COMMISSION FOR UNIVERSITY EDUCATION

**GUIDELINES FOR SELF-ASSESMENT FOR
INSTITUTIONAL QUALITY AUDIT**

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CONTENTS

INTRODUCTION

1.1   The Self-Assessment for discovering our quality

The quality of a university is basically made at the level of its core activities which are teaching/learning, research and community outreach. Before we can analyse the quality of the university as a whole, we need to know the quality of the core activities. Yet, because university policy, university management, and university strategy have a big influence on the quality of the core activities, it is important to carry out a self-assessment of the institution as a whole.

A critical self-assessment is important because we are sometimes very eager to accept that everything is good: *"The University is performing well. In all we have never had any complaint. Our students have always been content and employers have never complained about the graduates."*

This may be true, in general. In an educational organisation, which is a professional organisation, the players should always aim to produce quality. Introducing a quality assurance system does not mean that the quality in the institution is not in good condition. The demand for self-evaluation is not inspired by lack of quality. What it means is that quality has to be examined in a structured manner, within a well-defined framework.

In many cases, the self-assessment serves as preparation for an external assessment by external peer reviewers. The self-assessment report (SAR) provides the external peer reviewers with basic information, but it has specific value for the university itself. It provides an opportunity for discovering quality. The following key questions are important:

   a. *Why do we do what we do? Do we indeed do the right things?*
   b. *Do we do the right things in the right way?*
   c. *Do we have a thorough command of the process to actually realise our objectives?*
   d. *Do we really achieve our goals?*

An effective self-assessment is time-consuming and requires some effort by staff and students. Often, it will require an investment of time that has to be taken out from other activities. However, the returns and the profit of a good self-assessment are high. The self-assessment will provide information not known to everyone. Such information often exists, but only a small group knows it. The facts will have other dimensions when they are connected to one another.

1.2   Principles of effective self-assessment

To organise an effective self-assessment, take into account the following basic principles:
   a. A self-assessment aims at Quality improvement and enhancement.

b. Self-assessment should never be threatening and should never be used to assess an individual, for punishment or reward, or to apportion blame.

c. Self-assessment is a whole organisation exercise for which every member of the organisation has to be prepared. It is necessary to create a broad basis for the self-assessment and to sensitize staff and students.

d. Looking at quality is more than testing the performance. It also means organisational development and shaping the institution. All staff members should be made responsible for quality, hence the need to involve everyone for real self-assessment.

e. The Management of the institution must support fully the self-assessment. It serves to acquire structural insight into the performance of the university.

f. Carrying out a critical self-evaluation demands good organisation. The Management should charge a senior member of staff, who has to meet certain some requirements, to specifically coordinate the self-assessment process.

g. In order to obtain the required information, it is important that the coordinator has good entry at all levels of the institution.

h. The coordinator should have good contacts within the university. This includes contact with the central management, Faculties and staff members.

i. The coordinator must have the authority to make necessary authorised appointments.

j. It is desirable to install a working team in charge of the self-assessment to gather data, analyse material and draw conclusions. It is important that the team is structured in such a way that the involvement of all sections is assured.

k. It is assumed that the self-assessment is an analysis supported by the whole institution. It is therefore, important that everyone is at least acquainted with the contents of the Self-Assessment Report (SAR). The working team may organise a workshop or seminar to discuss the draft SAR.

l. Not everyone has to agree with all the points in the SAR. Should there be major differences of opinion between certain groups or bodies, then they should be captured in the SAR.

1.3   Organisation of the self-assessment

It is the university that determines how the self-assessment is carried out. The following suggestions may facilitate the process

a. Self-assessment should never be the work of one individual.

b. Make a team responsible for the self-assessment.

c. This team should consist of three to five people, chaired by the coordinator appointed by the central management. Students should be involved in the self-assessment.

d. The topics that have to be considered in the self-assessment (see section 2) should be distributed among the team members and each member made responsible for collecting information, analysing and evaluating the situation.

e. The draft results should be discussed on the largest scale possible. It is not necessary to have consensus concerning the report. It is, however, necessary for as many people as possible to be aware of its contents.

1.4 The Self-Assessment Report

The self-assessment exercise must culminate in a Self-Assessment Report (SAR) which should satisfy the following conditions:

a. The SAR should contain a clear description of the state-of-the-art and a critical analysis of the current situation, indicating whether the institution is satisfied with the situation or not. Furthermore it should state clearly what actions will be taken to address the weaknesses.

b. The manner in which self-assessments are carried out can vary. The levels of who is to be involved in the discussion of the report will also differ from institution to institution. Nevertheless, responsibility for the self-assessment lies with the University Management.

c. The SAR should be discussed and adopted by the university community before it is used by external peer reviewers.

d. All topics in these Guidelines must be discussed.

e. The SAR is the starting point for the discussions between the external peer reviewers and the institution. This implies that everyone who will be involved in the discussion conversant with the contents of the self-evaluation.

f. The quantitative data require special attention. The manner in which data are presented is important for the correct interpretation of the data. There is need to standardise data such as student numbers, appointment of teaching staff, staff/student ratios, success rates, etc.

1.5 Standards and criteria to be applied

In the self-assessment, the question of the standards against which quality is to be assessed is important. The university has to formulate its own standards and criteria, based on its vision, mission and philosophy; taking into account the criteria formulated by the Commission for University Education (CUE).

The Quality Aspects for the self-assessment of the quality are as follows:

1. Requirements set by Stakeholders;
2. University Vision, Mission and Philosophy;
3. Policy Plan
4. University Governance and Management
5. Human Resource
6. Funding and Financial Management
7. Educational Activities
8. Research
9. Community Outreach
10. Benchmarking

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11. Quality Assurance
12. Colleges, Campuses and Collaborating institutions
13. Achievements/outcomes
14. Satisfaction of the Stakeholders

In section 2 criteria are formulated for each quality aspect, taking into account the standards and criteria formulated by CUE.

1.6   An analysis Model for the Self-Assessment of the Institution

In order to map quality in self-assessment a Model is provided to prevent situations where certain Quality Aspects are assessed while others are ignored. Figure 1 (next page) shows a Model for the analysis of various Quality Aspects of the University. For the critical self-assessment, this analysis Model will be used.

The criteria to be met are given in **Section 2,** under the heading of each Quality Aspect (e.g. Quality Aspect *2: Mission, Vision, goals and aims* of the University; Quality Aspect *11: Quality Assurance: Facilities & infrastructure[1]*). Keep in mind that there are no absolute and objective criteria and standards. The criteria given in the Guideline for assessing quality are based on the Universities Act No. 42 of 2012 and the Revised Edition 2016[2015]; the Universities Regulations, 2014; and the Universities Standards and Guidelines, 2014. The Model also reflects International Best Practices.

