

Self-Assessment Manual

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**Ministry of Education
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Higher Education Quality Enhancement Project (HEQEP)
Quality Assurance Unit (QAU)**

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Abbreviations and Acronyms

CLO	Course Learning Outcomes
CV	Curriculum Vitae
EPRT	External Peer Review Team
GoB	Government of Bangladesh
HEI	Higher Education Institution
HEQEP	Higher Education Quality Enhancement Project
ILO	Intended Learning Outcome
IQAC	Institutional Quality Assurance Cell
KPI	Key Performance Indicator
MoE	Ministry of Education
NEP	National Education Policy
PSAC	Program Self-Assessment Committee
QA	Quality Assurance
QAC	Quality Assurance Committee
QAACB	Quality Assurance & Accreditation Council, Bangladesh
QAU	Quality Assurance Unit in the UGC
QF	Qualifications Framework
RPI	Research Performance Indicator
SA	Self-Assessment
SAC	Self-Assessment Committee
SAR	Self-Assessment Report
TPI	Teaching Performance Indicators
UGC	University Grants Commission
UIC	University Industry Collaboration
VC	Vice Chancellor
WB	World Bank

Glossary

Academic Program	Academic program refers any combination of courses for educational attainment, which fulfils the requirements of any degree or certificate etc. It may also be called Study Program.
Accreditation	The process by which a government or private agency evaluates the quality of a higher education institution as a whole or a specific study program in order to formally recognize it as having met certain pre-determined minimal criteria or standards.
Assessment	The process of systematic gathering, quantifying, and using of information in view of judging the instructional effectiveness and the curricular adequacy of a higher education institution as a whole or academic program. Assessment is necessary in order to validate a formal accreditation decision, but it does not necessarily lead to an accreditation outcome. It also means a technically designed process for evaluating student learning outcomes and for improving student learning and development as well as teaching effectiveness.
Audit	A fair and transparent assessment or evaluation of a faculty or department, system, process or service either internally or externally. The purpose of which is for improvement.
Best Practices	A method or an innovative process involving a range of safe and reasonable practices resulting in the improved performance of a higher education institution or an academic program, usually recognized as ‘best’ by other peer institutions. A best practice does not necessarily represent an absolute, ultimate example or pattern, its application assures the improved performance of a higher education institution or program; rather it identifies the best approach to a specific situation, as institutions and programs vary greatly in compositions and scope.
Benchmark	The benchmark is a standard, a reference point, or a criterion against which the quality of something can be measured, judged, and evaluated. It is a measure of best practice performance.
Benchmarking	Benchmarking is a standardized process of collecting and reporting critical operational data that enables comparison of inputs, processes or outputs between institutions (or parts of institutions) or within a single institution over time with a view of establishing good practices, diagnosing problems in performance, and identifying areas of strength. It is important for a university to compare its functioning with equivalent institutions in the country, the region and internationally.
Department	Department means an academic unit in a university that offers academic

	and research programs. It may also refer to a non-academic unit IT Center and Department of Student Affairs.
Documented Procedure	Procedures that are represented in a written form.
Faculty	An academic entity which includes departments, centers, institutes, academies and other such academic bodies, such as School of Pharmacy or Center for Business Management Studies. Faculty may also offer academic and research programs.
HEI	Higher Education Institution
Intended Learning Outcomes (ILO)	Statements of what students are expected to learn as a result of engaging in the learning process during studying a lecture/course/program. It reflects achievement attained by students.
National Qualifications Framework (NQF)	Generally, a NQF is designed to provide nationally recognized and homogeneous standards and qualifications, as well as recognition for all learning of knowledge and competencies and a basis for further review, articulation and development of existing and impending qualifications. Also, among other purposes, it should facilitate curricular change and allow for the improvement of access and social inclusion, as well as the integration of changing societal needs. A NQF is primarily developed by the National Quality Assurance and Accreditation Council through a medium-term process of policy development and public consultation.
Outcomes	Anticipated or achieved results of programs or the accomplishment of institutional objectives, as demonstrated by a wide range of indicators, such as, student knowledge, cognitive skills and attitudes. Outcomes are direct results of the instructional program, planned in terms of learner growth in all areas.
Key Performance Indicators	A range of parameters representing a measure of the extent to which a higher education institution or a study program or a staff member is performing in a certain quality dimension. They allow HEIs to benchmark their own performances or allow comparison among HEIs.
Procedure	Procedure is a sequential arrangement of actions or steps established and accepted as way of doing a particular task and to achieve set target with accuracy and efficiency in a logical manner. Procedures Include policies, regulations, processes, systems and rules that fall within the purview of a QA body such as student regulations, registration process and publication of results.
Program Offering Entity	Program Offering Entity means an academic unit in a university that offers academic and research programs. It may be a department, faculty, institute or discipline.

QA Culture	QA culture represents a set of shared and recognized values, attitude and behavioral pattern supporting quality education, which will be extended to the incoming members of the university or institution. QA culture guides the way of thinking and discharging responsibilities of members of the university or institution in all aspects of operations. The fundamental aspect of QA culture is strong commitment for continuous improvement with a holistic approach and harmony recognizing the contribution of all involved in the process.
Quality Assurance	A system that supports and guides performance according to the established criteria or standards.
Institutional Quality Assurance Cell (IQAC)	A cell set up by the university authority for establishing quality culture at the university through internal quality assurance.
Quality Assurance Committee (QAC)	The committee set up by the university authority for institutional oversight of the IQAC.
Qualification	Any higher education award, i.e., degree, diploma or other type of formal certification, issued by a competent authority attesting to the successful completion of a course program. It covers a wide variety of higher education awards at different levels and across countries, e.g., Bachelor's and Master's Degree, the Doctorate, Baccalaureate etc. A qualification is important in terms of what it signifies: competencies and range of knowledge and skills.
Qualifications Framework	A comprehensive policy framework defining all nationally recognized qualifications in higher education in terms of work load, level, quality, learning outcomes and profiles. It should be designed to be comprehensible through the use of specific descriptions for each qualification covering both its breadth (competencies associated with learning outcomes) and its depth (level). It is structured horizontally in order to cover all qualifications awarded in a system, and, vertically, by level. Its purpose is to facilitate: (i) curriculum development and design of study programs; (ii) student and graduate mobility; and (iii) recognition of periods of study and credentials.
Rubric	A set of scoring criteria used to determine the value of a student's performance on assigned tasks. The criteria are written so that students are able to learn what must be done to improve their performance in the future.
Self-Assessment	Self-Assessment is a systematic process of evaluating the various aspects of institution or academic programs whether quality standards are being met. For the purpose of further improvement SA collects information and evidences from the stakeholders, reviews those and identify the weaknesses and areas need further improvement to enhance quality of teaching learning and education.
Stakeholder	A person or a group of persons having interest or concern in the activities

	of the graduates produced by the university.
Standards	Statements regarding an expected level of requirements and conditions against which quality is assessed or that must be attained by higher education institutions and their programs in order for them to be accredited or certified. The term standard means both a fixed criteria against which an outcome can be matched, and a level of attainment.
Strategic Plan	A plan that puts in place the targeted achievements of objectives within a marked timeline. It is a road map which contains broadly defined goals and objectives that are represented in a sequence of steps for achieving the desired objective.
Study Program	A core modular component of higher education including all the activities, i.e., design, organization, management, as well as the process of teaching, learning and research, carried out in a certain field and leading to an academic qualification. Study programs are established by higher education institutions and may differ by level of academic qualification, e.g., Diploma, Bachelor, Master, Doctorate, Baccalaureate, etc., study mode, e.g., full-time, part-time, distance learning, etc., and field of knowledge specialization, in accordance with academic and professional division of labor. A study program is accomplished through; (i) a curriculum, including all disciplines leading to an academic qualification, distributed by year of study, their weight being expressed in type of study credits; (ii) syllabi or course programs, containing a description of the teaching and learning themes and practices associated with teaching, learning and evaluation; (iii) the organizational chart of students and teaching staff covering the period of implementation of study program; (iv) the system of academic quality assurance for all activities necessary for the completion of the study program.


Preface

Recently, higher education in Bangladesh has experienced a phenomenal growth at least in quantity, doubling in number of tertiary level students from 1.12 million to 2.61 million in last four years. But the quality of education and research could not match the horizontal increase. There is a popular saying that quantity without quality is a sure prescription for disaster, while quality without quantity can act like seeds and at least something to build on. So quality is very important in higher education. The present government headed by the Hon'ble Prime Minister Sheikh Hasina is committed to change the landscape of higher education through enhancement of quality of higher education and research in the country. Her dream has been transformed into reality by her capable education minister Mr. Nurul Islam Nahid through establishment of universities, formation of accreditation council, opening up of channels of cross border higher education and upgrading the University Grants Commission into Higher Education Commission. For achieving the target of quality education the GOB and the World Bank has generously funded the project which is known as Higher Education Quality Enhancement Project (HEQEP). The project is being meticulously implemented by the University Grants Commission, with help of the project officials and that of by the World Bank.

In order to enhance and ensure quality in higher education, educational institutions are required to be more responsive to the changing needs of the stakeholders. In that case it is very important for the educational institutions to know how well they are doing and how can they do even better to meet the needs of the stakeholders. The self-assessment exercise is an effective approach to gain a clear understanding of current situation by an informative SWOT analysis. Thus, self-assessment becomes one of the core activities of credible quality assurance system. Establishment of Institutional Quality Assurance Cell (IQAC) in each of the universities has been already in place. The IQACs at the universities would create an enabling framework to conduct meaningful self-assessment of academic programs offered by the universities in Bangladesh.

This Self-Assessment Manual offers a set of criteria, standards and the process in detail to conduct the self-assessment at program level. This manual also includes a few useful SA survey tools and guidelines. These tools and guidelines would help to conduct the self-assessment of programs. I, believe, the IQACs of the universities will take necessary actions immediately for self-assessment of academic programs, which would help to judge the overall effectiveness of academic programs and educational processes and provide direction for further improvement. This will benefit the university teachers, students and other stakeholders such as the employers and the society at large. It is expected that sincere cooperation from the university authorities and academics to utilize the opportunity will be forthcoming.

I thank the GoB and World Bank for this initiative to publish this manual for self-assessment and quality assurance in higher education.



(Prof. Dr. A. K. Azad Chowdhury)
Chairman (State Minister)
University Grants Commission of Bangladesh.

Preface to the Second Edition

The number of higher education institutions in Bangladesh has remarkably increased during the last one decade. At present the number of public and private universities in Bangladesh is 38 and 95 respectively. About 3.2 million students are studying now in these universities and approximately 0.7 million graduates come out each year. However, the scope for the employment of all these graduates in Bangladesh is meagre; many of them would have to fight for employment in the global and international job market. In order to get a job in and outside Bangladesh, the graduates must have to prepare themselves in the context of national as well as global requirements, otherwise their opportunities for jobs would be minimum. The quality of the graduates has to be of international standard in terms of their (i) knowledge, attitudes and skills, (ii) updated course curricula to meet the global requirements, (iii) creative and analytical assessment procedures and (iv) outcome based teaching strategies.

In order to improve the quality of education at the tertiary level, the government of Bangladesh has taken several steps. The Higher Education Quality Enhancement Project (HEQEP) is one of such initiative. The University Grants Commission of Bangladesh (UGC) is the implementing agency of the project. The project is jointly financed by the World Bank and Government of Bangladesh, contributing 88 percent and 12 percent of the total cost respectively. Under HEQEP, a Quality Assurance Unit (QAU) has been established at UGC in order to expedite the process of establishing quality culture at the universities. Towards targeting the establishment of quality culture at the universities, the Institutional Quality Assurance Cells (IQACs) have been established in 61 universities (29 public and 32 private). The QAU provides guidance to the IQACs, and oversee their activities including Self-Assessment (SA) of degree programs during the project period. For accreditation of the institutions as well as degree programs in tertiary education in Bangladesh, the establishment of an Accreditation Council Bangladesh (ACB) Act is in the process; the ACB has already been approved in the ministerial meeting and it is expected that it would be approved soon in the parliament.

Self-Assessment (SA) is a systematic process of evaluating the various aspects of institution or academic programs including the major QA areas in respect of national qualifications framework and criteria whether quality standards are being met. In the SA activities, apart from the basic profiles and inventory of the program offering entity, data need to be collected from various stakeholders (such as students, academic staff, non-academic staff, alumni, and employers); for collecting valid data standard survey tools (questionnaires) are required. In the first edition of the SA manual there were some ambiguous and confusing statements. In the present edition of the SA manual such deficiencies have been corrected; moreover, the manual has been thoroughly revised to meet the requirements of SA activities.

The initiative taken by the government of Bangladesh and World Bank in publishing the second edition of the Self-Assessment Manual is gratefully acknowledged.

I wish the effective and wide utilization of the manual.

(Professor Abdul Mannan)

Chairman

University Grants Commission of Bangladesh

Introduction

Bangladesh is a developing country and its economy is in transition from agriculture to industry, manufacturing and service sectors. Bangladesh intends to avail the opportunities offered by globalization to build a knowledge society. Improving the quality of its tertiary education is vitally necessary to spur the country to a higher growth trajectory for attaining the middle income status by 2020. The tertiary education in Bangladesh, currently, has been facing many deeply rooted and intertwined challenges. These include, inadequate enabling environment for improving the quality of education and research, weak governance and accountability, poor planning and monitoring capacities, and insufficient funding. All these drawbacks can only be mitigated by developing a quality culture and ensuring good practices in higher education institutions (HEIs).

The government of Bangladesh (**GoB**) recognizes that the country is at risk of being marginalized in a highly competitive global economy because its tertiary education systems are not adequately prepared to capitalize on the creation and application of knowledge. It also realizes that the state has the responsibility to put in place an enabling framework that would encourage tertiary education institutions to be more innovative and responsive to the demanding needs for rapid economic growth, and to empower the graduates with right skills for successfully competing in the global knowledge economy.

In Bangladesh, University Grants Commission (UGC) acts as the intermediary between the Government and the universities for regulating the affairs of all the universities. But currently, there is no recognized quality assurance (QA) mechanism for public and private universities in Bangladesh. The deficiency was recognized in the UGC's *Strategic Plan for Higher Education 2006-2026*, and in GoB's National Education Policy (NEP) 2010. The Strategic Plan, *inter alia*, recommended the establishment of an independent Accreditation Council for both public and private universities in Bangladesh. Following the recommendations made in the *Strategic Plan* the Ministry of Education prepared and launched in mid-2009 the Higher Education Quality Enhancement Project (HEQEP) with the financial support of the World Bank.

The experience and lessons learned from the 25 Self-Assessment subprojects implemented in 15 universities under HEQEP generated heightened awareness among the faculty members and management regarding the need for initiating QA in higher education. It also prepared the ground and readiness on the part of the institutions to follow up the recommendations made in SA reports and expand the SA exercise to include all HEIs in phases. Against this backdrop the Ministry of Education, the UGC and the HEIs feel that it is high time to establish Institutional Quality Assurance Cell (IQAC) in every public and private university to develop a mechanism for the systematic review of study programs, to ensure quality teaching-learning, research, knowledge generation and support services standards at an acceptable level.

Based on the above developments, a Quality Assurance Unit (QAU) within the organizational structure of University Grants Commission (UGC) of Bangladesh was created under HEQEP to establish the QA mechanism in Bangladesh's HEIs. As a first step in this endeavor the HEQEP would also support the establishment of Institutional Quality Assurance Cells (IQACs) in universities and the QAU would provide guidance and technical assistance to the IQACs in order to make them functional. The QAU will function as a temporary council until the formation of the national Accreditation Council, Bangladesh (ACB).

