

# EQUAMBI

Enhancing Quality Assurance Management and  
Benchmarking Strategies in Indian Universities

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## EQUAMBI Toolkit Template for the HEI's Implementation Plans

Integrated Version Post-Pune Meeting 4<sup>th</sup> March 2020

15<sup>th</sup> March 2020

Name of the University/HEI: \_\_\_\_\_

Each University/HEI has to fill-in two templates:

**Annex 1. Template for the 10 items of the complete exercise:**

**Annex 2. Template for the exercise limited to the Item "3. How the university ensures the quality of its programmes" ("Course life-cycle"), in accordance with the suggestion made by KTH at Pune**

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## Introduction

The first version for the implementation of the Toolkit in the pilot projects of the EQuAM-BI project by the Indian higher education institutions (HEI) universities of the Consortium was based on the discussions held in the Consortium meeting at Barcelona University on 7<sup>th</sup> and 8<sup>th</sup> January 2020.

The current (and final) version of the template, dated on 13<sup>th</sup> March 2020, is the one shared and agreed upon in the Consortium meeting held in Symbiosis International University at Pune on 4<sup>th</sup> March 2020 by the Indian HEIs plus NAAC and the representatives of University of Barcelona, KTH Stockholm and ANECA, among the European partners that could attend the meeting under the difficult circumstances derived from the measures regarding the Coronavirus (COVID19).

The first purpose of designing a template is to allow institutions of higher education to gather the information according to an agreed model by all the partners in order to analyse the information on the grounds on comparable items, regardless the diversity of the universities responding filling-in the template. Not using the common template would make it almost impossible to arrive to a final shared document, given the rich diversity of the Indian HEI landscape.

After the presentation of the experiences from the different universities made in the meeting at Bengaluru (on 7<sup>th</sup> and 8<sup>th</sup> November 2019) and Barcelona (on 7<sup>th</sup> and 8<sup>th</sup> January 2020), a synthesis of the headlines that the template should contained has been achieved. The template is based on the case studies of the following Indian higher education institutions: Symbiosis International (Deemed University), Javadpur University, the Indian Institute of Technology at Chennai, the Asian Institute of Design at Bangaluru, Shivaji University at Kolhapur, University of Mysore and University of Mangalore.

Furthermore, the meeting on 4<sup>th</sup> March at Symbiosis International (Deemed University) favored a deeper discussion among the partners as well as a big deal of exchange of opinions

between ANECA representatives, who prepared the first draft, and NAAC representative who had submitted before the meeting some suggestions and remarks.

These conversations allowed clarifying the concepts and, above all, the purpose of the toolkit, making possible for all the attendees to share a clear understanding of the objectives to be reached in the implementation process.

### **The template**

Each focus area or “item” of the template should be considered as a guideline and an orientation respectful with the institutional environment, and not as a statement to be read and understood literally. Furthermore, an item can be left blank if the university considers it does not apply to its performance.

The items of the template are as follows:

- 0. Higher Education Institution mission, vision and values. (Strategic drivers concerning quality management in the context of the specific HEI)*
- 1. Proposed structure of the quality management and benchmarking department/unit: links with the governing bodies of the university*
- 2. Quality policy and objectives*
- 3. How the university ensures the quality of its programmes*
- 4. Development of teaching and other actions aimed at students*
- 5. How the university ensures and enhances the quality of its academic staff*
- 6. Management and improvement of material resources and services*
- 7. Research development*
- 8. Community engagement<sup>1</sup>*
- 9. Internationalisation strategy*
- 10. Analysis and application of the outcomes to/by the decision-making process of the university*

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<sup>1</sup> Following the suggestion of NAAC in the meeting at Pune, items Nr 8 and Nr 9, which in the first version were together, have been split in two different ones.

