INSTITUTIONAL PERFORMANCE EVALUATION PROCESS

MANUAL FOR ELEVEN STANDARDS

Prepared by

QUALITY ASSURANCE AGENCY

HIGHER EDUCATION COMMISSION ISLAMABAD

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A.1 Background

The Higher Education Commission was established in 2002 by the Government of Pakistan to facilitate the development of indigenous universities to become centers of excellence for education, research and development. Through facilitating this process, the HEC intends to play its role in spearheading the building of a knowledge-based economy in Pakistan.

Founded by Presidential Ordinance No LIII[1] in September 2002, the Commission was entrusted with a broad mandate to evaluate, improve and further develop the higher education and research in Pakistan. The reform agenda is supported through the grant of adequate powers along with record increases in financial resources by the Government.

Since its establishment, the Higher Education Commission has undertaken a systematic process of implementation of the five-year (2005 -2010) agenda for reforms outlined in the HEC Medium Term Development Framework (MTDF), in which Access, Quality and Relevance are identified as the key components. To address these challenges a comprehensive strategy was outlined that identifies the core strategic aims for reform as (i) Faculty Development, (ii) Improving Access, (iii) Excellence in Learning and Research, and (iv) Relevance to National Priorities. These strategic aims are supported by well-integrated of cross-cutting themes for developing Leadership, Governance and Management, enhancing Quality Assessment and Accreditation, and Physical and Technological Infrastructure Development.

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[1] http://www.hec.gov.pk/new/QualityAssurance/QA_Agency/download/HECOrdinance.pdf

Quality has remained at the top of the agenda in HEC Medium Term Development Framework II (2010-15). The goal has been to develop and implement high standards of quality across all university activities and making it compatible with the world.

Higher Education Institutions (HEIs) in the country will put efforts to get recognition from the Higher Education Commission by demonstrating that standards set by the HEC are being met and academic activities are also in accordance with the policies of the Commission. The Higher Education Commission (HEC) will develop and improve policies in order to further enhance the standards according to international practices and development.

The Higher Education Commission anticipates that Higher Education Institutions will work towards achieving excellence through continuous improvements in their quality and effectiveness. The Higher Education Commission has taken a significant initiative of performance based Institutional recognition and started up with primary step of outlining the *Performance Evaluation Standards for the HEIs* to be used for the purpose. A total of eleven standards are defined in this document and each one of these articulates a specific dimension of the institutional quality. Thus, all the eleven standards are equally important to be met by the HEIs to achieve the recognition status as a certification to quality provision in higher education.

A.2   What is an HEC recognized Higher Education Institution (HEI)?

An HEC recognized HEI meets the following standards[2]:

- Has defined a clear mission statement appropriate to higher education;
- Is driven by defined goals translating mission and appropriate to an institution of higher education;
- Has established processes[3] and procedures to accomplish its mission and goals;

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[2]Standards for Accreditation Commission on Institutions of Higher Education, New England Association of Schools and Colleges, 2005.

[3]Characteristics of Excellence in Higher Education, Middle States Commission on Higher Education, 2002.

- Has acquired and organized all necessary financial and human resources to realize its mission and subsequent goals;

- Has the ability and will for continuity of achievements towards its goals and objectives with stability;

- Has implemented the eligibility conditions, criteria and standards laid down by the Higher Education Commission, Pakistan to assure the quality of education imparted by the HEIs;

- Has demonstrated a quality assurance system like QEC (Quality Enhancement Cell) or a similar system to continuously evaluate and improve the quality standards required for international compatibility.

A.3   Introduction

Institutional recognition is both a status and a process. It should provide a public certification of acceptable minimum quality as well as the opportunity and incentive for self-improvement in the recognized Higher Education Institutions.

It is to be understood that an institution may be stronger than others while serious weaknesses in a particular area may negatively affect the institution's recognition status. Also, meeting institutional performance evaluation standards will not assure the quality of its academic programs, courses or graduates. These standards are primarily qualitative criteria that assess the institution's current state of affairs in terms of quality and its effectiveness. A significant variation in policies, practices and resources of an institution from pre-set *Performance Evaluation Standards for the HEIs* developed by the Higher Education Commission, needs clear justification on their appropriateness, consistency with institution's mission and objectives, and effectiveness in meeting the aim of the HEC's standards.

Self Assessment is an essential element in achieving the HEC recognition. The guidelines for Self-Assessment have already been published as "*The Manual for Self-Assessment*"[4] for the purpose of implementation at department/program level in the universities. Quality Assurance Agency (QAA) of the HEC is looking after the follow up and capacity building process required for the Self-Assessment System to be in place

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[4] Self Assessment Manual, Dr. Abdul Raouf, UMT, Lahore

effectively at program level in all Universities and HEIs. The whole process of Internal Quality Assurance (IQA) is led by the QECs established under the umbrella of QAA of HEC at the universities and subsequently become an integral part of universities concerned. The QECs also work in coordination with accreditation councils to streamline the process of prgramme level accreditation. However, the institutional performance evaluation has many more dimensions with greater complexity. This document defines the institutional performance evaluation standards ensuring HEC recognition for the HEIs. The institutional performance evaluation for the purpose of recognition comes under purview of the HEC whereas this process is informed by the results of IQA practice done by the HEIs through adoption of the "University Quality Standards and Assessment Model[5]" provided as Annex with this document. The results of *University Quality Standards and Assessment* will correspond to the process of *Performance Evaluation Standards for the HEIs* to be conducted by the HEC in line with best practices of External Quality Assurance (EQA).

The Higher Education Commission aims to work for continuous improvement of these standards and their effectiveness for the purpose. The HEC through QAA will review individual institutions periodically based on the performance evaluation standards defined here. These periodic reviews will be conducted through a combination of On-Site Evaluation by peer reviewers and Periodic Review Reports. Whereas On-Site Evaluation for the purpose of institutional performance evaluation will be done by the visiting teams constituted by QAA, while the peer review reports of those visits and *University Quality Standards and Assessment* studies conducted internally by the HEI, will provide basic information for institutional performance evaluation. HEC recognition of an institution will be awarded / confirmed only as a result of successful periodic reviews and evaluation through assessment of institutional achievements against pre-defined standards including mission and goals of the institution.

The visiting teams will undertake the institutional performance evaluation process against the eleven standards defined here.

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[5] University Quality Standards and Assessment, Dr. Abdul Raouf, UMT, Lahore

The authors acknowledge that format and description of this booklet has benefitted from the Standards for Accreditation, Commission on Institutions of Higher Education, New England Association of Schools and Colleges, 2005 and the Middle States Commission on Higher Education, 2006.

A.4   Performance Evaluation Standards for the HEIs at a Glance

Various performance evaluation standards outlining major areas to be focused on by the HEIs for evaluation of their effectiveness and future development are given below:

Standard 1:   **Mission Statement and Goals**

Standard 2:   **Planning and Evaluation**

Standard 3:   **Organization and Governance**

Standard 4:   **Integrity**

Standard 5:   **Faculty**

Standard 6:   **Students**

Standard 7:   **Institutional Resources**

Standard 8:   **Academic Programs and Curricula**

Standard 9:   **Public Disclosure and Transparency**

Standard 10:   **Assessment & Quality Assurance**

Standard 11:   **Student Support Services**

A.5   Significance of Totality for Institutions & Evaluators

The totality created by fundamental elements and other relevant information regarding institution under evaluation is significant for institutions and evaluators in order to make correct and informed decisions. Fundamental elements, context statements and evidences of fulfillment of standards should not be used separately as check lists for decision making. For instance, an institution may not possess evidence for a specific fundamental element but demonstrate the fulfillment of that standard through alternative information and analysis. Therefore, totality of the analytical concept is significantly important to follow the best practices of decision making for

institutional performance evaluation. Another thing is also important to understand that these standards are minimum requirement for an HEC recognized institution however; HEIs may raise these standards up to desired level to achieve excellence in academia.

SECTION B

INTRODUCTION TO INSTITUTIONAL PERFORMANCE REIVEW

The institutional review process that consists of a **University Portfolio Report** and a panel visit provides your institution with performance indicators which will permit you to look at the university critically, to have input from an external review team, and to take the necessary steps towards continuous quality improvement. This review process which will take place periodically is of vital importance to all universities that desire to meet international standards.

In order to achieve the desired objectives of IPE Reviews, the university must provide the answers to the questions listed in conjunction with each of the standards as well as the university data which is requested by the university. This University Portfolio Report needs to be prepared before the visit of IPE Review Panel. The IPE Review Panel will be at university for three days.

The IPE Review Panel and HEC fully respect the need for confidentiality and discretion will be used in the exit interview and the final report. That being said, this review will be a waste of everyone's time if there is not honesty and candor on the part of both the university and HEC. The purpose of such a review is not to bestow praise nor is it just to find fault. It is to be an honest appraisal of where there are existing strengths and where there is a need for improvement. That appraisal is a joint effort. Ultimately the university is fully responsible for its own functioning. External peer review is vital to a high quality university that seeks to nurture a culture of continuous appraisal and improvement. That is our joint goal.

