



KSU – QMS (QUALITY MANAGEMENT SYSTEM) GUIDEBOOK

(2ND EDITION, MAY 2012)

KING SAUD UNIVERSITY

KINGDOM OF SAUDI ARABIA

MINISTRY OF HIGHER EDUCATION

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Guidebook to KSU – QMS Handbooks 1 and 2 (Practitioner Version, 3rd Edition, April 2012)

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

1. Quality is the role and responsibility of all members of the KSU Family as Quality is a single holistic and unified entity that creates and delivers on education value to the society and community.
2. Quality cuts across boundaries of all units that should contribute and commit to the same quality standard with the administrative units supporting and servicing the direct quality actions affecting quality performance of the institution, colleges and programs.
3. Quality brings about and enhances sharing of data, information and knowledge and learning from each other to bring about a learning organization in KSU.
4. Quality is a seamless set of actions and activities that synergizes the policies, processes, procedures and people of the institution as a single holistic entity with a singular set of mission and goals that streamlines and unifies the institution towards its commitment to the society and communities.

This KSU – QMS Guidebook (2nd Edition, May 2012) is divided in 6 main sections as follows:

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

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

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

I. Basic Fundamentals of KSU - QMS

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

Step 1: Organization Profile - Firstly, the institution defines "who you are & what is important to you" as what the institution do is based on why, what and how the institution exists, and what are the capabilities and resources that it can use to achieve its ends means in terms of:

- Vision, Mission, Goals and Objectives
 - Core capabilities and competencies
 - Educational products offers, customers and stakeholders
 - Workforce, facilities and infrastructures
 - Competitors, strategic challenges/advantages
- (Audit and Assessment is normally referenced to these key profiles)

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

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

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

- What are the key measures?
 - Are you measuring what you should be measuring to support the Organizational Profile and Process Categories?
- (Audit and Assessment of the Results are normally in terms of the LeTCI - Level, Trend, Comparison and Integration)

Based on these fundamentals, the newly revised KSU - QMS (3rd Edition, April 2012) has been separated into two handbooks as follows:

- Handbook 1 - provides a synopsis of the NCAAA requirements, KSU - QMS scope quality assurance, practices and audit and assessment mechanisms and the details of the processes and results based Criteria and Items.
- Handbook 2 - provides the SID (Statistics, Information and Documentation) with an emphasis on the evidence based approach and the Key Performance Indicators and its appending mechanism.

II. Objectives of KSU - QMS

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

- Assess the performance of the institution, colleges or programs based on the KSU - QMS NCAAA compliant Standards and Criteria through the use of an internationally accepted scoring methodology (MBNQA - Malcolm Baldrige National Quality Award) on a scale of 1000 as shown in the Figures 1 and 2.
- Provide a comparative picture of performance assessment across the different programs or colleges.
- Determine the Strengths or Opportunities for improvements on a year-on-year basis for progressive continuous improvements over the years of the college or programs leading to accreditation on a 5-year cyclical basis.

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

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

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

Standards, Criteria and KPI	Scaled Scoring Performance		
	Weights	2008	2010
○ STANDARD 1: MISSION AND OBJECTIVES			
1.1 Appropriateness of the Mission	6	1.92	3.6
1.2 Usefulness of the Mission Statement	4	2.24	3.97
1.3 Development and Review of the Mission	4	1.08	2.05
1.4 Use of the Mission Statement	6	1.6	3.2
1.5 Relationship Between Mission, Goals and Objectives	10	1.68	4.65
1.6 Institution specified Key Performance Indicators	6	0	3.72
1.7 College or Programs specified KPI	4	0	0
STANDARD 1 AVERAGE PERFORMANCE SCORE	40	8.52	21.29

III. Rubrics of KSU - QMS

To ensure compliance with the NCAAA, the NCAAA 11 Standards and 58 Sub-Standards and 415 Sub-sub-standards are used as the blueprint (Fig. 3) for the Standards, Criteria and Items of the KSU - QMS Quality Model (Fig. 5). The Standards, Criteria and Items as used in the KSU - QMS is explained in Figure 4 as shown for Standard 1, Criteria 1.2 and the Items 1.1.1 to 1.1.4. Performance assessment is based on the evaluation of performance of the items in each of the criteria with all the criteria making up a specific standard. Another rationale is that a completely new set of standards and criteria not compliant with NCAAA will bring about an IQA that does not support the EQA (Accreditation by NCAAA).

KSU combines the institutional requirements and the program requirements into one standardized set that are applicable at the institutional, college or program levels. The key rationale is that the same standards and criteria can be cascaded from top to bottom and is comparable across all program areas, and that the overall performance of the institution is based on the holistic accumulation and aggregations of the sum total efforts of all the colleges and programs culminating in the institutional performance. As such, KSU will maintain one singular

set of quality standards, criteria and items that is applicable at the institution, college or program levels, ultimately called the KSU - QMS Handbooks 1 and 2 (King Saud University Quality Management System Handbooks 1 and 2 - 3rd Edition for Practitioner, April 2012).