## 11. Transparency, equity and ethics

Therefore, and as agreed with NAAC after their input on the toolkit and template and discussed with the Indian partners at Pune, for each of the above-mentioned 11 items (except for the first one), each University or HEI's Implementation plan should specify (in accordance with their context and mission) the following statements that will allow to describe the detailed contents and provide evidence on the development of an institutional QA policy:

- a. **Objectives of the Quality Policy** regarding the specific item.
- b. **Strategies** (plan embracing the chain of activities and procedures) to reach these quality assessment objectives.
- c. **Procedures and activities** to properly develop such activity regarding the specific item.
- d. **Indicators**, used to measure and assess the quality in that specific item.
- e. **Benchmark** used to assess the degree of fulfilment of the quality policy
- f. **Statistics and data used as evidences** of the degree of fulfilment of the standard/criteria that will let us judge where the institution is regarding the approved benchmark.
- g. **Recommendations**, in the event the benchmark is not reached and new benchmarks in case it was reached.
- h. The quality system should include a cyclical **quality system-assessment of the appropriateness** of its objectives, strategies, procedures, and indicators.

Each item/guideline of the template will unfold in the above eight statements, from a) to h), allowing a much more accurate analysis of the guidelines at each and particular institutional context. Using the Toolkit will allow the development of this analysis, improved or tuned in the light of the coaching sessions, will help EQuAM-BI to reach a better enhanced level of conclusions of the project in terms of benchmarking of Indian universities.

The analysis will be concluded in the meeting in July at Kolkotta, and the conclusions of these exercises will provide all the input needed to be ready for the dissemination conference at the end of the project.

### **Practicalities to fill-in the template**

As explained above, in the coaching session related to the implementation exercises in the Consortium meeting held at Pune on 4th March 2020, KTH Stockholm's representative suggested that it would be a good exercise for the Indian HEIs, besides filling-in the whole 11-item list, to fill-in one of the items of the template in an intensive and thorough way. That would allow HEIs to really test the set of statements included in the Toolkit.

This approach allows the Consortium to make the most of the implementation exercise in order to also test the main features of the EQuAM-BI Toolkit and introduce changes for its final version. Therefore, the exercise ahead has two parts, both to be developed by the Indian HEIs partners:

#### *Annex 1. The 11-item exercise for the implementation*

This table should be filled-in by each Indian university/HEI following the set of statements included in the Table, based on evidences gathered or developed by the HEI. Not all the points probably will be completely developed in a university/HEI, so a particular statement could be left unanswered or providing a short evidence of implementation (even though all/most of the items should be addressed -explaining what in the HEI's missions prevents to filling-in all of them). Such information is also useful because one of the objectives of the current deliverable, as well as the project, is to provide support and information to Indian universities and HEIs to advance in their QA arrangements, structure and strategies.

The purpose of Annex 1 is to have a general overview about the implementation of the EQuAM-BI Indian universities of the QA issues related to the Toolkit, allowing the benchmarking exercise describe in the project.

#### *Annex 2. Template for the exercise limited to the selected item*

In this particular point, the Indian university/HEI should fill-in the template developing a much detailed account of the processes related to this item/statement number 3. For that purpose, the Indian university should look for an in-depth information, probably involving people from other departments and units of the university.

The purpose of this much more detailed analysis is having the chance to deepen in the benchmarking exercise of EQuAM-BI Project gathering detailed information from all universities on a very particular issue that plays a crucial part in a successful QA management system.

## ANNEX 1. The template

(When filling-in, please enlarge the boxes as needed)

EQuAM-BI Erasmus+ Project	
Template for the implementation of the Toolkit	
Nr	<u>Item from the quality assurance policy and management of the university</u>
0	<b>Higher Education Institution mission, vision and values.</b>
	<p><u>Comments, operationalisation, and evidences:</u></p> <p><i>Please, write the mission, vision and values of your university/HEI and explain the way they permeate your organisation and make it different or unique among the rest of the HEIs in your estate or at the national level.</i></p> <p><i>Specify the strategic drivers concerning quality management in the context of the specific HEI. Which are the channels used by your institution to design, put in practice and assess any quality assurance arrangement, practice or policy.</i></p>
1	<b>Proposed structure of the quality management and benchmarking department/unit: links with the governing bodies of the university</b>
	<p><u>Comments, operationalization, and evidences:</u></p> <p><i>Please, explain how your university/HEI deals with this particular item/guideline using the following statements:</i></p>





