

CENTRAL ASIAN ASSOCIATION FOR ACCREDITATION OF EDUCATION

CAAAE

Approved by the
Accreditation Council



**PROCEDURE
OF INSTITUTIONAL ACCREDITATION OF UNIVERSITIES IN
CENTRAL ASIAN ASSOCIATION FOR ACCREDITATION OF
EDUCATION**

Almaty, 2024

THE PROCEDURE OF INSTITUTIONAL ACCREDITATION IN THE CENTRAL ASIAN ASSOCIATION FOR ACCREDITATION OF EDUCATION (CAAAE)

1. The university submits an application for institutional accreditation addressed to the President of the CAAAE. The application specifies the name of the university, the legal status of the university, data on the state license for the right to conduct educational activities, the series, the number of the document of previous accreditation, information about the student body. The application is reviewed by the CAAAE management. If the management does not come to a common solution, the issue is sent to the Accreditation Council. The application is reviewed collectively by the CAAAE Accreditation Council within one month. Members of the Accreditation Council do not have the right to vote, in cases where the issue of initial consideration /rejection of an application for institutional accreditation of a higher education institution within their sphere of interest is being considered, and in order to avoid possible conflicts of interest and to ensure an open and honest discussion of the application, they leave the meeting room.

The application may be rejected for the following reasons:

- Incorrect filling of the application form.
- The university does not have a License from the Committee for Supervision of Education and Science of the Republic of Kazakhstan.
- Lack of information about the general activities of the university on the university's website. The university has the right to take into account the comments and resend the application. In case of disagreement with the decision of the Accreditation Council to reject the application, the university must submit a written application to the CAAAE Appeal Commission. This statement should include an indication of the reasons why the negative decision of the CAAAE Accreditation Council was, in the opinion of the university, unlawful (due to factual errors or inconsistencies with the current CAAAE document).

2. The process of accreditation of an educational organization is considered to have begun from the moment of registration of the application for accreditation and continues until the relevant decision is made by the accreditation body. The total duration of the institutional accreditation can last from 12 to 18 months. The President of the CAAAE decides on the commencement of the accreditation procedure. The CAAAE concludes an agreement with the university on the institutional accreditation of the university (1 month). In order to avoid possible conflicts of interest, administrative support for the university's accreditation process is provided by CAAAE staff, whose area of interest does not include the university that submitted the application.

3. The CAAAE sends the university the current version of the accreditation criteria and guidelines for conducting self-examination.

4. If necessary, the CAAAE sends staff to explain the main provisions of the standards and the accreditation procedure.

5. The university conducts a self-examination in accordance with the requirements of the CAAAE and sends a self-examination report to the CAAAE (three to five months are given for the preparation of a self-examination report by agreement of the parties).

6. If necessary, the CAAAE sends a preliminary audit to verify the data available in the self-report and additional recommendations for improving the self-report.

7. The CAAAE forms an expert commission to audit the activities of this university. The expert commission consists of at least 5 expert auditors who are specialists in evaluating the overall activities of the university, 1 foreign representative, 1 representative of industry / employers, 1 representative of the student body.

8. The university shall inform the CAAAE in writing about the withdrawal of individual members of the commission or about the agreement to accept an expert commission in this composition.

9. Based on the materials of the self-examination report, the CAAAE decides whether to continue accreditation and conduct an audit, either on the need to finalize the self-examination documents, or on non-compliance with the criteria and the impossibility of program accreditation (a maximum of 2 months is given to study the report and make a decision). In the latter case, a written opinion is sent to the university.

10. If a decision is made to continue accreditation, the chairman of the expert commission and the CAAAE will coordinate with the university the timing of the audit and the work plan of the commission at the university. Additional time is also given to adjust the self-examination report (1 month).

11. The visit of the expert commission to the university lasts at least 2 days. At the end of the visit, the chairman of the commission and the head of the university sign the Audit Protocol.

12. Based on a comprehensive analysis of the audit results and self-examination materials, the expert commission prepares a draft report on the evaluation of the university's activities, which is a detailed conclusion on the compliance or non-compliance of the accredited university with the accreditation criteria and includes a special opinion of the commission members, if it differs from the general conclusion (2-3 weeks).

13. The report on the evaluation of the university's activities, prepared by the CAAAE, is sent to the university. Within two weeks after receiving the report, the university may send comments to the CAAAE on the report or on violations of the audit procedure.

14. The CAAAE submits the report on the evaluation of the university's activities and the university's comments, if any, to the Accreditation Council, which decides on the accreditation or non-accreditation of the university (1-2 months).

15. The decision of the Accreditation Council is approved by the President of the CAAAE. The certificate of institutional accreditation, signed by the President of the CAAAE, is sent to the university. The accredited university is entered into the SAAAE register, published in the media and on the SAAAE website. Data on accredited universities are reported to the Ministry of Education and Science of the Republic of Kazakhstan (2 months).