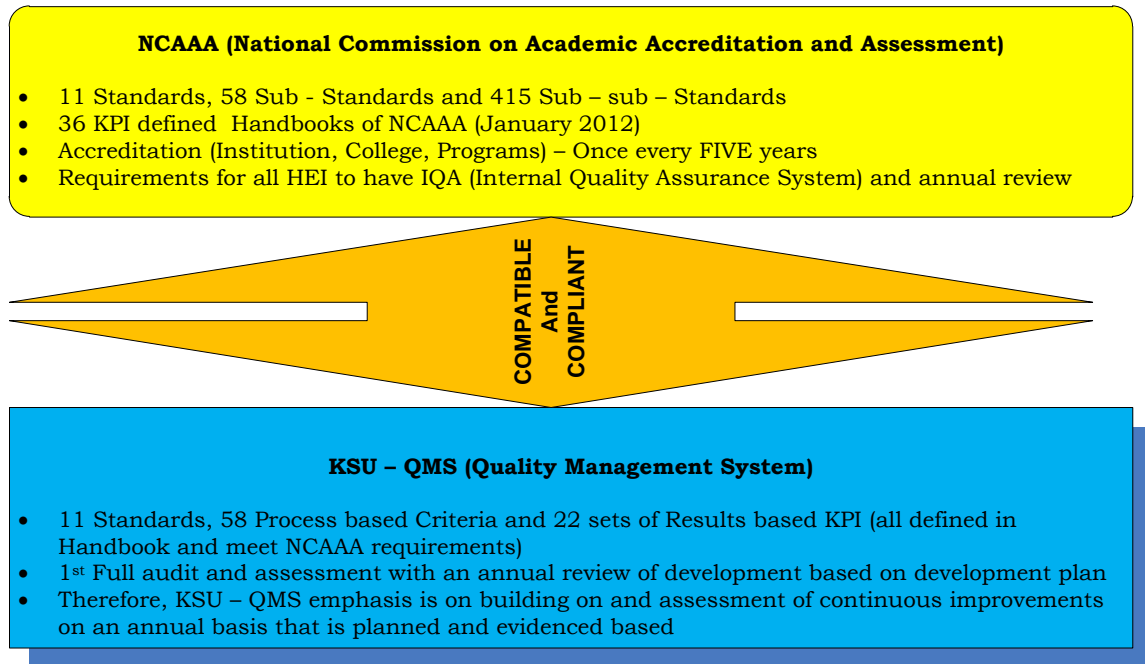


Fig 3: Rubrics of KSU - QMS compliance with NCAAA

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

Figure 4: Explanation of Standard, Criteria and Item requirement

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

- **Standard** - This defines one of the key categorical areas in the academic performance audit and assessment, of which there are 11 key standards used to audit and assess the performance and achievements of the institution, college or

programs. This represents the **BASIC STANDARD REQUIREMENT**. Satisfying this requirement does not mean that the entire criteria requirements had been met or achieved, of which only a partial set might have been accomplished leading to the overall performance scoring to be reduced.

- **Criteria** - This defines the main sub-components of each of Standard. This means that in evaluating the Standards performance, there are areas of emphasis that would comprehensively covers the key sub-components of each standard. This represents the **OVERALL CRITERIA REQUIREMENT**. The achievement of the overall requirement is based on fulfilling the entire set of criteria requirements which means that all the sub-components must be addressed. Satisfying some Criteria requirement does not mean that the entire Standard requirements had been met or achieved. Partial criteria accomplishment will lead to each overall criteria performance scoring to be reduced, thus reducing each basic Standard performance.
- **Items** - This defines the intricate details or item requirements of each of the Criterion detailing the elaborate mechanisms that need to be established and implemented or addressed in order to achieve each Criterion. This represents the **MULTIPLE ITEM REQUIREMENT**. In the KSU - QMS, assessment is done at the Criterion level and the full achievement of the performance of each Criterion is the comprehensive achievement of each and every item in each Criterion that leads to the accomplishments of the entire Criterion set.

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

- 1 Generic set of KPI for the 11 standards that are applicable across the institution, college or program; there are 42 quantitative KPI and 14 qualitative KPI totaling 56 KPI.
- 1 set of College or program defined KPI for each Standard unique to the operations of the college or program.

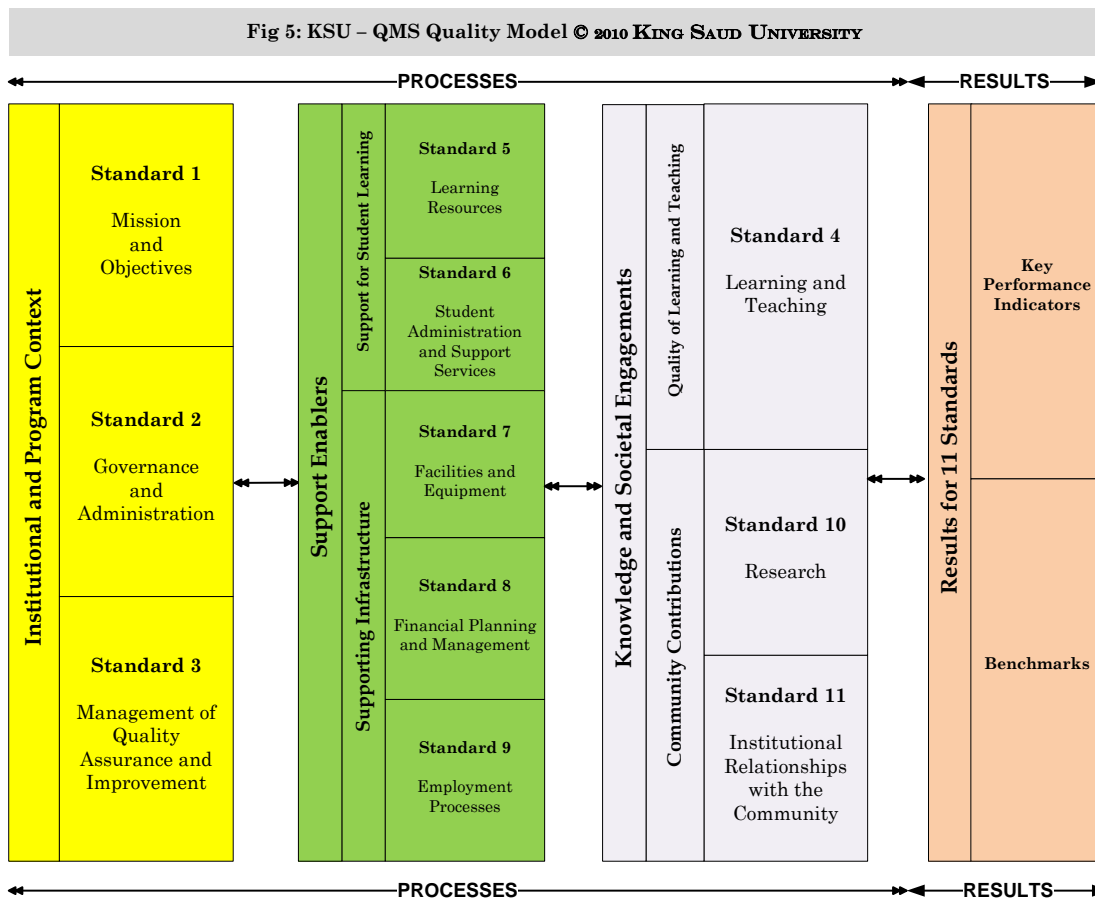
IV. KSU - QMS Quality Model

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

1. **Institutional and Program Context (Process-based Criteria)** - This is the main “umbrella” or supra component that brings strategic directions to tie together the other operational components. Leadership is needed to spearhead the commitment to quality improvements and innovations that affects performance excellence throughout the whole organization governance and administration, supported by the omnipotent and pervasive Quality Management System. As such, Standards 1, 2 and 3 are put under this institutional and program context.
2. **Support Enablers (Process-based Criteria)** - A key set of competence and capabilities that supports the success of the academic elements are the key support enablers. These would consist of the support infrastructure of facilities and equipment to support a

conducive teaching and learning environment, financial management as the life blood feeding all elements of the organizational resources, human resources focus of engaging and empowering the “human capitals” through development and motivational efforts to push forward the frontiers of performance excellence. This also includes the support for student learning of the learning resources and students services which are critical and central to the success of the student learning experiences.