	<p>a. <b><u>Objectives of the Quality Policy</u></b> regarding the specific item.</p> <p>b. <b><u>Strategies</u></b> (plan embracing the chain of activities and procedures) to reach these quality assessment objectives.</p> <p>c. <b><u>Procedures and activities</u></b> to properly develop such activity regarding the specific item.</p> <p>d. <b><u>Indicators</u></b>, used to measure and assess the quality in that specific item.</p> <p>e. <b><u>Benchmark</u></b> used to assess the degree of fulfilment of the quality policy.</p> <p>f. <b><u>Statistics and data used as evidences</u></b> of the degree of fulfilment of the standard/criteria that will let us judge where the institution is regarding the approved benchmark.</p> <p>g. <b><u>Recommendations</u></b>, in the event the benchmark is not reached and new benchmarks in case it was reached.</p> <p>h. The quality system should include a cyclical <b><u>quality system-assessment of the appropriateness</u></b> of its objectives, strategies, procedures, and indicators.</p>
<p><b>2</b></p>	<p><b>Quality policy and objectives</b></p>
	<p><i><u>Comments, operationalization, and evidences:</u></i></p> <p><i>Please, explain how your university/HEI deals with this particular item/guideline using the following statements:</i></p> <p>a. <b><u>Objectives of the Quality Policy</u></b> regarding the specific item.</p> <p>b. <b><u>Strategies</u></b> (plan embracing the chain of activities and procedures) to reach these quality assessment objectives.</p>

	<p>c. <b><u>Procedures and activities</u></b> to properly develop such activity regarding the specific item.</p> <p>d. <b><u>Indicators</u></b>, used to measure and assess the quality in that specific item.</p> <p>e. <b><u>Benchmark</u></b> used to assess the degree of fulfilment of the quality policy.</p> <p>f. <b><u>Statistics and data used as evidences</u></b> of the degree of fulfilment of the standard/criteria that will let us judge where the institution is regarding the approved benchmark.</p> <p>g. <b><u>Recommendations</u></b>, in the event the benchmark is not reached and new benchmarks in case it was reached.</p> <p>h. The quality system should include a cyclical <b><u>quality system-assessment of the appropriateness</u></b> of its objectives, strategies, procedures, and indicators.</p> <p><b><u>QUALITY POLICY</u></b></p> <p><b><u>QUALITY OBJECTIVES</u></b></p>
3	<p><b>How the university ensures the quality of its programmes</b></p>
	<p><i><u>Comments, operationalization, and evidences:</u></i></p> <p><i>Please, explain how your university/HEI deals with this particular item/guideline using the following statements:</i></p> <p>a. <b><u>Objectives of the Quality Policy</u></b> regarding the specific item.</p>

	<p>b. <b>Strategies</b> (plan embracing the chain of activities and procedures) to reach these quality assessment objectives.</p> <p>c. <b>Procedures and activities</b> to properly develop such activity regarding the specific item.</p> <p>d. <b>Indicators</b>, used to measure and assess the quality in that specific item.</p> <p>e. <b>Benchmark</b> used to assess the degree of fulfilment of the quality policy.</p> <p>f. <b>Statistics and data used as evidences</b> of the degree of fulfilment of the standard/criteria that will let us judge where the institution is regarding the approved benchmark.</p> <p>g. <b>Recommendations</b>, in the event the benchmark is not reached and new benchmarks in case it was reached.</p> <p>h. The quality system should include a cyclical <b>quality system-assessment of the appropriateness</b> of its objectives, strategies, procedures, and indicators.</p>
<p><b>4</b></p>	<p><b>Development of teaching and other actions aimed at students</b></p>
	<p><u>Comments, operationalization, and evidences:</u></p> <p><i>Please, explain how your university/HEI deals with this particular item/guideline using the following statements:</i></p> <p>a. <b>Objectives of the Quality Policy</b> regarding the specific item.</p> <p>b. <b>Strategies</b> (plan embracing the chain of activities and procedures) to reach these quality assessment objectives.</p> <p>c. <b>Procedures and activities</b> to properly develop such activity regarding the specific item.</p>

