



AUN-QA Training Course for Accomplishing Programme Assessment

Facilitated by: A/Prof. Tan Kay Chuan
Mr. Johnson Ong
Mr. Zhou Qi

AUN Member Universities



Learning Outcomes

At the end of the workshop, participants will learn to:

- Understand the AUN-QA criteria at institutional, IQA system and programme levels;
- Interpret the AUN-QA criteria for programme level;
- Apply the PDCA approach to Self-assessment at programme level;
- Understand the requirements of Self-Assessment Report (SAR);
- Apply the technique for writing SAR; and
- Appreciate the AUN-QA quality assessment process

What's in Your Training Package



- Participant's handout
- Guide to AUN Actual Quality Assessment at Programme Level
- AUN-QA Manual for the Implementation of the Guidelines
- Appendixes (resources, samples and templates)
- CD containing the appendixes

Workshop Outline

Day 1	Topic
9.00am – 9.30am	<ul style="list-style-type: none">• Opening Ceremony• Group Photo-taking• Break
9.30am – 12.00pm	<ul style="list-style-type: none">• Introduction to Quality Assurance in Higher Education• Evolution of AUN-QA• Introduction to AUN-QA Guidelines
12.00pm – 1.00pm	<ul style="list-style-type: none">• Lunch
1.00pm – 3.00pm	<ul style="list-style-type: none">• AUN-QA Models• QA at Institutional Level
3.00pm – 3.15pm	<ul style="list-style-type: none">• Break
3.15pm – 5.00pm	<ul style="list-style-type: none">• QA at IQA System Level

Workshop Outline

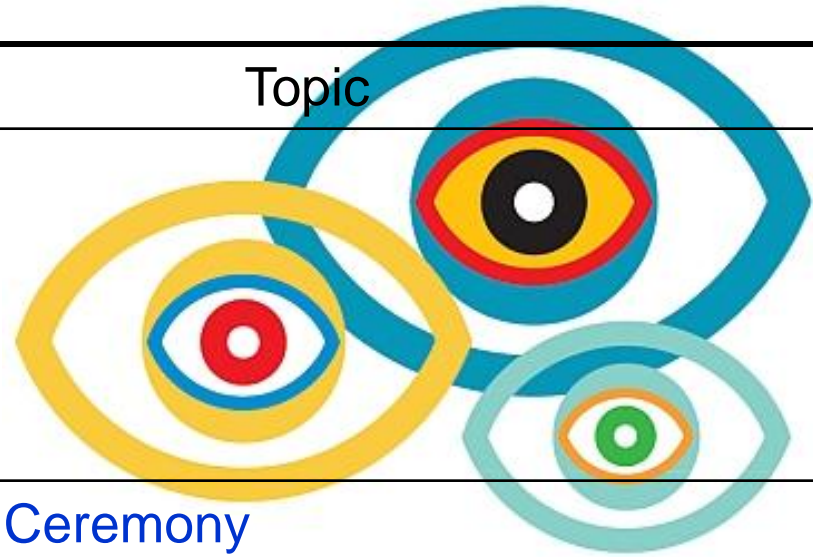
Day 2	Topic
9.00am – 10.00am	• QA at Programme Level
10.00am – 10.15am	• Break
10.15am – 12.00pm	• QA at Programme Level
12.00pm – 1.00pm	• Lunch
1.00pm – 3.00pm	• PDCA Approach to Self-assessment at Programme Level (Plan)
3.00pm – 3.15pm	• Break
3.15pm – 5.00pm	• PDCA Approach to Self-assessment at Programme Level (Do)

Workshop Outline

Day 3	Topic
9.00am – 10.00am	• PDCA Approach to Self-assessment at Programme Level (Check)
10.00am – 10.15am	• Break
10.15am – 12.00pm	• PDCA Approach to Self-assessment at Programme Level (Act)
12.00pm – 1.00pm	• Lunch
1.00pm – 3.00pm	• Change Management
3.00pm – 3.15pm	• Break
3.15pm – 5.00pm	• AUN Quality Assessment Process • Conclusion

Workshop Outline

Day 4	Topic
9.00am – 3.00pm	• Study visit
3.00pm – 4.00pm	• Certification Ceremony