3. **Knowledge and Societal Engagements (Process-based Criteria)** - This represents the heart and soul of the institution of quality teaching and learning by the human capital to push forward the frontiers of teaching, learning, research and societal contributions through knowledge development, creation and sharing for the benefits of societal development.
4. **Results (Results-based Criteria)** - This is based on the mantra of “management through measurement” in the beliefs that measurements of performance of the key educational processes in the Standards 1 to 11 can support better management of the educational values and commitment to the stakeholders based on the institution’s strategic intent, its vision, mission and values. These are shown by their KPI (Key Performance Indicators) and Benchmarks for comparative performance.



As there are two main sets of criteria, the Process-based criteria of the 11 Standards, and the Results-based criteria of the KPI (both qualitative and quantitative), the assessment is based on the MBNQA of ADLI for the Process-based criteria and the LeTCI for the Results-based Criteria. Explanation of the ADLI and LeTCI assessment approach is shown in Fig. 5. The total points for all the 11 sets of Standards and KPI is based on 1000 points, of which different weights will be

allocated to the Standards, Criteria and KPI based on the institution mission and context. The scoring is based on a 100 % for each Criterion assessed multiplied by the weight to arrive at a weighted score for the Criterion and each of the criterion summing to the overall performance of the Standard. The scores for all the Standards and KPI are summated to 1000 as illustrated in the example of performance assessment in Figures 1 and 2. The performance assessment approach using the ADLI and LeTCI to assess the processes and the results are explained in Section V.

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

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

V. Assessment Fundamentals using the ADLI and LeTCI approach

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

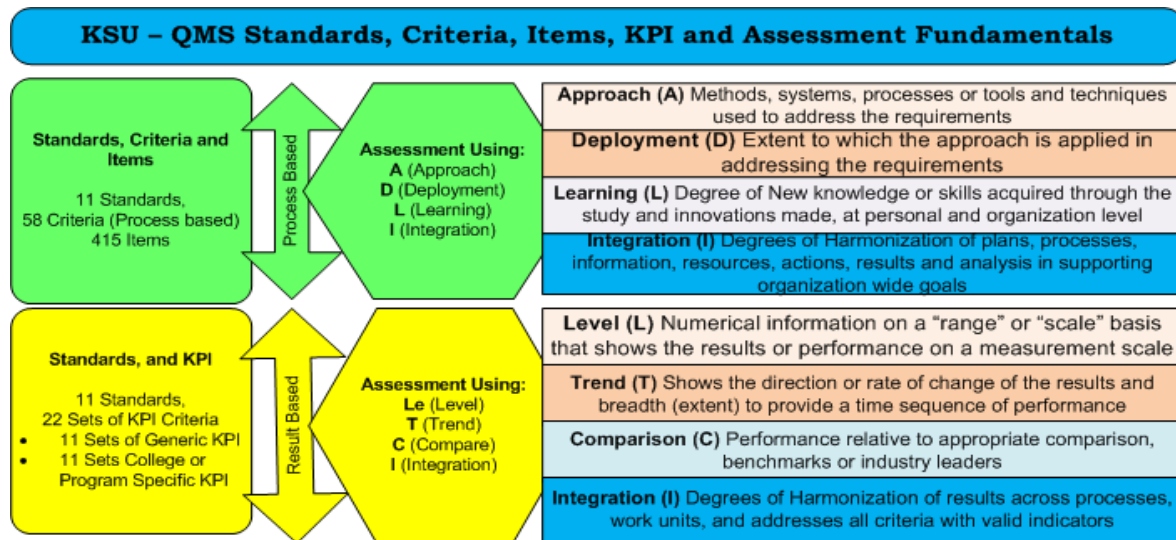


Fig. 6: Assessment fundamentals of the Standards and KPI using the ADLI and LeTCI approach

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

➤ **The PROCESS based criteria:**

- **APPROACH:** How do you do it? What are the steps in your process? How repeatable is it?
- **DEPLOYMENT:** Is your approach consistently applied across your organization? Who uses it?
- **LEARNING:** Do you refine your approach through systematic evaluation and improvement?
- **INTEGRATION:** Is your approach aligned with your organizational needs? How is it linked to other approaches/processes?

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

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

➤ **The RESULTS based criteria:**

- **LEVELS:** What is your current performance? (**PERFORMANCE ANALYSIS**)
- **TRENDS:** How have you performed over time? (**TREND ANALYSIS**)
- **COMPARISONS:** How does your performance compare to other organizations? (**BENCHMARKING**)
- **INTEGRATION:** Do you segment your results? Do you show results for important customers, products/services, markets, processes?

