HEICAT
Higher Education Institutional Capacity Assessment Tool
IREX is an international nonprofit organization providing thought leadership and innovative programs to promote positive lasting change globally. We enable local individuals and institutions to build key elements of a vibrant society: quality education, independent media, and strong communities. To strengthen these sectors, our program activities also focus on conflict resolution, technology for development, gender, and youth. Founded in 1968, IREX has an annual portfolio of $70 million and a staff of more than 400 professionals worldwide. IREX employs field-tested methods and innovative uses of technologies to develop practical and locally-driven solutions with our partners in over 120 countries.

The HEICAT was written by Lori Mason, Frank McNerney, and Rebecca Ward.

© 2016 IREX. All rights reserved.

IREX encourages the use and distribution of this tool and its contents by others for educational purposes, provided that appropriate attribution is provided to IREX and that its contents are not used to create derivative works.
### Table of Contents

1. OVERVIEW  
   - 4
2. FACILITATOR GUIDE  
   - 7
3. QUESTIONNAIRE  
   - 14
4. SCORING MATRIX  
   - 71
5. BIBLIOGRAPHY  
   - 80

_The HEICAT Report Template also forms part of the Higher Education Institutional Capacity Assessment Tool (HEICAT). It provides a structure and format to professionally present the data collected and analyzed using the tool. It will be provided to facilitators on completion of the assessment._
1. **OVERVIEW**

It is widely acknowledged that we now live in a global knowledge economy, where success and progress are governed by the extent to which societies can produce, process and apply new knowledge. In this context, the university becomes paramount as it develops human capital, creates new knowledge and plays a key role in local and global innovation systems. When properly embedded in its socioeconomic environment, the university can become a key driver of economic transformation. Strengthening universities, and seeking to improve their service quality and access, is therefore an important piece of the international development jigsaw.

Data can be a powerful resource for university administrators. Without data, education leaders can often be immobilized, because they do not have sufficient information to make a decision, to recognize that a problem exists, or to make the case for change. This Higher Education Institutional Capacity Assessment Tool (HEICAT) is designed to provide diagnostic information across a range of higher education functions and consequently enable the administration to formulate plans to strengthen their institution.

The HEICAT provides a framework for qualitative data collection, a matrix for scoring performance and a template for providing detailed qualitative feedback which identifies strengths, barriers and priorities for institutional improvement. It is a highly flexible tool:

- It can be used by both public and private institutions, and by universities or vocational/technical institutions;
- It can be facilitated by an external consultant or self-administered;
- All or part of the HEICAT can be used;
- It can be used in a variety of ways;
  - as a useful baseline to assess performance and prioritize ‘next steps’
  - to support data-informed decision making as a basis for instituting change
  - to compare performance across time to determine progress in achieving goals and objectives
  - to compare multiple institutions within a higher education system

**Structure of the HEICAT**

The tool is divided into categories that align to the typical functional structures of many universities, because it is anticipated that this will assist in identifying appropriate interviewees. Data collection is aligned to these categories and, ultimately, the institution under study will receive a performance score for each.

- Mission, Vision and Strategic Planning
- Senior Management, Governance and Accountability
- Finance
- Data and Institutional Research
- Staff and Faculty Management
• Academic Operations
• Workforce Development
• Students and Alumni Engagement
• Research
• Knowledge Transfer and External Relations
• Facilities, Equipment and Learning Resources
• Quality Assurance and Enhancement

Although not scored, the HEICAT questionnaire also provides for detailed consultations with relevant government officials and other relevant regional and national players in the higher education system. This is essential to ensure that the cultural, political and economic context in which the institution operates is thoroughly understood.

The questionnaire seeks to understand the organizational structure, resources, knowledge and skills within the institution, alongside the policies and incentives that govern behavior across a wide range of categories. The scoring matrix then provides a framework for making value judgements by comparing observed performance and behaviors against a set of ‘good practices’ within each category. These have been devised with reference to: the professional experience of the HEICAT development team members, who have worked within the higher education sector in the US, the UK and internationally in developing country contexts; a range of national and international quality frameworks; and scholarly literature on higher education.¹ This ensures that the tool is international in nature and suitable for application in any international context and for an institution at any stage of maturity.

IREX Higher Education Development Suite

The HEICAT is the cornerstone of the IREX Higher Education Development Suite, which includes a range of diagnostic and development tools to support capacity building and institutional reform in higher education institutions. The HEICAT facilitates the initial diagnostic step in this journey, enabling institutions to identify areas for improvement, growth and development. Having identified these priorities, development tools in the IREX Higher Education Development Suite can support institutions in making these changes. Current tools in the suite include:

• Career Center Toolkit
• Careers Advisor Curriculum
• Data-informed Decision Making Handbook
• Design Day Guide
• Learning Lab Modules

¹ A full list of reference sources is provided in the bibliography.
• English Language Institute Capacity Building Toolkit
• Framework for Industry Advisory Boards
• Higher Education Leadership and Management Trainings
• MOOC Toolkit

Additional tools will be added to the suite over time and IREX has the capabilities to develop bespoke products and services if required. Please contact HEDS@irex.org for more information.
2. HEICAT Facilitator Guide

The Facilitator Guide is designed to provide clear guidance to those implementing the HEICAT. It is recommended that the facilitator reads the guidance below and raises any queries or concerns with IREX prior to commencing data collection. The facilitator can be external to the institution, or the institution can choose to self-administer the tool.
# Facilitator Guide

## Table of Contents

<table>
<thead>
<tr>
<th>Section</th>
<th>Page</th>
</tr>
</thead>
<tbody>
<tr>
<td>2.1 What does a Quality Higher Education Institution look like?</td>
<td>9</td>
</tr>
<tr>
<td>2.2 The Data Collection Team</td>
<td>9</td>
</tr>
<tr>
<td>2.3 Using the Tool</td>
<td>10</td>
</tr>
<tr>
<td>2.4 The Data Collection Process</td>
<td>11</td>
</tr>
<tr>
<td>2.5 Interview Guidance</td>
<td>12</td>
</tr>
<tr>
<td>2.6 Presenting the Data</td>
<td>12</td>
</tr>
</tbody>
</table>
2.1 What does a Quality Higher Education Institution look like?

In order to identify where an institution needs to develop, it is first necessary to identify a desired performance or set of characteristics. While establishing a definitive global ‘best practice’ for higher education is challenging, there is convergence around the desirability of a number of key behaviors and themes if universities are to maximize their contribution to development:

- Institutions (and higher education systems) should consciously develop a transparent governance structure that seeks to achieve ‘good governance’ and appropriately balances autonomy, accountability and control. Institutions should seek to engage stakeholders (staff, students, employers, community etc.) in their decision making, planning and quality assurance procedures. This conceptual framework presupposes that an effective university must have a high degree of transparency, accountability, and participation (from students, faculty and staff) in decision making.

- Institutions should seek to improve the relevance of their provision, making sure that it is aligned to labor market needs and provides ‘work-ready’ graduates.

- Institutions should seek to produce world-class research if they want to maximize their contribution to economic development.

- In addition to the provision of graduates and the publication of research, institutions should seek to maximize knowledge transfer to their local communities and the economy through alternative means.

- Institutions should seek to diversify their revenue sources through commercialization of their research and provision of services to business.

Cross cutting these initiatives, should be a commitment to educational and research standards and quality, underpinned by solid management structures and transparent and consistently applied policies and procedures. Building upon these core themes, and with reference to quality assurance frameworks in the US, the UK and internationally, IREX has identified a set of good practice criteria against which institutions are scored (See the HEICAT Scoring Matrix). A full list of reference sources is provided in Section 5. Set against this measure of quality, the tool is designed to be used as a diagnostic to identify areas that would benefit from intervention and support, to identify priorities, and to benchmark institutional change.

2.2 The Data Collection Team

The facilitator may be internal or external to the institution under study. Ideally, the facilitator would have some knowledge of the higher education system in which the institution under study sits and of the management structure at the subject university. In addition, it is essential that they also have a good understanding of global good practice in relation to higher education. IREX recommends selecting a single facilitator to lead the data collection process who can oversee a team of data collectors if necessary. They should identify an individual point of contact within the university under study who can facilitate the necessary introductions and coordinate the research.
2.3 Using the Tool

The HEICAT has three components, all of which must be used by the facilitator to complete the review.

The Questionnaire

The Questionnaire provides a comprehensive series of questions aligned to each of the categories listed in Section 1. It is designed to be used as an aide memoire by the facilitator of the HEICAT. It is not anticipated that one individual will be able to answer all questions, so the facilitator must undertake preliminary investigations to identify appropriate respondents. It is good practice to triangulate data by asking the same question to multiple respondents; indeed, this will be an important source of information for identifying the extent to which policies and procedures are universally understood and consistently applied. Further detailed guidance for the data collection team is provided below. On completion of the data collection process, the facilitator should complete the Scoring Matrix and prepare the final report using the template provided.

The Scoring Matrix

The Scoring Matrix provides a framework for quantifying performance across the review categories. Within each category, the matrix identifies a series of ‘good practice criteria’. Using the evidence from interviews, observation and document review, the facilitator scores the institution under study based on the extent to which each criterion is met. Within each category, the mean score is taken to provide a ‘headline’ performance score. An institution subject to the full review will therefore receive a score for each of the 12 categories listed in Section 1 (some institutions may decide to use the HEICAT tool to rank only certain categories, in which case the end result will have fewer than 12 scores). The Scoring Matrix should be completed after the facilitator has reviewed documents, observed facilities and conducted interviews. However, the facilitator should also review the matrix prior to collecting data for guidance on data sources (column 8 and 9 of the matrix) and to ensure a thorough understanding of the conceptual framework underpinning the tool. In particular, they should take note of the documents they should request to view, if available. The Scoring Matrix is included in Section 4 of this document for reference and will also be provided as an editable excel file.

The Report Template

The Report Template is designed to maximize the value of the feedback provided to the institution under study. It provides the structure and format to professionally present the data collected and analyzed with this tool. It opens with a quantitative ‘performance dashboard’ based on the scores awarded in each category. This facilitates a quick assessment of the institution’s relative strengths and weaknesses which can help to identify management priorities. It also provides a useful structure around which to frame the debrief provided to institutions’ senior management teams. Space is then provided for deeper qualitative feedback for each of the categories included in the study. This includes reporting of particular areas of weakness, of strength and innovation, and of the key barriers to development, before concluding with recommendations. The Report Template will be provided to HEICAT facilitators as an editable document.
2.4 The Data Collection Process

Discuss

Make the data collection process participatory. A university is a place of learning; most administrators and faculty members are open to new processes and often have valuable critiques of surveys and data, provided that they feel like partners, and are properly involved. For example, in the initial interview, the facilitator should ask the senior management team what they expect from this data collection process. How do they want to use the data? What is their primary and secondary focus? How do they want to participate? Explain your needs in terms of commitment and time from staff; establish timeframes, and set a date for your summary presentation.

Understand the Tool

The facilitator should review and understand all the questions before starting the process, primarily because it is unlikely that the questions will be asked in the exact sequence listed in the tool. The interview may be redirected in a particular way that may make it more reasonable to begin a different line of questioning. Rather than force the respondent to conform to the questions in a particular order, the interviewer may find it more useful to follow the respondent’s pattern.

Adapt the Tool

Based on conversations with university administrators, determine which sections of the HEICAT should be used and select the key streams of questions to begin with. During the process, facilitators can always refer back and add questions as needed.

Plan

There is considerable information to collect, and time may be limited, so it is worthwhile to spend the first few days planning your approach, and apportioning your time. While the pressure will be to ‘get started’ by moving quickly to complete interviews, the first day, at least, should be used to know the broad overview of the institution. Work from the larger picture to the details, and always explain your process to those who are participating with you.

Identify the best resources

The facilitator should identify the best authority available to answer each category. It is highly unlikely that any single individual will know enough about all areas to provide accurate information. After the introductory meeting with the officials of the university, meet with your point of contact at the university to go over the categories in this tool to identify knowledgeable individuals and make appointments as soon as possible. Make it clear that you would like to speak to staff at different levels of seniority in the institution. For example, in order to understand what policies and procedures exist for academic management, the facilitator needs to speak to members of the senior management team, but to understand the extent to which these are widely understood and implemented, the facilitator needs to speak to faculty.
Collect and review documents
The Scoring Matrix provides guidance on the documents it would be useful to view under each category of the HEICAT. In addition to establishing the existence and quality of the documents, the facilitator should also consider how effectively they are communicated, the extent to which stakeholders are aware of and understand the policy/procedure, and the consistency with which they are applied.

