

Regulatory Framework for awarding Affiliation to colleges/ institutes by Sindh HEC

Sindh Higher Education Commission Act, 2013 empowers Sindh HEC to:

- *Monitor and evaluate performance of institutions via the Charter Inspection & Evaluation Committee (CIEC)*
- *Advise the government on proposals for granting university/DAI charters*
- *Require institutions to submit reports and comply with quality standards*
- *Carry out inspections and take corrective action including closure.*

CIEC conducts institutional inspections and provides criteria and forms for evaluation of academic and governance standards.

Federal HEC affiliation policy (2024) requires universities to obtain an NOC before affiliating colleges and to report all affiliations on the HEC portal, with penalties for non-compliance (e.g., non-attestation of degrees).

Sindh HEC and Federal HEC operate in a shared, though sometimes contested, regulatory space, especially since higher education is on the concurrent list after the 18th Amendment.

Proposed Regulatory Mechanism Aligned with Sindh HEC Framework

1. Authority & Scope

Applicability:

All **public and private universities** in Sindh and their **affiliated degree colleges/Degree-Awarding Institutions (DAIs)**.

Legal basis:

Sindh HEC Act 2013 (monitoring, evaluation, advice on charters, quality assurance oversight).

Federal HEC Affiliation Policy (NOC requirement and reporting).

Core Principles:

- Legal compliance
- Quality assurance continuity
- Public transparency
- Progressive enhancement

2. Institutional Eligibility Preconditions

2.1 Legal & Governance Requirements

Before university affiliation of any college/DAI, the institution must:

- Be registered with Sindh HEC/CIEC for evaluation if private.
- Comply with provincial business registration laws (company/society/trust)
- Have a Governing Body with documented roles, conflict-of-interest policies, and academic autonomy

3. Academic & Staff Criteria

Affiliation will only be granted to the institution which has:

- Qualified permanent faculty (with PhD/Master's as per HEC/Sindh HEC criteria)
- Approved curricula aligned with HEC Precepts, Standards & Guidelines (PSG)
- Learning support (library, labs, ICT, LMS)

4. Affiliation Approval Process

Step 1: Pre-Application Screening (University)

The university conducts an initial screening using nationally recognized QA benchmarks (HEC PSG).

→ Maintain a risk-based dashboard with parameters such as faculty qualifications, infrastructure, and past QA results.

Step 2: Submission to Sindh HEC/CIEC

The affiliating university submits the following to CIEC portal:

- ✓ Institutional profile and legal status
- ✓ Self-Assessment Report (SAR) aligned with QA standards
- ✓ Evidence of governance and faculty competency
- ✓ Infrastructure documentation

Step 3: CIEC Verification & Visits

CIEC will review submissions and may conduct:

- ✓ Desk assessment
- ✓ On-site inspection with senior QA inspectors
- ✓ Verification of teaching resources, labs, library, faculty, and student services

Findings feed into an Affiliation Recommendation Report.

Step 4: Decision & NOC Integration

Based on CIEC report:

- Sindh HEC issues an NOC (conditional/final) for affiliation
- University may then grant formal affiliation

- ✓ NOC validity should be time-bound (e.g., 3 years)
- ✓ Must include program-specific conditions

5. Affiliation Agreement

An affiliation letter/agreement between the university and the college/DAI must specify:

- Duration and review cycle
- Roles & responsibilities
- Reporting obligations to Sindh HEC/HEC
- Sanctions for non-compliance
- Student protection clauses (e.g., clear pathways on de-affiliation)

6. Monitoring, QA & Reporting

6.1 Internal QA (Institution)

Every affiliated institution must establish an Internal Quality Assurance Cell (IQAC) responsible for:

- ✓ Program review
- ✓ Faculty development
- ✓ Annual QA reporting

6.2 University Monitoring

Universities must conduct:

- ✓ Annual academic audits
- ✓ Examination and assessment audits
- ✓ Faculty sufficiency reviews
- ✓ Compliance checks against their own affiliation standards

Universities upload all monitoring reports to Sindh HEC/CIEC portal.