This Self-Assessment Manual explains the concept, objectives, significance and process of conducting self-assessment of study programs for further academic improvement. This self-assessment manual includes useful guidelines and the templates required for conducting the surveys for data collection which are inalienable part of the self-assessment process, SA report preparation and external peer review. These QA tools have been developed in accordance with the international practices and standards and are quite flexible to accommodate the requirements of the universities and academic programs in Bangladesh context. This Manual will be open to modifications and revisions periodically based on the feedback obtained from the practitioners from time to time and to accommodate the changed circumstances in coming years. It will also be open for further improvement by the experience of international good practices on QA.

The QAU would like to record its sincere gratitude to Professor A K Azad Chowdhury, former Chairman, UGC for his pioneering role in establishing the quality assurance mechanism in Bangladesh and for the support provided to the QAU in making it functional within a short time. The present UGC Chairman, Professor Abdul Mannan has provided valuable guidance to improve this manual. We are grateful to him. We also gratefully acknowledge the support provided to UGC and QAU by the World Bank for institutionalizing the QA mechanism and for the drafting of various QA guidelines, operations manual including this one. We sincerely thank the Project Director of HEQEP and its concerned officials who provided the logistics and facilities to QAU for setting up its office and working environment. Lastly, we gratefully acknowledge the contribution of the Ministry of Education (MoE), especially the Hon'ble Minister and secretary for their overall guidance and leadership for enhancing the quality and relevance of higher education in Bangladesh, particularly the Ministry's patronage of HEQEP that made it possible for the QAU to start the onerous journey for establishing quality assurance mechanism in the country's higher education institutions.

We sincerely hope that with the establishment of QA mechanism in Bangladesh of which the self-assessment of study programs is the first step would lift the higher education institutions to a new level and prepare the ground for enhancing the quality of higher education to the international standard. With this vision we invite the faculty and university management to engage themselves actively in this great endeavor.

Professor Mesbahuddin Ahmed
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Chapter 1

Self-Assessment in Practice

1.1 Self-Assessment Concept

- 1.1.1 The quality of education refers to the fitness of the university graduates to meet the needs of stakeholders in terms of knowledge, skills, attitudes and performance. Quality of education depends on the institutional fitness for the purposes in terms of capacity & process to attain intended learning outcomes (ILOs). The institutional capacity & process includes quality of learners with commitment and interest, environments, content that is reflected in relevant curricula and processes to facilitate attainment of learning outcomes. Governance, curriculum design and review process, physical facilities, quality of students, progress and achievement, teaching-learning and assessment etc. have immense impact on the capacity of the educational institutions and process to provide quality education.
- 1.1.2 Self-Assessment is a systematic process of evaluating the various aspects of institution or academic programs including the major QA areas in respect of national qualifications framework and criteria whether quality standards are being met. For the purpose of further improvement SA collects information and evidences from the stakeholders, reviews those and identify the weaknesses and areas need further improvement to enhance quality of teaching learning and education. Self-Assessment does not mean that evidences of quality education are not available. It provides direction to continuous improvement through gradual internalization of the standards and good practices. Self-Assessment examines the state of practices and quality using a well-structured survey framework. Self- Assessment serves as a preparation for external peer review and validation for approval and accreditation. It explores the following issues(IUCEA, 2010):
- 1.1.2.1 What does the university do to provide education ?
 - 1.1.2.2 Whether the university does the right things to provide education ?
 - 1.1.2.3 Whether the university is doing the right thing in the right way ?
 - 1.1.2.4 Has the university clearly defined goals to achieve ?
 - 1.1.2.5 Whether the process guiding the university is adequate to achieve the goals ?

1.2 Global Perspective on Self-Assessment

- 1.2.1 Under the impact of ICT and globalization jobs, business and careers for young graduates have become highly competitive all over the world than ever before. The revolutionary developments in technology are changing the socio-economic systems, thinking, and nature of work and increased the opportunities available to university graduates. In the face of all these complex, competitive and changing environment, success mostly depends on what people know, what they are capable of doing, what skills they have acquired, and how fast they are able to adjust to changes around.

Education must be more closely aligned to the needs of the community and society and the graduates need to develop their potential in terms of employability and lifelong learning. Industries are increasingly complaining about the skill shortage and skill mismatch of the graduates. Academic institutions need to focus on new sets of skills driven by higher order of learning to make the graduate globally competitive.

- 1.2.2 In order to enhance and ensure quality in higher education, educational institutions are required to be more responsive to the changing needs of the stakeholders and the nation. In that case it is very important for the educational institutions to know how well they are doing and how can they do even better to meet the needs of the stakeholders and the country. Self-assessment underpins many quality and performance improvement initiatives and can be used to improve understanding of the entity under assessment and to identify opportunities for continuous improvement (McGiffen, 1998). Self-assessment is the approach that helps to get the answer to these questions based on facts and evidence in a systematic manner. It also provides the basis of strategic planning for continuous improvement of education.
- 1.2.3 The assessment of quality in higher education is now on the agenda of many countries (Gandhi, 2013). Netherlands, in recent times, has made a significant effort to assess the higher education in Dutch Universities. The rise of private higher education in Portugal has made the Portuguese Council of Rectors (CRP) introduce a quality assessment mechanism. Among all the three Scandinavian countries, namely Sweden, Norway and Denmark have introduced the quality assessment system. The quality movement in the East, the Far-East and the Asian countries is encouraging. Japan, Australia, China, Hong Kong, Philippines are in the business of quality assurance and accreditation using the approach of self-assessment. It is also recognized in the USA that self-assessment is the foundation for quality assurance and accreditation.

1.3 Significance of Self-assessment in Quality Assurance

- 1.3.1 Quality assurance in higher education is a global practice now. With the changes in higher education landscape and emerging needs of the stakeholders there is an urgency to look into the effectiveness of the academic programs. Higher education must be more closely aligned to the needs of the community, needs of the graduates to explore their potential in terms of employability and lifelong learning. Universities should focus on preparing graduates with positive mindset, skills and competence, which would help them to find a good fit into the social system. In order to drive the QA system towards the right direction following questions are very critical:
 - 1.3.1.1 Understanding the current state of quality of education the institution is providing;
 - 1.3.1.2 Identifying the areas and issues that need to be addressed and improved to enhance and maintain quality in education
 - 1.3.1.3 Integrating the concerns of major stakeholders into the educational system to provide better experience
- 1.3.2 The self-assessment exercise is an effective approach to gain a clear understanding of current situation by an informative SWOT analysis. The self-assessment exercise helps to judge the overall effectiveness of academic program and educational processes. It provides an opportunity to attain a deeper understanding of the areas that may need improvement. Thus, self-assessment becomes one of the core activities of the quality

assurance process. It has gained increasing importance to address the critical issues for credible quality assurance system.

- 1.3.3 The quality of education can be measured by the employability of the graduates and their capacity to launch startup business and becoming successful entrepreneurs. The quality of education can also be judged by the extent of its contribution to organizations and national development as well as to local and global communities. In an ever changing environmental setting the definition of quality education and requirements for quality education are also changing continuously. With the changes in the definition of quality education there is an urgency to look into the effectiveness of the existing academic programs and appropriateness of institutional capacity to maintain quality in education. Self-assessment uses observable performances as the basis or evidences for judgment that underpins program or institution to become responsive (Loacker, 2004_a).
- 1.3.4 Self-assessment becomes a very important exercise to the academic institutions for continuous improvement and quality assurance in education. It refers to a comprehensive and systematic process of collecting and analyzing information from major stakeholders on the QA areas and related aspects of the educational institution. The SA process allows the organization to identify the strengths and areas in which improvements are required for quality education. It also provides information to participants, allowing them to evaluate and understand the overall quality of academic programs. Self-assessment provides a direction and guidelines to prepare comprehensive improvement plan addressing the issues critical to quality assurance. The understanding and practice of self-assessment promotes developmental process. It is never exhaustive in its ability to grow. It enables the participants of the program and/or institution to observe the situation precisely and to identify the deficiencies between expectations and actual performances (Loacker, 2004_b).

1.4 Objectives of Self-Assessment Exercise

The general objective of the Self-Assessment is to improve the quality of education addressing the needs of the major stakeholders and national relevance. The specific objectives of self-assessment exercise are to:

- 1.4.1 Identify learning needs: Employability of the graduates and ability to contribute to organizations and national development are very critical to ensure quality in education. Education is all about gaining a set of skills to match with the requirements for employment, career development, lifelong learning and socioeconomic development as well. As such, it is very important to understand what the students need to learn to develop the required skills.
- 1.4.2 Assess the teaching learning capacity of the institution: Teaching learning is the core of all academic institutions. It is very important to assess the capacity of teaching learning to attain the learning objectives.
- 1.4.3 Review the existing procedures: To provide quality education in respect of changing needs of the society, it is important to measure the effectiveness of existing procedures and provisions in practice in the university.
- 1.4.4 Identify the areas need to be improved: Quality in education is the outcome of a comprehensive process composed of several distinctive but interrelated elements. All the elements or component of the process must be up to the mark to meet the quality

standard. Self-assessment is to identify the areas of the process or individual practitioners, which need reinforcement and further improvement to enhance the capacity of the institutions or individuals to make the total system effective to provide and maintain quality in education.

- 1.4.5 Create a basis for external assessment and validation.
- 1.4.6 Provide guidelines or direction to the program offering entity or to the University for strategic planning.

1.5 Principles of Self-Assessment

- 1.5.1 **Improvement:** Self-assessment is a process not to prove anything but to improve.
- 1.5.2 **Participation:** Self-assessment should be done under a collaborative effort. For effective self-assessment it is required to have the participation of all the members or representatives of all the major stakeholders of the entity.
- 1.5.3 **Reflection:** It is required to consider the concerns and opinion of all the major stakeholders of the program and university under assessment.
- 1.5.4 **Coverage:** Self-assessment need to cover the multidimensional aspects of the entity and QA areas.
- 1.5.5 **Facts driven:** It is necessary to create a broad and logical basis of the self-assessment. All the findings of the SA exercise should be based on facts and information.
- 1.5.6 **Sensitization:** It is very important to share the SA findings at least with the internal stakeholders, faculty members, students and officials(IUCEA, 2010_a).
- 1.5.7 **Acceptance:**SA findings need to be accepted by the academics, officers, and students.
- 1.5.8 **Endorsement:** The self-assessment report is required to be endorsed by the head of the entity under assessment.
- 1.5.9 **Continuity:** The environment, standard and requirements for quality education are changing continuously. Self-assessment for improvement is not one time assignment. Self-assessment should be done in a permanent and cyclical process of quality assurance.

1.6 Program Self-Assessment

- 1.6.1 University is basically made of the core academic activities of teaching learning and research. The most important aspects of quality education generally refers the quality of teaching learning and research. Generally, all these academic activities are taking place at the program level. Program level self-assessment measures the success and effectiveness of the program against the set goals and objectives. Self-assessment of program is very critical for improving its quality of teaching learning and research. It is also a requirement for program accreditation. A program review is a cyclical process for evaluating and continuously enhancing the quality and effectiveness of the programs under assessment.
- 1.6.2 Program self-assessment is the systematic collection, review, and use of information about educational programs undertaken for the purpose of improving student learning. It involves the thorough examination of all aspects and components of the program in respect of stakeholders' opinion. It is a process of identifying the strengths

and weaknesses of the program in terms of capacity of effective teaching learning, student performance assessment, program management, ability to provide students supports services and adequate physical facilities. Program self-assessment helps the program offering entity to:

- 1.6.2.1 better understand the ongoing programs under assessment;
- 1.6.2.2 revisit the program objectives and goals;
- 1.6.2.3 redress the intended learning outcomes of the program, if necessary;
- 1.6.2.4 identify the areas of strengths, weaknesses, opportunities, threats (SWOT) and emerging changes to make the program updated and need based;
- 1.6.2.5 assess the adequacy of student support services for effective teaching learning;
- 1.6.2.6 assess the progress of improvement desired; and
- 1.6.2.7 develop strategic plan with commitment and priorities for further improvement

1.7 Institutional Self-Assessment

- 1.7.1 Quality comes out of a well-structured process or system. This system refers institutional arrangements including infrastructure, functional statutory bodies, organizational set up, evidence of good practices, and guiding principles for education. It is the ultimate responsibility of the universities or institutions to ensure quality in education. It needs the enabling framework of well-functioning internal quality assurance system, policies and procedures in place with adequate resources and commitment. Institutional self-assessment is an on-going process designed to assess the extent to which the institutional arrangement of the university supports the attainment of student learning outcomes. It covers all the elements of institutional arrangements of the university to provide education.
- 1.7.2 The outcome of institutional self-assessment is a holistic and comprehensive analysis of its compliance to eligibility requirements and to meet the standards. The institutional accreditation process starts with an institutional self-assessment against the requirements to be an accredited institution and in terms of its stated mission and objectives (WASC, 2012). Generally, the institutional self-assessment serves following purposes:
 - 1.7.2.1 provides feedback regarding the strengths and weaknesses of the process of providing education;
 - 1.7.2.2 identifies the problems to ensure healthy, safe, protective and gender-sensitive environment for quality education;
 - 1.7.2.3 periodic review of these policy and procedures for effectiveness;
 - 1.7.2.4 ensure transparency and accountability;
 - 1.7.2.5 prompt, appropriate, and sensitive managerial action to redress problems, supported by adequate information;
 - 1.7.2.6 benchmarking and preparation of comprehensive strategic plan for further improvement;
 - 1.7.2.7 facilitate external quality assurance and institutional accreditation; and
 - 1.7.2.8 promote a culture of continuous improvement.

Chapter 2

Self-Assessment Criteria and Standard

2. Developing QA culture requires special attention to the QA areas. In respect of current setting following quality assurance areas may be considered as the self-assessment criteria:

2.1 **Criteria 1: Governance**

In the face of dramatic changes over recent decades in higher education landscape governance has become a crucial issue in quality assurance in higher education. Governance at university encompasses the organizational structures, legislative framework and processes through which, policies and programs are developed, managed and delivered. Governance facilitates the achievement of the stated mission and objectives of the university. The central administration and statutory bodies like the Vice Chancellor, Board of Trustees, Syndicate, and Academic Council are the powerful actors in university's governance system. The players involved in ensuring the governance at the university includes all the administrative layers from top management to the program level management. Some of the areas of governance at the university include the following but not limited to:

- 2.1.1 **Mission and objectives:** Mission and objectives of an institution or program offering entity describe the purposes and stakeholders of the institution and program offering entity

Standard 1-1: Mission and objectives are defined in respect of national relevance in compliance with the legal requirements, QA requirements and external reference standards.

Standard 1-2: Intended learning outcomes must satisfy the mission and objectives of the program and institution.

- 2.1.2 **Management:** Good governance and quality assurance depends on the integrated approach of management by the statutory bodies and individual units of the university. It needs commitment, sense of responsibility, team work, collaboration and coordination among the top management, academic, administrative and support units of the university.

Standard 1-3: The University must have an organizational structure and organizational units with defined responsibilities in compliance with the legal framework under which the university is established.

Standard 1-4: The institution/program offering entity must review and ratify the policies and procedures periodically with an objective of further improvement.

Standard 1-5: Code of conduct for the students and code of conduct for staff members and disciplinary rules and regulations are well defined and well communicated.

- 2.1.3 **Accountability & Transparency:** Accountability and transparency are very critical to develop stakeholder's confidence and trust. It needs proper documentation and access to

information relating to all aspects of management of academic programs and the university.

Standard 1-6: The University must have a well-designed website, which will contain all sorts of information of the university and programs with easy access to the stakeholders.

Standard 1-7: A student handbook containing mission, objectives, graduate profile, academic calendar, rules, regulations and program related information in details.

Standard 1-8: Documentation at all levels of university administration from central to individual faculty members.