INSTITUTIONAL PERFORMANCE PROCESS

Pre Visit Process

a) <u>**Role of University**</u>

  i.   The university has to prepare a "University Portfolio Report" (UPR). It comprises of information about the university mostly based on answers to questions that have been provided at the end of each standard in the manual. It also mentions where the supporting documents that may be needed by review panel are placed in the room set aside for them. Each standard will be its own chapter in the UPR.

  ii. A separate room is required for IPE review panel, where all the documents related to University Portfolio Report, is placed.

  iii. There is no need to prepare the photocopies of the documents/evidences as no documents will be taken out of the room.

  iv. The room for the IPE Review Panel will have a table for each standard and the folders containing the information are to be clearly numbered. Sufficient office space within the room for all Panel members is to be provided.

  v.   Proper electrification for laptops/computers, internet facility and printout facility are also required in the room.

  vi. In addition, any written reports, power-point presentations, or other information that IPE Review Panel have not requested but that the administration feels would be relevant to our review should be placed in the room.

  vii. One soft copy and six hard copies of the University Portfolio Report will be provided by the university.

b) Role of IPE Review Panel

The original documents examined by the Review Panel and all discussions conducted with officials/students will be confidential. Individual names will not be mentioned in the report.

c) Role of HEC

The focal person/s designated by university to deal with IPE review would be provided assistance by HEC, if required. This would involve the focal person/s visiting HEC at Islamabad. Alternatively, HEC representative would be available to visit the University for meeting the focal person/s for a single day.

Review Process

a) Schedule

DAY #1

- Meet with the Vice Chancellor (9:00-9:30 AM)
- Review Panel works in room (9:30 – 5:00 with lunch provided in the room at 13:00)

DAY#2

- Panel meets for review and discussion (9:00-10:00)
- Panel meets with Chairmen / heads of departments (10:00-11:00)
  (List will be provided by IPE Review Panel)
- Review Panel meets with Asst. Professor/lecturer (11:00-12:00)
  (List will be provided by IPE Review Panel)
- Panel meets with the Post Graduate, Graduate and Under graduate students (one from each selected department) (12:00 – 01:00)
- Panel meets with the Registrar, Head of Finance, Director P & D and controller Examination (01:00-03:45)
- Review Panel work privately to work on putting together the questions and draft of the report (16:00-17:30)

Review Panel may request additional information and/or may request a meeting with other senior officers in order to seek clarification regarding certain points in the University Portfolio Report.

DAY #3

- Visits to selected class room facilities, laboratories and library (9:00-10:00)
- Review Panel continues its work (10:00-02:00 with working lunch)
- Exit interview with VC. It is on the discretion the VC to whom he/she wishes to be present for the exit interview (02:00-03:00).

a. The 1st Draft of IPE Review Report

- Draft Report will be prepared as per the format approved by the competent authority at HEC.
- The IPE Review Panel members will complete the draft of the report before the exit interview with the Vice Chancellor / Rector / President of the university.
- In the exit interview, Review Panel will share the salient features of review report with the Vice Chancellor / Rector / President (and/or his team).

Post Review Process

- Team Leader will submit the report to QAA.
- QAA will submit the report to competent authority at HEC for approval.
- After the approval, IPE review report will be sent to university to share with university Syndicate / Board or Governors and placement on university website.

- **SECTION C**

Review Panel

IPE review panel will be constituted by HEC. There will be one team leader along with the other members. The IPES review panel members will not be assigned to their own institutions in order to ensure the transparency and there should not be any conflict of interest.

The review panel members undertake the evaluating role, bringing latest pertinent experience in higher education and teaching, professional practices and relevance to national goals.

The recognition and respect by the academic staff of the universities and credibility as peer is important for the success and continuity of the process.

Guidelines for university

1. Please provide the answers to all of the questions even if your answer is "not applicable."
2. Please provide the evidences against each question of each standard.
3. Please provide all of the documentation requested and place that documentation on tables in the room where the Review Panel meets.
4. There should be a separate table for documentation of each standard.
5. Documents should be placed in the folders and each folder will be marked as standard #1, folder #1,
6. Please indicate the reference of the folder number with the answers to questions. In some cases the same documentation will be used for several standards and several questions. Just indicate in the answer in which folder the documentation can be found.

Please provide the following University-wide data and place it as the first section of University Portfolio Report.

1. Department and academic program wise Student/faculty ratio
2. For each department, the average number of students per class.
3. Total enrollment; enrollment by major; enrollment by department; number of full-time students and part-time students in undergraduate programs and in graduate programs
4. Number of applications and the number of students enrolled in undergraduate and graduate level last three years. (2010-2011, 2011-2012 and 2012-2013 sessions)
5. Retention rate from first to second year; second to third year; third to fourth year – undergraduate programs and graduate programs.
6. Department wise / designation wise Number of full-time faculty; number of part-time faculty, on contract faculty, visiting faculty and adjunct faculty with qualification.
7. Designation wise list of Average salary for faculty on tenure track and without tenure track.
8. Total amount of financial aid given to the students from institutional funds; % of expense budget for last two financial years.
9. Average financial aid for first year students.
10. Net tuition rate (tuition income – institutional financial aid); % of revenue budget
11. Endowment assets per student (amount of endowment divided by total number of full-time equivalent students)
12. Total expense per student (educational and general expenses divided by the number of full-time equivalent students
13. % of credit hours for each undergraduate and graduate program.

14. Prepare information on % of each source of revenue – tuition and fees, government grants for operations; restricted grants from sources; etc. In a second chart, give the % for each source of expense – educational and general, auxiliary, etc.

Standard 1:   <u>**Mission Statement and Goals**</u>

1   Statement of Standard

The institution's mission and subsequent goals define its purpose within the context of higher education and indicate that to whom the institution serves and what it intends to accomplish. The goals stated by the institution are fit in broader aims of higher education and are consistent with its character, and implemented in conformity with the standards set by the HEC. The mission drives institutional activities conveys the importance of quality standards to be met for its effectiveness and continuous improvement.

1.1   Context

The mission is developed through involvement of the institution's community, and approved by its governing body. It defines the institution, its scope, characteristics and individuality as an academic institution. The basic purpose of establishment of the institution should be reflected in the mission statement.

Moreover, the mission of an effective institution to be is well translated and articulated through a set of goals to be achieved throughout the whole academic body with substantial participation of management, faculty, students and the community. The mission and goals are developed through a consultative process conducted amongst all stakeholders and the governing body of the institution.

1.2   Fundamental Elements of Mission and Goals

An effective mission and consistent goals have the following essential factors:

- Guide management, faculty, staff and governing bodies in decision making across the board in its resource allocation and academic program development etc.
- Support scholarly and academic activities at all levels appropriate to basic purposes of the institution.

- Developed through consultation with all concerned who are responsible for implementation or facilitation of the accomplishment of these goals.
- Passed through an ongoing process of periodic reviews and formal approval.
- Publicized and shared broadly with all concerned
- Relevant to internal, external and community contexts

1.3   Evidence[6] of Fulfillment of Standard

- mission/ vision statement/ documents
- analysis reports of the process adopted for development of mission and subsequent goals and periodic reviews of mission and goals
- analysis reports of the process of application of these goals and coordination for implementation
- Review reports of processes adopted to disseminate the mission and goals to faculty, students and members of the governing body and efforts to maintain the institution's commitment to the mission amongst members of the institution.

1.4   Institutional Effectiveness

The institution demonstrates clarity and relevance of mission and conducts periodic reviews for evaluation of the content[7] and relevance of its mission and goals and to assess their effectiveness in guiding planning and resource allocation. The evaluation results are periodically reviewed so that the institution demonstrates that it has responded to reviews to improve and further enhance institutional quality and its relevance to national needs.

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QUESTIONS:

1. When did the university conceive of and write the mission? When and whom was it approved?

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[6]Characteristics of excellence in higher education Eligibility requirements and standards for accreditation, Middle States Commission on Higher Education, 2006
[7] Standards for Accreditation, Commission on Institutions of Higher Education, New England Association of Schools and Colleges, 2005

2. Who was involved in the writing of the mission?

3. Has the mission been reviewed and renewed since the first writing and approval? If so, when and by whom? When it was last reviewed?

4. Where are the problems regarding living up to the mission? What is the university not doing that it should be doing to realize more fully its mission and goals?

5. How is it used to: a) guide personnel decisions? b) Determine program/course offerings? c) Guide budget decisions?

6. How well do you believe that the mission clearly defines the purposes of the university? Please explain.

7. How well do you believe the mission and goals delineate what the university intends to accomplish? Please explain.

OTHER SUPPORTING MATERIALS ON THE TABLE FOR STANDARD ONE:
- *Please provide a copy of the recent mission statement, vision and goals and objectives of the university.*

Standard 2:   <u>**Planning and Evaluation**</u>

2   Statement of Standard

The institution practices a process of planning and evaluation appropriate to its needs and helpful to accomplish its mission and objectives. The institution defines its planning and evaluation priorities and practices them effectively.

2.1   Institutional Planning

Institutional planning is a disciplined, coordinated, systematic, and sustained effort to achieve the institution's mission and goals through decisions and actions that shape and guide what the institution is, what it does, and why it does it, with a focus on the future.[8]

2.2   Evaluation

The institution regularly evaluates its actions and achievements in conformity with its mission and goals. The evaluation results provide a fair and systematic set of information to help in intuitional improvement with emphasis on academic programs. Evaluation enables an institution to verify with reliable means its achievement in accomplishing its goals and objectives inside and outside the classroom both in a quantitative and qualitative manner.