Don’t be limited to asking only the survey questions
The data-collection tool cannot list all possible questions; in many cases it lists an opening question, which can reveal further issues. The facilitator is encouraged to improvise at times to follow-up on a provocative line of inquiry.

Cross-check all responses with several sources
Even those individuals who are considered knowledgeable may not have sufficient information. This means that many questions will have to be asked again with other sources. Variations in response may also give you valuable information about the extent to which processes are communicated, understood and applied. Through this triangulation process, a sense of actual practices can emerge.

2.5 Interview Guidance

- Practice standard research protocols: explain the process to each interviewee, including the use of the data, anonymity protection, and availability of response data.
- When needed, manipulate the phrasing of questions to make certain the interviewee thoroughly understands the intent.
- Drill deeper if you sense that there is more to be gathered (i.e. add more questions to the core list).
- Know when to end an interview. Don’t overwhelm any single interviewee; come back again if the responses become terser.
- Thank the interviewee, and let them know what will be done with the data.

2.6 Presenting the Data

Implementation of the HEICAT is the starting point for institutional change and the findings should be disseminated as widely as possible within the institution. The facilitator should encourage the administration to share information during the process so that a common understanding can be fostered. However, the facilitator must also clearly establish what data the institution’s senior management team is and is not happy to disseminate and abide by those rules. Recognize that some data may be confidential, limited to a smaller audience, and should not be widely discussed.

The Report Template is designed to capture a thorough qualitative explanation of the institutional strengths, weaknesses and recommendations for improvement. It is intended to be a detailed report that explains the scores derived from the scoring matrix. These are presented at the beginning of the report in a ‘dashboard’ that provides a clear indication of relative strengths and weaknesses across the institution, thereby providing an evidence based platform on which to prioritize institutional reform. The dashboard can be a useful starting point when presenting the data to stakeholders.

On completion of the review, the facilitator should prepare (ideally with the input of university staff) a concluding presentation for the university that reviews the purpose of the survey and the data that were
collected. You may have to make separate presentations to the senior management team, and other groups; design your report appropriately. Leave a copy of the presentation, and any other reports with the university.

If you have any queries at any time, please contact IREX at HEDS@irex.org.
3. HEICAT Questionnaire

This questionnaire is a data collection tool for the IREX Higher Education Institutional Capacity Assessment Tool (HEICAT).
# HEICAT Questionnaire

## Table of Contents

1. QUESTIONNAIRE COVER SHEET 17

2. KEY CONTACTS 18

3. QUESTIONNAIRE 21

   3.1 National Higher Education System 21

      3.1.1 Policy, Legal and Institutional Context 21
      3.1.2 External Relations and Advocacy 23
      3.1.3 Finances 24
      3.1.4 External Assistance/Funding 25
      3.1.5 Accountability and Performance 26
      3.1.6 Autonomy 27
      3.1.7 Academic Operations 30
      3.1.8 Workforce Development 31
      3.1.9 Research 33
      3.1.10 Knowledge Transfer 34
      3.1.11 Quality Assurance 35
      3.1.12 Student Admissions and Entry Requirements 37
3.2 Institution Under Study

3.2.1 Classification 41
3.2.2 Mission, Vision and Strategic Planning 42
3.2.3 Senior Management, Governance and Accountability 44
3.2.4 Institutional Research and Performance Data 47
3.2.5 Finances 48
3.2.6 Staff and Faculty Management 50
3.2.7 Academic Operations 53
3.2.8 Workforce Development 56
3.2.9 Students 58
3.2.10 Alumni 60
3.2.11 Research 61
3.2.12 Knowledge Transfer 63
3.2.13 External Institutional Relationships 64
3.2.14 Facilities, Equipment and Learning Resources 65
3.2.15 Quality Assurance 67
1. **QUESTIONNAIRE COVER SHEET**

<table>
<thead>
<tr>
<th>Name of subject University</th>
<th></th>
</tr>
</thead>
<tbody>
<tr>
<td>Previous Name(s) for University</td>
<td></td>
</tr>
<tr>
<td>Main Campus physical location</td>
<td></td>
</tr>
<tr>
<td>Mailing Address</td>
<td></td>
</tr>
<tr>
<td>Website</td>
<td></td>
</tr>
<tr>
<td>Primary Contact Name</td>
<td></td>
</tr>
<tr>
<td>Phone</td>
<td></td>
</tr>
<tr>
<td>Email</td>
<td></td>
</tr>
<tr>
<td>Official Language of University</td>
<td></td>
</tr>
<tr>
<td>Other languages used</td>
<td></td>
</tr>
<tr>
<td>Data Collection Period</td>
<td></td>
</tr>
<tr>
<td>Facilitator’s Name</td>
<td></td>
</tr>
<tr>
<td>Primary Translator’s Name (Oral)</td>
<td></td>
</tr>
<tr>
<td>Primary Translator’s Name (Text)</td>
<td></td>
</tr>
</tbody>
</table>
2. KEY CONTACTS

As detailed in the Facilitator Guide, one of the first tasks of the facilitator should be to discuss the HEICAT process with the senior management team and/or higher education authority. During this process, key contacts should be identified who are able to speak authoritatively on the topics listed below.

In order to develop a holistic understanding of the institution and the context within which it operates, respondents should be sought both in the higher education authority (and/or other appropriate national and regional bodies) and within the institution under study. The same individual can be listed against multiple topics. If you are unable to identify someone, please note N/A.

National Higher Education System

Please identify key contacts from the national higher education system (E.g. the ministry, a higher education authority, a higher education council, a quality assurance agency, etc.)

<table>
<thead>
<tr>
<th>Name and Title</th>
<th>Email</th>
<th>Telephone</th>
</tr>
</thead>
<tbody>
<tr>
<td>Background, History</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Policy Environment</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Legal Environment</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Planning</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Finance, Accounting</td>
<td></td>
<td></td>
</tr>
<tr>
<td>University Governance</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Institutional Research</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Academic Operations</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Workforce Development</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Entry and Admissions</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Students</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Research</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Grants Management</td>
<td></td>
<td></td>
</tr>
<tr>
<td>University Press</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Knowledge Transfer</td>
<td></td>
<td></td>
</tr>
<tr>
<td>NGO Liaison</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Government Relations</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>
## Institution Under Study

Please identify key contacts from within the institution under study *(E.g. Identify staff with specific responsibilities for strategic planning, student data management, research management, facilities, quality assurance, etc.)*

<table>
<thead>
<tr>
<th>Name and Title</th>
<th>Email</th>
<th>Telephone</th>
</tr>
</thead>
<tbody>
<tr>
<td>Background, History</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Legal, Policy Environment</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Mission and Vision</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Strategic Planning</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Governance, Accountability</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Chairperson Trustees</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Chair, Academic Senate</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Administration</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Finance, Accounting</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Institutional Research</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Staff and Faculty Management</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Academic Operations</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Workforce Development</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Entry and Admissions</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Students</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Student Services</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Research</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Knowledge Transfer</td>
<td></td>
<td></td>
</tr>
<tr>
<td>--------------------</td>
<td>---</td>
<td></td>
</tr>
<tr>
<td>Business Relations</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Government Liaison</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Facilities</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Learning Resources</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Information Technology</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Quality Assurance</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>
3. QUESTIONNAIRE

3.1 National Higher Education System

This set of questions should be asked to respondents with an excellent knowledge of the higher education system, including the policy environment, and the legal and regulatory framework. Examples include officers from the appropriate ministry, higher education authority, quality assurance agency or equivalent.

3.1.1 Policy, Legal and Institutional Context

1) Please describe the key national/regional institutions involved in higher education and explain their roles.
   (E.g. government ministries, funding agencies, quality assurance agencies, etc.)
   a) What is the relationship between these institutions and individual universities?
      (E.g. do they have statutory oversight? What powers do they have? etc.)

2) Do key members of the university senior management team have roles and responsibilities at the ministry or another national body?

3) Is there an official, written policy or strategic plan for the Higher Education sector?
   (If so, request a copy. If no formal policy or plan is available, explore existence of informal attempts to instigate change.)
   a) What are the specific goals or plans for developing or improving the higher education system?
   b) What stakeholders participated in development of the policy or strategic plan for the higher education system?
   c) What progress has been made to meet the plan objectives?
   d) If you could change anything in the plan what would it be and why?
   e) Is the plan currently in the process of being updated?

4) Is there a national higher education law and/or regulatory framework?
   a) What are its most significant principles?
b) When was the last time it was changed?

c) Is it currently being reviewed for further changes? If so, what changes are being contemplated?

5) What is the process for changing the law?

6) Do universities operate in a “grey area” in any ways?  
   (E.g. are there disputed areas, where the law does not forbid, or allow, certain activities, where the university has decided to operate?)

7) Does the law restrict a university’s ability to operate in any way? Please give examples.

8) Are there areas of the law universities would like to see changed?
   a) Which change is least likely to happen and why?

9) What is the legal status of a public university?  
   (E.g. not for profit, corporation, trust with corporate powers, etc.)
   a) Does this status differ from a private university in the same HE system?

10) Are there plans to change the legal definition of a university in the future? Why?

11) What has changed in the higher education system in the past ten years? Have there been significant changes or reforms introduced?
   a) If so, what has worked, what has not worked?
   b) What have been the biggest barriers to change?

12) What are the most significant trends within the higher education system?  
    (E.g. political, economic, social, technological, legal)
    a) How do these trends affect a university’s ability to meet their goals and objectives?

13) What are the biggest challenges the university system must address in the future?  
    (E.g. political, economic, social, technological, legal, etc.)
3.1.2 External Relations and Advocacy

1) How do universities communicate their issues and advocate for their needs with the government?
   a) Is this done on an individual basis or are there any representative organizations for the sector?
   b) Who has this responsibility at the universities? (Is there a government relations office within the university?)
   c) Is there a formal process?
   d) When does this advocacy take place? (Are there regular meetings scheduled or is this ad hoc?)

2) How do the universities advocate their issues or needs with other stakeholders, including the private sector?
   a) Who has this responsibility? (Is there a corporate/business/external relations office within the universities?)
3.1.3 Finances

1) What are the sources of funding for the public higher education system?
   (If possible, show percentages from each source: government, tuition and fees, grants, gifts, partnerships, services sold, etc.)
   a) Have the sources of funding, and their relative contributions, changed and are they likely to change in future?
   b) What are the main drivers of these changes?
      (E.g. budgetary constraints, political necessity, opportunity, etc.)

2) What is the process for allocating government funding to the higher education system?
   (E.g. when, how, who?)
   a) What would you change in the process?

3) What is the process for allocating government funding across different institutions?

4) How has the higher education budget changed in the last five years?
   (If possible, show annual percentage changes)

5) How much does higher education cost at the point of access?
   (If costs vary from program to program and institution to institution, take average costs)
   a) Do universities have autonomy to set their own tuition fees?
   b) Is individual financial support available to students?
      (E.g. bursaries, scholarships, student loans, etc.)
3.1.4 External Assistance/Funding

1) Describe any external assistance or funding that the ministry or universities received in the past.
   *(From whom? What kind? How much? When? Where?)*
   
a) Were these assistance efforts considered successful? Why?
   
b) Are there final reports available from these assistance efforts?
      *(If so, request copy)*

2) Describe the external assistance (in any form) that the higher education sector currently receives.

3) In what areas does the system need the greatest assistance or development?

4) Do universities require approval from the ministry to request assistance from an external donor?
   
a) What is the process of approval?

5) Does the ministry or another national authority have expertise in fund-raising or grant-writing?
   *(Who?)*

6) Is there a group or office in the ministry/higher education authority responsible for grant applications and management?

---

2 This is any form of funding or assistance that is not state or government subsidy or from tuition fees, e.g. international donors, the private sector, etc.
3.1.5 Accountability and Performance

1) How are education leaders (E.g. ministers, board members, trustees, council members, chancellors, presidents, etc.) held accountable for their performance?

