Standard 8 Financial Planning and Management

Financial resources must be sufficient for the effective delivery of the program. Program requirements must be made known sufficiently far in advance to be considered in institutional budgeting. Budgetary processes should allow for long term planning over at least a three-year period. Sufficient flexibility must be is provided for effective management and responses to unexpected events and this flexibility must be combined with appropriate accountability and reporting mechanisms.

Sub-Standards:

Financial Planning and Budgeting
Financial Management

Comment and General Description of Good Practice

Sufficient financial resources must be available to support the effective delivery of the program. This means both maintenance of routine and continuing activities and at least some provision for new initiatives do develop the program and improve its quality. Funds are not unlimited and resources must be effectively managed to avoid waste and adjust allocations when necessary from low priority to high priority items if required, or if possible to seek alternative supplementary funding opportunities. Some guide to adequacy can be obtained by considering funding levels for comparable programs in other similar institutions. However if this is done any such comparisons must take into account any variations in circumstances that may affect funding requirements.

This standard relates not only to the adequacy of funding but also to the efficiency and flexibility of financial management by program managers. To provide for this flexibility and for appropriate accountability, delegations should provide for specified levels of expenditure to be authorized by the program manager subject to reporting and accountability requirements. Regular management reports should be provided to the program manager from the financial accounting system to permit monitoring of expenditure in relation to budget projections.

Evidence

Evidence about the quality of financial planning and management can be obtained from budget statements and audit reports. Faculty surveys can provide information about whether resources considered by them to be necessary for the program are available. Comparisons of funding provisions with similar programs elsewhere can provide useful evidence of adequacy of provision provided care is taken to take account of any differences in the management of financial systems. Reports on risk assessment should be available together with strategies for risk minimization.

Standard 8 Financial Planning and Management

Financial resources must be sufficient for the effective delivery of the program. Program requirements must be made known sufficiently far in advance to be considered in institutional budgeting. Budgetary processes should allow for long term planning over at least a three-year period. Sufficient flexibility must be is provided for effective management and responses to unexpected events and this flexibility must be combined with appropriate accountability and reporting mechanisms.

The scales below ask you to indicate whether these practices are followed in your institution and to show how well this is done. Wherever possible evaluations should be based on valid evidence and interpretations supported by independent opinions

	Is this true? Y/No/NA	**How well is this done? (enter stars)**

8.1 Financial Planning and Budgeting

Funding must be adequate for program requirements and planning must involve full cost estimates and both short and medium term cost projections. Sufficient flexibility must be provided for effective management and responses to unexpected events and this flexibility must be combined with appropriate accountability and reporting mechanisms.

The level of compliance with this standard is judged by the extent to which the following good practices are followed.

	Is this true?	How well
8.1.1 Proposals for new programs, major program changes or other activities, equipment or facilities are accompanied by business plans, which include independently verified cost estimates and cost impacts on other services and activities.	NA	
8.1.2 If new projects or activities are cross-subsidized from existing funding sources the cost sharing strategy is made clear and intermediate and long term costs and benefits are assessed.	NA	
8.1.3 Financial resources available for the program are sufficient for good quality program provision and benchmarked against costs of equivalent programs at other similar institutions.		***
8.1.4 The program coordinator (or department chair or dean) submits annual budget proposals setting out detailed program requirements and follows up as necessary to make adjustments after those proposals have been considered.	NA	
8.1.5 Budget **proposals** support strategic priorities for program development and quality improvement and consider possibilities for possible savings or alternative revenue sources as well as seeking additional funding if necessary.	NA	

Overall Assessment	***

Comment: The university is totally in charge of all financial support. Financial support is dealt with according to rules and regulations of the Ministry of Finance.

Priorities for Improvement: It would be helpful to allocate budget for individual departments

Independent Opinion	***

Comment:
Document on financial planning and budgeting from the University Financial Affairs appears to be sound. Financial resources available for the program appear to be sufficient. Budget proposals and approvals support strategic priorities for program

development.

8.2   Financial Management

Financial affairs must be effectively managed with a proper balance between flexibility for the cost center manager and institutional accountability and responsibility.

The level of compliance with this standard is judged by the extent to which the following good practices are followed.

8.2.1   Sufficient delegation of spending authority is given to the program manager (or department chair) for effective program administration

8.2.2   Delegations of spending authority are accompanied by appropriate

8.2.3 The program manager/head of department is involved in the budget planning accountability and reporting processes. process, and is held accountable for expenditure within the approved budget.

8.2.4 The accounting system provides for accurate and continuing monitoring by the program manager of expenditure and commitments against budgets.

8.2.5 Where possibilities of conflict of interest exist, either actual or perceived, the persons concerned declare their interest and refrain from participation in decisions.