Self-Assessment aims at finding evidence that the University is meeting the criteria and continually improving. One therefore has to look at the criteria and try to find indications that the criteria are being met:
   a. Give a description of the state-of-the-art of the Quality Aspect;
   b. Make a critical analysis of the state-of-the-art (is it satisfactory or not?)
   c. Describe the strengths and weaknesses concerning the mentioned aspect
   d. Evidence that the criteria are being met;
   e. Actions to be undertaken to overcome any shortcomings

To help you to find evidence, a set of questions that can be used are formulated under the heading *"Looking for evidence"*. **This is not an exhaustive list. Note: The questions are only hints, not questionnaires to be completed.**

The basic rules to apply in the self-assessments are:
a. *All Quality Aspects (segments of the Model) need to be discussed. It is not possible to make a selection.*
b. *For each aspect the following steps are to be taken:*
   i. *description*
   ii. *analysis*

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[1] *The numbers 2 and 11 refer to the numbers of the specific segments in the Model*

| iii. *formulation of strengths and weaknesses* |
| iv. *evidence for meeting the criteria* |
| v. *action plan for improvement* |

Figure1: An analysis Model for the self-assessment of the institution

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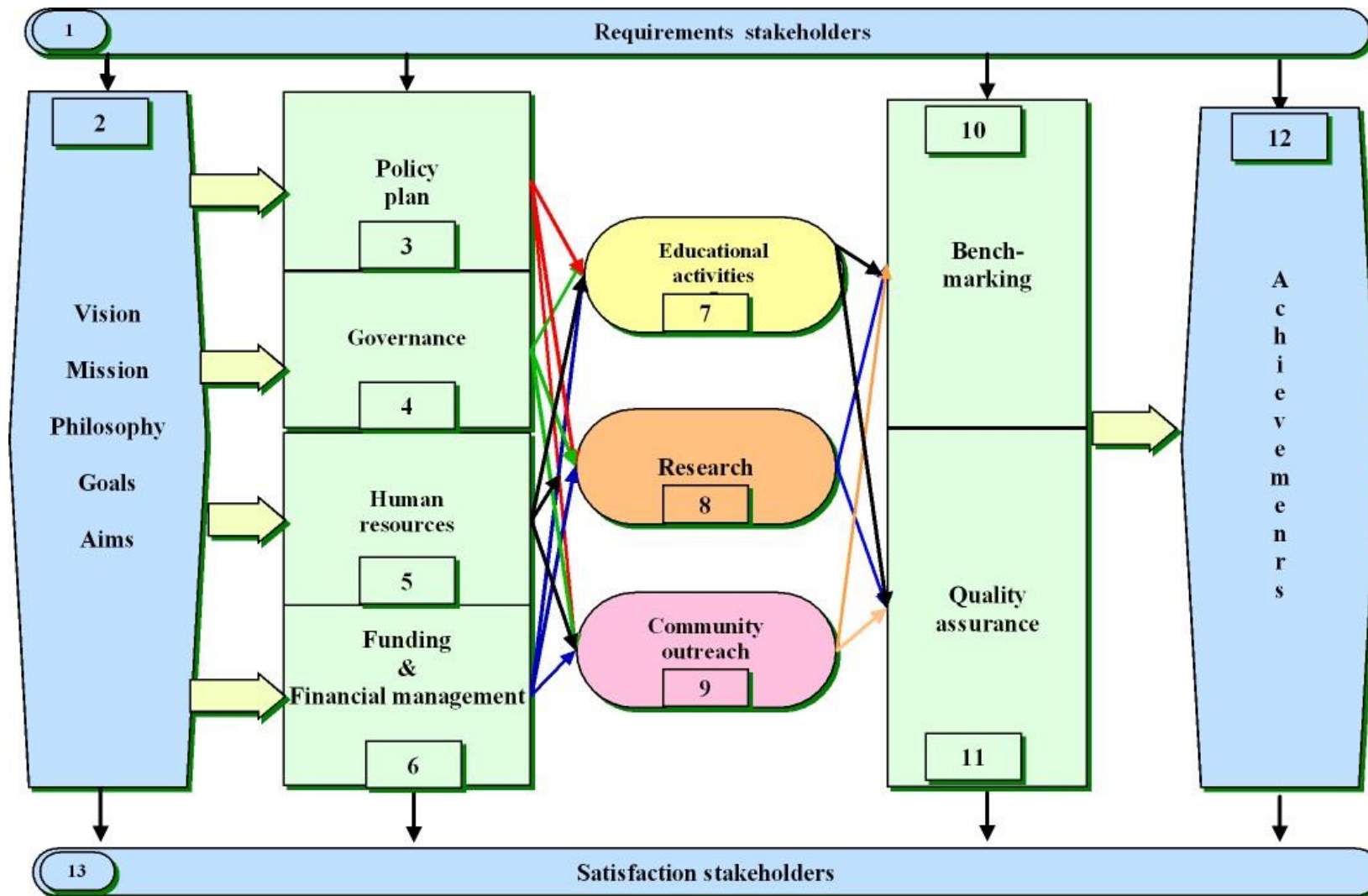
1. THE SELF ASSESSMENT

2.1 Historical background.

Provide a brief history of the University, highlighting the major milestones in its development including any affiliations and linkages and the philosophical basis.

2.2 Quality Aspects to be assessed

2.2.1 Requirements of stakeholders

> *The university has a clear idea about the relevant requirements and needs of all stakeholders.*

Explanation

There are many players in the field of Higher Education hence many stakeholders, each with their own ideas and expectations about quality. These include the Government or the state, employers, the world of academic, students and parents, and society at large. Each stakeholder will appreciate different Quality Aspects of quality. We may therefore say that *Quality is a matter of negotiating between the various stakeholders.* In this negotiation process, each stakeholder needs to formulate, as clearly as possible, his/her requirements. The university as the ultimate supplier of the service must try to reconcile all these different wishes and requirements. As far as possible the requirements of all stakeholders should be translated into the expected goals and objectives of the institution with regard to the three core activities of teaching/learning, research and community outreach.

