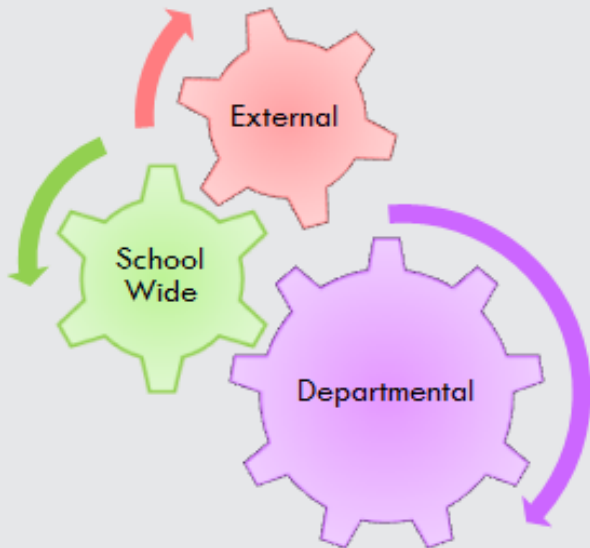


2022 | Kathmandu University School of Education



Academic Audit

School of Education

Guidelines for Academic Audit

@ KUSOED

Guidelines for Academic Audit 2022

@ KUSOED

Task Force

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March 2022

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Section A

Introduction

Background

Globally, some sorts of evaluative frameworks are adapted as part of reform initiatives in higher education. Though internal quality controls are imperative and embedded in their institutional development systems, many Higher Education Institutions (HEIs) are provisioning for external quality audits so as to rate and stand them in some ranking standards. Currently, HEIs in Nepal are also adapting some criteria based improvement indicators (International Organization for Standardization, University Grants Commission quality accreditation, etc.) to contribute to the furtherance of their institutional performance. Irrespective of standing in some standardized parameters and gaining wider recognitions or not, it is important for each HEI to improve the quality of their activities and thus to promote quality academic culture (environment and performance). In this regard, HEIs can adopt the 'Academic Audit' process to enhance the eminence of their existing programs and services and to plan for continuous institutional improvement. Though it is basically an internal self-introspection process (focused more on quality enhancement than quality assurance), it can have some (periodical) external (national and international) assessments as well. Usually, the internal academic audit "seeks feedback on its own activities and uses that feedback to help inform future developments" (Matear, 2018, p. i) through the designing and implementation of strategic plans and programs whereas the external audit measures the standards envisaged in the strategic documents.

Academic audit is a logical process of continually assessing the excellence of academic programs. In principle, academic audit comprises quality assessment framework of an academic program. However, for institution-wide reform, this can be used to cover both academic and administrative components because academic administration within HEIs plays a significant role in quality enhancement – thereby covering a full range of institutional activities. At KUSoED, we conceptualise this in its broader sense - covering a wide range of institutional aspects all geared towards improving the worth of its academic programs and services. Looking at its holistic scope, it could be termed as 'Academic and Administrative Audit (AAA)'. However, for ease of use and its utility for enhancing academic quality, simply 'Academic Audit' can serve the purpose. The outcome of the audit process will facilitate each department to devise and implement action-oriented Departmental Improvement Plans for enhancing their quality of teaching, research, administration, and (co/extra) curricular activities. Likewise, at the School level, the outcome of the audit process will facilitate it to devise and implement a holistic Institutional Improvement Plan.

Guiding Principles

The following are the guiding principles of Academic Audit at KUSoED.

Academic excellence (with a focus on academic processes and competency-based assessment)	Student career prospects	Ethics and integrity
Quality and efficiency (of service)	Participation and diversity	Community outreach
Continuity and consistency	Evidence-based documentation	Learning from good practices

Purpose and Objectives

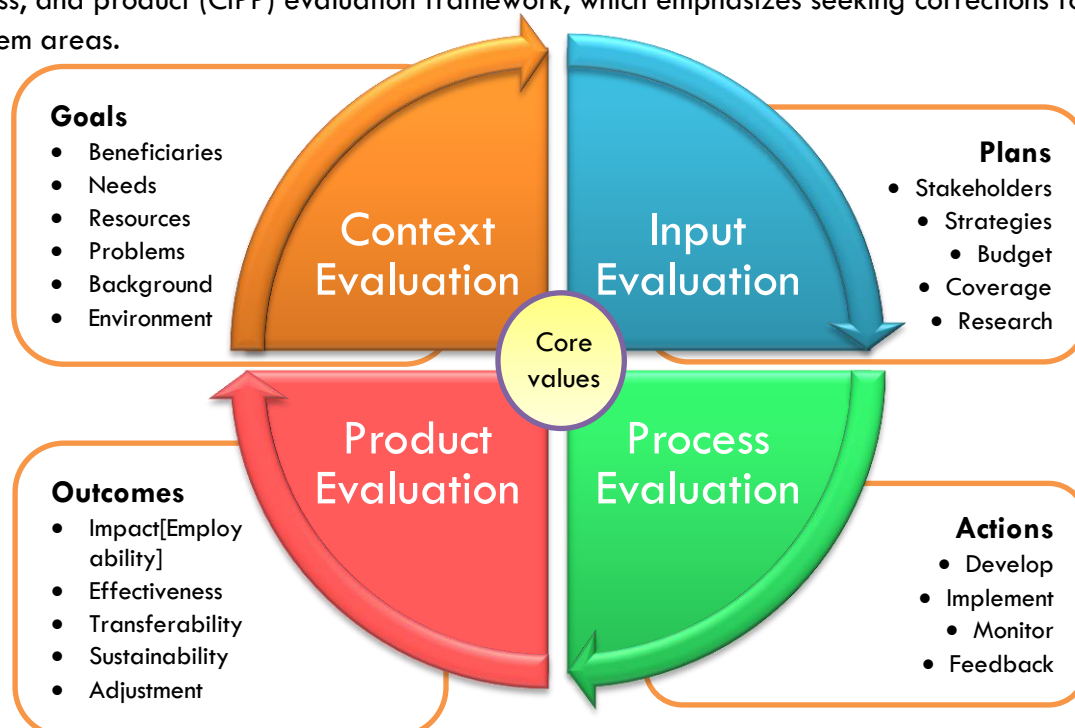
The drive of initiating the quality audit at KUSOED is to develop a system for bringing about mindful enrichment in the academic and administrative performance of the School.