8.2.6 Allowable financial carry-forward provisions are sufficiently flexible to avoid rushed end of year expenditure or disincentives for long term planning.

NA	
NA	
NA	
NA	
NA	
NA	

Overall Assessment

Comment: Section 8.2 does not apply to programs throughout KSU because there is no budget allocation for departments. Therefore, KSU make budget decisions for all departments

Priorities for Improvement: In case a budget is allocated for departments, a system should be established by KSU for all departments.

Independent Opinion

***

Comment:
Although financial management is highly centralized, the university allocates a specific budget to the college. The college on the other hand, strictly adheres to accounting procedures and reporting processes to ensure quality of financial spending.

Overall Assessment of Financial Planning and Management

8.1 Financial Planning and Budgeting

***

8.2 Financial Management

Combined Assessment

***

Comment: The lack of budget allocation make any comments on budget
Answerable by KSU budget office only

Independent Opinion

***

 Comment:
Generally, financial resources are sufficient for the effective delivery of the program. Program requirements for teaching, learning and research are well supported by management.

Indicators Considered
1.Interview with the CFAS dean
2.Interview with program manager

Priorities for improvement

Standard 9 Employment Processes

Teaching and other staff must have the knowledge and experience needed for their particular teaching responsibilities and their qualifications and experience must be verified before appointment. New teaching staff must be thoroughly briefed about the program and their responsibilities before they begin. Performance of all faculty and staff must be periodically evaluated, with outstanding performance recognized and support provided for professional development and improvement in teaching skills. (Note: Teaching staff refers to all staff with responsibility for teaching classes including full and part time staff, faculty, lecturers, and teaching assistants)

Sub-Standards:

Recruitment
Personal and Career Development

Comment and General Description of Good Practice

Faculty must be appropriately qualified and must have the detailed knowledge and experience necessary for their particular teaching responsibilities. Relevant professional experience is particularly important in professional programs. Qualifications and experience must be verified before appointments are made.

Faculty should be recruited for particular roles in the program and should be given detailed information about the program and their role as a member of a teaching team. This should also be done before appointment with further detailed orientation given by the program coordinator/manager before they begin their work. They should see themselves as members of a teaching team within a carefully planned and delivered comprehensive program, not just as instructors in a discrete subject specialty.

For all faculty and staff associated with the program feedback on performance should be provided in a constructive and supportive way and assistance given for improvements in both teaching skills and knowledge of their field.

Evidence and Performance Indicators

Evidence about quality of employment processes can be obtained from documents setting out employment and promotion processes and criteria, descriptions of orientation programs for new teaching and other staff, and procedures for performance evaluation and support for improvement. Records of assessments of quality of teaching, and teaching and other staff participation in professional development activities relevant to their employment can provide valuable evidence, particularly when they include ratios of participation and assessments of the value of those activities by the participants. Data on faculty turnover in parts of the institution can be used to indicate stability or instability in staffing. Regulations on dispute resolution combined with records of the incidence and outcomes of disputes can provide evidence about the effectiveness of those processes.

Performance indicators almost always include student/teaching staff ratios and proportions of teaching staff with levels of qualifications. However a number of others that can also be readily quantified are important such as participation ratios in professional development and scholarly activities. Some others such as rates of turnover of teaching and other staff might be selected if there are problems in the institution that need to be monitored.

Standard 9 Employment Processes

Teaching and other staff must have the knowledge and experience needed for their particular teaching responsibilities and their qualifications and experience must be verified before appointment. New teaching staff must be thoroughly briefed about the program and their responsibilities before they begin. Performance of all faculty and staff must be periodically evaluated, with outstanding performance recognized and support provided for professional development and improvement in teaching skills. (Note: Teaching staff refers to all staff with responsibility for teaching classes including full and part time staff, faculty, lecturers, and teaching assistants)

The scales below ask you to indicate whether these practices are followed in your institution and to show how well this is done. Wherever possible evaluations should be based on valid evidence and interpretations supported by independent opinions.

	Is this true? Y/No/NA	**How well is this done? (enter stars)**

9.1 Recruitment

Recruitment processes must be designed to ensure that capable and appropriately qualified teaching and other staff are available for all teaching and administrative functions, administered fairly, and that new staff are thoroughly prepared for their responsibilities.

The level of compliance with this standard is judged by the extent to which the following good practices are followed.