Looking for evidence: Requirements of Stakeholders

Does the university:
   a. Have a clear idea about the requirements set by the government?
   b. Know clearly the requirements of academia?
   a. Know the needs and requirements of the labour market?
   b. Does the university analyse the needs and requirements of the students/parents?
   c. Does the university analyse the needs and requirements of the society?
   d. How does the university balance the requirements of the different stakeholders?

1.2.2   University Mission, Vision, Aims and Objectives

How has the University translated its Philosophy and the needs of its various stakeholders into its Vision, Mission, Aims and Objectives?

>   *a. The university has a clear vision on its role in society;*
>   *b. The university has a clearly formulated mission statement;*
>   *c. The mission is publicly known;*
>   *d. The mission is in line with the academic and social context.*

Explanation

Quality assessment and the self-analysis have to start by looking at the formulated vision and mission, the goals and aims, and the stated expected outcomes (i.e. the standards set by the institution itself or an outside body, like an accreditation agency).

Looking for evidence: Mission, vision, aims and objectives

    a. *What is the university's vision on the academic training it provides?*
    b. *What is the university's vision on its research activities?*
    c. *What is the university's vision on its role in the society?*
    d. *Is the vision and mission known to the university community and do staff and students share the vision and mission?*
    e. *Has the vision (i.e. the long-term aims) been translated into a clearly formulated mission statement (i.e. targets to be met in the short-term)?*
    f. *Has the mission statement been translated into achievable and operationalised aims and objectives?*
    g. *What is the specific profile of this university compared with other universities in the country in question? In the region?*

2.2.3 The Policy Plan

The university has a clear policy plan and strategic plan formulated in line with its mission statement.

Explanation

The vision and mission must be translated in a clear policy and strategic plan and the mission statement must be operationalized in achievable policy goals

Looking for evidence: The Policy Plan
    a. *Does the university have a clear policy in line with its mission and vision?*
    b. *Has the policy been adequately translated into a strategic plan?*
    c. *Who was involved in formulating the policy and strategic plan?*
    d. *Are policy and strategic plan well known to all academic staff and students? Is there general agreement on this?*
    e. *Does the strategic plan reflect:*
           i. *The types of programmes being offered?*
          ii. *The choice of research fields?*
        iii. *The priorities set?*
        iv. *The main activities of the university?*

2.2.4 University Governance and Management

> a. *The governance structure of the university is clear and adequate;*
> b. *The university has a clear management structure in which the decision-making process, competencies and responsibilities have been clearly fixed.*

Looking for evidence: Governance

a. *What kind of management structure does the university have - centralised and top-down or decentralised and bottom-up? (include governance and administrative charts)*
b. *Are the roles and functions of the central management, faculty management and the staff clearly described?*
c. *Does the academic staff team participate in the decision-making process on teaching and research?*
d. *Do students participate in the decision-making process in relation to their education?*
e. *Has the management structure of the university been endorsed by the academic community?*
f. *Is the internal organisational structure fit for purpose?*
g. *What management committees are in place, and are they working adequately?*

2.2.5. Human Resources (HR)

> a. *The university takes care of high-quality Faculty/teaching staff and support staff by clearly defining their responsibility, and by evaluating their performance on a regular basis by means of an adequate staff appraisal system;*
> b. *The university provides for:*
> > i. Staff development for Faculty and Support staff in areas that have direct influence on the quality of teaching-learning; which includes the formulation of a concrete personnel development plan;
> > ii. Evaluation of the effectiveness of the training provided;
> > iii. Compilation of records of education, experience, training, and other essential *qualifications required of Lecturers and supporting staff.*
> c. *The university establishes an activity plan and evaluates activities to encourage students, Faculty members and other personnel to be conscientious in their thoughts and speech;*
> d. *The university enhances the professional ethics of its students, Faculty members and other personnel.*

Looking for evidence: Human Resource (HR)

a. *How does the university select and appoint its academic staff?*

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b. Does the University implement the Harmonised Criteria for Appointment and Promotion of Academic Staff?

c. Is there an adequate staff appraisal system in place for use in evaluating performance and promotion?

d. How is staff performance evaluated?

e. What opportunities are given for staff/HR development and training?

f. How does the university evaluate the efficiency of its staff/HR development activities?

g. How does the university stimulate the ethics of its students, academics and other staff?

h. Give a list of full time teaching staff giving their qualifications, when and where obtained, rank and experience. Do the same for any part-time teaching staff.

i. Summarize the **current** teaching staff numbers in the table 1 below.

Table 1: A summary of the current number of teaching staff

Category	*Current*		
	No In-post	No: full Establishment	Variance
Professor	-	-	
Associate Professor	-	-	
Senior lecturer	-	-	
Lecturer	-	-	
Assistant lecturers			
Others (specify)			
Total			

j. Summarize the **current** number of staff in senior management, middle-level grades and support staff and **project** staff needs for the next 4 year in the table format given in (i) above

k. Give a summary of current number of teaching staff by rank and per programme as shown in Table 2 as an appendix.

Table 2: Current of teaching staff per programme

Programme	*Staff Category*	*Current*		
		Establishment	*In post*	*Variance*
Programme X		-	-	
	Professor			
	Associate Professor	-	-	
	Senior lecturer	-	-	
	Lecturer	-	-	
	Assistant lecturer			
	Others (specify)			
Programme Y		-	-	

	Professor			
	Associate Professor	-	-	
	Senior lecturer	-	-	
	Lecturer	-	-	
	Assistant lecturer			
	Others (specify)			

2.2.6 Funding and Financial Management

The university has adequate funding to achieve its goals and aims. The university has an adequate financial management system.

Looking for evidence: Funding and Financial Management

    a. *How is the university funded? (What percentage of the budget are public funding, student contributions, external funding?)*

    b. *Are the sources of the financial resources and the conditions attached to the funding stated transparently and do they restrict the university's decision-making autonomy in teaching and research or not?*

    c. *Are the goals and aims of the university realistic and achievable with the provided funding?*

    d. *Summarize the sources of financing for the last 4 years indicating the amounts from each source. Attach a copy of the latest audited accounts, as an appendix.*

    e. *Give a brief income and expenditure analysis for the last four years.*

Table 3: Sources of income

Source of Income	2013		2014		2015		2016		2017	
	Expected	Actual	Expected	Actual	Expected	Actual	Expected	Actual	Expected	Actual
Source										
Fees										
Donations										
IGUs										
Others (specify)										

2.2.7 Educational Activities

Training academics is one of the core activities of a university. To determine the quality of the teaching/learning processes and the quality of curricula/academic programmes, faculties/departments have to evaluate their academic programmes individually. At institutional level the outcomes must be used to get a general overview of the quality of educational provisions.

