



«АККРЕДИТТЕУ ЖӘНЕ РЕЙТИНГТІҢ
ТӘУЕЛСІЗ АГЕНТТІГІ» КЕМ

НУ «НЕЗАВИСИМОЕ АГЕНТСТВО
АККРЕДИТАЦИИ И РЕЙТИНГА»

INDEPENDENT AGENCY FOR
ACCREDITATION AND RATING

GUIDELINES ON INTERNAL QUALITY ASSURANCE SYSTEM

Astana 2018

Independent Agency for Accreditation and Rating

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1. GENERAL PROVISIONS

1.1. These Guidelines on internal quality assurance system (hereinafter referred to as the Guidelines) represents the Independent Agency for Accreditation and Rating Policy (hereinafter referred to as the Agency) in the field of quality and describes the internal quality assurance system developed for the implementation of this Policy.

1.2. The guidelines are designed to:

- promote quality culture in the Republic of Kazakhstan;
- ensure effective management of the Agency's processes and their continuous improvement;
- integrate, identify and establish the interaction of all elements of the Agency's quality assurance system;
 - train and develop personnel in the field of quality assurance;
 - ensure the systematized documentation of the internal quality assurance system (hereinafter - IQAS) of the Agency;
 - allow public awareness;
 - demonstrate IQAS to HEIs, educational institutions, students, the public, authorized bodies in the field of education and science, subordinate organizations in the field of education and science, regional and international quality assurance networks, recognition bodies of IAAR and other stakeholders.

1.3. The guidelines determine:

- scope of the quality assurance system;
- interaction between the processes of the Agency;
- distribution of responsibility of internal processes through appropriate internal regulatory documents;
- use of quality assurance system procedures by referencing them.

1.4. The scope of the guidelines:

- Agency administration;
- Agency departments.

1.5. IQAS distribution area:

- Agency activities in the field of quality assurance in education.

1.6. Distribution of responsibility under IQAS:

The Supervisory Board determines the general policy of the Agency IQAS and makes recommendations for its improvement. The Director of the Agency provides overall management, and is responsible for the approval of this document and the allocation of responsibility for the processes of the Agency.

2. REGULATORY REFERENCES

These Guidelines on Internal Quality Assurance are designed taking into consideration the requirements of the following regulatory documents:

Labor Code of the Republic of Kazakhstan dated November 23, 2015.

On taxes and other obligatory payments to the budget, the Tax Code of the Republic of Kazakhstan as of December 25, 2017.

Law of the Republic of Kazakhstan "On Technical Regulation" dated November 9, 2004.

The Law of the Republic of Kazakhstan "On Education" dated June 27, 2007.
On Amendments to the Law of the Republic of Kazakhstan "On Education" dated July 8, 2018.

Law of the Republic of Kazakhstan "On Science" dated February 18, 2011.

Law of the Republic of Kazakhstan "On accreditation in the field of compliance assessment" as of July 5, 2008.

Law of the Republic of Kazakhstan "On public procurement" as of December 4, 2015.

The strategic development plan of the Republic of Kazakhstan until 2020, approved by the Decree of the President of the Republic of Kazakhstan dated February 1, 2010.

Decree of the President of the Republic of Kazakhstan "On approval of the State Program for the Development of Education and Science of the Republic of Kazakhstan for 2016-2019" dated March 1, 2016.

Decree of the Government of the Republic of Kazakhstan dated August 23, 2012 No. 1080 "On Approval of State Compulsory Educational Standards of the Corresponding Levels of Education" dated March 1, 2016.

State of the Nation Address of the President of the Republic of Kazakhstan H.E. N. Nazarbayev dated October 5, 2018.

Order of the Minister of Education and Science of the Republic of Kazakhstan "On approval of the Rules for recognition of accreditation bodies, including foreign ones" as of November 1, 2016.

Order of the Minister of Industry and Trade of the Republic of Kazakhstan "On approval of the forms of accreditation documents in the field of compliance assessment and standard forms of pre-accreditation and post-accreditation agreements".

