

# **THE NATIONAL COUNCIL FOR TECHNICAL AND VOCATIONAL EDUCATION AND TRAINING**

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TANZANIA



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## **Self Evaluation Study Guide**

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## TABLE OF CONTENTS

Foreword .....	iv
1.0 Preparation for a Comprehensive Self Study	
1.1 Introduction .....	
1.2 The Steering Committee .....	2
1.3 Meetings of the Steering Committee .....	2
1.4 Participation in the Self-Study .....	2
1.5 Recruitment and Formation of the Subcommittees .....	3
1.6 Chairing the Subcommittees .....	4
1.7 Work and Meetings of Subcommittees .....	4
1.8 Calendar for Preparation of the Self-Study .....	5
1.9 Establishment of Working Calendar .....	5
1.10 Resources for the Self Study .....	6
1.11 The Accreditation Liaison Officer as a Resource .....	7
2.0 The Comprehensive Self Study Report.....	
2.1 Introduction.....	9
2.2 Guide for Format and Content of the Self-Evaluation Study Report .....	9
2.3 Submission of The Self-Study Report .....	12
2.4 NACTVET Standards .....	13
2.4.1 Standard One: Institutional Mission .....	13
2.4.2 Standard Two: Governance and Administration.....	14
2.4.3 Standard Three: Institutional Integrity.....	16
2.4.4 Standard Four: Institutional Effectiveness.....	18
2.4.5 Standard Five: Educational Programmes.....	20
2.4.6 Standard Six: Student Support and Development.....	24
2.4.7 Standard Seven: Information and Learning Resources .....	25
2.4.8 Standard Eight: Academic Staff and Supporting Staff .....	27
2.4.9 Standard Nine: Physical Resources .....	28
2.4.10 Standard Ten: Financial Resources.....	30
2.5 The Evaluation Site-Visit .....	32
2.5.1 Organisation of the Visit.....	32
2.5.2 Format of the Visit .....	33
3.0 Regular Reports to NACTVET.....	
3.1 Mid-term Report .....	34
3.2 Annual Report.....	35
3.3 Special Reports .....	35
3.3.1 The Interim Report.....	35
3.3.2 Substantive Change Reports .....	36
3.3.3 Show Cause Report.....	38

<b>APPENDICES .....</b>	<b>40</b>
Appendix A: Cover Sheet Format .....	41
Appendix B: Sample Certification Form.....	43
Appendix C: Documentation for Comprehensive Site-Visits .....	45
Appendix D: Run-up Timetable to Self-Study Team Visit .....	52
Appendix E: Self-Study Checklist .....	54

## **FOREWORD**

Accreditation as a system of mandatory, governmental-driven self-regulation is not unique to Tanzanian institutions alone. It is a system by which an institution evaluates itself in accordance with standards of good practice regarding goals and objectives; the appropriateness, sufficiency, and utilization of resources; the usefulness, integrity, and effectiveness of its processes; and the extent to which it is achieving its intended outcomes. It is a process by which an educational institution provides students, the public and other stakeholders with assurances of institutional integrity, quality, and effectiveness. It is a continuing process designed to encourage planning for institutional improvement in quality and effectiveness.

Each institution affiliated with the National Council for Technical and Vocational Education and Training (NACTVET) accepts the obligation to undergo periodic evaluation through self-study and professional peer review. The heart of this obligation is the conducting of a rigorous self-study during which an institution appraises itself in terms of its stated purposes. A ‘Comprehensive Self-Study’ is required every five years following initial accreditation. NACTVET’s policy on periodic review, found in the NACTVET Handbook of Accreditation, governs conditions under which an institution is periodically evaluated.

Intended for use with the NACTVET Handbook of Accreditation, this Manual provides a reference for the conduct of a comprehensive self study, as well as instructions for the completion and submission of reports to NACTVET. Its purpose is to facilitate the process of self-study for institutions as they develop the organization and activities needed to conduct such a self-appraisal.

Dr. A.B. Rutayuga  
**EXECUTIVE SECRETARY**

# 1.0 PREPARATION FOR A COMPREHENSIVE SELF STUDY

## 1.1\_ Introduction

The self study, part of an accreditation process that includes an on-site visit by a team of peers and review and decision on the accredited status of the Institution by NACTVET, aims to improve an Institution's effectiveness in achieving its stated purpose. Thus, the most important use of a self study is by the Institution itself. In addition, peer assessment of the self study provides the Institution with a tool for improvement of effectiveness.

Because the self study examines every aspect of institutional functioning against NACTVET's Standards of good practice in post-Form IV non-university education, campus commitment to this process should be universal. As the Institution organises itself into study groups whose task will be to make judgments about the quality of educational programmes and services and the integrity of institutional practices, everyone able to do so should participate. Addressing past and future, the study should include responses to the recommendations of the previous visiting team as well as plans for the future.

Preparation for the self-study begins with the Chief Executive Officer (CEO) of the Institution whose personal involvement and visible support are crucial to the success of the self study. The CEO should ensure that the need for a self study is brought to the attention of the Institutional community and that an organisation for the conduct of the self study is created. This self study process, chaired by an individual or co-chaired by individuals selected by the Institution, should be an in-depth look at how well the Institution is meeting its stated objectives.

A good self-study is "honest, fair-minded, intelligently conducted, carefully planned, sensitive to both internal and external environments, extensively self-evaluative and diagnostic, and owned by everyone in the Institution." In acknowledging the complexity of such an undertaking, it can be concluded that no group or issue should dominate the self study, but, rather, that the self study should set forth both the positive and the negative truths about an Institution.

*Suggestion No. 1: Selecting someone or people to direct the self study and to chair the steering committee*

### **Pick a person or people with:**

- i) The respect of the Institutional community;
- ii) Appropriate leadership and interpersonal skills; and
- iii) Enough energy and drive to manage all aspects of the self study.

## 1.2 The Steering Committee

Once the chair or co-chairs of the accreditation self study has or have been named, the Institution creates a steering committee to assist in the overall planning and supervision of the institutional accreditation activities.

The selection process for members of the steering committee should actively involve all constituencies of the Institution, that is the Academic Staff, the student organisation, classified staff, and members of the administrative team. Since members of the steering committee will often serve as chairs of subcommittees, it is prudent to select individuals recognised for their leadership, knowledge, and cooperative attitudes. It is a good idea to include the individual or individuals who will edit the final draft of the self study.

The Institution should not underestimate the importance of the steering committee beginning its work knowing that it has both institutional commitment and the whole-hearted support of the CEO and other administrators, as well as independence in gathering data. The committee needs to know it has the logistical support needed to carry out its task.

While the size of the steering committee will vary according to the size of the Institution and the number of people available to serve, to be effective, the size of the committee should be kept to less than fifteen members.

### ***Suggestion No. 2: Chairing the steering committee***

#### **The following suggestions regarding leadership may prove useful:**

- i) The chair(s) of the steering committee have sufficient time to assume the responsibilities of leadership.*
- ii) The chair(s) of the steering committee should be provided with secretarial support.*
- iii) The chair(s) of the steering committee should be given access to all information.*

## 1.3 Meetings of the Steering Committee

Meetings should be scheduled at regular and realistic intervals for presentation of progress reports and preliminary drafts by subcommittees. Because the time needs of subcommittees will vary according to the size of the assigned task, the steering committee chair(s) should maintain a checklist of all assignments and track the progress of each subcommittee.

## 1.4 Participation in the Self Study

Broad involvement in the preparation of the self study ensures the credibility and usefulness of the report. Included in the self study document submitted to NACTVET is a certification page (Appendix B) bearing the signatures of institutional leaders and attesting to broad participation in self study

preparation. The certification page reflects the belief that the Self Evaluation Study Report accurately portrays the nature and substance of the Institution. Since the inclusion of all constituencies of the Institution ensures that the self study does not reflect the exclusive view of any one group, the visiting evaluation team will seek to confirm that all campus elements have participated in the work of the self study. The constituencies to be included are explained hereafter.

**Students:** Student leaders are typically enthusiastic participants on the steering committee, but obtaining broad and representative participation from students is often difficult. Efforts should be made to ensure student participation is adequate.

**Academic Staff:** All academic members of staff have a major role to play in the self study process. Their perspective on the integrity, quality, and effectiveness of the Institution is an integral part of the self study document. Include part-time academic staff in the process.

**Support Staff:** Support staff must be included in the self study. Employees in all quarters of the Institution are knowledgeable about the Institution and can offer a perspective on how the Institution is functioning in terms of its stated purposes. Recognising the contributions of this constituency is important, as is including them as active participants in the process.

**Administrators:** Administrators must share in the work of the self study, collaborating with academic staff supporting staff and students in the search for the truths about the Institution. The perspective of administrators is an important part of a self study.

**Trustees:** Governing Board participation can take a variety of forms. In some Institutions a Board member may be on the steering committee. Progress reports on the self study are a way to secure Board participation. Note that at the conclusion of the self study, the Board must certify participation in the process.

**Others:** The Institution may elect to include others in the self study. Members of foundation boards, programme advisory committee members, or other volunteers may participate in the process. Care should be taken in these selections to avoid the perception that such individuals represent a small segment of the community. Care should be taken such that people selected for the Steering Committee are of high integrity and have interest in the institutional goal and objectives.

## **1.5 Recruitment and Formation of the Subcommittees**

Dividing the self study into its major components makes the process more manageable. Having a number of subcommittees addressing the standards is a

good way of dividing tasks into manageable proportions. The size of the committee varies with the standards to be studied, but insofar as possible, all constituencies should be represented, that is academic staff, administrators, support staff, and students. Members of the public may be included if the Institution deems this to be desirable. Diversity in all its meanings should be part of the consideration of membership on a subcommittee in order to avoid having all members coming from the same background, point of view, or experience. Subcommittees should include members from areas other than the one under study. For example, the Student Services area should not be studied exclusively by student services staff. It is advisable for the Institution to allow two or three weeks for the recruitment and formation of these subcommittees.