At the institutional level, for programme quality, an analysis needs to be made from the following Quality Aspects:

a) Academic programmes
b) Student admission
c) Student assessment
d) Quality of the staff
e) Facilities and infrastructure
f) Library and information services

a) Academic Programmes

The academic programmes on offer in the university:
  i. are meeting the expectations of stakeholders
  ii. have clearly formulated expected learning outcomes
  iii. are coherent
  iv. are up-to-date
  v. Are accredited

Explanation

Within one or more faculties, the university must offer a broad range and variety of academic programmes. The programmes should be in line with the expectations of stakeholders and with the mission and vision of the university. The objectives and the expected learning outcomes[2] must make this clear.

Looking for evidence: Academic Programmes

i. The university has a clear educational policy, expressing explicitly the principles of choosing a programme and settling its profile;

ii. The policy expresses clearly rules for curriculum design and curriculum revision, inclusive of the involvement of all stakeholders;

iii. The academic programmes are in line with the mission statement of the university and principles of employability;

iv. The programmes are appropriate to offer for an academic degree;

v. Are the programmes on offer based on an overarching didactic concept that has been adequately communicated and realised amongst the teaching staff?

vi. The academic degrees correspond to international standards.

vii. Provide a list of all the programmes (undergraduate, postgraduate diploma, masters and doctorates) and date approved by the senate.

b) Students admission

i. The university has clearly formulated admission criteria for undergraduate and

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[2] *Learning outcome: A learning outcome is the specification of what a student should be able to do as a result of a period of specified and supported study (INQAAHE,: Harvey, L., 2004–6, Analytic Quality Glossary, Quality Research International)*

Objective: An objective is a specific statement about what students are expected to learn or to be able to do as a result of studying a programme: more specifically this is a learning objective. (INQAAHE,: Harvey, L., 2004–6, Analytic Quality Glossary, Quality Research International)

> *graduate programmes*
>
> ii.   *If there is selection, the selection procedure and criteria are clear, adequate and transparent*

Explanation

It is important to attract the right students and to select the students that can finish the academic training.

Looking for evidence: student admission

i.   *How do you analyse the development of student intake? Reasons to worry? Causes of problems? Prospects for the future?*

ii.   *What are the admission procedures? Are students selected? If so, how are they selected? What are the requirements?*

iii.   *What policy is pursued with regard to the intake of students? Does it aim to increase the intake or to stabilise it? Why?*

iv.   *What measures are taken to effect the quality and size of the intake? What effect do these measures have?*

v.   *Provide a summary of the current student enrolments by gender in Table 4.*

Table 4: Student enrolment

	Student enrolment per Academic Programme by year											
Programmes	Year 1			Year 2			Year 3			Year 4		
	F	M	Total	F	M	Total	F	M	Total	F	M	**Total**
Programme X												
Programme Y												
Programme Z												
Totals												**Grand Total**

c) Student assessment

> *The university:*
>
> i.   *Has functional student assessment systems through all programmes on offer and clear rules to assure the quality of the assessments;*
>
> ii.   *Has a clear policy to promote that the examinations are objective, equivalent and trustworthy;*
>
> iii.   *Takes care of the consistency of examinations; consistency between programmes and consistency in time;*
>
> iv.   *Has a policy to promote a variety of assessment methods;*
>
> **v.**   *Takes care that examination committees function adequately and performs the statutory tasks;*

Explanation

Student assessment is an important element in higher education. The outcomes of assessment have a profound effect on students' future careers. It is therefore important that assessment is carried out professionally at all times and takes into account the extensive knowledge that exists on testing and examination processes. Assessment also provides valuable information for institutions about the efficiency of teaching and learner support. It is the responsibility of the faculty/department to assure the quality of student assessment. The central management must have a good policy and good control mechanism to check the decentralized activities.

Student assessment procedures are expected to:

 i. be designed to measure the achievement of intended learning outcomes and other programme objectives;
 ii. be fit for purpose, whether diagnostic, formative or summative;
 iii. have clear and published grading/marking criteria;
 iv. take into account all the possible consequences of examination regulations;
 v. have clear regulations governing student absence, illness and other mitigating circumstances;
 vi. ensure that assessments are conducted securely in accordance with the institution's stated procedures;
 vii. be subject to administrative verification checks to ensure the accuracy of the procedures;
 viii. Inform students clearly about the assessment strategy being used for their program, what examinations or other assessment methods they will be subject to, what will be expected of them, and the criteria that will be applied to the assessment of their performance.

Looking for evidence: student assessment

 i. *To what extent do the assessments and examinations cover the objectives of the courses and of the programme as a whole?*
 ii. *Do the assessments have clear and published grading/marking criteria? Are the pass/fail criteria clear?*
 iii. *Is a variety of assessment methods used? What are they?*
 iv. *Are the assessment/examination regulations clear?*
 v. *Are the procedures clear? Are they well known? Well followed?*
 vi. *Are there any safeguards in place to ensure objectivity?*
 vii. *Are the students satisfied with the procedures? What about complaints from students?*
 viii. *Do clear rules exist for re-assessments and are students satisfied with these?*

A special form of student assessment is the final project (essay, thesis or assignment). This requires students to demonstrate their knowledge and skills and their ability to manipulate the knowledge in a new situation.

   i.   *Do clear regulations for the final project/final essay exist?*
   ii. *Are the criteria for the final project clear?*
   iii. *Is the level of the final project/final essay satisfactory?*

d). Quality of Staff

   i.   *The academic staff are competent and qualified.*
   ii. *Recruitment and promotion of academic staff are based on a merit system, which includes teaching, research and services*
   iii. *Duties allocated are appropriate to qualifications, experience, and aptitude.*
   iv. *Time management and incentive system are directed to support quality of teaching and learning.*
   v.   *There are provisions for review, consultation, and re-deployment.*
   vi. *Termination, retirement and social benefits are planned and well implemented.*
   vii. *There is a well-planned staff appraisal system based on fair and objective measures in the spirit of enhancement which is carried out regularly.*

Explanation

The quality of academic staff is the key to the quality of the university. There will be no quality without qualified and competent staff. Looking at the criteria, we have to look at:
   i.   The size of the staff and their qualifications
   ii. The staff/HR management.

