |                       |   |   |
| 8.1.9                           | Budget proposals should support strategic priorities for the institution, college or program development and quality improvement with strategies developed to diversify revenue through a range of activities, which, while consistent with the charter and mission of the institution, college or program reduce its dependence on a single funding source.                       | 1              |                  |                       |   |   |
| 8.1.10                          | The college or program should submit annual budget proposals setting out detailed program requirements and follow-up as necessary to make adjustments after those proposals have been considered and financial resources allocated   | 1              |                  |                       |   |   |
|                                 |  | <b>Weights</b> | <b>Score (%)</b> | <b>Weighted Score</b> | <b>SID Evidence of Conformance and Compliance</b> | <b>Explanation of Non-Conformance or Non-Compliance</b> |
| <b>8.2 Financial Management</b> |  | <b>10</b>      |                  |                       |   |   |
| 8.2.1                           | Oversight and management of the institution, college or program budgeting and accounting functions should be done by a business or financial office or senior faculty responsible to a senior manager or dean.   | 1              |                  |                       |   |   |
| 8.2.2                           | Sufficient delegations of spending authority should be given to managers of organizational units within the institution, college or program for effective and efficient administration.  | 1              |                  |                       |   |   |
| 8.2.3                           | Details of any financial delegations should be clearly specified, and conformity with regulations and reporting requirements confirmed through audit processes.  | 1              |                  |                       |   |   |
| 8.2.4                           | Cost centre managers of institution, college or program should be involved in the budget planning process, and be held accountable for expenditure within approved budgets.  | 1              |                  |                       |   |   |

|   |   |                |                  |                       |   |   |
|---|---|----------------|------------------|-----------------------|---|---|
| 8.2.5   | There should be accurate monitoring of expenditure and commitments against budgets with reports prepared for each cost centre and for the institution, college or program as a whole at least once each semester.   | 1              |                  |                       |   |   |
| 8.2.6   | Any discrepancies from expenditure estimates should be explained and their impact on annual budget projections assessed.  | 1              |                  |                       |   |   |
| 8.2.7   | Accounting systems should comply with accepted professional accounting standards and as far as possible attribute total cost to particular activities.  | 1              |                  |                       |   |   |
| 8.2.8   | Funds provided for particular purposes should be used for those purposes and the accounting systems should verify that this has occurred.   | 1              |                  |                       |   |   |
| 8.2.9   | Where possibilities of conflict of interest exist or may be perceived to exist, the persons concerned should declare their interest and refrain from participation in decisions.  | 1              |                  |                       |   |   |
| 8.2.10  | Financial processes should be managed so that carry forward provisions are sufficiently flexible to avoid rushed end of year expenditure or disincentives for long term planning.   | 1              |                  |                       |   |   |
|   |   | <b>Weights</b> | <b>Score (%)</b> | <b>Weighted Score</b> | <b>SID Evidence of Conformance and Compliance</b> | <b>Explanation of Non-Conformance or Non-Compliance</b> |
| <b>8.3 Auditing and Risk assessment</b>             |   | <b>4</b>       |                  |                       |   |   |
| 8.3.1   | Financial planning processes in the institution, college or program should include independently verified risk assessment.  | 1              |                  |                       |   |   |
| 8.3.2   | Risk minimization strategies in the institution, college or program should be in place and adequate reserves maintained to meet realistically assessed financial risks.   | 1              |                  |                       |   |   |
| 8.3.3   | Internal audit processes in the institution, college or program should operate independently of accounting and business managers, and report directly to the Rector or Dean or chair of the relevant governing board committee.   | 1              |                  |                       |   |   |
| 8.3.4   | External audits in the institution, college or program should be conducted annually by an independent government agency or a reputable external audit firm that is independent of the institution, college or program, its financial or other senior staff and members of the governing body. | 1              |                  |                       |   |   |
|   |   | <b>Weights</b> | <b>Score (%)</b> | <b>Weighted Score</b> | <b>SID Evidence of Conformance and Compliance</b> | <b>Explanation of Non-Conformance or Non-Compliance</b> |
| <b>8.4 Key Performance Indicators or Benchmarks</b> |   | <b>14</b>      |                  |                       |   |   |
| 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)   | 2              |                  |                       |   |   |
| 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  | 2              |                  |                       |   |   |
| 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  | 2              |                  |                       |   |   |
| 8.4.4   | Percentage of net income in proportion to the total operation budget  | 2              |                  |                       |   |   |

|            |   |                |                  |                       |   |   |
|------------|---|----------------|------------------|-----------------------|---|---|
| 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) | 2              |                  |                       |   |   |
| 8.4.6      | Operating expenses in the library system, computers and information centre in proportion to the total number of full-time students (SR per capita)                  | 2              |                  |                       |   |   |
| 8.4.7      | Level of risk management system achievement as applied in the education administration processes (Levels)   | 2              |                  |                       |   |   |
|            |   | <b>Weights</b> | <b>Score (%)</b> | <b>Weighted Score</b> | <b>SID Evidence of Conformance and Compliance</b> | <b>Explanation of Non-Conformance or Non-Compliance</b> |
| <b>8.5</b> | <b>Additional KPI and Benchmarks as used</b>  | <b>7</b>       |                  |                       |   |   |
|            | <i>(describe additional KPI or benchmarks used by college or programs and provide evidence or documentations of KPI achievement)</i>                                |                |                  |                       |   |   |
| 8.5.1      | (KPI specific to Institution, College or Program)   | 2              |                  |                       |   |   |
| 8.5.2      | (KPI specific to Institution, College or Program)   | 2              |                  |                       |   |   |
| 8.5.3      | (KPI specific to Institution, College or Program)   | 2              |                  |                       |   |   |
| 8.5.4      | (KPI specific to Institution, College or Program)   | 1              |                  |                       |   |   |

## Overall Assessment of Compliance to Standard and Performance

| Scaled Scoring Performance                             |  | Weights and Scoring |                 | Overall Performance | SID Evidence of Conformance and Compliance |
|--|--|---------------------|-----------------|---------------------|--|
| Standards, Criteria and KPI                            |  | Weights             | Consensus Score |                     |  |
| ○ <i>Standard 8: Financial Planning and Management</i> |  |                     |                 |                     |  |
| 8.1  | Financial Planning and Budgeting                                 | 10                  |                 |                     |  |
| 8.2  | Financial Management   | 10                  |                 |                     |  |
| 8.3  | Auditing and Risk Management                                     | 4                   |                 |                     |  |
| 8.4  | Generic KPI or Benchmark   | 14                  |                 |                     |  |
| 8.5  | Institution/College/Program/Administrative Unit KPI or Benchmark | 2                   |                 |                     |  |
| Standard 8 Average Performance Score                   |  | 40                  |                 |                     |  |