The specific objectives are as follows:

- To look for intra and inter-departmental cooperation, activities and assessments
- To assess the academic cum administrative performance of each program, department and the entire School
- To facilitate institutionalisation of the quality initiatives to improve the academic and administrative performance of the School.

Audit Framework

Academic Audit is a feedforward system which builds on previous cycles of learning and focuses on continuous improvement. As such, some components may be adjusted in each succeeding cycles of audit. However, as a larger framework for both academic and administrative program review, we propose to adapt the Stufflebeam's (2002) context, input, process, and product (CIPP) evaluation framework, which emphasizes seeking corrections for problem areas.



(Adapted from Stufflebeam, 2002, as cited in Yale University, 2021)

To begin working on, the first draft of the framework will be as following (indicators under CIPP need to be further developed through a collaborative workshop):

Components for Quality Audit	Context	Input	Process	Product
Program Level				
Strategic focus				
Human resources (availability as per requirements)				
Curriculum [updated]				
Teaching learning activities				
Learning assessment				
Learning resources				
Graduate attributes				
Student support				
Student engagement and achievement (beyond coursework)				
Student apprenticeship/Work-based Learning				
Student Employability				
Professional growth				
Research and consultancy				
Outreach				
Innovation and best practices				
School Level (KUSOED)				
Policy/vision/mission/goals				
Governance, leadership, management				
System effectiveness, including intra-and interdepartmental communication and coordination				
Human Resources				
Other resources (availability/generation and mobilization)				
Student support system				
Grievance management				
Faculty and staff performance audit mechanism				
Professional development opportunities				
Research, collaborations and outreach				
Education Industry Linkage				
Diversity and inclusion				

[Detailed breakdown of components is in Annex I]

Section B

Implementation Guidelines

Methods

The overall review approach will adopt ‘practical participatory evaluation’¹ (Cousins & Whitmore, 1998). The self-review methods will largely adopt arts-informed inquiry (which “works within, augments, and extends traditional forms of qualitative approaches” (Searle & Shulha, 2016, p. 34) as a method in academic audit.

Some of the tentative methods are as follows:

- Document analysis
- Feedback from Faculty, Staff and Students [including *Student Evaluation of Instruction* survey] [KII, FGD, group meetings and other participatory methods as appropriate]
- Departmental/Institutional SWOC analysis
- Flexibility Leverage and Growth (FLG) analysis
- Workshop for the orientation and dissemination of findings

Implementation Strategies

The academic audit will have three phases: self-review by individual departments (academic and administrative), peer-review (School-wide), and external audit. The departmental self-review and institutional peer review audit portfolio will be a descriptive and reflective document of the Department's/School's activities, whereas the external audit portfolio will be supportive of maintaining public credibility and when needed it can further support in meeting the accreditation requirements.

Departmental Review

Ongoing [compiled and discussed at the end of each semester]. A panel of five internal auditors will engage in self-review of the departmental programs and services (if implemented in a block format, at least one week of rigorous review nearing the end of semester). The review panel will be as following:

1. Head of the Department, Chair
2. An insider full time faculty
3. A visiting faculty
4. A subject-committee member
5. A student

¹ The core premise of P-PE is that stakeholder participation in evaluation will enhance evaluation relevance, ownership and thus utilization ... – utilization for organizational learning and change (p. 4).

The departmental review report is submitted to the Dean, along with an action-oriented Departmental Development Plan – with clear indications of what the Department itself can do alone, and in what areas it needs interdepartmental collaboration or institutional support. A notable thing is each department is to be encouraged to conduct curriculum/course revision in every two years.

Once the departments submit their self-assessment reports, a three member panel under the leadership of the Dean will be formed to ascertain the standing of the departments. The panel also develops evaluation rubrics/criteria and assigns scores to each criteria. The aggregate scores will be interpreted as following:

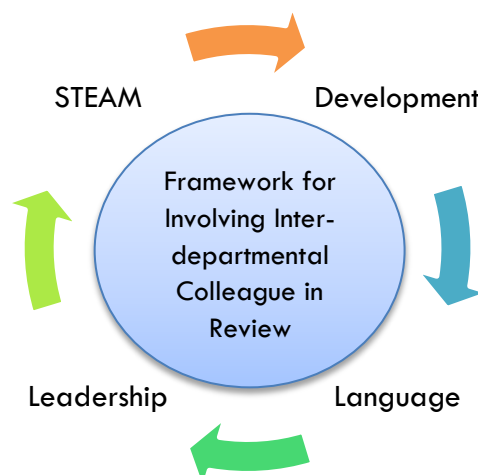
Score	Classification	Colour Code	Explanation
90% above	Outstanding		Exemplary, recognised as leader/mentor
80-89%	Excellent		Proficient/distinguished [clearly demonstrates good practices across criteria]
70-79%	Very good		Promising
60-69%	Good		Developing/Aspiring
50-59%	Fair		Emerging
Below 50%	Poor		Ineffective/Unsatisfactory

Institutional Review

Two times in a review cycle, takes place in alternate year [compiled and discussed in alternate to external review year, i.e. in Year I and Year III only]. A panel of six internal auditors will be engaged in the institutional review.

1. Dean or Associate Dean, Chair
2. An interdepartmental colleague/HoD
3. A subject committee member
4. An administrative staff
5. A visiting faculty
6. A Student Welfare Council member

This institutional review is expected to be a peer review, meaning an interdepartmental colleague as outlined below will be engaged in evaluating a particular department. For example, the Head of the Department of Development Education will be engaged in reviewing Department of Language Education, and the Head of the Language Education will be involved in reviewing the Department of Educational Leadership.



The institutional level peer review report is shared among faculty and staff, leading to devising and implementing an Institutional Development Plan. This plan can be shared with other Schools and the Executive Council as well so that they may also check its progress as needed.