2) Are universities subject to periodic external review/audit?
   (If so, by whom and how often?)
   a) Describe the criteria that is used to rate their performance.
   b) What are the consequences for performance that does not meet expectations?
      (E.g. additional support, dismissal, reassignment, etc.)

3) How well is the system of accountability working?

4) Are changes needed to hold education leaders more accountable?

5) Are there incentives to encourage administrator and faculty performance? What are these?

6) What are the disincentives that impede faculty or administrator performance improvement?
   (E.g. tenured system, lack of promotion, teaching load, etc.)

7) Are there any new incentives being introduced into the system? What are these?
### 3.1.6 Autonomy

1) How autonomous are the universities in the higher education system?
   
a) Is institutional autonomy provided for in national legislation or government policy?

2) Are there currently changes being considered that would decentralize or centralize any activities concerning the university system? What are these changes?

3) Would you say that the level of university autonomy has changed in the past ten years? In what ways?

4) Are there tertiary institutions in the country that have greater levels of autonomy than the public universities? What are these? *(E.g. foreign-owned, foreign partnerships/branch campuses, experimental sites, etc.)*

5) The following table lists various administrative activities. Which entity *ministry, higher education authority, institution, or other* has the final authority to decide on the following?³

<table>
<thead>
<tr>
<th>Administrative Activity</th>
<th>Ministry/Higher Education Authority</th>
<th>Institution</th>
<th>Other <em>(Please detail)</em></th>
</tr>
</thead>
<tbody>
<tr>
<td>To decide the structure and duration of academic programs at a university</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>To introduce new academic/degree programs at a university</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>To set the course content in a program</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>To set the assessment methods in a program</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>To employ or dismiss the head of the university</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>To employ, or dismiss deans</td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

---

³ Adapted from World Bank (2012) SABER Background paper: Data collection and assessment tool on governance and tertiary education. World Bank.
<table>
<thead>
<tr>
<th>Action</th>
<th>(HEICAT)</th>
<th>(HEICAT)</th>
<th>(HEICAT)</th>
</tr>
</thead>
<tbody>
<tr>
<td>To employ, dismiss, and promote academic faculty</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>To employ, dismiss, and promote administrative staff</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>To set salaries</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>To decide the institutional/student data that must be collected and publicly available</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>To decide what information is provided to students</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>To decide the size of student enrollment for regular students at a university</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>To decide the size of student enrollment for non-traditional students at a university</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>To engage in student work/study arrangements with the private sector</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>To enroll graduate students at the university</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>To decide the level of tuition and fees for traditional students</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>To decide the level of tuition and fees for non-traditional students</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>To raise funds from other sources</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>To lease or purchase buildings and equipment</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>To borrow funds</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>To spend budgets as needed to achieve their objectives (E.g. the university can move funds from one line item to another as needed, provided the total remains the same)</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>To establish links, and enter into partnerships with the private sector</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>To establish links with other domestic and international universities (E.g. for articulation, joint awards, exchanges or shared delivery, etc.)</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>---</td>
<td>---</td>
<td></td>
<td></td>
</tr>
<tr>
<td>For faculty to establish a research study</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>For faculty to engage in outside revenue generating activities for the university (E.g. consulting, training)</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>For faculty to be employed at a second job</td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

(N.B., There are undoubtedly degrees of autonomy within this simplistic dichotomy. For example, even though activity may require ministry (or other national authority) final approval, the approval may be perfunctory in that the ministry almost always accepts the proposal, since it has effectively let the university make all the decisions underlying the activity. The facilitator should determine how involved the external authority really is in any decisions, since the actual authority could be different than the process described in policy.)
3.1.7 **Academic Operations**

1) How was the current university academic structure formed? Is the structure consistent across universities?  
   *(E.g. the system was initially started by a colonial government, the system was modeled after another such as the British system, etc.)*

2) How are academic programs scheduled at the universities? Is scheduling consistent across universities?  
   *(E.g. semester, trimester or annual system? Cohorts or credit systems? Flexible delivery modes? etc.)*

3) Have there been any significant changes in the academic structure in past five years?

4) Are there any changes planned to the academic structure?  
   a) If so, what would have to happen to make these changes possible?

5) Is there a national qualification framework?  
   *(If so, collect)*

6) Who controls the curriculum?  
   *(E.g. the ministry, higher education authority, the university [centrally or in the faculties] or other?)*

7) What is the process for a university program to change a degree requirement, or an individual course?

8) What is the process to create a new program?

9) To what extent are courses transferrable to another institution if a student decides to relocate? Who decides?

10) What is the relationship to technical institutes or polytechnic universities in the area?  
    *(E.g. can students matriculate into university after completion of programs at a technical institute?)*
3.1.8 Workforce Development

1) Do policies exist at the national level to encourage student employability or work readiness before and after graduation?

2) Have any studies been completed (or are underway, or planned) that identify labor-market needs? Who undertook these studies? What are the key occupation sectors for future growth?

3) Does the current higher education system keep pace with labor market needs?

4) Are there gaps between labor market supply and demand? If so, why do these gaps exist?
   *(What is the nature of the gap? Perhaps the total supply of graduates is adequate, but not for specific fields, since graduates lack specific, useful knowledge and skill sets. List illustrative examples of sectors that do not have adequate workforce.)*

5) If there is a gap, what steps are being taken by the Ministry, and by universities, to address this?

6) What are the principal reasons that limit the higher education sector from reducing this gap?
   *(E.g. are there social constraints to students entering specific fields, lack of planning of specific academic programs to match market need?)*

7) Listed below are various activities for engaging employers around workforce development. Does the Ministry encourage any of these activities in universities?

   a) Involving employers in curriculum development? □ Yes □ No
      *(E.g. Industry Advisory Committees, requirement for employers to be involved in program approval, etc.)*

   b) Partnerships to facilitate internship opportunities/graduate placements? □ Yes □ No

   c) Private sector professionals engaged as guest lecturers? □ Yes □ No

   d) Opportunities for academic/professional staff exchanges? □ Yes □ No

   e) Provision of professional training to businesses or organizations? □ Yes □ No

   f) Provision of continuing professional development? □ Yes □ No
g) Opportunities for students to visit work places?  □ Yes  □ No

h) A university career center/service?  □ Yes  □ No

i) Jobs Boards?  □ Yes  □ No

j) Design days, innovation competitions or capstone projects?  □ Yes  □ No

k) Other?  □ Yes  □ No

8) What is the nature of the links between higher education and industry associations, and professional associations?

9) Are there any links between higher education and industry or professional associations?
   (E.g. dialogue about skills needs, internship programs, advisory boards etc.)

10) In what ways does the higher education system try to meet the knowledge and skill needs of the private sector?
    (E.g. trainings for non-traditional students, consultancies, certificate programs, licensing programs, conferences, etc.)

11) Does the private sector have any input in forming university academic policies? Are there private sector advisory boards?

12) Are there any initiatives currently underway to make links between the private sector and universities?

13) Are transferable employability skills embedded within the curriculum?
    (E.g. through the integration of professional development planning, use of varied classroom approaches [role play, negotiation, presentations, debate] and innovative assessment methods [action research, patchwork assessment, group assignments]).
3.1.9 Research

1) Is there an office in the ministry, or another national authority, with responsibility for university research? If so, what are their responsibilities?

2) Is there a grants or research office in the ministry, or another national authority? If so, what are their responsibilities?

3) Is there a national strategy for research (or science, technology, innovation)?
   a) What are the research goals and objectives for universities within this strategy?

4) What policies exist to promote research in the higher education system?

5) Does the government provide research grants? Through what mechanism? *(E.g. competitive grants, allocated research budget, etc.)*
   a) If so, what is the annual value of these grants?
   b) How are research funding priorities identified?
   c) What is the trend in the government funding for these grants?
      *(E.g. are available funds increasing or decreasing? Are there trends in relation to research priorities?)*

6) Is research conducted at each university, or are there specialized institutes to conduct research?

7) What is the total value *(in local currency)* of externally-funded research *(E.g. research that is not self-funded by the faculty member, the university, or the government?)*

8) What are the research expectations for faculty? *(E.g. are faculty required to conduct research yearly? Publish in international journals? etc.)*

9) Does the ministry, or another institution/agency, measure or reward research accomplishments and/or research quality?

10) Has the ministry introduced incentives to encourage university research?

11) What factors limit faculty/universities from conducting research? *(E.g. lack of skills to conduct quality research, lack of infrastructure, labs, funding, motivation, etc.)*

12) Has the ministry introduced incentives to encourage international experts to teach and research at universities?
3.1.10 Knowledge Transfer

1) Do policies exist to promote knowledge transfer from the higher education system to business and the community?
   *(E.g. funding for knowledge transfer activities such as innovation vouchers, knowledge transfer partnerships, knowledge brokers, extension services, etc.)*

2) The following list presents various knowledge transfer activities. Does the ministry encourage any of these activities in universities?

   a) Training
      *(E.g. to business, to public sector, to community groups, etc.)*

   b) Support to business
      *(E.g. consultancy, facilities, research, equipment, etc.)*

   c) Faculty–Business staff exchanges

   d) Licensing of Intellectual Property (IP)
      *(E.g. patents, copyrights, trademarks, etc.)*

   e) Business incubation from university IP

   f) Civic functions
      *(E.g. public use of library space, events, evening classes, etc.)*
3.1.11 Quality Assurance

1) Is there a national organization (the ministry or another national institution) which seeks to promote high quality teaching and learning practices?

2) Are there national quality standards for higher education? Who sets the standards? (These may not be written, but they still may exist. If a written quality code exists, collect.)

3) Is there a higher education accreditation agency within the country? If so, what is the name? How is this institution regarded? Is it effective? Does it make any difference to quality?
   a) Is this agency a government entity or an independent organization?
   b) What is the composition of the membership?
   c) Is its relationship to the universities voluntary or statutory?

4) Has the university system, an individual university, or a department or program at one of the universities ever gone through an international accreditation process? Which ones and when? If so, is the report available? (Collect)

5) Does the ministry have a quality assurance center, group, or committee or is there a national quality assurance agency? (If so, who? What are their functions?)

6) Are there mandated quality processes that universities are required to follow?

7) Who monitors the performance of individual institutions and how often?

8) Does each university have a quality assurance center, group, or committee? (If so, who? What are their functions?)

9) What data is collected from universities, and what tools do they use?

10) What systems and tools are in place to assess university performance? (E.g. is there a process of self-assessment, peer review, survey or audit? Is this a documented process?)

11) Does the ministry or another institution/agency rank universities? If so, what are the criteria for ranking?

12) What information about quality levels is shared publicly by the ministry? How? To whom?
13) Does the ministry have expectations for assessment within academic programs? What are they, and how are they communicated? Are student learning outcomes used?

14) Is there a process from the ministry to ensure that expectations for assessment within academic programs are met? What is the process?

15) Does evidence from assessment influence or shape ministry planning?

16) Does evidence from assessment influence or shape ministry budgeting?
3.1.12 Student Admissions and Entry Requirements

1) What is the application process to enter a public university? 
   (E.g. is there a national examination? Or multiple possible entry routes? A national admissions service? Individual university application? etc.)

2) What criteria are used to assess students for acceptance in public universities?

3) How are students selected to enter a public university? 
   (E.g. do they apply for specific universities/programs or are they placed by the ministry?)

4) Who makes the decision to accept or reject specific students? 
   (E.g. the ministry, institutional admissions offices, program leaders, colleges?)

5) What percentage of applicants are not accepted to the university?

6) Is widening access (for disadvantaged groups) a government concern?

7) Are there special allowances for particular groups of applicants? 
   (E.g. quotas, or extra points added to examination scores for ethnicity, home region, etc.)
   a) If so, what are these special groups? Why are they considered special? How many additional points for each category?

8) If there is a national examination, how is this prepared? 
   (If there are other tools used to select students, what are these, and how are they prepared?)

9) Are there any plans to change the process for selecting applicants for admission?

10) Are there changes needed to the process in your view?

11) In your opinion is the admissions system fair? Why?
3.2 Institution Under Study

This set of questions should be asked to respondents with an excellent knowledge of different functions and departments in the university under study. Examples include those with understanding of human resources, student data management, academic management, research management, strategic planning, facilities and quality assurance.