2.1.4 **Academic leadership and autonomy:**At this age of globalization and knowledge economy higher education institutions are going through many changes. To manage these changes favorably, increasing emphasis is being placed on good governance strengthening institutional leadership and greater administrative autonomy. Leadership, institutional autonomy and proper exercise of academic freedom have immense effect on the achievement of organizational mission and objectives.

Standard 1-9: In order to be responsive to the emerging changes and needs universities and the academic units of the university must have effective institutional leadership and sufficient autonomy.

Standard 1-10: The academic leaders and the faculty members must be judicious and guided by the values of quality assurance

2.1.5 **Stakeholder's Feedback:** Active role of major stakeholders, particularly employers and students, in higher education process is highly recognized for quality assurance. In terms of designing curriculum, teaching learning methods and assessment procedure stakeholders should have the opportunity to place their opinion on the issues what the student should want to learn, and how they should learn. More especially, stakeholders must be offered the opportunity to provide the feedback regarding the effectiveness of academic programs, teaching learning practices and overall performance of the institution. Such provision will make the employers aware about the outcomes of university industry collaboration and their strategic roles to human capital development for mutual benefits. At the same time students will be more aware of career requirements, what they are doing and why they are doing it in terms of academic preparation. It can be an effective way of motivating students to learning and attainment of learning objectives and making students accountable as well. Systematic feedback process could help to maintain sound academic environment. Stakeholder's opinion survey under self-assessment exercise explores many useful comments and suggestions, which are very critical to quality assurance in education. Systematic approach to collect and due response to their ideas, evaluation and comments would help the university and program offering entities to make the QA practices more acceptable, affordable and logical.

Standard 1-11: Management of stakeholder’s feedback to get useful insights for the purpose of improvement in all aspects of teaching learning and research.

2.2 **Criteria 2: Curriculum Content Design & Review**

Curriculum refers to a well-defined and prescribed course of studies, lessons and activities, which students must complete to fulfill the requirements for acquiring the degree. Self-Assessment will facilitate the integration of the procedure in redesigning, modernizing and updating the curricula to accommodate the job market requirements. The curriculum plays a crucial role in achieving the mission and objectives of the university including the intended learning outcomes and overall effectiveness of the programs. Curriculum design & review process include:

2.2.1 **Involvement of stakeholders;**

2.2.2 **Need assessment:** Regulatory requirements, qualifications framework, existing & emerging industry needs, general societal factors, community needs, professional & career requirements etc.;

2.2.3 **Content& Structure:** Selecting courses for foundation, general development, major, minor, categorization of courses, audit course & capstone;

2.2.4 **Defining Course Learning Outcomes (CLO):** Observable, specific and measurable learning outcomes in terms of knowledge, skills and attitude;

2.2.5 **Skill development mechanism or strategy;**

2.2.6 **Evaluation & Review:** Review process and involvement of major stakeholders with special attention to achievement of CLOs, employability of the graduates, course evaluation by the students and respective course teachers, identifying gaps and lapses in existing curriculum through curriculum alignment, initiative to close the gap. To cope with the globalization, ongoing developments and changes across the environmental setting there is a strong need to integrate the concerns of major stakeholders in the curriculum. The curriculum needs to be reviewed to ensure relevance to industry and society. For the purpose of review concerns of major stake holders like students graduates and employers should be considered with due importance.

Standard 2-1: University must have a well-defined procedure to design and review the curriculum of academic programs periodically.

Standard 2-2: There must be a program specific body or committee with representation from the major stakeholders to take care of design and redesign of curriculum.

Standard 2-3: Designed curriculum with valid basis and all changes in the curriculum with specific reasons must be properly documented.

Standard 2-4: Curriculum must be aligned with program objectives, intended learning outcomes through proper skill mapping.

Standard 2-5: Designed curriculum must satisfy the mission and defined graduate profile.

2.3 **Criteria 3: Student Admission, Progress and Achievements**

2.3.1 **Entry qualification:** It is a fact that choice of program and institution matters for

career of the graduates. At the same time, it is very important to have the eligibility of the students interested in higher education under a particular program. Prior educational attainment remains the best single indicator to complete an academic program successfully. Quality of learners in terms of commitment and prerequisite qualifications are very important to afford the study load, understand the subject matter and comply with the program requirements. The eligibility requirements may vary from one program to another and university to university. As such, each university may set the general and discipline specific entry requirements and select the eligible for a particular program. Entry requirements are the minimum qualifications, knowledge, skills and/or experience that an applicant must have in favor of his candidature for a particular academic program.

Standard 3-1: Entry requirements must be well defined, measurable and communicable to the potential candidates for admission.

Standard 3-2: Entry requirements must reflect the level of qualifications required to afford the academic load of a particular program and match with the nature of the discipline.

2.3.2 **Admission Procedure:** In Bangladesh, increasing number of students are coming for higher education from many streams of secondary education. Many of these students may have the entry qualifications to get admission into an academic program and university they are interested to study. But, it is a reality that opportunities for higher education in the preferred universities are always limited. Universities are required to select the candidates from a pool of diverse applicants who collectively will form the best possible group of students. Selection of the eligible candidates for the particular academic program is important to maintain quality in education.

Standard 3-3: The admission process ensures fair treatment to all applicants with transparent and good practices and do not discriminate applicants in any way.

2.3.3 **Progress & Achievement:** Achievement is the extent to which a student has demonstrated knowledge, skills, values and attitudes as the result of the teaching-learning process. It is measured by assessing how well students performed in relation to stated standards. On the other hand, **progress** is measured by how much achievements students make over a specific period of time (i.e., year-to-year, semester-to-semester, etc.). Progress and achievement present a complete picture of student learning. Program offering entities have to identify and keep records of the student achievements. It will determine the progress students are making toward the attainment of learning goals against the set standard. Tracking and recording of students' progress and achievements help to decide on the pre-requisite qualifications of the students for the next step of learning in the process. Overall of achievements, at the end, will fulfill the degree requirements and form the basis of qualification. Students who achieve well and showing satisfactory progress are more likely to be successful at the next stage of their education and in their lives beyond university. It is crucial that schools¹ gather, collate, analyze and use valid and reliable information about students, such as their achievement, progress and attitudes to learning. This information is used to make

¹ School means the academic unit of a university, e.g., department, faculty, institute etc. that form the core of program delivery entity of the institution.

decisions at a school-wide, cohort, classroom, group and individual level. Effective use of data is linked to improved decision making in the governing, leading and managing, and effective teaching dimensions. Self-assessment is a key mechanism through which schools and teachers can gather and analyze information on the effectiveness of what they do, and their progress towards their goals and targets. It involves investigating evidence about student engagement, achievement and progress, and current ways of doing things to find out where improvement is needed. Schools and teachers use the results to inform their decisions about priorities for improving engagement, progress and achievement.

Standard 3-4: The quality assurance system of universities should be in place to assure that levels of students' achievements and progress are monitored and recorded duly for the use of reference points, evaluation of achievement and meaningful academic guidance and counseling.

Standard 3-5: The quality assurance system of the university maintains a record of the total number of years, semester, and credits, for each student, to be eligible for certification and other credentials.

2.4 **Criteria 4: Physical Facilities**

The universities are to provide education and it does not take place in a vacuum. Quality physical facilities are integral part of the quality learning opportunities at the university. Physical facilities create favorable learning condition and facilitate the attainment of learning objectives. Physical facilities that are very important for strengthening effective teaching learning and provide quality education include:

- 2.4.1 **Classroom** facilities must be adequate and well equipped with modern teaching aids, e.g., multimedia projectors, public address system, DVD player etc.;
- 2.4.2 **Library facilities** with quality text books, reference books, journals, documents, literature and access to digital library facilities and e-learning materials;
- 2.4.3 Information Technology resources with Internet connectivity;
- 2.4.4 **Laboratory and field laboratories** must be adequate, well equipped, accessible and useful;
- 2.4.5 **Medical facilities** must be adequate, well equipped, accessible and useful to provide emergency healthcare services ensuring health and hygiene within the campus;
- 2.4.6 **Other facilities** like clean, spatially adequate and separate leisure rooms for male and female students, cafeteria facilities with nutritious and safe food, reading rooms, theater, auditorium for staging cultural programs etc. Clean and hygienic toilets and washrooms for male and female students. Playing field, gymnasium, lawn tennis, badminton and table-tennis courts, cycling track and swimming pool etc. also constitute good facilities for overall development of students.
- 2.4.7 In addition, some discipline specific facilities, very critical for proper learning, need to be ensured. For example, clinic & hospital and farmland facilities for disciplines like Dentistry, Veterinary Science, Medicine and agriculture etc.

Standard 4-1: For the purpose of quality assurance in higher education it is to be ensured that the physical facilities as required for a particular academic program are appropriate, adequate, comfortable, safe, aesthetically pleasing and well managed.

Standard 4-2: The higher education institution provides and ensures access to the necessary information technology resources, computers, Internet, and other communication equipment for the teachers and students.

2.5 Criteria 5: Teaching - Learning and Assessment

2.5.1 Teaching Learning: Teaching learning constitute the core of education. It is the responsibility of the educational institutions to ensure effective teaching learning for quality in education. For the purpose of effective teaching learning following factors are very critical:

2.5.1.1 Quality Staff: It is to be ensured that the staffs of all categories including academic, support, technical and administrative are adequate and skilled to meet the requirements of academic standards and strategies of teaching learning.

2.5.1.2 Appropriate teaching learning methods: Teaching learning method, in fact, sets the stage for everything in terms of learning outcomes. Efforts in this area pay great dividends in terms of attainment of learning goals and quality of education as well. Attainment of learning goals depends on the role and involvement of students and teachers in the process. Teachers need to be diligent in transferring new knowledge to the students effectively so that the goal of teaching learning succeeds. The teachers should use innovative teaching techniques to make the students keen, focused and interested to learn the subjects taught, and are able to maintain a scholarly approach for engaging students in academic activities.

2.5.1.3 Use of Lesson plan: Use of lesson plan is a growing practice in teaching learning internationally. It specifies the subject matter to be taught, learning objectives and assessment of that learning for each and every class. As a result, at the beginning of a session students become very clear regarding what will be taught, how will it be taught, how will the attainment of learning be assessed and subjects they are supposed to learn. Documentation of lesson plans will enable one to determine the level of students' learning in any particular course and help the students to plan for learning of a course at the next level of academic life.

2.5.1.4 Technology integration: At this age of information technology work has become increasingly IT centric. As such, IT integration in teaching is very critical for quality in education. IT integration in teaching learning will make it a lot easier, attractive and more effective to communicate ideas and complex subjects meaningfully in class rooms. In addition, use of IT in teaching will encourage students to use e-contents to improve learning, access e-resources for studying and research, use information technology for academic preparation and problem solving.

2.5.1.5 Focus: Teaching learning in higher education must address the higher order of learning in educational domain, i.e., application to creation. At the tertiary level of education heightened cognitive skills are very important. Efforts should be made to develop the skills of original thinking and creative faculty.

2.5.1.6 Skill Development Mechanism: It is required to keep in mind that education is all about to gain a set of skills. Such skills will make the graduates competent to face the reality of life, to develop the attitude of lifelong learning and to contribute to the socioeconomic development of the country. As such, teaching learning should not be

confined within the class room only. Classroom learning is not enough to develop the desired skills. Universities must have a comprehensive skill development plan incorporating the curricular, co-curricular and extra-curricular activities.

Standard 5-1: Teaching learning practice is interactive, motivating, promoting sense of responsibility and commitment.

Standard 5-2: Teaching learning practice involves practical evidence, initiates critical thinking, and inspires students to apply acquired knowledge in the real life situations focusing on higher order of learning.

Standard 5-3: Teaching learning practice integrates the use of technology and also should provide students with opportunities to use these skills in academic preparation, both within and outside of the classroom

Standard 5-4: Teaching learning practices provide enough scope to integrate co-curricular and extra-curricular activities for intended skill development.

Standard 5-5: The teaching learning methods and opportunities must ensure that the identified skills are transferred to students.

Standard 5-6: Use of lesson plan should be formalized in teaching learning practice with proper documentation and access.

2.5.2 **Assessment of Student Performance:** The purpose of higher education is to make the students capable of using knowledge and understanding to identify, clarify and provide best possible solutions to issues and emerging problems relating to individual, workplace, society and the country. Students are required to gain the multiple skills to make them capable of serving the purposes of higher education. Students gain these multiple skills through the achievement of intended learning outcomes of study programs. Assessment of student performance is a systematic process of collecting, analyzing and interpreting information to determine the extent to which intended learning outcomes have been achieved. Assessment creates a basis for judgment on the performance of student. Effective and appropriate performance assessment procedure is very important to judge the level of attainment of learning outcomes and skill development.

Standard 5-7: Students are well informed about the criteria, processes, techniques, tools and rubrics that will be used to assess performance.

Standard 5-8: In line with teaching learning student performance assessment approach must be focused on higher order learning.

Standard 5-9: Assessment procedure should be comprised of a set of multiple activities to measure the attainment of learning outcomes and skills.

Standard 5-10: Assessment procedure must be designed to test abilities and skills of student for integration and application of knowledge and analytical approaches.

2.6 **Criteria 6: Student Support Services**

Student support services are to meet the personal and academic needs of the students. The support system is ‘an educational necessity’ and both students and staff benefit from it (Lea & Farbus, 2000). It contributes to the social and academic development of the students, enhance quality learning experience and educational achievement of the students by meeting their diverse needs. It also promotes the intellectual development. Student support

services facilitate to build a student-level community that creates a sense of belongingness, friendly and congenial academic environment through socialization, collaborative efforts and student involvement. Generally, the provision of student support services includes the following:

- 2.6.1 **Academic guidance and counseling:** Academic environment at the tertiary education is significantly different from that of secondary level. It is very critical to guide the students so that they can cope with the challenges and opportunities of university life. Sufficient and proper academic guidance and counseling beyond regular class-room lecture time is very effective in making the students serious regarding studies and motivate them to explore the ever expanding frontier of knowledge.

Standard 6-1: Academic guidance and counseling should be formalized with proper documentation.

- 2.6.2 **Co-curricular & Extra-curricular Activities:** Co-curricular and extra-curricular activities are the integral part of the skill development mechanism. University must have some departments or centers like Department of Physical Education, Teacher Student Cultural Centre (TSCC) and facilities to stage drama, hold debates, musical soiree, publish journals and exhibit fine arts. In addition, at the department or program level students association or society, like debating club, environment club, culture club etc. should be allowed. These organizations shall be developed with specific responsibilities or terms of reference to organize sports, entertainment programs and cultural activities on a regular basis involving students.

Standard 6-2: Organization and Participation in co-curricular and extra-curricular activities should be recognized as an integral part of skill development mechanism and quality education.

Standard 6-3: Co-curricular and Extra-curricular activities should be encouraged with reasonable time to participate.

- 2.6.3 **Career & Placement:** Quality of graduates is mostly measured by the employability and their capacity to launch startups and the extent of contribution they make to the organizations, community and national development. All types of jobs are not necessarily suitable for all graduates. Career counseling and placement arrangement can play a very critical role to get the right job opportunities and select suitable career.

Standard 6-4: Career counseling and activities relating to placement of graduates need to be done on a regular basis under the management of a permanent administrative setup.

- 2.6.4 **Alumni Services:** Well organized alumni association is very effective to get in touch with the industry and working life. It would also help the university to develop institutional network and university industry collaboration (UIC) for promoting research and placement of the graduates.

Standard 6-5: The university and program offering entities should have well organized and meaningful alumni association to support the quality education efforts.

Standard 6-6: The university and program offering entities should have a formal system to collect alumni feedback on the effectiveness of academic programs, emerging changes in the industry and working life.

Standard 6-7: The university and program offering entities should organize programs relating to career guidance and university industry collaboration (UIC) with the active participation of alumni association.