External Review

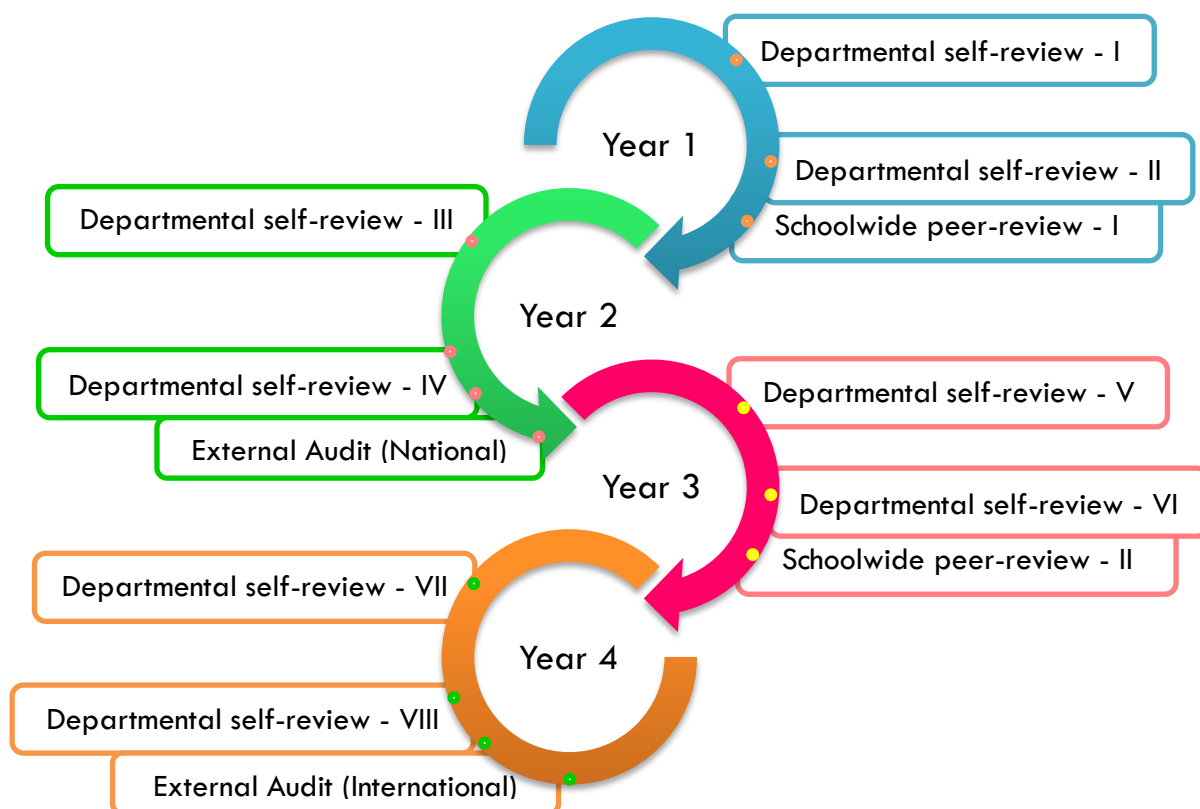
A midterm review (in year 2 of each cycle) by a national auditor; a final review (in year 4 of each cycle) by an international auditor. External review will be led by an external member, but comprises in-house faculty and a representative of another school within the university as members. The recommendations of the external review are considered while developing the Institutional Development Plan.

Dissemination

The review reports/portfolios (containing recommendations for improvement) of the departmental-review, institutional review and external review will be dissemination among the faculty, staff and student representatives. Other Schools of the University can be invited. Mid-term and final review reports can made public (on the website).

Implementation Cycle

The academic audit will have a four year cycle. A cycle consisting of departmental self-review, Institutional peer-review and external audit must be completed in 4 years.



Cycle 1 Timelines

SN	Activities	Year I (2022/23)		Year II (2023/24)		Year III (2024/25)		Year IV (2025/26)	
		Sem I	Sem II	Sem I	Sem II	Sem I	Sem II	Sem I	Sem II
1	Departmental self-review	Jun	Dec	Jun	Dec	Jun	Dec	Jun	Dec
2	Institutional peer review	Mar				Mar			
3	External Audit				Mar/Apr [Mid]				Mar/Apr [Final]

Notes to the Auditors

- Ask for evidence as you gather impressions. Don't build summary points around comments from one faculty member or one small group of students – look for confirming evidence.
- Keep the tone of the report developmental – focus on how the department can improve on its own.
- Work collaboratively with the concerned Department to develop the action plan based on the team's suggestions.
- Submit the self-review report [signed by the Head of the Department] to the Dean.

Section C

Postscripts

References

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- Yale University. (2021). CIPP model. <https://poorvucenter.yale.edu/CIPP>

Annexes

Annex I: Detailed Breakdown of Components for Academic Audit

Components for Academic (Quality) Audit	Remarks
Departmental Level	Consider program-wise cases
Strategic focus <ul style="list-style-type: none"> - Objectives - Learning outcomes - Graduate attributes 	Do these represent/align with the school and the university?
Appropriate HR <ul style="list-style-type: none"> - in-house - external 	
Curriculum <ul style="list-style-type: none"> - Integration of recent developments 	
Teaching learning activities [technological integration] <ul style="list-style-type: none"> - In-class - Beyond the class - ECA - CCA 	
Learning assessment (assessment <i>as, for and of</i> learning) <ul style="list-style-type: none"> - In-semester - End-semester - Techniques and instruments 	
Learning resources (accessibility, availability and use – library, internet, lab, etc.)	
Graduate attributes	
Student support <ul style="list-style-type: none"> - Feedback - Counselling - Financial aids 	
Student engagement and achievement (beyond coursework) <ul style="list-style-type: none"> - Inhouse internship - On-campus jobs - Research and publications - Conferences - Fellowships - Exchange visits 	
Student apprenticeship/Work-based Learning	
Student Employability <ul style="list-style-type: none"> - Internship facilitation - Placement strategies - Linkages with industries 	
Professional growth	

- Faculty development plans

Research and consultancy [by faculty]

- Student thesis supervision
- Self-managed research projects
- Externally funded projects
- Publications

Outreach

- Community engagement initiatives
- Community-based Internships
- Extension of program

Innovation and best practices

- Localized pedagogies
- Internally developed resources and tools

School Level (KUSOED)

Policy/vision/mission/goals

- Existence?
- Timely evolution
- Representative activities/programs/departments

Governance, leadership, management

- Organizational structure: horizontal/radial, tall/vertical
- Person-based, position-based, process-based, result-based etc.
- Transparency of data (enrolment, result, finance)
- Readiness for emergency management