3.2.1 Classification

1) Please provide an overview of your institution. 
   *(E.g. public/private; length of study & types of programs; qualification levels; technical institute, etc.)*

2) How would you rate your institution relative to other similar institutions? 
   *(E.g. Top, middle, low - by research capability; by teaching quality? Why?)*

3) When did this campus open? *(Date)*

4) What were the reasons for opening this university?

5) What is the brief history of the university since it opened?

6) What are the achievements of the university? What are the overarching strengths of the university?

7) Has the university, a program, or a department achieved a ranking of some kind? If so, what is the ranking system and what is the university’s rank?

8) Are any schools or departments within the university well known for their work? If so, what are the details?

9) Which universities are considered competitors to this one?
3.2.2 Mission, Vision and Strategic Planning

1) Does the university have a stated mission and vision?  
   *(If so, what is the mission and vision of this university? Is it fit for purpose?)*

   a) Where/how is the mission and vision communicated? Are staff and students aware of the mission and vision?

2) What are the goals and plans of the university?

3) Is there a written strategic plan?  
   *(Or a written document that shows the planned direction?)*

   a) Where/how is the strategic plan communicated? Are staff and students aware of the strategic plan?

4) What was the process used to create the strategic plan?  
   *(Who, what, when, where and how?)*

5) Were external stakeholders *(E.g. graduates, students, employers, policymakers, general public, etc.)* involved in establishing the institution-wide planning?

6) Have any strategies or goals of this plan already been achieved? Which ones?

7) What has been the progress on the other goals and objectives?

8) Does the university have an implementation plan? *(If so, collect)*

9) What are the significant challenges the university faces in its operations?

10) Have there been significant issues in the operations of the university in the past ten years?  
    *(E.g. school closures, armed conflicts, industrial disputes, protests, or major changes in service provision, etc.)*

11) What challenges has the university overcome?

12) Are there any concerns about future challenges the university will face in the next 10 years?

13) Is the university anticipating changing its operations or adapting them in ways to improve performance? *(If so, please describe in detail)*

14) Are there policy manuals (or codes of conduct) for the following:  
    *(Collect, review and identify the date each was created. Where/how are the policies communicated?)*
15) Are policies routinely and consistently applied?

16) Are there any major policy changes being planned or discussed currently?

17) Are there any new initiatives underway that might change the way the university operates?
3.2.3 Senior Management, Governance and Accountability

1) Is there a board of trustees, board of governors or university council?
   a) If yes, who makes up the board or council?
   b) How independent is the board or council?
   c) How is the board or council selected?
   d) What authority does the board or council have? To what extent does the board or council have decision-making authority?
   e) Does the board or council have clear responsibilities?
      (Need to keep asking about this point, to determine if just formality or real decision making authority)

2) What administrative offices are in the university?

3) What management committees are there at the university? Are these committees functioning and active?
   a) Are there any committees that are listed, but are no longer functioning?
   b) Is there an organizational chart showing these committees?

4) Who are the members of the senior administration team at the university?
   (Collect names, responsibilities, contact information)

5) What is the selection process for the head of the institution?
   (E.g. Rector, Vice-Chancellor, President, etc.)
   a) Who is involved in the process?
      □ The national government (parliament)
      □ The ministry (or other national authority)
      □ Regional (state, governate or provincial) authorities

---

4 In this section, questions related to the selection process, and the requirements are taken largely from a World Bank background paper, Data collection and assessment tool on governance and tertiary education, (2012) that was an output of the SABER Program. The purpose of these questions is both to establish the level of autonomy in a university and whether or not the management is capable. (The assumption is that capacity is likely if the system is based on a system of meritocratic promotion.)
b) What are the requirements to be selected?

- Must be an academic
- Must have a managerial profile
- Must be an internal person to the institution
- Must meet the full job specification
- Must be affiliated to a political party
- Other ______________________________

6) What is the selection process for a dean/head of department?

a) Who is involved in the process?

- The ministry (or other national authority)
- Chancellor or head of the institution
- The board of governors or university council
- University academic committees
- Departmental faculty
- Other ______________________________

b) What are the requirements to be selected?

- Must be an academic
- Must have a managerial profile
- Must be an internal person to the institution
- Must be from the faculty in the department
- Must meet the full job specification
- Must be affiliated to a political party
- Other ______________________________
c) What are the conditions of employment for deans/head of departments?  
(E.g. duration of a term, number of possible terms, etc.)

7) How is the performance of the head of the institution evaluated?

8) What are the criteria used to judge whether the head of the institution has been successful or not?

9) How are deans/heads of department evaluated for the performance of their department/college/school?

10) What are the criteria used to judge whether a dean/head of department has been successful or not?

11) How are faculty members evaluated? Is there any system of accountability if a faculty member does not meet evaluation standards?

12) What are students held accountable for? Are there formal processes in place to penalize bad behavior/poor performance?  
(E.g. academic misconduct, attendance, number of assessment attempts, etc.)

13) Is there an employee handbook or clear, written roles and responsibilities set out for all employees in the university?  
(Check if “yes”, collect documents if available)

☐ Head of institution
☐ Deans/Heads of department
☐ Departmental Faculty
☐ Other staff
☐ Committee assignments
3.2.4 Institutional Research and Performance Data

1) Is there an office at this university that is responsible for collecting data about the university? 
   *(E.g. an institutional research or strategic planning department, etc.)*

2) What data does the university collect?
   a) What is done with the data?

3) How is data collected?
   *(E.g. is there a digital management information system?)*

4) Who collects and has access to the data?
   a) How does the institution deal with sensitive and confidential data? 
      *(E.g. do they have a data security policy and how is this implemented?)*

5) Is the university required to report data to the ministry or any other agency? 
   *(What data is reported and how frequently?)*

6) Does the university measure institutional performance? 
   *(What criteria are used?)*

7) How and with whom is data on institutional performance shared?

8) How would the university define “efficiency” in terms of university operations?
   a) Does the university use any tools to measure the efficiency of its operations?

9) How would the university define the “quality” of its services?
   a) Does the university use any tools to measure the quality of its operations?

10) How would the university define the term “accessibility” in regard to the provision of its services?
    a) Does the university use any tools to measure access? 
       *(E.g. for underserved groups by ethnicity, gender, religion, etc.)*

11) How would the university define the term “equity” in regard to the provision of its services?
    a) Does the university use any tools to measure if its operations are equitable? 
       What are these?
3.2.5 **Finances**

1) Does the university create its own budget?
   a) If so, what is the process?

2) Does the university create its own financial projections and plans?
   a) If so, what is the process?

3) What is the process for approving the budget?
   *(E.g. is ministry or other approval required? Who approves within the university?)*

4) What is the current university budget?
   *(Collect document, if available)*

5) What level of financial autonomy does the university have to generate funds from other sources?[^5]

6) What are the budget revenue sources? What percentage of the budget revenue comes from each source?

<table>
<thead>
<tr>
<th>Budget Source</th>
<th>Percentage</th>
</tr>
</thead>
<tbody>
<tr>
<td>□ Tuition</td>
<td></td>
</tr>
<tr>
<td>□ Fees</td>
<td></td>
</tr>
<tr>
<td>□ Government</td>
<td></td>
</tr>
<tr>
<td>□ Awards</td>
<td></td>
</tr>
<tr>
<td>□ Donors</td>
<td></td>
</tr>
<tr>
<td>□ Rental/leasing</td>
<td></td>
</tr>
<tr>
<td>□ Business enterprises</td>
<td></td>
</tr>
<tr>
<td>□ Patents/Licenses</td>
<td></td>
</tr>
<tr>
<td>□ Consultancies</td>
<td></td>
</tr>
<tr>
<td>□ Investments</td>
<td></td>
</tr>
<tr>
<td>□ Other</td>
<td></td>
</tr>
</tbody>
</table>

[^5]: In this section on financing, several questions related to the ability of a university to manage their own funds are adapted from a World Bank background paper, Data collection and assessment tool on governance and tertiary education, (2012) that was an output of the SABER Program.
7) Are there any sources of funding that were available in the past that are no longer possible?

8) If fundraising is permitted, what are the issues and challenges?

9) Are institutions able to retain surplus from annual budget?

10) Are institutions able to retain self-generated funds?

11) Do institutions have flexibility in how they use available resources?

12) What are the challenges to find sufficient financing?

13) Does the university do financial analysis of expenses to determine where to improve efficiency or future planning?

14) What percentage of expenses is spent on the following categories?

<table>
<thead>
<tr>
<th>Percentage</th>
</tr>
</thead>
<tbody>
<tr>
<td>Facilities</td>
</tr>
<tr>
<td>Faculty</td>
</tr>
<tr>
<td>Research</td>
</tr>
<tr>
<td>Teaching and Learning</td>
</tr>
<tr>
<td>Administration and Staff</td>
</tr>
</tbody>
</table>

15) Do the students pay for any of the university services in any way? 
   (E.g. tuition, fees, residences, food, books, supplies, etc.)

16) Are student loans, bursaries or scholarships available to students? 
   (If so, how much/many? What are the mechanisms for accessing support?)

17) Are there non-monetary ways that students are expected to contribute? 
   (E.g. volunteering, mandatory service periods, in kind contributions)

18) Are there other costs that students have to pay related to their higher education? 
   (E.g. off-campus housing, transportation, tutorials, etc.)

19) Is there a mechanism to track expense trends at the university?

20) Is there a current operating deficit (expenses exceed revenues)?
   a) If so, how is this deficit financed?

21) Is any software used to manage finance?
3.2.6 Staff and Faculty Management

1) What title is given to employees who are not faculty but who work at the university? 
   *(E.g. administrative assistants, maintenance, managers, etc.)*

2) What range of employment conditions does the university offer? 
   *(E.g. are they civil servants, local hires, full-time, part-time, zero-hours contracts, fixed term contracts, etc?)*  
   Provide percentages by type if possible.
   
   a) Can staff members be tenured? 
      *(If so, what percentage of staff members are tenured?)*
   
   b) Are staff members organized into unions?
   
   c) What power and influence do staff members have at the university?

3) What are the major concerns about staff?

4) What are the different types of employment arrangements the faculty can have with the university? 
   *(E.g. Term contracts, civil servant, tenured full-time, adjunct or part-time, government employee, other distinctions)*

5) What is the composition of the faculty?
   
   • Degrees received (where from and when)
   • Gender
   • Ethnicity
   • Tenure
   • Additional training received
   • Participation in exchanges
   • Age (if permitted to ask)

   *(N.B. the university may also have their own attributes that they use for determining the faculty member’s status. The facilitator should note attributes the university considers most important.)*

6) What is the faculty/student ratio?

7) What are the typical stages in the career of a faculty member? How is a faculty member identified and selected?

8) What are the incentives to become a faculty member?
9) Is there minimum academic attainment or prescribed qualification for faculty? 
   *(E.g. Masters qualification to teach at Bachelors level, Doctorate to teach at Masters level, required teaching qualification, etc.)*

10) Do any support systems exist to assist faculty development? If so, what does the faculty development strategy look like?

11) What support/faculty development is offered to newly hired faculty? To mid-career faculty? 
   *(E.g. mentoring, training, etc.)*

12) What is expected of a faculty member in terms of teaching, research and community service?

13) How is faculty time managed? 
   *(E.g. is there a workload allocation model, a minimum number of teaching hours per week, or use of timesheets? etc.)*

   a) How many classes (or hours) does a faculty member teach each week?

   b) How many masters and doctoral students do faculty members typically supervise?

   c) Are faculty members expected to serve on committees? How often? When?

14) Ideally, how much time would the administration wish faculty members to spend on:

<table>
<thead>
<tr>
<th>Percentage</th>
</tr>
</thead>
<tbody>
<tr>
<td>Teaching</td>
</tr>
<tr>
<td>Research</td>
</tr>
<tr>
<td>Committees</td>
</tr>
<tr>
<td>Other</td>
</tr>
</tbody>
</table>

15) What are the most significant issues and challenges facing faculty members?

16) How and when are faculty members evaluated? What are the criteria used? 
   *(E.g. student learning, publications, etc.)*

   a) Are there any issues with the current faculty evaluation system? Is it fair?

   b) Has the faculty evaluation process changed in the last ten years? How?

   c) Are there any changes being considered to the faculty evaluation system?

   d) How is the evaluation system communicated to staff?
17) Is there a faculty senate? If so, what are their responsibilities?