The results of the evaluation inform about the institutional planning effectiveness in relation to resource allocation programs and learning outcomes as well as future development.

2.3   Context

The Institutions face the challenge of maintaining a balance among its goals, directions from the Government, and expectations of all those to whom it is accountable, and the availability of resources. The growth and development of an effective institution depends upon a rational and consistent inbuilt process of self-

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[8] Characteristics of excellence in higher education Eligibility requirements and standards for accreditation, Middle States Commission on Higher Education, 2006

assessment and planning. The nature and quality of planning conducted by an institution is considered to be the best indicator of its effectiveness which is further linked up with its capability to achieve its own goals and flexibility to simultaneously respond to the dynamics of the prevailing environment. Thus, with efficient planning, along with clarity of mission and strategic thinking, an institution continues to meet its purpose and goals, while creating equal opportunity for further development.

Planning is a coordinated process to achieve institutional, operational and department level goals while maximizing resource allocation and utilization as well as benefiting from self-evaluation. It helps the institution decide on appropriate mechanisms to assess resource demands, prioritization for allocation of available resources, means to generate desired resources, financial control, utilization of allocated resources and elimination of conflicts about resource allocation.

2.4   Fundamental Elements of Planning and Evaluation[9]

An HEC recognized institution is expected to conduct a process of planning which is:

- based on the institution's mission, goals, activities, future engagements and evaluation results
- clearly communicated to all concerned participants and incorporates the results of self-assessments
- based on well-defined decision making process and authority
- based on assignment of responsibility for quality improvements and accountability
- responsible to maintain the records of success in implementing the planned goals and for the subsequent results of implementation
- assessed periodically focusing on the effectiveness of planning, resource allocation, institutional growth and development

2.5   Evidence of Fulfillment of Standard Two

- systematic planning process and its continuity

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[9] Characteristics of excellence in higher education Eligibility requirements and standards for accreditation, Middle States Commission on Higher Education, 2006

- analysis reports of institutional culture for effective planning which assures campus wide participation of faculty, staff, students and administration

2.6   Institutional Effectiveness

The institution systematically and periodically evaluates its effectiveness in terms of its planning and evaluation activities on a continuous basis in order to achieve the desired goals. The 'results of evaluation' are used for further enhancement of the process of implementation of its mission and objectives.

QUESTIONS:

1. Describe your formal systems of planning and evaluation. What committees are there – with what composition? How often do they meet? What is the timeline for the plan? Who approves the final document? Who receives a copy of it?
2. What other planning documents do you have? A development plan for facilities? A financial plan? Please describe for each of these documents the process by which they are generated and reviewed. Please provide copies for 2011-2012; 2012-2013.
3. How are the plans incorporated into the budget? Please provide copies of the budgets for 2012-2013and highlight for the peer review panel the ways in which the budget related to the plans.
4. How do you use the plans? To set goals? To set budget priorities? etc.?
5. When are the plans evaluated and updated? How?
6. Is there a campus master plan? A Life Cycle Management plan for the University infrastructure? If so, who was involved in putting it together? Who approved it? How often is it updated? Please provide a copy of the campus master plan.
7. Is there a prospectus? If so, please provide it.
8. Please list PC-I/PC1-IV for 20011-2013.
9. Are there any other plans? If so, please provide copies along with the dates when these plans are updated as well as by whom. Please give the name of the body the gives the final approval.

10. For committees involved in the planning process, please provide the lists of members, the agendas and the minutes of the meetings in 2011-2012; 2012-2013

11. Please provide any other documents related to the planning processes.

OTHER SUPPORTING MATERIALS ON THE TABLE FOR STANDARD TWO:

- *Copies for 2011-2012, 2012-2013 and 2013-2014 of development plans, financial plans.*
- *Copies of the TORs for all committees involved in planning – strategic, financial, development.*
- *Please provide minutes of all meetings where the strategic plan is approved and where the financial plan is approved at the level of the Syndicate and the Senate.*

Standard 3:   Organization and Governance

3   Statement of Standard

The institution has a governance system that facilitates the fulfillment of its mission and goals and strengthens institutional effectiveness and integrity. The institution creates and maintains an environment which enables teaching- learning service and scholarship that helps in developing a research culture. It assures provision of support adequate for the appropriate functioning of all programs across the organizational system.

3.1   Organization

The institutional structure facilitates the optimum use of available resources, development of an enabling learning & research environment, excellence in scholarship and quality improvement.

3.2   Governance

The governance system of an institution clearly defines the roles of different tiers of institution in policy development and decision making. The governance structure includes an effective governing body with desired autonomy to assure and further strengthen the institutional integrity and helps in the process of fulfillment of its responsibilities for policy consistency and resource development aligned with the mission of the institution.

3.3   Context

Governance provides the means and system through which responsibilities and authority are assigned, delegated and shared in an enabling environment to assure harmony and mutual support. Governance aims at strengthening institutional ability to realize its mission and goals in the most effective manner for its greater benefit and particularly those of its students. Different tiers of collegial governance such as faculty, administration, staff, students and the governing body support each other to achieve the institutional mission and objectives in an appropriate manner. An efficient governance system demonstrates participatory approach that allows open discussion

of the issues concerning mission, planning and resource allocation by those who assume responsibilities for respective activities.

The governing bodies of an institution should have sufficient expertise and independence to safeguard the integrity and quality of the institution and to lead the institution towards accomplishment of its mission. The governing body assumes the role of defender of the institution and advocates for its quality with accountability where and when required. Willingness of a governing body to assess its effectiveness periodically is also an important indicator of good governance in academics.

3.5 Fundamental Elements of Organization and Governance

An HEC recognized HEI is assumed to have:

- Regular reviews of institutional funding and grant activities including public and self finance arrangements.
- A governance system led by a governing body capable of guiding the institution to accomplish its mission and safeguarding the public interest. The governing body should include adequate expert members.
- A process to resolve or prevent the conflict of interests within the institution.
- Opportunities for student participation or input in decisions that affect them.[10]

3.6 Evidence of Fulfillment of Standard

- Documents on governance such as constitution, byelaws, enabling legislation, charter etc.
- Establishment of a governing body and the selection process for members etc.
- Periodic assessment reports on effectiveness of the organization and its governance etc.
- Conflict of interest policy.
- Record of meetings of internal bodies to deal with relevant matters.
- Documentation of students' participation in the governance system.

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[10]Characteristics of excellence in higher education Eligibility requirements and standards for accreditation, Middle States Commission on Higher Education, 2006

- Reports of responsibilities of governing body members or governing components and records of their meetings and other official activities.

3.7 Institutional Effectiveness

The effectiveness of the institution's organizational structure and governance system is improved through reviews and assessments on periodic basis. These evaluation results are conveyed to administrators and faculty members and integrated in planning for the purpose of quality improvement and increased effectiveness of governance practices at the institution.

QUESTIONS:

1. Please provide a report with the names of offices responsible and the systems used for meetings of the senate; the syndicate; the Board of Governors. For each, please describe how, to whom and when the minutes are circulated. What are the SOPs of compliance for the minutes of each of the bodies and what is the name of the responsible office for each of body.

2. If you are a private not-for-profit or proprietary university, please describe in detail your governance system – the various committees, councils, etc. and provide TORs for each.

3. Please provide a report concerning emergency powers: Have you used emergency powers in 2010-2011; 2011-2012 and 2012-2013? If yes, please list the cases in which the emergency powers were used; provide the letter/notifications regarding the use of emergency powers; the SOPs for the use of the powers; any other documents which recorded the use of the emergency powers and the names of the committees/bodies regarding which emergency power was exercised in 2010-2011; 2011-2012 and 2012-2013.

4. Who reports directly to the Vice Chancellor? How often do they meet as a group? Are there minutes of those meetings? How are decisions taken – consensus, as advice to the VC who makes the decision that will go to the statutory bodies?

5. Discuss your process for avoiding conflict of interest at the level of each statutory body.

6. If a public university: In what ways would the functioning of Syndicate and Senate be in line or not in line with the Federal/Provincial University ordinance? Please be specific.

7. Please provide the dates of meeting and dates of distribution of minutes of the meetings for the last ten years:

Dates of meetings and Dates of Minutes
Board of Governors, Senate, Syndicate, Finance and Planning, Senior Management Team, other such statutory bodies that might appear in your charter
If you are private, do the same with your governing structures.

OTHER SUPPORTING DOCUMENTS ON THE TABLE FOR STANDARD:
- *All handbooks – for faculty, for staff, for students*
- *All documents where the university calendar is published in 2010-2011; 2011-2012 and 2012-2013.*
- *The University Act and university statutes with all amendments.*
- *An organizational chart and the date it was published*
- *A list of the university's statutory bodies and their TORs with all amendments.*
- *2010-2011; 2011-2012 and 2012-2013 copies of meeting notifications, agendas and copies of minutes for each of the following: for the Senate; for the Syndicate; for the Board of Governors.*
- *University catalogue*
- *Minutes of Selection Committee for 2010-2011; 2011-2012 and 2012-2013*
- *Minutes of Finance and Planning Committee for 2010-2011; 2011-2012 and 2012-2013*
- *Provide a policy on conflict of interest.*

Standard 4: <u>**Integrity**</u>

4   Statement of Standard

In the management of its affairs, conduct of its programmes and its dealing with students, faculty, governing bodies & external agencies involving the general public, the institution adheres to high ethical standards providing support to academic freedom. The institution intends to practice and exemplify the values and ethical standards articulated in its mission.