2.6.5 **Community Services:** The quality assurance system needs to ensure that the university makes a significant contribution to the community, society and country. Community involvement is an effective way of understanding the social issues and working with people. Community involvement will provide students with opportunity to synthesize academic learning with real life situation and contribute to the community development. When students are in a real life situation that pushing them to make the effective decisions they tend to think critically to resolve the problems. It aims to enhance students' knowledge, skills and confidence. It also makes an important contribution towards promoting lifelong learning, social inclusion and active citizenship.

Standard 6-8: Students have the opportunity to involve themselves in community services under the management of the program offering entity in an organized manner on a regular basis.

2.7 **Criteria 7: Staff and Facilities**

At any university or program offering entity the academic and non-academic staffs are the major players in teaching learning and research along with the students. Efficiency and commitment of these staffs are the key success factors to all academic activities and quality assurance system. Teaching staffs are creating knowledge through research and transfer the same to the students through teaching learning practices. On the other hand, non-academic staffs must have active role with the necessary depth and breadth of technical knowledge and experience to support the academic activities of the entity. To have an effective team composed of academic and non-academic staffs following areas are very critical:

2.7.1 **Recruitment:** Sufficient number of academic staffs is very important to provide continuity and stability, cover the curriculum adequately and effectively, allow for scholarly activities in teaching learning and research. Universities are also required to maintain reasonable teacher student ratio and affordable suitable for particular discipline.

Standard 7-1: In order to select the right person for the right job university must have a transparent, fair, appropriate and properly documented recruitment policy specifying the entry qualifications and outlining the key stages for both academic and non-academic staffs.

Standard 7-2: Salary and incentives should be reasonable to attractive and retain the talented and experienced staff members.

Standard 7-3: Academic staff are working as a team with highest level commitment and sincerity.

Standard 7-4: Faculty are very serious and keen to enhance professional knowledge and skills through research and higher study leading to PhD degree.

2.7.2 **Staff Development:** Quality assurance recognizes the importance of training and development. Training is very important to enhance the professional skills of the staff and to keep them up-to-date with best practices in quality assurance.

Standard 7-5: All academic staff must have training or orientation for effective academic guidance and counseling.

- 2.7.3 **Peer Observation:** Peer observation is an effective approach to get useful insights to improve teaching capacity and quality. In some cases it is very difficult to identify ones' own mistakes and limitations. In that case, peer observation provides an opportunity to learn from each other and to improve. Peer observation also helps experienced staffs to share the good practices with the new and relatively less experienced staff members. Such provision of mentoring is very effective to develop the professional skills of young and newly recruited staff. Peer observation means a process in which a colleague or other nominated individual is invited to observe one's class or way of doing a particular job and give feedback. Peer observation is a powerful tool for developing a culture of good practice. Such good practice may be used for the students also under the oversight of the faculty members.

Standard 7-6: Formal and documented peer observation is in practice in the entity.

- 2.7.4 **Career Development:**

All employees are expected to participate in some form of career development every year. Career development encourages continuous self-improvement and a commitment to lifelong learning. It results in increased job satisfaction, enhanced capabilities and higher performance. Thus, Career development provides staffs with opportunities to build productive and satisfying careers while contributing to the achievement of the university's mission.

Standard 7-7: University should have provisions for holding seminars and workshops to share new knowledge among the faculty and explore innovations.

Standard 7-8: Promotion or appointment to any higher position or assigning any responsibility in the university must be on the basis of well-defined key performance indicator (KPI).

- 2.7.5 **Key Performance Indicators (KPIs):** Well-defined KPIs may act as a source of motivation and means to ensure accountability of staff. University may use Teaching Performance Indicators (TPIs) and Research Performance Indicators (RPIs) of the teachers as key performance indicators. Performance of an academic institution should not be confined to producing graduates in terms of quantity only. It is important to have specific performance and success indicators that contribute to graduates' skills development, teaching learning, research and extension services, national and international recognition and contribution to socioeconomic development. Similarly, faculty members should not limit their activities within self-development by research and publications only. Rather, teaching performance should be measured based on student evaluation and peer observation, contribution to skill development of the students, quality teaching-learning. Research with national relevance and extension services, national and international recognition and socioeconomic development need to be considered as key performance indicators.

Criteria 8: Research and Extension

The prime objective of higher education is to contribute to the sustainable development and improvement of society as a whole. It is undeniable fact that research forms the basis of creativity and innovation, which are very critical for sustainable socioeconomic

growth and development. Research also makes teaching learning effective and practice oriented. More specially, universities generally have mandates, resources and opportunities for research.

Standard 8-1: University must develop capacity with appropriate facilities and provisions to undertake research with national relevance and give due motivation and recognition to researchers.

Standard 8-2: University should have a system and policy to disseminate and transfer the research findings to the industry and community through extension services.

Criteria 9: Process Management & Continuous Improvement

Quality assurance system refers to a set of administrative and procedural activities with systematic assessment in respect of standard, feedback, remedial measures and monitoring. The total system is focused on process output, which refers to quality in education and achievement of objectives. Several interventions are needed to assure internal quality and continuous improvement, which includes faculty development, external evaluation, linking program with corporate world, adopting good practices and developing quality culture in all walks of academic management. The processes by which QA activities will be executed and quality in education will be assured must be in place, properly managed, periodically reviewed, evaluated and updated for continuous improvement. Top management of the university should have commitment for developing quality culture which recognizes the importance quality assurance in practice.

Standard 9-1: University or the entity must have internal quality assurance system with set policies and procedures for quality assurance.

Standard 9-2: The University or the entity conducts self-assessment following a cycle, develops strategic plan, identifies the limitations to implement the plan and adopts corrective measures for attainment of desired quality.

Standard 9-3: The University or the entity continually and systematically review the effectiveness of the procedures to meet the objectives.

Chapter 3

Self-Assessment Process

3.1 Self-Assessment Mechanism

- 3.1.1 **Organizing for Self-Assessment:** Self-assessment may be considered as the groundwork for effective decisions and work plan relating to quality assurance and further improvement. For an effective self-assessment critical review of current state of practices in respect of the set criteria and standards is very important. But the job is not a stand-alone exercise. Instead, the self-assessment should be the culmination and coordinated efforts by several group of people in the university or program offering entity. It should be done as a permanent and cyclical process. In order to be effective in organizing self-assessment major stakeholders must have a clear understanding of the self-assessment process, its scope and limitations. In many cases, self-assessment is undertaken because the leaders of an institution, or an external agency, demand it (Lemaitre *et al.*, 2007). But if it is not considered useful and worthwhile for the academic improvement, it will not be effective. It is necessary to have significant internal motivation to go for self-assessment. Self-assessment is to be done with the spirit of team work and involvement of all the parties of the entity or institution. Strong commitment and institutional supports are also very important to maximize the benefits of self-assessment. Therefore, arrangement of workshop or discussion on the self-assessment process and its significance in quality assurance would be effective to mobilize the internal stakeholders of the entity for self-assessment. Institutional Quality Assurance Cell (IQAC) has to take the lead role in this regard.
- 3.1.2 **Self-Assessment Committee (SAC):** There shall be a three member Self-Assessment Committee in each program offering entity of the university. The Dean/Chairman/Head of the program offering entity will form the Program SA Committee (PSAC) for the entity. The Head and two members of SAC shall be filled up by the interested, experienced appropriately qualified senior faculty of the entity under assessment. The SAC will be formed and function for one year. During this one year period the SAC will conduct the self-assessment and facilitate the external peer review and prepare the improvement plan for further academic development. In addition, the SAC will oversee the QA related activities within the program offering entity and will make sure that all the QA activities undertaken by the **IQAC** and applicable for the entity are being implemented properly. The SAC in cooperation with **IQAC** will work to develop the QA culture within the entity.

3.2 Responsibilities for Self-Assessment

As it is the responsibility of the university to ensure quality in education, ultimately, the responsibility of self-assessment goes to the university authority. In order to promote the quality culture within the university, on behalf of the university, the **IQAC** of the university will take the prime responsibility to carry out the self-assessment exercise. However, as integral parts of the university system all the units of university have its specific responsibility relating to self-assessment. The specific responsibilities of self-

assessment are as follows:

3.2.1 Responsibilities of the IQAC

- 3.2.1.1 Initiative to conduct self-assessment with the concurrence of QAC and the Vice Chancellor of the University.
- 3.2.1.2 Placing all the Self-assessment Committees for approval of the Vice- Chancellor.
- 3.2.1.3 Provide administrative and support to carry out the self-assessment exercise including external peer review of the SAR.IQAC is also responsible to provide adequate funds to meet the costs associated with the SA process activities as per the SA budget.
- 3.2.1.4 Appointment of the individual consultants for the purpose of external peer review of program self-assessment following the provisions stated in the SA Manual in consultation with the respective program offering entity and approval of the Vice Chancellor.
- 3.2.1.5 Appointment of the Individual consultants or recognized agency for the purpose of external peer review of the institutional self-assessment following the provisions stated in the SA Manual and with the approval of the Vice Chancellor.
- 3.2.1.6 Preparing the schedule for external peer review of institutional self-assessment, inviting the external peer reviewers, making necessary arrangements and providing supports to the external peer review activities, so that they can carry out the review activities properly.
- 3.2.1.7 IQAC will preserve the SAR and External Peer Review report for the preparation of Annual Quality Assurance Report and take necessary steps to forward the same to the QAU, UGC.
- 3.2.1.8 IQAC will arrange the workshop inviting the representation from major stakeholders to share the findings of the institutional self-assessment in presence of the QAC.
- 3.2.1.9 Develop the strategic plan for the university based on the institutional self-assessment and improvement plans of the program offering entities.

3.2.2 Responsibilities of the Dean of the Faculty

- 3.2.2.1 Oversee the self-assessment of program offering entities under the faculty.
- 3.2.2.2 Keeping records of program self-assessment and external peer review reports.
- 3.2.2.3 Facilitate the preparation of improvement plan for the program offering entities under the faculty.
- 3.2.2.4 Use the findings of self-assessment and external peer review of the program offering entities under the faculty for external correspondence and program accreditation.

3.2.3 Responsibilities of the Head of the Program Offering Entity

- 3.2.3.1 Formation of Self-assessment Committee (SAC) in response to the directives of the IQAC.
- 3.2.3.2 Arrangement of workshops relating to the self-assessment inventing all the faculty members of the entity.
- 3.2.3.3 Provide administrative and logistics supports (like meeting room, computers and photocopier facilities, office supplies such as paper, file folders etc.) to conduct the

self-assessment and oversee the self-assessment of the entity.

3.2.3.4 Organizing meeting inviting all the faculty members of the entity to share the findings of the self-assessment report (SAR).

3.2.3.5 Endorsement of the self-assessment report for external peer review and further academic development.

3.2.3.6 Providing supports and facilitating the external peer review of the SAR.

3.2.3.7 Keeping records of self-assessment and external peer review reports.

3.2.3.8 Facilitate the preparation of improvement plan for the entity and forward the same to the IQAC for further necessary actions.

3.2.3.9 Use the findings of self-assessment and external peer review for external correspondence and program accreditation.

3.2.4 **Responsibilities of the SA Committee**

3.2.4.1 Designing the self-assessment activity schedule.

3.2.4.2 Organizing awareness building workshop on Self-assessment and Quality Assurance in Higher Education to ensure the cooperation and participation of all staff members of the entity under assessment.

3.2.4.3 Preparing the survey tools (questionnaire) for major stakeholders i.e. students, alumni members, employers, academic staffs, non-academic staffs etc. and conducting the opinion survey to collect data and feedback from major stakeholders using separate questionnaire.

3.2.4.4 Data entry, analysis and preparing the self-assessment report (SAR).

3.2.4.5 Program Self-Assessment Committee (PSAC) will organize workshop to share the program self-assessment results with the faculty members and the representatives of major stakeholders in presence of the QAC.

3.2.4.6 PSAC will submit the final Program SA Report to the Head of the program offering entity and to the QAC for approval and endorsement.

3.2.4.7 Proposing the panel for external peer review to the IQAC. PSAC will prepare the external peer review schedule in consultation with the IQAC and Head of the Entity. SAC will make all the arrangements, providing necessary supports for external peer review and arranging meeting with the major stakeholders separately as per schedule so that reviewers can conduct the review process smoothly within the stipulated time. At least two weeks prior to the visit, the Head of the SAC should provide the reviewers with an advance copy of the Self-assessment Report, review schedule, peer review checklist and university handbook containing university mission and objectives and program details. On arrival, the Head of the SAC should provide following documents and facilities for effective external peer review:

- i) A copy of the peer review schedule specifying the names and designation of the high officials of the university to whom the reviewers will be speaking.
- ii) A copy of class routine
- iii) Peer review checklist and guidelines

- iv) University handbook containing mission, objectives and program details including curricula.
- v) Academic calendar for the program(s)
- vi) A private office room with computer, printer and necessary papers for use.
- vii) Access to the class room for teaching observation, course files, project papers, assignments, exam papers (question papers & answer scripts) etc.

3.2.4.8 Arranging workshop and preparing the draft improvement plan in respect of the SA Report findings and the recommendations of the external peer review panel. PSAC will submit the improvement plan to the Head of the Program offering entity and to the IQAC for further necessary actions.

3.2.5 Responsibilities of the Vice Chancellor

3.2.5.1 Approval the Self-assessment Committees.

3.2.5.2 Approval the selection of external peer reviewer.

3.2.5.3 Directives to the Heads of the various offices of the university administration to provide information to the PSACs for the purpose of self-assessment.

3.2.5.4 Meeting with the external peer review panel

3.2.5.5 Endorsement of the institutional self-assessment report for external peer review and further academic development.

3.2.6 Responsibilities of QAC

3.2.6.1 Critically review the proposed improvement plan and strategic plan of the university and particular program(s) and recommend for approval.

3.2.6.1 Critically review the proposals submitted by the IQAC and recommend for approval.

3.3 Self- Assessment Process at Program Level

Academic program(s) shall undergo a self- assessment (SA) exercise once in every four-year assessment cycle. The total process, starting from organizing for self-assessment to approval of the improvement plan including preparation of SA Report and external peer review, need to be completed within one year. The steps of the self-assessment process are as follows:

3.3.1 **Scheduling for self-assessment:** Self-assessment is a permanent and cyclical process of quality culture. As such, the IQAC will prepare a schedule for self-assessment of different program offering entities of the university and the institution as well. According to the schedule the Director IQAC will forward a written directive to the program offering entities to form the Self-assessment Committee (SAC).