	<p>d. <b>Indicators</b>, used to measure and assess the quality in that specific item.</p> <p>e. <b>Benchmark</b> used to assess the degree of fulfilment of the quality policy.</p> <p>f. <b>Statistics and data used as evidences</b> of the degree of fulfilment of the standard/criteria that will let us judge where the institution is regarding the approved benchmark.</p> <p>g. <b>Recommendations</b>, in the event the benchmark is not reached and new benchmarks in case it was reached.</p> <p>h. The quality system should include a periodical <b>quality system-assessment of the appropriateness</b> of its objectives, strategies, procedures, and indicators.</p>
5	<p><b>How the university ensures and enhances the quality of its academic staff</b></p>
	<p><i>Comments, operationalization, and evidences:</i></p> <p><i>Please, explain how your university/HEI deals with this particular item/guideline using the following statements:</i></p> <p>a. <b>Objectives of the Quality Policy</b> regarding the specific item.</p> <p>b. <b>Strategies</b> (plan embracing the chain of activities and procedures) to reach these quality assessment objectives.</p> <p>c. <b>Procedures and activities</b> to properly develop such activity regarding the specific item.</p> <p>d. <b>Indicators</b>, used to measure and assess the quality in that specific item.</p> <p>e. <b>Benchmark</b> used to assess the degree of fulfilment of the quality policy.</p>

	<p>f. <b>Statistics and data used as evidences</b> of the degree of fulfilment of the standard/criteria that will let us judge where the institution is regarding the approved benchmark.</p> <p>g. <b>Recommendations</b>, in the event the benchmark is not reached and new benchmarks in case it was reached.</p> <p>h. The quality system should include a cyclical <b>quality system-assessment of the appropriateness</b> of its objectives, strategies, procedures, and indicators.</p>
6	<p><b>Strategic drivers of the university concerning quality management</b></p>
	<p><i>Comments, operationalization, and evidences:</i></p> <p><i>Please, explain how your university/HEI deals with this particular item/guideline using the following statements:</i></p> <p>a. <b>Objectives of the Quality Policy</b> regarding the specific item.</p> <p>b. <b>Strategies</b> (plan embracing the chain of activities and procedures) to reach these quality assessment objectives.</p> <p>c. <b>Procedures and activities</b> to properly develop such activity regarding the specific item.</p> <p>d. <b>Indicators</b>, used to measure and assess the quality in that specific item.</p> <p>e. <b>Benchmark</b> used to assess the degree of fulfilment of the quality policy.</p> <p>f. <b>Statistics and data used as evidences</b> of the degree of fulfilment of the standard/criteria that will let us judge where the institution is regarding the approved benchmark.</p> <p>g. <b>Recommendations</b>, in the event the benchmark is not reached and new benchmarks in case it was reached.</p>

	<p>h. The quality system should include a cyclical <b><u>quality system-assessment of the appropriateness</u></b> of its objectives, strategies, procedures, and indicators.</p>
<p><b>7</b></p>	<p><b>Research development</b></p>
	<p><i><u>Comments, operationalization, and evidences:</u></i></p> <p><i>Please, explain how your university/HEI deals with this particular item/guideline using the following statements:</i></p> <p>a. <b><u>Objectives of the Quality Policy</u></b> regarding the specific item.</p> <p>b. <b><u>Strategies</u></b> (plan embracing the chain of activities and procedures) to reach these quality assessment objectives.</p> <p>c. <b><u>Procedures and activities</u></b> to properly develop such activity regarding the specific item.</p> <p>d. <b><u>Indicators</u></b>, used to measure and assess the quality in that specific item.</p> <p>e. <b><u>Benchmark</u></b> used to assess the degree of fulfilment of the quality policy.</p> <p>f. <b><u>Statistics and data used as evidences</u></b> of the degree of fulfilment of the standard/criteria that will let us judge where the institution is regarding the approved benchmark.</p> <p>g. <b><u>Recommendations</u></b>, in the event the benchmark is not reached and new benchmarks in case it was reached.</p> <p>h. The quality system should include a cyclical <b><u>quality system-assessment of the appropriateness</u></b> of its objectives, strategies, procedures, and indicators.</p>