4.1   Context

Integrity is the defining attribute of an effective higher education institution and can be manifested through the conduct of institution within each of the other standards. Integrity of an institution is demonstrated through the manner in which it sets its goals, selects and retains its faculty, admits students, safeguards the interests of its students, develops curricula & programmes, shows sensitivity to equity and diversity issues, pursues the research and service goals, and serves the society. Institution should keep its promises, commitments, and represent itself truthfully.

Higher Education Institutions should illustrate those qualities within their working environment which they intend to impart to their students. These qualities may include justice, equity, truthfulness, and the respect for human dignity and diversity.

The same adherence to ethical standards and conduct should be offered to all members of an institution including distance learning programmes, subsidiaries, or other arrangements. Academic and intellectual freedom provides opportunities of information sharing on respective issues being a scholar. The self assessment reports of an institution developed through the process defined in the *University Quality Standards and Assessment* provide the basis for institutional performance evaluation conveying results to facilitate evaluation decisions therefore, relationship between institutional performance evaluating agency (HEC) and respective institution should be of mutual respect, trust and confidence. The institutions should realize their responsibility to provide fair, adequate and timely information desired for the purpose

while accreditation process developed by the HEC should not dictate the mission and goals of the institutions.

4.2   Fundamental Elements of Integrity

An HEC recognized HEI reflects the following integrity attributes:

- A recognized institution shows high standard of integrity on the basis of fair, transparent and impartial practices for hiring, retention and dismissal of employees.
- an efficient and widely published system to address the grievances of students.
- prevention of conflict of interests and if happens, an efficient system to address the conflict of interest.
- strong ethical practices and respect for individuals.
- equitable and appropriate treatment with all parties and individuals while considering planning and policy making for practicing by the institution.
- inbuilt practices of safeguarding intellectual property rights.
- enabling environment for students, faculty, administration and other university staff promoting mutual respect for each other's ideas, background and prospective etc.
- practicing integrity and openness in public relations, announcements and all other forms of information sharing with public.
- periodic assessment of policies, implementation processes and practices reflecting integrity and availability of these factual reports.

4.3   Evidence for Fulfillment of the Standard Four

- reports of policies regarding public announcements, press releases explaining institutional position on various issues concerning society at large and students and parents in specific.
- review and analysis reports of consistency of practices of recording student grades/scores on their transcripts and re-take of examinations system.
- review reports of tenure and promotion statistics.
- Faculty handbook and its comprehensiveness to guide on issues of promotion, compensation, tenure and grievance addressing procedures etc.

4.4 Institutional Effectiveness

Integrity of an institution is strengthened through consistency of periodic assessments of policies & processes conveying high ethical standards observed by the institution. The integrity is not only assured but also protected with constant improvements in systems and practices by the institutional community members.

QUESTIONS:

1. **Is there a grievance procedure for faculty? For students? For staff? Please provide copies of each.**

2. **Describe your system for monitoring ethical standards in research/scholarly work.**

3. **Discuss what you are doing to combat/eliminate plagiarism.**

4. **What is your policy regarding intellectual rights?**

5. **Do you have a written policy concerning conflict of interest? If so, who or what statutory bodies are covered by the policy? Please describe the mechanisms to safeguard against conflict of interest? Provide the copy of conflict of interest policy.**

6. **Please write a statement describing how you insure fairness for all individuals in your policies and procedures. What mechanisms do you use? Give specific examples.**

OTHER SUPPORTING MATERIALS ON THE TABLE FOR STANDARD FOUR:

- *Please provide the notifications you shared within the university that related to the implementation of HEC's Plagiarism Policy.*
- *Do you have usage reports for turn-it-in plagiarism for 2012-2013. If so, please provide.*
- *Please provide your policy on conflict of interest*
- *Copies of all grievance procedures*
- *Provide minutes of any meetings dealing with conflict of interest – at the level of the Syndicate / Board of Governors? The academic council?*
- *Please provide minutes of the Standing Committee on plagiarism.*
- *Please provide SOPs for resolving conflicting issues. List any cases which have been received and resolved during the last two years?*
- *Please provide a copy of your policy on intellectual rights.*

Standard 5: <u>**Faculty**</u>

5 **Statement of Standard**

The institution hires, retains, sustains and develops a faculty that is suitable to the accomplishment of its mission. Faculty qualifications, numbers, and quality oriented performance is sufficient to achieve the institution's mission and objectives. Faculty offers academic programmes with competence and assumes related responsibilities.

5.1 Context

Faculty is primarily responsible for teaching, research, scholarship and overall students learning contributing substantially in developing academic, professional, research and service programs of an institution corresponding to its mission and goals. Centre of all activities of the faculty at each institution is teaching and learning and they are committed to quality provision in all student aspects.

The old traditional role of the university faculty is being replaced with responsibilities of qualified professionals who are qualified by virtue of education, training, experience and other appropriate skills. The professional qualifications should have consistency with expected academic outcomes, standards of quality and mission of the institution. Adequate number of faculty and professionals selected through certain selection criteria is important for smooth delivery of programs and services. The selection criteria for appointment of faculty at different levels, promotion criteria and periodic faculty evaluation practices should be defined clearly. Enlightened institutions encourage faculty research and professional development for consistency of quality standards.

5.2 Fundamental Elements of Faculty

An HEC recognized HEI is expected to demonstrate the following attributes as fundamental elements of faculty:

- faculty members and other professionals of the institution are appropriately qualified, trained and prepared to assume the assigned roles and they are adequate in numbers
- curricula is designed, maintained and updated by trained and qualified faculty and professionals working at the institution
- faculty, other professionals and even teaching assistant staff demonstrate excellence and continuous professional growth in respective fields contributing to accomplishment of the mission of the institution
- Adherence to respective criteria and procedures of faculty appointment, promotion, supervision, evaluation, tenure, dismissal etc.
- well-articulated and implemented criteria for evaluation of all those professionals and faculty members who are responsible for academic programmes
- Well-developed mechanism of institutional support for a consistent faculty development and advancement in the context of teaching, research, scholarship and service.

5.3   Evidences of Fulfillment of Standard

- Documented institutional practices for faculty appointment, tenure standards & procedures, supervision, promotion, evaluation for both regular/full time, part time, adjunct and other faculty
- dissemination of evaluation criteria and procedures
- review reports of teaching effectiveness, analysis of faculty peer review reports for teaching, scholarship and service
- records of faculty productivity in scholarship of teaching and research in the creation of knowledge, consistent with the mission of the institution
- analysis reports of correlation between faculty profile & performance and student learning outcomes
- assessment reports of faculty development initiatives, level of faculty satisfaction and training

- analysis reports of graduate outcomes and integration of results into faculty improvement policies

5.5   Institutional Effectiveness

The institution periodically evaluates the adequacy of the faculty and support provided to the faculty for its effectiveness in teaching, scholarship, research and service consistent with institutional mission. These evaluation results are used to improve the quality of faculty and its contribution to accomplish the mission of the institution.

QUESTIONS:

FACULTY APPOINTMENTS
1. Describe how you have implemented the appointment criteria of HEC? If not, what have been the obstacles to the implementation?
2. Please describe the faculty selection process.

FACULTY EVALUATION AND DEVELOPMENT
3. Teaching – Evaluation and Improvement
   - What are the criteria used for evaluating teaching? Where are the written? How often are they revised? Who does the evaluating?
   - Are there classroom observations? If so, please provide several written reports from several departments concerning the observations? How many departments use classroom observation for evaluation and teacher improvement?
   - Do students evaluate each course? How are the evaluations written? Who collects them? Who collates them? Who meets with the faculty member to review them? Are they used to evaluate the faculty member and used in promotion, tenure and merit pay? Do you use the QEC form?
   - What other means does the University use to evaluate and improve teaching?
   - Is the faculty given training in writing a syllabus? Does the administration require a syllabus for each course? Where are the syllabi kept? How often are they reviewed and updated.

4. Research
   - Please list the department-wise research projects and/or research funding earned by the faculty in 2010-2011, 2011-2012 and 2012-2013.
   - Please provide a department-wise list of publications and impact factor (if, any).

5. Service to the university and to external communities
   - Who is responsible for documenting service to the university? Is service to the university (serving on committees, involvement in fund-raising, service on task forces) used in evaluating faculty for promotion and tenure and merit pay? If so, how and with what weight?
   - Who and how is service to external communities documented? Is this used as a criterion for evaluating the faculty member for promotion, tenure, merit pay? How and with what weight?

6. Professional development is central to faculty's keeping up to date. Please provide the following information:
   - Please provide a department-wise list for workshops/seminars/conferences attended and/or made a presentation by each faculty.
   - What offices are responsible for faculty professional development? How is faculty professional development documented?
   - How is the professional development activities of faculty members used? For merit pay? For promotions? For tenure? For reviews after a person has tenure?
   - List the department-wise names of faculty members who have gone to foreign countries for higher studies during their employment in your university. Where and what have they studied? What degrees/diplomas/certificates/postgraduate work has been obtained?