3.3.2 **Formation of SAC:** Upon receiving the written directives from the Director of the IQAC, the Head of the program offering entity will arrange a meeting inviting the faculty members of the entity to constitute a program self-assessment committee. In the meeting, the entity will constitute the program self-assessment committee (PSAC) by interested, experienced and qualified faculty as per the provisions stated in IQAC Operations Manual (section 4.7). The Head of the program offering entity will send the

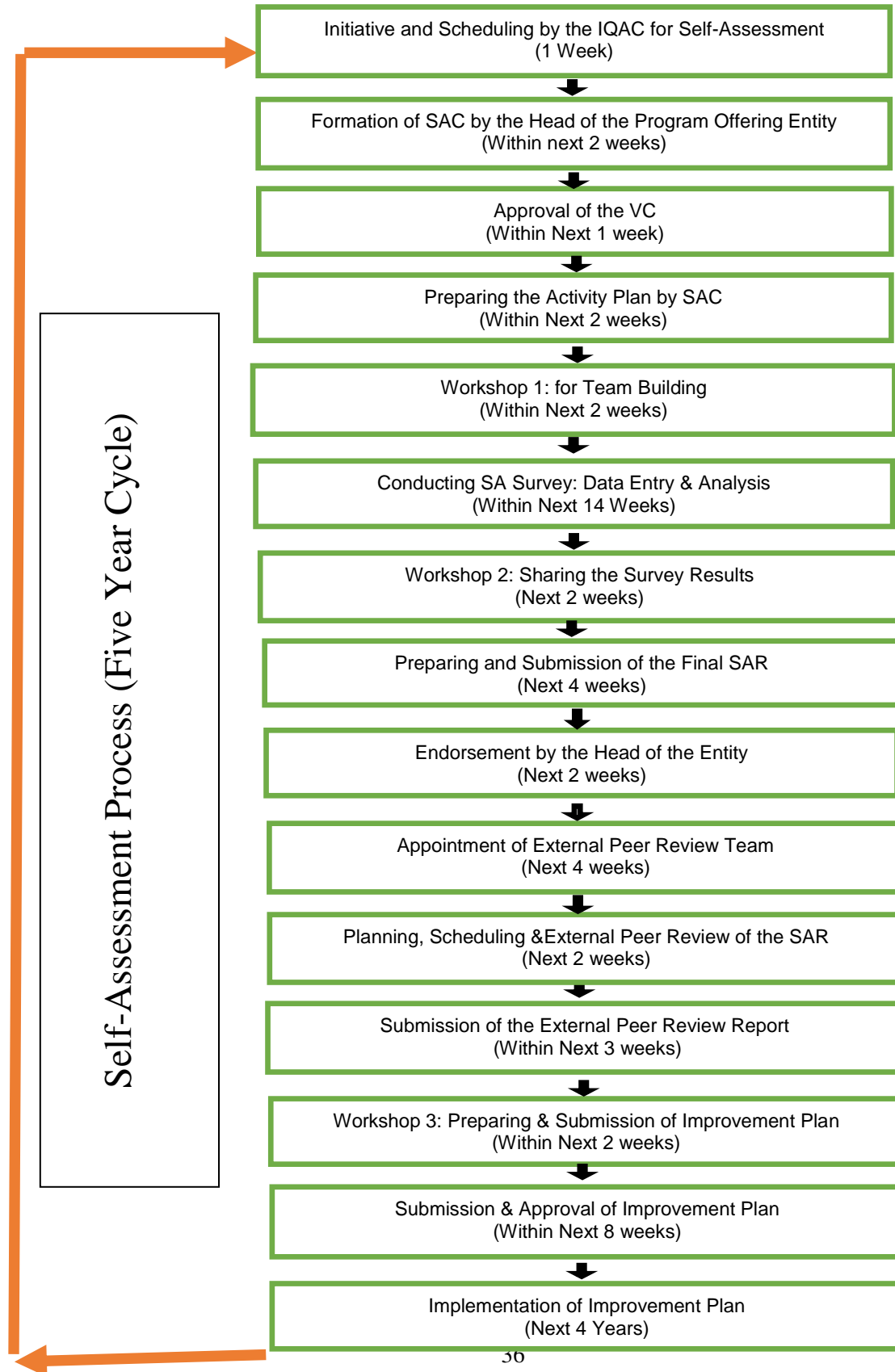
- PSAC to the Director, IQAC in writing for further necessary actions.
- 3.3.3 **Approval of PSAC:** The Director of the IQAC will place the PSACs received from the program offering entities for approval of the Vice Chancellor and inform the Head of the respective entity about the approval.
- 3.3.4 **Planning:** Upon approval the PSAC will design an activity schedule to complete the self-assessment exercise smoothly in an organized and planned manner.
- 3.3.5 **Team Building:** According to the activity plan, the Head of the PSAC, in consultation with the Head of the program offering entity, will organize an awareness building workshop on Self-assessment and Quality Assurance in Higher Education. This workshop is for clear understanding about the SA process and team building. It is very important to ensure the cooperation and participation with enough commitment of all faculty of the entity under assessment.
- 3.3.6 **Preparing for survey:** The PSAC will prepare the survey tools (questionnaire) for major stakeholders i.e., students, alumni, employers, academic staff, non-academic staff following the self-assessment criteria and standard. The PSAC will select the respondents using appropriate methods for the purpose of opinion survey.
- 3.3.7 **Conducting survey and review:** In cooperation of the faculty members the PSAC will conduct the opinion survey to collect data and feedback from major stakeholders using separate questionnaire. In addition, PSAC shall make a critical review of documents related to teaching-learning and research like curriculum, laboratory facilities, student performance assessment tools, students' progress and achievement etc. PSAC shall make the arrangements for data entry and analysis of information and feedback collected by stakeholder survey. On the basis of collected information, feedback and critical review observations the PSAC will prepare the draft self-assessment report (SAR) following the SA report format given in the SA Manual.
- 3.3.8 **Sharing the survey results:** Program Self-Assessment Committee (PSAC) will organize workshop to share the program self-assessment results with the faculty members. If needed, the concerned PSAC may arrange an open hearing and discussion over the second draft with all faculty members, officials and student representatives.
- 3.3.9 **Preparing the final SAR:** After all these formalities the concerned PSAC will prepare the final SA Report incorporating the valid suggestions and observations of the workshop and discussion. It is expected that the concerned PSAC will carry out the SA work activities sincerely to submit the final SA Report within next 6 (six) months after approval of the PSAC.
- 3.3.10 **Submission of SAR for endorsement:** PSAC will submit the final Program SA Report to the Head of the program offering entity and for endorsement. The Director IQAC will take necessary initiative to complete the external peer review and submission of peer review report within next 03 (three) months after submission of the final SAR.
- 3.3.11 **Selecting the external peer review panel:** PSAC will propose the panel for external peer

review to the IQAC. IQAC Director will make the necessary arrangements for selection and hiring of the peer reviewer and signing of contract with him/her. Concerned Head of the PSAC will invite the external peer reviewers for the purpose of review and validation of the self-assessment report.²

- 3.3.12 **Facilitating external per review:** PSAC will prepare the external peer review schedule in consultation with the IQAC and Head of the program offering entity. Concerned PSAC will make all the arrangements including meeting with the major stakeholders separately, ensuring necessary supports for external peer review so that the reviewers can conduct the review process smoothly within the stipulated time. At least two weeks prior to the visit, the Head of the PSAC should provide the reviewers with an advance copy of the Self-assessment Report, review schedule, peer review checklist and university handbook containing university mission and objectives and program details. On arrival, the Head of the PSAC should provide necessary documents and facilities for effective external peer review as stated in the section 3.2.4.7 of the SA manual.
- 3.3.13 **Preparing the draft improvement plan:** After completion of external per review the PSAC will prepare a draft improvement plan with benchmarking in respect of the SA Report findings and the recommendations of the external peer review panel. Program Self-Assessment Committee (PSAC) will organize workshop to share the draft improvement plan with the faculty members to set priority and time line.
- 3.3.14 **Submission:** Finally, the PSAC will submit the improvement plan to the Head of the program offering entity for further necessary actions. The PSAC shall prepare and submit the improvement plan within next 03 (three) weeks after the completion of external peer review report.

² Please see IQACFOM for following the procedure on hiring of external peer reviewer.

Self-Assessment Process Flow



Chapter 4

Self-Assessment Report & External Peer Review

4.1 Self-Assessment Report

Self-Assessment reporting is an integral part of the QA mechanism and internal quality assurance system of any university or program offering entity. It helps to manage and achieve the objectives in a more organized and disciplined manner. It is a self-reflective and critical evaluation of current state of QA practices. Self-Assessment report will be used as the core document for the purpose of external peer review and strategic planning for further improvement. Once the survey and data analysis is done, a decision must be taken regarding the design of the self-assessment report. The universities and the program offering entities are free to adopt any organization for the report as long as the information and the analyses regarding the different criteria and standards are explicitly present. In all cases the self-assessment report should reflect to what extent each quality standard is met. SAC will prepare the self-assessment report of concerned program offering entity.

4.2 General Guidelines for Preparing a Good Self-Assessment Report

- 4.2.1 The SA report should clearly describe the purposes and scope of self-assessment.
- 4.2.2 The self-assessment report should provide QA related comprehensive information focusing on the strengths, weaknesses, threats and opportunities of the entity under assessment. But the volume of information and the report should be just and enough.
- 4.2.3 It is important that the SA report be accurate, clear and persuasive, and supported by facts and solid empirical evidences.
- 4.2.4 The report must be able to meet the needs and information requirements for strategic planning and resources allocation.
- 4.2.5 A report should contain sound arguments, be readable and formatted in such a way as to help readers to understand the contents with ease (e.g. meaningful headings/titles, written in clear and concise language with abbreviations and glossary).
- 4.2.6 The report should contain commendations, affirmations and recommendations for improvement. Recommendations should be practical in nature limited to the more important issues so as to focus on priority.

4.3 External Peer Review and Validation of Self-Assessment

External review is one of the internationally accepted critical component of quality assurance. A panel of expert or internationally credible QA agency (for institutional self-assessment) taking part in the process of reviewing the self-assessment of any program or institution is generally known as external peer review team (EPRT). In case of external peer review the host university or its QA unit invites the peer reviewers beyond the university to review the academic process as reflected in the self-assessment report. In response, the peer review team will share internationally accepted standard and good practices, their experiences and observations as the outcomes of an onsite visit and critical review. The visit by the review team gives the institution or program

offering entity an opportunity to discuss and find ways of consolidating and improving the academic environment (IIEP-UNESCO, 2011). Key features of the external peer review process include:

- 4.3.1 critical analysis of the Self-Assessment Report (SAR);
- 4.3.2 peer observation of the key aspects of the self-assessment exercise;
- 4.3.3 gathering information on activities relating to quality assurance in higher education through discussions with major stakeholders, i.e., students, faculty members, staff members, alumni, university administration and management (academic and non-academic) and employers;
- 4.3.4 identifying the strengths and weaknesses of the program offering entity or the university;
- 4.3.5 identifying the areas that need further improvement for quality enhancement of higher education; and
- 4.3.6 providing guidelines for effective quality assurance in education.

4.4 External Peer Review Process

There shall be a three member External peer review team (EPRT) with one as subject expert and at least one as QA Expert. One member must be from abroad and preferably he will be QA expert. Members with QA and as well as subject matter expertise are always preferable. In case of institutional self-assessment among the peer reviewers at least one must be a professional expert for specialized universities like engineering, agriculture, medical etc. The peer review panel members must visit the concerned university and facilities as stated in the SA report. It will be a three-day visit under a well-structured schedule. The university/program offering entity under self-assessment will make the arrangement for peer review. IQAC will guide program offering entity and facilitate all activities related to peer review process. External peer review will be based on the SA Report prepared by concerned program offering entity or university and other documents made available during the external peer review. The program offering entity will make available all the documents it has to the peer review team. Subsequently (preferably within 15 days), the review panel will prepare and submit the peer review and validation report collectively to the Head of the program offering entity (in case of program self-assessment) and to the Director IQAC. The peer review team should submit an exit report to the Head of the program offering entity and Director IQAC. The Director IQAC will place the reports in the QAC meeting and forward one copy of the report to the QAU. The sequential activities related to the external peer review process are as follows:

- 4.4.1 The IQAC will select EPRT consisting panel members as categorized in the section 4.4. Subject matter specialist will be proposed by self-assessment committee (SAC) of each entity from beyond the university. QA expert (both local & abroad) will be selected primarily by the Institutional Quality Assurance Cell (IQAC) of the respective university from a pool of experts prepared by the Quality Assurance Unit (QAU) of HEQEP. In this regard, a preliminary list of QA experts have already been sent to

Director IQAC by QAU and that list shall be extended time to time. The IQAC in consultation with the concerned SAC, will finally select and appoint three experts. IQAC will follow single source procurement rule as World Bank guidelines for procuring services of consultants. In case of institutional self-assessment, IQAC will take the responsibility to propose and hire the external peer review team by following relevant procurement of services guidelines of the World Bank. The concerned SAC will send the SAR to the external peers at least 15 (fifteen) days before the scheduled visit so that they can go through the SAR and plan their activities earlier.

- 4.4.2 The concerned SAC shall plan and schedule the EPRT visit in consultation with the Director, IQAC. The EPRT using the given checklist (Annex 14) will go through the physical facilities, observe the class room teaching, review the documents made available to them during the visit, and meet the representatives of major stakeholders separately.
- 4.4.3 At the end of the peer review visit the external reviewers will present their critical observations in an exit meeting that shall be attended by the concerned SAC, faculty members of the entity, Dean and IQAC personnel. In case of institutional self-assessment Deans, top management of the university and IQAC personnel will attend the exit meeting.
- 4.4.4 The EPRT will submit their peer review report, both soft and hard copy, to the concerned Head of the SAC and copy to Director IQAC with specific commendations, affirmations, recommendations and judgments within next 03 (three) weeks of their visit.

4.5 Guidelines for Peer Reviewer

The QA Unit of HEQEP, UGC expects that the peer-review process makes a full contribution to its quality assurance and accreditation process. In this context the role of the peer-reviewers is multifaceted and demanding. The reviewers, bringing new insights in the process, can help the program offering entity and universities to develop their quality assurance systems and for continual improvement of their standards. This note offers guidance to the reviewers and other participants in the peer-review process on the standards of conduct expected.

4.5.1 Code of Conduct

It is expected that the reviewer would:

- 4.5.1.1 Take all reasonable steps to know and understand the published quality assurance and accreditation process and in particular the methods of developmental engagements and accreditation.
- 4.5.1.2 Ensure that they remain up to date with any developments in the published method, including attending conferences and workshops arranged for peer-reviewers by the Unit.
- 4.5.1.3 Conduct their roles and activities in reviews in a way that fully respects the published

method and protocols, including reaching justifiable evidence- based judgments.

- 4.5.1.4 Undertake their part in review in a way that respects the mission of the entity they are visiting and avoids bringing to the process any prejudices.
- 4.5.1.5 Show courtesy to all colleagues with whom they work in the review team and in the institution, including respect for their views and opinion.
- 4.5.1.6 Complete the assignment on time and to a high professional standard, drawing upon the hand book and the guidance provided in the review.
- 4.5.1.7 Respect the confidences shared in the course of the review, so that they do not divulge any information on the self-evaluation, the findings of the review team or the conduct of the review to any other university, any member of the public or the media.
- 4.5.1.8 Contribute to the evaluation of the process by offering constructive comments of their experiences as a reviewer.
- 4.5.1.9 It is expected that peer reviewers will provide the entity with judgments basing on the review observations for all the QA areas.

4.6 Guidelines in Preparing the External Peer Review Report

At the end of the external peer review of the self-assessment report the peer reviewers have to submit a report basing on the observations, critical review of the SAR and other documents during the visit. This external peer review and validation report will guide the entity under assessment to prepare the improvement plan. It is to be noted that this external peer review and validation report has immense importance in the process of accreditation. As such, it is highly expected that the external peer review team (EPRT) in preparing the report will consider the following with due importance:

- 4.6.1 The external peer review and validation report should include all critical observations and comments in relation to all the QA areas, self-assessment criteria and set standard specifying the strengths, weaknesses, opportunities and threats.
- 4.6.2 Any information or interpretation of the SAR, where the peer-reviewers disagreed should be included in the report with corresponding reason(s).
- 4.6.3 Reports should be balanced and constructive, conveying all the findings positive or otherwise and be encouraging to support continuous improvement. Positive observations will enhance the confidence of the internal stakeholders and criticisms will motivate the university and program offering entity to take corrective measures rightly.
- 4.6.4 The external review report is expected to provide an outsider view in respect of international practices and also validation of the facts described in the SA Report.
- 4.6.5 The report must have very specific and effective suggestions for further improvement specifying the improvement possibilities with advice and best practices for each of the area where improvements are suggested.
- 4.6.6 The review reports should be written in a clear, direct style, using short sentences. Statements should be unambiguous and any suggestions for the improvement should be

written so as to enable the entity to understand how they might be implemented.