### **Suggestion No. 3: Committee membership**

- i) Capitalize on the Institution's climate and culture to get people involved.
- ii) Those who cannot do big jobs can do a smaller piece of a standard.
- iii) Explaining what's at stake in accreditation can foster commitment.

## **1.6 Chairing the Subcommittees**

Having steering committee members serve as chairs for the standards is a functional way of lending coherence to the organization of the self study. Creating a system in which one of the members of the subcommittee serves as co-chair further increases participation in the study as well as shares the leadership responsibility. An alternative way to organize is to have steering committee members serve as liaison to the subcommittees, leaving the chairing to members of the subcommittees. In any case, chairs of the subcommittees should bear the responsibility for calling meetings of subcommittee members and for facilitating their work.

## **1.7 Work and Meetings of Subcommittees**

Meetings should be scheduled at regular and realistic intervals for members to discuss their assignments, report on progress, enlist each other's help, and come together as a team working towards the same goal. These meetings offer the opportunity for subcommittee members to learn from one another, share insights and data, and formulate a coherent perspective for their report. Meetings encourage committee members to start to identify and gather materials that will serve as documentation for the self-study and which will be provided to the visiting team.

A written record should be kept of all meetings with copies sent to the chair(s) of the steering committee. Subcommittees should expect their work to take several months, depending on the size and complexity of the Institution.

### ***Suggestion No. 4: Producing materials***

- i) Simplify the editing process by having each subcommittee submit drafts



- using a commonly-agreed-upon word processing package and style.
- ii) A written description of the responsibilities of the steering committee and the subcommittees helps clarify who is supposed to be doing what.
  - iii) Copies of appropriate sections from the Guide to Self Study such as the “Format and Content” section helps.
  - iv) Each committee should have a “toolkit” of information such as the Standards and the team report from the last visit.

## **1.8 Calendar for Preparation of the Self-Study**

The steering committee needs to establish a realistic and detailed timetable for the organisation and completion of the self-study. In most instances, at least a year and a half should be allowed and, for many Institutions, there might be an advantage in beginning the activities a **full two years** before the scheduled visitation. The date for the evaluation visit is often set more than a year in advance and Institutions should adhere to the established date. Only under very special circumstances should an Institution request a postponement or delay.

## **1.9 Establishing of Working Calendar**

A convenient and effective method for establishing a calendar is to work back from the date set for the team visit. In this way, the steering committee can set target dates for the completion of activities and can better estimate the amount of time necessary for meeting goals. This activity encourages members of subcommittees to allow sufficient time for their activities. Note that the completed self study must be in the hands of NACTVET **sixty days** (or two full months) before the scheduled visit date.

The steering committee must establish a working calendar that provides the framework for the activities of the self study process. Since the majority of the individuals involved in creating the self study are academic staff, the academic calendar of the Institution needs to be taken into account because the timetable will be affected by official school holidays, recesses, and the long vacations when academic staff are not on campus.

### ***Suggestion No. 5: Calendar Preparation***

*Since this calendar will be provided as evidence of preparation, be sure to get it all on paper and distribute it generously. Selecting chairs and committee members may take a while. Plan on at least two weeks for this activity.*

Several target dates should be kept in mind while planning the calendar. A final date for submission of completed materials to the steering committee should be set. This date should allow at least a month for final editing and

rewriting. The work of the editor(s) should produce a document that is coherent in its presentation and that reflects the intent of the steering committee. Time should be allowed for final drafts to be reviewed by the steering committee and other members of the Institution community so that the contents of the published document contain no surprises.

Consultation with whoever is to print or duplicate the study will assist in planning the length of time needed to print or duplicate, collate, bind, deliver, and mail the document. Allow at least 30 working days for these activities.

**Suggestion No.6:     *Planning the Script***

*In order to spread the work around, the editor(s) should assume responsibility for this activity before the editing task even begins.*

A run-up timetable to self-study team visit could look like the example found in **Appendix D**. It should have more detail and actual dates for deadlines as far as possible.

## **1.10   Resources for the Self-Study**

Since evaluation and planning are continuous activities complementing and supporting the self study, NACTVET encourages Institutions to integrate the self study with ongoing evaluation and planning, making the **five year** self study a culminating activity rather than an activity undertaken only in the last few months before a team visit.

A primary goal of the self study should be to provide evidence of institutional effectiveness. This requires that the study include data on students and their learning outcomes. All research and other activities reporting student outcomes done by the Institution (formal and informal) since the last visit should be grist for this mill. Reviewing documents on *Institutional Effectiveness* will assist in focussing on issues of verifying effectiveness.

Guidance for qualitative data can be found in NACTVET policies contained in its various documents. While these policies are not standards in and of themselves, they are resources for statements of good practice and may suggest evaluative questions an Institution could use as guides in the self study process.

Another source of data on outcomes can be found in public Institutions and Institutions that are part of a system because they generate considerable information in the form of reports to system, state, or national authorities. Vocational, specially-funded, or specially-accredited programmes, for example, sometimes have reporting requirements that generate valuable data on outcomes.

Because Institutions must generate and utilise information in ways and forms that are most useful to them in meeting their institutional purposes, NACTVET is more interested in how Institutions integrate information into their planning process than in the compilation of unanalysed reports. Creating new reports specifically for the self study is not necessary.

Most Institutions routinely and systematically analyse local and regional demographic data. City, municipal and district planning offices, associations of regional governments, central government, bureaux of statistics, local school districts, public utilities, business and trade organisations, and other planning interests commonly produce much pertinent data.

In an effort to provide a forum in which individuals and Institutions may profit from the experiences of others, NACTVET may present self-study workshops each year that are designed to assist Institutions as they begin to develop their self studies. Participants in these workshops are shown the self-study process designed to assist them in understanding the accreditation process, policies, and standards. They also examine and discuss self-studies submitted by other Institutions if consented by them. This forum offers an opportunity for a good deal of interaction with NACTVET and with individuals from other Institutions who have experience in conducting self studies. The individuals who are charged with directing the self study should attend such workshops.

### **1.11 The Accreditation Liaison Officer as a Resource**

The technical Institutions should appoint an Accreditation Liaison Officer (ALO) among its senior members of the academic staff. The ALO serves as the contact between the campus and NACTVET. He/she assumes the responsibility for:

- i) Staying informed on policies and procedures related to accreditation and keeping the CEO informed on all relevant activities and information.
- ii) Acting as the institutional contact person with the NACTVET.
- iii) Providing continuity to campus accreditation process by maintaining files of previous accreditations, including all self- studies, related correspondence, and other pertinent materials.
- iv) Assisting in preparation and submission of the annual report, notifying NACTVET of any substantive changes and reporting on progress toward meeting the recommendations of the most recent evaluation team.
- v) Coordinating the institutional accreditation activities in advance of evaluation visits and assisting with follow up activities.

***Suggestion No. 7: A source of Expertise***

*A resource sometimes overlooked on campuses are those individuals who have served on evaluation teams to other Institutions. They are people who have first-hand and valuable experience. Enlist their support.*

***Suggestion No. 8: A Training Workshop***

*A NACTVET training workshop on accreditation could be an excellent guide for presenting the whole process to the Institutions. It explores in detail what accreditation is, what the standards are, and what constitutes a self-study. It can be attended by all Institutions who may be represented by the ALO and /or Heads of institutions.*

## **2.0 THE COMPREHENSIVE SELF STUDY REPORT**

### **2.1 Introduction**

The self study should be organized according to the numbered and/or lettered elements in the standards and should provide evidence that the level of quality and excellence defined by the Institution is being met. It should include a description of what the Institution is doing, an assessment of how the Institution is doing, and an action plan for addressing issues raised in the appraisal. Detailed information is found in the next section 2.2 below.

***Suggestion No. 9: The self study document should be:***

- i) concise and present adequate documentation and analysis;*
- ii) well written, readable, and understandable to any group of peers who have no knowledge of your Institution; and*
- iii) Clear in its analyses and conclusions.*

In short, the self-evaluation study should deal thoroughly with all the requirements of the Standards in a way that allows the visiting team to evaluate the Institution in relation to these standards. It should provide evidence of outcomes that demonstrate candidly how effective the Institution really is.

The self-evaluation study should say to the visiting team, “We have described ourselves clearly and candidly. Here is who we are. Study us, give us your reactions, and tell us how accurately we have appraised our performance”. Suggestion for a self study checklist of activities needed to be accomplished can be found in Appendix E.

***A Reminder:***

*NACTVET staff are available to answer questions and to provide assistance regularly. Staff can be reached at NACTVET offices during working hours. On request, NACTVET staff also provide self study workshops at individual campuses at a cost. These can be tailored to fit the needs of the Institutions.*

### **2.2 Guides for Format and Content of the Comprehensive Self-Evaluation Study Report**

- i) Cover Sheet.** The cover sheet should include the name and address of the Institution, a notation that the self study is in support of an application for candidacy, accreditation, or reaffirmation, and date submitted. See a sample on Appendix A.
- ii) Table of Contents.** This should include titles of all chapters, sections and subsections with their respective page numbers.