Looking for evidence: Quality of staff
   i.   *Is the academic staff competent and qualified for their job?*
   ii. *Are there any problems with the human resources? Age structure? Vacancies difficult to fill? What difficulties are there in attracting qualified staff?*
   iii. *What policy is pursued with regard to the employment of staff, both in teaching and research?*
   iv. *Does the University implement the Harmonised Criteria for Appointment and Promotion of Academic Staff?*
   v.   *How are teachers prepared for the teaching task?*
   vi. *What about teaching load? The staff/student ratio? The staff/graduate ratio?*
   vii. *Is staff recruitment based on experience in teaching and research?*
  viii. *Is there a system of staff appraisal?*

ix. *What role do teaching qualifications and teaching activities play in the career of the staff members?*

x. *What does the university think of its HR policy so far?*

xi. *What future developments are projected?*

e) *Facilities and infrastructure*

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i. *Physical resources for educational activities including equipment, materials and information technology, are sufficient.*

ii. *Equipment is up-to-date, readily available and effectively deployed.*

iii. *University computer centres continuously provide highly accessible computer networks and infrastructure that enable the campus community to fully exploit information technology for teaching, research and development, services and administration.*

Explanation

Facilities and resources should be in line with the goals and aims of the university and with the designed programme. Facilities are also connected to the teaching/learning strategy. For example, if the philosophy is to teach in small working groups, small rooms must be available. Computer-aided instruction can only be realised with enough computers for the students and lecturers. The main learning resources include print and electronic books, brochures, magazines, journals, posters, information sheets; aerial photographs and maps; and information communication technologies such as audio & video technology, smart technology, internet and intranet, DVD & CD technology and others.

Looking for evidence: Facilities and infrastructure

Teaching rooms:
   i. *Are the available lecture halls, seminar rooms, laboratories, reading rooms, and computer rooms adequate? Do they meet the relevant requirements?*
   ii. *Are laboratory facilities and support staff sufficient?*
   iii. *Do the laboratories meet the relevant requirements?*

Didactic aids and tools
   i. *Are available audio-visual aids sufficient?*
   ii. *Are there enough computers? Appropriate and enough computer programmes (computer-aided academic programmes etc)?*
   iii. *To what extent do the facilities/infrastructure promote or obstruct quality delivery of the programme?*

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iv. *Is the total budget for teaching aids and tools sufficient?*

Physical resources

Land:
Indicate the available land and its ownership status. Include LR numbers and acreage and highlight any encumbrances.

Buildings:
Describe the physical facilities available at the institution. These should include administrative offices, academic staff offices, lecture rooms, laboratories, workshops, student hostels, staff residences, communal services, houses of worship, catering facilities and common rooms. Summarize the information in the format in table 5-7below.

Table 5: Teaching and learning rooms

ITEM	CAPACITY	NUMBER	SIZE (M²)
Lecture rooms			
A	*0 - 20*		
B	*21 - 40*		
C	*41 – 60*		
D	*61 - 100*		
Lecture theaters			
Assembly hall/Auditorium			
Science laboratories			
Workshops			
Others - specify			

Table 6:Offices

ITEM	NUMBER	SIZE (M²)
Chief administrator		
Other administrative offices		
HOD offices		
Academic staff offices		
Others, specify		

Table 7: Accommodation/support facilities

ITEM	NUMBER	CAPACITY	SIZE (M²)
Staff houses			
Staff common rooms			
Hostels			
Students' common rooms			
Canteens			
Kitchens			

Dispensary			
Chapel			
Students centre			
Others, specify			

Water supply and its equity:
  i. *Describe the sources of your water and the daily yield from each source;*
  ii. *State the storage capacity installed including underground, ground and elevated storage;*
  iii. *Give the most recent biological and chemical test results of your water*

Fire safety
  iv. *Summarize the firefighting equipment at the university's disposal in Table 8 below:*

Table 8: Summary of firefighting equipment

Item	*No. available*	*Main location*	*Date last inspected*
Fire extinguishers class A			
Fire extinguishers class B			
Fire extinguishers class C			
Fire hose reels			
Fire hydrant			
Fire blanket			
Sand baskets			
Fire alarm bells			
Fire engine			

Give a brief statement /Description on:
  i. *Fire safety preparedness of the institution;*
  ii. *Sewerage and waste water disposal system at the institution;*
  iii. *Plant and capital equipment;*
  iv. *Major capital equipment at the institution giving their numbers and status. This should include but not be limited to vehicles, machinery, photocopiers, computers, PABX, servers, generators etc.;*
  v. *Access road;*
  vi. *status of the access road to the institution;*
  vii. *Utility services: status of utility services including power, fixed and wireless telephony and internet connectivity;*
  viii. *Recreational facilities.*

Summarize the recreational facilities available at the institution in the table below.

Table 9. Recreational facilities.

Facility	Number

Football fields	
Basketball pitches	
Table tennis	
Hockey fields	
Rugby fields	
Swimming pools	
Badminton	

Evidence of physical resources to include copies of the following
  i.   *Architectural drawings of the buildings if any;*
  ii. *Land title deed.*
  iii. *Borehole log (if applicable)*
  iv. *Chemical and biological laboratory analysis of water (NB: These must be from recognized laboratories).*
  v.   *Change of user certificate (where applicable)*
  vi. *Certificate of search.*

f) Library and Information Services

> i.   *The library plays a central role in the University. It is there to assist its users in the process of transforming information to knowledge.*
> ii. *The Librarian in the University coordinates the evaluation and selection of information resources required for the various programmes; organizes and maintains the collection of these resources.*
> iii. *The library is sufficiently equipped for education*
> iv. *The library is within easy reach (location, opening hours*

Looking for evidence: Library and information services

Vision and Mission
  i.   *The vision, mission and objectives of the library should be well spelt out and in line with the University overall vision, mission and objectives.*
  ii. *The statements and objectives should take cognizance of ICT developments, preservation and digitisation of information resources and the growth of the university;*

Resources
  i.   *Has the library developed a collection development policy?*
  ii.   *Does the library have sufficient user licenses for its electronic resources so that on-site and remote users can be accommodated?*
  iii. *How are consortium purchasing and licensing agreements utilized?*
  iv.   *Has the library developed an ICT policy?*

v.   Is the library able to obtain technical support for information technology in the form of in-house expertise to provide electronic resources to on-site and remote users?

vi.   Is the capacity of the campus network sufficient to provide reasonable response times for local and remote information resources?

Access

i.   What methods are used to provide maximum physical accessibility and access to the library and library resources?

ii.   How are the accuracy and currency of the catalogue assured?

iii.   In what ways does the library provide for its users who are engaged in open and distance learning programmes?