### Level of Conformance and Compliance with Standard and Criteria

- Level 1** No indication of any conformance and compliance to Standard
- Level 2** Initial indication of compliance with overall standard requirements, and partial compliance with criteria requirements
- Level 3** Initial indication of compliance with overall standard requirements, and partial compliance with criteria requirements and the detailed items requirements
- Level 4** Indication of compliance with overall standard requirements, and compliance with most of the criteria requirements and some of the detailed items requirements
- Level 5** Indication of compliance with overall standard requirements, and compliance with most of the criteria requirements and most of the detailed items requirements
- Level 6** In full conformance and compliance with overall standard requirements, the criteria requirements and the detailed items requirements

**Provide a clear and concise explanation and analysis of how the SID (Statistics, Information and Documents) provided above in each of the Criteria and Items, support an evidence based approach in the performance audit and assessment. Explain each of the criteria independently using the items as supporting evidence.**

**Based on the analysis above identify and summarize the key actions to be taken to take proactive and remedial actions to improve on its existing practices. Use the action plan format below for the detailed action plan**

## Action Plan

Based on the audit and assessment of the Standard, Criteria and Items performance, and the required SID (Statistics, Information and Documents) that are needed to substantiate an evidenced based performance assessment, use the attachment to identify the actions and

|                                      |
|--------------------------------------|
| 1. Department or Organizational Unit |
|--------------------------------------|

activities needed to be taken or actioned on.

|   |                     |
|---|---------------------|
| 2. Recommendation<br>No(s)            Recommendation (s)                          |                     |
| 3. Action Planned on Standard/ Criteria/Item Number OR Grouped Standard/ Criteria |                     |
| Person Responsible  | Date for Completion |
| 4. Reasons if no Action Planned   |                     |
| Approved  |                     |
| 5. Summary Report on Action Completed   |                     |
| Completion Certified  | Date Completed      |

## STANDARD 9 EMPLOYMENT PROCESSES

- SID I - 9.1: Institution Faculty and Staff Records and Management System:** Provide documentation and evidence of the existence that the institution has an efficient and effective faculty and staff records system and faculty and staff management system of its codes of conduct and appeal system assuring its institutional quality teaching and learning assessment and assurance practices. Details of the Faculty and Staff profile by college, by department, by gender, by academic ranks, by highest degree attained, by areas of expertise, by years of services and etc.,

should be maintained at the institutional and college level.

**SID C - 9.1: College Faculty and Staff and Records and Management System:** Provide documentation and evidence of the existence that the institution has an efficient and effective faculty and staff records system and faculty and staff management system of its codes of conduct and appeal system assuring its college quality teaching and learning assessment and assurance practices. Details of the Faculty and Staff profile by college, by department, by gender, by academic ranks, by highest degree attained, by areas of expertise, by years of services and etc., should be maintained at the college and departmental level.

**SID I - 9.2: Institution Faculty and Staff and Services Handbook:** Provide evidence of a Faculty and Staff Handbook on the students detailing the Faculty and Staff code of conducts, appeal system, developmental and counseling system and comprehensive Faculty and Staff services including academic and financial and housing and practices in the institution and the colleges.

**SID C - 9.2: College Faculty and Staff and Services Handbook:** Provide evidence of a Faculty and Staff Handbook on the students detailing the Faculty and Staff code of conducts, appeal system, developmental and counseling system and comprehensive Faculty and Staff services including academic and financial and housing and practices in the college and departments.

|   | Weights   | Score (%) | Weighted Score | SID Evidence of Conformance and Compliance | Explanation of Non-Conformance or Non-Compliance |
|---|-----------|-----------|----------------|--|--|
| <b>Standard 9 Employment Processes</b>  | <b>80</b> |           |                |  |  |
| <b>9.1 Policy and Administration</b>  | <b>20</b> |           |                |  |  |
| 9.1.1 A desired staffing profile appropriate to the mission and nature of the institution, college or program should be approved by the governing body. (The profile should include matters such as age structure, gender balance where relevant, classification levels, qualifications, cultural mix and educational background, and objectives for Saudization.)  | 1         |           |                |  |  |
| 9.1.2 Regular comparisons at the institution, college or program should be made of current provision of teaching and other staff with the desired staffing profile and progress towards it should be monitored.   | 1         |           |                |  |  |
| 9.1.3 A comprehensive set of policies and regulations of the institution, college or program should be included in an employment handbook or manual and accessible to teaching and other staff. (It should include rights and responsibilities of teaching and other staff, recruitment processes, supervision, performance evaluation, promotion, counseling and support processes, professional development, and complaints, discipline and appeal procedures.) | 1         |           |                |  |  |
| 9.1.4 Effective strategies should be used for succession planning in relation to leadership positions in the institution, college or program.   | 1         |           |                |  |  |
| 9.1.5 Teaching loads should be equitable across the institution, college or program, taking account of the nature of teaching requirements in different fields of study.  | 1         |           |                |  |  |
| 9.1.6 The level of provision of teaching staff in all programs (i.e. the ratio of students per teaching staff member calculated as full time equivalents) should be adequate for the programs offered and benchmarked against comparable student/teaching staff ratios at good quality Saudi Arabian and international institutions, colleges or programs.  | 1         |           |                |  |  |

|                        |   |                |                  |                       |   |   |
|------------------------|---|----------------|------------------|-----------------------|---|---|
| 9.1.7                  | Promotion policies and processes of the institution, college or program should be clearly documented and fair.  | 1              |                  |                       |   |   |
| 9.1.8                  | There should be appropriate delegations relating to employment processes across the institution, college or program and the exercise of these delegations should be monitored to ensure equitable treatment. (These delegations may relate to matters such as junior appointments, junior promotions, rewards for outstanding performance, and professional development opportunities.)   | 1              |                  |                       |   |   |
| 9.1.9                  | Indicators of successful administration of staffing and employment policies and faculty and staff performance should be established and compared with successful practice elsewhere.  | 1              |                  |                       |   |   |
| 9.1.10                 | The governing board of the institution, college or program should receive and consider annual reports from the responsible senior manager on implementation of policies and staffing and employment practices.  | 1              |                  |                       |   |   |
|                        |   | <b>Weights</b> | <b>Score (%)</b> | <b>Weighted Score</b> | <b>SID Evidence of Conformance and Compliance</b> | <b>Explanation of Non-Conformance or Non-Compliance</b> |
| <b>9.2 Recruitment</b> |   | <b>18</b>      |                  |                       |   |   |
| 9.2.1                  | Recruitment processes should ensure that teaching staff have the specific areas of expertise, and the personal qualities, experience and skill to meet teaching requirements and that other staff are appropriately qualified and experienced for their work.   | 2              |                  |                       |   |   |
| 9.2.2                  | When appointments are to be made through promotion or transfer within the institution, college or program rather than by external appointment, the appointments made should meet qualifications and skill requirements, and contribute to achievement of the desired staffing profile.  | 2              |                  |                       |   |   |
| 9.2.3                  | If a particular appointment can be made either from within or from outside the institution procedures should be used that ensure equitable treatment of all applicants (For example positions should be publicly advertised, internal candidates should be given adequate opportunity to apply, and judgments made should be equitable considering the experience, qualifications, and current levels of performance of the applicants. | 2              |                  |                       |   |   |
| 9.2.4                  | Candidates for employment should be provided with full position descriptions and conditions of employment, together with general information about the institution and its mission and programs. (The information provided should include details of employment expectations, indicators of performance, and processes of performance evaluation.)  | 2              |                  |                       |   |   |
| 9.2.5                  | References should be checked, and claims of experience and qualifications verified before appointments are made.  | 2              |                  |                       |   |   |
| 9.2.6                  | The legitimacy of qualifications claimed by applicants through processes that consider the standing and reputation of the institutions from which they were obtained, taking account of recognition of qualifications by the Ministry of Higher Education.  | 2              |                  |                       |   |   |
| 9.2.7                  | In professional programs there should be sufficient teaching staff with successful experience in the relevant profession to provide practical advice and  | 2              |                  |                       |   |   |