8	<b>Community engagement and internationalization strategy</b>
	<p><i><u>Comments, operationalization, and evidences:</u></i></p> <p><i>Please, explain how your university/HEI deals with this particular item/guideline using the following statements:</i></p> <p>a. <b><u>Objectives of the Quality Policy</u></b> regarding the specific item.</p> <p>b. <b><u>Strategies</u></b> (plan embracing the chain of activities and procedures) to reach these quality assessment objectives.</p> <p>c. <b><u>Procedures and activities</u></b> to properly develop such activity regarding the specific item.</p> <p>d. <b><u>Indicators</u></b>, used to measure and assess the quality in that specific item.</p> <p>e. <b><u>Benchmark</u></b> used to assess the degree of fulfilment of the quality policy.</p> <p>f. <b><u>Statistics and data used as evidences</u></b> of the degree of fulfilment of the standard/criteria that will let us judge where the institution is regarding the approved benchmark.</p> <p>g. <b><u>Recommendations</u></b>, in the event the benchmark is not reached and new benchmarks in case it was reached.</p> <p>h. The quality system should include a cyclical <b><u>quality system-assessment of the appropriateness</u></b> of its objectives, strategies, procedures, and indicators.</p>
9	<b>Internationalization strategy</b>

	<p><u>Comments, operationalization, and evidences:</u></p> <p><i>Please, explain how your university/HEI deals with this particular item/guideline using the following statements:</i></p> <p>a. <b>Objectives of the Quality Policy</b> regarding the specific item.</p> <p>b. <b>Strategies</b> (plan embracing the chain of activities and procedures) to reach these quality assessment objectives.</p> <p>c. <b>Procedures and activities</b> to properly develop such activity regarding the specific item.</p> <p>d. <b>Indicators</b>, used to measure and assess the quality in that specific item.</p> <p>e. <b>Benchmark</b> used to assess the degree of fulfilment of the quality policy.</p> <p>f. <b>Statistics and data used as evidences</b> of the degree of fulfilment of the standard/criteria that will let us judge where the institution is regarding the approved benchmark.</p> <p>g. <b>Recommendations</b>, in the event the benchmark is not reached and new benchmarks in case it was reached.</p> <p>h. The quality system should include a cyclical <b>quality system-assessment of the appropriateness</b> of its objectives, strategies, procedures, and indicators.</p>
<p><b>10</b></p>	<p><b>Analysis and application of the outcomes to the decision-making process of the university</b></p>
	<p><u>Comments, operationalisation, and evidences:</u></p> <p><i>Please, explain how your university/HEI deals with this particular item/guideline using the following statements:</i></p>



	<p>a. <b><u>Objectives of the Quality Policy</u></b> regarding the specific item.</p> <p>b. <b><u>Strategies</u></b> (plan embracing the chain of activities and procedures) to reach these quality assessment objectives.</p> <p>c. <b><u>Procedures and activities</u></b> to properly develop such activity regarding the specific item.</p> <p>d. <b><u>Indicators</u></b>, used to measure and assess the quality in that specific item.</p> <p>e. <b><u>Benchmark</u></b> used to assess the degree of fulfilment of the quality policy.</p> <p>f. <b><u>Statistics and data used as evidences</u></b> of the degree of fulfilment of the standard/criteria that will let us judge where the institution is regarding the approved benchmark.</p> <p>g. <b><u>Recommendations</u></b>, in the event the benchmark is not reached and new benchmarks in case it was reached.</p> <p>h. The quality system should include a cyclical <b><u>quality system-assessment of the appropriateness</u></b> of its objectives, strategies, procedures, and indicators.</p>
11	<p><b>Transparency, Equity and Ethics</b></p>
	<p><i><u>Comments, operationalization, and evidences:</u></i></p> <p><i>Please, explain how your university/HEI deals with this particular item/guideline using the following statements:</i></p> <p>a. <b><u>Objectives of the Quality Policy</u></b> regarding the specific item.</p> <p>b. <b><u>Strategies</u></b> (plan embracing the chain of activities and procedures) to reach these quality assessment objectives.</p>