- 4.6.7 The review team is requested to make every effort to ensure that all statements in the report are factually accurate and supported by evidence(s) and with example wherever possible.
- 4.6.8 It is expected that the review team will make the professional judgment for each SA criteria using the format and scale given (Please see the annex 10 & 11).

Chapter 5

Post Self-Assessment Improvement Plan

Guidelines for the preparation of Post Self-Assessment Improvement Plan at program level:

5.1 Introduction

Continuous Quality Improvement (CQI) requires identifiable action plan to bring about necessary changes with the view to move forward. These action plans can be short (immediate) and long term (audit cycle), largely depending on the needs and priorities of the program(s) of the Department/Discipline/ Institute/ Faculty

5.2 The Objective

Post Audit/Self-assessment Improvement Plan/Strategy is a great way to overcome the weaknesses of the programs using strengths and opportunities identified through a comprehensive self-assessment and peer review process. The process of improvement begins with developing a required improvement plan. This plan addresses all issues identified for program improvement to enhance students learning, living and support experiences at the university.

5.3 The Post Audit/Self-assessment Improvement Plan/Strategy

The Post Audit Improvement Plan /Post Self-Assessment Improvement Plan should embody a design that is comprehensive, highly structured, specific, and focused. Specifically, the plan must:

- 5.3.1 Identify affirmations and recommendations made by peer reviewers/auditors according to the nine QA Areas for Bangladesh;
- 5.3.2 Identify strategic interventions and timelines. Where a target requires a longer timeline or is set to be achieved at least six months after the date of the Improvement Plan, milestones to be prepared
- 5.3.3 Prepare a budget (if relevant and required) and identify how this is to be obtained.
- 5.3.4 Establish specific bi-annual and annual reporting and verification need and timelines
- 5.3.5 Prepare a summary for submission to University Syndicate/VC's Office and/or QAU (pre implementation and at periodic intervals.

5.4 The Template

(See Annex 13)

5.5 Conclusion

In pursuing quality, one must be aware of the limitations that are in place. It is important that persons who would spear head the change/improvement be identified and given sufficient authority to implement the improvement plan. Also where funds are involved, it is necessary to obtain prior approval before setting the indicators or action plan.

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Documents Consulted

In preparing this Self-Assessment Operations Manual a number of books, reports, articles and QA manual have been consulted. The QAU gratefully acknowledges the contribution of these documents in preparing this Self-Assessment Manual. Concepts and ideas borrowed from the documents mentioned helped to make the Manual in accordance with the internationally accepted SA practices.

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Annexes

A few templates, guidelines and concept notes included here have been developed in accordance with the international QA practices. The templates and guidelines are essential for carrying out the self-assessment exercise in Bangladesh's universities. However, it has to be borne in mind that these are samples. Universities and program offering entities may customize these templates depending on their individual and specific requirements and context.

Annex 1

Program Self-Assessment SURVEY QUESTIONNAIRE FOR EMPLOYER

The purpose of this survey is to obtain employers' input on the quality of education of _____ program of _____ University. The survey is with regard to **the** graduates of _____ University employed at your organization. Your sincere cooperation would enable us to improve the quality of our graduates as per your requirements.

Name of the Institute/Organization: _____

Corporate Office Address _____

Email: _____ **Web:** _____

Nature: Please put tick (√) in appropriate box

Academic Research Business Enterprise Others _____

1. Experience Requirement for Entry Level Employees Please put tick (√) in appropriate box:

Highly Experienced Experience for few years Fresh Cannot be generalized

2. Please rate the following dimensions of quality of graduates according to importance in recruitment using the following rating scale:

5 = extremely important, 4=very important, 3= important, 2=less important, and 1=not at all important

No.	Dimensions of Quality	Rating
A. Knowledge		
3.1	Job knowledge (knowledge on the subject matter)	
3.2	IT Knowledge	

3.3	Innovative knowledge	
B. Communication Skills		
3.4	Oral communication	
3.5	Written communication	
3.6	Presentation skills	
C. Interpersonal Skills		
3.7	Ability to work in teams	
3.8	Leadership	
4.9	Empathy	
3.10	Motivation ability	
3.11	Reliability	
3.12	Appreciation of ethical values	
3.13	Adaptability	
D. Work Skills		
3.14	Time management	
3.15	Judgment	
3.16	Problem formulation, solving and decision making skills	
3.17	Collecting and analyzing appropriate data	
3.18	Ability to link theory to Practice	
3.19	Discipline	
3.20	Sense of Responsibility	

3. Please evaluate the following dimensions of competence of graduates program, ... University based on their performance at your organization using the following scale:

5 – Excellent 4 – Very Good 3 – Good 2 – Fair 1 – Poor

No.	Dimensions of Quality	
E. Knowledge		
3.1	Job knowledge (knowledge on the subject matter)	
3.2	IT Knowledge	
3.3	Innovative knowledge	
F. Communication Skills		

3.4	Oral communication	
3.5	Written communication	
3.6	Presentation skills	
G. Interpersonal Skills		
3.7	Ability to work in teams	
3.8	Leadership	
4.9	Empathy	
3.10	Motivation ability	
3.11	Reliability	
3.12	Appreciation of ethical values	
3.13	Adaptability	
H. Work Skills		
3.14	Time management	
3.15	Judgment	
3.16	Problem formulation, solving and decision making skills	
3.17	Collecting and analyzing appropriate data	
3.18	Ability to link theory to Practice	
3.19	Discipline	
3.20	Sense of Responsibility	

4. Major weaknesses you have observed in the Graduates of _____ Program
_____ University working at your organization

5. Do you provide any training just after recruitment before assigning any responsibility: Yes/No
If yes, please specify: _____

6. General Comments (Please make additional comments or suggestions, which you think would help to strengthen our academic programs for the improvement the quality of graduates).

Annex 2
Program Self-Assessment
SURVEY QUESTIONNAIRE FOR ALUMNI

(To be filled by the Graduates)

This form includes statements for self-assessment at program level. You as a graduate are requested to give your sincere comment against each of the statements by putting a tick (√) mark. Your sincere evaluation will be helpful for correct assessment of the program so that next improvement plan may be undertaken.

Name of the entity (Faculty/Department/Discipline/Institute): _____

University: _____

Degree and service Information:

1. Current status:

a) Searching Job, b) Employed in an organization c) Engaged with own business

If the answer is b or c

Name of present organization _____

Designation: _____

Address: _____

2. Year of passing/graduation:

3. Time taken to get the first employment:

Year	Month

4. Recruitment process you faced to get in your present organization

Direct Offer	
Direct Oral Interview	
Written & Oral Interview	
Other (Pls. Specify)	

7. Evaluate the following aspects of the program in terms capacity to provide quality education by marking “√” in the box of corresponding column according to the scale given:
5–Strongly agree; 4–Agree; 3–Undecided; 2–Disagree; 1–Strongly disagree;

(Note: The figures in the parentheses indicate standards under the assessment criteria)

A. Governance

Aspects of Evaluation	5	4	3	2	1
1. Vision, mission and objectives of the entity are clearly stated (1.1)					
2. Academic decisions are taken by the entity with fairness and transparency (1.2)					
3. The intended learning outcomes (ILOs) satisfy the stated mission and objectives of the entity (1.4)					
4. The entity has adequate infrastructures to satisfy its mission and objectives (1.5)					
5. Academic calendars are maintained strictly by the entity (1.5)					
6. Results are published timely in compliance with the ordinance (1.5)					
7. The entity reviews its policy and procedures periodically for further improvement (1.6)					
8. Codes of conduct for the students and employees are well communicated (1.7)					
9. Disciplinary rules and regulations are explicitly defined and well circulated (1.7)					
10. Website is updated properly (1.8).					
11. The entity provides comprehensive guidelines to the students in advance by means of a brochure/handbook (1.9)					
12. The entity ensures a conducive learning environment (1.12)					
13. Students’ opinion regarding academic and extra-academic matters are addressed properly (1.13)					

B. Curriculum: content, design and review

Aspects of Evaluation	5	4	3	2	1
1. Courses in the curriculum from lower to higher levels are consistently arranged (2.3)					

2. Teaching strategies are clearly stated in the curriculum (2.3)					
3. Assessment strategies are explicit in the curriculum (2.3)					
4. Curriculum load is optimum and exerts no pressure (2.4)					
5. The curriculum is effective in achieving day-one skill (which happens right at the beginning in the first day at job place) (2.5).					

C. Student Entry Qualifications, Admission procedure, Progress and Achievements

Aspects of Evaluation	5	4	3	2	1
1. Admission policy ensures entry of quality students (3.1).					
2. Commitment among students is observed to ensure desired progress and achievement (3.2)					
3. Admission procedure is quite fair (3.3)					
4. Students' progress are regularly recorded and monitored (3.7)					
5. Teachers provide regular feedback to the students about their progress (3.7)					
6. The entity maintains individual student's records properly (3.8)					

D. Structures and facilities

Aspects of Evaluation	5	4	3	2	1
1. Classroom facilities are suitable for ensuring effective learning (4.1).					
2. Laboratory facilities are congenial for practical teaching-learning (4.1)					
3. Facilities for conducting research are adequate (4.1)					
4. The library has adequate up-to-date reading and reference materials to meet the academic & research needs (4.1)					
5. Indoor and outdoor medical facilities are adequate (4.1)					
6. There are adequate sports facilities (indoor and outdoor) (4.1)					
7. Existing gymnasium facilities are good enough (4.1)					

8. Access to internet facilities with sufficient speed are available (4.2)					
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E. Teaching learning and assessment

E.1: Teaching-learning

Aspects of Evaluation	5	4	3	2	1
1. Teaching-learning is interactive and supportive (5.1)					
2. Class size is optimum for interactive teaching learning (5.1)					
3. Entity provides adequate opportunities for practical exercises to apply in real life situation. (5.2)					
4. Students attained additional practical ideas apart from class room teaching (5.3)					
5. Modern devices are used to improve teaching-learning process(5.5)					
6. Diverse methods are practised to achieve learning objectives (5.5)					
7. Lesson plans/course outlines are provided to the students in advance (5.6)					

E.2: Learning Assessment

Aspects of Evaluation	5	4	3	2	1
1. Assessment systems are duly communicated to students at the outset of the term/semester (5.7).					
2. Assessment procedures meet the objectives of the course (5.8)					
3. Both formative (quizzes, assignments, term papers, continuous assessments, presentations etc.) and summative assessment (final examination) strategies are followed (5.8).					
4. Diverse methods are used for assessment (5.9).					
5. The students are provided feedback immediately after assessment (5.10).					

F. Student Support Services

Aspects of Evaluation	5	4	3	2	1
a. There is an arrangement in the entity to provide an academic guidance and counseling (6.1).					
b. Financial grants are available to the students in case of hardship (6.1)					
c. The entity provides co-curricular and extra-curricular exposures to the students (6.3)					
d. There is an organized and supportive alumni association (6.5).					
e. The entity collects alumni feedback to update the learning outcomes of the program (6.6)					
f. There are opportunities to be involved with community services (6.8).					

G. Research and Extension Services

Aspects of Evaluation	5	4	3	2	1
1. The entity has a well defined research and development policy (8.1)					
2. Mechanism exists for engaging the students in research and development (8.1)					
3. The entity has a community service policy (8.3)					

Other aspects:

1. What are the best practices of the program?

2. What practices of the program need to be improved?

3. What courses need to be included to improve the quality of graduates?

- a. _____
- b. _____
- c. _____

Annex 3
Program Self-Assessment
SURVEY QUESTIONNAIRE FOR STUDENTS
 (To be filled by the Existing Students)

This form includes statements for self-assessment at program level. You as a graduating student are requested to give your sincere comment against each of the statements by putting a tick (√) mark. Your sincere evaluation will be helpful for correct assessment of the program so that next improvement plan may be undertaken.

Name of the entity (Faculty/Department/Discipline/Institute): _____

University: _____

1. Evaluate the following aspects of the program in terms capacity to provide quality education by marking “√” in the box of corresponding column according to the scale given:
 5–Strongly agree; 4–Agree; 3–Undecided; 2–Disagree; 1–Strongly disagree;

A. Governance

Aspects of Evaluation	5	4	3	2	1
1. Vision, mission and objectives of the entity are clearly stated (1.1)					
2. Academic decisions are taken by the entity with fairness and transparency (1.2)					
3. The intended learning outcomes (ILOs) satisfy the stated mission and objectives of the entity (1.4)					
4. The entity has adequate infrastructures to satisfy its mission and objectives (1.5)					
5. Academic calendars are maintained strictly by the entity (1.5)					
6. Results are published timely in compliance with the ordinance (1.5)					
7. The entity reviews its policy and procedures periodically for further improvement (1.6)					
8. Codes of conduct for the students and employees are well communicated (1.7)					
9. Disciplinary rules and regulations are explicitly defined and well circulated (1.7)					
10. Website is updated properly (1.8).					
11. The entity provides comprehensive guidelines to the students in advance					

by means of a brochure/handbook (1.9)					
12. The entity ensures a conducive learning environment (1.12)					
13. Students' opinion regarding academic and extra-academic matters are addressed properly (1.13)					

B. Curriculum: content, design and review

Aspects of Evaluation	5	4	3	2	1
1. Courses in the curriculum from lower to higher levels are consistently arranged (2.3)					
2. Teaching strategies are clearly stated in the curriculum (2.3)					
3. Assessment strategies are explicit in the curriculum (2.3)					
4. Curriculum load is optimum and exerts no pressure (2.4)					

C. Student Entry qualifications, Admission procedure, Progress and Achievements

Aspects of Evaluation	5	4	3	2	1
a. Admission policy ensures entry of quality students (3.1).					
b. Commitment among students is observed to ensure desired progress and achievement (3.2)					
c. Admission procedure is quite fair (3.3)					
d. Students' progress are regularly recorded and monitored (3.7)					
e. Teachers provide regular feedback to the students about their progress (3.7)					
f. The entity maintains individual student's records properly (3.8)					

D. Structures and facilities

Aspects of Evaluation	5	4	3	2	1
1. Classroom facilities are suitable for ensuring effective learning (4.1).					

2. Laboratory facilities are congenial for practical teaching-learning (4.1)					
3. Facilities for conducting research are adequate (4.1)					
4. The library has adequate up-to-date reading and reference materials to meet the academic & research needs (4.1)					
5. Indoor and outdoor medical facilities are adequate (4.1)					
6. There are adequate sports facilities (indoor and outdoor) (4.1)					
7. Existing gymnasium facilities are good enough (4.1)					
8. Access to internet facilities with sufficient speed are available (4.2)					

E. Teaching learning and assessment**E.1: Teaching-learning**

Aspects of Evaluation	5	4	3	2	1
1. Teaching-learning is interactive and supportive (5.1)					
2. Class size is optimum for interactive teaching learning (5.1)					
3. Entity provides adequate opportunities for practical exercises to apply in real life situation. (5.2)					
4. Modern devices are used to improve teaching-learning process(5.5)					
5. Diverse methods are practised to achieve learning objectives (5.5)					
6. Lesson plans/course outlines are provided to the students in advance (5.6)					

E.2: Learning Assessment

Aspects of Evaluation	5	4	3	2	1
1. Assessment systems are duly communicated to students at the outset of the term/semester (5.7).					
2. Assessment procedures meet the objectives of the course (5.8)					
3. Both formative (quizzes, assignments, term papers, continuous assessments, presentations etc.) and summative assessment (final					

examination) strategies are followed (5.8).					
4. Diverse methods are used for assessment (5.9).					
5. The students are provided feedback immediately after assessment (5.10).					

F. Student Support Services

Aspects of Evaluation	5	4	3	2	1
1. There is an arrangement in the entity to provide an academic guidance and counseling (6.1).					
2. Financial grants are available to the students in case of hardship (6.1)					
3. The entity provides co-curricular and extra-curricular exposures to the students (6.3)					
4. There is an organized and supportive alumni association (6.5).					
5. The entity collects alumni feedback to update the learning outcomes of the program (6.6)					
6. There are opportunities to be involved with community services (6.8).					