System effectiveness, including intra-and interdepartmental communication and coordination

- Communication support unit
- Communication channels
- Impact assessment mechanisms
- Audit culture
- Tracer study
- Departmental cross learning

Human Resources

- HR plan
- Workload and compensation/benefits

Other Resources (availability/generation and mobilization)

- Physical space
- Resource development flexibility
- Alignment of Budget and programs
- Capacity to utilize the budget
- Resource generation besides regular budget

Student support system

- Student welfare council
- Guidance and counselling
- Placement unit

- Colloquium
- Designated faculty for each past batch/cohort
- Online support
- On-campus support

Grievance management

- Grievance cell

Faculty and staff performance audit mechanism

- Faculty and staff performance standards [need to be developed]
- Performance appraisal
- Student satisfaction survey

Professional development opportunities based on equity and justice [department, faculty and staff]

- In-house
- external

Research, collaborations and outreach (including collaborative seminars, publications, talk series; community engagement, etc.)

Education Industry Linkage

Diversity and inclusion (policy, guidelines, institutional structure, pedagogy and infrastructure, research and projects, human resources)

Annex II: SEI Questionnaire

Kathmandu University School of Education

Hattiban, Lalitpur

Student Evaluation of Instruction (SEI) Questionnaire

Program: [E.g. Master in Training and Development]

Course: [E.g. EDUC511: Theory and Practice in Education]

SN	Statement	Strongly agree	Agree	Neutral	Disagree	Strongly Disagree	Not applicable
1.	The subject matter of this course was well organized.	<input checked="" type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
2.	The instructor clearly communicated the course objectives and how I would be evaluated.	<input checked="" type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
3.	Assignments, exams, and grading were appropriate.	<input checked="" type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
4.	The instructors' presentation of material was well organized.	<input checked="" type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
5.	The instructor was confident and competent in the subject matter.	<input checked="" type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
6.	The instructor treated students with fairness and concern (not biased).	<input checked="" type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
7.	The instructor was easy to approach, even outside of class.	<input checked="" type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
8.	The instructor encouraged me to think for myself and/or ask questions.	<input checked="" type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
9.	I was challenged to think critically.	<input checked="" type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
10.	Learning activities provided opportunities for interaction that supported active learning.	<input checked="" type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
11.	The instructor provided useful feedback for improvement throughout this semester.	<input checked="" type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
12.	The instructor is friendly and considerate to students.	<input checked="" type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
13.	I learned a great deal from this instructor.	<input checked="" type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
14.	This course covered the contents described in the syllabus.	<input checked="" type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
		Excellent	Good	Fair	Below Average		Poor
15.	Overall, I would rate this instructor as:	<input checked="" type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Comments and Suggestions <hr/> <hr/>							

Annex III: Student Satisfaction Survey
Kathmandu University School of Education
Hattiban, Lalitpur

Student Satisfaction Survey

Welcome to the KUSOED Student Satisfaction Survey 2022.

You have been selected to participate in the survey because you are a KUSOED student who is currently pursuing a program of instruction here. We appreciate your willingness to participate in the survey—your responses, opinions, experiences, and suggestions will be invaluable in helping KUSOED improve its academic merit and student support services.

Thank you, in advance, for your time and input.

A. Background

1. Name (optional):

2. Your Gender:

☐ Male ☐ Female ☐ Other

3. Program you're enrolled in:

- ☐ Graduate Diploma in Higher Education
- ☐ Master in Sustainable Development
- ☐ Master in Technical and Vocational Education and Training
- ☐ Master of Education in Early Childhood Development
- ☐ Master of Education in ELT
- ☐ Master of Education in Leadership and Management
- ☐ Master of Education in Mathematics Education
- ☐ Master of Education in STEAM Education
- ☐ Master of Education in Training and Development
- ☐ MPhil in Development Studies
- ☐ MPhil in Educational Leadership
- ☐ MPhil in English Language Education
- ☐ MPhil in STEAM Education
- ☐ Post Graduate Diploma in Educational Management

☐ Post Graduate Diploma in Mathematics Education

4. Current Semester:

☐ First ☐ Second ☐ Third ☐ Forth ☐ Extra (Thesis/Research)

B. Program and Course

5. How do you rate the overall quality of teaching-learning process in your program?

☐ Excellent ☐ Good ☐ Neutral ☐ Poor

6. How often does the School take active interest in promoting internship, student exchange, field visit opportunities for students.

☐ Regularly ☐ Often ☐ Sometimes ☐ Rarely ☐ Never

7. How do you rate the support extended by administrative staff?

☐ Excellent ☐ Good ☐ Neutral ☐ Poor

8. How much of the course/syllabus has been covered in the classes?

☐ 20% ☐ 40% ☐ 60% ☐ 80% ☐ 100%

9. How do you rate the fairness of the internal evaluation process by the teachers?

☐ Always fair ☐ Usually fair ☐ Sometimes unfair

☐ Usually unfair ☐ Unfair

10. How comfortable do you feel voicing your opinion in the classes?

☐ Poor ☐ Fair ☐ Satisfactory ☐ Very good ☐ Excellent

11. The Moodle courses [materials and activities] are timely updated?

☐ Fully ☐ Reasonably ☐ Partially ☐ Slightly ☐ Not at all

12. Indicate your agreement or disagreement: *The course instructions, materials and activities are effective and adequate.*

☐ Strongly disagree ☐ Disagree ☐ Neutral ☐ Agree ☐ Strongly agree

13. How friendly, encouraging and cooperative do you find the course facilitator?

☐ Fully ☐ Reasonably ☐ Partially ☐ Slightly ☐ Not at all

14. How much value (addition) are you getting from the program overall?

☐ Fully ☐ Reasonably ☐ Partially ☐ Slightly ☐ Not at all

15. How would you evaluate the overall academic experience you had in this university program?

- ☐ Very Dissatisfied
 ☐ Not Satisfied
 ☐ Neutral
 ☐ Satisfied
☐ Very Satisfied

16. How pleased are you with the quality of the food served at the school cafeteria?

- ☐ Fully
 ☐ Reasonably
 ☐ Somehow
 ☐ Slightly
 ☐ Not at all

17. How easy it is to get the resources you need from the school/university library?

- ☐ Fully
 ☐ Reasonably
 ☐ Partially
 ☐ Slightly
 ☐ Not at all

18. How would you rate the following aspects of your educational experience?

Aspects	Excellent	Good	Neutral	Poor
Quality of teaching faculty				
Academic support (access to teaching faculty, individualised instruction, mentoring, supervision)				
Academic reputation of the School				
Value of education for the price				
Physical facilities and services [building, classrooms, parking, canteen, transportation]				
Learning resources (lab, internet, library, learning materials on Moodle)				
Extra-curricular activities				
Sport and recreational facilities				