PROMOTION AND TENURE
7. Describe in detail the process used for promotion for faculty members – to assistant professor; to associate professor; to full professor.
8. Are you using the tenure criteria set by HEC? What are the obstacles you are facing with these? By department, how many faculties are tenured?

MAINTAINING INTEGRITY
9. Please provide documentation for the process used for terminating faculty. Please list by department faculty in each of the following categories:

   - Those who have resigned and list the reasons for each.
   - Those who have been deputed and list the reasons for each.
   - Those who have been terminated and list the reasons for each.

10. If faculty members are suspected to have plagiarized, changed grades, or in any other way comprised the ethics of the institution, how is this handled?

11. How are faculty salaries and benefits set? Who sets them? Who approves them? Provide any data you have that shows comparable salaries and benefits at other institutions that you believe compete with you.
- Does the University give merit pay? If so, please describe the process.

PERSONNEL FILES
12. Who keeps the faculty personnel files? Who has access to them? What is contained in the files?

FACULTY SATISFACTION
13. What is the system you use to assess faculty satisfaction? Please provide copies of the most recent surveys that have been summarized? What office(s) hold the responsibility for assessing faculty satisfaction? Do you use the QEC forms?

Any other related documents and role of QEC
1. Please provide anything you feel would advance your understanding and the Review Panel understands related to faculty. In particular, please address and provide evidence for any other ways QEC is of help.

OTHER SUPPORTING DOCUMENTS ON THE TABLE FOR STANDARD :
Faculty Appointments:
- *Copies of notifications concerning the faculty appointment criteria*
- *Minutes of the approving statutory bodies*
- *A copy of the criteria that the University follows for faculty appointments*
- *A letter to a full-time faculty member as well as one for a part-time faculty member regarding his/her appointment for 2012-2013 from each department.*
- *Any other related documentation regarding faculty appointments*
- *Provide copies of the advertisements for faculty positions published in 2011 and 2012 for both print and electronic media.*
- *Provide the documents with criteria for appointments and note to whom the documents have been sent.*
- *Please provide the meeting notifications, the agendas and the minutes for each of the Selection Board meetings in 2010-2011, 2011-2012 and 2012-2013.*
- *Provide any other documents related to faculty selection.*
- *Please provide resumes (curriculum vitae) for each member of the teaching faculty for each department. Attached to each CV should be the names and levels of the courses this faculty member is teaching in 2012-2013; the*

number of years this faculty member has been employed. Do you use the QEC form from HEC? Please provide the form you use.

- *Please provide us with any other reports which would indicate faculty members' qualifications for the position for which the person was hired.*

Faculty Evaluation and Development:

- *Please provide the most recent summary form for at least five departments.*
- *Please give samples of student evaluations from each department.*
- *Please provide one copy of a syllabus from each department.*
- *Please provide any other related documents the university wishes to provide concerning faculty professional development.*

Tenure and Promotion

- *Provide documentation for a promotion to each level for three departments – each under a different dean. What are the obstacles/issues that the faculty members raise with the university regarding promotion?*
- *Please provide a curriculum vita for each faculty member your university has tenured.*

Standards 6: **Students**

6 **Statement of the Standard**

The Institution pursuits to admit students whose academic interests, educational goals, potentials and abilities are compatible with its mission and seek to retain them through best provisions and exploration for accomplishment of their goals. The institution holds integrity while interacting with its students.

6.1 Context

The best measure of institutional success is the success of its students during and after their enrollment in the Institution, as students are the prime beneficiaries of the HEIs. The institution ensures quality of admission practices for all kind of students including transfer, graduate, non-degree, part time, self-finance etc. and provides additional support services to facilitate them in accomplishment of their educational goals.

The criteria of admission, retention, recruitment, and academic success vary according to student needs, mission, objectives & structure of the institution. However, admission criteria and practices are significant for retention and success of students. Periodic review of admission criteria and policies based on the information provided by analysis of student persistence and attrition data.

6.2 Fundamental Elements of Student Admissions

An HEC recognized institution maintains the following standards for admission and retention of students:

- Admission criteria and policies available to inform the prospective students and parents to make right decisions
- Harmony of admission policies and practices with the institutional mission and supportive to accomplishment of mission successfully
- Complete and accurate information regarding academic programmes and other educational offerings

- Comprehensive information on institution-wide assessment results and statements of expected learning outcomes to inform the prospective students
- Information and appropriate advice regarding financial aid, scholarships, grants, loans and refunds etc.
- Policies and procedures for credit recognition and transfer of credits etc.
- Student success assessment on ongoing basis to evaluate the match between admitted student attributes and goals of the institution and programs and reflection of these assessment results in further improvement of admission and retention policies.

6.3   Evidences of Fulfillment of Standard Six

- Review reports of enrollment plan for marketing, advertising, admission and retention
- Periodic Review reports of admission catalogs, views books, web-statistics, and other relevant material
- Evidence of support programs and services for low achieving students to improve their efficiency in chasing their educational goals and expected learning outcomes
- Periodic review reports of information provided on financial aid programs, scholarships and grants etc.
- Evidence of utilization of review reports of financial aid component to further improve these and to assure the public information sharing
- Evidence of utilization of review report results to further improve the policies of admission, retention, persistence etc.
- Evidence of utilization of attrition data and drop out analysis reports to investigate the reasons and to improve the situation for these students
- Feedback from Course Evaluation, Teacher Evaluation, Alumni Survey and Employer Survey.

6.4   Institutional Effectiveness

The institution evaluates its effectiveness systematically and consistently in admitting and retaining students and appropriateness of its student services in achieving the institutional objectives. These evaluation results are further utilized to revise the institutional goals and services and to realize the mission with enhanced level of student satisfaction.

QUESTIONS:

1. Who developed the admissions policies?
2. How often are admissions policies reviewed / revised? By whom?
3. Is there a Student Guideline prepared by the university?
4. How often the students Guidelines are reviewed / updated.
5. How and where are admissions policies published and for whom?
6. How does the general public find out about admissions policies?
7. What percentage of courses listed in the university prospectus/catalogue are actually offered each year?
8. Where can on find information regarding recognition of the university and accreditation status of individual programs and recognition of university?
9. What is the credit transfer policy of the university? How many students are transferred to this institution and how many are transferred from this institution for 2010-2011, 2011-2012 and 2012-2013.
10. Please provide report of dropout of the student's development / program / semester wise.
11. What problems students encounter in registering for course that they need for graduation.
12. For each department/program: within what time frame are marked assignments/examination papers shared with students? What percentage of marked assignments are given back to students?
13. What is the policy for awarding the scholarship/financial aid to the students
14. Total amount of Scholarship/financial aid given from institutional funds; % of expense budget.

OTHER SUPPORTING DOCUMENTS ON THE TABLE FOR STANDARD:
1. Please provide a copy of all admission policies.
2. Student Guidelines / Prospectus

Standard 7: <u>**Institutional Resources**</u>

7   Statement of the Standard

The human, physical, technological, financial and information resources of an institution are appropriate, sufficient and accessible to realize its mission. The institution demonstrates effective and efficient utilization and continued development of these resources.

7.1   Context

Institutional management of resource acquirement, appropriate allocation and utilization is pivotal for planning, goals achievement, mission fulfillment and integrity. The effective use of internal and external resources plays significant role in institutional performance.

Institutional resources such as financial, physical, technological, equipment & supplies, research, staffing, and all kind of other resources should be an essential element of planning, allocation and assessment at all tiers. The institutional priorities are reflected through respective allocation of resources among various programmes, units, and individuals. The planning process conveys guidelines for decision making regarding allocation of resources, rather each plan itself provides the methodology of rational reviewing and monitoring of all respective institutional support resources.

The institution should be capable to acquire, maintain and develop the appropriate physical and technological resources such as building (rented or owned), fully equipped classrooms & laboratories, grounds, materials, student, and faculty housing etc.

While the information resources such as library and instructional technology should be capable to develop an atmosphere conducive to teaching, learning and research, capacity building/ training of faculty, students and staff is imperative to train them for effective use of library and instructional technology.

As far as the significance of financial resources is concerned, the efficiency of utilization of institutional resources is linked up with equally strong financial plan required to acquire, allocate and develop these resources. A detailed analysis of

financial data and financial plan provided by the institution should reflect that it has sufficient financial resources to acquire other resources and to realize its mission and goals within an acceptable time period.

Components of a usual financial plan include forecast of revenues, expenses, investment income and a statement of financial position at the end of a fiscal year. Preferably, the data available with the institution should be of at least two recent fiscal years and financial plan for two additional years should also be available for review.