G. Research and Extension Services

Aspects of Evaluation	5	4	3	2	1
1. The entity has a well defined research and development policy (8.1)					
2. Mechanism exists for engaging the students in research and development (8.1)					
3. The entity has a community service policy (8.3)					

Other aspects:

1. What are the best practices of the program?

2. What practices of the program need to be improved?

3. What courses need to be included to improve the quality of graduates?
 - a. _____
 - b. _____
 - c. _____

Annex 4
Program Self-Assessment
SURVEY QUESTIONNAIRE FOR NON-ACADEMICS

(To be filled by the non-academic staffs)

This form includes statements for self-assessment at program level. As a non-academic staff you are requested to give your sincere comment against each of the statements by putting a tick (√) mark on appropriate grade-column. Your sincere evaluation will be helpful for correct assessment of the program so that next improvement plan may be undertaken.

Name of the entity (Faculty/Department/Discipline/Institute): _____

University: _____

1. Evaluate the following aspects of the program in terms capacity to provide quality education by marking “√” in the box of corresponding column according to the scale given:

5–Strongly agree; 4–Agree; 3–Undecided; 2–Disagree; 1–Strongly disagree;

A. Governance:

Aspects of Evaluation	5	4	3	2	1
1. Vision, mission and objectives of the entity are clearly stated (1.1)					
2. Academic decisions are taken by the entity with fairness and transparency (1.2)					
3. The intended learning outcomes (ILOs) satisfy the stated mission and objectives of the entity (1.4)					
4. The entity has adequate infrastructures to satisfy its mission and objectives (1.5)					
5. Academic calendars are maintained strictly by the entity (1.5)					
6. Results are published timely in compliance with the ordinance (1.5)					
7. The entity reviews its policy and procedures periodically for further improvement (1.6)					
8. Codes of conduct for the students and employees are well communicated (1.7)					
9. Disciplinary rules and regulations are explicitly defined and well					

circulated (1.7)					
10. Website is updated properly (1.8).					
11. The entity provides comprehensive guidelines to the students in advance by means of a brochure/handbook (1.9)					

B. Staff and Facilities: Recruitment and staff development

Aspects of Evaluation	5	4	3	2	1
1. Recruitment policy and practices are good enough for recruitment of competent academic and non-academic staff (7.1)					
2. Salary and incentives are attractive enough to retain the academic and non-academic staff (7.2).					
3. Good team spirit exists among different non-academic staff (7.4).					
4. A congenial atmosphere prevails to enhance professional knowledge through research and higher studies (7.5)					
5. Academics have enough opportunity to take part in different seminar/workshop/training programs for skill development (7.7)					
6. Non-academics have enough opportunity to take part in different training programs for skill development (7.7)					
7. The entity has a policy to provide mentoring/continuous guidance for new academic staff.(7.8)					
8. The entity practices seminars and workshops to share knowledge and experience among the faculty members (7.11)					
9. The entity has a performance award policy to inspire academic staff (7.12)					
10. Performance indicators are the criteria for promotion/up-gradation (7.12)					

Other aspects:

1. What are the major weaknesses you have observed in the entity

2. What are your suggestion(s) to improve the teaching learning environment:

Annex 5
Program Self-Assessment
SURVEY QUESTIONNAIRE FOR ACADEMICS

(To be filled by the faculty members)

This form includes statements for self-assessment at program level. You as a teacher are requested to give your sincere comment against each of the statements by putting a tick (√) mark on appropriate grade-column. Your sincere evaluation will be helpful for meaningful assessment of the program so that next improvement plan may be undertaken

Name of the entity (Faculty/Department/Discipline/Institute): _____

University: _____

1. Evaluate the following aspects of the program in terms capacity to provide quality education by marking “√” in the box of corresponding column according to the scale given:
 5–Strongly agree; 4–Agree; 3–Undecided; 2–Disagree; 1–Strongly disagree;

A. Governance

Aspects of Evaluation	5	4	3	2	1
1. Vision, mission and objectives of the entity are clearly stated (1.1)					
2. Academic decisions are taken by the entity with fairness and transparency (1.2)					
3. The intended learning outcomes (ILOs) satisfy the stated mission and objectives of the entity (1.4)					
4. The entity has adequate infrastructures to satisfy its mission and objectives (1.5)					
5. Academic calendars are maintained strictly by the entity (1.5)					
6. Results are published timely in compliance with the ordinance (1.5)					
7. The entity reviews its policy and procedures periodically for further improvement (1.6)					
8. Codes of conduct for the students and employees are well communicated (1.7)					
9. Disciplinary rules and regulations are explicitly defined and well circulated (1.7)					
10. Website is updated properly (1.8).					
11. The entity provides comprehensive guidelines to the students in					

advance by means of a brochure/handbook (1.9)					
12. Documentations (decisions of committees, class attendance registers, questions, answer scripts, marks, examination results, students' progress etc) are maintained properly (1.10)					
13. Decision making procedure in the entity is participatory (1.11)					
14. The entity ensures a conducive learning environment (1.12)					
15. Students' opinion regarding academic and extra-academic matters are addressed properly (1.13)					

B. Curriculum Design and Review

Aspects of Evaluation	5	4	3	2	1
1. Curriculum is reviewed and updated at regular intervals in compliance with the rules of the universities (2.1)					
2. Opinions from the relevant stakeholders (students, teachers, employers and alumni) are duly considered during review of the curriculum (2.2)					
3. Courses in the curriculum from lower to higher levels are consistently arranged (2.3)					
4. Teaching strategies are clearly stated in the curriculum (2.3)					
5. Assessment strategies are explicit in the curriculum (2.3)					
6. Curriculum load is optimum and exerts no pressure (2.4)					
7. Curriculum addresses the program objectives and program learning outcomes (2.4)					
8. The curriculum is effective in achieving day-one skill (which happens right at the beginning in the first day at job place) (2.5).					

C. Student Entry qualifications, Admission procedure, Progress and Achievements

Aspects of Evaluation	5	4	3	2	1
1. Admission policy ensures entry of quality students (3.1).					
2. Commitment among students is observed to ensure desired progress and achievement (3.2)					
3. Admission procedure is quite fair (3.3)					

4. Students' progress are regularly recorded and monitored (3.7)					
5. Teachers provide regular feedback to the students about their progress (3.7)					
6. The entity maintains individual student's records properly (3.8)					

D. Structure and Facilities

Aspects of Evaluation	5	4	3	2	1
1. Classroom facilities are suitable for ensuring effective learning (4.1).					
2. Laboratory facilities are congenial for practical teaching-learning (4.1)					
3. Facilities for conducting research are adequate (4.1)					
4. The library has adequate up-to-date reading and reference materials to meet the academic & research needs (4.1)					
5. Indoor and outdoor medical facilities are adequate (4.1)					
6. There are adequate sports facilities (indoor and outdoor) (4.1)					
7. Existing gymnasium facilities are good enough (4.1)					
8. Office equipments are adequate to support the students' need (4.1)					
9. Entity has competent manpower to run the academic affairs (4.1)					
10. Access to internet facilities with sufficient speed are available (4.2)					

E. Teaching learning and assessment

E.1: Teaching Learning

Aspects of Evaluation	5	4	3	2	1
1. Teaching-learning is interactive and supportive (5.1)					
2. Class size is optimum for interactive teaching learning (5.1)					
3. Entity provides adequate opportunities for practical exercises to apply in real life situation. (5.2)					
4. Teaching-learning process encompasses co-curricular activities to enrich students' personal development. (5.4)					

5. Modern devices are used to improve teaching-learning process(5.5)					
6. Diverse methods are practised to achieve learning objectives (5.5)					
7. Lesson plans/course outlines are provided to the students in advance (5.6)					

E.2: Learning Assessment

Aspects of Evaluation	5	4	3	2	1
1. Assessment systems are duly communicated to students at the outset of the term/semester (5.7).					
2. Assessment procedures meet the objectives of the course (5.8)					
3. The assessment system is reviewed at regular intervals (5.8)					
4. Both formative (quizzes, assignments, term papers, continuous assessments, presentations etc.) and summative assessment (final examination) strategies are followed (5.8).					
5. Diverse methods are used for assessment (5.9).					
6. The students are provided feedback immediately after assessment (5.10).					
7. Fairness and transparency is maintained in assessment system (5.9)					

F. Students Support Services

Aspects of Evaluation	5	4	3	2	1
1. There is an arrangement in the entity to provide an academic guidance and counseling (6.1).					
2. Financial grants are available to the students in case of hardship (6.1)					
3. The entity provides co-curricular and extra-curricular exposures to the students (6.3)					
4. There is an organized and supportive alumni association (6.5).					
5. The entity collects alumni feedback to update the learning outcomes of the program (6.6)					

6. There are opportunities to be involved with community services (6.8).						
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G. Staff and Facilities: Recruitment and staff development

Aspects of Evaluation	5	4	3	2	1
1. Recruitment policy and practices are good enough for recruitment of competent academic and non-academic staff (7.1)					
2. Salary and incentives are attractive enough to retain the academic and non-academic staff (7.2).					
3. Good team spirit exists among different academic staff (7.4).					
4. A congenial atmosphere prevails to enhance professional knowledge through research and higher studies (7.5)					
5. Academics have enough opportunity to take part in different seminar/workshop/training programs for skill development (7.7)					
6. Non-academics have enough opportunity to take part in different training programs for skill development (7.7)					
7. The entity has a policy to provide mentoring/continuous guidance for new academic staff.(7.8)					
8. The entity practices seminars and workshops to share knowledge and experience among the faculty members (7.11)					
9. The entity has a performance award policy to inspire academic staff (7.12)					
10. Performance indicators are the criteria for promotion/up-gradation (7.12)					

H. Research & Extension Services

Aspects of Evaluation	5	4	3	2	1
1. The entity has a well defined research and development policy (8.1)					
2. Mechanism exists for engaging the students in research and					

development (8.1)					
3. Teachers always take initiative to hunt research fund for smooth running of the research (8.1)					
4. The entity has a community service policy (8.3)					

I. Process Control Internal (Quality Assurance and Continuous quality Improvement)

Aspects of Evaluation	5	4	3	2	1
1. The entity always acts in compliance with the decision of the university regarding continuous quality improvement (9.1)					
2. The entity embraces the spirit of continual quality improvement (9.2).					
3. Academic programs are reviewed by the entity for the enhancement students' learning (9.3).					
4. The entity ensures a usual practice for students'/ Alumni's feedback as a culture (9.3)					

Other Aspects:

1. Major weaknesses you have observed in the quality of graduates

2. Enlist your suggestion(s) to improve the quality of graduates:

Annex 6

Program Self-Assessment REPORT FORMAT

<p>Chapter 1: Introduction</p> <p>1.1 Significance of program Self-Assessment</p> <p>1.2 Process of Assessment</p> <p>1.3 Overview of the university</p> <p>1.4 Overview of the program offering entity</p> <p>1.5 Objectives and Intended Learning Outcomes of the program</p> <p>1.6 Brief Description of the program(s) under review</p>
<p>Chapter 2: Governance</p> <p>2.1 Program Management</p> <p>2.2. Academic Documentation</p> <p>2.3 Peer Observation & Feedback Process</p> <p>2.4 Internal Quality Assurance Process</p>
<p>Chapter 3: Curriculum Design & Review</p> <p>3.1 Need Assessment</p> <p>3.2 Curriculum Design</p> <p>3.3 Curriculum Review Process</p> <p>3.4 Curriculum Alignment/Skill Mapping</p> <p>3.5 Gaps in Curriculum : Adequacy to Meet the Needs</p>
<p>Chapter 4: Student Entry qualifications, Admission procedure, Progress and Achievements</p> <p>4.1 Entry Qualifications</p> <p>4.2 Admission Procedure</p> <p>4.3 Progress and Achievement</p>
<p>Chapter 5: Physical Facilities</p> <p>5.1 Classroom</p> <p>5.2 Library facilities</p> <p>5.3 Laboratory and field laboratories</p> <p>5.4 Medical facilities</p> <p>5.5 Other facilities</p>
<p>Chapter 6: Teaching Learning and Assessment</p>

6.1 Quality Staff 6.2 Teaching learning methods 6.3 Use of lesson Plan 6.4 Technology integration 6.5 Focus 6.6 Skill development Mechanism 6.7 Assessment of Student Performance
Chapter 7: Student Support Services 7.1 Co-curricular and Extra-curricular Activities 7.2 Academic Guidance and Counseling 7.3 Career & Placement 7.4 Alumni Services 7.5 Community Services
Chapter 8: Staff and facilities 8.1 Entry Qualifications 8.2 Recruitment 8.3 Staff Development 8.4 Key Performance Indicators
Chapter 9: Research and Extension 9.1 Policy and program 9.2 Fund and facilities 9.3 Fund hunting 9.4 Dissemination of research findings
Chapter 10: Process Management and Continuous Improvement 10.1 Self-assessment 10.2 Improvement plan 10.3 Stakeholders feedback 10.4 Use of peer observation results 10.5 Use of all feedback
Chapter 11: SWOT Analysis 11.1 Strengths 11.2 Weaknesses 11.3 Opportunities 11.4 Threats

Chapter 12: Conclusion, Recommendation and Improvement Plan
12.1 Conclusion
12.3 Recommendation
12.2 Strategic plan for further improvement of the institution
Appendix

SAOM Annex 7

Annex 7**SURVEY FORM FOR PhD PROGRAMS OFFERING ENTITY**

The following information is required for Departments in which a PhD program is offered.

1.	General Information:	
1.1	Name of the Department	
1.2	Name of the Faculty	
1.3	Date of initiation of PhD program	
1.4	Total number of academic journals subscribed in area relevant to PhD program.	
1.5	Number of Computers available per PhD student	
1.6	Total Internet Bandwidth available to all the students in the Department.	
2.	Faculty Resources:	
2.1	Number of faculty members holding PhD degree in the department.	
2.2	Number of approved PhD Advisors in the department.	
3.	Research Output:	
3.1	Total number of articles published last year in International Academic Journals that are authored by faculty members and students in the department.	
3.2	Total number of articles published last year in Asian Academic Journals that are authored by faculty members and students in the department.	
3.3	Total number of ongoing research projects in the department funded by different organizations	
3.4	Total Research Funds available to the Department from all sources.	
3.5	Number of active international linkages involving exchange of researchers/students/faculty etc. (Attach Details)	

4.	Student Information:	
4.1	Number of PhD degrees conferred to date to students from the Department during the past three academic years.	
4.2	Number of PhD students currently enrolled in the department.	
4.3	Ratio of number of students accepted to total number of applicants for PhD Program.	
5.	Program Information	
5.1	Entrance requirements into PhD Program (M.Sc. / MPhil) Indicate subjects or M.Sc. / MPhil	
5.2	Is your PhD program based on research only? (Y/N)	
5.3	Maximum number of years in which a PhD degree has to be completed after initial date of enrollment in PhD program.	
5.4	Total number of post M.Sc. (16 year equivalent) courses required for PhD	
5.5	Total number of MPhil level courses taught on average in a Term / Semester.	
5.6	Total number of PhD level courses taught on average in a Term / Semester.	
5.7	Do your students have to take/write:	
	a. PhD Qualifying examination (Y/N)	
	b. Comprehensive examination (Y/N)	
	c. Research paper in UGC approved Journal	
	d. Any other examination (Y/N)	
5.8	Total number of International examiners to which the PhD dissertation is sent.	
5.9	How is the selection of an examiner from technologically advanced countries carried out?	
5.10	Is there a minimum residency requirement (on campus) for award of PhD degree?	
6.	Additional Information	
6.1	Any other information that you would like to provide.	