	Is this true? Y/No/NA	How well is this done? (enter stars)
9.1.1 Recruitment processes ensure that teaching staff have the specific areas of expertise, and the personal qualities, experience and skill to meet teaching requirements.	Y	*****
9.1.2 Candidates for employment are provided with full position descriptions and conditions of employment, together with specific information about expectations for contributing to the program as part of the teaching team. (The information provided should include details of employment expectations, indicators of performance, and processes of performance evaluation.)	Y	*****
9.1.3 References are checked, and claims of experience and qualifications verified before appointments are made.	Y	*****
9.1.4 Assessment of qualifications includes verification of the standing and reputation of the institutions from which they were obtained, taking account of recognition of qualifications by the Ministry of Higher Education.	Y	*****
9.1.5 In professional programs there are sufficient teaching staff with successful experience in the relevant profession to provide practical advice and guidance to students about work place requirements.	Y	*****
9.1.6 New teaching staff are given an effective orientation to the institution to ensure familiarity with the institution and its operating procedures, services and priorities for development.	Y	*****
9.1.7 New teaching staff are given a thorough orientation to the program to ensure they have a thorough understanding of the program as a whole, of the contributions to be made to it through the courses they teach, and of the expectations for coordinated planning and delivery of courses and evaluation and reporting requirements.	Y	*****
9.1.8 The level of provision of teaching staff (i.e. the ratio of students per teaching staff member calculated as full time equivalents) is adequate for the program and benchmarked against comparable student/teaching staff ratios at good quality Saudi Arabian and international institutions.	Y	*****

Overall Assessment

*****

Comment: The chairman of department establishes a special committee to look into the qualification of the applicant and make recommendation to the chairman. The department committee discuss the issue, if agree a request is made to the College, if agreed the request is forwarded to the faculty affair of KSU who has the final decision. The special committee is responsible for making all necessary steps to determine the candidate's qualification and all other relevant issues. A good portion of the process of hiring is done by Deanship of faculty affair at KSU.

Priorities for Improvement: A recommendation by the department is not necessarily Accepted by the deanship. For example salary negotiation is done only by the dean ship, which might sometimes be an obstacle.

Independent Opinion

****

Comment:
Recruitment processes are well established. All new faculty and staff are provided with effective orientation program to ensure familiarity with institution which includes academic and administrative policies and regulations of the college. The Deanship of Skills Development provides continuous training and development for staff to ensure that they keep abreast of the quality assurance initiatives of the institution.

9.2   Personal and Career Development

Processes for personal and professional development must be fair to all teaching and other staff, designed to encourage and support improvements in performance and recognize outstanding achievements.

The level of compliance with this standard is judged by the extent to which the following good practices are followed.

9.2.1 Criteria for performance evaluation are clearly specified in advance and made known to teaching and other staff. | Y | ***** |

9.2.2 Consultations about work performance are confidential and supportive, and occur on a formal basis at least once each year. | Y | ***** |

9.2.3 If performance is considered less than satisfactory clear requirements are established for improvement. | Y | ***** |

9.2.4 Formal performance assessments of teaching and other staff are kept confidential but are documented and retained. Faculty and staff have the opportunity to include on file their own comments relating to these assessments, including points of disagreement. | Y | ***** |

9.2.5 Outstanding academic or administrative performance is recognized and rewarded. | Y | **** |

9.2.6 All teaching and other staff are given appropriate and fair opportunities for personal and career development. | Y | ***** |

9.2.7 Junior teaching and other staff with leadership potential are identified and given a range of experiences to prepare them for future career development. | Y | ***** |

9.2.8 Assistance is given in arranging professional development activities to improve skills and upgrade qualifications. | Y | ***** |

9.2.9 Appropriate professional development activities are provided to assist with new programs or policy initiatives. | Y | ***** |

9.2.10 Teaching staff are expected to participate in activities that ensure they keep up to date with developments in their field and the extent to which they do so is | Y | **** |

monitored.

Overall Assessment

Comment: The personal career development is well established and offered by the Deanship of Skills Development. The development included workshops and conferences in addition to sabbatical leave every five years.

Priorities for Improvement: There is a need for more official department recognition for outstanding faculty members.

*****

Independent Opinion

****

Comment:

As part of the continuous process of professional development of faculty and staff, employees are expected to attend seminars, workshops, and conferences to keep abreast of the latest knowledge and skills in their field.

Overall Assessment of Employment Processes

9.1   Recruitment | ***** |

9.2 Personal and Career Development | ***** |

Combined Assessment | ***** |

Comment: As mentioned above the department can make recommendations for hiring a faculty member, but the final decision is with the Deanship of Faculty Affairs. May be it will help if the teaching and research internal committee are requested to examine the need of the department. This committee will also develop job description for each teaching and administrative purposes**.**

Independent Opinion | **** |

Evaluators Comment:
Teaching staff are highly qualified and experienced. They are thoroughly briefed about the college and the program and their responsibilities. All teaching staffs are given opportunities for professional development activities.

Indicators Considered
1.   Faculty student ratio
2.   Faculty educational qualifications
3.   Scholarly activities of teaching staff

Priorities for Improvement