- iii) **Certification of the Self Study Report.** The Certification of the Self Study Report indicates to NACTVET of the broad participation by the various constituencies of the Institution's campus community in preparing the report of institutional self study. This participation by administrators, academic staff, and support staff, together with appropriate involvement of trustees, students and the public, documents that the report accurately reflects the nature and substance of the Institution. See Appendix B.
- iv) **Abstract of the Report.** The Abstract should be a summary statement not more than two typed pages. It should describe briefly the important educational programme and institutional developments since the acceptance for candidacy or since the last evaluation team visit. Compliance with each applicable standard, the major challenges facing the Institution, and the planning activities should be summarized in a few paragraphs.
- v) **Organisation for the Self Study.** In narrative or chart form, the organization established to conduct the self study should be shown. Committees, their chairpersons and members, timetable, and the person(s) responsible for the overall direction of the self study should be included.
- vi) **Descriptive Background and Demographics.** A concise and factual description of the Institution since the last evaluation should be provided. Demographic material should include summary data on the area served, enrolment figures, and student and staff diversity, including trends and available projections. Studies that provide detailed information of this kind should be referenced and made available to the visiting team. This information can be included in the self study or presented separately if you already produce the data for some other purpose.
- vii) **Organisation of the Institution.** Organisation charts for the Institution and for each major function should be included. Names of individuals holding each position should be provided.
- viii) **Certification of Continued Compliance with Eligibility Requirements.** The Institution should summarize the review conducted to verify that it continues to meet eligibility requirements. A separate committee could do this task. **Do not do an entire eligibility report; simply document that the Institution continues to meet the requirements.**
- ix) **Responses to Recommendations from the Most Recent Evaluation.** If the Institution has had a previous evaluation visit, the report must

include a section which concisely indicates what has been done regarding recommendations made in the last team report. Recommendations represent the observations and analyses of a visiting team at the time of visit, and should be considered in light of NACTVET standards and the Institution's educational purposes. An Institution may concur or disagree with any or all of the recommendations. If it disagrees, a rationale for the institutional course of action should be offered.

Evaluation team members have an explicit responsibility to validate the Institution's responses to previous recommendations.

x) **Institutional Self-Evaluation Using NACTVET Standards.**

The primary portion of a self study reviews institutional performance using the accreditation standards. Each standard is addressed in turn, using a three part format:

- a) **Descriptive summary.** This section should succinctly state how the Institution meets the standard. These descriptive materials should delineate the programmes, activities, and processes in which the Institution engages.
- b) **Self-evaluation.** The self-evaluation section is the most important part of the self study report. Here, the Institution moves beyond description to analyse and systematically evaluate itself in terms of the standard and reports the results of its Institutional assessments.

NACTVET does not endorse or prefer any single approach or method of assessing Institutional effectiveness. However, NACTVET does expect that every Institution will undertake a systematic assessment of student outcomes, consistent with its resources and capabilities. The Institution should utilise those models, instruments, or techniques of assessment that will enable it to make well founded evaluative comments regarding the outcomes of its programmes, services and processes.

This section shows the Institution's success in meeting its stated outcomes, identifies areas of concern, and systematically assesses student achievement. The self-evaluation is based on profiles of evidence gathered and developed by the Institution. The Institutional self study is expected to include a description of the means by which its effectiveness is evaluated and how student academic achievement is documented.

The self-evaluation section for each standard should include more than mere statements of compliance. It should provide the evidence on which the evaluative conclusions are based and the

context in which the analysis occurred. If an Institution finds a certain standard inappropriate or inapplicable, explanation or justification for deviation rests with the Institution.

- c) **Planning Agenda.** When an Institution describes and evaluates its programmes and services with reference to each standard, areas in need of change are identified. The planning agenda sections for each subsection of the standard should forecast progress the Institution expects to make. **The statements the Institution makes in this section are its recommendations to itself.** The planning agenda sections should include the following elements:

1. Statements of the plans, activities, and processes the Institution expects to implement a statement of what the Institution thinks it will do.
2. Discussion of the ways the areas identified will be incorporated into the ongoing, systematic evaluation and planning processes of the Institution.
3. Discussion of how the outcomes of these plans, activities and processes are expected to improve student learning and Institutional effectiveness.

- xi) **Planning summary.** This section should be a concise summary of planning areas identified by the Institution. This statement should indicate how the Institution proposes to integrate all of the planning recommendations it has made to itself into a comprehensive agenda. The summary should provide a coherent, even thematic, guide for future Institutional activities.

- xii) **Special Addendum for international operations.** If an Institution engages in international operations, an addendum demonstrating how the international operation conforms to national and NACTVET policies is required. This information should indicate any links available with external institutions, describe the type of agreements that are in place and how the Institution's community stands to benefit from the link.

- xiii) **Supplementary Documents to be Available in the Team Room.** Documents available to the visiting team should include the unedited, primary data and reports on which the Self Study Report is based. When documents are cited in the Report, they should be indexed by standard for easy reference by team members. Suggestions for supporting documents are listed for each standard in **Appendix C**.

## **2.3 Submission of the Self Study Report**



After certification by Institution constituencies and the President or Chairperson of the Governing Board, Advisory Board or Council, four copies of the report, four copies of the prospectus and four class schedules should be sent to NACTVET office. This submission should occur at least 60 days (i.e. two full months) prior to the scheduled evaluation visit. Copies of the Self Evaluation Study Report should be made available to members of the Institution community and to the governing board.

## **2.4 NACTVET Standards**

NACTVET standards describe good practice in community and post form-Four IV non-university technical education. They are standards based on experience, research, and extensive consultation with member Institutions. The standards centre on outcomes and accomplishments, requiring that an Institution assess its resources, processes, and practices. In short, the Standards focus on assessing Institutional effectiveness in meeting Institutional purposes. An Institution can assess the effectiveness in achieving its objectives through the use of both qualitative and quantitative instruments and procedures.

### **2.4.1 Standard One: Institutional Vision and Mission**

**The Institution has statements of its vision and mission that define the Institution, its educational purposes, its students, and its place in the technical education community.**

- i) The Institution has a statement of vision and mission, adopted by the governing board, which identifies the broad-based educational objectives it seeks to achieve consistent with the purpose for which it was established.
- ii) The vision and mission statement defines the students the Institution intends to serve as well as the parameters under which programmes can be offered and resources allocated.
- iii) Institutional planning and decision making are guided by the vision and mission statement.
- iv) The Institution evaluates and revises its vision and mission statement regularly.

#### ***Tips for Standard One:***

*This standard asks that the Institution review its vision and mission statement carefully. Here are some ideas:*

- (a) Review the Institution vision and mission statement carefully.
- (b) What does the statement say?

- (c) Does it fit the criteria of the standard?
- (d) When was it last reviewed?
- (e) Does it need to be modified?
- (f) Remember to provide specific evidence for all assertions.

#### **2.4.2 Standard Two: Governance and Administration**

**The Institution has a governing board, advisory board or council responsible for the quality and integrity of the Institution. The Institution has an administrative staff of appropriate size to enable the Institution to achieve its goals and is organised to provide appropriate administrative services. Governance structures and systems ensure appropriate roles for the board, administration, academic staff, supporting staff, and students, and facilitate effective communication among the Institution's constituencies.**

##### **A. Governing Board**

- A.1 The governing board is an independent policy-making board capable of reflecting the public interest in board activities and decisions. It has a mechanism for providing for continuity of board membership and staggered terms of office.
- A.2 The governing board ensures that the educational programme is of high quality.
- A.3 The governing board is responsible for overseeing the financial health and integrity of the Institution.
- A.4 The governing board ensures that Institutional practices are consistent with the board-approved Institutional mission statement and policies.
- A.5 The governing board establishes broad Institutional policies and appropriately delegates responsibility to implement these policies. The governing board regularly evaluates its policies and practices and revises them as necessary.
- A.6 In keeping with its vision and mission, the Governing board/Parent Ministry/Organisation, as the case may be, selects and evaluates the chief executive officer and confirms the appointment of other major academic and administrative officers.
- A.7 The size, duties, responsibilities, ethical conduct requirements, structure and operating procedures, as well as processes for assessing the performance of the governing board are clearly defined and published

in board policies or by-laws. The board acts in a manner consistent with them.

A.8 The governing board has a programme for new member orientation and governing board development.

A.7 The board is informed about and involved in the accreditation process.

## **B. Institutional Administration and Governance**

B.1 The institutions chief executive officers are appointed by the institutions' governing boards and are accountable to it for their performance.

B.2 The Institutional chief executive officer provides effective leadership to define goals, develop plans and establish priorities for the Institution.

B.3 The Institutional chief executive officer efficiently manages resources, implements priorities controlling the budget and expenditures, and ensures the implementation of statutes, regulations, and board policies.

B.4 The Institution is administratively organised and staffed to reflect the Institution's purposes, size, and complexity. The administration provides effective and efficient leadership and management which makes possible an effective teaching and learning environment.

B.5 Administrative officers are qualified by training and experience to perform their responsibilities and are evaluated systematically and regularly. The duties and responsibilities of Institutional administrators are clearly defined and published.

B.6 Administration has a substantive and clearly-defined role in institutional governance. The administrative systems should be sufficiently

B.7 Academic staff have a substantive and clearly defined role in Institutional governance, exercise a substantial voice in matters of educational programme and academic staff personnel, and other Institutional policies which relate to their areas of responsibility and expertise.

B.8 Academic staff have established a forum or other appropriate organisation for providing input into Institutional governance. In the case of private Institutions, the Institution has a formal process for providing input regarding Institutional governance.

B.9 The Institution has a written policy that identifies appropriate Institutional support for academic staff participation in governance and delineates the participation of academic staff on appropriate policy, planning and special-purpose bodies.

- B.10 The Institution clearly states and publicises the role of staff in Institutional governance.
- B.11 The Institution clearly states and publicizes the role of students in Institutional governance.