6.3 Sindh HEC/CIEC QA Oversight

Sindh HEC/CIEC will:

- ✦ Conduct periodic and random inspections
- ✦ Grade institutions (public reporting)
- ✦ Require corrections and follow-up reports
- ✦ Suspend or revoke affiliation if standards fall short

7. Examination & Degree Assurance

- ✓ Universities must ensure robust assessment systems and external examiners.
- ✓ Degrees issued by affiliated institutions must be formally registered with the university and Sindh HEC/HEC QA systems.
- ✓ Universities and affiliated colleges shall comply with HEC regulations on degree attestation and accreditation.

8. Student Protection & Transparency

Affiliation status, expiry dates, and QA grades should be publicly available on:

- ✓ Sindh HEC portal
- ✓ University website
- ✓ College notice boards

9. Enforcement, Sanctions & Legal Compliance

If an affiliated institution falls below standards:

- ✓ Conditional improvement plan issued
- ✓ Temporary suspension of new admissions
- ✓ Referral to Sindh HEC for oversight
- ✓ De-affiliation and possible closure action

Integration with Federal HEC

While Sindh HEC provides provincial QA and institutional oversight, universities must also comply with Federal HEC affiliation policy (e.g., NOC, portal reporting, degree recognition standards).

10. Periodic Review & Policy Updates

Standards and procedures should be reviewed every 2–3 years to align with:

- ✓ Evolving QA benchmarks (national and international)

- ✓ Federal Sindh legal and constitutional developments
- ✓ HE sector needs

A. AFFILIATION ELIGIBILITY & COMPLIANCE CHECKLISTS

A1. Institutional Eligibility Checklist

(To be completed by affiliating university and verified by CIEC)

1. Legal & Governance Compliance

- Registered entity (Trust / Society / Company)
- Governing Body notified and functional
- Statutes / Rules approved by Governing Body
- Conflict of Interest Policy available
- Academic autonomy documented
- No adverse regulatory findings / blacklisting

2. Academic Capacity

- Programs aligned with HEC NCRC / approved curricula
- Learning outcomes clearly stated (OBE-based where applicable)
- Course files maintained
- Academic calendar approved
- Student–teacher ratio within limits
- External moderation mechanism defined

3. Faculty & Human Resources

- ≥70% full-time faculty
- Faculty qualifications meet HEC / Sindh HEC criteria
- Faculty appointment letters verified
- Faculty workload policy documented
- Faculty development program in place

4. Infrastructure & Learning Resources

- Purpose-built classrooms
- Functional laboratories (discipline-specific)
- Library (physical + digital access)
- IT infrastructure & LMS
- Student support services available

5. Financial Sustainability

- Audited financial statements (last 3 years if available)
- Budget allocation for academic activities
- Salary payment mechanism verified
- Student fee transparency

6. Quality Assurance

- IQAC established and notified
- QA policy approved
- Annual Quality Report (AQR) prepared
- Student feedback system functional

7. Student Protection

- Grievance redressal committee
- Refund & withdrawal policy
- Teach-out policy (in case of de-affiliation)
- Disclosure of affiliation status

B. SELF-ASSESSMENT REPORT (SAR) TEMPLATE

(Mandatory submission by affiliating institution / college)

SECTION 1: Institutional Profile

Name, address, legal status
Ownership & governance structure
Programs offered (discipline-wise)
Proposed affiliating university

SECTION 2: Governance & Management

Governing Body composition & meetings
Academic decision-making structure
Compliance with Sindh HEC Act & regulations
Conflict of interest controls

SECTION 3: Academic Programs & Curriculum

Program objectives & learning outcomes
Curriculum alignment with HEC standards

Teaching & learning strategies
Assessment methods & moderation
External examiner mechanism

SECTION 4: Faculty & Staff

Faculty list with qualifications (tabulated)
Full-time vs part-time ratio
Recruitment & promotion policies
Faculty development initiatives

SECTION 5: Infrastructure & Learning Resources

Classrooms, labs, equipment
Library resources & subscriptions
ICT facilities & LMS
Health, safety & accessibility