Annex 8

GUIDELINES FOR EXTERNAL PEER-REVIEWERS

Introduction

1. The UGC through its QA Unit wishes to ensure that the peer-review process makes a full contribution to its quality assurance and accreditation process. In this context the role of the peer-reviewers is multifaceted and demanding. The reviewers can assist the universities to develop their quality assurance systems and for continual improvement of their standards.
2. This note offers guidance to the reviewers and other participants in the peer-review process on the standards of conduct expected.
3. The QA Unit will monitor and evaluate the effectiveness of the review process.

Code of Conduct

4. The reviewer is expected to:
 - Take all reasonable steps to know and understand the published quality assurance and accreditation process and in particular the methods of developmental engagements and accreditation.
 - Ensure that they remain up to date with any developments in the published method, including attending conferences and workshops arranged for peer-reviewers by the Unit.
 - Conduct their roles and activities in reviews in a way that fully respects the published method and protocols, including reaching justifiable evidence- based judgments.
 - Undertake their part in review in a way that respects the mission of the entity they are visiting and avoids bringing to the process any prejudices.
 - Show courtesy to all colleagues with whom they work in the review team and in the institution, including respect for their views and opinion.
 - Complete the assignment on time and to a high professional standard, drawing upon the hand book and the guidance provided in the review.
 - Respect the confidences shared in the course of the review, so that they do not divulge any information on the self-evaluation, the findings of the review team or the conduct of the review to any other university, any member of the public or the media.
 - Contribute a requested by the QA Unit, to the evaluation of the process by offering constructive comment of their experiences as a reviewer.
 - It is expected that peer reviewers will provide the entity with judgments basing on the review observations for all the QA areas and overall.

Annex 9

External Peer Review Report Format

<p>Chapter 1</p> <p>This chapter outlines the main principles of program review, lists the aspects under review and describes the peer review process.</p>
<p>Chapter 2</p> <p>In case of institutional review, provide a brief history of the University with vision & mission, Faculty/School/Institute and Department/Discipline and programs in offer.</p> <p>For program review report, provide a brief history of the University, Faculty/School/Institute and Department/Discipline and describe the program(s) offering entity and the program(s) in details being reviewed.</p>
<p>Chapter 3</p> <p>Aims, Learning Outcomes of the program(s) provided by the department in its Self-Assessment Report.</p>
<p>Chapter 4</p> <p>This is the main body of the report that summarizes the findings as the outcomes of the external peer review in each of the aspects of self-assessment.</p> <p>This chapter should:</p> <ul style="list-style-type: none">• Clearly highlight the strengths and good practices found by the reviewers in each aspect;• Clearly describe any weaknesses identified by the team; and• Identify the possibilities and scope of further improvements.
<p>Chapter 5</p> <p>In this chapter the review team will provide the concluding remarks and specific recommendations for further improvement and overcome the limitations of the program offering entity. The review team will also provide judgments on overall performance of the entity specifying the judgments for of each aspect of self-assessment following the sample format and rating scale given in the annexes 10 & 11 respectively.</p>
<p>In addition, the review report must be signed by the review team members with acknowledgement and affirmation.</p>

Annex –10 JUDGEMENTS

Based on the observations during the peer review visit by the Review Team following aspects were judged using the given rating scale:

Aspects Reviewed	Judgment Given	Numerical Weight
Governance		
Curriculum Design and Review		
Physical Facilities		
Student: Admission Progress and Achievements		
Teaching and Learning		
Assessment of Student Performance		
Student Support Services		
Staff and Facilities		
Research and Extension		
Process Management for Continual Improvement		
Total		

Final Score	Overall Judgment
0 – 15	Unsatisfactory
16-25	Poor
26-35	Good
36-45	Very Good
46-50	Excellent

Considering the judgments given for the different QA aspects, the Review team is able to give an overall judgment of for Department of....., University of

Annex 11 Rating Scale

Rating	Description
5 (Excellent)	There are clear and documented policies, procedures and strategies, which are consistently followed across the program offering entity or institution. Conformance to these policies, procedures or strategies is being monitored and action taken for improvement.
4 (Very Good)	There are clear and documented policies, procedures and strategies, which are mostly followed . Conformance to these policies, procedures or strategies is being monitored and action taken for improvement.
3 (Good)	Some form of process takes place, but policies/procedures/strategies are not clearly stated or documented . Adherence and monitoring takes place but are not consistent .
2 (Poor)	Process takes place in isolation . There is no clear policies/procedures/strategies guiding the implementation of the process. Monitoring is not consistent.
1 (Unsatisfactory)	No evidence of any policy/procedure/strategies. Process or action takes place on ad-hoc basis when necessary.

Annex – 12

Checklist for Program Review

<p>Governance</p> <ul style="list-style-type: none"> • Students are being informed in advance about the aims, objectives, learning outcomes of the program. • Students are being informed in advance about methods of assessment in each course. • Entity provides environment and nurtures for scholarly and creative achievements. • Compliance to the academic calendar. • Stakeholders opinions are considered with due importance for academic development. • Processes like, timely publishing of results, regular updating of website work properly
<p>Curriculum Design, Content and Review</p> <ul style="list-style-type: none"> • Curriculum is need based. • Courses are designed according to curriculum objectives and learning outcomes. • Curriculum provides adequate opportunity to achieve intellectual and transferable skills. • Facilitates the progress to further study and research. • Facilitates involvements in extra and co-curricular activities • Curriculum is reviewed periodically in compliance to the ordinance of the university. • Views of different stakeholders – alumni, students, employers and external experts are accommodated duly. • Reasons for addition, deletion of courses and any changes in content are based on emerging demand of situation and duly documented.
<p>Student: Admission, Progress and Achievements</p> <ul style="list-style-type: none"> • Recruitment process of the students to the program. • Nexus (connections) between student and program in terms of student entry qualifications and program requirements • Student attitude to the programs. • Documentation of (work and statistics) of achievement of ILOs by the students. • Extent of transfer of students to other programs. • Relation between expectation and achievement of ILOs. • External examiners observations on level of student achievements considered duly. • Student satisfaction with regard to their achievement.
<p>Physical Facilities</p> <ul style="list-style-type: none"> • Space, environment and equipment in the classroom. • Sufficient number of books and journals including recent ones, internet access to e-books

<p>and e-journals, automation, reading environment and other facilities in the library.</p> <ul style="list-style-type: none">• Sufficient spaced laboratories, required equipment, supply of consumable items, competent staff well maintenance in the laboratory and field laboratories.• Available, adequate, indoor and outdoor healthcare facilities• Sports and game facilities• Other facilities
<p>Teaching-learning and Assessment</p> <ul style="list-style-type: none">• Teachers' and students' quality for achieving ILOs.• Clearness of ILOs to the students and teachers.• Effectiveness of teaching-learning for achieving ILOs.• Teaching- learning environment.• Technological devise used in teaching.• Use of lesson plan• Pedagogical strategy follows in the classroom.• Clearness of assessment methods to the students and teachers.• Fairness of assessment strategies.• Effectiveness of assessment methods for testing attainment of learning objectives
<p>Student support services</p> <ul style="list-style-type: none">• Guidance and counseling for academic improvement.• Encouragement in co- & extra-curricular activities.• Office facilities for placement and career planning.• Alumni association for alumni services.• Involvement community services.
<p>Extent and use of student Feedback</p> <ul style="list-style-type: none">• Effective methods used for collecting student feedback• Student body or association plays positive role in quality education.• Evidence that action is taken on students feedback obtained.• Evidence that student views on quality learning are sought• Satisfaction of the students.
<p>Postgraduate studies</p> <ul style="list-style-type: none">• Research student numbers and completion rate.• Availability of funding and facilities for research students• Adequacy of qualified and competent staff• Availability of supervisors and time given to the students

<ul style="list-style-type: none"> • Adequate support and guidance to the students
<p>Peer Observation</p> <ul style="list-style-type: none"> • Whether satisfactory procedures are used in observing teaching • Monitoring the quality of teaching • External examiners' suggestions in practical examinations are considered duly.
<p>Research and Extension</p> <ul style="list-style-type: none"> • Existence of policy and program on research and development • Process of policy and program planning on research and development • Funds and facilities are provision to sustain undertaken policy and program • Frequent hunting of research funds for smooth running of the research by the teachers. • Engagement of students in research, scholarship and development • Regular publication of research outputs in reputed impact factor journal • Proper use of research findings in current teaching-learning • Patenting and commercial use of research findings • Involvement of teachers and students in community services with developed technologies
<p>Academic Guidance and Counseling</p> <ul style="list-style-type: none"> • Academic guidance and counseling is in practice • Time for academic guidance and counseling is enough • Faculty members are have reasonable training or orientation for effective academic guidance and counseling • Students level of satisfaction about academic guidance and counseling
<p>Continuous Improvement</p> <ul style="list-style-type: none"> • Self-assessment is periodically done. • Improvement plans are designed according to the recommendations of the peer reviewer and executed duly. • Stakeholders (students, alumni and employers) feedback is regularly taken and considered duly. • Whether the formal outcomes of peer observation used for improvement • Use of peer observation results in performance appraisals for both academic and nonacademic staffs. • Teaching performance evaluation by the students on a regular basis are in practice • Skills Development: Subject skills and personal skills • Generic skills have been identified and included in the curriculum • Definition of intended learning outcomes, graduate profile and desired skills are consistent • A comprehensive skill development mechanism is in place

Annex 13
Template for Program Level Post Self Assessment Improvement Plan
For the Years 20____
_____ Department/Discipline/Institute/Faculty
_____ University

1. Introduction

Continuous Quality Improvement (CQI) requires ongoing and targeted measures to realize the planned improvement. These are strategies that provide great ways to overcome the weaknesses of the programs using strengths and opportunities identified through a comprehensive self-assessment and peer review process. The process of improvement begins with the developing a required improvement plan (usually from one month post audit to up to 5 years). This plan addresses all issues identified for programs improvement to enhance students learning. Together, the components of the programs improvement plan should embody a design that is comprehensive, highly structured, specific, and focused. Specifically, the plan must:

- 6 Identify affirmations and recommendations made by peer auditors by the nine QA Areas for Bangladesh and relevant strategic interventions and timelines.
- 7 Incorporate strategies that will strengthen the core academic subjects in the entity and address the specific academic issues.
- 8 Adopt policies and practices concerning the programs' core academic subjects that have the greatest likelihood of ensuring that all groups of students will meet the programs' proficiency level of achievement;
- 9 Establish specific, annual, measurable objectives for continuous and substantial progress by students
- 10 Incorporate strategies to promote high quality professional development
- 11 Incorporate strategies to promote high quality research

It consist of-

- a. Strategy for the years (20__ to 20__)

This is the first improvement plan ever the establishment of the entity (_____ name of the department/institutes/ faculty_____). This plan is for next four years with the mission, goal and objectives of the department/institute/ faculty and is aligned to the vision, mission, goal and objectives of the _____ University. It is the reflection of the SWOT analysis of the current situation coming through a critical review of the programs offered by the department/institute/faculty. It consists of targets/goals, objectives and proposed policy interventions to achieve the targets and objectives. It is a policy document and provides inputs during preparation of annual budget of the university. The next strategic plan will be prepared after a period of four years of implementation of this plan followed by one year critical review of the programs.

b. Business Plan/Action Plan for the year 20____

The Action Plan of the department/institute/faculty has a 1-year scope and essentially presents the key priorities. The aim of this plan is to present detailed actions that shall be accomplished within the projected time/1-year.

2. Strategic Objectives

a. General objective

The general objective is to establish quality academic culture in the entity (department/institute/faculty) for the attainment of intended skills, knowledge and attitude so that they can meet the needs of the employers, society at large and even the needs of the global community leading to the socio-economic development of Bangladesh.

b. Specific objectives

- i. To establish good governance ensuring for such a learning environment in the entity so that the graduates can attain the intended learning outcomes in terms of knowledge, skills and attitude and be fit to meet the society.
- ii. To modernize and update the curricula according to the needs of the society
- iii. To ensure entry of good quality learners with commitment so that graduates can achieve desired standards.
- iv. To improve physical facilities to create better learning condition for the achievement of learning outcomes.
- v. To ensure effective teaching-learning for quality education (for attaining intended learning outcomes)
- vi. To establish fair, effective procedures to assess achievement of course learning outcomes by the students
- vii. To improve student support services such a level so that students' personal and academic needs can be met.
- viii. To make an effective team of teaching and non-teaching staffs for quality education.
- ix. To develop capacity, formulate policy and undertake program for innovative research.
- x. To maintain and enhance internal quality assurance (IQA) practices.

3. Key Documents consulted

- Self-Assessment Report Year_____
- External Peer review report Year_____
- Academic Ordinance Year_____
- Examination Ordinance Year_____
- Other documents, if any

4. Achievements of Strategic Targets(09 QA Areas)

i. Governance

Targets by 20____

- a. --
- b. --
- c. and may be more

Audit Recommendation	Proposed intervention
Target1:	
Target2:	
Target 3:	

ii. Curriculum Content Design & Review

Targets by 20____

- a. --
- b. --
- c. and may be more

Audit Recommendation	Proposed intervention
Target1:	
Target2:	
Target 3:	

iii. Student Admission, Progress and Achievements

Targets by 20__

- a. --
- b. --
- c. and may be more

Audit Recommendation	Proposed intervention
Target1:	
Target2:	
Target 3:	

iv. Physical Facilities

Targets by 20__

- a. --
- b. --
- c. and may be more

Audit Recommendation	Proposed intervention
Target1:	
Target2:	
Target 3:	

v. Teaching - Learning and Assessment

Targets by 20__

- a. --
- b. --
- c. and may be more

Audit Recommendation	Proposed intervention
Target1:	
Target2:	
Target 3:	

vi. Student Support Services

Targets by 20__

- a. --
- b. --
- c. and may be more

Audit Recommendation	Proposed intervention
Target1:	
Target2:	
Target 3:	

vii. Staff and Facilities

Targets by 20__

- a. --
- b. --
- c. and may be more

Audit Recommendation	Proposed intervention
Target1:	
Target2:	
Target 3:	

viii. Research and Extension

Targets by 20__

- a. --
- b. --
- c. and may be more

Audit Recommendation	Proposed intervention
Target1:	
Target2:	
Target 3:	

ix. Process Management & Continuous Improvement

Targets by 20__

- a. --
- b. --
- c. and may be more

Audit Recommendation	Proposed intervention
Target1:	
Target2:	
Target 3:	

5. Financial Implications by QA Areas (if any)

No.	QA Areas	Total Cost	Source	Remarks
1.	Governance			
2.	Curriculum Content Design & Review			
3.	Student Admission, Progress and Achievements			
4.	Physical Facilities			
5.	Teaching - Learning and Assessment			
6.	Student Support Services			
7.	Staff and Facilities			
8.	Research and Extension			
9.	Process Management & Continuous Improvement			

6. Potential Limitations and Roadblocks (in achieving targets)

No.	QA Areas	Potential Limitations/Roadblocks	Plan to overcome these
1.	Governance		
2.	Curriculum Content Design & Review		
3.	Student Admission, Progress and Achievements		
4.	Physical Facilities		
5.	Teaching - Learning and Assessment		
6.	Student Support Services		
7.	Staff and Facilities		
8.	Research and Extension		
9.	Process Management & Continuous Improvement		

7. Key Movers/Players (Person in Charge)

No.	QA Areas	Key Movers/Players	Remarks
1.	Governance		
2.	Curriculum Content Design & Review		
3.	Student Admission, Progress and Achievements		
4.	Physical Facilities		
5.	Teaching - Learning and Assessment		
6.	Student Support Services		
7.	Staff and Facilities		
8.	Research and Extension		
9.	Process Management & Continuous Improvement		