|            |   |                |                  |                       |   |   |
|------------|---|----------------|------------------|-----------------------|---|---|
|            | guidance to students about work place requirements.   |                |                  |                       |   |   |
| 9.2.8      | New teaching staff should be given an effective orientation to ensure familiarity with the institution and its services, programs and student development strategies, and institutional priorities for development.   | 2              |                  |                       |   |   |
| 9.2.9      | The level of provision of teaching staff (i.e. the ratio of students per teaching staff member calculated as full time equivalents) should be adequate for the program and benchmarked against comparable student/teaching staff ratios at good quality Saudi Arabian and international institutions. | 2              |                  |                       |   |   |
|            |   | <b>Weights</b> | <b>Score (%)</b> | <b>Weighted Score</b> | <b>SID Evidence of Conformance and Compliance</b> | <b>Explanation of Non-Conformance or Non-Compliance</b> |
| <b>9.3</b> | <b>Personal and Career Development</b>  | <b>20</b>      |                  |                       |   |   |
| 9.3.1      | Criteria and processes for performance evaluation should be specified and made known in advance to teaching and other staff.  | 2              |                  |                       |   |   |
| 9.3.2      | Consultations about work performance should be confidential and supportive and occur on a formal basis at least once each year.   | 2              |                  |                       |   |   |
| 9.3.3      | If performance is considered less than satisfactory clear requirements should be established for improvement.   | 2              |                  |                       |   |   |
| 9.3.4      | Performance assessments of teaching and other staff should be confidential but should be documented and retained. Teaching and other staff should have the opportunity to include on file their own comments relating to these assessments, including points of disagreement.                         | 2              |                  |                       |   |   |
| 9.3.5      | Outstanding academic or administrative performance at any level of the institution should be recognized and rewarded.   | 2              |                  |                       |   |   |
| 9.3.6      | Junior teaching and other staff with leadership potential should be identified and given a range of experiences to prepare them for future career development.  | 2              |                  |                       |   |   |
| 9.3.7      | Promotion criteria should include contributions to the mission of the institution, and in the case of teaching staff include proper recognition of quality of teaching and efforts to improve it, and service to the institution and the community.   | 2              |                  |                       |   |   |
| 9.3.8      | Assistance should be given in arranging professional development activities to improve skills and upgrade qualifications.   | 2              |                  |                       |   |   |
| 9.3.9      | Appropriate training and professional development activities should be provided to assist with new programs or policy initiatives.  | 2              |                  |                       |   |   |
| 9.3.10     | Teaching staff should be expected to participate in activities that ensure they keep up to date with developments in their field and the extent to which they do so should be monitored   | 2              |                  |                       |   |   |
|            |   | <b>Weights</b> | <b>Score (%)</b> | <b>Weighted Score</b> | <b>SID Evidence of Conformance and Compliance</b> | <b>Explanation of Non-Conformance or Non-Compliance</b> |
| <b>9.4</b> | <b>Discipline, Complaints and Dispute Resolution</b>  | <b>10</b>      |                  |                       |   |   |
| 9.4.1      | Procedures in the institution, college or program for dealing with complaints about or by teaching or other staff, and resolving disputes among them, should be   | 2              |                  |                       |   |   |

|  |  |                |                  |                       |   |   |
|--|--|----------------|------------------|-----------------------|---|---|
|  | clearly specified in policies and regulations.   |                |                  |                       |   |   |
| 9.4.2  | Procedures in the institution, college or program for resolving disputes (that cannot be settled by those directly involved) should include an initial step of conciliation by a person independent of the issue, with the possibility of referral to a committee or senior officer for determination if required. | 2              |                  |                       |   |   |
| 9.4.3  | Disciplinary processes in the institution, college or program for neglect of responsibilities, failure to comply with instructions, or inappropriate behavior should be specified in regulations and consistently followed.  | 2              |                  |                       |   |   |
| 9.4.4  | Appropriate provision in the institution, college or program should be made in regulations for rights of appeal against disciplinary decisions.  | 2              |                  |                       |   |   |
| 9.4.5  | Serious disputes in the institution, college or program should be dealt with through quasi-judicial processes that include provision and verification of evidence, and impartial judgments by a person or persons experienced in such procedures.  | 2              |                  |                       |   |   |
|  |  | <b>Weights</b> | <b>Score (%)</b> | <b>Weighted Score</b> | <b>SID Evidence of Conformance and Compliance</b> | <b>Explanation of Non-Conformance or Non-Compliance</b> |
| <b>9.5 Key Performance Indicators or Benchmarks</b>  |  | <b>6</b>       |                  |                       |   |   |
| 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)   | 2              |                  |                       |   |   |
| 9.5.2  | Percentage of full-time faculty members participating in academic conferences or presenting academic works in the country and abroad   | 2              |                  |                       |   |   |
| 9.5.3  | Percentage of full-time supporting staff who were developed in professional knowledge and skills in the country and abroad   | 2              |                  |                       |   |   |
|  |  | <b>Weights</b> | <b>Score (%)</b> | <b>Weighted Score</b> | <b>SID Evidence of Conformance and Compliance</b> | <b>Explanation of Non-Conformance or Non-Compliance</b> |
| <b>9.6 Additional KPI and Benchmarks as used</b>   |  | <b>6</b>       |                  |                       |   |   |
| <i>(describe additional KPI or benchmarks used by college or programs and provide evidence or documentations of KPI achievement)</i> |  |                |                  |                       |   |   |
| 9.6.1  | (KPI specific to Institution, College or Program)  | 2              |                  |                       |   |   |
| 9.6.2  | (KPI specific to Institution, College or Program)  | 2              |                  |                       |   |   |
| 9.6.3  | (KPI specific to Institution, College or Program)  | 1              |                  |                       |   |   |
| 9.6.4  | (KPI specific to Institution, College or Program)  | 1              |                  |                       |   |   |