***Tips for Standard Two:***

*This standard asks that the Institution look at all aspects of governance and administration, including the roles played by all constituencies of the Institution community. It asks that the Institution look at the policies and practices of governing board and the Institution administration, as well as the role of academic staff, staff and students in governance.*

Some Suggestions:

- (a) A source of evidence on Governing Board activities are minutes of Board Meetings. These minutes document all aspects of what the Board does. Another good source of evidence is the Board Policy Manual.
- (b) The functions of the CEO can be found in documents that describe the role and responsibilities of the position. The same is true for other administrators.
- (c) Evaluate the vision and mission with values articulated by top leadership.
- (d) Look for evidence that senior leaders have created a system that provides good communication throughout the organisation.
- (e) Evaluation procedures for administrators can help document how the Institution is assessing the effectiveness of its leadership and the leadership skills of its administrators.
- (f) Assess how governance systems of the Institution review progress towards planned goals.
- (g) Minutes of any academic forum will help in documenting the role of academic staff in Institutional governance. Review academic staff membership on standing committees of the Institution.
- (h) A way to document Institutional support for academic staff participation in governance is to review academic staff assignments.
- (i) Minutes of Institutional committees can help document the participation of staff and students in governance.

### **2.4.3 Standard Three: Institutional Integrity**

**The Institution subscribes to, advocates, and demonstrates honesty and truthfulness in representations to its constituencies and the public; in**

**pursuit of truth and the dissemination of knowledge; in its treatment of and respect for administration, academic staff, support staff, and students; in the management of its affairs and in relationships with NACTVET and other external agencies.**

- i) The Institution presents itself clearly, accurately, and consistently to its constituencies, the public, and prospective students through its catalogues or prospectus, publications, and statements, including those presented in electronic formats. Precise, accurate, and current information is provided in the catalogue or prospectus concerning :
  - a) educational purposes;
  - b) awards, curricular offerings, educational resources, and course offerings;
  - c) student fees and other financial obligations, student financial aid, and fee refund policies;
  - d) requirements for admission and for achievement of awards including the academic calendar and information regarding programme length; and
  - e) the names of administrators, academic staff, and governing board.
- ii) The Institution has a readily available governing board-adopted policy protecting academic freedom and responsibility, which states the Institutional commitment to the free pursuit and dissemination of knowledge and fosters the integrity of the teaching-learning process.
- iii) Academic staff and other Institution staff distinguish between personal conviction and proven conclusions and present relevant data fairly and objectively to students and others.
- iv) Institutions which strive to instill specific beliefs or world views or to require codes of conduct of academic staff, administrative and support staff, or students give clear prior notice of such policies.
- v) The Institution provides academic staff and students with clear expectations concerning the principles of academic honesty and the sanctions for violation.
- vi) The Institution demonstrates through policies and practices an appropriate understanding of and concern for issues of equity and diversity.
- vii) The Institution demonstrates honesty and integrity in its relationships with NACTVET and agrees to comply with NACTVET standards, policies, guidelines, public disclosure, and self study requirements.
- viii) The Institution regularly evaluates and revises Institutional policies, practices, and publications to ensure integrity in all representations about its mission, programmes, and services.

***Tips for Standard Three:***

*The essence of this standard has to do with integrity and honesty in all areas of Institutional operations. Here are some things to think about and do regarding this standard:*

- (a) Gather together examples of materials that are presented to the public regarding the Institution e.g. brochures, pamphlets, fliers, etc. and see if they accurately reflect the Institution's identity and its practices and check to see if these publications have been recently updated.
- (b) Hold the catalogue or prospectus up to scrutiny in terms of the standard criteria.
- (c) If the Institution has a web page, include an assessment of it as regards the spirit of this standard.
- (d) Review the policy on academic freedom, asking if it meets the standard.
- (e) Concerns about equity and diversity will come up in several places in the self study. Review such things as the Student Equity plan, the ways in which diversity is addressed in the curriculum, hiring practices for all Institution staff, policy on access and retention, special programmes for under-represented and students with physical disabilities, and Affirmative Action policies.
- (f) Identify what the Institution's policy on student conduct is and provide evidence that it is clearly available to students.
- (g) Ask what the Institution says and does about academic dishonesty and show how this is communicated to both the academic staff and students.
- (h) Review all sports programmes, citing how the Institution demonstrates that all sports activities are free from practices lacking integrity.
- (i) Talk with the Accreditation Liaison Officer and the CEO to find out about the relationship between the Institution and NACTVET.

**2.4.4 Standard Four: Institutional Effectiveness**

**The Institution, appropriate to its mission and purposes as a technical education and training Institution, develops and implements a broad-based and integrated system of education and training, evaluation, and planning to assess Institutional effectiveness and uses the results for Institutional improvement. The Institution identifies Institutional outcomes which can be validated by objective evidence.**

**A. Institutional Planning**

- A.1 The Institution defines and publishes its planning processes and involves appropriate segments of the Institution community in the development of Institutional plans.
- A.2 The Institution defines and integrates its evaluation and planning processes to identify priorities for improvement.
- A.3 The Institution engages in systematic and integrated educational, financial, physical, and human resource planning and implements changes to improve programmes and services.

**B. Institutional Outcome Assessment**

- B.1 The Institution specifies intended Institutional outcomes and has clear documentation of their achievement.
- B.2 The Institution uses information from its evaluation and planning activities to communicate matters of quality assurance to the public.
- B.3 The Institution systematically reviews and modifies, as appropriate, its Institutional education and training efforts, evaluation processes, Institutional plans and planning processes in order to determine their ongoing usefulness for assessing Institutional effectiveness.

***Tips for Standard Four:***

*The intent of this standard is to have the Institution look at how and what education and training is being done, how this education and training integrates with evaluation and planning, what the Institution is doing about planning, and how the Institution is assessing its outcomes.*

*Here are some things to consider:*

- (a) Show how the research function supports the planning and self-assessment functions of the Institution.
- (b) Demonstrate how the education and training being conducted provides evidence of student success such as programme completion, transfers, or other measures that demonstrate achievement.
- (c) Describe how the programme review process works and demonstrate that it is improving programmes and student services.
- (d) Look at the who, what, when, and where of the planning process, including evidence for how planning integrates Institutional functions and improves programmes and services.

- (e) Show how the Institution documents outcomes and how this evidence is communicated to others. For example, does the Institution publish a Facts and Figures Book or a Newsletter?
- (f) Describe the process used by the Institution in evaluating its education and training, plans, and planning process.

#### **2.4.5 Standard Five: Educational Programmes**

**The Institution offers academic programmes in recognised fields of study that culminate in identified student competencies leading to National Technical Awards (NTAs).**

##### **A. General Provisions**

- A.1 The Institution seeks to meet the varied educational needs of its students through programmes consistent with its Institutional mission and purposes.
- A.2 Programmes and courses leading to NTAs are offered in a manner that provides students the opportunity to complete the programme as announced, and within a reasonable time.
- A.3 When programmes are eliminated or programme requirements are significantly changed, the Institution makes appropriate arrangements so that enrolled students may complete their education in a timely manner with a minimum of disruption.
- A.4 The Institution provides sufficient human, financial, and physical (including technological) resources to support its educational programmes and to facilitate achievement of the goals and objectives of those programmes regardless of the service location or instructional delivery method.
- A.5 The Institution designs and maintains academic advisory programmes to meet student needs for information and advice and adequately informs and prepares academic staff and other personnel responsible for the advising function.

##### **B. Academic Programmes**

- B.1 The Institution demonstrates that its academic programmes support the mission of the Institution. Academic programmes have a coherent design and are characterised by appropriate length, breadth, depth, sequencing of courses, synthesis of learning and use of information and learning resources.



B.2 The Institution identifies its educational and training programmes in ways that are consistent with the programme content, objectives and student mastery of knowledge, skills including carrier preparation and practical competencies.

B.3 The Institution identifies and makes public expected learning outcomes for its academic programmes. Students completing programmes demonstrate achievement of those stated learning outcomes.

B.4 Students completing academic programmes demonstrate competence in the use of language and computation.

B.5 The Institution documents the technical and professional competence of students completing its vocational and occupational programmes.

## **C. General Education**

C.1 The Institution requires of all academic programmes a component of general education that is published in clear and complete terms in its general catalogue or prospectus.

C.2 The general education component is based on a philosophy and rationale that are clearly stated. Criteria are provided by which the appropriateness of each course in the general education component is determined.

C.3 The general education programme provides the opportunity for students to develop the intellectual skills, information technology facility, affective and creative capabilities, social attitudes, and an appreciation for cultural diversity that will make them effective learners and responsible citizens.

C.4 Students completing the Institution's general education programme demonstrate competencies appropriate for the NTA level.

## **D. Curriculum and Instruction**

D.1 The Institution has clearly defined processes for establishing and evaluating all of its educational programmes. These processes recognise the central role of academic staff in developing, implementing, and evaluating the educational programmes. Programme evaluations are integrated into overall Institutional evaluation and planning and are conducted regularly.

D.2 The Institution ensures the quality of instruction, academic rigour, and educational effectiveness of all of its courses and programmes regardless of service location or instructional delivery method.

D.3 The evaluation of student learning and the award of credit are based upon clearly stated and published criteria. Credit awarded is consistent with student learning and is based upon generally accepted norms or equivalencies.

D.4 The Institution has clearly stated transfer of credit policies. In accepting transfer credits to fulfill NTA requirements, the Institution certifies that the credits accepted, including those for general education, achieve educational objectives comparable to its own courses.

D.5 The Institution utilizes a range of delivery systems and modes of instruction compatible with the objectives of the NACTVET-designed curriculum and appropriate to the needs of its students.

D.6 The Institution provides evidence that all courses and programmes, both credit and non-credit, whether conducted on or off-campus by traditional or non-traditional delivery systems, are designed, approved, administered, and periodically evaluated under established Institutional procedures comparable to NACTVET-approved procedures.

## **E. Assessment and Examination**

E.1 The Institution has an assessment and examination system that adequately covers knowledge areas and key competencies of education and training.

E.2 The weighting of the examination and assessment system generally reflects the time input in the respective knowledge or competence areas.

E.3 The examination system provides enough chance of attaining scores reflecting ranges of competencies of the candidates.

E.4 The system involves independent assessment of the content of the subject covered, adequacy and fairness of the marking and setting examinations.