3. TERMS, DEFINITIONS AND ABBREVIATIONS

This document was developed based on terms and definitions given in the regulatory documents and contained herein.

4. Internal quality assurance system

To ensure the quality of services, the Agency has developed, documented, implemented and maintained in working condition, as well as constantly improving the quality assurance system based on the requirements of recognition bodies. IQAS ensures the implementation of the Quality Policy.

The Agency defines the following IQAS processes:

On management: internal documents; external documents; organizational documentation; official documentation; archiving.

On the management's responsibility: analysis of the IQAS; planning to improve the activities of the Agency; monitoring the implementation of plans to improve the Agency operations.

On resource provision: improvement of material and technical base; professional development of managers and experts; attracting competent staff and competent experts.

On continuous cycle: development of standards and guidelines; planning of accreditation procedure; the conclusion of agreements with educational organizations; conducting training workshops for educational organizations; review of the self-assessment report of educational organization (EO) and (or) study programme (SP); the formation of the EEP composition; organization of the EEP work; holding a meeting of the Accreditation Council; appeal; post-accreditation monitoring; rating studies of educational organizations and study programs; edition of the journal "Education. Quality Assurance; internal verification; corrective and preventive actions.

To support the effectiveness of the processes, the following indicators are defined:

- for the process of managing non-compliant services - the number of educational organizations and/or study programs that have not prepared self-assessment reports that meet the standards;
- the number of EEPs that did not prepare reports on time, or prepared reports that do not meet the requirements of the Agency;
- the number of EEP, incorrectly assessing the compliance of educational organizations with standards;
- the number of incorrectly generated EEP reports;
- internal inspections - the number of inconsistencies that recur after taking corrective and preventive actions;
- for the procurement process - the number of purchased defective products (equipment, office equipment);
- marketing work - the number of educational organizations wishing to be accredited by the Agency;

In the corporate documents of IQAS, methods and criteria for ensuring the effectiveness of processes have been developed.

The IQAS processes are monitored for the continuous improvement purposes. The data obtained as a result of monitoring are analyzed for the precise process improvement measures.

IQAS processes are provided with the necessary resources and information.

The Agency's documentation on IQAS is aimed at ensuring a common understanding of the Agency's Policy and Development Strategy.

The developed, documented, implemented and maintained documentation of the Agency's IQAS includes: these Guidelines; Agency's development strategy; standards and guidelines for EO and SP assessment; external documents of recognition bodies, including ESG, WFMO standards, etc .; regulations governing accreditation and rating studies; internal regulatory documents of the Agency governing activities in the field of accreditation and rating studies of the Agency; Agency research results; regulations, job descriptions and other documents regulating the activities; records and their forms/templates; report on the activities of the Agency. The IQAS documents are published in paper and (or) electronic formats.

The process of managing records is carried out in accordance with the Rules for Documentation and Management of Agency Records, which determine the procedure for recording, completing and storing documents based on the results of the accreditation process.

5. RESPONSIBILITY OF MANAGEMENT

The Agency's management organizes communicating to staff the activities in the field of IQAS, the implementation of the Development Strategy, and the requirements of stakeholders, including legislative and regulatory documents.

The development strategy is developed and maintained to meet the intentions of the Agency, includes the mission, purpose, objectives, values, obligations in the field of IQAS, creates the basis for the analysis and definition of strategic goals.

The implementation plan for the Agency's Development Strategy is communicated to staff and experts. The strategic plan includes commitments to improve IQAS. Development, implementation and elaboration of IQAS are planned according to the development strategy and work plans of the Agency.

The distribution of responsibility and authority at the Agency is determined by the IQAS documents, plans of the Agency, decisions of the founder, protocols of advisory nature of the Supervisory, Accreditation and Expert Councils; orders of the Director, job descriptions and regulations on departments. Responsible for bringing information to educational organizations are heads of projects and managers.