19. How satisfied are you with the overall experience studying here?

- ☐ Fully
 ☐ Reasonably
 ☐ Partially
 ☐ Slightly
 ☐ Not at all

C. Open Ended Questions

20. What is one thing you have found MOST helpful in the program?

21. What is one thing you found LEAST helpful in the program?

22. Do you have any specific recommendations for improving the program?

Thank you for participating in the survey!

Annex IV: Faculty Self-Assessment Form
Kathmandu University School of Education
Hattiban, Lalitpur

Faculty Self-Assessment Form

Which department are you engaged in?

Leadership ☐ Language ☐ STEAM ☐ Development Education ☐

REASON FOR JOINING SOED

ACTIVITIES

Area	Statement/Claim/Evidence
Engagement with or support to students	
Engagement in curriculum development/revision	
Frequency of syllabus update	

INITIATIVES

Outreach Involvement Area: <i>I have done outreach activity for KUSOED that has helped publicize KUSOED.</i>	Statement/Claim/Evidence
Pedagogical (signature) initiatives	
Networking for student enrolment, student-faculty-staff professional development and learning	
Resource development	
Program development and launching	
Engagement in research and consultancies	
Other	

EXPOSURES

Professional development	Self-Initiated	KUSOED initiated	KUSOED Supported
Exposure visit/ Fellowships			
Academic seminars/trainings			
Project planning, designing and monitoring			
Attending collaborative events			
Other			

Major professional development opportunities [last three years]

STUDENT FEEDBACK

SN	Statement	Strongly agree	Agree	Neutral	Disagree	Strongly Disagree	Not applicable
1	I constantly take student feedback during the semester.	<input checked="" type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
2	I take formal course-wise student feedback (written/form based) at the end of the semester.	<input checked="" type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>

PUBLICATIONS

How many publications have you had in last three years?

Year	Book/Chapter	Journal Article	Newspaper article	Institutional blogs	Other

Latest two publications (book chapter or journal article)

COMMENTS ON ADMINISTRATION/MANAGEMENT

Resource adequacy: KUSOED has provided adequate teaching resources for my classes.

Service quality

OVERALL JOB SATISFACTION

Development opportunity:

The department has supported me whenever I have problem
(administrative/technology/student issue)

Financial security

Management/leadership

[For visiting/part time faculty/staff] Willingness to join as a full-timer

Any suggestions (administration, curriculum, resources, growth etc.)

Annex V: Faculty Satisfaction Survey
Kathmandu University School of Education
Hattiban, Lalitpur

Faculty Satisfaction Survey

1. Which department are you engaged in?

Leadership ☐ Language ☐ STEAM ☐ Development Education ☐

2. Your employment status: ☐ Full time ☐ Part-time ☐ Course-contract

3. How satisfied are you with the collegiality among faculty members in the school?

- Extremely satisfied
- Slightly satisfied
- Neither satisfied nor dissatisfied
- Slightly dissatisfied
- Extremely dissatisfied

4. How effective is the leadership/management of your department?

- Extremely effective
- Very effective
- Moderately effective
- Slightly effective
- Not effective at all

5. How valued do feel your input and opinions are to department/School leaders?

- Extremely valued
- Very valued
- Moderately valued
- Slightly valued
- Not valued at all

6. How satisfied or dissatisfied are you with the senior administration at School?

- Extremely satisfied
- Slightly satisfied
- Neither satisfied nor dissatisfied
- Slightly dissatisfied
- Extremely dissatisfied

7. How fair or unfair are the administrative procedures at School?

- Extremely fair
- Slightly fair
- Neither fair nor unfair
- Slightly unfair
- Extremely unfair

8. How easy or difficult is it to obtain the resources/support that you need for teaching?

- Extremely easy
- Slightly easy
- Neither easy nor difficult
- Slightly difficult
- Extremely difficult

9. How fairly are you compensated for your work at school/university?

- Extremely fairly
- Very fairly
- Moderately fairly
- Slightly fairly
- Not fairly at all

10. How well do you get recognized for your accomplishments?

Extremely well Very well Somewhat well Not so well Not at all

11. How satisfied are you with the adequacy of physical resources and support services for instruction?

- Extremely satisfied
- Slightly satisfied
- Neither satisfied nor dissatisfied
- Slightly dissatisfied
- Extremely dissatisfied

12. Overall, how satisfied or dissatisfied were you with [school/university] as a place to work?

- Extremely satisfied
- Slightly satisfied

- Neither satisfied nor dissatisfied
- Slightly dissatisfied
- Extremely dissatisfied

13. How likely or unlikely are you going to stay at School for the next year?

- Extremely likely
- Quite likely
- Not sure
- Quite unlikely
- Extremely unlikely

Annex VI: Departmental Portfolio
Kathmandu University
School of Education

Departmental Portfolio

Department: _____

1. Candidates details (intake) [Last five years]

Batch	Program	Applied	Selected	Admitted

2. Current year/batch intake details

Details by number, age, gender, caste/ethnicity, locale (country, municipality, province, district etc.), parental information, schooling, -----(as in current application form).
Entrance score?