7.2   Fundamental elements of Institutional Resources

An HEC recognized HEI demonstrates the following fundamental elements of institutional resources:

- Well developed and practiced strategies to evaluate and assess the level of availability and efficiency of utilization of institutional resources
- Policy and consistency of policies and procedures guiding the allocation of resources
- Appropriate resource allocation approach to address the needs of faculty, staff and students relevant with accomplishment of the institutional mission
- Comprehensive Master Plan and Life-Cycle Management plan encompassing the infrastructure and facilities
- Streamlined process of educational and other equipment supply, maintenance, replacement, and development according to new technological advancements which is essential to support all academic programs and research
- Efficient institutional control over acquisition, allocation, and development of resources linked with planning and consistency of policy
- Annual independent audit system with follow up mechanism to respond to any audit concerns
- Process of periodic assessment of efficient utilization of resources

7.3   Evidence for fulfillment of standard

- Review reports of institutional resources, fund raising and grant activities

- Review of Periodic reports of institutional planning, assessment and budget
- Review reports of work of various institutional committees dealing with resource acquiring, allocation or replacement etc.
- Review reports of resource availability and allocation and linkage with planning cycle
- Review reports of transparency of the system of all kind of contracts and agreements regarding resource acquiring and sharing
- Review reports of endowment policies and procedures if any
- Review reports of resource management

7.4   Institutional Effectiveness

The institution conducts periodic assessment of its physical, technological, information and financial resources in line with its mission, needs identified for present, and planned for future, based on rational planning and budget allocation. The adequacy, efficient utilization and impact of institutional resources is evaluated systematically. The results of these assessments are used for further improvement.

QUESTIONS:

RECORD OF ASSETS

ESTABLISHMENT OF QEC

DIGITAL LIBRARY

RESOURCE ALLOCATION
1. Describe the budgeting process. How is faculty involved? How are departments involved? Deans? Students?
2. How are priorities set? Who is involved in setting priorities and what criteria are used?
3. What is the system for purchasing educational items and equipment? If there is a committee, how are the members selected and for what terms? What are the SOPs for purchase/procurement? Please provide a copy.
4. Please provide a 2011-2012 and 2012-2013 budget.

5. Provide SOPs for resource need allocation.

PURCHASING SYSTEM
1. Please provide SOPS for purchase/procurement.
2. How is transparency assured and fraud discovered?
3. Describe in detail the process used for purchasing. Provide evidence. For instance, if there is a committee, provide minutes from 2009-2010.

HUMAN RESOURCES
1. What HR positions are vacant?
2. Describe the process for hiring, evaluating and terminating employees (excluding faculty).

NEEDS
1. In terms of buildings/hostels/units, what are the needs?

OTHER SUPPORTING DOCUMENTS ON THE TABLE FOR STANDARD SEVEN
- *Please provide anything you feel would advance your and Review Panel's understanding related to institutional resources. In particular, please address and provide evidence for any other ways QEC is of help.*

Standard 8:   <u>Academic Programs and Curricula</u>

8   Statement of the Standard

The academic programs offered by institution are consistent with its mission and goals. These programs culminate in identified competencies of students and lead to degrees, diplomas or certificates in widely recognized fields of study. The institution works effectively to plan, provide, evaluate, assure, and improve the academic quality and integrity of its academic programs, curricula, credits and degrees awarded.
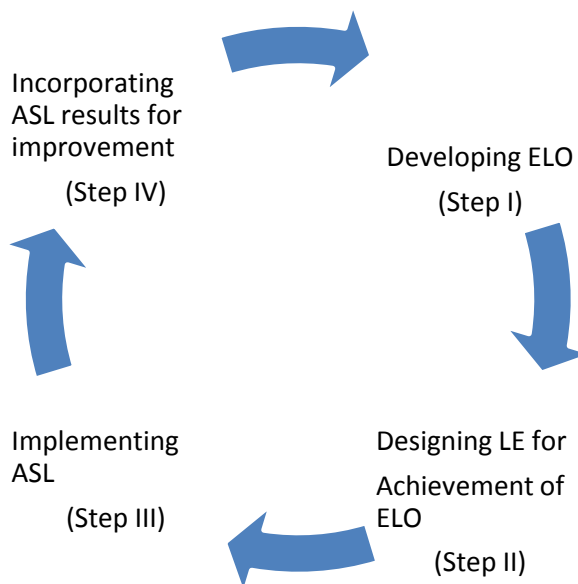
8.1   Context

Key elements in evaluating the success of an institution's academic programmes are identified as consistency with institution's mission, suitability to depth and breadth of student learning and levels of study and provable ability of students to integrate knowledge. Primary goal of an educational institution is teaching & learning whether at undergrad or graduate level. While individual goals of undergraduate study may vary. Generally, under graduate study has an immediate goal of advance study such as Master, Doctor, or a formal recognized credit through structured learning above graduate level, whereas graduate studies should offer focused study and relevant specialized research in compliance with the institutional goals and implications for teaching environment.

The dynamisms of creation of academic programs, curricula, and experiences may be characterized as a **Four-Step Cycle** give blow[11]:

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[11] Characteristics of Excellence in Higher Education, Middle States Commission on Higher Education, 2006

Incorporating
ASL results for
improvement
(Step IV)

Developing ELO
(Step I)

Implementing
ASL
(Step III)

Designing LE for
Achievement of
ELO
(Step II)

Step I: Developing statement of Expected Learning (programme) Outcomes (ELO) in an articulated manner

Step II: Designing Learning Experiences (LE) to provide opportunities to students to achieve Learning Outcomes developed during Step I

Step III: Implementing effective measures of student achievements of pre-defined Learning Outcomes through systematic Assessment of Student Learning

Step IV: Using the Student Assessment Results for continued teaching and learning improvement

Academic Programmes and Curricula of a recognized institution should have the following characteristics[12]:

- Adequate Content, firmness and depth to be characterized as different levels of study with clear distinction between different levels of study i.e. Pre-College, College, and University and between nature of study i.e. undergraduate and graduate study
- Association amongst design of specific curricula, programmes, learning activities, articulated programme goals, and overall mission of the institution
- Responsiveness to modern notion of research findings methods of inquiry.

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[12] Characteristics of Excellence in Higher Education, Middle States Commission on Higher Education, 2006

"Information Literacy" is a collective term used for various skills related to students' capability in acquiring information and it's processing for understanding on the subject, whether this information is collected through library facilities, field experiments, consultative discussions, and all other means. It is a critical factor of any academic programme at undergraduate and graduate level and applies to all disciplines included in an institution's curricula.

Few of these skills comprising Information Literacy are enlisted below for guidance:
- skill to determine the nature and extent of required information
- skill to access information efficiently
- skill to critically evaluate the sources and content of collected information
- skill to integrate the sorted information in the student's knowledge base and assessment
- skill to achieve a specific objective by using selected information in an effective manner
- skill to understand the economic, legal, and social issues related to information and use of respective information technology; and
- skill to observe laws, regulations, and institutional policies pertaining to access and use of required information

Information Literacy is closely tied up with Technological Competency indicating provision of technological resources up to optimum level and required capability at all levels within an institution and its curricula. Therefore, an accredited institution should provide relevant technological facilities, tools, and training to teachers and learners to access acquire and integrate knowledge for their studies, teaching and research with continuous improvement to match technological advancement taking place internationally.

Further to Information Literacy and Technological Competency, effectiveness of academic programme depends on availability and access to adequate learning resources including library and support services provided with trained, educated and

enabling staff to facilitate the teaching and learning process. Similarly, if an institution is also engaged in *Distance Education,* required support services offering need based flexibility and sensitivity to facilitate the Distance Learners are important.

8.2 Fundamental Elements of Academic Programmes and Curricula

Evaluation of academic programmes and their continuous improvement is an ongoing responsibility of a recognized HEI and it is supposed to demonstrate that:

- Academic programmes and curricula are harmonized with its mission in terms of areas of study, adequacy of content, breadth of knowledge, and scope to conduct at all levels
- Formal offering of Undergraduate, Graduate, Post Graduate and or professional programmes leading to earn a degree or any other education credential/certificate developed to advance the learning experience of students and to encourage the blend of extended learning base
- Availability of adequately learned faculty with credentials suited to graduate curricula
- Promoting research and independent thinking at graduate level required for advanced studies
- Programme goals are outlined in terms of student learning outcomes
- The academic programmes and curricula designed is supported by the required facilities, instructional equipment, library, faculty, and staff
- Consistency of academic programmes, their goals and related activities with the institutional mission
- Curricula and course syllabi incorporate expected learning outcomes
- Programme outcomes and student learning is assessed in relation with goals and objectives of the academic programmes and these results are used for improvement of programme effectiveness and student learning

8.3 Evidence for Fulfillment of the Standard

- Evidence of well-defined and coherent programme goals and objectives reflecting institutional mission

- Impact Analysis document of educational programs on resources of education
- Provision of desired balance between theory and practice to achieve program and institutional goals
- Defined student learning outcomes

8.4   Institutional Effectiveness:

The institution offers recognized academic programs and curricula consistent with its mission and effective in achieving the learning goals of students including required skills and degrees, diplomas and certificates. The academic quality standards are equally compatible at national and international level for the purpose of Students' and Credits' mobility and recognition. These academic quality standards are evaluated systematically and results are used for continuous quality improvement and enhancement.

QUESTIONS:

DEVELOPMENT, APPROVAL AND REVIEW OF ACADEMIC PROGRAMS
1. How are academic courses and programs designed and approved? Please describe the process as completely as possible. Are the academic programs/curricula approved by HEC? Provide one set minutes from 2011-2012and 2012-2013 from each of the committees involved in approving both courses and programs?
2. Please provide a copy of the curriculum for each academic degree program.
3. Please provide syllabi for a course at each level for each program.
4. Who maintains syllabi? How often are they updated? To whom are they distributed?
5. How often are academic programs/majors reviewed? What is the process? Please provide minutes of meetings from each department where such a review has taken place.
6. Do departments have learning outcomes for each Program? Please provide a copy from five departments under different deans.
7. How are alumni surveys used in reviewing programs? Do you use the alumni survey form from QEC? Please provide a copy of the results of the most recent survey. How are these used to review the curricula?
8. Do you survey your seniors at the end of their senior year? Please provide a summary of the most recent survey. (QEC) How are these used to review the curricula?