Public awareness processes are developed in the documentation and records management rules. Public awareness in the Agency is carried out by the following means: media, website, social networks, seminars, webinars, publications and electronic resources. Regulatory and organizational documents, including accreditation standards, are available on the Agency's website.

The analysis of IQAS is a mandatory process that contributes to the efficiency of the Agency's activities and is conducted regularly, and the results of the analysis are reviewed at Agency meetings with management. IQAS is improved based on analysis of the activities, the internal and external audit of the Agency, taking into account the analysis of the survey of educational organizations and experts.

An analysis of a survey of educational organizations and experts is carried out by an information and analytical project once a year, and its results are reviewed by the Expert Councils for developing recommendations on IQAS improvement methods to be submitted to the Agency's management.

The recommendations of the Expert Councils based on the analysis of the survey of educational organizations and experts are reviewed and implemented at the discretion of the Agency's Director, as appropriate.

The current analysis of the Agency's activities in the framework of IQAS is carried out during weekly meetings of the Agency's management and staff.

The input data for the IQAS analysis are: information from stakeholders; requirements imposed by the Ministry of Education and Science of the Republic of Kazakhstan on educational institutions; the results of internal and external audits; reports of educational organizations on self-assessment and post-accreditation monitoring; the results of the EEP; results of post-accreditation monitoring; results of a rating study; information on non-compliant products of the Agency; recommendations of working groups and collegial bodies on the improvement of IQAS; changes in education affecting IQAS (legislation, standards, new technologies, actions of competitors, and so on); data from the previous analysis of the IQAS, the implementation status of the decisions made and other information.

The output data of the IQAS analysis is issued by order of the Director and includes decisions on the definition of the Plan for the implementation of the IAAR Development Strategy for the coming year; making adjustments to the Development Strategy or developing a new Strategy for the upcoming period; increasing the effectiveness of IQAS; improvement of the Agency's activities; supporting the work of the working groups and initiatives of the Agency staff; provision of resources necessary for the IQAS functioning.

6. RESOURCE MANAGEMENT

The necessary resources to increase the satisfaction of the stakeholders, the implementation and maintenance of the IQAS are determined during the planning process.

The overall responsibility for providing resources for IQAS rests with the Director of the Agency. Partial responsibility for the provision of resources for IQAS and the corresponding powers are delegated by the Director's resolution.

The most important resource for assuring the quality of Agency services is the staff. The process of staff recruitment, training and development includes: determining personnel requirements, searching for and selecting applicants for vacant

positions, setting a probationary period for new employees, continuous staff development, and disseminating the experience gained among employees. Requirements for personnel are defined in job descriptions.

For the purpose of intensive dissemination of knowledge, experience and skills, working groups are created in the Agency, which ensures the involvement of staff and experts in the process of IQAS improvement.

The Agency has established requirements for experts, approved Code of Ethics of an external accreditation expert. Experts are trained at special advanced training workshops. The Agency establishes the Expert Council on the recommendation of expert community in accordance with the Regulations on Expert Councils.

In order to continually improve the competence of staff the Agency plans and conducts training of staff and experts with subsequent performance evaluation. Records on training of personnel and experts are kept, as well as measures are being taken to ensure the IQAS awareness among staff and experts.

Requirements for staff competence are defined in job descriptions, and requirements for experts are defined in the Regulations on the external expert panel, as well as Regulations of expert activities of an external expert and on training, retraining and advanced training of external experts of the Agency.

Agency staff regularly raises their professional level by participating in seminars, training workshops, conferences, forums, as well as training courses both nationally and internationally. The Agency provides training of experts in accordance with the Regulations on the External Expert Panel, on the regulation of expert activities of an external expert and on the training, retraining and advanced training of external experts.

The Agency's operational environment is organized through: an internal information exchange system; establishment of permanent and long-term relationships with educational organizations and partners; providing IQAS with the necessary financial resources; creating conditions for the disclosure of the creative potential of individuals, including work in working groups; maintaining a proper Agency team environment.