18) Are there local faculty organizations at the university?

19) Are there national faculty organizations?
   *(E.g. unions, professional associations, etc.)*

20) Are faculty permitted to work other jobs outside the university?

21) Do faculty members have to get approval (or report) employment outside the university?

22) What percentage of the faculty has second jobs outside the university?

23) How many faculty members have participated in an exchange with another university?
3.2.7 Academic Operations

1) What are the departments/schools/colleges at the university?  
   (Collect this information, if documented)

2) What degrees are offered by each department?  
   (collect a list of degrees by department)

3) Does the university offer joint degrees from two or more departments at the university or with other institutions?

4) Does the university have its own academic calendar or is this governed by the ministry?  
   (If so, collect a copy)

5) What types of delivery modes or program schedules does the university operate within?  
   (E.g. day versus evening classes, correspondence courses, online or blended programs, anything that is different than the standard, full-time, campus-based, day program)

6) Does the university provide services that use different off-campus locations?  
   (E.g. agriculture extension services, hospitals, health clinics, laboratories)  
   Briefly describe each.

7) Does the university have a set of Academic/Assessment Regulations?  
   (E.g. which sets out how academic credit is awarded, how a student progresses through the program, and which uses a uniform set of grades to assess the degree to which students’ have achieved learning outcomes)

8) List the general student requirements to graduate with a Bachelor degree.  
   (E.g. pass mark, successful attainment of credits—include any research requirements, internships or summer training, etc.)
   a) What is the minimum, maximum and average time taken to achieve this qualification?

9) List the general student requirements to graduate with a Masters degree.  
   (E.g. pass mark, successful attainment of credits—include any research, internships or summer training, etc.)
   a) What is the minimum, maximum and average time taken to achieve this qualification?

10) List the general student requirements to graduate with a PhD degree.
a) What is the minimum, maximum and average time taken to achieve this qualification?

11) Who develops the program of study or graduation requirements for each department?

12) Who develops the curriculum used in each department?
   (E.g. does the ministry decide content, pedagogy, etc. or does the university or departments get to choose themselves?)

13) What is the process for approving a new course, or eliminating one from a program of study or graduation requirements?
   a) How long does program approval last for?
   b) How easy, or difficult, is it to make changes to a curriculum?
   c) What ‘work-arounds’ are used to bypass the approval system?
      (E.g. can course titles be maintained while faculty members bring in their own materials to teach? Can the same book or content be taught but using different instructional strategies, assessments, etc?)
   d) Does the institution keep a definitive record of approved curriculum?
      (If so, where are these kept? How are these used?)

14) What is the process for awarding academic credit?
   (E.g. who is involved? When does this take place?)

15) Is there a written assessment plan in place that describes when, how, and how frequently each student learning outcome is assessed?6
   a) Are assessment tools verified internally/externally?

16) Do all academic programs have student learning outcomes?
   (E.g. a shared set of competencies that all students successfully completing the program should be able to demonstrate)

17) How are expected learning outcomes communicated to students? How do students know what is expected of them in order to pass their program?

---

6 The questions in this section that emphasize written learning plans, and ways to communicate these expectations, as well as the establishment of written policies for staff and ways to communicate these, are adapted from the Guidelines for assessment and accountability in higher education, (2012) from the New Leadership Alliance for Student Learning and Accountability.
18) How are the student learning outcomes measured?
   *(E.g. are they measured in terms of “knowledge”, “skills”, and “attitudes” at the
   program level? What assessments are used at a program level?)*

   a) Are student learning outcomes/assessments ratified?
      *(E.g. is there an internal/external verification process?)*

19) How are academic regulations and policies communicated to staff and faculty
    members?
    *(E.g. policy/process documents, circulated minutes, memos, intranet, etc.)*

20) Are these internal communication processes effective in ensuring that staff
    understand and implement academic policies and procedures as required?

21) Are there elective courses that allow for student choice or are classes
determined for each program?

22) Does the university try to internationalize its educational experience for students?
    *(E.g. are there study abroad partnerships, recruitment of foreign students, etc?)*

23) Are there any new academic initiatives currently underway at an institutional level?

24) How is academic quality measured?
3.2.8 Workforce Development

1) Does the university have an office or center responsible for improving student work readiness or developing connections to private sector for student employment? 
   (*E.g. a career development center/careers service?*)

2) Does the university track graduate employment? How and when?
   a) Is this information publicly available?

3) Is the university aware of employment studies that identify sectors growth sectors?

4) Does the university have a strategy to improve student work readiness or job skills prior to graduation? If so, what is it?

5) What specific steps is the university taking to increase employability?
   a) Are there any initiatives underway to link academic programs with workforce needs?

6) What systems are in place, or planned, to support students finding jobs after graduation? 
   (*E.g. formally through university center, informally through academic faculty, etc.*)

7) Are there any examples of successful links with the private sector to improve student work readiness? 
   (*E.g. internships/co-ops, innovation competitions, etc.*)
   a) Are these considered a success?

8) What do the education leaders and faculty think about the idea that classes should be relevant to employer needs? 
   (*E.g. they should teach knowledge and skills, that would increase a student’s future employability*)

9) If employability is considered important, what measure is the university taking, or plans to take, to improve employability?

10) Are transferable employability skills embedded within the curriculum? 
    (*E.g. through the integration of professional development planning, use of varied classroom approaches [role play, negotiation, presentations, debate] and innovative assessment methods [action research, patchwork assessment, group assignments]*)

11) Does the university have links to the private sector at an institutional level?

12) Does the university have any academic links with the private sector at a program level?
(E.g. are there any co-op programs, internship requirements, industrial advisory boards, etc?)

13) Does the university have an online portal or another mechanism for students to post CVs and employers to post jobs?

14) Does the university have a Career Service or provide labor market advice and guidance to students and/or graduates?

15) Listed below are various activities for engaging employers around workforce development. Does the Ministry encourage any of these activities in universities?

   a) Involving employers in curriculum development? ☐ Yes ☐ No
      (E.g. Industry Advisory Committees, requirement for employers to be involved in program approval, etc.)

   b) Partnerships to facilitate internship opportunities/graduate placements? ☐ Yes ☐ No

   c) Private sector professionals engaged as guest lecturers? ☐ Yes ☐ No

   d) Opportunities for academic/professional staff exchanges? ☐ Yes ☐ No

   e) Provision of professional training to businesses or organizations? ☐ Yes ☐ No

   f) Provision of continuing professional development? ☐ Yes ☐ No

   g) Opportunities for students to visit work places? ☐ Yes ☐ No

   h) A university career center/service? ☐ Yes ☐ No

   i) Design days, innovation competitions or capstone projects? ☐ Yes ☐ No

   j) Jobs Boards? ☐ Yes ☐ No

   k) Other? ☐ Yes ☐ No

16) What hinders the university efforts to increase student work readiness or employment?
3.2.9 Students

1) What is the composition of students attending the university? (E.g. by gender, degrees, undergraduates, graduates, socio-economic status, international, credit, non-credit, full-time, part-time, non-traditional, etc.)

2) Are certain groups of students designated as “disadvantaged?” What are these groups? Why?

3) Are there international students at the university? How many? Is there a different process for admittance? Do they pay tuition?

4) What is the admissions process for students to enter this university? (E.g. do they choose which university to attend or are they assigned to a university by the ministry? Is there an admissions application? What information is collected?)

5) If students have a choice among universities, what are the most important criteria they use to make a decision?

6) How are students selected to attend your university? Who makes the selection for undergraduate programs?

7) Is there a different admission procedure for graduate programs?

8) What criteria are used to select students? What happens to students who are not selected in a given year? Can they re-apply?

9) Do current students know what they are expected to do, achieve, demonstrate, or know upon graduation? How do you know?
   a) Is there a published student handbook with policy information, codes of conduct, etc.?
   b) Is there an induction/orientation? How long is this?
   c) Can students view course curricula, assessment plans and learning outcomes?

10) Is there a clear appeals and complaints procedure for students? (How is this communicated? Is it fairly applied?)

11) Does the university keep track of student completion or graduation rates? What steps or strategies does the university take to encourage student completion?

12) What wider support services are provided to students? (E.g. pastoral care, financial guidance, information about local services, etc.)
13) Once students are admitted into a degree program at the university, can a student change their course of study? If so, what are the consequences?

14) What percentage of students resides in university-owned, or -leased, residences?
   
a) Describe the residential life of students.
   
   (E.g. number in a room, dining facilities, study rooms, culture, etc.)

15) How would you describe the student culture at your university?

16) What student associations exist at the university? What is the purpose of each?
   
a) Are any student groups not allowed at the university?
   
b) What student groups are most popular at the university?

17) What steps does the university take to ensure a safe environment for all students?
   
   (E.g. male, female, ethnic and religious groups, etc.)

18) Does the university involve students as stakeholders in planning in any area?
   
   (E.g. are students involved in strategic planning, in developing student learning outcomes, in program approval, in quality enhancement, etc.)

19) What role do parents play at the university or in students’ academic decisions?
   
   (E.g. do parents have substantial influence on students’ choice in academic programs or career decisions? Does the university involve parents in feedback for university planning?)

20) What are students held accountable for? Are there formal processes in place to penalize bad behavior/poor performance?
   
   (E.g. academic misconduct, attendance, number of assessment attempts, etc.)
3.2.10 **Alumni**

1) Does the university keep track of alumni? Is there an office or group responsible for alumni relations? Do individual departments track alumni of their programs?

2) Are there any existing linkages with university alumni? 
   *(E.g. for fundraising, mentoring, marketing, etc.)*

3) Does the university involve alumni in policy-making or strategic planning at the university?

4) Are there any initiatives currently underway to involve alumni on campus? 
   *(E.g. job fairs, industry advisory boards, strategic planning, etc.)*
3.2.11 Research

1) Is there a list of the research projects currently in progress at the university? (If so, collect)

2) Is the university well known for research in a specific field? Which one? Why?

3) Does the university have a research strategy?
   a) How is research defined? What would it include?
   b) What are the research goals and objectives for the university?
   c) Has the university established any research priorities? If so, how were these decided upon?

4) Is there a research committee at the university? What is their function? Who is the chairperson?

5) Is there a specific administrative group or research management office at the university to support research activities?

6) Does the university have a review process for research projects? Does this include research ethics approval?

7) Does the university maintain a list or database of national and international grant sources for potential research activities? 
   (What is the procedure for scanning grant opportunities? Who is responsible for this?)

8) Does the university have its own publications unit or journal? Or, is this done by a department in the ministry?

9) How is the research disseminated?

10) Are faculty members expected to do research at the university? Has this expectation changed in the last five years? Do you think it will change for the future?
   a) Are there research goals and objectives planned for each faculty member? (If yes, please provide a list)
   b) How many/what percentage of current faculty has published research in international, peer-reviewed journals?
   c) What percentage of the total faculty has a research project underway?
11) Do undergraduate students participate in faculty research projects?  
(Examples?)

12) Do graduate students participate in faculty research projects?  
(Examples?)

13) What support does the university provide to faculty members to encourage research activities?  
(Examples: is time allocated, are funds provided, is training available? etc.)

14) What specific incentives does the university provide?

15) What limits more faculty members from doing research?  
(Examples: lack research skills, lack of motivation, teaching load, etc.)
3.2.12 Knowledge Transfer

1) Does the institution have a unit/committee responsible for promoting and supporting knowledge transfer activities with business and the community?
   *(E.g. an extension service, a knowledge transfer office, a business engagement office, etc.)*

2) Does the institution have a Knowledge Transfer Strategy?

3) Does the institution have a single point of contact for business and community enquiries?

4) Do opportunities exist for faculty members to engage in knowledge transfer activities with business and the community?
   *(E.g. innovation vouchers, knowledge transfer partnerships, knowledge brokers, extension services, etc.)*

5) Are faculty members permitted to engage in research with the private sector?
   a) If so, what are the permitted arrangements?
      *(E.g. conditions and incentives, etc.)*

6) What relationships does the university maintain with the local community?