## Overall Assessment of Compliance to Standard and Performance

| Scaled Scoring Performance                |   | Weights and Scoring |                 | Overall Performance |
|---|---|---------------------|-----------------|---------------------|
| Standards, Criteria and KPI               |   | Weights             | Consensus Score |                     |
| o <b>Standard 9: Employment Processes</b> |   |                     |                 |                     |
| <b>9.1</b>                                | Policy and Administration                     | 20                  |                 |                     |
| <b>9.2</b>                                | Recruitment                                   | 10                  |                 |                     |
| <b>9.3</b>                                | Personal and Career Development               | 20                  |                 |                     |
| <b>9.4</b>                                | Discipline, Complaints and Dispute Resolution | 10                  |                 |                     |

|   |  |           |  |  |
|---|--|-----------|--|--|
| 9.5   | Generic KPI or Benchmark   | 6         |  |  |
| 9.6   | Institution/College/Program/Administrative Unit KPI or Benchmark | 6         |  |  |
| <b>Standard 9 Average Performance Score</b> |  | <b>80</b> |  |  |

**Level of Conformance and Compliance with Standard and Criteria**

- Level 1** No indication of any conformance and compliance to Standard
- Level 2** Initial indication of compliance with overall standard requirements, and partial compliance with criteria requirements
- Level 3** Initial indication of compliance with overall standard requirements, and partial compliance with criteria requirements and the detailed items requirements
- Level 4** Indication of compliance with overall standard requirements, and compliance with most of the criteria requirements and some of the detailed items requirements
- Level 5** Indication of compliance with overall standard requirements, and compliance with most of the criteria requirements and most of the detailed items requirements
- Level 6** In full conformance and compliance with overall standard requirements, the criteria requirements and the detailed items requirements

**Provide a clear and concise explanation and analysis of how the SID (Statistics, Information and Documents) provided above in each of the Criteria and Items, support an evidence based approach in the performance audit and assessment. Explain each of the criteria independently using the items as supporting evidence.**

**Based on the analysis above identify and summarize the key actions to be taken to take proactive and remedial actions to improve on its existing practices. Use the action plan format below for the detailed action plan**

**Action Plan**

Based on the audit and assessment of the Standard, Criteria and Items performance, and the required SID (Statistics, Information and Documents) that are needed to substantiate an evidenced based performance assessment, use the attachment to identify the actions and activities needed to be taken or actioned on.

**STANDARD 10: RESEARCH**

|   |                     |
|---|---------------------|
| 1. Department or Organizational Unit  |                     |
| 2. Recommendation<br>No(s)            Recommendation (s)                          |                     |
| 3. Action Planned on Standard/ Criteria/Item Number OR Grouped Standard/ Criteria |                     |
| Person Responsible  | Date for Completion |
| 4. Reasons if no Action Planned   |                     |
| Approved  |                     |
| 5. Summary Report on Action Completed   |                     |
| Completion Certified  | Date Completed      |

- SID I - 10.1:** Institution Research Plan
- SID C - 10.1:** College Research Plan

□ **SID I - 10.2:** Institution Research Management System: Provide documentation and evidence of the existence of the institution research management and administration systems detailing financial needs and requirements of the institution, the policies, procedures, sources and uses of the research budget, teaching staff and student research involvement and development, commercialization of its research and research practices or systems and mechanisms applied in the planning and evaluation of the institution research management assuring its institutional quality research management system assessment and assurance practices.

**SID C - 10.2:** College Research Management System: Provide documentation and evidence of the existence of the college research management and administration systems detailing financial needs and requirements of the institution, the policies, procedures, sources and uses of the research budget, teaching staff and student research involvement and development, commercialization of its research and research practices or systems and mechanisms applied in the planning and evaluation of the college research management assuring its college quality research management system assessment and assurance practices.

|  | Weights    | Score (%) | Weighted Score | SID Evidence of Conformance and Compliance | Explanation of Non-Conformance or Non-Compliance |
|--|------------|-----------|----------------|--|--|
| <b>Standard 10 Research</b>  | <b>200</b> |           |                |  |  |
| <b>10.1 Institutional Research Policies</b>  | <b>45</b>  |           |                |  |  |
| 10.1.1 Research development plans that are consistent with the nature and mission of the institution, college or program and the economic and cultural development needs of the region should be prepared and made widely available.   | 5          |           |                |  |  |
| 10.1.2 Research development plans of the institution, college or program should include clearly specified indicators and benchmarks for performance targets.   | 5          |           |                |  |  |
| 10.1.3 What is recognized as research of the institution, college or program should be clearly specified and consistent with international standards. (This normally includes both self-generated and commissioned activity, but requires creative original work, independently validated by peers, and published in media that are highly regarded by scholars in the field.) | 5          |           |                |  |  |
| 10.1.4 Annual reports should be published on institutional research performance and records maintained of the research activities of individuals, departments and colleges of the institution, college or program.   | 5          |           |                |  |  |
| 10.1.5 Cooperation of the institution, college or program with local industry and with other research agencies should be encouraged. When appropriate these forms of cooperation should involve joint research projects, shared use of equipment, and cooperative strategies for development.  | 5          |           |                |  |  |
| 10.1.6 Mechanisms of the institution, college or program should be established to support collaboration and cooperation with international universities and research networks.   | 5          |           |                |  |  |
| 10.1.7 Policies of the institution, college or program should provide for the establishment, accountability, and periodic review of research institutes or centers.  | 5          |           |                |  |  |
| 10.1.8 The establishment of research institutes or centers of the institution, college or program should not inhibit research activity by others not involved in those   | 5          |           |                |  |  |

|             |   |                |                  |                       |   |   |
|-------------|---|----------------|------------------|-----------------------|---|---|
|             | organizations.  |                |                  |                       |   |   |
| 10.1.9      | A high level committee of the institution, college or program should be established to monitor compliance with ethical standards and approve research projects with potential impact on ethical issues.   | 5              |                  |                       |   |   |
|             |   | <b>Weights</b> | <b>Score (%)</b> | <b>Weighted Score</b> | <b>SID Evidence of Conformance and Compliance</b> | <b>Explanation of Non-Conformance or Non-Compliance</b> |
| <b>10.2</b> | <b>Teaching Staff and Student Involvement in Research</b>   | <b>40</b>      |                  |                       |   |   |
| 10.2.1      | Expectations for teaching staff involvement in research and scholarly activities should be specified and performance in relation to these expectations considered in performance evaluation and promotion criteria. (For universities, criteria should require at least some research and/or appropriate scholarly activity of all full time teaching staff).   | 5              |                  |                       |   |   |
| 10.2.2      | Clear policies should be established in the institution for defining what is recognized as research, consistent with international standards and established norms in the field of study of the program. (This normally includes both self-generated and commissioned activity but requires creative original work, independently validated by peers, and published in media recognized internationally in the field of study.) | 5              |                  |                       |   |   |
| 10.2.3      | Support should be provided for junior teaching staff in the development of their research programs through mechanisms such as mentoring by senior colleagues, inclusion in project teams, assistance in developing research proposals, and seed funding.  | 5              |                  |                       |   |   |
| 10.2.4      | Opportunities should be provided for postgraduate research students to participate in joint research projects.  | 5              |                  |                       |   |   |
| 10.2.5      | Participation by research students in joint research projects should be appropriately acknowledged. When a significant contribution has been made reports and publications should indicate joint authorship.  | 5              |                  |                       |   |   |
| 10.2.6      | Assistance should be given for teaching staff to develop collaborative research arrangements with colleagues in other institutions and in the international community.  | 5              |                  |                       |   |   |
| 10.2.7      | Teaching staff should be encouraged to include information about their research and scholarly activities that are relevant to courses they teach in their teaching, together with other significant research developments in the field.   | 5              |                  |                       |   |   |
| 10.2.8      | Strategies should be introduced for identifying and capitalizing on the expertise of teaching staff and postgraduate students in providing research and development services to the community and generating financial returns to the institution.  | 5              |                  |                       |   |   |
|             |   | <b>Weights</b> | <b>Score (%)</b> | <b>Weighted Score</b> | <b>SID Evidence of Conformance and Compliance</b> | <b>Explanation of Non-Conformance or Non-Compliance</b> |
| <b>10.3</b> | <b>Commercialization of Research</b>  | <b>12</b>      |                  |                       |   |   |
| 10.3.1      | A research development unit or centre of the institution, college or program should be established with capacity to identify and publicize institutional  | 3              |                  |                       |   |   |