In accordance with the legislative requirements of the Republic of Kazakhstan, the Agency takes measures for occupational safety, labor protection, ecology, fire safety, sanitation and emergency situations. Activities in these areas are developed and tested according to the requirements of the relevant state supervisory authorities.

7. RENDERING ACCREDITATION SERVICES FOR EDUCATION ORGANIZATIONS AND (OR) EDUCATIONAL PROGRAMS

The agency is planning an accreditation process in accordance with the requirements established for accreditation bodies.

Planning of the accreditation process includes: setting goals, conducting activities, setting deadlines, resource requirements, work load distribution among Agency staff, quality control measures for the accreditation process, the need for

records and documents, conformity assessment processes and post-accreditation monitoring of educational institutions and (or) study programs. Planning also identifies the need for developing or improving accreditation processes.

The main input information for the provision of the Agency's accreditation services are consumer requirements for confirming the compliance of educational organizations with the requirements of standards. Therefore, the Agency focuses in external activities on processes related to educational organizations and stakeholders.

The Agency identifies the requirements of the recognition authorities, the authorized body in the field of education and science, summarizes and systematizes them. If necessary, the Agency based on such requirements makes changes and additions to the content of the standards for accreditation and internal regulatory documents. The Agency identifies consumer requirements through surveys of educational organizations, employers, EEP members, students and employees of educational organizations.

The Agency determines, identifies and analyzes the requirements of educational organizations, before making commitments in the form of an agreement (contract). Amendments to customer requirements are agreed and documented. The Agency carries out activities to maintain communication with educational organizations. Records of feedback with educational organizations, including complaints and appeals, are recorded and maintained on a regular basis.

Communication is maintained with educational organizations that have been accredited by the Agency and great attention is paid to the processes of informing consumers through: promotional materials (booklets, suggestions, etc.); publication of information on the website; participation in exhibitions, conferences and other promotional events.

External evaluation of educational organizations and (or) educational programs is carried out with the aim of providing advice and (or) methodological assistance to improve IQAS in the organization of education and assuring the quality of education.

The Agency pays special attention to maintaining communication with educational organizations in the post-accreditation period. To this end, the organization of education is developing a plan for the implementation of the EEP recommendations, which is agreed with the Agency. In the course of post-monitoring, the post-monitoring project manager, jointly with experts, analyzes the implementation of the recommendations and reports on the degree of their implementation at the meeting of the Accreditation Council.

The agency plans to develop standards and guidelines in compliance with the requirements of the recognition authorities. In the process of planning the development of methodological support of accreditation, implementation stages are determined, if necessary, in accordance with the requirements of the laws and regulations of the Republic of Kazakhstan and international quality assessment standards. Each stage of development goes through mandatory procedures for analyzing, verifying and validating results.

The input data for the development of methodological support for accreditation are: requirements of recognition authorities, requirements and recommendations of international networks in the field of quality assurance, of which the agency is a member, requirements of an authorized body in the field of education, requirements of the Agency related to the composition of disciplines, an archive of previous developments.

The output data of the development of methodological support for accreditation are: standards, guidelines, methodology instructions, manuals, stands and so on. All guidance papers must comply with the laws and regulations in force in the Republic of Kazakhstan and the requirements of recognition bodies.

Guidance papers are analyzed at a meeting of the Agency's management on the recommendation of the Advisor, and, if necessary, at the Accreditation Council. The purpose of this analysis is to ensure that guidance paper complies with the laws and regulations of the Republic of Kazakhstan and international quality assurance requirements.

The results of the analysis are recorded in the minutes of meetings. On the basis of an extract from the relevant protocol, or a decision of the management, guidance papers are replicated and its use is permitted.

Methodical developments are verified through the review procedure. Responsibility for the quality of guidance paper lies with the authors, and those who allow the use of guidance papers.