- c. **Procedures and activities** to properly develop such activity regarding the specific item.
- d. **Indicators**, used to measure and assess the quality in that specific item.
- e. **Benchmark** used to assess the degree of fulfilment of the quality policy.
- f. **Statistics and data used as evidences** of the degree of fulfilment of the standard/criteria that will let us judge where the institution is regarding the approved benchmark.
- g. **Recommendations**, in the event the benchmark is not reached and new benchmarks in case it was reached.
- h. The quality system should include a cyclical **quality system-assessment of the appropriateness** of its objectives, strategies, procedures, and indicators.

## Annex 2. Template for the exercise limited to the Item “3. How the university ensures the quality of its programmes” (Course life-cycle)

EQuAM-BI Erasmus+ Project	
Template for the implementation of the Toolkit	
Nr	<u>Item from the quality assurance policy and management of the university</u>
3	How the university ensures the quality of its programmes
	<p><i>Comments, operationalization, and evidences:</i></p> <p>a. <b>Objectives of the Quality Policy</b> regarding the specific item. <i>Please, explain how your university/HEI deals in-depth with this particular item/guideline using the following statements:</i></p> <p>b. <b>Strategies</b> (plan embracing the chain of activities and procedures) to reach these quality assessment objectives. <i>Please, explain how your university/HEI deals in-depth with this particular item/guideline using the following statements:</i></p> <p>c. <b>Procedures and activities</b> to properly develop such activity regarding the specific item. <i>Please, explain how your university/HEI deals in-depth with this particular item/guideline using the following statements:</i></p>

d. **Indicators**, used to measure and assess the quality in that specific item.

*Please, explain how your university/HEI deals in-depth with this particular item/guideline using the following statements:*

e. **Benchmark** used to assess the degree of fulfilment of the quality policy.

*Please, explain how your university/HEI deals in-depth with this particular item/guideline using the following statements:*

f. **Statistics and data used as evidences** of the degree of fulfilment of the standard/criteria that will let us judge where the institution is regarding the approved benchmark.

*Please, explain how your university/HEI deals in-depth with this particular item/guideline using the following statements:*

g. **Recommendations**, in the event the benchmark is not reached and new benchmarks in case it was reached.

*Please, explain how your university/HEI deals in-depth with this particular item/guideline using the following statements:*

h. The quality system should include a cyclical **quality system-assessment of the appropriateness** of its objectives, strategies, procedures, and indicators.

*Please, explain how your university/HEI deals in-depth with this particular item/guideline using the following statements:*

## **Conclusion**

The template should be filled-in under the coordination of a person responsible for quality management but collectively with the contribution of representatives of the various departments, and units involved in the processes mentioned in the template.

The University's/HEI's implementation plan has to be discussed in the one-to-one coaching session with the designed European partner, so they can be tuned in accordance to the aims of EQuAM-BI project, before being finally delivered and circulated among all the partners.

Needless to say, the final version should be checked and approved by the person in charge of contributing to the EQuAM-BI Project on behalf of the institution of higher education acting as partner representative in front of EQuAM-BI Project.

Concerning the dates for the next activities, in the meeting in Pune at Symbiosis International University, the attending Indian and European partners agreed on the following agenda:

- 6<sup>th</sup> April 2020: coaching sessions after each university/HEI had finished the two exercises of the implementation process (the 11-item general one and the specific on item Nr 3).
- 6<sup>th</sup> May 2020: final versions of the two exercises made at each university/HEI after the coaching sessions will be completed.

Madrid, March 15<sup>th</sup>, 2020