|  |   |                |                  |                       |   |   |
|--|---|----------------|------------------|-----------------------|---|---|
|  | expertise and commercial development opportunities.   |                |                  |                       |   |   |
| 10.3.2   | Ideas with potential for commercial development should be critically evaluated by the institution, college or program.  | 3              |                  |                       |   |   |
| 10.3.3   | Policies of the institution, college or program should be established for ownership of intellectual property and clear procedures set out for commercialization of ideas developed by staff and students. The policies should specify scales for equitable sharing of returns to the inventor(s). | 3              |                  |                       |   |   |
| 10.3.4   | A culture of entrepreneurship should be encouraged throughout the institution, college or program.  | 3              |                  |                       |   |   |
|  |   | <b>Weights</b> | <b>Score (%)</b> | <b>Weighted Score</b> | <b>SID Evidence of Conformance and Compliance</b> | <b>Explanation of Non-Conformance or Non-Compliance</b> |
| <b>10.4 Research Facilities and Equipment</b>        |   | <b>25</b>      |                  |                       |   |   |
| 10.4.1   | Adequate laboratory space and equipment, library and information systems and resources in the institution, college or program should be provided to support the research activities of teaching staff and students in the fields in which programs are offered.                                   | 5              |                  |                       |   |   |
| 10.4.2   | An adequate budget should be available for research equipment and facilities in the institution, college or program.  | 5              |                  |                       |   |   |
| 10.4.3   | Advantage should be taken of opportunities for joint ownership or shared access to major equipment items within the institution, college or program, and with other agencies.   | 5              |                  |                       |   |   |
| 10.4.4   | Effective security systems in the institution, college or program should be established to ensure safety for researchers and their activities and for others in the institutional community and the surrounding area.   | 5              |                  |                       |   |   |
| 10.4.5   | Policies in the institution, college or program should be established that make clear the ownership and responsibility for maintenance of equipment obtained through research grant applications, commissioned research or other cooperative ventures with industry or the outside community.     | 5              |                  |                       |   |   |
|  |   | <b>Weights</b> | <b>Score (%)</b> | <b>Weighted Score</b> | <b>SID Evidence of Conformance and Compliance</b> | <b>Explanation of Non-Conformance or Non-Compliance</b> |
| <b>10.5 Key Performance Indicators or Benchmarks</b> |   | <b>48</b>      |                  |                       |   |   |
| 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   | 4              |                  |                       |   |   |
| 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   | 4              |                  |                       |   |   |
| 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)   | 4              |                  |                       |   |   |
| 10.5.4   | Level of development of systems and mechanisms achievement to support the production of research and innovation works. (Levels)   | 4              |                  |                       |   |   |
| 10.5.5   | Level of development of systems and mechanisms achievement of the Knowledge Management System for research results and innovation works. (Levels)   | 4              |                  |                       |   |   |
| 10.5.6   | Amount of internal research and innovation funds in proportion to the total number of full-time faculty members   | 4              |                  |                       |   |   |
| 10.5.7   | Amount of external research and innovation funds in   | 4              |                  |                       |   |   |

|             |   |           |           |                |  |  |
|-------------|---|-----------|-----------|----------------|--|--|
|             | 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                                    | 4         |           |                |  |  |
| 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                                    | 4         |           |                |  |  |
| 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        | 4         |           |                |  |  |
| 10.5.11     | Number of research and innovations registered as intellectual property or patented within the past 5 years  | 4         |           |                |  |  |
| 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 | 4         |           |                |  |  |
|             |   | Weights   | Score (%) | Weighted Score | SID Evidence of Conformance and Compliance | Explanation of Non-Conformance or Non-Compliance |
| <b>10.6</b> | <b>Additional KPI and Benchmarks</b>  | <b>30</b> |           |                |  |  |
|             | <i>(describe additional KPI or benchmarks used by college or programs and provide evidence or documentations of KPI achievement)</i>  |           |           |                |  |  |
| 10.6.1      | (KPI specific to Institution, College or Program)   | 8         |           |                |  |  |
| 10.6.2      | (KPI specific to Institution, College or Program)   | 8         |           |                |  |  |
| 10.6.3      | (KPI specific to Institution, College or Program)   | 8         |           |                |  |  |
| 10.6.4      | (KPI specific to Institution, College or Program)   | 6         |           |                |  |  |

## Overall Assessment of Compliance to Standard and Performance

| Scaled Scoring Performance     |         | Weights and Scoring |  | Overall Performance | SID Evidence of Conformance and Compliance |
|--------------------------------|---------|---------------------|--|---------------------|--|
| Standards, Criteria and KPI    | Weights | Consensus Score     |  |                     |  |
| o <b>Standard 10: Research</b> |         |                     |  |                     |  |

|  |   |            |  |  |
|--|---|------------|--|--|
| 10.1   | Institutional Research Policies                                   | 45         |  |  |
| 10.2   | Faculty and Student Involvement                                   | 40         |  |  |
| 10.3   | Commercialization of Research                                     | 12         |  |  |
| 10.4   | Facilities and Equipment  | 25         |  |  |
| 10.5   | Generic KPI or Benchmark  | 48         |  |  |
| 10.6   | Institution/College/Program/ Administrative Unit KPI or Benchmark | 30         |  |  |
| <b>Standard 10 Average Performance Score</b> |   | <b>200</b> |  |  |

**Level of Conformance and Compliance with Standard and Criteria**

- Level 1** No indication of any conformance and compliance to Standard
- Level 2** Initial indication of compliance with overall standard requirements, and partial compliance with criteria requirements
- Level 3** Initial indication of compliance with overall standard requirements, and partial compliance with criteria requirements and the detailed items requirements
- Level 4** Indication of compliance with overall standard requirements, and compliance with most of the criteria requirements and some of the detailed items requirements
- Level 5** Indication of compliance with overall standard requirements, and compliance with most of the criteria requirements and most of the detailed items requirements
- Level 6** In full conformance and compliance with overall standard requirements, the criteria requirements and the detailed items requirements

**Provide a clear and concise explanation and analysis of how the SID (Statistics, Information and Documents) provided above in each of the Criteria and Items, support an evidence based approach in the performance audit and assessment. Explain each of the criteria independently using the items as supporting evidence.**

**Based on the analysis above identify and summarize the key actions to be taken to take proactive and remedial actions to improve on its existing practices. Use the action plan format below for the detailed action plan**

**Action Plan**

Based on the audit and assessment of the Standard, Criteria and Items performance, and the required SID (Statistics, Information and Documents) that are needed to substantiate an evidenced based performance assessment, use the attachment to identify the actions and activities needed to be taken or actioned on.

