GHANA TERTIARY EDUCATION COMMISSION

FORMAT FOR ACADEMIC AUDIT REPORTING

1.0:   **Background Information**

1.1: Name of institution:

1.2: Dates on which audit was undertaken: Date Started   Date Ended

1.3   Names of auditors and accompanying GTEC staff:

1.4:   Details of staff of institution under audit:

1.4.1: Names, qualifications and designations of Principal Officers of the institution
         (Define them)

Table 1

Principal Officers	Name	Qualification	Rank	Number of Years of Relevant Experience
Chancellor				
Chairman of Governing Council				
Administrative Head eg. Vice chancellor/ Rector/Principal/President etc				

1.4.2: Names, qualifications and designations of key officers of the institution Table 2

Key Officers	Name	Qualification	Rank	Number of Years of Relevant Experience
Deputy Administrative Head eg. Pro VC/ Vice Principal/Vice Rector etc				
Finance Officer/Head of Finance				
Registrar/Director of Administration				
Librarian				
Internal Auditor				
Development Officer				

1.4.2: Names, qualifications and designations of staff of the institution that the auditors interacted with (*provide information in the template below).* Table 3

Name	Qualification	Designation

1.5 : <u>Terms of Reference (TOR)</u>

1.6 : <u>Documents Needed for the Audit:</u>

List of all documents pertaining to the TOR requested from the Institution and tick as appropriate.

Table 4: Documents Requested for the Audit

No.	Documents requested from Institution	Ava liability		Remarks
		Yes	No	
1.	Admission list of **ALL** students enrolled per programme (both hard and soft copies)			
2.	Files of **ALL** students enrolled per programme arranged according to the admission list provided			
3.	Examination results and transcripts of all students			
4.	Student Handbook			
5.	Marked scripts and Marking schemes			
6.	Broad sheets (detailing results of students in a class showing all registered courses, credits registered /obtained, grades, CGPAs, etc.)			
7.	Sample of Attendance Sheets used during examinations			
8.	Academic Board format for results (Results list of the class in alphabetical order with CGPAs showing candidate who have passed all courses, those trailing various courses, deferred, probation, withdrawals, etc.)			

9.	Examination Regulations hand book/ students' guide			
10.	Payroll for the past three months			
11.	List of lecturers and courses taught			
12.	Files of all academic staff			
13.	List of Moderators and their CVs			
14.	Moderators' report for the past two (2) academic years			
15.	List of external examiners and their CVs			
16.	External Examiners' report for the past two (2) academic years			
17.	List of permanent and part-time Staff, showing their highest qualifications			
18.	List of Council Members and their highest qualifications			
19.	Copies of minutes of Council meetings			
20.	A copy of the affiliation agreement with mentoring institution			
21.	Strategic Plan			
22.	All policies			
23.	Others (speify)			

1.7: <u>State methods used in conducting the audit</u>

2.0 Please state your observations, findings and comments under the following headings/sub-headings.

2.1 Implementation <u>of Previous Assessment Recommendations:</u>

21.1: (a) ascertain the state of implementation of GTEC
recommendations arising out of previous assessments highlighting:

(i) areas of completed implementation,
(ii) implementation difficulties, and
(iii) areas of non-compliance

2.2: Governance / Administration

Please use the checklist to evaluate the governance and administrative structures of higher educational institutions for this section.

2.3: Academic Programmes

2.3.1 Student Admissions

i. Admission Requirements

(a) State the institution's general admission requirements for all levels of programmes of the institution (e.g. PhD, Masters, Undergraduate, HND and Diploma)

(b) State additional requirements for each programme, if any (e.g. a pass in Elective Mathematics is required for Economics).

(c) Comment on the institution's admission requirements with reference to the National Minimum entry requirements for admission

ii. Admission Process

State step by step the prevailing **Admissions Procedure for each mode of entry as applicable to the institution** (e.g. SSSCE/ WASSSCE, mature, foreign and students with qualifications other than SSSCE/WASSSCE), starting from advertisement, confirmation of results, use or otherwise of committees, involvement or guidance of mentoring institution where applicable in the case of final selection of students.

iii. Admission Defects

iv. Attach as *Appendix*……, List of all students by year/level of study and programme that did not satisfy the minimum entry requirements and specific programme requirement(s) (where applicable) at the time of admission.