7) Listed below are various knowledge transfer activities. Does the university engage in any of these activities?:

   Training
   *(To business, to public sector, to community groups, etc.)*
   [ ] Yes [ ] No

   Support to business
   *(E.g. consultancy, facilities, research, equipment, etc.)*
   [ ] Yes [ ] No

   Faculty–Business staff exchanges
   [ ] Yes [ ] No

   Licensing of Intellectual Property (IP)
   *(E.g. patents, copyrights, trademarks, etc.)*
   [ ] Yes [ ] No

   Business incubation from university IP
   [ ] Yes [ ] No

   Civic functions
   *(E.g. public use of library space, events, evening classes, etc.)*
   [ ] Yes [ ] No
3.2.13 External Institutional Relationships

1) What type of relationships can the university enter into with domestic or international organizations? (*E.g.* MOUs, partnerships, *etc.*) Who needs to approve these agreements?

2) What partnerships or relationships does your university have with other domestic and international universities currently?

3) Do any of these university partners provide resources for your university? (*E.g.* money, technical help, training, facilities, *etc.*) Which ones? When?

4) Has the university participated in any types of relationships with international universities? (*E.g.* exchanges, shared delivery partnerships, franchises, articulations, joint degrees, research collaborations involving faculty or students, *etc.*)

5) What are the different types of relationships that a university can have with the private sector in your community?

6) Do you currently have any partnerships with the private sector? What are these?

7) Are there any efforts to build relationships with the private sector?

8) What prevents the university from proceeding with building these relationships?
3.2.14 Facilities, Equipment and Learning Resources

1) Does the university operate one campus or multiple campuses?

2) What facilities does the university operate on the main campus?
   *(collect a map if available)*

3) Are the facilities adequate to meet the vision and mission of the university? If not, what is missing or deficient?

4) What are the physical and virtual library resources available to both students and faculty?
   *(E.g. volumes, databases and subscriptions, etc.)*
   a) How are libraries staffed? Is ‘information literacy’ advice and guidance available to students?

5) What are the academic facilities?
   a) Are there enough classrooms?
   b) How are they laid out? Do they facilitate good teaching and learning practices?
   c) Are they well maintained?
   d) What technology is available? Are they adequately equipped to support teaching and learning?
      *(E.g. classrooms, laboratories, technology centers, etc.)*

6) Are the administrative facilities adequately equipped to support university functions?
   *(E.g. photocopiers, software, printers, IT equipment, etc.)*

7) What are the student facilities?
   *(E.g. residences, student centers, gymnasiums, social learning space, sports fields, theatres, etc.)*
   a) Are social spaces available for students to enable social learning and encourage the development of a student community?

8) What are the research facilities? Are they adequately equipped to support university functions?

9) Are there any special use buildings or facilities on the campus?
   *(E.g. a government lab, special project, etc.)*

10) Do any external agencies or organizations have project offices on the campus?
    *(If so, provide location and contact information)*
11) What are the building plans for the future, and what are the subsequent funding requirements for these plans?

12) What construction projects are underway at the university?

13) How would you describe the maintenance level of the university facilities?

14) Does the university own or lease its building and land?  
   (If there is a mix, describe the leasehold arrangements)

15) Does the university rent out any facilities to generate income?  
   (If so, describe)

16) Is there a software technology currently used to manage the facilities? If so, what software is used?

17) How would you rate the quality of the facilities to enhance the teaching and learning experience?

18) Are all buildings on campus wired for Internet access? If not, what percentage of buildings are currently wired for Internet?

19) What Internet capacity exists at the university?  
   (E.g. what coverage? 24 hours? On university machines or personal devices?)

20) Does the university have a presence on social media? Who is responsible for managing this?

21) Does the university have a website? What services can be accessed from here?

22) What additional equipment is needed to facilitate and enhance teaching and learning on the campus?  
   (E.g. computers, smart boards or LCD projectors in classrooms, video conferencing equipment, etc.)

23) What additional equipment or software is needed to operate the campus effectively?
3.2.15 Quality Assurance

1) Is there an office, unit or committee within the university responsible for quality assurance?
   (If so, how many staff does this have? Who do they report to? Is it independent from the faculty?)

2) Does the university have a systematized quality assurance and enhancement procedure?
   (If so, how is this documented? How accessible is it? How is it communicated to staff? How well understood is it? Is it consistently applied?)

3) Is there a process of quality review or audit by the ministry or other national authority?
   (If so, how often does this happen? What are the consequences of the review?)

4) Does the university have a self-assessment system? If so, how often does this happen?
   (E.g. an internal subject review or other documented procedure)

5) Has the university or any academic departments completed a self-assessment/evaluation?

6) If self-assessments/evaluations are conducted, what is done with the data collected?
   a) How is the data used? Is it used to inform programs or make changes within the university?

7) What quality assurance systems does the university have in place at the following levels?
   • University/Institution
   • School/College
   • Department
   • Program
   • Faculty
   • Student
   • Administration
   • Staff

(N.B., The facilitator will most likely have to give examples for each category, e.g. program quality enhancement plans, subject annual self-evaluation reports, data analysis reports, student staff liaison committees, student feedback)
8) What tools does the university use to measure progress at these levels?

9) Are there any quality related documents that faculty are required to submit?  
   (Are these consistently collected?)

10) Does the university use external reference points to maintain standards and quality?  
   (E.g. are curriculum benchmarked against a national/professional standard or other  
   institutions? Is marking ratified externally? Are external members involved in program  
   validation?)

11) Do students participate in the quality assurance and enhancement procedures?  
   (E.g. student feedback, student representatives, student staff liaison committees,  
   etc.)

12) Is evidence from student learning outcomes assessment used to make  
    recommendations for improvement of student learning opportunities?

13) Does the institution have any mechanisms for sharing and disseminating good  
    practice?  
   (E.g. working groups, internal conferences, committees, etc.)

14) Has this institution or any department in the institution achieved international  
    accreditation status?  
   (If so, collect the details)

15) How does the university measure quality? What is measured?
4. HEICAT Scoring Matrix

This is the Scoring Matrix for the IREX Higher Education Institutional Capacity Assessment Tool (HEICAT). It should only be read and used in conjunction with the HEICAT Overview, Facilitator Guide, Questionnaire, and Report Template.

The Scoring Matrix provides a framework for quantifying performance across the review categories used to structure the questionnaire. Within each category, the matrix identifies a series of ‘good practice criteria’. Using the evidence from interviews, observation and document review, the facilitator should score the institution under study based on the extent to which each criterion is met. Within each category, the mean score should be taken to provide a ‘headline’ performance score. An institution subject to the full review will therefore receive a score for each of the 12 categories listed below. The Scoring Matrix should be completed after the facilitator has reviewed documents, observed facilities and conducted interviews. However, the facilitator should also review the matrix prior to collecting data for guidance on data sources (column 8 and 9 of the matrix) and to ensure a thorough understanding of the conceptual framework underpinning the tool. In particular, they should take note of the documents they should request to view, if available. The Scoring Matrix will also be provided as an editable excel file.
### Mission, Vision and Strategic Planning

<table>
<thead>
<tr>
<th>Does Not Meet Criterion</th>
<th>Somewhat Compliant</th>
<th>Meets Criterion</th>
<th>Exceeds Criterion</th>
<th>Task if institution does not have autonomy/authority to act on criterion (please also score the criterion)</th>
<th>Corresponding Questionnaire Questions Section: Question#</th>
<th>Additional Sources of Evidence</th>
</tr>
</thead>
<tbody>
<tr>
<td>Mission and Goals</td>
<td></td>
<td></td>
<td></td>
<td>3.2.2: 1, 2</td>
<td>Review website, brochures, handbooks for statement of mission and goals; the statement should be consistent throughout</td>
<td></td>
</tr>
<tr>
<td>Communication of</td>
<td></td>
<td></td>
<td></td>
<td>3.2.2: 1</td>
<td>Review website, brochures, handbooks for statement of mission and goals; the statement should be consistent</td>
<td></td>
</tr>
<tr>
<td>Mission and Goals</td>
<td></td>
<td></td>
<td></td>
<td>3.2.2: 3, 6, 7, 9, 10, 11, 12</td>
<td>Review Strategic Plan and associated documentation if available</td>
<td></td>
</tr>
<tr>
<td>Strategic Planning</td>
<td></td>
<td></td>
<td></td>
<td>3.2.2: 8, 13, 17</td>
<td>Review Annual Business Plan and associated documentation if available</td>
<td></td>
</tr>
<tr>
<td>Business Planning</td>
<td></td>
<td></td>
<td></td>
<td>3.2.2: 14, 15, 16</td>
<td>Review policy documents if available</td>
<td></td>
</tr>
<tr>
<td>Policies and Procedures</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>AVERAGE MISSION, VISION AND STRATEGIC PLANNING SCORE</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

### Senior Management, Governance and Accountability

<table>
<thead>
<tr>
<th>Does Not Meet Criterion</th>
<th>Somewhat Compliant</th>
<th>Meets Criterion</th>
<th>Exceeds Criterion</th>
<th>Task if institution does not have autonomy/authority to act on criterion (please also score the criterion)</th>
<th>Corresponding Questionnaire Questions Section: Question#</th>
<th>Additional Sources of Evidence</th>
</tr>
</thead>
<tbody>
<tr>
<td>Transparent Governance</td>
<td></td>
<td></td>
<td></td>
<td>3.2.3: 1, 2, 3, 4, 5, 6</td>
<td>Review organization chart, membership and terms of reference for all boards, committees and senates if available</td>
<td></td>
</tr>
<tr>
<td>Structures</td>
<td></td>
<td></td>
<td></td>
<td>3.2.6: 20</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Participative</td>
<td></td>
<td></td>
<td></td>
<td>3.2.2: 4, 5</td>
<td>Review committee meeting minutes for those in attendance, to include, as appropriate, stakeholders, administrators, faculty members, support staff and students</td>
<td></td>
</tr>
<tr>
<td>Governance</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Independent Audit/Review</td>
<td></td>
<td></td>
<td></td>
<td>3.2.15: 3</td>
<td>Review audit records/reports if available</td>
<td></td>
</tr>
<tr>
<td>Senior Management</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Team</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Senior Management</td>
<td></td>
<td></td>
<td></td>
<td>3.2.3: 5, 6</td>
<td>Review the curricula vitae of senior administrators for education, experience and training related to managing language training programs</td>
<td></td>
</tr>
<tr>
<td>Accountability</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Faculty Accountability</td>
<td></td>
<td></td>
<td></td>
<td>3.2.3: 7, 8, 9, 10</td>
<td>Review senior management appraisal policy and documentation if available</td>
<td></td>
</tr>
<tr>
<td>Student Accountability</td>
<td></td>
<td></td>
<td></td>
<td>3.2.3: 11</td>
<td>Review faculty appraisal policy and documentation if available</td>
<td></td>
</tr>
<tr>
<td>AVERAGE SENIOR MANAGEMENT, GOVERNANCE AND ACCOUNTABILITY SCORE</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>
### Data and Institutional Research

<table>
<thead>
<tr>
<th>Resources for Institutional</th>
<th>The institution has a unit(s) or identified resource(s) to undertake Institutional research</th>
</tr>
</thead>
</table>
| Student/Student Performance Data | The institution maintains aggregate records on a range of student performance indicators (e.g. enrollment, pass/fail rates, retention and graduation rates, etc.). These records are kept in such a way 
as to permit comparison over time (e.g. versus prior year or prior |
| Institutional Performance Data | The institution collects a range of institutional performance data (e.g. efficiency, quality, access, etc.). These records are kept in such a way as to permit comparison over time (e.g. versus prior |
| Alumni/Graduate Data | The administration tracks alumni post graduation as a measure of achieving successful outcomes (e.g. employment rates, quality of employment, etc.) |
| Data Security | The institution has policies and procedures, which are consistently applied, for securely recording and archiving (physical or electronic) sensitive and confidential applicant, student and staff data |
| Data for Decision Making | The institution uses performance data to inform its decision making and strategic planning |
| Publication of Data | The institution makes aggregated student and institutional performance data available to the public |

#### Additional Sources of Evidence
- Review organizational chart and/or job descriptions where available
- Verify that aggregate data on student progress are being maintained and that such data is used in the organization's decision making
- Verify that aggregate data on institutional performance are being maintained and that such data is used in the organization's decision making
- Verify that aggregate data on alumni/graduates are being maintained and that such data is used in the organization's decision making and marketing
- Review relevant strategy and business planning documents for evidence of data-informed decision making
- Review the organization's website and any communications intended for the public