Services

i.   How well does the library establish, promote, maintain and evaluate a range of quality services that support the academic program of the institution and optimal library use?

ii.   Does the library maintain hours of access consistent with reasonable demand?

iii.   What library services are provided at off-campus sites? How are the needs of users and their satisfaction determined at those sites?

iv.   Has the library developed an Information Literacy Policy?

v.   Does the library provide formal and informal opportunities for instruction?

Facilities

i.   Does the library provide well planned, secure and adequate space for users?

ii.   Does the library have sufficient workspace, and is it configured to promote efficient operations?

Library Staff

i.   Does the library employ staff capable of supporting and delivering information in available formats, including electronic resources?

ii.   Does the library have qualified librarians, other professional staff, skilled support staff, and student assistants in adequate numbers meet its needs?

Library Administration

i.   To whom does the head of the library report? Is the reporting relationship appropriate?

ii.   Is there a document that defines the responsibilities and authority of the head of the library?

iii.   Does the library have a standing advisory committee? Does the committee have adequate class, faculty and student representative? How effective is the committee?

Library Budget

Does the head of the library prepare, justify and administer the library budget in accordance with agreed upon objectives?

2.2.8 Research

The second core activity of a university is research. To learn more about the quality of research, we have to look at two levels, namely, institutional level and research programme/ research unit level.

At institutional level we have to analyse:
  a) *The University's Research Policy*
  b) *The University's Intellectual Property Rights Policy*
  c) *The code of conduct for research*
  d) *The code of ethics for research*
  e) *Research budget*

At the level of the research programme or research unit, we are interested in the quality of research and its impact. This means that some information can be collected at institutional level. Other information can only be collected at the level of the research unit itself.

  a) ***University Research Policy***

> *The university has a clear research policy setting the direction of research and deciding about research profile and research activities*

Explanation

The University Research Policy sets the direction of research within the university. It specifies objectives of research within the university, research strategies, the code of conduct for research, and the responsibility of the Research Management Unit. In general, the University Research Policy covers the following Quality Aspects:
  i.   Mission statement concerning research;
  ii.   The governance of research;
  iii. The relation between academic policies, academic freedom and research;
  iv.   Objectivity in research policy;
  v.   Research approval process;
  vi.   Research ethics and integrity in research;
  vii. How to cope with sponsored projects and sponsored research services, conflicts of interest, conflict of commitment, and research misconduct;
  viii. Policy on consultancy;
  ix.   Policy on undergraduate and graduate research;
  x.   Research supervision and research risk compliance;
  xi.   Policy on environmental health and safety;
  xii. Research Development Fund Policy;
  xiii. Policy on the protection of the rights of subjects in research;
  xiv. Policy on the use of animals in research;

xv.   Research quality and research assessment.

Looking for evidence:
Check how the university research policy covers the above-mentioned Quality Aspects. Are you satisfied with the situation as it is?

> ### b) The university Intellectual Property policy

> *The university has a clear policy, for the protection of creative efforts and especially for the protection Intellectual Property. (Intellectual Property Policy)*

Explanation

Intellectual property is a broad term for the various rights which the law provides to protect creative effort, and especially to protect economic investment in creative effort. It includes copyrights, trademarks, patents, designs, circuit layouts and confidential information. The University Intellectual Property Policy has the following objectives:

i.   To establish a framework for the encouragement of research, innovation, invention, creative work and technology transfer.
ii.   To set out policies in relation to Intellectual Property Rights arising from research, innovation, invention and creative output, and the management, commercialisation and exploitation of such rights.

Research conducted by or on behalf of, or supported by the university, must comply with the intellectual property policy established by the university. In general, the university's Intellectual Property Policy covers the following:

i.   Policy on copyright ownership;
ii.   Administrative procedure for implementing the copyright policy;
iii.   Policy and guidelines on the reproduction of copyrighted materials for teaching and research;
iv.   Policy and guidelines on rights to the results of extramural projects or programmes;
v.   Policy to permit use of the university's name;
vi.   Policy on trademarks and patents.

Looking for evidence: Intellectual Property Policy
i.   Has the university formulated a policy to protect intellectual property rights?
ii.   Does it function adequately or are there any problems?
iii.   How does the university cope with the problems?
iv.   Provide a list intellectual property rights and patents.

c) Code of Conduct and Ethics for Research

The university has a clear code of conduct for research, including a code of ethics.

Explanation

A university must be committed to the highest standards of accountability and integrity in its research practices. Research and development activities should therefore be guided by a code of conduct for research which prescribes standards of work performance and ethical conduct of researchers.

Research Ethics Committees have to be set up to consider applications to conduct research. The objectives of the Research Ethics Committees are to maintain ethical standards of practice in research; to protect subjects of research/experiments and research workers from harm or exploitation; to preserve the subject's rights; and to provide reassurance to the public that this is being done. Among other things, the Research Ethics Committees deal with the following:

i. Research involving human subjects;
ii. Research involving animal experimentation;
iii. Administration of biohazards;
iv. Research misconduct;
v. Conflicts of interest;
vi. Secret and classified research;
vii. Management of research data and records;
viii. Dissemination of research.

Looking for evidence: *Code of conduct /ethics for research*
i. *Has the university formulated a code of conduct and ethics?*
ii. *Does the university have a Research Ethics Committee?*
iii. *If no such committee is in place, how does the university cope with ethical questions?*
iv. *What percentage of the budget has been set aside for research?*
v. *How as this amount been distributed to each department per year, during the last three years?*

2.2.9 Community outreach

Criterion

> *The university has clear guidelines for consultancy and community outreach*

Explanation

A university is not only responsible for training academics and doing research but also for serving society. This will differ from country to country. Consultancy involves a broad range of activities. In general, the term consultancy covers the provision of professional advice or services to an external party for a fee or other non-monetary consideration. Among other things, guidelines on provision of consultancy cover the following:

i. Policy objectives;

ii. Policy on key policy principles, compliance, accountability framework, legal and financial protection, conflicts of interest;

iii. Procedures for contribution to society and the community;

iv. Procedures for university/academic consultancy;

v. Procedures for private consultancy.

Looking for evidence: Community outreach

i. *What role does the university play in the local, national and international community*

ii. *What are the key activities and which of these lay outside normal teaching or research? How do they relate to the university mission?*

iii. *What are the non-profit activities of the university?*

iv. *Is there a clear policy on consultancy and the contribution to society / the community?*

v. *How is income from consultancy regulated?*

2.2.10 Benchmarking

> *The university uses the instrument of benchmarking for analysing the quality of its core activities and its management.*

Explanation

The UNESCO definition of a benchmark is *a standard, a reference point, or a criterion against which the quality of something can be measured, judged, and evaluated, and against which outcomes of a specified activity can be measured*. The term benchmark means a measure of best practice performance. The existence of a benchmark is one necessary step in the overall process of benchmarking[3].