**STANDARD 11: INSTITUTIONAL RELATIONSHIPS WITH THE COMMUNITY**

|   |                     |
|---|---------------------|
| 1. Department or Organizational Unit  |                     |
| 2. Recommendation<br>No(s)            Recommendation (s)                          |                     |
| 3. Action Planned on Standard/ Criteria/Item Number OR Grouped Standard/ Criteria |                     |
| Person Responsible  | Date for Completion |
| 4. Reasons if no Action Planned   |                     |
| Approved  |                     |
| 5. Summary Report on Action Completed   |                     |
| Completion Certified  | Date Completed      |

- SID I - 11.1:** Institution Community Engagement Plan  
**SID C - 11.1:** College Community Engagement Plan

□ **SID I - 11.2:** Institution Community Engagement Management System: Provide documentation and evidence of the existence of the institution community engagement management and administration systems detailing needs and requirements of the institution outreach efforts to its communities, the policies, procedures, community engagement and outreach practices or systems and mechanisms applied in the planning and evaluation of the institution community and outreach management assuring its institutional quality community and outreach management system assessment and assurance practices.

**SID C - 11.2:** College Community Engagement Management System: Provide documentation and evidence of the existence of the college community engagement management and administration systems detailing needs and requirements of the college outreach efforts to its communities, the policies, procedures, community engagement and outreach practices or systems and mechanisms applied in the planning and evaluation of the college community and outreach management assuring its college quality community and outreach management system assessment and assurance practices.

|  | Weights        | Score (%)        | Weighted Score        | SID Evidence of Conformance and Compliance        | Explanation of Non-Conformance or Non-Compliance        |
|--|----------------|------------------|-----------------------|---|---|
| <b>Standard 11 Institutional Relationships with the Community</b>  | <b>40</b>      |                  |                       |   |   |
| <b>11.1 Institutional Policies on Community Relationships</b>  | <b>5</b>       |                  |                       |   |   |
| 11.1 The service commitment of the institution, college or program should be relevant to and that reflects the community or communities within which it operates through the skills and abilities of its staff and included in its mission.  | 1              |                  |                       |   |   |
| 11.2 Policies on the institution, college or program service role should be developed and these policies should be supported in decisions made by senior administrators of the institution, college or program and coordination with responsible units in the institution to avoid duplication and possible confusion. | 1              |                  |                       |   |   |
| 11.3 Annual reports should be prepared on the institution, college or program contributions to the community.  | 1              |                  |                       |   |   |
| 11.4 Contributions to the community by the institution, college or program should be included in promotion criteria and staff assessments.   | 1              |                  |                       |   |   |
| 11.5 Websites of the institution, college or program providing details of institution, college or program structures and activities, including news items of potential interest to potential students and members of the wider community, should be provided and kept up to date.                                      | 1              |                  |                       |   |   |
|  | <b>Weights</b> | <b>Score (%)</b> | <b>Weighted Score</b> | <b>SID Evidence of Conformance and Compliance</b> | <b>Explanation of Non-Conformance or Non-Compliance</b> |
| <b>11.2 Interactions With the Community</b>  | <b>8</b>       |                  |                       |   |   |
| 11.2.1 Teaching and other staff should be encouraged to participate in forums in which significant community issues are discussed and plans for community development considered.  | 1              |                  |                       |   |   |
| 11.2.2 The institution and its colleges and departments should cooperate in the establishment of community support or professional service agencies relevant to the needs of the community, drawing on the expertise of staff members.   | 1              |                  |                       |   |   |
| 11.2.3 A range of community education courses by the   | 1              |                  |                       |   |   |

|                                      |  |                |                  |                       |   |   |
|--------------------------------------|--|----------------|------------------|-----------------------|---|---|
|                                      | institution, college or program should be provided in areas of interest and need.  |                |                  |                       |   |   |
| 11.2.4                               | Relationships should be established with local industries and employers to assist program delivery. (These may include, for example, placement of students for work-study programs, part time employment opportunities, and identification of issues for analysis in student project activities.)    | 1              |                  |                       |   |   |
| 11.2.5                               | Local employers and members of professions should be invited to join appropriate advisory committees considering programs and other institutional activities.  | 1              |                  |                       |   |   |
| 11.2.6                               | Continuing contact should be maintained with colleges in the community, offering assistance and support in areas of specialization, providing information about the institution's programs and activities and subsequent career opportunities, and arranging enrichment activities for the colleges. | 1              |                  |                       |   |   |
| 11.2.7                               | Regular contact should be maintained with alumni, keeping them informed about institutional developments, inviting their participation in activities, and encouraging their financial and other support for new developments.  | 1              |                  |                       |   |   |
| 11.2.8                               | Advantage should be taken of opportunities to seek funding support from individuals and organizations in the community for research and other developments in the institution.   | 1              |                  |                       |   |   |
|                                      |  | <b>Weights</b> | <b>Score (%)</b> | <b>Weighted Score</b> | <b>SID Evidence of Conformance and Compliance</b> | <b>Explanation of Non-Conformance or Non-Compliance</b> |
| <b>11.3 Institutional Reputation</b> |  | <b>6</b>       |                  |                       |   |   |
| 11.3.1                               | A comprehensive strategy should be developed by the institution, college or program for monitoring and improving the reputation of the institution, college or program in the local and other relevant communities.  | 1              |                  |                       |   |   |
| 11.3.2                               | Clear guidelines should be established by the institution, college or program for public comments on behalf of the institution, normally restricting such comments to the Rector or Dean or a media office responsible to the Rector or Dean.  | 1              |                  |                       |   |   |
| 11.3.3                               | Guidelines should be established by the institution, college or program for public comments on community issues by members of staff, where such comments could be associated with the institution.   | 1              |                  |                       |   |   |
| 11.3.4                               | An institutional media office should be established by the institution, college or program with responsibility for managing media communications, seeking information about activities of the institution of potential interest to the community, and arranging for publication.                     | 1              |                  |                       |   |   |
| 11.3.5                               | Community views about the institution, college or program and its activities should be sought and strategies developed for improving perceptions.  | 1              |                  |                       |   |   |
| 11.3.6                               | If issues or concerns about operational issues involving the institution, program or college are raised in public forums these should be dealt with immediately and objectively by the Rector or Dean or other designated senior members of faculty or staff.  | 1              |                  |                       |   |   |
|                                      |  | <b>Weights</b> | <b>Score (%)</b> | <b>Weighted Score</b> | <b>SID Evidence of Conformance and</b>            | <b>Explanation of Non-Conformance or</b>                |