STUDYVISITS

Introduction

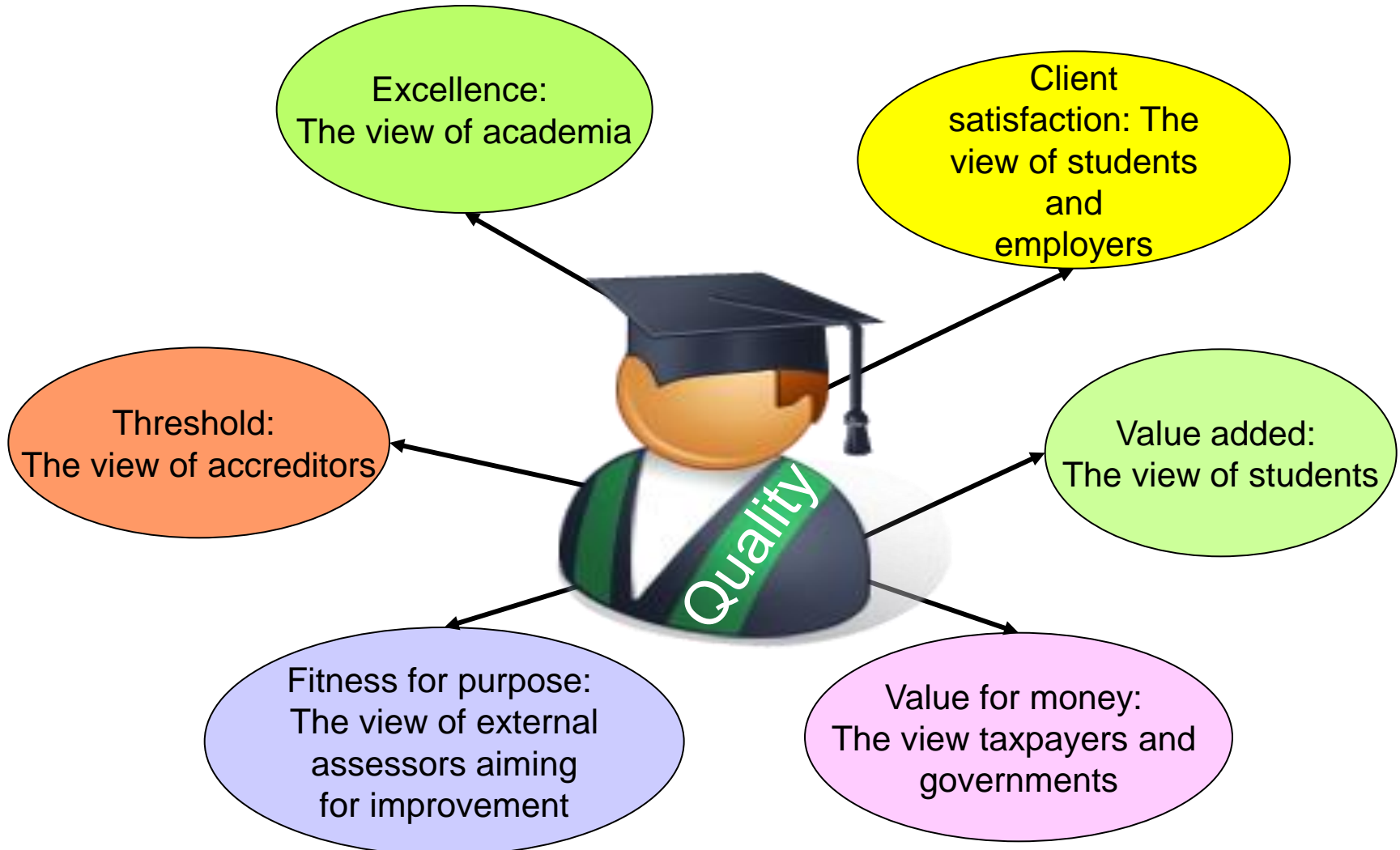
- Quality Assurance in Higher Education
- Evolution of AUN-QA



What is Quality?