Benchmarking is a process that enables comparison of inputs, processes or outputs between institutions (or parts of institutions) or within a single institution over time. It is important for a university to compare its functioning with equivalent institutions in the country, the region and internationally.

Looking for evidence: Benchmarking

i. *Is the university using the instrument of benchmarking? How?*

ii. *Does the executive management use the information collected?*

iii. *What is done with the benchmarking?*

2.2.11 Quality Assurance

Criterion

> *The university has an efficient Internal Quality Assurance System.*

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[3] Vlăsceanu, L., Grünberg, L., and Pârlea, D., (2004) Quality Assurance and Accreditation: Glossary of Basic Terms and Definitions (Bucharest, UNESCO-CEPES) Papers on Higher Education, ISBN 92-9069-178-6.

Explanation

A robust and well-functioning system of internal quality assurance is necessary to deliver quality and to provide "consumer" protection.

Looking for evidence: Quality Assurance

To find evidence that the Internal Quality Assurance (IQA) system is working well, one has to evaluate the IQA system in the framework of the institutional self-assessment.

Evidence of an efficient IQA system to include:
   i.   *IQA structure and relationship with overall university management structure*
   ii. *IQA Coordinator/Director/Officer and other staff*
   iii. *IQA budget and implementation plan*
   iv. Procedure for approval of Academic Programmes

2.2.12. Achievements

Criterion

The university has the means and opportunity to check whether the achievements are in line with the expected outcomes.

Looking for evidence: Achievements
   i.   *Are the outcomes (our graduates; the research output; services to society) in line with the formulated goals and aims?*
   ii. *How does the university check that it achieves what it wants to achieve?*
   iii. *If the achievement is not satisfactory, what action does the university take?*

2.2.13 Stakeholder satisfaction

Criterion

The university has a structured method for obtaining feedback from the stakeholders.

Explanation

After analysing the mission of the university; the management structure; policy and strategic planning; human resource management; and the core activities, the university has to analyse the satisfaction of all stakeholders. What do they think about the performance? How do we know that?

Looking for evidence: stakeholder satisfaction
   i.   Is regular student evaluation carried out? How is it done? Is it adequate?
   ii. What is done with the results of student evaluations?
   iii. Does the university have an insight into the opinion and feedback of graduates when they get employed?
   iv. Are complaints or positive feedback received from alumni used to adapt the programmes?

    v.   Are there any structured contacts with employers and the labour market for obtaining feedback?

   vi.   How do the employers appreciate graduates?

  vii.   Are there any specific complaints?

 viii.   Are specific strengths appreciated by employers?

   ix.   Does the university have any tools to obtain feedback from society?

2.2.14 University Colleges, Campuses, and Collaborating Institutions

> *The university has a structured way of establishing and assuring quality in University Colleges, Campuses and Collaborating institutions.*

Explanation

University Colleges, Campuses and Collaborating institutions can be a useful means of expanding access to higher education. However they need to be closely monitored to ensure their quality mirrors that of the main campus.

Looking for Evidence

    i.   Does the university have a clear system of establishing *University Colleges, Campuses, and Collaborating institutions?*

   ii.   *Is development of Colleges and, Campuses captured in the Master Plan of the University?*

  iii.   *Does the university have a clear mechanism of assessing quality of these entities*

3   THE SELF-ASSESSMENT REPORT (SAR)

3.1   Overview of the SAR

After finishing the self-assessment, the university will write the outcomes of the assessment in a Self-Assessment Report (SAR). The SAR is an important document. On the one hand it contains the basic information for the external expert/peer review team that will carry out the institutional audit or institutional accreditation. On the other hand it is the basic document for the University for the Formulation of an action plan or quality plan for the coming years.

The content of the SAR follows the lines of the Quality Aspects discussed during the self-assessment process.

For each aspect:

    i.   Describe clearly the state-of-the art. An outsider must understand the situation.

   ii.   Analyse the situation. What is your opinion about it? Are you satisfied or not? If not, why not?

  iii.   Do you meet the formulated criteria? What evidence can you provide?

  iv.   What are the weakness concerning this aspect? What are the strengths?

3.2 Content of the Self-Assessment Report (SAR)

The content of the SAR should be presented in the format presented below. Be sure to discuss the report within the faculty and ensure that everybody is able to recognize himself/herself in this picture.

Chapter 1: Introduction
 1.1 How was the self-assessment carried out?
 1.2 Short description of the university and the faculties/department
1.3 The specific profile of the university

Chapter 2: Stakeholders' Requirements
2.1 Government
2.2 Academia
2.3 Students, Parents/Guardians
2.4 Employers and Industry

Chapter 3: Governance and Management of the University
3.1 The Policy Plan
3.2 Governance
3.3. Human Resource Management
3.4 Funding And Financial Management

Chapter 4 Core Institutional Activities
4.1 Educational Activities
4.2 Research
4.3. Community Outreach

Chapter 5: Quality Assurance
5.1 Internal quality assurance system
5.2 benchmarking

Chapter 6: Physical Facilities and Utilities
6.1 Land
6.2 Complement of Facilities and Space
6.3 Public Health and Safety
6.4 Recreational Facilities

Chapter 7: Achievements
7.1 Achieved outcomes (graduates)/graduate profile
7.2. Research Output and Publications
7.3. Community Outreach

Chapter 6: Stakeholder Satisfaction
8.1. Opinion - Students
8.2. Opinion - Alumni (graduates)
8.3. Opinion - Labour market
8.4 Opinion - Society

Chapter 9: University Colleges, Campuses, and Collaborating Institutions

3.3   Strengths/weaknesses analysis

The self-assessment is followed by a strengths-weaknesses analysis. At the same time, this serves as a check to see how far the institution is in compliance with the given criteria. This is best done with Table 4 and the checklist (see the appendix). There are 13 specific Quality Aspects for assessment in total, with sub-criteria. The checklist in the appendix shows all the criteria and sub-criteria.