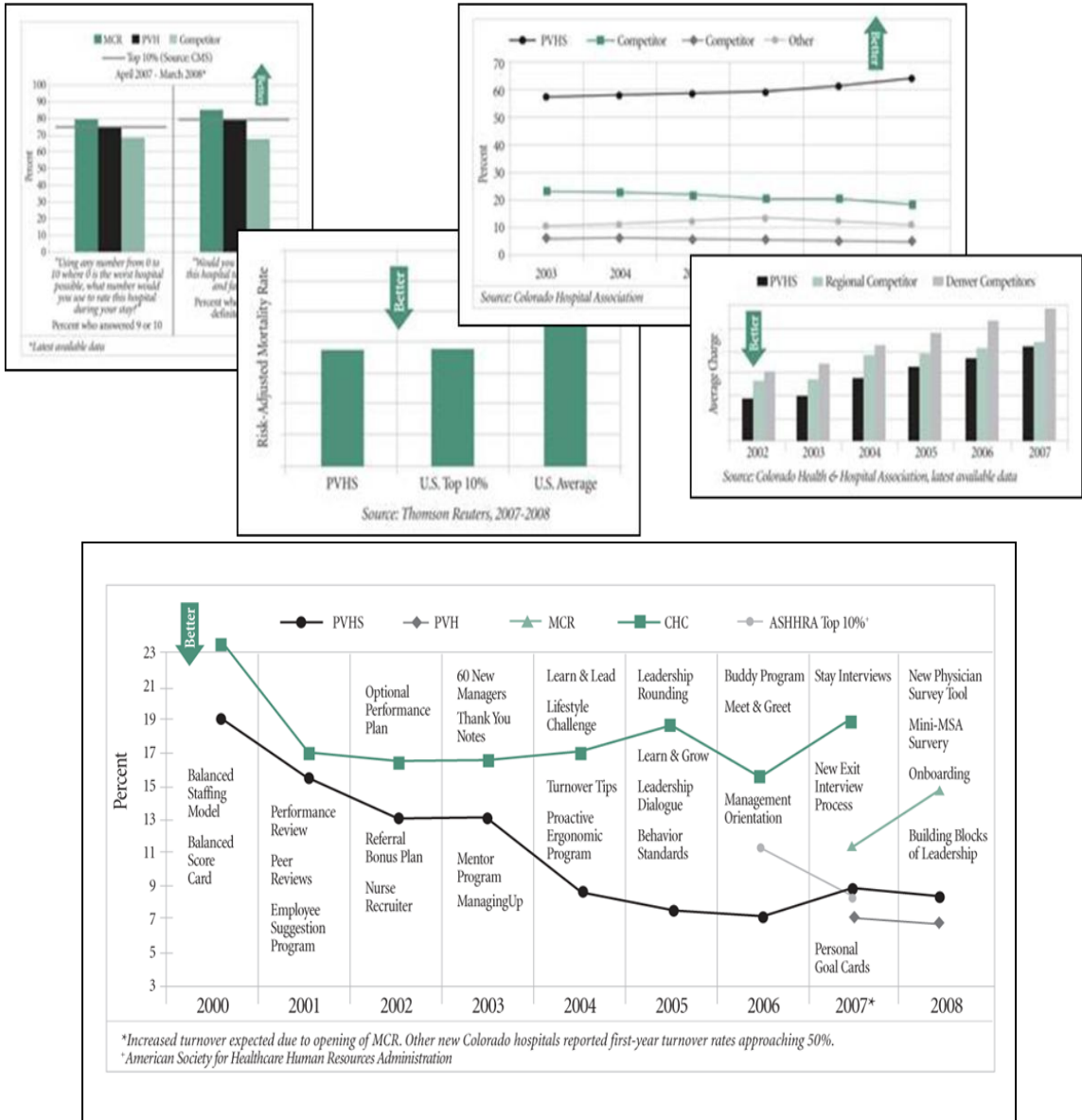


Figure 7: Results based criteria Performance depicted graphically for trend analysis

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

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

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

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

- ⊕ As shown in the 10th Column, the overall performance for the academic year 2010 for all the Standards is 316.14/1000. This means that the institution has systematic approaches for each of its Criteria 1.1. to 1.5 that are in the early stages of deployment throughout the whole university system and its colleges and programs. It also shows the result performance that do show some reports of KPI performance level and the beginning of some trends performance at the institution level, but not at the college or program levels.
- ⊕ For Standard 1, the institution performance is 16.14 (10th Column) as compared to the previous performance of 10.6 (9th Column).
- ⊕ The “goals set” (5th Column) at the beginning of the year as compared to the “goals achieved” (6th Column) is relatively better for all the Criteria 1.1 to 1.4 with the exception of Criteria 1.5 and 1.6 and no performance improvements recorded for Criteria 1.7.
- ⊕ Overall, it can be said that there are improvements made from 2010 as compared to the previous year performance.
- ⊕ The next step is to identify the strengths and opportunities for improvements based on the performance evaluation and use them for continuous development and improvements in the next academic year action plans.

VI. Internal Audit and Assessment and Annual Monitoring Cycle

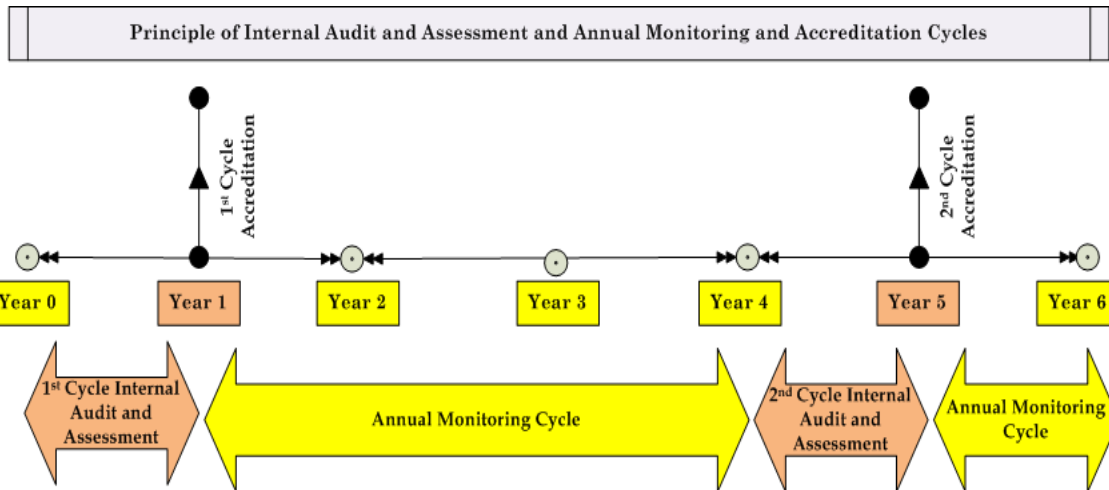


Figure 9: Internal Audit and Assessment and Annual Monitoring and accreditation Cycle

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

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

5 years period. But it does need to ensure that the updated SSR and its annual assessment in between the accreditation cycles still sustain the continuous improvements that culminate in the Internal Audit and Assessment Cycle before each Accreditation.

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

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

As there is no perfect model, continuous improvements to the system and model is anticipated. But presently, it is hoped that the extant KSU – QMS (3rd edition, April 2012) is be used by the KSU communities of scholars as a main system to create and deliver on educational values of which KSU anticipates the commitment of one and all in KSU. We wish everyone the best in their quality journey and continuous strive for educational excellence.

Appendix 1: Key Features of the KSU - QMS Quality Performance Excellence System

Standards, Criteria and Items:

- 1 comprehensive set of Standards, Criteria and Items applicable for the institution, college and program, as the performance of the programs aggregates and summates into the college and ultimately the institution performance
- There are 11 Standards and 58 Criteria based on the NCAAA institution set which are classified as **Process-Based Criteria**
- The KPI and Benchmark are classified as the **Results-Based Criteria**

KPI (Key Performance Indicators):

- KSU-QMS has two sets of KPI:
 - A generic set defined by the institution for all programs and the institution as a whole
 - A set to be defined by the institution and program
- The generic set of KPI are applicable across board to all programs which are aggregated and summated into the overall college and institution performance
 - 2 sets of KPI are used, Qualitative and Quantitative KPI
 - The Qualitative set uses a survey instrument with defined parameters to determine the performance level criteria
 - The quantitative set uses the normal percentage, ratios or numeric to determine the performance ranges

Internal Audit , Assessment and Annual Monitoring:

- The institution and program conduct a self-assessment and prepare an assessment report. The report is assessed by an external team (Board of Assessors) appointed by KSU for the internal audit and assessment before the 5-year cyclical accreditation cycle.
- After the institution, college or programs has attained the accreditation, the period between the next accreditation cycle will be the annual monitoring whereby the institution, college or programs has to maintain and sustain their progressive annual quality continuous improvements as planned.
- Strengths, Opportunities for improvement and evidence are documented in the Self - Study Report (SSR) which is the main report used in both the Internal Audit and Assessment and Annual Monitoring.