3. Student details of the last five batches

Batch	Program	Enrolled	Completed (pass-out)	Incomplete			Remarks
				Coursework not completed	Proposal not submitted	Thesis/papers / research projects not submitted	
2018 August							

4. HR Details of the Department

Name	Gender	Designation	Service Category (permanent/contract/visiting)	Publication (Number of Books/ Chapters/ Journal articles)	Engagement in research/ consultancies (number)

5. Subject Committee Members (Current) and meetings (last one year)

Date	Purpose	Important Decision	Implementation

6. Faculty workload (_____ semester)

Department	Faculty Name	Course Load (credit)	Thesis/research supervision	
			Completed	Ongoing

7. Revenue Generation

Program	Individual payment status		Total fee collection	Total due	Scholarship status		Departmental activities			
	Paid	Due			Full	Partial	Project (granted, applied, etc.)	Seminar/workshop/training/conference	Publication of journal/book	Other

8. Curriculum Development and Update

Program	Frequency	Nature of update (major/minor)	Specific details

9. Graduate progress

Program	Already working	Started during the coursework	Employed after graduation	Continuing further education	Self-employed	Unemployed

10. Alumni contacts maintained? Yes ☐ No ☐ [If yes, put in Annex]

(email, phone, address, office, publication etc.)

11. Tracer study and report? Yes ☐ No ☐ [If yes, put in Annex]

12. Departmental budget (information) including income and expense

13. Departmental resources (library, furniture, allocated rooms etc.)

Participatory Evaluation Tools

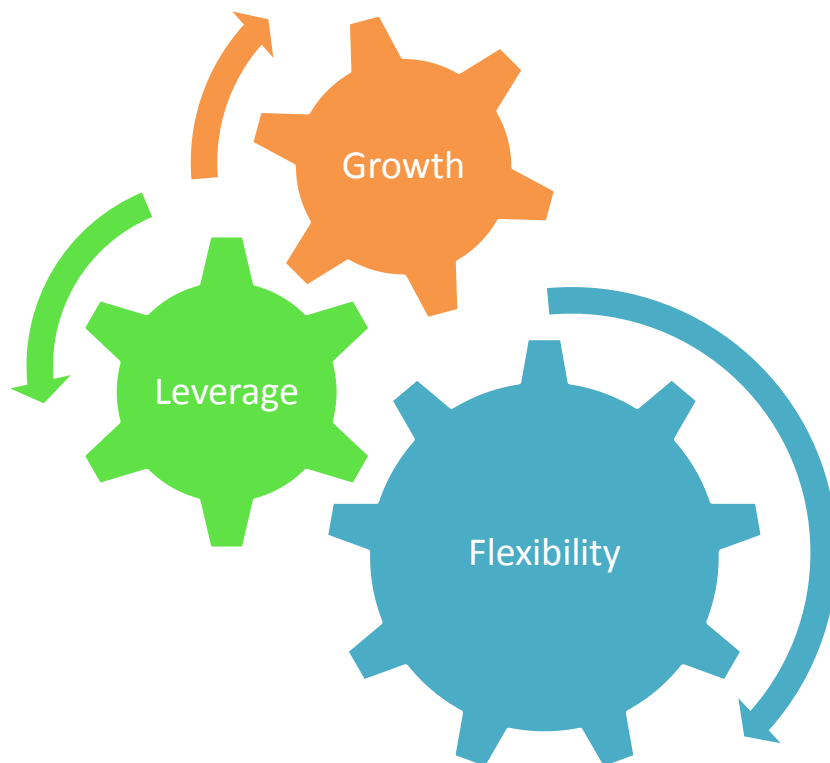
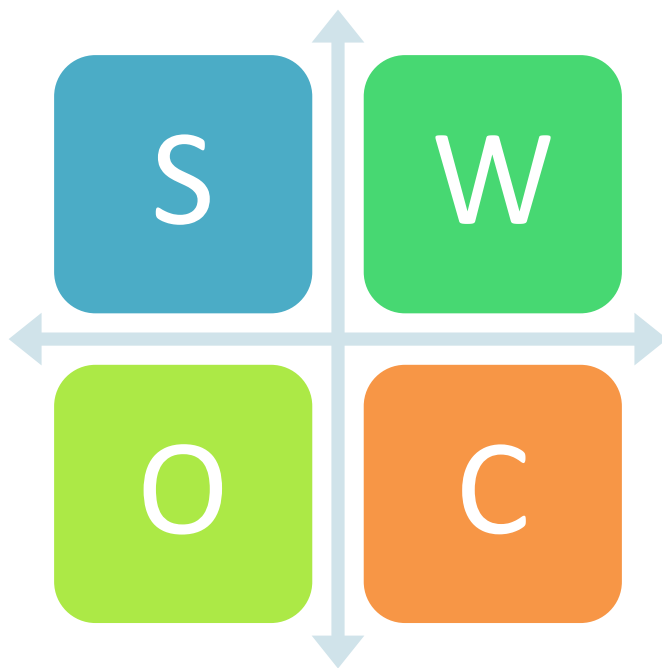
Annex VII: Departmental SWOC/FLG Analysis

Kathmandu University

School of Education

Departmental SWOC/FLG Analysis

Department: _____



Participatory Evaluation Tools

Annex VIII: KII/FGD Guidelines for Departmental Self-Review

Kathmandu University

School of Education

KII/FGD Guidelines [Departmental Level]

Department: _____

Faculty	Students	Staff	Other [partners]
How do you assess the overall strategic focus of the department?	How have you found the orientation/focus of KUSOED?	How have you found the orientation/focus of KUSOED?	How do you know KUSOED?
Do its goals and attributes represent/align with the School and the University?	What are the graduate attributes?		
What are your graduate attributes?			
What is the ratio of in-house and external faculty/staff? Is it appropriate for now?	How do you see the availability and adequacy of in-house faculty?	How do you see the availability and adequacy of in-house faculty and staff?	How is its outlook on the future of education, employment, education policy?
How intact and updated are its curricula and syllabi? Do they reflect the state-of-the-art in education and development?	How intact and updated are its curricula and syllabi?		
How do you assess the overall teaching learning activities, in terms of the following: - in-class activities - out-of-class activities - ECA/CCA - technological integration - pedagogical innovations	How do you assess the pedagogical approaches and activities at KUSOED?	How do you assess the overall teaching learning activities at KUSOED?	How do you assess the pedagogical approaches and activities at KUSOED?
How do you find the current student/learning assessment and evaluation system/processes?	How do you analyse the current student/learning assessment and evaluation	What is your impression of KUSOED learning assessment systems?	What is your impression of KUSOED learning assessment systems?