|  |                |                  |                       | Compliance  | Non-Compliance  |
|--|----------------|------------------|-----------------------|---|---|
| <b>11.4 Key Performance Indicators or Benchmarks</b>   | <b>16</b>      |                  |                       |   |   |
| 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)                                       | 2              |                  |                       |   |   |
| 11.4.2 Level of achievement of satisfaction of employers/ business operators/ users of graduates / alumni /parents/ graduates. (Levels)  | 2              |                  |                       |   |   |
| 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)   | 2              |                  |                       |   |   |
| 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)  | 2              |                  |                       |   |   |
| 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)  | 2              |                  |                       |   |   |
| 11.4.6 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 | 2              |                  |                       |   |   |
| 11.4.7 Number of nationally or internationally recognized centers or networks that provide academic and professional services (Number of centers or networks)  | 2              |                  |                       |   |   |
| 11.4.8 Level of the success achievement of the opportunity for the external stakeholders to participate in the development of the college.(Levels)   | 2              |                  |                       |   |   |
|  | <b>Weights</b> | <b>Score (%)</b> | <b>Weighted Score</b> | <b>SID Evidence of Conformance and Compliance</b> | <b>Explanation of Non-Conformance or Non-Compliance</b> |
| <b>11.5 Additional KPI and Benchmarks as used</b>  | <b>5</b>       |                  |                       |   |   |
| <i>(describe additional KPI or benchmarks used by college or programs and provide evidence or documentations of KPI achievement)</i>   |                |                  |                       |   |   |
| 11.5.1 (KPI specific to Institution, College or Program)   | 2              |                  |                       |   |   |
| 11.5.2 (KPI specific to Institution, College or Program)   | 1              |                  |                       |   |   |
| 11.5.3 (KPI specific to Institution, College or Program)   | 1              |                  |                       |   |   |
| 11.5.4 (KPI specific to Institution, College or Program)   | 1              |                  |                       |   |   |

## Overall Assessment of Compliance to Standard and Performance

| Scaled Scoring Performance  | Weights and Scoring |                 | Overall Performance | SID Evidence of Conformance and Compliance |
|-----------------------------|---------------------|-----------------|---------------------|--|
|                             | Weights             | Consensus Score |                     |  |
| Standards, Criteria and KPI |                     |                 |                     |  |

|  |   |           |  |  |
|--|---|-----------|--|--|
| ○ <b>Standard 11: Institutional Relationships with the Community</b> |   |           |  |  |
| <b>11.1</b>  | Institutional Policies on Community Relationship                        | 5         |  |  |
| <b>11.2</b>  | Interactions With the Community   | 8         |  |  |
| <b>11.3</b>  | <b>Institutional Reputation</b>   | 6         |  |  |
| <b>11.4</b>  | <b>Generic KPI or Benchmark</b>   | 16        |  |  |
| <b>11.5</b>  | <b>Institution/College/Program/Administrative Unit KPI or Benchmark</b> | 5         |  |  |
| <b>Standard 11 Average Performance Score</b>                         |   | <b>40</b> |  |  |

### Level of Conformance and Compliance with Standard and Criteria

- Level 1** No indication of any conformance and compliance to Standard
- Level 2** Initial indication of compliance with overall standard requirements, and partial compliance with criteria requirements
- Level 3** Initial indication of compliance with overall standard requirements, and partial compliance with criteria requirements and the detailed items requirements
- Level 4** Indication of compliance with overall standard requirements, and compliance with most of the criteria requirements and some of the detailed items requirements
- Level 5** Indication of compliance with overall standard requirements, and compliance with most of the criteria requirements and most of the detailed items requirements
- Level 6** In full conformance and compliance with overall standard requirements, the criteria requirements and the detailed items requirements

**Provide a clear and concise explanation and analysis of how the SID (Statistics, Information and Documents) provided above in each of the Criteria and Items, support an evidence based approach in the performance audit and assessment. Explain each of the criteria independently using the items as supporting evidence.**

**Based on the analysis above identify and summarize the key actions to be taken to take proactive and remedial actions to improve on its existing practices. Use the action plan format below for the detailed action plan**

### Action Plan

Based on the audit and assessment of the Standard, Criteria and Items performance, and the required SID (Statistics, Information and Documents) that are needed to substantiate an

evidenced based performance assessment, use the attachment to identify the actions and activities needed to be taken or actioned on.

**Appendix 1: Scoring Criteria for PROCESS - based Values Standards**

|   |                     |
|---|---------------------|
| 1. Department or Organizational Unit  |                     |
| 2. Recommendation<br>No(s)            Recommendation (s)                          |                     |
| 3. Action Planned on Standard/ Criteria/Item Number OR Grouped Standard/ Criteria |                     |
| Person Responsible  | Date for Completion |
| 4. Reasons if no Action Planned   |                     |
| Approved  |                     |
| 5. Summary Report on Action Completed   |                     |
| Completion Certified  | Date Completed      |