Management:

- The SSR will be used as the basis of an annual operation plan for continuous improvement and innovation by the institution, college or program
- The annual operation plan is linked to the roll-over of the institution or program strategic plan

Assessment Approach (explained in detail in Chapter 3):

- The overall performance is based on the weighted scoring for both the Process-based and Results-based Criteria leading to a 1000 points scale system.
- The overall performance of the institution, college or program is the summation both the Process-based Standards, Criteria and Items Values and the Results-based KPI.
- A 6 levels Scaled Performance Scoring System using a weighted score approach is used to determine the performance of each Process-Based Criteria and Result-Based Criteria contributing to 80% of the overall performance achievement score
- The performance of each criteria also takes into account the “goals set” and “goals achieved” leading to “development” and “effectiveness” being measured contributing to remaining 20% of the performance achievement score.
- The Items and Criteria are summated and aggregated into the determination of performance for each Standard which forms the Process-based Criteria

- The KPI forms the Results-based Criteria

Assessment Time Frame:

- The annual monitoring is done on an annual basis that coincides with the annual academic planning cycle, whereas the internal audit and assessment is done prior to the application for accreditation.
- The annual monitoring supplemented by the internal audit and assessment prior to accreditation will lead to the 5 - year accreditation cycle.

Reports:

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

Appendix 2: KSU – QMS Standards, Criteria and Weights

KSU – QMS Standards and Criteria		Weights (1000 points)
○ Standard 1: Mission and Objectives		40 points
1.1	Appropriateness of the Mission	6
1.2	Usefulness of the Mission Statement	4
1.3	Development and Review of the Mission	4
1.4	Use of the Mission Statement	6
1.5	Relationship Between Mission, Goals and Objectives	10
1.6	Institution Specified KPI	6
1.7	College or Program specified KPI	4
○ Standard 2: Governance and Administration		50 points
2.1	Governing Body	5
2.2	Leadership	5
2.3	Planning Processes	5
2.4	Relationship Between Sections for Male and Female Students	4
2.5	Integrity	4
2.6	Policies and Regulations	5
2.7	Organizational Climate	5
2.8	Associated Centers and Controlled Entities	4
2.9	Institution Specified KPI	9
2.10	College or Program specified KPI	4
○ Standard 3: Management of Quality Assurance and Improvement		70 points
3.1	Commitment to Quality Improvement	7
3.2	Scope of Quality Assurance Processes	7
3.3	Administration of Quality Assurance Processes	18
3.4	Use of Indicators and Benchmarks	6
3.5	Independent Verification of Standards	6
3.6	Institution Specified KPI	18
3.7	College or Program specified KPI	8
○ Standard 4: Learning and Teaching		250 points
4.1	Oversight of Quality of Learning and Teaching	24
4.2	Student Learning Outcomes	20
4.3	Program Development Processes	18
4.4	Program Evaluation and Review Processes	24
4.5	Student Assessment	15
4.6	Educational Assistance for Students	18
4.7	Quality of Teaching	24
4.8	Support for Improvements in Quality of Teaching	15
4.9	Qualifications and Experience of Teaching Staff	15
4.10	Field Experience Activities	24
4.11	Partnership Arrangements with Other Institutions	17
4.12	Institution Specified KPI	33
4.13	College or Program specified KPI	14
○ Standard 5: Student Administration and Support Services		70 points
5.1	Student Admissions	12
5.2	Student Records	8
5.3	Student Management	8
5.4	Planning and Evaluation of Student Services	7
5.5	Medical and Counseling Services	6
5.6	Extra-Curricular Activities for Students	5
5.7	Institution Specified KPI	12
5.8	College or Program specified KPI	12
○ Standard 6: Learning Resources		60 points
6.1	Planning and Evaluation	15
6.2	Organization	8
6.3	Support for Users	7
6.4	Resources and Facilities	9
6.5	Institution Specified KPI	12
6.6	College or Program specified KPI	9

○	Standard 7: Facilities and Equipment	60 points
7.1	Policy and Planning	6
7.2	Quality of and Adequacy of Facilities	9
7.3	Management and Administration	8
7.4	Information Technology	11
7.5	Student Residences	8
7.6	Institution Specified KPI	12
7.7	College or Program specified KPI	6
○	Standard 8: Financial Planning and Management	40 points
8.1	Financial Planning and Budgeting	9
8.2	Financial Management	9
8.3	Auditing and Risk Management	4
8.4	Institution Specified KPI	12
8.5	College or Program specified KPI	6
○	Standard 9: Faculty and Staff Employment Processes	80 points
9.1	Policy and Administration	20
9.2	Recruitment	18
9.3	Personal and Career Development	22
9.4	Discipline, Complaints and Dispute Resolution	10
9.5	Institution Specified KPI	6
9.6	College or Program specified KPI	4
○	Standard 10: Research	200 points
10.1	Institutional Research Policies	45
10.2	Faculty and Student Involvement	40
10.3	Commercialization of Research	15
10.4	Facilities and Equipment	25
10.5	Institution Specified KPI	45
10.6	College or Program specified KPI	30
○	Standard 11: Institutional Relationships with the Community	80 points
11.1	Institutional Policies on Community Relationships	12
11.2	Interactions With the Community	24
11.3	Institutional Reputation	24
11.4	Institution Specified KPI	16
11.5	College or Program specified KPI	4
Total of 11 Standards, 58 Processes and 22 Results Criteria		1000 points

Appendix 3: KSU - QMS Standards, Criteria and KPI

KSU - QMS Categorization of Standards and Criteria based on NCAAA

Institutional Context

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

Quality of Learning and Teaching

- Standard 4: Learning and Teaching

Community Contributions

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

Support for Student Learning

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

Supporting Infrastructure

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

Compliance with NCAAA Standards, Criteria and Items

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

KSU - QMS has 80 Criteria (58 Standards of which is fully compliant with NCAAA and 11 sets of Institution KPI and 11 sets of College specified KPI. The KSU - QMS specified 56 Institutional KPI (details of Standard, Criteria and KPI are shown in Appendix 1) as:

- Quantitative Indicators = 42
- Qualitative Indicators = 14

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

Institutional Context		Key Performance Indicators	
○	<i>Standard 1: Mission and Objectives</i>	1.6.1	Evaluation of Strategic Plan Implementation (Means average and Level achieved based on survey)
1.1	Appropriateness of the Mission		
1.2	Usefulness of the Mission Statement		
1.3	Development and Review of the Mission	1.6.2	Evaluation of Strategic Plan alignment with National HE Development Plan (Means average and Level achieved based on survey)
1.4	Use of the Mission Statement		
1.5	Relationship Between Mission, Goals and Objectives	1.6.3	Percentage of strategic goals achieved (%)
1.6	Key Performance Indicators		
1.7	Additional KPI of College		
Number of Criteria = 5 Process + 2 Result		Number of KPI = 3 (1 Quantitative, 2 Qualitative)	