16. If there are certain shortcomings, the accreditation is issued for a period of 1 year. At the end of the term, the CAAAE expert commission conducts an inspection to eliminate certain deficiencies and visits the educational organization. If a positive decision is made, the accreditation period is extended to 5 years. If certain deficiencies have not been eliminated within the prescribed period, the accreditation is suspended and the applicant organization is not eligible to apply for accreditation with the CAAAI within one year from the date of the decision to revoke the university's accreditation.

17. Terms of accreditation: 1 year - if one or more standards are rated "compliant with comments", but improvements can be achieved within a reasonable period of time (no more than 1 year). 3 years – if the criteria are met in general, but if there are individual shortcomings and opportunities for improvement.; 5 years – with positive results, as well as in case of re-crediting of the initial accreditation;

18. In case of non-fulfillment of the requirements put forward by the CAAAE in relation to the educational organization, the Accreditation Council has the right to make the following decisions: - temporarily suspend the accreditation of the university, - revoke the accreditation of an educational organization by excluding it from the list of the National Registry 2, which may lead to the cancellation of all previously achieved accreditation results and the obligation to go through all stages of accreditation anew if the applicant expresses a desire to be accredited again.

EVALUATION PROCEDURE

Stage 1. Preparing for the visit

Preparations for the visit begin after the university has provided a report on self-examinations in the CAAAE and an expert commission has been formed. The self-examination report must be submitted both in electronic format in three languages, and in paper with the signatures of the rector and the stamp, signatures of members of the working groups on the preparation of the self-examination report in one copy, including appendices.

The tasks of the expert commission at this stage:

1. To conduct a significant part of the assessment of the university's activities before the visit, based on the information provided by the university in the materials of the self-examination.
2. Develop a plan for additional assessment procedures during the visit and request the necessary additional information, which the university will have to provide before and/or during the visit of the expert commission. Since the task of the commission is to assess the degree of compliance with the basic standards of the CAAAE, the plan should provide an assessment of compliance with those requirements of the CAAAE that were not sufficiently reflected in the materials of the self-examination.

Participants:

1. Members of the expert commission;
2. Representatives of the university responsible for conducting accreditation;
3. CAAAE.

Step 1. Study the materials of the self-examination report

1. The CAAAE confirms receipt of the self-examination materials and transmits the necessary copies to the members of the expert commission.
2. Experts review the materials of the self-examination, contact the chairman and provide their opinion on the completeness of the materials and the compliance of the university's activities with the standards of the CAAAE. The members of the expert commission give their conclusions and send it to the chairman of the commission and to the CAAAE.
3. The decision to continue the accreditation procedure or to refuse to continue it is made by the CAAAE Accreditation Council on the basis of expert opinions. The reason for the refusal is the inconsistency of the university's activities with the standards of the CAAAE, as well as the lack of materials for conducting an audit and the need to repeat the self-examination procedure. If the Accreditation Council decides to refuse the audit, the CAAAE sends the university a written opinion on the need to finalize the self-examination documents and/or non-compliance with standards and the impossibility of accreditation of the university at the present time.

Step 2. Approval of the visit program

1. For a more efficient use of time when drawing up a program of meetings with teaching staff, students, employers, graduates and visits to laboratories, classrooms, departments, members of the commission may be divided. It is the responsibility of the Chairman of the expert commission to develop a work plan for the commission at the university. The draft plan is being developed based on the study of self-examination materials and consultations with experts. When drawing up the work plan of the commission at the university, the CAAAE pays attention to:
 - ensuring the degree of compliance with all the requirements of the CAAAE standards for the university's activities.
 - compliance of the university's management and management system with the requirements of the CAAAE.
 - preparation of a list of materials provided by the university during the visit to clarify and/or supplement the self-examination materials, if necessary.

- the productivity of meetings with university representatives in order to verify or obtain information that is missing from the self-examination.

2. Chairman of the Expert Commission:

- requests additional information from the university, specifying the time frame for its provision;

- coordinates the dates of the experts' visit with the university;

- coordinates with each member of the expert commission a preliminary work plan at the university;

- coordinates with the university the work plan of the expert commission during the visit to the university, informs the university of the dates and time of arrival and departure of experts.

3. Experts:

- prepare the necessary documents for work;

- determine the dates of the visit to the university with the chairman.

4. The university provides:

- a room equipped with a computer with Internet access, a printer and a telephone;

- documents prepared for the commission, including self-examination materials, educational and methodological documentation, samples of student papers, term papers and graduation projects, etc.

Stage 2. University visit

The visit to the university begins with a meeting of the members of the expert commission for a preliminary discussion of the plan of the external visit and ends after the members of the commission have carried out all necessary activities in accordance with the approved work plan.

Tasks of the expert commission:

1. To carry out a qualitative and quantitative assessment of the conditions that were not reflected in the written documentation;

2. Analysis of the compliance of materials prepared by the university for the accreditation of the university;

3. The employer should assess the graduates' readiness for professional activity and the compliance of their training with the modern requirements of potential consumers;

4. The student representative should analyze the university's existing student support system.;

5. Evaluate the strengths and weaknesses of the university.

Participants:

1. University representatives: university management, faculty, departments, teaching staff, graduates, employers, support staff;

2. Members of the expert commission.

The audit of the university's activities includes meetings of the members of the expert commission:

- with students;

- with the teaching staff;

- with the university administration;

- with the management of the faculty and departments;

- with representatives of employers.