E.5 The system of administration of examinations ensures uniformity across the institutions, security and transparency of results.

E.6 The students are given fair chance of appealing when they feel unfairly treated in the examination process.

***Tips for Standard Five:***

*This standard invites a detailed look at the educational programmes of the Institution. It involves a good deal of work and should be supported by a committee of a size sufficient to explore all of the elements covered here.*

**A basic idea: Remember that saying that the Institution does something is not enough; demonstrate it with data.**

Some other ideas:

- (a) Locate demographic and economic data for the district, or for feeder areas if in a multi-Institution district. Are these the students being served?
- (b) A student survey might be conducted to query students about programmes, and courses, and how well these are scheduled. Since other information from students might be useful, work with the people concerned with other standards as well.
- (c) The Institution's catalogue or prospectus and schedules of classes for several terms or semesters will be good sources of information in dealing with both the depth and breadth of courses offered by the Institution as well as a source of evidence for how they are being scheduled.
- (d) Interviews with the chief instructional officer, deans, academic staff leaders of programmes, and support staff will help find evidence regarding funding and staffing.
- (e) Appropriate staff can review how the counselling process works, and provide with information on what kinds of materials are used to guide students through an understanding of programmes, courses, and awards. Document the assessment devices used to determine how well these processes work.
- (f) Regarding awards, following the creation of an award from its beginning to its acceptance by the Institution will illuminate what you will need to know in determining if the Institution is in compliance with the expectation of NACTVET.
- (g) Determine what the Institution knows about the competence of its students in terms of stated learning objectives in its academic programmes, as well as other related competences.
- (h) Collect and review programme review materials, looking for evidence that these outcomes have been tied to curriculum and instructional planning.
- (i) If offering courses in a distance education mode, be sure to review NACTVET policy on the same.

- (j) The Institution's catalogue or prospectus should include examination regulations.

#### **2.4.6 Standard Six: Student Support and Development**

**The Institution recruits and admits students appropriate to its programmes. It identifies and serves the diverse needs of its students with educational programmes and learning support services, and it fosters a supportive learning environment. The entire student pathway through the Institutional experience is characterized by a concern for student access, progress and success.**

- ix) The Institution publishes admissions policies consistent with its mission and appropriate to its programmes and follows practices that are consistent with those policies.
- x) The Institution provides to all prospective and currently enrolled students current and accurate information about its programmes, admissions policies and graduation requirements, social and academic policies, refund policies, student conduct standards, and complaint and grievance procedures.
- xi) The Institution identifies the educational support needs of its student population and provides appropriate services and programmes to address those needs.
- xii) The institution provides students' welfare and guidance services.
- xiii) The Institution involves students, as appropriate, in planning and evaluating student support and development services.
- xiv) Admissions and assessment instruments and placement practices are designed to minimise test and other bias and are regularly evaluated to assure effectiveness.
- xv) The Institution provides appropriate, comprehensive, reliable, and accessible services to its students regardless of service location or delivery method.
- xvi) The Institution, in keeping with its mission, creates and maintains a campus climate that serves and supports its diverse student population.
- xvii) The Institution supports an environment that fosters intellectual ethical, and personal development for all of its students and encourages personal and civic responsibility.
- xviii) Student records are maintained permanently, securely, and

confidentially, with provision for secure backup of all files, regardless of the form in which those files are maintained.

- xix) The Institution systematically evaluates the appropriateness, adequacy, and effectiveness of its student services and uses the results of the evaluation as a basis for improvement.

***Tips for Standard Six:***

*This standard is devoted to issues concerning the services provided to students as they move through the educational experience. The challenge to the Institution is to evaluate its policies and practices in supporting students in all aspects of the collegiate experience.*

Some suggestions:

- (k) Document that the practices of the Institution are consistent with what policies state.
- (l) Don't forget to look at student orientation materials and to check if the Institution uses them. A Student Handbook, for example, may be a good source of information on what students are told. Is the Institution, in fact, doing what it says it does?
- (m) A Survey of Student Perceptions of such things as campus climate, extra-curricular activities, student roles in Institutional governance, and general services might prove insightful. Factor the time it takes to do such a survey into the plans and bear in mind the pitfalls and benefits of surveys.
- (n) Report outcomes of programme review of student services, particularly as they relate to planning.
- (o) Many of the items in this standard have a direct relationship with the elements of a typical **Matriculation Plan**. If the Institution has such a plan, it would be very helpful to review it for content, procedures, and practices.

#### **2.4.7 Standard Seven: Information and Learning Resources**

**Information and learning resources and services are sufficient in quality, depth, diversity, and currency to support the Institution's activities and programmes. The Institution provides training so that information and learning resources may be used effectively and efficiently.**

- i) Information and learning resources, and any equipment needed to access the holdings of libraries, media centres, computer centres, databases and other repositories are sufficient to support the courses programmes.

- ii) Appropriate educational equipment and materials are selected, acquired, organised, and maintained to help fulfill the Institution's purposes and support the educational programme. Institutional policies and procedures ensure academic staff involvement.
- iii) Information and learning resources are readily accessible to students, academic staff and administrators.
- iv) The Institution has professionally qualified staff to provide appropriate support to users of information and learning resources, including training in the effective application of information technology to student learning.
- v) The Institution provides sufficient and consistent financial support for the effective maintenance, security and improvement of its information and learning resources.
- vi) When the Institution relies on other Institutions or other sources for information and learning resources to support its educational programmes, it documents that formal agreements exist and that such resources and services are adequate, easily accessible, and utilised.
- vii) The Institution plans for and systematically evaluates the adequacy and effectiveness of its learning and information resources and services and makes appropriate changes as necessary.

**Tips for Standard Seven:**

*This Standard focuses on the resources devoted to libraries, learning resource activities, and information technologies. It asks the Institution to assess the quality of the support these services are providing to the intellectual and cultural life of the Institution.*

Some suggestions:

- (a) Because learning resources have become synonymous with technologies of many kinds, activities undertaken will have to include evaluation of the technical aspects of libraries, media centres, and computer centres.
- (b) Review the decision making process in acquiring educational equipment and materials; it will help in determining if they support the Institution's mission.
- (c) Interview learning resources staff regarding funding and staffing.
- (d) Provide evidence on how information and learning resources are being used by students, as well as how they are being maintained.

#### **2.4.8 Standard Eight: Academic Staff and Supporting Staff**

**The Institution has sufficiently qualified full-time and part-time academic staff and staff to support its educational programmes and services wherever offered and by whatever means delivered. Consistent with its mission, the Institution demonstrates its commitment to the significant educational role played by persons of diverse social and economic backgrounds by making positive efforts to foster such diversity.**

##### **A. Qualifications and Selection**

A.1 The Institution has sufficient full time staff that are qualified by appropriate education, training, and experience sufficiently to support its programmes and services. In case of deficiency, the institution can accommodate part-time staff whose number shall not exceed one third of the total number of staff.

A.2 Criteria, qualifications and procedures for selecting all personnel are clearly stated, public, directly related to Institutional objectives, and accurately reflect job responsibilities.

A.3 Criteria for selecting academic staff include knowledge of the subject matter or service to be performed, effective teaching, and potential to contribute to the mission of the Institution.

A.4 Qualifications held by academic staff and administrators are listed in the Institution's primary catalogue or prospectus.

A.5 Academic staff are registered with NACTVET and/or other professional bodies.

##### **B. Evaluation**

B.1 The evaluation of each category of staff is systematic and conducted at stated intervals. The follow-up of evaluations is formal and timely.

B.2 Evaluation processes seek to assess effectiveness and encourage improvement.

B.3 Criteria for evaluation of academic staff include teaching effectiveness, scholarship or other activities appropriate to the area of expertise, and participation in Institutional service or other Institutional responsibilities.

##### **C. Staff Development**

C.1 The Institution provides appropriate opportunities to all categories of staff for continued professional development, consistent with the Institutional vision and mission.

C.2 Planning and evaluation of staff development programmes include the participation of staff who participate in, or are affected by, the programmes.

#### **D. General Personnel Provisions**

D.1 The Institution has and adheres to written policies ensuring fairness in all employment procedures.

D.2 Personnel policies and procedures affecting all categories of staff are systematically developed, clear, equitably administered, and are available for information and review.

D.3 The Institution makes provision for the security and confidentiality of personnel records. Personnel records are private, accurate, complete, and up-to-date.

#### ***Tips for Standard Eight:***

*This standard asks for assessment of academic staff and support staff in terms of their qualification and selection and their evaluation. It also asks for evaluation of professional development activities and personnel policies.*

Some suggestions:

- (a) Review full-time/part-time academic staff ratios, personnel processes, and all hiring practices.
- (b) Review Student/Academic Staff ratios to be consistent with rigour expected for a particular level and award.
- (c) Review and report on evidence of equity in employment.
- (d) Evaluation procedures for both academic staff and support staff should be fully documented, tying the outcomes of these processes to the standard and to the Institution mission.

#### **2.4.9 Standard Nine: Physical Resources**

**The Institution has sufficient and appropriate physical resources to support its purposes and goals.**

- i) The Institution ensures that adequate physical resources are provided to support its educational programmes and services.



- ii) To avoid disruption of programmes, an institution should submit evidence that it has permanent premises where their programmes / courses will be ordinarily conducted and in case of rented premises, the minimum period of lease should be the duration equivalent to the currency of the registration period.
- iii) The management, maintenance and operation of physical facilities ensure effective utilisation and continuing quality necessary to support the programmes and services of the Institution.
- iv) Physical facilities at all site locations where courses, programmes, and services are offered are constructed and maintained in accordance with the Institution's obligation to ensure access, safety, security, and a healthful environment.
- v) Selection, maintenance, inventory and replacement of equipment are conducted systematically to support the educational programmes and services of the Institution.
- vi) Physical resource planning and evaluation support Institutional goals and are linked to other Institutional planning and evaluation efforts.