SECTION 6: Students & Support Services

Admission criteria & procedures
Student demographics
Counseling, career guidance
Grievance redressal system

SECTION 7: Quality Assurance

IQAC structure & TORs
Internal audits & reviews
Student feedback analysis
Continuous improvement actions

SECTION 8: Financial Sustainability

Financial model
Fee structure
Budget allocations
Audit & controls

SECTION 9: Compliance Declaration

Signed declaration by:

- Head of Institution
- Chairperson Governing Body

C. PEER REVIEW / INSPECTION TORs

(For CIEC & University-appointed panels)

C1. Purpose

To independently evaluate the academic, governance, and quality assurance capacity of an institution seeking affiliation, in line with Sindh HEC regulatory requirements.

C2. Composition of Peer Review Panel

Minimum **3–5 members**:

1. Senior academic (Chair)
2. Subject specialist
3. Quality assurance expert
4. (Optional) Industry / professional body nominee

C3. Scope of Review

The Panel shall assess:

Governance & legal compliance
Academic standards
Faculty adequacy
Infrastructure & resources
QA mechanisms
Student protection measures

C4. Methodology

- ✓ Review of SAR and supporting documents
- ✓ On-site inspection
- ✓ Interviews with:

- Management
- Faculty
- Students
 - ✓ Physical verification of facilities

C5. Evaluation Criteria

Each area rated as:

- Fully Compliant
- Substantially Compliant
- Partially Compliant
- Non-Compliant

C6. Reporting Requirements

Panel shall submit:

- Executive summary
- Strengths & good practices
- Deficiencies & risks
- Mandatory conditions (if any)
- Recommendation:
 - Full Affiliation
 - Conditional Affiliation
 - Defer
 - Reject

C7. Ethical & Confidentiality Obligations

- ✓ No conflict of interest
- ✓ Confidential handling of information
- ✓ Objective, evidence-based judgments

D. POST-AFFILIATION MONITORING CHECKLIST

(Annual)

- Intake within approved limits
- Faculty sufficiency maintained
- Examination moderation complied

- IQAC functioning verified
- Annual report submitted to Sindh HEC
- No misleading advertisement

E. WHY THIS PACKAGE IS STRONG (Policy Rationale)

- ✓ Fully consistent with Sindh HEC Act 2013 & CIEC mandate
- ✓ Mirrors HEC PSGs without jurisdictional conflict
- ✓ Introduces risk-based affiliation control
- ✓ Protects students, degrees, and public trust
- ✓ Practically enforceable by universities & Sindh HEC

If you wish, next I can:

1. Convert this into Sindh HEC Regulations (legal drafting style)
2. Prepare CIEC inspection scoring rubrics
3. Draft Affiliation Agreement templates
4. Align it for engineering / medical / general universities separately

CIEC INSPECTION SCORING RUBRIC
(For Affiliation of Degree Institutions with Universities in Sindh)

1. SCORING FRAMEWORK OVERVIEW

1.1 Total Score

Maximum Score: 100 Points

1.2 Compliance Bands

Score Range	Institutional Status	Regulatory Action
85–100	Fully Compliant	Full Affiliation (5 years)
70–84	Substantially Compliant	Conditional Affiliation (1–2 years)
50–69	Partially Compliant	Deferral + Corrective Action
< 50	Non-Compliant	Rejection / De-Affiliation

1.3 Critical Fail Conditions (Automatic Failure)

Regardless of total score, affiliation shall not be granted if:

- Fake / unverified faculty found
- Serious misrepresentation of facilities
- Illegal governance or ownership structure
- Examination fraud or student exploitation

2. SCORING DOMAINS & WEIGHTAGE

Domain	Weight
A. Governance & Legal Compliance	15
B. Academic Programs & Standards	20
C. Faculty & Human Resources	20
D. Infrastructure & Learning Resources	15

Domain	Weight
E. Quality Assurance Systems	15
F. Students & Support Services	10
G. Financial Sustainability	5
Total	100