### Finance

<table>
<thead>
<tr>
<th>Budgeting Practices</th>
<th>The administration creates an annual budget including strategic investments, capital outlays, anticipated income and operating expenses</th>
</tr>
</thead>
<tbody>
<tr>
<td>Strategic Financial Management</td>
<td>The institution takes a strategic approach to financial management, including regular financial analysis of institutional data, expenses and efficiency to inform future planning</td>
</tr>
<tr>
<td>Revenue Sources</td>
<td>The university has sought to identify, develop and diversify its own revenue generating activities (e.g. consultancy, research contracts, business training, etc.)</td>
</tr>
</tbody>
</table>

#### Additional Sources of Evidence
- View the organization’s budget; review the planning process with those responsible for it; examine any related, substantiating documents (meeting minutes, e.g.); validate
- Review any documentation relating to strategic financial planning, if available
- Review any documentation or data relating to institutional revenue sources

### Average Data and Institutional Research Score

### Average Finance Score
### Staff and Faculty Management

<table>
<thead>
<tr>
<th>Section</th>
<th>Does Not Meet Criterion</th>
<th>Somewhat Compliant</th>
<th>Meets Criterion</th>
<th>Exceeds Criterion</th>
<th>Task if institution does not have autonomy/authority to act on criterion (please also score the criterion)</th>
<th>Additional Sources of Evidence</th>
</tr>
</thead>
<tbody>
<tr>
<td>Hiring Procedures</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td>3.2.6: 9 Review the curricula vitae of faculty for education, experience and training relating to the courses that they are teaching</td>
<td></td>
</tr>
<tr>
<td>Scope of Job Descriptions</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td>3.2.3: 13 Review job descriptions; validate responsibilities are clearly and completely detailed</td>
<td></td>
</tr>
<tr>
<td>Employment Conditions</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td>3.2.6: 2, 3, 4, 6, 12, 23, 24 Review employment policies and work allocation models if available</td>
<td></td>
</tr>
<tr>
<td>Faculty Workload Management</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td>3.2.6: 13, 14 Verify the responsibilities listed on job descriptions through discussion with faculty members; validate workloads are reasonable by comparison with similar programs</td>
<td></td>
</tr>
<tr>
<td>Staffing Level</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td>3.2.6: 6 The ratio of students to faculty members should be representative of professional standards</td>
<td></td>
</tr>
<tr>
<td>Transparency of Policies</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td>3.2.6: 12, 16, 17 Review the organization’s written personnel policies on supervision and performance reviews; Interview a sample of employees to verify reviews are fair and objective</td>
<td></td>
</tr>
<tr>
<td>Performance Reviews</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td>3.2.6: 12, 16, 17 18, 19 Review documented performance reviews in personnel files to verify that they are being done in accordance with written policies</td>
<td></td>
</tr>
<tr>
<td>Professional Development</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td>3.2.6: 10, 11, 18, 19, 21, 22, 23, 26 Review the organization’s written policies and practices with respect to faculty development; validate that these policies are being followed by interviewing faculty, reviewing workshop certificates or reviewing payment records for</td>
<td></td>
</tr>
</tbody>
</table>

**AVERAGE STAFFING SCORE**
### Academic Operations

<table>
<thead>
<tr>
<th>Criterion</th>
<th>Does Not Meet Criterion</th>
<th>Somewhat Compliant</th>
<th>Meets Criterion</th>
<th>Exceeds Criterion</th>
<th>Corresponding Questionnaire Questions: Section: Question(s)</th>
<th>Additional Sources of Evidence</th>
</tr>
</thead>
<tbody>
<tr>
<td>Communication of Learning Opportunities</td>
<td></td>
<td>1 2 3 4 5</td>
<td></td>
<td></td>
<td>3.2.7: 1, 2</td>
<td>Review printed and online materials if available</td>
</tr>
<tr>
<td>Academic Regulations</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td>3.2.7: 7, 8, 9, 10, 11, 15, 18</td>
<td>Review academic regulations if available</td>
</tr>
<tr>
<td>Procedures for Awarding Credit</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td>3.2.7: 7, 8, 9, 10, 14, 15, 16, 18</td>
<td>Review procedures for awarding credit (e.g. who marks student work, is it internally verified, are there examination boards, etc.)</td>
</tr>
<tr>
<td>Academic Calendar</td>
<td></td>
<td>2</td>
<td></td>
<td></td>
<td>3.2.7: 4</td>
<td>Review academic calendar if available</td>
</tr>
<tr>
<td>Program Approval</td>
<td></td>
<td>3 4 5</td>
<td></td>
<td></td>
<td>3.2.7: 11, 12, 13</td>
<td>Review documentation relating to program approval if available</td>
</tr>
<tr>
<td>Program Documentation</td>
<td></td>
<td>4</td>
<td></td>
<td></td>
<td>3.2.7: 15, 17</td>
<td>Review curricula for each program of study</td>
</tr>
<tr>
<td>Internal Communications</td>
<td></td>
<td>5</td>
<td></td>
<td></td>
<td>3.2.7: 19, 20</td>
<td>Review committee structure, newsletters, meeting minutes, list-serve communication, social media communication as appropriate</td>
</tr>
<tr>
<td>Understanding and Implementation of Policies/Procedures</td>
<td></td>
<td>6</td>
<td></td>
<td></td>
<td>3.2.7: 7, 8, 9, 10, 14, 15, 16, 18</td>
<td>Review relevant documentation and compare to interview responses</td>
</tr>
<tr>
<td>Commitment to Good Practice</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td>3.2.6: 10, 11, 13, 14, 15</td>
<td>Evidence of teaching and learning committees, training opportunities, documents, etc.</td>
</tr>
</tbody>
</table>

**AVERAGE ACADEMIC OPERATIONS SCORE**

### Workforce Development

<table>
<thead>
<tr>
<th>Criterion</th>
<th>Does Not Meet Criterion</th>
<th>Somewhat Compliant</th>
<th>Meets Criterion</th>
<th>Exceeds Criterion</th>
<th>Corresponding Questionnaire Questions: Section: Question(s)</th>
<th>Additional Sources of Evidence</th>
</tr>
</thead>
<tbody>
<tr>
<td>Labor Market Need</td>
<td></td>
<td>1 2 3 4 5</td>
<td></td>
<td></td>
<td>3.2.8: 1, 3</td>
<td>Review evidence of institution’s own attempts to understand the labor market or external sources of information if it has</td>
</tr>
<tr>
<td>Employer Engagement in Work Readiness Strategy</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td>3.2.8: 5, 7, 11, 15</td>
<td>Review any relevant documentation if available</td>
</tr>
<tr>
<td>Transferrable Skills</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td>3.2.8: 5, 9, 10, 15</td>
<td>Review curriculum for evidence of transferrable skills teaching development and assessment</td>
</tr>
<tr>
<td>Employer Engagement in Career Center</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td>3.2.8: 5, 7, 12, 15</td>
<td>Review any relevant documentation if available</td>
</tr>
<tr>
<td>Career Center</td>
<td></td>
<td>2 3 4</td>
<td></td>
<td></td>
<td>3.2.8: 1, 6, 13, 14, 15</td>
<td>Review any relevant documentation if available</td>
</tr>
</tbody>
</table>

**AVERAGE WORKFORCE DEVELOPMENT SCORE**
## Students and Alumni Engagement

| Students and Alumni Engagement | Does Not Meet Criterion | Somewhat Compliant | Meets Criterion | Exceeds Criterion | Task if institution does not have autonomy/authority to act on criterion (please also score the criterion) | Corresponding Questionnaire Questions | Additional Sources of Evidence |
|-------------------------------|-------------------------|--------------------|----------------|---------------------|-------------------------------------------------------------------------------------------------|--------------------------------------|---------------------------------
| Recruitment Practices         |                         |                    |                |                     | 3.2.9: 4, 6, 7, 8; Review admission practices with the individual(s) responsible for admission decisions |                                     |                                  |
| Widening Participation        |                         |                    |                |                     | 3.2.5: 16, 17, 18; 3.2.9: 1, 2, 3; Review recruitment policies and the institution's student recruitment statistics for admissions by e.g. gender, ethnicity. |                                     |                                  |
| Entry Requirements            |                         |                    |                |                     | 3.2.9: 6; Review written policies on entry requirements, registration, placement, academic progress, attendance, withdrawal, attendance and graduation or certification for clarity and |                                     |                                  |
| Induction/Orientation         |                         |                    |                |                     | 3.2.9: 9; Interview program administrators and/or responsible faculty members to determine the contents of the academic orientation, as well as when and how it is given; verify that the orientation is comprehensive and covers details |                                     |                                  |
| Student Services Information  |                         |                    |                |                     | 3.2.9: 12; Review any publications directed to students, such as the organization's website or course catalogue, for information on services and facilities available to students |                                     |                                  |
| Communication of Program Information |                     |                    |                |                     | 3.2.7: 1, 2, 13, 17, 15; 3.2.9: 9; Review information provided on the program in brochures, in a Student Handbook (if available) and on the institution's website for mission and goals, objectives and outcomes; verify that it is clear and comprehensive |                                     |                                  |
| Communication of Academic Regulations |                     |                    |                |                     | 3.2.7: 7, 15, 17; Examine organizational policies to verify that advancement and failure criteria are explained and are accessible by students |                                     |                                  |
| Student Complaint             |                         |                    |                |                     | 3.2.9: 10; Review the organization's process for collecting and addressing student complaints; validate by interviewing program administrator(s) that any such concerns are addressed and resolved in a timely manner |                                     |                                  |
| Student Appeals               |                         |                    |                |                     | 3.2.9: 10; Review the student appeals procedure if available |                                     |                                  |
| Student Voice                 |                         |                    |                |                     | 3.2.9: 20; Review governance and quality assurance documentation if available |                                     |                                  |
| Alumni Records                |                         |                    |                |                     | 3.2.10: 1; Review alumni records and alumni relations strategy if available |                                     |                                  |
| Alumni Relations              |                         |                    |                |                     | 3.2.10: 2, 3, 4; Review alumni records and alumni relations strategy if available |                                     |                                  |
| Graduate Destinations         |                         |                    |                |                     | 3.2.10: 1, 2, 3, 4; Review graduate destinations data if available |                                     |                                  |

**AVERAGE STUDENT AND ALUMNI ENGAGEMENT SCORE**
Review records of business services provided if available
Review knowledge transfer strategy if available
Review printed or online material if available
Review research strategy and minutes of relevant committee meetings if available
Review research ethics policy/guidance and relevant outputs/intellectual property (e.g. through licensing, collaboration agreements)

The institution has sought out and established a range of facilities/library, evening classes, etc.) that contributes to its local community (e.g. events, use of campus space).
The institution undertakes a civic function and proactively engages with the community by responding to community enquiries which is clearly communicated.
The institution has a single point of contact for business and professional contribution.
The institution performs revenue generating business services (e.g. business training, consultancy, research contracts, facilities hire).
The institution seeks to commercialise its own research (e.g. through licensing, collaboration agreements).

The institution has clear policies and procedures to support staff in establishing relationships with external organizations.

The institution systematically reviews national and international research grant and collaboration opportunities.

The institution has an administrative unit(s) responsible for research and grant management which oversees a systematic approach to reviewing and approving research projects.

The university has a documented research ethics procedure which is consistently applied.

The university has a unit(s) responsible for knowledge transfer and external relationships.

Knowledge Transfer and External Relationships

The institution has a single point of contact for business and community enquiries which is clearly communicated.

The institution undertakes a civic function and proactively engages with the community by contributing to its local community (e.g. events, use of facilities/library, evening classes, etc.).

The institution has sought out and established a range of international relationships.