○ Standard 2: Governance and Administration			
2.1	Governing Body	2.9.1	Evaluation of Governance and Leadership Effectiveness (Means average and Level achieved based on survey)
2.2	Leadership	2.9.2	Evaluation of Organization Climate (Means average and Level achieved based on survey)
2.3	Planning Processes		
2.4	Relationship Between Sections for Male and Female Students	2.9.3	Evaluation of Management and Administration overall performance (Means average and Level achieved based on survey)
2.5	Integrity		
2.6	Policies and Regulations		
2.7	Organizational Climate		
2.8	Associated Centers and Controlled Entities		
2.9	Key Performance Indicators		
2.10	Additional KPI of College		

Number of Criteria = 8 Process + 2 Result	Number of KPI = 3 (3 Qualitative)
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Institutional Context			
○ Standard 3: Management of Quality Assurance and Improvement			
3.1	Institutional Commitment to Quality Improvement	3.6.1	Percentage of students graduated in the last 3 years who are recognized in the areas of academics, or profession, or contribution to society at the national or international level (%)
3.2	Scope of Quality Assurance Processes		
3.3	Administration of Quality Assurance Processes	3.6.2	Percentage of the full-time faculty members obtaining academic or professional awards at the national or international level. (%)
3.4	Use of Indicators and Benchmarks		
3.5	Independent Verification of Standards	3.6.3	Students overall evaluation on the quality of their learning experiences at the institution (Average rating of the overall quality of their program on a five point scale in an annual survey of final year students) (NCAAA 1 - Means average and Level achieved based on survey)
3.6	Key Performance Indicators		
3.7	Additional KPI of College		
		3.6.4	Proportion of courses in which student evaluations were conducted during the year (NCAAA 2 - Proportion and Level achieved)
		3.6.5	Proportion of programs in which there was independent verifications within the institution of standards of student achievement during the year. (NCAAA 3 - Proportion and Level achieved)
		3.6.6	Proportion of programs in which there was independent verifications within the institution of standards of student achievement by people external to the institution during the year. (NCAAA 4 - Proportion and Level achieved)

Number of Criteria = 5 Process + 2 Result	Number of KPI = 6 (5 Quantitative, 1 Qualitative)
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Quality of Learning and Teaching			
○ Standard 4 Learning and Teaching			
4.1	Oversight of Quality of Learning and Teaching	4.12.1	Students' competency score index as per NQF (Means average and Level achieved)
4.2	Student Learning Outcomes	4.12.2	Percentage of graduates who work in their major field of study
4.3	Program Development Processes		
4.4	Program Evaluation and Review	4.12.3	Proportion of students entering

Processes			undergraduate programs who complete those programs in minimum time (NCAAA 9 - Means average and Level achieved)
4.5	Student Assessment		
4.6	Educational Assistance for Students		
4.7	Quality of Teaching	4.12.4	Proportion of students entering post graduate programs who complete those programs in specified time (NCAAA 10 - Means average and Level achieved)
4.8	Support for Improvements in Quality of Teaching		
4.9	Qualifications and Experience of Teaching Staff	4.12.5	Students overall rating on the quality of their courses (Average rating of students on a 5 point scale overall evaluation of courses (NCAAA 6 - Means average and Level achieved based on survey)
4.10	Field Experience Activities		
4.11	Partnership Arrangements with Other Institutions		
4.12	Key Performance Indicators		
4.13	Additional KPI of College	4.12.6	Proportion of full-time equivalent students in proportion to the total number of full-time faculty members (NCAAA 5 - Means average and Level achieved)
		4.12.7	Percentage of full-time faculty members holding Doctoral degrees or equivalent in proportion to the total number of full-time faculty members (NCAAA 7 - Means average and Level achieved)
		4.12.8	Proportion of the full-time faculty members holding academic titles of teaching assistant, instructor, Assistant Professor, Associate Professor, and Professor.
		4.12.9	Percentage of students entering programs who successfully complete first year (NCAAA 8 - Means average and Level achieved)
		4.2.10	Percentage of courses that are improved based on research and/or evaluation results. (Means average and Level achieved)
		4.12.11	Proportion of graduates from undergraduate programs who within six months of graduation are: (a) employed (b) enrolled in further study (c) not seeking employment or further study (NCAAA 11 - Means average and Level achieved based on survey)
Number of Criteria = 11 Process + 2 Result		Number of KPI = 11 (10 Quantitative, 1 Qualitative)	

Community Contributions			
○ <i>Standard 10: Research</i>			
10.1	Institutional Research Policies	10.5.1	Number of refereed publications in the previous year per full time equivalent member of teaching staff. (Publications based on the formula in the Higher Council Bylaw excluding conference presentations) (NCAAA 26 - Ratio average and Level achieved)
10.2	Faculty and Student Involvement		
10.3	Commercialization of Research		
10.4	Facilities and Equipment		
10.5	Key Performance Indicators		
10.6	Additional KPI of College	10.5.2	Number of citations in refereed journals in the previous year per full time equivalent teaching staff. (NCAAA 27 - Ratio average and Level achieved)
		10.5.3	Proportion of full time member of teaching

		staff with at least on refereed publications during the previous year (NCAAA 28 - Ratio average and Level achieved)
	10.5.4	Evaluation of facilities and environment supporting research (Means average and Level achieved based on survey)
	10.5.5	Ratio of internal research and innovation funds in proportion to the total number of full-time faculty members
	10.5.6	Ratio of external research and innovation funds in proportion to the total number of full-time faculty members (NCAAA 30 - Means average and Level achieved)
	10.5.7	Number of papers or reports presented in academic conferences during the past year per full time equivalent members of teaching staff (NCAAA 29 - Ratio average and Level achieved)
	10.5.8	Number of research and innovations registered as intellectual property or patented within the past 5 years
	10.5.9	Proportion of total operating funds spent on research (NCAAA 31 - Means average and Level achieved)
Number of Criteria = 4 Process + 2 Result		Number of KPI = 9 (8 Quantitative, 1 Qualitative)