<ul style="list-style-type: none"> - In-semester system/processes? - End-semester - Techniques and instruments - fair and valid - focus on higher order thinking skills 			
How equipped is your faculty in terms of learning resources (accessibility, availability and use of library, internet, lab, etc.)?	How equipped is your faculty in terms of learning resources (accessibility, availability and use of library, internet, lab, etc.)?	How equipped is ____ faculty in terms of learning resources (accessibility, availability and use of library, internet, lab, etc.)?	How equipped do you think is ____ faculty in terms of learning resources (accessibility, availability and use of library, internet, lab, etc.)?
How robust is student support system at your department? <ul style="list-style-type: none"> - feedback - counselling - financial aids - Student thesis supervision 	How have you found student support system at your department?	How have you found student support system at ____ department?	How have you found student support system at ____ department?
Can you share some typical success stories of student engagement and achievement (beyond coursework) that the department is proud of? <ul style="list-style-type: none"> - In-house internship - On-campus jobs - Research and publications - Conferences - Fellowships - Exchange visits 	Can you share some typical success stories of student engagement and achievement (beyond coursework) that the department is proud of?	How have you found ____ department's students engagement and achievement? Which department is doing better?	What have you heard of regarding student success at KUSOED?
How do you assess the status of student apprenticeship/work-based learning opportunities at your department?	How do you assess the status of student apprenticeship/work-based learning opportunities at your department?	How do you assess the status of student apprenticeship/work-based learning opportunities at ____ department?	How have you found its collaboration and partnership with external stakeholders and partners? How have these helped students?
Can you reflect on graduate employability? How has your department facilitated them? <ul style="list-style-type: none"> - Internship facilitation 	Can you reflect on graduate employability? How has your department facilitated them?	Can you reflect on graduate employability? How has your department facilitated them?	

- Placement strategies - Linkages with industries			
What are your departments' commitments and achievements in faculty professional growth? Do you have any faculty development plans?	How have you found your faculty developing themselves? What professional development opportunities are they getting?	What professional development opportunities are the faculty at ____ department getting?	
Can you elaborate on the research and consultancy activities by your department/faculty? - Self-managed research projects - Externally funded projects - collaborative research projects - Publications	What do you know about research and consultancy by your department? How far are students involved in those activities?	What research and consultancy are typical of ____ department?	Do you have any observations on the research and consultancy services of the department? If you were one of the clients, how was your experience with them?
What are your typical outreach activities this semester? Which did you find more effective? - Community engagement initiatives - Community-based Internships - Extension of program - seminars/workshops	What are your department's typical outreach activities this semester?	What are typical outreach activities of ____ department this semester? Which ones did you find more effective?	What outreach activities of ____ department are you familiar with? How have you found those activities?
What are some innovative (best) practices of your department that you can be proud of?	What are some innovative (best) practices of your department that you can be proud of?	What are some innovative (best) practices of ____ department?	What is one thing you like the most about this department's activities?

Annex IX: Evaluation Questions Based on CIPP framework (Adapted from Singh, 2004)

Key Question	Sub questions	Indicators	Sources of Data	Method of Data Collection
Context Evaluation				
Are the mission and program goals being met?	Is the current strategic plan being met?	<ul style="list-style-type: none"> • Focus of the mission statement • Congruency with the strategic plan 	<ul style="list-style-type: none"> • Memos, minutes • Strategic Plan • Administrators 	<ul style="list-style-type: none"> • Document review • Interviews
	Is the curriculum meeting the program goals and objectives?	<ul style="list-style-type: none"> • Congruence between the curriculum and program goals and objectives 	<ul style="list-style-type: none"> • Curriculum (mapping report) • Program goals and objectives • Administrators 	<ul style="list-style-type: none"> • Document review • Interviews
	Are the program goals responsive to the assessed needs of the aspiring students?	<ul style="list-style-type: none"> • Degree of responsiveness to market need 	<ul style="list-style-type: none"> • Memos, minutes • Program goals and objectives • Academic Plan • Aspiring students • Relevant (program wise) industry people • Administrators 	<ul style="list-style-type: none"> • Document review • Interviews
	Are the program goals being achieved?	<ul style="list-style-type: none"> • Discrepancy between reality and planned goals • Quality and quantity of feedback 	<ul style="list-style-type: none"> • Memos, minutes • Academic Plan • Administrators 	<ul style="list-style-type: none"> • Document review • Interviews
Input Evaluation				
Does the quality and quantity of human resources meeting the student needs?	To what extent does the faculty complement the program?	<ul style="list-style-type: none"> • Diversity of the faculty • Faculty credentials • Faculty gender and ethnicity • Number of full-time faculty • Number of visiting faculty 	<ul style="list-style-type: none"> • Curricula vitae • Administrators • Faculty • Students • Non-nursing faculty • Faculty in related departments 	<ul style="list-style-type: none"> • Document review • Interviews • Focus Groups • Observations
	Is there	<ul style="list-style-type: none"> • Diversity of 	<ul style="list-style-type: none"> • Administrators 	<ul style="list-style-type: none"> • Document

	sufficient support staff for the program?	staff • Staff to faculty ratio • Number of staff supporting administrative team	• Faculty • Staff	review • Interviews
Are the non-human resources meeting the needs of the program?	Is the program operating within the approved budget?	• Degree of match between budget and actual expenditures	• Operating budget • Capital budget • Administrators	• Document review • Interviews
	How well does the infrastructure (internal facilities) of the institutions support this program as planned?	• Amount and quality of teaching space • Class size • Amount and type of office space • Quality of resource lab(s) and library • Adequacy of materials in the resource lab(s) and library	• Administrators • Staff • Faculty • Students	• Document review • Interviews • Focus Groups • Observations
Are professional development activities available to faculty and staff to maintain currency?	Are professional development activities available to faculty and staff to maintain currency?	• Type and amount of support and activities • Number of orientation sessions • Number and type of professional activities	• Orientation plans • Administrators • Faculty • Students	• Document review • Interviews • Focus Groups
How is the diversity of the community being incorporated into the admission process?	How is the diversity of the community being incorporated into the admission process?	• Number of students by age, race, gender	• Enrolment data	• Document review
Process Evaluation				
To what extent were the	Is the program philosophy	• Degree of the discrepancy	• Philosophy of the	• Document review