3. DETAILED DOMAIN RUBRICS

A. GOVERNANCE & LEGAL COMPLIANCE (15 POINTS)

Indicator	0	1	2	3	Max
Legal registration & approvals	X	—	Partial	Full	3
Governing Body functionality	X	Nominal	Irregular	Effective	3
Academic autonomy	X	Limited	Partial	Clear	3
Statutes / policies	X	Draft	Approved	Implemented	3
Conflict of interest controls	X	Informal	Documented	Enforced	3
Subtotal					15

B. ACADEMIC PROGRAMS & STANDARDS (20 POINTS)

Indicator	0	1	2	3	4	Max
Curriculum alignment (HEC)	X	Weak	Partial	Aligned	Benchmarked	4
Learning outcomes clarity	X	Generic	Partial	Clear	OBE-aligned	4
Teaching & learning practices	X	Ad-hoc	Basic	Planned	Innovative	4

Indicator	0	1	2	3	4	Max
Assessment & moderation	X	Informal	Partial	Formal	Externalized	4
Academic calendar & compliance	X	Inconsistent	Partial	Regular	Stable	4
Subtotal						20

C. FACULTY & HUMAN RESOURCES (20 POINTS)

Indicator	0	1	2	3	4	Max
Full-time faculty sufficiency	X	<40%	40–59%	60–69%	≥70%	4
Faculty qualifications	X	Marginal	Adequate	Strong	Excellent	4
Recruitment & appointment	X	Informal	Partial	Documented	Transparent	4
Workload & performance	X	Excessive	Managed	Balanced	Optimized	4
Faculty development	X	Ad-hoc	Limited	Regular	Strategic	4
Subtotal						20

D. INFRASTRUCTURE & LEARNING RESOURCES (15 POINTS)

Indicator	0	1	2	3	Max
Classrooms & teaching space	X	Inadequate	Adequate	Good	3
Laboratories & equipment	X	Outdated	Basic	Modern	4
Library resources	X	Minimal	Adequate	Robust	4
ICT & LMS	X	Basic	Functional	Integrated	2

Indicator	0	1	2	3	Max
Health, safety & accessibility	X	Poor	Adequate	Compliant	2
Subtotal					15

E. QUALITY ASSURANCE SYSTEMS (15 POINTS)

Indicator	0	1	2	3	Max
IQAC establishment	X	Nominal	Functional	Effective	3
Internal reviews & audits	X	Rare	Occasional	Regular	3
Student feedback usage	X	Collected	Analyzed	Acted upon	3
Data & reporting	X	Manual	Partial	Systematic	3
Continuous improvement	X	Informal	Reactive	Planned	Embedded
Subtotal					15

F. STUDENTS & SUPPORT SERVICES (10 POINTS)

| Indicator | 0 | 1 | 2 | Max |
|---|---|---|---|
| Admissions transparency | X | Partial | Clear | 2 |
| Student support services | X | Limited | Adequate | 2 |
| Grievance redressal | X | Informal | Functional | 2 |
| Career guidance | X | Limited | Structured | 2 |
| Student awareness of affiliation | X | Partial | Full | 2 |
| **Subtotal** | | | | **10** |

G. FINANCIAL SUSTAINABILITY (5 POINTS)

| Indicator | 0 | 1 | 2 | Max |
|---|---|---|---|
| Financial viability | X | Marginal | Stable | 2 |

Budget for academics	X	Limited	Adequate	2
Audit & controls	X	Weak	Sound	1
Subtotal				**5**

4. PANEL RECOMMENDATION MATRIX

Condition	Recommendation
≥85 and no critical fail	Full Affiliation
70–84 with minor gaps	Conditional Affiliation
50–69	Defer with CAP
<50 or critical fail	Reject / Withdraw

5. CORRECTIVE ACTION PLAN (CAP) LINKAGE

For scores <85, panel must:

- Identify deficiencies
- Set SMART corrective actions
- Define timelines (3–12 months)
- Recommend follow-up inspection

6. LEGAL & PROCEDURAL SAFEGUARDS

- ✓ Evidence-based scoring only
- ✓ Documentary & physical verification mandatory
- ✓ Signatures of all panel members
- ✓ Institution allowed factual corrections (not scoring negotiation)