Standard 11: Institutional Relationships with the Community		
11.1	Institutional Policies on Community Relationships	11.4.1 Evaluation of satisfaction of employers/ business operators/ users of graduates /alumni /parents/ graduates on competency of graduates (Means average and Level achieved based on survey)
11.2	Interactions With the Community	
11.3	Institutional Reputation	11.4.2 Evaluation of the systems and mechanisms used in providing academic services to the society according to the goals of the institution, college or program (Means average and Level achieved based on survey)
11.4	Key Performance Indicators	
11.5	Additional KPI of College	11.4.3 Proportion of full time teaching and other staff actively engaged in community service activities (NCAAA 32 - Ratio average and Level achieved)
		11.4.4 Number of community education program provided in proportion of the number of departments (NCAAA 32 - Means average and Level achieved)
Number of Criteria = 3 Process + 2 Result		Number of KPI = 4 (2 Quantitative, 2 Qualitative)

Support for Student Learning		
Standard 5: Student Administration and Support Services		
5.1	Student Admissions	5.7.1 Ratio of students to administrative staff (NCAAA 12 - Ratio average and Level achieved)
5.2	Student Records	5.7.2 Proportion of total operating funds (other than accommodation and student allowances) allocated to provision of student services (NCAAA 13 - Ratio average and Level achieved)
5.3	Student Management	
5.4	Planning and Evaluation of Student Services	
5.5	Medical and Counseling Services	
5.6	Extra-Curricular Activities for	5.7.3 Student evaluation of academic and career

	Students			counseling (Average rating on the adequacy of academic and career counseling on a five point scale in an annual survey of final year students) (NCAAA 13 - Means average and Level achieved based on survey)
5.7	Key Performance Indicators			
5.8	Additional KPI of College			

Number of Criteria = 6 Process + 2 Result		Number of KPI = 3 (2 Quantitative, 1 Qualitative)		
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Standard 6: Learning Resources				
6.1	Planning and Evaluation	6.5.1		Number of book titles held in the library as a proportion of the number of students (NCAAA 15 - Ratio average and Level achieved)
6.2	Organization			
6.3	Support for Users			
6.4	Resources and Facilities	6.5.2		Number of web-site subscriptions as a proportion of the number of programs offered (NCAAA 16 - Ratio average and Level achieved)
6.5	Key Performance Indicators			
6.6	Additional KPI of College			
		6.5.3		Number of periodical subscriptions as a proportion of the number of programs offered (NCAAA 17 - Ratio average and Level achieved)
		6.5.4		Student evaluation of library services (Average rating on adequacy of library services on a five point scale in an annual survey of final year students (NCAAA 18 - Means average and Level achieved based on survey)

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

Standard 7: Facilities and Equipment				
7.1	Policy and Planning	7.6.1		Annual expenditure on IT as a proportion of the number of students (NCAAA 19 - Amount and Level achieved)
7.2	Quality of and Adequacy of Facilities			
7.3	Management and Administration	7.6.2		Number of accessible computer terminals per student (NCAAA 20 - Amount and Level achieved)
7.4	Information Technology			
7.5	Student Residences			
7.6	Key Performance Indicators	7.6.3		Average overall rating of adequacy of facilities and equipment in a survey of teaching staff (NCAAA 21 - Means average and Level achieved based on survey)
7.7	Additional KPI of College			
		7.6.4		Internet bandwidth per user (NCAAA 22 - Means average and Level achieved)

Number of Criteria = 5 Process + 2 Result		Number of KPI = 4 (3 Quantitative, 1 Qualitative)		
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Standard 8: Financial Planning and Management				
8.1	Financial Planning and Budgeting	8.4.1		Total operating expenditure (other than accommodation and student allowances) per student (NCAAA 23 - Amount and level achieved)
8.2	Financial Management			
8.3	Auditing and Risk Management	8.4.2		University revenues generated from providing academic and professional services in the name of the university in proportion to the total number of full-time faculty members
8.4	Key Performance Indicators			
8.5	Additional KPI of College			
		8.4.3		Percentage of University expenses incurred in cash and in kind in the preservation, development and enhancement of identity, art and culture in proportion to

		the total operation budget
	8.4.4	Budget per head for full-time faculty members' development in the country and abroad in proportion to the total number of full-time faculty members (SR per capita)
	8.4.5	Operating expenses in the library system, computers and information center in proportion to the total number of full-time students (SR per capita)
	8.4.6	Evaluation of risk management practices as implemented (Means average and Level achieved based on survey)
Number of Criteria = 3 Process + 2 Result		Number of KPI = 6 (5 Quantitative, 1 Qualitative)
o	Standard 9: Employment Processes	
9.1	Policy and Administration	
9.2	Recruitment	
9.3	Personal and Career Development	
9.4	Discipline, Complaints and Dispute Resolution	
9.5	Key Performance Indicators	
9.6	Additional KPI of College	
	9.5.1	Proportion of teaching staff leaving the institution in the past year for reasons other than age retirement (NCAAA 24 - Means average and Level achieved based on survey)
	9.5.2	Percentage of full-time faculty members participating in professional development activities during the past year (NCAAA 25 - Ratio average and Level achieved)
	9.5.3	Percentage of full-time supporting staff participating in professional development activities during the past year
Number of Criteria = 4 Process + 2 Result		Number of KPI = 3 (3 Quantitative)
Total Number of Criteria = 58 Process + 22 Result = 80 Process and Result based Criteria		Number of KPI = 56 (42 Quantitative, 14 Qualitative)

Note: Unless otherwise specified in the KPI that can only be sourced by the program itself, all the KPI will need to be collated and computed at the level of the institution, college and program. For those that are collated and computed at the college and institution levels, they will be provide to the programs for the SSR development, discussion and analysis of performance and achievements.