(a) Summary Table on admission defects for each cohort of students, i.e 1st Year/Level 100, 2nd Year/Level 200, 3rd year/Level 300, 4th year/Level 400 and other categories of students (e.g. post graduates).

(Please use the format in Table 5 below to provide information on the number of students in each year/level and programme with defects in their qualifications at the time of their admission).

Table 5: Summary of Admissions Defects

Name of Programme: …………………………………………	Year1/ Level 100	Year 2/ Level 200	Year 3/ Level 300	Year 4/ Level 400
Total No. of Students Admitted				
Description of identified defects e.g i. Total Aggregate at relevant examination in excess of required minimum aggregate (e.g. 27 instead of 24 for SSSCE).				
ii. Not passing mandatory subject(s) required for admission as per the minimum entry requirement.				
iii. Not passing specified subjects required for the programme being pursued				
iv. Examination results not authenticated by examining body.				
v. Presented only school testimonial or statement of exam results.				
vi. Name on certificate different from official name in institution.				
vii. Others (please specify).				
TOTAL				

2.3.2 Assessment/ Examinations

i.   Attach as ***Appendix……..***…Published examination Regulation for both internal and external examinations separately.

ii.   State the actual step by step examination procedure for internal and external examinations separately (starting from setting of examination questions to writing of examination).

iii.   State the actual security arrangements in place or otherwise for examination questions, during writing of examinations, invigilation, impersonation etc.

iv.   State the extent of involvement of the mentoring institution(s), where applicable, as well as stages at which they are involved.

v.   External Moderation:

(a) Are external examiners and/or moderators involved in examinations?

If so, state the stages(s)

(b) State the extent of involvement of the mentoring institution in examination?

(c) And in the selection of external examiners

(d) State the criteria used to select external examiners

vi. Marking and Grading
   (a) Are marking schemes prepared for examinations?

   (b) Please verify their use in marking scripts.

   (c) Randomly select at least 20% of marked scripts and check if the marks/grading agree with that of the results sheets in each programme.

   (d) Check external Examiner's reports on project works and dissertations: comment on their observations and whether suggestions were implemented.

2.3.3: Teaching/Learning

i. Student Workload

   a. State the institution's published students' workload in hours per week for each level of programme (e.g. certificate, diploma and bachelors).

   b. State actual students' workload as determined by timetables (confirm this by interviewing students when possible).

ii. Students' feedback

Check if there are systems/policies in place for students' feedback on:
   • Available general facilities
   • Teaching and research commitment of faculty
   • Style and efficiency of teaching • System of Administration
   • Student-staff relations.
   • Others

iii. Staff – student ratio and class size

a. Calculate staff student ratio (SSR) for each programme (Total number of students, divided by total number of staff- 3-part time staff equivalent to 1 full time).

Table 6: SSR for each programme

	Programme	Number of Teaching Staff	Number of Students	Calculated Ratio
1				
2				
3				
4				
5				
6				

b. Compare the calculated SSRs to the GTEC norms and state whether it meets the norms or not.

2.3.4 Programme Accreditation

i. List all programmes and indicate the accreditation and affiliation status (if applicable) of each using the table below.

Table 7. Programme Accreditation and affiliation status

#	Programme	Accreditation		Affiliated to:	Status		Remarks
		Active	Expired		Active	Expired	
1							
2							
3							
4							
5							

ii. Confirm approval of programmes by Mentoring Institutions

iii. Affiliation
  (a) State the name of the mentoring institution to which institution being audited is   affiliated.

  (b) Is there an Affiliation Agreement? Yes/ No.

  (c) If yes, state the period

  (d) If no, is there a memorandum of understanding (MOU) under which the affiliation is being carried out?

  (e) Are there any plans to upgrade the MOU into a proper Legal Agreement? Yes/No.

If yes, state the time frame…………………………………………………………

     (f)   Attach a copy of the current Affiliation Document (A.D) as ***Appendix…….***

     (g)   Ascertain the extent of compliance with the terms of the A.D. by each party (institution).