9. Do you use the Employer Survey? Please provide the most recent summary of the employer surveys. How are these used to review the curricula?

10. What methodology do you use to evaluate the curricula? Who is involved in the review of academic programs?

LEARNING OUTCOMES, ASSESSMENT AND TEACHING METHODOLOGY

11. Are faculty encouraged to vary their methods of lecture delivery – i.e., less lecture, more classroom discussion, hands-on activities, etc.? If so, please provide evidence for this.

12. How does the University insure competency in reading and writing the English language? In math skills? In computer skills? In critical thinking? Are there tests which all students take at the beginning and at the end of their university experience? Please describe and provide evidence of same.

13. How are programme outcomes and student learning assessed in relationship to the goals and objectives of the academic programmes? How are these findings used?

14. How would do you assure that the faculty member teaching a series of courses is qualified to teach those courses? Please provide evidence.

15. Who handles internships/field work.

16. How does the university insure that the courses are taught at the appropriate level – i.e., graduate courses are truly graduate level and not just undergraduate level? Please discuss the process for oversight and provide evidence of same.

17. Do you use the Research Student progress Review Form (QEC)? Please provide samples that have been submitted by students. How is this used?

18. Please provide the most recently completed Survey of Department Offerings for PhD programs (if applicable).

INFRASTRUCTURE

19. Do you have the necessary laboratories and equipment to carry out the goals of each of your programmes? Please discuss the deficiencies.

20. If courses are advertised in the catalogue / prospectus, are they actually offered each year? Can students get the courses they need to graduate in a timely manner?

21. Discuss the library stock and digital library facility. Give figures and evidence for use of the library as well as for the number of books, journals, etc.

INTEGRITY

22. How are grades examined to guard against grade inflation? Give evidence.
23. How is the integrity of the institution maintained to guard against cheating and plagiarism? Please provide documentation for this.

OTHER SUPPORTING DOCUMENTS ON THE TABLE FOR STANDARD
01. *Please provide anything you feel would advance your understanding and the Review Panel's understanding related to curriculum and academic programs.*

Standard 09:   **<u>Public Disclosure and Transparency</u>**

9   Statement of the Standard

The institution provides complete, accurate, accessible and adequate information to its students, prospective students, other stakeholders and intended audiences to help them in making informed decisions regarding education.

9.1   Context

The institution informs public about its mission, objectives, and expected learning outcomes; requirements and procedures and policies related to admission and the transfer of credit; student fees, charges and refund policies; rules and regulations for student conduct; information relating to attending or withdrawing from the institution; academic programs, courses currently offered, and other available educational offerings; academic policies and procedures, and requirements for degrees or other forms of academic recognition[13].

The information publishes a Current University Catalogue through its website, print media, and communication which is sufficient to meet the requirement of its students, prospective students, their parents and interested public members in order to make informed decisions about their education.

The set of information provided by the institution for public disclosure includes list of its current faculty, indicating departmental faculty status and distinguishing between those who have full- and part-time status, showing degrees held and the institutions granting them. The details of names and positions of administrative staff and members of the academic, governing, and legislative bodies are also included.

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[13] Criteria for Admission to *Candidacy for Accreditation and* Standards for Accreditation in Madagascar, November 2007.

The institution also publishes the details about locations, academic programs offered at Branch Campuses, recognition status and it is responsive to reasonable size of inquiries about institution.

9.2   Fundamental Elements of Public Disclosure and Transparency

An HEC recognized HEI is expected to hold and reflect a policy of Public Disclosure on the basis of characteristics given below:

- The website of institution is developed, maintained and updated to meet the requirement of interested public
- Appropriate institutional support for implementation of Policy to inform intended audiences through electronic, print media, and communication
- Adherence to ethics of public disclosure policy to support students for informed decision making regarding their education
- Activities designed and executed to realize the communication strategy for information of interested public
- Responsiveness to inquiries about institution and its programmes

9.3   Evidence for Fulfillment of the Standard Nine

- Evidence of Public Disclosure/ Communication Policy
- Functional, accessible, and update website of the institution
- Published reports on quarterly or annual basis to inform the stakeholders
- Published information about the total cost of an academic programme, availability of financial aid and the duration of that programme/course
- Statement about current recognition/accredited status
- Documented evidence of description of the size and characteristics of the student body
- Published evidence of campus setting, hostel facility, and other available support services for the students and faculty etc.
- Published information of available curricular, co curricular, sports and other services available for student grooming

9.4   Institutional Effectiveness

A systematic process of periodic review is designed and implemented to assure that print and electronic publications of institution are adequate, complete, current, and transparent in nature and broad in scope. The results of these periodic review reports are used for improvement in Public Disclosure Policy.

QUESTION

1. **Do you have a website that makes documents and policies accessible to the public? If so, what is the address and what do you have listed on the website?**

2. **With what office does the public deal with?**

3. **Do you get much feedback from the public? When you do, what do you do with it? Please give three or four examples.**

4. **When and where did you publish merit lists for students' admissions for 2010 and for 2011?**

5. **Describe your communication strategy/processes for disseminating regulations, rules and policies. Please provide any documents relating to communication strategy; any SOPs.**

6. **Where and when have you displayed the examination results in 2011-2012 and 2012-2013?**

OTHER SUPPORTING DOCUMENTS ON THE TABLE FOR STANDARD
1. *Please provide an events calendar for 2011-2012 and 2012-2013.*
2. *Please provide actual advertisement for recruitment and admission in 2011 and 2012.*

Standard 10:   **Assessment & Quality Assurance**

10   Statement of the Standard

The institution has developed and implemented a Self-Assessment& Internal Quality Assurance process that helps in evaluating its effectiveness in realizing its mission and achieving its goals, and its compliance with external assessment and quality assurance standards both at national and international level.

10.1 Context

This standard of Institutional Assessment and Quality Assurance rests on all other Institutional Performance Evaluation Standards and based on collective results. Therefore, it is important to outline its context for the purpose of understating on practicality.

HEC has developed a QA Framework to follow the roadmap of Quality in the national context and to remain in line with international best practices. Therefore, combined efforts were made to take in to account both Internal Quality Assurance (IQA) and External Quality Assurance (EQA). According to QA Framework, the IQA practices such as Self Assessment at programme and institutional level is developed and implemented through recently established Quality Enhancement Cells (QECs) at various Universities for the purpose of informing EQA practices to be developed and implemented through Accreditation Councils at programme level and through HEC at the institutional level. IQA is determined as a pre-condition for EQA in the national context because none of the formal QA system was present in majority of the HEIs in the beginning. The Self Assessment Manual developed for programme level and the University Quality Standards and Assessment Model for the institutional level developed to facilitate universities on IQA practices needs to be formally adopted.

10.2 Assessment

Is a systematic process of gathering, reviewing and using important quantitative and qualitative data and information from multiple and diverse sources about academic programmes, for the purpose of improving student learning, and evaluating whether

academic and learning standards are being met.[14] The results of Assessment need to be used for consistency of improvement in student learning, teaching, research and governance etc. Assessment may be considered as the third most important tier of a four step planning cycles given below:

> **Step I:** Developing clearly described written statements, expressed in observable terms, of institutional level goals based on the participation of institutional community as outlined under Mission &Goals.
>
> **Step II:** Designing the institutional strategies to translate the mission and objectives to achieve the institutional goals as outlines in Planning and Resource Allocation
>
> **Step III:** Assessing institutional performance and achievements in terms of key institutional goals; and
>
> **Step IV:** Using the assessment results for further improvements of prenames and services with integration link to institution's ongoing planning cycle.

The effectiveness of an institution is directly reliant upon magnitude and quality of contribution made by each programme and service provided to achieve the institutional goals as a whole. Thus the standard of Assessment & Quality Assurance builds upon on all other Performance Evaluation Standards for the HEIs defined in this document. This standard ties together the assessment results of all other fundamental elements into wholesome manner to conclude that how well an Institution is working collectively to realize its mission, to achieve its goals and to support student learning which is considered as one of the key goals of academic institutions.

While the HEC expects the institutions to develop an assessment and quality assurance system, it gives the leverage of diversity across institutions in terms of approach and methodology. The institutional procedures used for assessment and quality assurance may vary on the basis of mission, goals, resources and organization; however, it needs to be in place in any formal shape in compliance with national or international practices. Whatever the process is developed, the effective assessment &

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[14] Self-Assessment Manual, Dr. Abdul Raouf, UMT, Lahore, 2006

quality assurance system is required to be useful, candid, cost &time effective, planned, organized, and sustainable.

For guidance and capacity building of the institutions in terms of Program Assessment, HEC has already published a Self Assessment Manual[15] which clearly defines standards of Self Assessment for academic programs and the other document with title of University Quality Standards and Assessment Model is included as Annex with the *Performance Evaluation Standards for the HEIs.* The said model will be used by the HEIs in the context of self assessment and as a part of IQA whereas its results will inform the Institutional Performance Evaluation process as a part of EQA practices.