The quality of the different Quality Aspects of the program will be rated on a 7-point scale

The ratings have the following meaning:

1 = absolutely inadequate; immediate improvements must be made
2 = inadequate, improvements necessary
3 = inadequate, but minor improvements will make it adequate
4 = adequate as expected
5 = better than adequate
6 = example of good practice
7 = excellent

Quality Aspect		Rating						
		1	2	3	4	5	6	7
1	Stakeholders' Requirements							
2	Mission, Vision, Goals and Aims							
3	Policy Plan							
4	Governance and Management of the University							
5	Human Resource							
6	Funding and Financial Management							
7	Educational Activities							
8	Research							
9	Community Outreach							
10	Benchmarking							
11	Internal Quality Assurance							
12	Achievements							
13	Satisfaction Of Stakeholders							

14	University Colleges, Campuses and Collaborating Institutions							
Overall Rating and Verdict								

The overall assessment of the different Quality Aspects is based on the scores given to each sub-aspect in the category. But, not all sub-Quality Aspects have the same weight. This means that you cannot calculate mathematically an average. You have to balance the various sub-Quality Aspects and to judge the weighting of each of them. Positive Quality Aspects may compensate for some negative ones. Marking each aspect leads to a verdict on each aspect of the Model.

Filling in the total score in Table 4 produces a good overview of the strengths and weaknesses.

Do not start to complete the checklist, before you have finished the text of the SAR. **First write the text and the marking; not the other way round.** By doing so, the marks may help you to see if there is any discrepancy between the marks and the wording.

Summary of strengths

Summarise the points that the university considers to be its strengths and mark the points that you are proud of.

Code of conduct /ethics for research

Indicate which points the department considers to be weak and in need of improvement. Also indicate what you are going to do about this.

1.7 The follow up after the self-assessment

The self-assessment report will lead to many follow-up activities:
  i. If connected with an external assessment, the expert team will visit the university and discuss with you the SAR. The assessment might lead to recommendations for improvement.
  ii. If not connected with any formal external assessment, the university may decide to invite some colleagues from other universities to carry out an inter-collegial assessment and ask for the formulation of recommendations
  iii. In all cases, the outcomes of the self-assessment must be translated into a *quality plan* that shows what activities the university will undertake in the near future. The self-assessment will show us where we are now and will give us the direction to where we would like to be say in 5 years' time.

Only with a clear follow up, a quality improvement plan and action plan does the investment in the self-assessment and the SAR make sense.

4   RATING OF THE QUALITY OF THE UNIVERSITY

Appendix 1: Checklist on the Quality of an Institution

1. Requirements of stakeholders	1	2	3	4	5	6	7
i. The university has a clear idea about the relevant demands and needs of the government.							
ii. The university has a clear idea about the relevant demands and needs of the labour market							
iii. The university has a clear idea about the relevant demands and needs of the students/parents							
iv. The university has a clear idea about the relevant demands and needs of the academic world							
Overall opinion							
2. Mission, Vision, Goals and Aims							
i. The university has a clearly formulated mission statement							
ii. The mission statement is publicly known							
iii. The mission statement is in line with the academic and social context							
iv. The university has a clear vision on its role in society.							
Overall opinion							
3. The Policy Plan							
i. The university has a clear policy and strategic plan formulated in line with the mission statement.							
ii. The policy has adequately been translated in a strategic plan							
iii. The policy plan regulates clearly the programmes at offer, the research and the community outreach							
Overall opinion							
4. Governance and Management of the University							
i. The governance structure of the university is clear and adequate							
ii. The university has a clear management structure in which the decision-making processes, competencies and responsibilities have been clearly defined.							
Overall opinion							
5. Human resources							
i. The university takes care of high-quality faculty staff and support staff by clearly defining their responsibility, and by evaluating their performance on a regular basis by means of an adequate staff appraisal system							
ii. The university develops the body of knowledge possessed by its academics and support staff to keep pace with changes in each academic discipline.							
iii. The university provides for a system of staff development							
iv. The university establishes an activity plan and evaluates activities to encourage students, academics and other staff to be conscientious in thoughts and, speech.							

v. The university enhances the professional ethics of its students, academics and other personnel						
Overall opinion						
6. Funding and Financial Management						
i. The university has adequate funding to achieve the goals and aims.						
ii. The university has an adequate financial management system.						
Overall opinion						
7. Educational Activities						
i. The programmes at offer meet the expectations of the stakeholders						
ii. The programmes have clearly formulated learning outcomes						
iii. The programmes are coherent and up to date						
iv. The student assessment is adequate and efficient						
v. The student assessment is objective and trustworthy						
vi. Student assessment is consistent in time and between the programmes						
vii. Student assessment is done according a variety of methods						
viii. The examination committees function adequately						
ix. The staff is competent and qualified						
x. Recruitment and promotion of staff is based on merit system, including teaching, research and community outreach						
xi. The university has a well-functioning appraisal system						
xii. The university has clearly formulated admission criteria						
xiii. If there is a selection, the procedure and criteria are clear, adequate and transparent						
xiv. Facilities and infrastructure are sufficient and adequate						
xv. Facilities and infrastructure are up-to date						
xvi. The computer facilities are adequate						
Overall opinion						
8. Research						
i. The university has a clear research policy, setting the direction of research and deciding about research profile and research activities						
ii. The university has a clear policy, for the protection of creative efforts and especially for the protection of economic investment in creative efforts (Intellectual Property Right Policy).						
iii. The university has a clear code of conduct for research, including a code of ethics.						
Overall opinion						
9. Community Outreach						
The university has clear guidelines on consultancy and community outreach						
Overall opinion						
10. Benchmarking						
The university uses the instrument of benchmarking for analysing the quality of its core activities and its management.						

Overall opinion						
11. Quality Assurance						
i. The university has a clear policy and procedures for QA						
ii. The university has an adequate monitoring system						
iii. There is a periodic review of the core activities (education, research and community services)						
iv. The university has a clear quality assurance system of the student assessment						
v. The university has a clear quality assurance of the quality of the staff						
vi. Idem and adequate quality assurance of the facilities						
vii. The university carries out self-assessments on a regular basis						
viii. The university has a well-functioning management Information systems						
ix. The university has a Handbook on Quality Assurance						
Overall opinion						
12. Achievements						
The university has the means and opportunities to check whether the achievements are in line with the expected outcomes.						
Overall opinion						
13. Stakeholder satisfaction						
The university has a structured method for obtaining feedback from stakeholders						
Overall opinion						
14. University Colleges, Campuses and Collaborating Institutions						
i. The university has a clear system of establishing *University Colleges, Campuses, and Collaborating institutions*						
ii. *The university has a clear mechanism of assessing quality of University Colleges, Campuses, and Collaborating institutions*						
Overall opinion						
Overall verdict						