Review curriculum

AVERAGE KNOWLEDGE TRANSFER AND EXTERNAL RELATIONSHIPS SCORE

AVERAGE RESEARCH MANAGEMENT SCORE

Research Management

Strategic Research Management

Opportunity Scanning

Research /Grant Management

Research Dissemination

Research Ethics

Professional Contribution

Research Incentives

Professional Development

Student Research

Research

Does Not Meet Criterion

Somewhat Compliant

Meets Criterion

Exceeds Criterion

1

2

3

4

Tick if institution does not have autonomy/authority to act on criterion (please also score the criterion)

Tick if institution does not have autonomy/authority to act on criterion (please also score the criterion)

Tick if institution does not have autonomy/authority to act on criterion (please also score the criterion)

Corresponding Questionnaire Questions:

Section: Question:

Additional Sources of Evidence

Review research strategy and minutes of relevant committee meetings if available

Review research strategy and minutes of relevant committee meetings if available

Review research strategy and minutes of relevant committee meetings if available

Review printed or online material if available

Review curriculum

Review research strategy and minutes of relevant committee meetings if available

Review the organization's records as to the professional activities of faculty members; interview faculty members to validate these activities

Review workload allocation models, appraisal procedures and in-service training opportunities if available

Review in-service training portfolio if available

Review curriculum

AVERAGE RESEARCH MANAGEMENT SCORE

Knowledge Transfer and External Relationships

Strategic Knowledge Transfer Management

Knowledge Transfer Management

Protocol for External Relationships

Business Services

Research Commercialisation

External Engagement

Community Engagement

Internationalisation

Does Not Meet Criterion

Somewhat Compliant

Meets Criterion

Exceeds Criterion

1

2

3

4

Tick if institution does not have autonomy/authority to act on criterion (please also score the criterion)

Tick if institution does not have autonomy/authority to act on criterion (please also score the criterion)

Tick if institution does not have autonomy/authority to act on criterion (please also score the criterion)

Corresponding Questionnaire Questions:

Section: Question:

Additional Sources of Evidence

Review knowledge transfer strategy if available

Review organizational structure and minutes of relevant committee meetings if available

Review policies and procedures if available

Review records of business services provided if available

Review records of research commercialisation if available

Review website and other public facing communications

Review community engagement strategy if available

Review list of international relationships if available

AVERAGE KNOWLEDGE TRANSFER AND EXTERNAL RELATIONSHIPS SCORE
<table>
<thead>
<tr>
<th>Facilities, Equipment and Learning Resources</th>
<th>Does Not Meet Criterion</th>
<th>Somewhat Compliant</th>
<th>Meets Criterion</th>
<th>Exceeds Criterion</th>
<th>Task if institution does not have autonomy/authority to act on criterion (please also score the criterion)</th>
<th>Corresponding Questionnaire Questions</th>
<th>Section:</th>
<th>Question#</th>
<th>Additional Sources of Evidence</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Fit for Purpose</strong></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td>3.2.14: 1, 2, 3, 4, 5, 13, 17, 22</td>
<td>Verify by observation and review of strategic plan</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>The university facilities enable it to meet the vision and mission of the university</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td>3.2.14: 1, 2, 3, 4, 5, 13, 17, 22</td>
<td>Verify by observation of classes in session that classrooms are of sufficient size and number to support the student</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td><strong>Quantity of Classrooms</strong></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td>3.2.14: 1, 2, 3, 4, 5, 13, 17, 22</td>
<td>Verify by walking the facilities and taking with faculty members and students that the facility is well maintained and reasonably comfortable in all seasons</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>The institution has enough classrooms in quantity and size to support the student population</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td>3.2.14: 1, 2, 3, 4, 5, 13, 17, 22</td>
<td>Verify by observation of classes in session that the numbers of students in courses is conducive to the knowledge and skills being taught; larger class sizes are generally undesirable but may be appropriate in certain contexts</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td><strong>Comfort of Facility</strong></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td>3.2.9: 17</td>
<td>Validate by walking the facilities and talking with faculty members</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>The physical facility in which instruction takes place is well-heated and ventilated, is well-lit, and is regularly cleaned and maintained</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td>3.2.9: 17</td>
<td>Validate by walking the facilities and talking with faculty members</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td><strong>Student to Teacher Ratio</strong></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td>3.2.14: 5</td>
<td>Verify that equipment is up-to-date, accessible and well-maintained by observation and by speaking with faculty members</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Student to teacher ratios in courses are in compliance with at the institution’s policies and professional standards</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td>3.2.14: 5</td>
<td>Verify that equipment is up-to-date, accessible and well-maintained by observation and by speaking with faculty members</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td><strong>Sufficiency of Support Equipment</strong></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td>3.2.14: 5</td>
<td>Verify that equipment is up-to-date, accessible and well-maintained by observation and by speaking with faculty members</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Equipment supporting the institution’s administration (copiers, computers, etc.) is sufficient to ensure smooth and uninterrupted</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td>3.2.14: 5</td>
<td>Verify that equipment is up-to-date, accessible and well-maintained by observation and by speaking with faculty members</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td><strong>Sufficiency of Teaching Equipment</strong></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td>3.2.14: 8, 9</td>
<td>Verify that equipment is up-to-date, accessible and well-maintained by observation and by speaking with faculty members</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>The equipment supporting instruction (chalk boards or whiteboards, audio-visual equipment, computers, digital displays, etc.) is readily accessible, up to date with professional standards, is sufficient in quantity for classroom needs and is well maintained</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td>3.2.14: 8, 9</td>
<td>Verify that equipment is up-to-date, accessible and well-maintained by observation and by speaking with faculty members</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td><strong>Sufficiency of Research Equipment</strong></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td>3.2.14: 4</td>
<td>Validate the physical library, if any, to verify that its holdings are current, appropriate to the needs of the program(s) of study and readily accessible to students</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Equipment and facilities supporting the institution’s research is sufficient to ensure smooth and uninterrupted operations</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td>3.2.14: 4</td>
<td>Validate the physical library, if any, to verify that its holdings are current, appropriate to the needs of the program(s) of study and readily accessible to students</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td><strong>Library Resources</strong></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td>3.2.14: 18, 19, 20, 21</td>
<td>Access the virtual library, if any, to verify that its holdings are current, appropriate to the needs of the program(s) of study and readily accessible to students; validate by questioning faculty members and students that they can access on-line</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>The institution’s physical library resources are current, sufficient, and readily accessible to students and faculty</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td>3.2.14: 18, 19, 20, 21</td>
<td>Access the virtual library, if any, to verify that its holdings are current, appropriate to the needs of the program(s) of study and readily accessible to students; validate by questioning faculty members and students that they can access on-line</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td><strong>Accessibility of Online Resources</strong></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td>3.2.14: 5, 16, 23</td>
<td>Review list of licensed software and assess sufficiency with staff</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>The university has access to online resources and students and faculty have sufficient internet connectivity and computers to readily access holdings</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td>3.2.14: 5, 16, 23</td>
<td>Review list of licensed software and assess sufficiency with staff</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td><strong>Software</strong></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td>3.2.14: 4</td>
<td>Verify through observation that the organization employs trained library support personnel to specifically assist students in using learning resources</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>The university has access to the necessary software to run operations, undertake research and deliver programs</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td>3.2.14: 4</td>
<td>Verify through observation that the organization employs trained library support personnel to specifically assist students in using learning resources</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td><strong>Library Support Personnel</strong></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td>3.2.14: 7</td>
<td>Verify through observation</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>The institution employs library support personnel to provide guidance to students in using library resources</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td>3.2.14: 7</td>
<td>Verify through observation</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td><strong>Student Social Facilities</strong></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td>3.2.9: 16, 19</td>
<td>Verify through observation</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>The university provides a range of social spaces for students to enable social learning and support the development of a student</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td>3.2.9: 16, 19</td>
<td>Verify through observation</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td><strong>Student Housing</strong></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td>3.2.14: 7</td>
<td>Verify through observation</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>The institution provides student housing assistance in accordance with its stated practices</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td>3.2.14: 7</td>
<td>Verify through observation</td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

**AVERAGE FACILITIES, EQUIPMENT AND LEARNING RESOURCES SCORE**
### Quality Assurance and Enhancement

<table>
<thead>
<tr>
<th>Quality Assurance and Enhancement</th>
<th>Does Not Meet Criterion</th>
<th>Somewhat Compliant</th>
<th>Meets Criterion</th>
<th>Exceeds Criterion</th>
<th>Tick if institution does not have autonomy/authority to act on criterion (please also score the criterion)</th>
<th>Corresponding Questionnaire Questions</th>
<th>Section: Question#</th>
<th>Additional Sources of Evidence</th>
</tr>
</thead>
<tbody>
<tr>
<td>Quality Assurance Office</td>
<td>The institution has an independent unit(s) responsible for quality assurance and enhancement</td>
<td>1</td>
<td>2</td>
<td>3</td>
<td>4</td>
<td>3.2.15: 1</td>
<td>Review organization chart and/or relevant committee terms of reference</td>
<td></td>
</tr>
<tr>
<td>Quality Assurance Procedure</td>
<td>The institution has a systematic quality assurance and enhancement procedure</td>
<td>3.2.15: 2, 7, 8</td>
<td></td>
<td></td>
<td>Review quality assurance procedure if available</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>External Reference Points and Benchmarking</td>
<td>The institution refers to external reference points (e.g. national/international standards, external examiners, etc.) to ensure that its levels and learning outcomes are consistent with current international practice and established norms</td>
<td>3.2.7: 15, 18</td>
<td>3.2.15: 1</td>
<td></td>
<td>Review program approval documentation for evidence of external reference points</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Enhancement of Student Learning Opportunities</td>
<td>The institution has a systematic process to review and enhance programs and learning opportunities (e.g. through curriculum modification, changes to teaching practices or assessment)</td>
<td>3.2.15: 12</td>
<td></td>
<td></td>
<td>Review program enhancement procedure and documentation (e.g. a Program Quality Enhancement Plan) if available</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Quality Assurance Documentation</td>
<td>The institution routinely collects and records information to inform the quality assurance and enhancement procedure (e.g. student feedback, tutor feedback, student data, and student staff liaison committee minutes to inform a program quality enhancement plan)</td>
<td>3.2.15: 7, 8, 9</td>
<td></td>
<td></td>
<td>Review quality assurance documentation if available</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Student Involvement in Quality Assurance</td>
<td>The institution has a procedure in place for soliciting feedback from students on their program(s) of study, instructors, courses, resources, facilities and student services and has mechanisms in place to enable students to proactively be a part of the quality assurance and enhancement procedures (e.g. through Student</td>
<td>3.2.9: 2</td>
<td>3.2.15: 11</td>
<td></td>
<td>Review mechanisms for student feedback and representation if available</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Internal Review</td>
<td>The institution has an effective, systematic, consistently applied, process for monitoring and reviewing programs and curricula, which takes into account feedback from faculty and students</td>
<td>3.2.15: 4, 5, 6</td>
<td></td>
<td></td>
<td>Review the quality control process with those responsible for managing E; review any action plans related to adverse findings from annual inspections; validate that actions were taken to mitigate adverse findings</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Dissemination of Good Practice</td>
<td>The institution has mechanisms in place to promote the sharing of good practice (e.g. academic committees, working groups, teaching and learning conferences, etc.)</td>
<td>3.2.15: 13</td>
<td></td>
<td></td>
<td>Review committee terms of reference, minutes and conference agendas if available</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Understanding and Implementation of Policies and Procedures</td>
<td>Policies and procedures relating to quality assurance are clearly communicated, understood, and consistently implemented by staff</td>
<td>3.2.15: 2, 7, 8</td>
<td></td>
<td></td>
<td>Review relevant documentation and compare to interview responses</td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

**AVERAGE QUALITY ASSURANCE AND ENHANCEMENT SCORE**
5. BIBLIOGRAPHY


Altbach, P.G. (Ed.) (2010). Leadership for world-class universities; Challenges for developing countries. Chestnut Hill, Massachusetts: Boston College Center for Higher Education.


World Bank, 2012. Universities through the looking glass: Benchmarking university governance to enable higher education modernization in MENA. Retrieved on April 9, 2014 from website:
http://www-wds.worldbank.org/external/default/WDSContentServer/WDSP/IB/2012/05/23/000356161_20120523001633/Rendered/PDF/690710ESW0Whit0h0the0Looking0DGlass1.pdf

World Bank, The university governance screening card. Retrieved on Sept 15, 2015 from
http://cmimarseille.org/highereducations/docs/UGSC_Brochure.pdf and
http://cmimarseille.org/highereducation/worldbankviz/questions.php