Meetings with representatives of different groups are held separately.

At the beginning of the external visit, the members of the expert commission:

- exchange opinions on the compliance of the accredited program with the CAAAE standards based on the materials of the university's self-examination;

- they are discussing the tasks to be solved during the visit;

- specify the meetings and events that need to be held during the evaluation process, and their order;

- discuss issues related to the interaction of the commission members.

Chairman:

- adjusts the commission's work plan in accordance with the discussion;

- defines the duties of the representative of employers and students during the audit, as well as the meetings and events in which they participate.

CAAEE Representative:

- contributes relevant information to the draft report on the compliance of self-examination materials with CAAEE standards.

The main part:

- Meeting of experts with the university management and those responsible for accreditation, the dean of the faculty, the head of the department, teaching staff, students, employers, graduates.

The work of experts in accordance with the approved work plan:

- Discussion of the compliance of the university's activities with the standards of the CAAEE, and preparation of a draft expert opinion.

- Preparation of a draft report on the evaluation of the university's activities, which is a detailed conclusion on the compliance or non-compliance of the accredited university with accreditation standards and includes the opinions of the members of the expert commission, if they differ from the general conclusion.

- The Chairman of the commission prepares the Protocol on the external visit.

- At the final meeting of the expert commission with the university management and those responsible for accreditation, the preliminary results of the visit are discussed. The Chairman of the Commission reads out the text of the Commission's Message.

- The rector of the university and the chairman of the commission sign two copies of the Protocol. One copy of the Protocol remains at the university, the other is handed over to the representative of the CAAEE.

- The expert opinion of each expert is signed individually by the members of the commission and handed over to the representative of the CAAEE. The final draft report is signed by all members of the expert commission and submitted to the representative of the CAAEE. The main structure of the report: General description of the university and the program. This section contains:

- information about how long specialists have been trained at this university;

- information about recruitment and the number of graduates;

- License number for conducting educational activities; -data on the structure of the university, the number of implemented programs.

The main part. It contains detailed conclusions on the compliance / non-compliance of the accredited university with the standards of the CAAEE, indicating the strengths, weaknesses or disadvantages in relation to each standard. Experts should give one of the possible final estimates for each standard.:

- "corresponds",

- "complies with the recommendations",

- "consistent with the comments",

- "it doesn't match."

For each of the final grades, "consistent with recommendations", "consistent with comments" is necessary:

- point out the weaknesses or shortcomings of the program;

- provide recommendations on how to eliminate weaknesses and/or shortcomings and note whether the university has a system of measures aimed at eliminating them. The overall assessment of the degree of compliance with the standard is made as a result of the expert

commission's discussion of the assessments given by each expert. If the expert commission has not reached a consensus on the assessment of a particular standard, the expert opinions should be indicated separately with the note "Dissenting opinion".

Conclusion.

If the main part of the report highlights weaknesses or shortcomings and provides recommendations for their elimination, then the conclusion should specify the time frame within which the comments should be taken into account and the reporting forms of the university (corrective action plan, interim report) confirming their implementation. The following are the recommendations of the commission regarding an acceptable accreditation decision. The following options for accreditation solutions are possible:

To be accredited for a full term (5 years):

-in case of full compliance of the university's activities with the requirements of each criterion, if the assessment "meets" is given according to all criteria. At the same time, the expert commission may make suggestions for improving some parameters of the university's activities.

To be accredited for 3 years:

-in the case when one or more standards are rated "compliant with recommendations", and recommendations are made to eliminate weaknesses.

To accredit for a shorter period (1 year):

-if one or more standards are rated "compliant with comments", but improvements can be achieved within a reasonable period of time (no more than 1 year). At the same time, the expert commission provides a description of the detected systemic deficiencies.

To refrain from accreditation: if at least one criterion is not fully met, i.e. if the assessment "does not meet" is given.

Stage 3. University Performance Assessment Report

1. Based on the draft report prepared by the expert commission, the CAAAE prepares a Report on the evaluation of the university's activities. The report is coordinated with each member of the commission.

2. The report on the evaluation of the university's activities, prepared by the CAAAE AC, is sent to the university to correct inaccuracies, if any, in the report.

3. The report on the evaluation of the university's activities, signed by the President of the CAAAE, is sent to the university no later than three weeks after the end of the audit. Within two weeks after receiving the report, the university may send comments to the CAAAE on the report or on violations of the audit procedure.

4. The CAAAE convenes the Accreditation Council to make a decision.

5. The Accreditation Council makes a decision based on a self-assessment report, an audit report by a team of external experts, and an evaluation report on the university's activities. The Accreditation Council makes a decision on the accreditation or non-accreditation of the university.