10.3 Quality Assurance

Quality is the means through which an institution can guarantee with confidence and certainty that the standards of its educational provision are being maintained and enhanced[16].The HEC expects from the Universities and HEIs to be committed to enhance the quality of their programs within the context of their mission, goals, resources, capacities, and creating an enabling environment in which teaching, learning, research and other services of universities occur.

Self Assessment and Quality Assurance stands central to the whole performance evaluation process which believes that each institution is committed to continuous improvement in quality and is capable of demonstrating that its mission is being fulfilled. Quality is a professional responsibility which is owned by the institution which subsequently recognizes the professional responsibility of each individual for quality assurance and improvement.

The performance evaluating body such as HEC in case of performance evaluation of Pakistani HEIs provides recognition status to confirm that an institution meets the minimum performance standards defined by HEC. However, the institution should be aware of the changing needs of the society and global demands in the context of

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[15] Self Assessment Manual, Dr. Abdul Raouf, HEC, 2006
[16] QA Manual for Higher Education in Pakistan, Z. Batool& R. H. Qureshi, , 2008

higher education development. The standards set for measuring quality of an institution should not be static but must develop and foster the advancement of society its progress towards well being and international competitiveness.

10.4 Fundamental Elements of Assessment & Quality Assurance

An HEC recognized institution is assumed to demonstrate the following assessment Quality Assurance characteristics:

- Efficacy of a formal, organized and consistent system of Quality Assurance and Self-Assessment containing a process of evaluating and improving the programmes and services and realization of institutional mission.
- Compliance of QA and Assessment System meeting the following criteria:
  - ❖ Integration of programme goals and goals of services with each other through a foundation provided in the institutional mission and subsequent goals.
  - ❖ Systematic and consistent use of a combination of qualitative and quantitative measures through the best use of available data and information, its relation with the goals, and usefulness of results to inform the decisions and future planning.
  - ❖ Collaboration between faculty and university administration for the purpose of facilitating each other in goals achievement at both levels.
  - ❖ Practicality and plainness to understand and to be owned by the respective tiers.
  - ❖ Standard and consistent periodic evaluation mechanism of the university assessment and QA system and processes.

- Evidences of the use of university quality assessment results for further improvement in planning by sharing of these results with the respective constitutional and legislative bodies and responsible individuals.
- Documented strategic plans of the institution to reflect the consideration of QA and Assessment results.

- **Precaution:** This standard needs to be taken in totality by the institution and evaluators too, based on the fundamental elements, evidences of fulfillment of standard and other information sources as an institution lacking in provision of evidence of one fundamental element may demonstrate through an alternative information sources that the standard under assessment is met.

10.5 Evidence for Fulfillment of the Standard Ten

- Documented policies and governance structures like QECs or any other those are supportive to institutional assessment and quality.

- Financial, technical and administrative support for the process of institutional assessment and quality assurance.

- Provision of capacity building and professional development opportunities and resources required for application of institutional assessment and using the assessment results.

- Implementation and adherence to academic and institutional quality standards and policies developed by HEC to match with both national and international standards.

- Documentation of fulfillment of institutional mission and achievement of key goals.

- Quality and Assessment surveys/proforma record of students, faculty and other stakeholders.

- Documentation of using the quality and university assessment results to make more informed and accurate decisions regarding improvement of planning, resource allocation, revising strategies, budgeting and improving processes for students, faculty, staff and society.

10.6 Institutional Effectiveness

An effective self assessment and Internal Quality Assurance System (IQA) is developed and applied through a QEC or any other similar structure for the purpose of realization of institutional mission and improved compatibility at national and international level. The IQA, self-assessment and University Quality Standards and Assessment adoption process efficiently corresponds to External Quality Assurance

system and it is capable of integrating the assessment results for institutional quality enhancement.

QUESTIONS:

1. What is the process of self-assessment at the program level? At the institutional level? Describe in detail.

2. Provide the notification for the establishment of the QEC. Show where it is in the Syndicate minutes.

3. What is the total number of departments? SARs, AT Reports and Rubric Report of how many departments are completed and submitted for necessary actions?

4. SARs of how many departments are completed? (Provide all SARs)

5. Executive Summaries of how many departments are completed and submitted.

6. How are the SARs used – discuss for each department/program as well as for the university as a whole? Please provide the name(s) of the respective officers responsible for integrating the results of the SARs.

7. What is the compliance mechanism for SARs? Please provide any actions taken (list/notifications).

8. How many councils visit the university in 2010-2011, 2011-2012 & 2012-2013?

9. List the departments/programs that are accredited by councils.

10. Describe the process for carrying out student satisfaction surveys.

11. Describe the process for carrying out graduate assessment surveys?

12. Describe the system for bringing into the awareness of the students, faculty and staff the importance of and means of implementing quality assurance. How many and when were there conferences/workshops/seminars/meetings on QA? Who and how many attended?

13. Describe the initiatives of the Vice Chancellor and other university officials (other than QEC) concerning quality assurance.

14. In 2012-2013 what percentage of the budget of the budget is allocated to QEC? What percentage is actually spent?

15. How do you assure that the QA criteria and Standard Guidelines of HEC like Plagiarism Policy, Faculty Appointment Criteria, MS/MPhil and Ph.D. criteria,

Tenure Track System, Semester Guidelines are implemented? Please provide evidence of implementation/notifications/circulars/minutes.

16. How are you integrating SOPs for QA reports into future planning?

17. Do you carry out a survey of seniors at the end of the senior year in order to assess satisfaction with their educational experience? If yes, how these results are utilized by the university.

Standard 11: **Student Support Services**

11 Statement of the Standard

The institution demonstrates adequate and efficient student support services that enable students to achieve their educational goals directly and facilitates the overall process of achieving institutional mission.

11.1 Context

Enabling learning environment needs institutional sensitivity to wider range of students' life issues including their mental & physical health and safety because *Quality of Campus Life* significantly affects the student learning. The institution requires a well organized and integrated system of student support services that play significant role in achieving their educational goals. A staff leadership and broad institutional commitment is a complementary factor to success of these services. These services become an integral part of the whole educational activity and help in strengthening the learning outcomes. The adequate and appropriate services that may include inter alia; sports and extracurricular activities, general cleanliness and pleasant outlook of the campus& classrooms, cafeteria and health centre facilities, efficient system of re-dressal of grievances etc, create an enabling learning environment with greater efficiency of education delivery system.

The student support services model should be flexible and responsive in nature to address full spectrum of diverse needs of students, their abilities and cultural diversity. The service should include also support to admissions, registration, orientation, financial aid/scholarships, advising, counseling, housing/hostels, child care, placement, tutoring, cultural programmes, and security while consistency with institutional mission demands flexibility of these services according to scope of educational services delivery model of the respective institution.

Student support services should be efficient to address the needs of diverse student community including older students, international students, students with disabilities, distance students, and students under multi-campus arrangement. Further, the roles

and responsibilities of students as partners in the educational process should be clearly conveyed to them by the institution.

11.2 Fundamental Elements of Student Support Services

An HEC recognized HEI demonstrates the following attributes of Student Support Services:

- An efficient student support services programme responsive to student needs and strengths, consistent with institutional mission, supportive to student learning objectives and easily accessible.
- Adequate student advisory services and processes.
- Efficient professional cadre to provide students' support and advisory services.
- Effective system of redressing the students' grievances and complaints.
- Updated and complete record of student complaints, grievances and institutional responses.
- Inbuilt mechanism of student support services' assessment and using the assessment results for further improvement.
- Regulated and institutionally administered athletic programmes to channelize the energies of students towards positive competition.

11.3 Evidence for Fulfillment of the Standard Eleven

- Comprehensive analysis reports of student support services accessible to students and other stakeholders.
- Existence of student support services to the best possible standard.
- Mechanism of resolutions of student grievances and updated records.
- Review reports of student involvement and satisfaction with the provided academic support services, co-curricular and extracurricular activities.
- Periodic assessment reports of student support and advising services with practicable recommendations for further improvement.
- Print or electronic review reports of availability of required students' support and advisory services reflected through student handbooks, catalogues, newspapers etc.

11.4 Institutional Effectiveness

The institution demonstrates the development and implementation of an efficient and adequate range of student support services that help students in achieving their educational goals and facilitate the overall process of realization of institutional mission. The periodic assessment results of student support services are used for continuous improvement of the delivery and quality of these services.

QUESTION

CAREER COUNSELING AND PLACEMENT

1. **Do you have a career counseling center? If so, give the qualifications of each of the staff members. Please give the TOR for the office. What was the budget allocated for 2012-2013? What was the amount actually spent? Who is the head of this office?**
2. **Is there a separate student placement office? If so, give the qualifications of each of the staff members. Please give the TOR for the office. What was the budget allocated for 2012-2013? What was the amount actually spent? Who is the head of this office?**
3. **How are students informed about the career counseling center? The placement office? Please provide copies of circulars/notifications/ web displays/ student surveys related to these.**
4. **How are student needs ascertained for the career counseling center? The placement office? How many used each of these services in 2012-2013?**

5. **Who is responsible to access the financial needs of the students, describe the process?**
6. **Please list the financial aid/scholarship programs offered in 2011-2012 and 2012-2013.**