program components implemented as planned?	being lived as planned?	between the planned and implemented philosophy <ul style="list-style-type: none"> • Nature of faculty student interaction • Congruency with the teaching-learning philosophy of the faculty • Congruency between the faculty beliefs and the program philosophy 	program <ul style="list-style-type: none"> • Teaching-learning philosophy of each faculty member • Faculty • Students 	<ul style="list-style-type: none"> • Interviews • Focus groups
	Is the curriculum responsive to the diversity of the students' learning needs?	<ul style="list-style-type: none"> • Degree of responsiveness 	<ul style="list-style-type: none"> • Curriculum • Administrators • Faculty • Students • Members from the Industry/partner institutions 	<ul style="list-style-type: none"> • Document review • Interviews • Focus groups
	What is working well in the implementation of the program?	<ul style="list-style-type: none"> • Stakeholder reflection and feedback 	<ul style="list-style-type: none"> • Survey forms • Result sheets • Administrators • Faculty • Students • SWOC 	<ul style="list-style-type: none"> • Document review • Interviews • Focus groups • Survey • SWOC/FLG
	What implementation problems have emerged and how are they being addressed?	<ul style="list-style-type: none"> • Stakeholder reflection and feedback 	<ul style="list-style-type: none"> • Survey forms • Result sheets • Administrators • Faculty • Students 	<ul style="list-style-type: none"> • Document review • Interviews • Focus groups • Survey • SWOC/FLG
	What are the characteristics of the individual partner institutions that affect this program?	<ul style="list-style-type: none"> • Stakeholder reflection and feedback 	<ul style="list-style-type: none"> • Administrators • Student/Faculty/staff resources • Faculty-student ratio (practicum and classroom) • Administrative 	<ul style="list-style-type: none"> • Document review • Interviews

			support	
			<ul style="list-style-type: none"> • Calendars • University policies • Partners and industry people 	
What are the criteria for assessing student's competence in a course?	What methods of assessment are used e.g. authentic assessments?	<ul style="list-style-type: none"> • Types and amount of assessments 	<ul style="list-style-type: none"> • Course outlines • Faculty 	<ul style="list-style-type: none"> • Document review • Interviews
	Is the practicum complementing the curricular objectives?	Course and types of practicum	<ul style="list-style-type: none"> • Course outlines • Faculty 	<ul style="list-style-type: none"> • Document review • Interviews
Product Evaluation				
What impacts and outcomes, both intended and unintended, have resulted from this program?	How has the program made a difference in the students: <ul style="list-style-type: none"> - caring behaviours? - ethical/professional knowledge? - ability to integrate theory and research into practice? - accountability? - understanding of self? - Integration of holistic concepts? - mastery of basic and higher level cognitive skills (e.g., critical thinking, technical, psychomotor skills)? - academic performance? - attitude? 	<ul style="list-style-type: none"> • Degree of change over time in: <ul style="list-style-type: none"> • demonstration of caring behaviours • ethical and professional knowledge • ability to integrate theory and research • basic and higher level cognitive skills • academic performance • attitude • organizational skills • learning ability • academic self-concept • social integration • Feedback from data sources 	<ul style="list-style-type: none"> • Students • Faculty • Potential employers 	<ul style="list-style-type: none"> • Interviews • Survey

	organizational skills? - learning ability?			
	How has the program made a difference in the faculty's relationships with students in terms of: - ethical/professional knowledge? - ability to integrate theory and research into practice? - accountability? - understanding of self? - Organizational skills? - Educational commitments?	• Degree of verbalized change articulated by data sources	• Students • Faculty • Administrators	• Interviews • Survey
What unanticipated outcomes did this program produce?	Were there any unintended issues, both positive and negative?	Feedback related to issues	• Students • Faculty • Administrators	• Interviews • Survey
What is the success of the program?	What is the attrition rate? - in year 1 - in year 2 - in year 3 - in year 4	• Number of students lost each year • Reasons for this attrition	• Students • Faculty • Administrators • Coordinators / HoDs	• Interviews
	How many students graduated?	• Number of students graduated within the allotted 4 years • Number of students who graduated after	• Administrators • Coordinators	• Interviews

		more than 4 years in the program	• Reasons for delayed graduation	
What is the rate of employment for the graduates?	What is the nature of the graduates' employment postgraduation? • Area of employment • Type of employment • % graduates employed	Comparisons of data sets	• Graduates • Employers	• Interviews • Survey
What is the congruence between the graduate's ability and the expectations of the work situation?	What is the graduate's perception of their entry-level competence and work expectations?	feedback from graduate	• Graduates	• Interviews • Survey
	What is the employer's perception of the graduate's entry-level competence and work expectations?	feedback from employer	• Employer	• Interviews

Annex X: Report Template for Departmental Self-Review

Introduction

Background: Briefly describe the program/department evaluated [Derive information from Departmental Portfolio]

Objectives

Methodology

Process of the Audit

Date of the Audit

Members of the Audit team

Results

Criterion-wise results, observations, comments and suggestions

Observations/Findings/Evidence	Comments and Suggestions
1. Curricular Aspects	
1.1	
1.2	
1.3	
1.4	
1.5	
2. Teaching, Learning and Evaluation (including Student Support)	
2.1	
2.2	
2.3	
2.4	
2.5	
3. Extracurricular Aspects	
3.1	
3.2	
3.3	
3.4	
3.5	
4. Graduate Success and Employability Check	
4.1	
4.2	
4.3	
4.4	

4.5
5. Research, Consultancy and Community Engagement
5.1
5.2
5.3
5.4
5.5
6. Innovative Practices
6.1
6.2
6.3
6.4
6.5

Conclusions

Commendations: What processes, practices, initiatives, and commitments are particularly commendable and merit recognition?

Affirmations: What processes, practices, or plans warrant the team's affirmation and encouragement? The key idea of Affirmations is that the unit being audited identified the need for improvement before the Audit Team.

Suggestions/Way Forward: What are some areas for improvement identified by the team on the basis of the department/program's self-assessment and site visit?

Action Plan

Action Plan				
Recommendations	Action Items	Timeline	Responsibility	Remarks

Annexes

1. Departmental Portfolio
2. Datasheets (Student Evaluation of Instruction, Student Satisfaction Survey, Faculty Satisfaction Survey, SWOC Analysis)
3. Sample filled-in faculty self-assessment form (randomly picked: one in-house, one visiting)

Guidelines for Academic Audit

@ KUSOED

2022