2.3.5: Postgraduate Programmes

i.   Check whether there are systems for maintaining academic standards for postgraduate research programme such as:

- regulations and guidance for research
- environment for supporting research of students (resource centres, access to online literature etc)
- research supervision (check list of assigned supervisors)
- monitoring and reviewing progress of projects and dissertations (Check review and presentation reports)

ii.   Check if staff teaching and supervising post-graduate programmes have terminal degrees and also of at least a rank of a senior lecturer.

2.3.6: Academic (Teaching) Staff

i.(a) Attach as ***Appendix…*….. published list of Academic Staff showing highest academic and/or professional qualification, year and where obtained by departments, course(s) taught, sex, whether full time (FT) or part time (PT), relevant teaching experience at the tertiary level, weekly workload in hours.

  (b) Confirm the list provided by checking the payroll.

     ii.   Verify authenticity or otherwise of information provided in 'i' using sources such as time-tables, payroll, random interview with students. List sources as ***Appendix…*.….

     iii.   Use the Format in TABLE 6 to provide a summary of the numbers of lecturers based on 'i' and 'ii'.

Table 8: Summary of Data on Teaching Staff Numbers by Departments

Name of Programme:	Sex	FT	PT	Recognised Professional Qualifications	Ph.D	Masters (Research)	Non Research Masters	1st Degree	Others (Specify)
1. Highest Qualifications (no.									

of Staff)										
(i)Academic	M									
	F									
(ii) Professional:										
a) Full	M									
	F									
b) Partial	M									
	F									
2. Course(s) Taught in relation to highest qualification										
☐ Relevant	M									
	F									
☐ Not relevant	M									
	F									
3.Teaching Experience at the Tertiary Level:										
a) 20 years and above	M									
	F									
b) 10 to 19 years	M									
	F									
c) 5 to 9 years	M									
	F									
d) 1 to 4 years	M									
	F									

iv. Obtain faculty's publications profile including research papers published, conferences attended and papers presented, fellowships obtained, membership of academic/professional societies and specific contributions to national/community development of each faculty since last accreditation.

v. Ascertain teaching load of staff by checking time tables and/or table/list of all lecturers and courses assigned.

vi. Compare current staff list to the one the institution presented for last accreditation to determine staff turnover or attrition rate.

Table 9: Summary of Data on Non-Teaching Staff Numbers by Departments

Name of Programme:	Sex	FT/PT		Profe-ssional	Ph.D	Masters (Research)	Non Research Masters	1st Degree	Others (Specify)
1. Higher Qualifications (no. of Staff)									
(i)Academic	M								
	F								
(ii) Professional:									
a) Full	M								
	F								
b) Partial	M								
	F								
2. Course(s) Taught in relation to highest qualification									
☐ Relevant	M								
	F								
☐ Not relevant	M								
	F								
3. Experience at the Tertiary Level:									
a) 20 years and above	M								

	F								
b) 10 to 19 years	M								
	F								
c) 5 to 9 years	M								
	F								
d) 1 to 4 years	M								
	F								

2.4 Learning Environment/ Facilities at the main campus

2.4.1 Conduct physical observation of the underlisted physical facilities and comment on their adequacy for effective teaching and learning

      a. Lecture/tutorial rooms
      b. Laboratories/ workshops and other related facilities
      c. Library facilities (space, availability and access to both physical and electronic resources.
      d. Social space for interaction for students and staff.
      e. Staff offices (considering the number of staff)
      f. Utilities (source of water, electricity)
      g. Health and Safety (fire extinguishers, emergency exits, access to emergency health service)
      h. General ambience

2.4.2 State if facilities are generally accessible to persons with disability.

2.4.3 Teaching and Learning at satellite campuses

Table 10: Nature of the following services at the satellite campuses

No.	Item	Situation with main		Remarks
		Same	Different	
1.	Time Table			
2.	Lecturers used			
3.	Internet Facilities			
4.	Library (Physical)			
5.	Library (E-facilities)			
6.	Quality Assurance officers			

2.5 Quality Enhancement

2.5.1 Internal Quality Assurance

a. Does the institution have an Internal Quality Assurance (IQAU) unit?

b. State the qualification and rank of the head of the Unit.

c. Does the institution have any policy document/ operational framework guiding the activities of the IQAU?

d. Check reports of IQAU activities to determine its functionality.