Accreditation standards are developed based on standards and guidelines of international networks in the field of quality assurance and based on national requirements. Accreditation standards are reviewed by Kazakhstan and foreign experts. The reviewers are representatives of stakeholders: employers, public figures, representatives of state bodies. Accreditation standards are recommended for use by the Expert Council.

Validation (approval) of guidance papers is carried out at various levels of the Agency depending on their content. If there is a need for amendments in guidance papers, the authors develop the necessary amendments and (or) additions and submit them for approval (review). At the same time, the process of approval is similar to the process of issuing and publishing guidance papers.

The accreditation process is carried out in accordance with the standards and regulations of the agency and is initiated by the organization of education through application. Based on the results of the educational organization compliance analysis with the Threshold Requirements, the Agency makes a decision on concluding a contract and determines the cost of services. The organization of education conducts self-assessment of its activities (in general or in the context of educational programs).

The composition of the EEP is formed and approved by the Director of the Agency on the nomination of heads of projects. The composition of the EEP is coordinated with the organization of education in order to prevent conflict of interest. The procedure for the formation of the EEP composition is defined in the relevant regulations. The EEP evaluates the compliance with the standards of the Agency and

generates a report including recommendations from the educational organization and the Accreditation Council.

The Accreditation Council holds a discussion of the self-assessment results and the external visit of EEP. When the Accreditation Council takes a positive decision, the Agency sends a certificate of institutional and (or) specialized accreditation, signed by the IAAR Director to the educational organization. Subsequently, the decision on accreditation is sent to the Ministry of Education and Science of the Republic of Kazakhstan for inclusion in the Register 2, 3 and is posted on the Agency's website.

When the Accreditation Council takes a negative decision, the Agency sends a letter to the educational organization. The decision of the IAAR Accreditation Council can be appealed by the educational organization following the established procedure, as defined in the Service Agreement and the Regulations on the Commission for consideration of appeals and complaints.

The EEP's visit is carried out to validate self-assessment reports of HEIs and assess compliance with Agency standards. The decision on accreditation, refusal to accredit the educational organization, suspension, revocation of the certificate of institutional and specialized accreditation is taken by the Accreditation Council by open vote.

The Accreditation Board is a consultative and advisory body of the Agency created for the collegial and public review of materials submitted by educational organizations, with the aim of considering the issue of awarding the status of an accredited educational organization and (or) educational program.

The Accreditation Council includes representatives of state bodies, non-governmental organizations, educational organizations, research institutions, representatives of students and employers. The Accreditation Council is formed and operates in accordance with the Regulations on the Accreditation Council.

In the process of drafting the list of educational organizations, each of them is assigned an identification number of the Agency. If necessary, it is possible to track the accreditation status based on records or to check the Files register in e-databases. Identification is used during post-accreditation monitoring and during re-accreditation procedure.

8. MONITORING, MEASURING, ANALYSIS AND IMPROVEMENT

The Agency is constantly improving its operations in order to ensure the high quality of the services provided. The Agency's regulatory documents present the methods and processes of planning, monitoring, measuring, analyzing and improving, which allow: to determine the compliance of the activities of educational organizations with the established requirements of the Agency; ensure that IQAS is consistent with the requirements of recognition agencies; constantly improve the effectiveness and efficiency of IQAS. The Agency uses an external assessment of the

quality of its work by the recognition bodies as a tool for measuring, analyzing and improving its performance.

The Agency monitors information on the satisfaction of educational organizations in order to improve the accreditation process, improve methodological support and to determine lists of current standards.

The Agency conducts an internal inspection (audit) of efficiency and productivity in accordance with the approved plan of activities annually. An internal audit is conducted to assess the effectiveness and performance of IQAS in accordance with the requirements established by the management of the Agency. Responsibility for conducting an internal audit of performance and productivity, preparing a report on the results of the audit and maintaining records rests with the head of the working group. The results of the internal audit are taken into account when developing the Agency's annual development plans.