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

SCORE	PROCESS – based Performance Scoring Guidelines
0% or 5% OR No Star	<p>The practice, though relevant, is not followed at all based on the following:</p> <ul style="list-style-type: none"> <input type="checkbox"/> No SYSTEMATIC APPROACH (methodical, orderly, regular and organize) to Standards requirements is evident; information lacks specific methods, measures, deployment mechanisms, and evaluation, improvement, and learning factors. (A) <input type="checkbox"/> Little or no DEPLOYMENT of any SYSTEMATIC APPROACH (methodical, orderly, regular and organize) is evident. (D) <input type="checkbox"/> An improvement orientation is not evident; improvement is achieved through reacting to problems. (L) <input type="checkbox"/> No organizational ALIGNMENT is evident; individual standards, areas or work units operate independently. (I)
10%, 15%, 20% or 25% OR 1 Star	<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"> <input type="checkbox"/> The beginning of a SYSTEMATIC APPROACH (methodical, orderly, regular and organize) to the BASIC REQUIREMENTS of the Standards is evident. (A) <input type="checkbox"/> The APPROACH (methodical, orderly, regular and organize) is in the early stages of DEPLOYMENT in most standards or work units, inhibiting progress in achieving the basic requirements of the Standards. (D) <input type="checkbox"/> Early stages of a transition from reacting to problems to a general improvement orientation are evident. (L) <input type="checkbox"/> The APPROACH is ALIGNED with other standards, areas or work units largely through joint problem solving. (I)
30%, 35%, 40% or 45% OR 2 Stars	<p>The practice is usually followed but the quality is less than satisfactory based on the following:</p> <ul style="list-style-type: none"> <input type="checkbox"/> An EFFECTIVE, SYSTEMATIC APPROACH, (methodical, orderly, regular and organize) responsive to the BASIC REQUIREMENTS of the Standards, is evident. (A) <input type="checkbox"/> The APPROACH is DEPLOYED, although some standards, areas or work units are in early stages of DEPLOYMENT. (D) <input type="checkbox"/> The beginning of a SYSTEMATIC APPROACH (methodical, orderly, regular and organize) to evaluation and improvement of KEY PROCESSES is evident. (L) <input type="checkbox"/> The APPROACH is in the early stages of ALIGNMENT with the basic Institution, College or Program or Administrative Unit needs identified in response to the Institution, College or Program or Administrative Unit Profile and other Process Standards. (I)
50%, 55%, 60% or 65% OR 3 Stars	<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"> <input type="checkbox"/> An EFFECTIVE, SYSTEMATIC APPROACH (methodical, orderly, regular and organize), responsive to the OVERALL REQUIREMENTS of the Standards, Criteria and Items is evident. (A) <input type="checkbox"/> The APPROACH is well DEPLOYED, although DEPLOYMENT may vary in some standards, areas or work units. (D) <input type="checkbox"/> A fact-based, SYSTEMATIC (methodical, orderly, regular and organize) evaluation and improvement PROCESS and some organizational LEARNING are in place for improving the efficiency and EFFECTIVENESS of KEY PROCESSES. (L) <input type="checkbox"/> The APPROACH is ALIGNED with the Institution, College or Program or Administrative Unit needs identified in response to the Institution, College or Program or Administrative Unit Profile and other Process Standards. (I)
70%, 75%, 80%, or 85% OR 4 Stars	<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"> <input type="checkbox"/> An EFFECTIVE, SYSTEMATIC APPROACH (methodical, orderly, regular and organize), responsive to the MULTIPLE REQUIREMENTS of the Standards, Criteria and Items is evident. (A) <input type="checkbox"/> The APPROACH is well DEPLOYED, with no significant gaps. (D) <input type="checkbox"/> Fact-based, SYSTEMATIC (methodical, orderly, regular and organize) evaluation and improvement and organizational LEARNING are KEY management tools; there is clear evidence of refinement and INNOVATION as a result of organizational-level ANALYSIS and sharing. (L) <input type="checkbox"/> The APPROACH is INTEGRATED with the Institution, College or Program or Administrative Unit needs identified in response to the Institution, College or Program or Administrative Unit Profile and other Process Standards. (I)
90%, 95% or 100% OR 5 Stars	<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"> <input type="checkbox"/> An EFFECTIVE, SYSTEMATIC APPROACH (methodical, orderly, regular and organize), fully responsive to the MULTIPLE REQUIREMENTS of the Standards, Criteria and Items is evident. (A) <input type="checkbox"/> The APPROACH is fully DEPLOYED without significant weaknesses or gaps in any areas or work units. (D) <input type="checkbox"/> Fact-based, SYSTEMATIC (methodical, orderly, regular and organize) evaluation and improvement and organizational LEARNING are KEY organization-wide tools; refinement and INNOVATION, backed by ANALYSIS and sharing, are evident throughout the organization. (L) <input type="checkbox"/> The APPROACH is well INTEGRATED with the Institution, College or Program or Administrative Unit needs identified in response to the Institution, College or Program or Administrative Unit Profile and other Process Standards. (I)

Source: Adapted from NIST (2009), *Malcolm Baldrige National Quality Award 2009 Criteria for Performance Excellence*, National Institute of Standards and Technology, US Department of Commerce, Washington, DC. Available at: www.nist.gov/ and NCAAA (National Council for Academic Assessment and Accreditation) (2008), *Self Evaluation Scales for Higher Education Institutions*, (June 2008).

Appendix 5: Scoring Guidelines for RESULTS - based KPI Criteria

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

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

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

Key Differences	
Internal Audit and Assessment	Annual Monitoring
<ul style="list-style-type: none"> ⊕ Is a full scale exercise that takes place before the college or program goes for the NCAAA accreditation once every 5-year. 	<ul style="list-style-type: none"> ⊕ There will not be a full audit and assessment but an annual monitoring of improvements or changes made as planned for each academic year.
<ul style="list-style-type: none"> ⊕ A full Board of Assessor is appointed to audit and assess the college or program to provide a systematic external review to the college and program based on the KSU - QMS and as required by the NCAAA. 	<ul style="list-style-type: none"> ⊕ The Board of Assessor (BOA) will ensure that there are continuous improvements as planned in the action plans as this is only an annual monitoring exercise with the submission of the required reports.

Key Similarities	
Internal Audit and Assessment	Annual Monitoring
<ul style="list-style-type: none"> ⊕ The full scale exercise is based on the KSU - QMS with a full write-up of the SSR to report on the past years performance together with the Performance Scoring Worksheet that shows the performance of each academic year leading up to the accreditation cycle. 	<ul style="list-style-type: none"> ⊕ In the annual monitoring the updated SSR and Performance Scoring Worksheet produced is based on the KSU - QMS. The SSR will only report changes or improvements made of the 11 Standards over the past academic year. The Performance Scoring Worksheet will produce an annual status report of its performance.
<ul style="list-style-type: none"> ⊕ Both the SSR and the Performance Scoring Worksheet has to be submitted to the Deanship of Quality prior to the planned accreditation for the full Internal Audit and Assessment by the university appointed Board of Assessors. 	<ul style="list-style-type: none"> ⊕ Both the SSR and the Performance Scoring Worksheet has to be submitted to the Deanship of Quality on an annual basis for monitoring to ensure that actions and activities had been planned and executed for each academic year.
<ul style="list-style-type: none"> ⊕ Key reports that needs to be submitted to the Deanship of Quality for the full internal audit and assessment are: <ul style="list-style-type: none"> ⊕ College or Program Annual Report (CAR or PAR) ⊕ SSR (full version) ⊕ Performance Scoring Worksheet ⊕ College or Program annual action plans ⊕ QPAR (full version) 	<ul style="list-style-type: none"> ⊕ Key reports that needs to be submitted to the Deanship of Quality for the annual monitoring are: <ul style="list-style-type: none"> ⊕ College or Program Annual Report (CAR or PAR - if any) ⊕ SSR (updated version) ⊕ Performance Scoring Worksheet ⊕ College or Program annual action plan (if any) ⊕ QPAR (updated version - if any)