2.5.2 Strategic Plan

a. Does the institution have a strategic plan? Yes….No…. Being developed…. ..

b. If yes, comment on its state of implementation.

c. If no state when the institution intends to develop one

2.5.3 Distribution of Students across programmes

Use the format in table 4 to provide a distribution of students across programmes.

Table 11: Distribution of Students across programmes

Programme	Diploma				Bachelors								Masters			
	Dip. 1		Dip. 2		Level 100		Level 200		Level 300		Level 400		Yr. 1		Yr. 2	
	M	F	M	F	M	F	M	F	M	F	M	F	M	F	M	F

2.5.4 Graduation statistics since last accreditation.

Table 12: Graduation statistics since last accreditation

	No. of students obtaining grade						
Year	No. of students	1st Class	2nd Class Upper	2nd Class Lower	3rd Class	Pass	Fail
1							
2							
3							
4							
5							

2.5.5 Check for documented policies and procedures for the design and review of courses/programmes.

2.5.6 Tracer Studies and Engagement with Alumni

a. Does the institution conduct tracer studies on its graduates? If yes, state the last time when it was done? (Obtain a copy of the last tracer studies).

b. Indicate how the institution engages its Alumni.

2.5.7 State the systems or activities that are in place to facilitate collaboration with industry, in terms of curriculum development, course delivery, research and development.

2.5.8 Check policies and implementation process of industrial attachment/fieldwork (where applicable)

2.5.9 Certification:

     i.   Who awards certificates to graduating students?

     ii.   Describe the processes that the awarding institution undertakes prior to the award of its certificates to students?

2.6   **Policies on Gender Responsiveness, Inclusion and Collaboration** Table 13: Please provide brief descriptions on the following:

No.	Item	Availability		Description/Remarks
		Yes	No	
1.	Gender Policy			
2.	Policy on social inclusion (e.g. differently abled persons)			
3.	Guidance and counselling policy			
4.	Separate facility for Counselling			
5.	Sexual Harassment Policy			

2.7   **Financial Management**

Table 14:   Please provide brief descriptions on the following:

No.	Item	Description/Remarks
1.	Financial Regulatory Policy	
2.	Standing orders	
3.	Processes for identifying funding priorities	
4.	Processes for allocating resources (e.g. uses GTEC norms)	
5.	Name and address of external auditor	
6.	Date on which the current auditor was employed	

2.8   **Partnerships and Collaborations**

Collect information on partnerships and collaborations at

a. Institutional Level
b. National Level
c. International Level

2.9   Co- and Extra-curricular activities

Collect information on:
a. Co-curricular activities (examples -------------)
b. Extra-curricular activities (examples ----------)

2.10 General Security on campus

Collect information on the following on security on campus
a. State of general security on campus (e.g., existence of unapproved entry points)

b. Perspective of management

c. Perspective of staff on security on campus – academic ad residential areas

d. Perspective of students in hostel and academic areas, especially at night

3.0: <u>Summary of Findings</u>

Please state your findings (areas of concern) on **each** of the listed sections and subsections. *Positive findings that conform to best practice can be highlighted.*

1.0   Background information (Sections 1.1 - 1.7)

2.1   Implementation of Previous Assessment Recommendations

2.2   Governance and Administration (Eg. Checklist 1 – 6)

2.3   Academic Programmes (Section 2.3.1 – 2.3.6)

2.4   Learning Environment/ Facilities (Sections 2.4.1 - 2.4.3)

2.5 Quality Enhancement (Sections 2.5.1 & 2.5.9)

2.6 Policies on Gender Responsiveness, Inclusion and Collaboration

2.7   Financial Management

2.8   Partnerships and Collaborations

2.9   Co- and Extra-curricular activities

2.10   General Security on campus

4.0: <u>**Any other relevant observations and findings:**</u>

5.0: <u>**Recommendations to NAB (Strictly Confidential)**</u>

Please state your recommendations to GTEC based on your findings as itemised under section
3.0.

6.0: <u>**Concluding remarks:**</u>

<u>**7.0 List of Attachments**</u>

<u>**Names and Signatures**</u>**:**

Audit Team Members

	Name	Signature	Date
1.			
2.			
3.			

Accompanying GTEC staff

	Name	Signature	Date
1.			
2.			