IQAS processes are monitored in order to determine their effectiveness, which includes: measurement of results; management's analysis of IQAS processes; analysis and discussion of plans for the implementation of IQAS processes at meetings of the Agency and collegial bodies; analysis of the results of internal and external audits; quality control of the implementation of accreditation processes of educational organizations and (or) educational programs.

If the processes do not achieve the expected results, then corrective actions are developed. IQAS processes are designed in accordance with the requirements of recognition bodies. The output of the process design is the IQAS document. To confirm their adequacy, scheduled events are held. The data obtained are analyzed in order to improve the processes of IQAS.

The agency carries out accreditation and post-accreditation procedures on a planned basis. In preparation to such procedures, standards are developed, agreed and approved, and, if necessary, new criteria and assessment methods are introduced. It is mandatory to keep the records, confirming implementation of accreditation stages and the EEP's external visit. After accreditation, post-accreditation monitoring is carried out.

Non-accredited educational organizations and/or educational programs are identified after or during the accreditation process. A list of educational organizations and (or) educational programs that have not been accredited is being compiled, and corrective measures are being taken. The Agency has developed Regulations on the Commission for Review of Appeals and Complaints.

For the effectiveness of IQAS and to improve performance, the Agency conducts an analysis of: information about the satisfaction of educational organizations, employees, experts, including feedback and questionnaires; information about educational institutions; information on the composition of the EEP; accreditation results; characteristics, criteria and trends in the field of accreditation, including the possibilities of applying preventive actions; information from external sources about new technologies, amendments in the field of accreditation.

The Agency is committed to continuously improve performance through: development strategies; involvement of staff and experts in working groups on continuous improvement of IQAS; internal audits of IQAS; management analysis of the IQAS; corrective and preventive actions.

To eliminate the causes of nonconformities in order to prevent their recurrence, the Agency develops and takes corrective actions, which include: analysis of nonconformity; determination of causes of nonconformity; assessment of necessary actions to prevent recurrence; identification and implementation of necessary actions; analysis of the results of actions taken. To eliminate the causes of potential nonconformities, the Agency develops and takes preventive actions.

APPENDIX A - QUALITY ASSURANCE POLICY

The Agency, in the presence of high research potential, modern material and methodological base, is recognized as the Quality Assurance Agency competitive at the national and international scales by the accreditation body.

Supporting the strategic objectives of the state in all fronts through reforming the education system, the Agency's Quality Policy is focused on the **continuous development** and provision of quality services in the field of quality assessment for consumers at all levels: the state, society, the education system of the Republic of Kazakhstan, educational organizations, students. Work with **consumers** of services aims to comply their requirements and is based on the principles of **feedback and mutually beneficial partnership** based on maximum responsibility for the commitments made.

The Agency pays priority attention to the formation of a **quality culture, continuous improvement** of the internal quality assurance system that meets the requirements of international and Kazakhstani recognition bodies, ensuring unity of policy and development strategy.

The management establishes the internal environment for the **full involvement** of all the Agency's employees in achieving the set strategic goals and in solving the tasks of the organization, taking care to ensure **competence, awareness and training**. The agency attracts competent national and international experts for accreditation.

For accreditation procedures and rating studies, **systemic and process approaches** are used in the management of activities and resources.

The development of the Agency is based on the principles of **continuous improvement** of the management system of the Agency; improvement of the accreditation process, integration of science and education, introduction of innovations in order to respond flexibly to the social demand of society and market requirements. Continuous improvement of activities and ensuring their **effectiveness** is the constant goal of the Agency.

The Agency **makes decisions** that are consistent with the Policy and Development Strategy, based on **objective information and facts** obtained in the processes of analysis, evaluation, monitoring and performance measurement.

The agency is interested in **developing sustainable relations** with partners that ensure the fulfillment of the established requirements on acceptable terms. The Agency conducts a substantial collaboration with educational and research organizations, recognition agencies and accreditation agencies.

Independent Agency for Accreditation and Rating