|       |         |
|-------|---------|
| SCORE | PROCESS |
|-------|---------|

|   |  |
|---|--|
| <p><b>0% or 5%</b><br/><b>OR No Star</b></p>              | <p>The practice, though relevant, is not followed at all based on the following:</p> <ul style="list-style-type: none"> <li>❑ No SYSTEMATIC APPROACH to Standards requirements is evident; information lacks specific methods, measures, deployment mechanisms, and evaluation, improvement, and learning factors. (A)</li> <li>❑ Little or no DEPLOYMENT of any SYSTEMATIC APPROACH is evident. (D)</li> <li>❑ An improvement orientation is not evident; improvement is achieved through reacting to problems. (L)</li> <li>❑ No organizational ALIGNMENT is evident; individual standards, areas or work units operate independently. (I)</li> </ul>  |
| <p><b>10%, 15%, 20% or 25%</b><br/><b>OR 1 Star</b></p>   | <p>The practice is followed occasionally but the quality is poor or not evaluated based on the following:</p> <ul style="list-style-type: none"> <li>❑ The beginning of a SYSTEMATIC APPROACH to the BASIC REQUIREMENTS of the Standards is evident. (A)</li> <li>❑ The APPROACH is in the early stages of DEPLOYMENT in most standards or work units, inhibiting progress in achieving the BASIC REQUIREMENTS of the Standards. (D)</li> <li>❑ Early stages of a transition from reacting to problems to a general improvement orientation are evident. (L)</li> <li>❑ The APPROACH is ALIGNED with other standards, areas or work units largely through joint problem solving. (I)</li> </ul>  |
| <p><b>30%, 35%, 40% or 45%</b><br/><b>OR 2 Stars</b></p>  | <p>The practice is usually followed but the quality is less than satisfactory based on the following:</p> <ul style="list-style-type: none"> <li>❑ An EFFECTIVE, SYSTEMATIC APPROACH, responsive to the BASIC REQUIREMENTS of the Standards, is evident. (A)</li> <li>❑ The APPROACH is DEPLOYED, although some standards, areas or work units are in early stages of DEPLOYMENT. (D)</li> <li>❑ The beginning of a SYSTEMATIC APPROACH to evaluation and improvement of KEY PROCESSES is evident. (L)</li> <li>❑ The APPROACH is in the early stages of ALIGNMENT with the basic organizational needs identified in response to the Organizational Profile and other Process Standards. (I)</li> </ul>  |
| <p><b>50%, 55%, 60% or 65%</b><br/><b>OR 3 Stars</b></p>  | <p>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.</p> <ul style="list-style-type: none"> <li>❑ An EFFECTIVE, SYSTEMATIC APPROACH, responsive to the OVERALL REQUIREMENTS of the Standards, is evident. (A)</li> <li>❑ The APPROACH is well DEPLOYED, although DEPLOYMENT may vary in some standards, areas or work units. (D)</li> <li>❑ A fact-based, SYSTEMATIC evaluation and improvement PROCESS and some organizational LEARNING are in place for improving the efficiency and EFFECTIVENESS of KEY PROCESSES. (L)</li> <li>❑ The APPROACH is ALIGNED with the organizational needs identified in response to the Organizational Profile and other Process Standards. (I)</li> </ul>   |
| <p><b>70%, 75%, 80%, or 85%</b><br/><b>OR 4 Stars</b></p> | <p>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.</p> <ul style="list-style-type: none"> <li>❑ An EFFECTIVE, SYSTEMATIC APPROACH, responsive to the MULTIPLE REQUIREMENTS of the Standards, is evident. (A)</li> <li>❑ The APPROACH is well DEPLOYED, with no significant gaps. (D)</li> <li>❑ Fact-based, SYSTEMATIC 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)</li> <li>❑ The APPROACH is INTEGRATED with the organizational needs identified in response to the Organizational Profile and other Process Standards. (I)</li> </ul>  |
| <p><b>90%, 95% or 100%</b><br/><b>OR 5 Stars</b></p>      | <p>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.</p> <ul style="list-style-type: none"> <li>❑ An EFFECTIVE, SYSTEMATIC APPROACH, fully responsive to the MULTIPLE REQUIREMENTS of the Standards, is evident. (A)</li> <li>❑ The APPROACH is fully DEPLOYED without significant weaknesses or gaps in any areas or work units. (D)</li> <li>❑ Fact-based, SYSTEMATIC 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)</li> <li>❑ The APPROACH is well INTEGRATED with your organizational needs identified in response to the Organizational Profile and other Process Standards. (I)</li> </ul> |

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

## Appendix 2: Scoring Criteria for RESULTS – based Values KPI or Benchmarks

|  |  |
|--|--|
|  |  |
|--|--|

| SCORE                 | RESULTS  |
|-----------------------|--|
| 0% or 5%              | <ul style="list-style-type: none"> <li><input type="checkbox"/> There are no organizational PERFORMANCE RESULTS or poor RESULTS in the standards and areas reported.</li> <li><input type="checkbox"/> TREND data are either not reported or show mainly adverse TRENDS.</li> <li><input type="checkbox"/> Comparative information is not reported.</li> <li><input type="checkbox"/> RESULTS are not reported for any areas of importance to your KEY MISSION or organizational requirements.</li> </ul>  |
| 10%, 15%, 20%, or 25% | <ul style="list-style-type: none"> <li><input type="checkbox"/> A few organizational PERFORMANCE RESULTS are reported; there are some improvements and/or early good PERFORMANCE LEVELS in a few standards or areas.</li> <li><input type="checkbox"/> Little or no TREND data are reported, or many of the TRENDS shown are adverse.</li> <li><input type="checkbox"/> Little or no comparative information is reported.</li> <li><input type="checkbox"/> RESULTS are reported for a few areas of importance to your KEY MISSION or organizational requirements.</li> </ul>  |
| 30%, 35%, 40%, or 45% | <ul style="list-style-type: none"> <li><input type="checkbox"/> Improvements and/or good PERFORMANCE LEVELS are reported in many standards or areas addressed in the Standards requirements.</li> <li><input type="checkbox"/> Early stages of developing TRENDS are evident.</li> <li><input type="checkbox"/> Early stages of obtaining comparative information are evident.</li> <li><input type="checkbox"/> RESULTS are reported for many areas of importance to your KEY MISSION or organizational requirements.</li> </ul>  |
| 50%, 55%, 60%, or 65% | <ul style="list-style-type: none"> <li><input type="checkbox"/> Improvement TRENDS and/or good PERFORMANCE LEVELS are reported for most standards or areas addressed in the Standards requirements.</li> <li><input type="checkbox"/> No pattern of adverse TRENDS and no poor PERFORMANCE LEVELS are evident in standards or areas of importance to your KEY MISSION or organizational requirements.</li> <li><input type="checkbox"/> Some TRENDS and/or current PERFORMANCE LEVELS—evaluated against relevant comparisons and/or BENCHMARKS—show standards or areas of good to very good relative PERFORMANCE.</li> <li><input type="checkbox"/> Organizational PERFORMANCE RESULTS address most KEY student, STAKEHOLDER, market, and PROCESS requirements.</li> </ul> |
| 70%, 75%, 80%, or 85% | <ul style="list-style-type: none"> <li><input type="checkbox"/> Current PERFORMANCE LEVELS are good to excellent in most standards or areas of importance to the Standards requirements.</li> <li><input type="checkbox"/> Most improvement TRENDS and/or current PERFORMANCE LEVELS have been sustained over time.</li> <li><input type="checkbox"/> 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.</li> <li><input type="checkbox"/> Organizational PERFORMANCE RESULTS address most KEY student, STAKEHOLDER, market, PROCESS, and ACTION PLAN requirements.</li> </ul>   |
| 90%, 95%, or 100%     | <ul style="list-style-type: none"> <li><input type="checkbox"/> Current PERFORMANCE LEVELS are excellent in most areas of importance to the Standards requirements.</li> <li><input type="checkbox"/> Excellent improvement TRENDS and/or consistently excellent PERFORMANCE LEVELS are reported in most areas.</li> <li><input type="checkbox"/> Evidence of education sector and BENCHMARK leadership is demonstrated in many areas.</li> <li><input type="checkbox"/> Organizational PERFORMANCE RESULTS fully address KEY student, STAKEHOLDER, market, PROCESS, and ACTION PLAN requirements.</li> </ul>  |

**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/](http://www.nist.gov/)