***Tips for Standard Nine:***

*This Standard requires that the Institution review the quality of its facilities and their maintenance. It asks that the Institution look at equipment issues both on and off campus, as well as planning and evaluation.*

**Some Suggestions:**

- (a) The maintenance and operations department should have a good deal of data for use.
- (b) Review the master plan for development of the campus.
- (c) Note the construction of new buildings if such has occurred.
- (d) Check to determine if there is a recent equipment inventory and determine what policy exists for replacement.
- (e) Determine which off-campus facilities are currently in use and for what purpose.
- (f) Verify how the Institution determines whether or not its physical resources are effective in supporting student learning.
- (g) Document Institutional policies and processes having to do with safety and

security issues.

#### **2.4.10 Standard Ten: Financial Resources**

**The Institution has adequate financial resources to achieve, maintain and enhance its programmes and services. The level of financial resources provides a reasonable expectation of financial viability and Institutional improvement. The Institution manages its financial affairs with integrity, consistent with its educational objectives.**

##### **A. Financial Planning**

A.1 Financial planning supports Institutional goals and is linked to other Institutional planning efforts.

A.2 Annual and long-term financial planning reflects realistic assessments of resource availability and expenditure requirements.

A.3 In those Institutions which set tuition rates, and which receive a majority of funding from student fees and tuition, charges are reasonable in light of the operating costs, services to be rendered, equipment, and learning resources to be supplied.

A.4 Annual and long-term capital plans support educational objectives and relate to the plan for physical facilities.

A.5 Institutional guidelines and processes for financial planning and budget development are clearly defined and followed.

A.6 Administrators, academic staff and support staff have appropriate opportunities to participate in the development of financial plans and budgets.

##### **A. Financial Management**

B.1 The financial management system creates appropriate control mechanisms and provides dependable and timely information for sound financial decision-making.

B.2 Financial officers are qualified by training and experience to perform their responsibilities and are evaluated systematically and regularly. The duties and responsibilities of institutional officers are clearly defined.

B.3 Financial documents, including the budget and external audit, reflect appropriate allocation and use of financial resources to support

Institutional programmes and services. Institutional responses to external audit findings are comprehensive and timely.

B.4 The Institution practices effective oversight of finances, including management of financial aid, externally-funded programmes, contractual relationships, auxiliary organisations or foundations, and Institutional investments.

B.5 Auxiliary activities and fund raising efforts support the programmes and services of the Institution, are consistent with the mission and goals of the Institution, and are conducted with integrity.

B.6 Contractual agreements with external entities are governed by Institutional policies and contain appropriate provisions to maintain the integrity of the Institution.

B.7 Financial management is regularly evaluated and the results are used to improve the financial management system.

#### B. Financial Stability

C.1 Future obligations are clearly identified and plans exist for payment.

C.2 The Institution has policies for appropriate risk management, e.g. insurance schemes.

C.3 Cash flow arrangements or reserves are sufficient to maintain stability.

C.4 The Institution has a plan for responding to financial emergencies or unforeseen occurrences.

#### ***Tips for Standard Ten:***

*This standard requires the Institution to review its processes regarding financial planning, financial management and financial stability. This standard may seem complex because finances are often not well understood by everyone. Take your time, be patient.*

#### Some Suggestions:

- (a) Document how financial planning is tied to programmes and services of the Institution.
- (b) Review Institution's policies and procedures for budget development, including evidence on how the Institution community participates in this development.
- (c) Interview members of the committees charged with financial planning to determine how the committee is functioning.

- (d) Document evaluation of financial planning and management practices.
- (e) Verify the integrity of the management of finances of programmes that are externally funded.
- (f) Look carefully at the process by which contractual agreements are developed, the conduct of audits and use of auxiliary funds.
- (g) If the Institution has a foundation, find out how its financial affairs are conducted.

## **2.5 The Evaluation Site Visit**

### **2.5.1 Organization for the Visit**

Preparations for the evaluation team's visit should focus on facilitating the team's work. The Accreditation Liaison Officer, or designee, assumes responsibility for the logistical aspects of the team's visit, local transportation for team members, clerical assistance, and identification of a central headquarters, or "team room". Sometime prior to the team visit, the evaluation team chairperson communicates with the person in charge of logistical arrangements to confirm details.

**Since the time allotted for a team visit is very short, the Institution must be careful not to plan unnecessary activities that will use up the limited time.** The Institution may host a simple activity on campus to introduce the team to members of the board, Institutional staff, students, or others directly involved in the self study process, but NACTVET discourages more elaborate social activity. The Institution community should be given advance notice about the timing, nature, and purpose of the team's visit and be urged to provide support for the team members.

The actual visit occurs while the Institution is in session, usually during the middle of the week. Since the visitation date is set many months prior to the visit, key campus personnel should arrange to be on campus and available to meet with team members. These persons include the Institution's CEO, administrators, department heads or coordinators, persons who had substantial responsibility for the self study, representatives of any academic forum, and employee trade unions (if applicable). An open meeting for members of the campus community who wish to talk to the team is typically scheduled. Governing board, Advisory board or Council members are also expected to be available for meeting with the team.

The evaluation team requires a well organised team room located in a central place affording privacy for confidential discussions and convenience for the team and Institution staff. The room should contain all of the studies and supporting documents relevant to the self study, indexed to the sections of the

Self Study Report. A staff person should be available nearby to locate any additional documents, set up appointments, receive messages, and assist the team. The team room should be equipped with **computers, printers, and an ample supply of formatted diskettes.**

### **2.5.2 Format of the Visit**

The flow of the evaluation visit is managed by the team chair and reflects the nature of the self study and the needs of the Institution. Generally, there is an introduction of the team members to key staff members, time for team members to meet with individuals or small groups, time for classroom or programme visits, time for an open meeting, time for team meetings and writing, and time for an exit meeting to the Institution staff. If the Institution has off-campus programme sites, team members may need to schedule time to visit them. The final evaluation visit activity is the meeting of the team chair with the CEO and with members of the Institution (exit meeting) to share brief observations, comments, and major findings based on the team's evaluation. **The team's recommendation to NACTVET regarding the status of the Institution is not disclosed at this time.**

### 3.0 REGULAR REPORTS TO NACTVET

#### 3.1 Midterm Report

In the **third year** following the evaluation team visit, all Institutions are expected to submit a progress report cataloguing the Institution's responses to the evaluation team recommendations. The Midterm Report addresses each of the recommendations made by the team by providing a description of the response, an assessment of the progress made in fulfilling the team's recommendations, and a plan for the activities expected to be completed before the next comprehensive self evaluation study and evaluation visit. Should the Institution not agree with a recommendation made by the team, it is obligated to provide a rationale for its disagreement. The Institution is also expected to include a summary of progress made in areas identified in its self study. In addition to the basic responses, NACTVET may ask for special focus on a small number of key recommendations. The action letter sent after NACTVET meeting details these expectations.

#### Format and Content

- i) **Cover Sheet.** The cover sheet includes the date of submission, the name and address of the Institution, and a notation that this is a Midterm Report.
- ii) **Table of Contents.** This should include titles of all chapters, sections and subsections with their respective page numbers.
- iii) **Statement of Report Preparation.** This statement, signed by the Chief Executive Officer, describes the process used in the preparation of the report, and identifies those who were involved in its preparation, review, and approval. Midterm Reports should be approved by the Governing Board Advisory Board or Council prior to submission to NACTVET.
- iv) **Responses to Team Recommendations and NACTVET Action Letter.** Each recommendation made by the previous evaluation team should be addressed in terms of the Institution's response, an assessment of progress made, and a plan or forecast of activities expected to be accomplished by the next comprehensive self study and visit. If an Institution disagrees with a recommendation, the explanation or rationale should be provided here.
- v) **Summary Discussion of Self-identified Issues.** In the Planning Agenda sections of each self study, Institutions typically report on areas needing improvement and plans of action or other activities that they themselves intend to address, but which do not result in a formal team recommendation. Institutions should provide a brief narrative describing the progress or abandonment of these self-identified issues.

Midterm reports are due by the date stated in the action letter in the same third year after the comprehensive evaluation visit. The Institution will receive information about the need to prepare the Midterm Report about one year before it is due.

#### **Report Submission.**

**Four sets** of the report are to be submitted directly to NACTVET office. The Institution should keep its own copies for reference.

### **3.2 Annual Report**

**The request for submitting an annual report from institutions will be issued or sent out along with the invoice for the annual subscriptions if applicable.** Typically, the Annual Report informs NACTVET briefly about such matters as:

- (a) programme additions and deletions;
- (b) off-campus centre operations;
- (c) contract education if it exists;
- (d) report of any affiliations (local and international) with the institution which materialised in that year;
- (e) assessment of student activities and outcomes;
- (f) planning ;
- (g) significant Institutional changes; etc.

In addition, the Annual Report updates NACTVET Information Directory. This information can be used regionally and nationally in informing the general public of the capabilities of individual Institutions.

#### **Report Submission.**

**Four sets** of the report are to be submitted directly to NACTVET office. The Institution should keep its own copies for reference.

### **3.3 Special Reports**

#### **3.3.1 The Interim Report**

An Interim Report may be requested by NACTVET for special purposes and may be followed by a limited visit. An Interim Report is not a comprehensive evaluation. In an Interim Report, the Institution is expected to provide information and analysis regarding the specific concerns identified by NACTVET. If the report is to be followed by a limited visit, the scope of the visit is determined by the concern(s) identified by NACTVET and may include secondary areas that relate to these issues. In such instances, both the report of the interim visiting team and NACTVET action taken regarding it will be provided to the next comprehensive evaluation team. Collectively, the recommendations of both the last comprehensive team and any interim team form the body of recommendations for response in the next Midterm Report and/or comprehensive self study.

### **Format and Content**

- i) **Cover Sheet.** The cover sheet should include the date of submission, the name and address of the Institution, and a notation that this is an **Interim Report**.
- ii) **Table of Contents.** This should include titles of all chapters, sections and subsections with their respective page numbers.
- iii) **Statement on Report Preparation.** The statement describes the process of report preparation and identifies those who were involved in its preparation, review, and approval. Interim Reports should be approved by the Governing Board, Advisory Board or Council prior to submission to NACTVET.
- iv) **Response to the Request of NACTVET in the Action Letter.** Each area identified by NACTVET in its action letter should be identified and discussed. The report should describe progress in each area, analyse the results obtained to date, and indicate what additional plans or actions the Institution will make. Information about changes since the last visit should be provided as context for understanding the specific areas about which the report has been requested.

### **Report Submission.**

**Four sets** of the report are to be submitted directly to NACTVET office. The Institution should keep its own copies for reference.

### **3.3.2 Substantive Change Report**

A substantive change in an accredited Institution is a change that significantly affects the nature of the Institution, its quality, its objectives and educational programmes, its scope, its control, or the allocation of its resources. Examples of substantive changes include, but are not limited to the following:



- i. Changes in an Institution's private or public character.
- ii. Changes in form of control of the Institution, including change of ownership or merger
- iii. Offering programmes at a more advanced or lower level.
- iv. A move to a new location.
- v. Establishment of major off-campus or international units.
- vi. Offering courses or programmes outside the geographic region served by the Institution at the time of the previous evaluation including international sites.
- vii. Addition of educational activities representing significant departure in terms of content or method of delivering such as distance learning, correspondence courses, or credit by examination (See Standard Five on education programmes).
- viii. Programmes offered for the Institution by non-regionally accredited organisations.
- ix. Changes in purposes and/or educational objectives operative at the most recent comprehensive evaluation, including changes in constituencies.

An Institution considering a substantive change, or unsure if a contemplated action constitutes a substantive change, should consult with NACTVET through the Executive Secretary. Institutions should be aware that substantive change may involve a review of the accredited status of the Institution as well as an institutional/campus visit by NACTVET.

### **Format and Content**

- (a) **Cover Sheet.** The cover sheet includes the date of submission, name and address of the Institution, and the title, **Substantive Change Report**.
- (b) **Table of Contents.** This should include titles of all chapters, sections and subsections with their respective page numbers.
- (c) **Analysis of the Proposed Change.**
  - (1) The Institution should formulate a concise statement of the proposed change and the reasons for it. The statement should include a description of the planning process leading to the request for the change, how the change relates to the Institution's stated mission, and the assessment of needs and resources which has taken place.

- (2) The statement should include evidence that the Institution has any necessary internal or external approvals. The statement should state clearly what academic staff, administrative, governing board or regulatory agency approvals are needed and provide evidence that any legal requirements have been met.
- (3) Evidence should be provided that the educational purposes of the change are clear and appropriate. Institutions should also include evidence that all accreditation standards are fulfilled by the change and that all NACTVET policies are addressed.
- (4) The Institution should provide an analysis of the anticipated effect of the proposed change on the rest of the Institution. The Institution should address whether or not the proposed change will have an effect on the ability of the Institution to continue to be able to meet the criteria for eligibility and, therefore, continued accreditation status.
- (5) Evidence should be provided that the Institution has provided adequate human, financial, and physical resources and processes to initiate, maintain, and monitor the change and to ensure that the activities undertaken are accomplished with acceptable quality.

Depending on the nature of the change, NACTVET may require more detailed information. The Institution should consult with the Executive Secretary of NACTVET to determine what further, if any, information is needed.

#### **Report Submission.**

**Four sets** of the report are to be submitted directly to NACTVET office. The Institution should keep its own copies for reference.

#### **3.3.3 The ‘Show Cause’ Report**

When NACTVET finds an Institution to be in substantial non-compliance with its criteria or policies, or when the Institution has not responded to the conditions imposed by NACTVET, the Council may require the Institution to show cause why its accreditation should not be withdrawn at the end of thirty days from the date of the notice. In such cases the burden of proof will rest with the Institution to demonstrate why its accreditation should be continued. While under a ‘show cause’ order, the Institution will be subject to special scrutiny by NACTVET, including a requirement to submit prescribed reports and special visit(s) by representatives of NACTVET. The accredited status of the Institution continues during the period of the ‘show cause’ order. The Show Cause Report provides the Institution with an obligation and an ultimate opportunity to respond to NACTVET.

## **Format and Content**

- i) **Cover Sheet.** The cover sheet should include the date of submission, the name and address of the Institution, and a notation that this is a **Show Cause Report**.
- ii) **Table of Contents.** This should include titles of all chapters, sections and subsections with their respective page numbers.
- iii) **Statement of Report Preparation.** The statement describes the process of report preparation and identifies those who were involved in its preparation, review, and approval. Show Cause reports should be approved by the Governing Board prior to submission to NACTVET.
- iv) **Response to the Request of NACTVET in the Action Letter.** Each area identified by NACTVET in its Action Letter should be identified and discussed. The report should demonstrate progress in each area, detailed and analysed results obtained to applicable date, and provide evidence to NACTVET that the Institution is in compliance with NACTVET criteria, and that the Institution has responded to the conditions imposed by NACTVET.

## **Report Submission.**

**Four sets** of the report are to be submitted directly to NACTVET office. The Institution should keep its own copies for reference.

## **APPENDICES**

## **APPENDIX A**

### **SAMPLE COVER SHEET**

***Whatever Institution***  
(name of Institution)

**Institution's emblem**  
(If available)

Institutional Self Evaluation Study in Support of Reaffirmation of  
Accreditation or in Support of an Application for Candidacy  
or in Support of an Application for Accreditation  
(notation of reason for self study)

Submitted by

Technical Institution  
Postal or physical address  
Tanzania  
(address of Institution)

to

The National Council for Technical and Vocational Education and Training  
(NACTVET)

*Date Submitted*

## **APPENDIX B**

### **SAMPLE CERTIFICATION**

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**THE NATIONAL COUNCIL FOR TECHNICAL AND VOCATIONAL  
EDUCATION AND TRAINING  
(NACTVET)**

**THE INSTITUTIONAL SELF EVALUATION STUDY REPORT CERTIFICATION**

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(To be inserted in the Report)

**TO: The National Council for Technical and Vocational Education and Training (NACTVET)**

**FROM:**

\_\_\_\_\_  
*(Name of Institution)*

\_\_\_\_\_  
*(Address)*

This Institutional Self-Evaluation Study Report is submitted for the purpose of assisting in the determination of the Institution's accreditation status.

We certify that there was broad participation by the campus community, and we believe that the Self-Evaluation Study Report accurately reflects the nature and substance of this Institution.

Signature

Date

\_\_\_\_\_  
Name

\_\_\_\_\_  
Title: Chief Executive Officer

\_\_\_\_\_  
Name

\_\_\_\_\_  
Title: Chairperson, Governing/Advisory Board

\_\_\_\_\_  
Name

\_\_\_\_\_  
Title:

\_\_\_\_\_  
Name

\_\_\_\_\_  
Title:

\_\_\_\_\_  
Name

\_\_\_\_\_  
Title:



## **APPENDIX C**

### **DOCUMENTATION FOR COMPREHENSIVE EVALUATION VISITS** (Candidacy, Accreditation, Reaffirmation of Accreditation)

## **SUPPORTING DOCUMENTS**

A list of the supporting documents to be provided for use by the evaluation team should be included with the self study report. Those marked (x) should be included with the self study mailed to NACTVET office. The remaining documents should be available in the on-campus team workroom during the visit. Institutions should feel free to add additional documents which will be useful to the team. There should be an index for ease of reference.

This list of supporting documents is only a guideline. Institutions should add documentary information appropriate to their situation. **Anything referred to in the Self Evaluation Study should be in the documents list and available to the evaluation team.**

### **Standard One: Institutional Mission**

- (x) 1. Catalogue or prospectus.
- 2. Board-adopted statements of Institutional mission.
- 3. Articles of incorporation or charter (private Institutions).
- 4. Copy of Institutional/system mission if delineated in legislation.

### **Standard Two: Governance and Administration**

- 1. Board policy and procedures manual.
- (x) 2. Chart of the Institutional administrative organization.
- 3. Manual of administrative procedures.
- 4. Copies of Institutional governance policies and procedures.
- 5. Academic staff handbook.
- 6. Constitutions and by-laws of the academic staff senate or other academic staff governance entities as appropriate to the Institution.
- 7. Constitution and by-laws of support staff governance organisations.
- 8. Student handbook or informational brochures.
- (x) 9. Chart showing the central or district office organisation and functions in the case of multi-campus systems, including the names of the persons holding each position.

### **Standard Three: Institutional Integrity**

1. Catalogue or prospectus.
2. Brochures, handbooks, print and media public information, Internet or other electronic information sites and policies concerning their development, use, and access.
3. Statements or policies on academic freedom, codes of staff and student conduct (if any), and academic honesty.
4. Policies on physical education (athletics, sport, etc).

#### **Standard Four: Institutional Effectiveness**

1. Evaluation, planning, and outcome assessment documents.
2. Programme review documents and studies, including those produced to respond to other agencies or reporting requirements.
3. Institutional research and findings.
4. Evaluation of research, institutional evaluation and planning processes.

#### **Standard Five: Educational Programmes**

1. Description of curriculum development bodies, curriculum review structures and current situation (minutes if available).
- (x) 2. Organizational chart for educational programmes.
3. Self study and evaluation reports from external reviews, the most recent professional and/or Institutional accreditation visits and documentation of resulting Institutional actions.
4. Statements of expected learning outcomes for all academic programmes.
5. Course outlines and objectives for all programmes.
6. Written philosophy and rationale for the general education programme.
7. Articulation agreements.
8. Follow-up studies on transfer and vocational students.
9. Programme advisory committee rosters and minutes.
- (x) 10. Listing of off-campus programmes, directors, sites, and enrolments.

11. Catalogues or prospectus, brochures, announcements, and class schedules for special programmes and community education programmes if any.
12. Policies regarding the award of credit based on prior experiential learning, including a report on the amount of such credit awarded for the past two years.
13. Copies of brochures and announcements and any contractual agreements with other Institutions, foreign partners, or travel agencies study-travel programmes, or international operations, summaries of enrolments and discussion of financial arrangements.
14. Contracts with other organisations that provide instruction for the Institution.
15. Results of programme review and curriculum evaluation activities.
16. Transfer of credit policy.
17. Distance education and International instruction documents.

#### **Standard Six: Student Support and Development**

1. Student Handbook.
- (x) 2. Summaries of student characteristics that give the reader a conception of the nature of the student body.
- (x) 3. Organization chart for student services.
4. Sample copies of student publications.
5. Policies on student conduct, rights, and responsibilities.
6. Copies of published statements regarding admission criteria and other policies related to attending the Institution.
7. Policies on student fees and refunds.
8. Statistics on student financial aid, including loan default rates and management plans.
9. The most recent financial aid reviews conducted by national and international agencies.
10. Any programme review documents for student services, including those conducted by national and international agencies.
11. Catalogues, brochures, and other documents prepared by the Institution to recruit or inform students.

12. Copies of student record retention policies and evaluation of them.
13. Results of programme reviews and student development and support evaluations.

#### **Standard Seven: Information and Learning Resources**

- (x) 1. Basic statistics (figures) on resident library, if any: Stocked book titles, total books volumes in shelves; stocked journal titles, total journal volumes in shelves; accessory lists; seating capacity; staffing level by library job category.
2. Budget for the library and instructional support services.
3. Statistics on use of library and learning resource facilities and services.
4. Data on user satisfaction.
5. Data concerning number and assignment of staff to support learning resources.
6. Curriculum materials for bibliographic instruction.
7. Printed materials that describe for students the hours and services provided by learning resources, including those for sites or service arrangements other than the main campus.
8. Formal, written agreements with other libraries or learning resource providers.
9. List of data bases, service or other learning resources to which students and academic staff have access.
10. Results of programme reviews or evaluations of information and learning resources.

#### **Standard Eight: Academic Staff and Supporting Staff**

- (x) 1. Statistics available concerning academic staff, supporting staff, and administration characteristics, such as gender, full-time, and part-time status.
2. Academic staff handbook, including personnel policies and procedures.
3. Collective bargaining agreements (or by Trade Unions), if applicable
4. List of academic staff with their academic and professional qualifications, unless catalogue or prospects list is up-to-date.
5. Staff handbook.

6. Salary schedules.
7. Affirmative action policy and plan if any.
8. Criteria and procedures for employing, evaluating, and compensating academic staff in special programmes such as off-campus, study abroad, study travel, non-credit programmes and programmes provided by contract with other organisations.
9. Doctrinal statements required for employment if any (religious-related Institutions).
10. Policies and procedures for evaluation of academic staff, administrators, and support staff
11. Documents describing staff development activities.
12. Criteria and procedures for selection of academic staff, administrators, and support staff.
13. Policies regarding retention of personnel records and confidentiality
14. Results of the reviews of the effectiveness of personnel programmes and services.

#### **Standard Nine: Physical Resources**

1. The master plan for campus development.
2. Policies on safety, security, and energy conservation which are related to physical facilities and equipment.
3. Equipment inventory and replacement policy.
4. Facility management plans for all instructional or service locations.
5. Results of the evaluations of the effectiveness of the Institutional physical resources in support of student learning

#### **Standard Ten: Financial Resources**

1. Institutional budget.
2. Institutional financial plan, including justification of tuition and other fees (for those Institutions that determine these amounts).
3. Latest report of an external auditor.

4. Documents illustrating budgetary control.
5. Foundation and other external source documents.
6. Auxiliary organisation documents.
7. Investment policies and performance documents.
8. Risk management and emergency funding plans and policies.
9. Statements on future financial obligations and funding plans.
10. Results of the evaluations of the effectiveness of the Institutional financial resources in support of student learning.

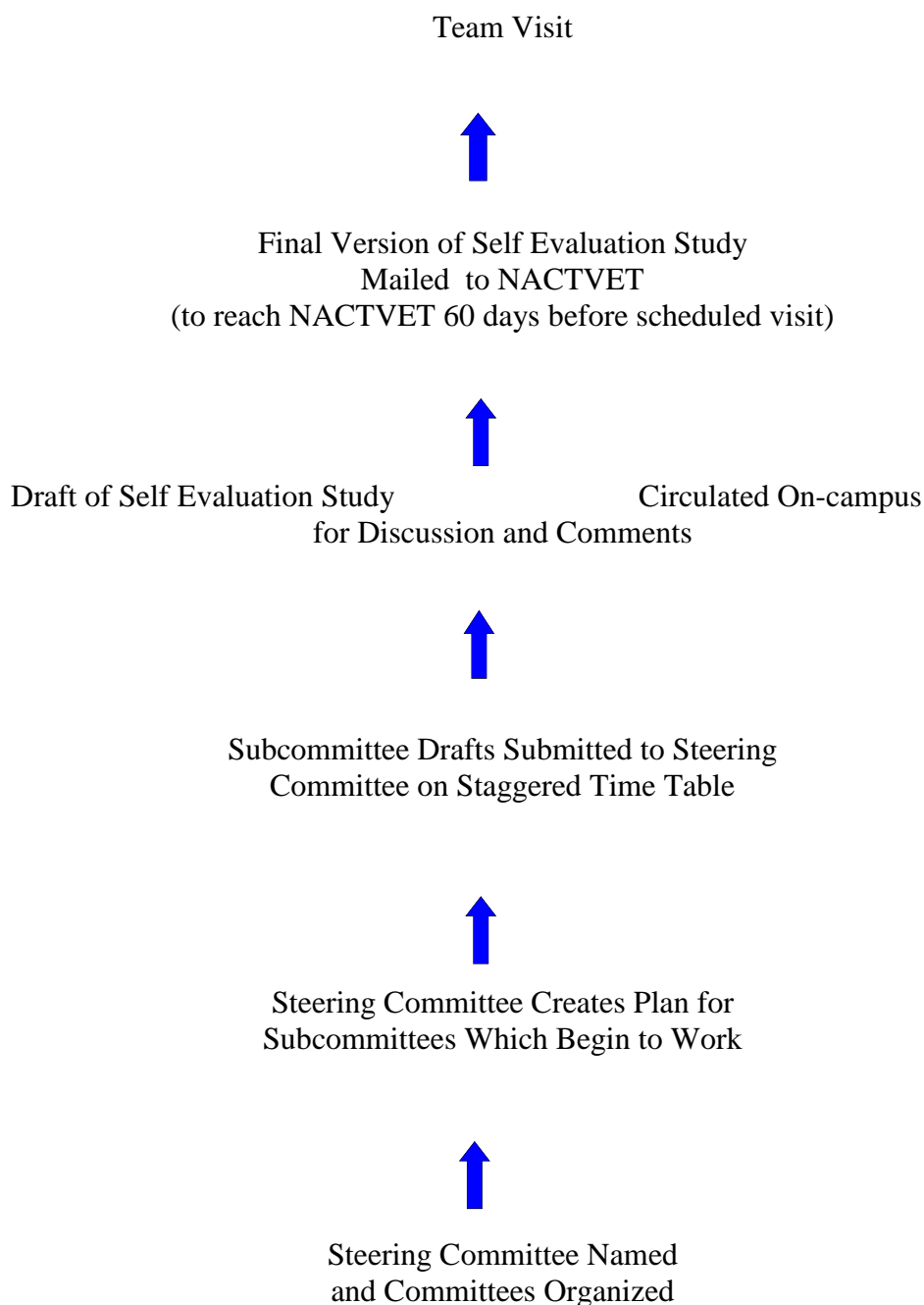
## **APPENDIX D**

### **RUN-UP TIMETABLE TO SELF STUDY TEAM VISIT**



## **RUN-UP TIMETABLE TO SELF STUDY TEAM VISIT**

To determine a timetable for self study, work backwards from the evaluation team visit date. Be sure to factor in vacations and holidays. Please note that this is an example. A longer period of time is advisable and the time line should be more detailed, so as to include dates of important deadlines as far as possible.



## **APPENDIX E**

### **SELF-STUDY CHECKLIST**

## **SELF-STUDY CHECKLIST**

*(Put a tick or cross in the space provided on an item if covered or not covered respectively)*

\_\_\_SELECTION OF SELF STUDY CHAIRS

\_\_\_SELECTION OF STEERING COMMITTEE

\_\_\_DECISION ON EDITOR(S)

\_\_\_DECISION ON HOW TO APPROACH SELF STUDY

\_\_\_DESIGN OF STUDY

\_\_\_FORMATION OF SUBCOMMITTEES

\_\_\_COMPLETION OF SUBCOMMITTEE TASKS

\_\_\_DRAFTS OF INDIVIDUAL SUBCOMMITTEE REPORTS SUBMITTED

\_\_\_PRELIMINARY SELF STUDY DRAFT WITH RECOMMENDATIONS

\_\_\_CAMPUS REVIEW OF SELF STUDY DRAFT

\_\_\_FINAL SELF-STUDY REPORT WITH RECOMMENDATIONS

\_\_\_SELF- STUDY ADOPTED BY GOVERNING BOARD

\_\_\_SUBMISSION OF DOCUMENTS TO NACTVET

\_\_\_EVALUATION TEAM VISIT