Quality in Higher Education



Source: Green, D. What is Quality in Higher Education? Concepts, Policy and Practice 1994

Quality in Higher Education

Quality in higher education is a multi-dimensional concept, which should embrace all its functions, and activities: teaching and academic programmes, research and scholarship, staffing, students, buildings, facilities, equipment, services to the community and the academic environment. Internal self-evaluation and external review, conducted openly by independent specialists, if possible with international expertise, are vital for enhancing quality.

Source: The World Declaration on Higher Education for the Twenty First Century: Vision and Action (October 1998), Article 11, Quality Evaluation.

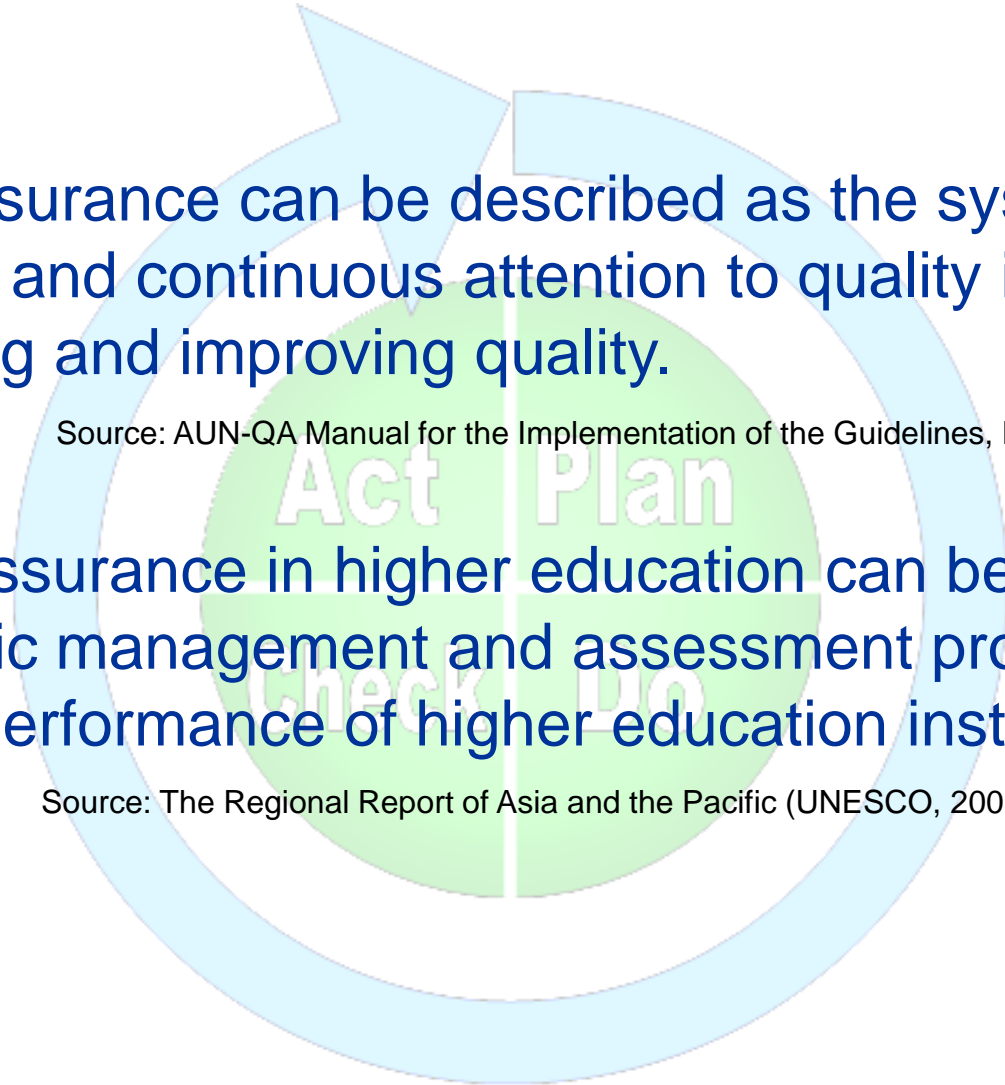
What is Quality Assurance (QA)?

Quality assurance can be described as the systematic, structured and continuous attention to quality in terms of maintaining and improving quality.

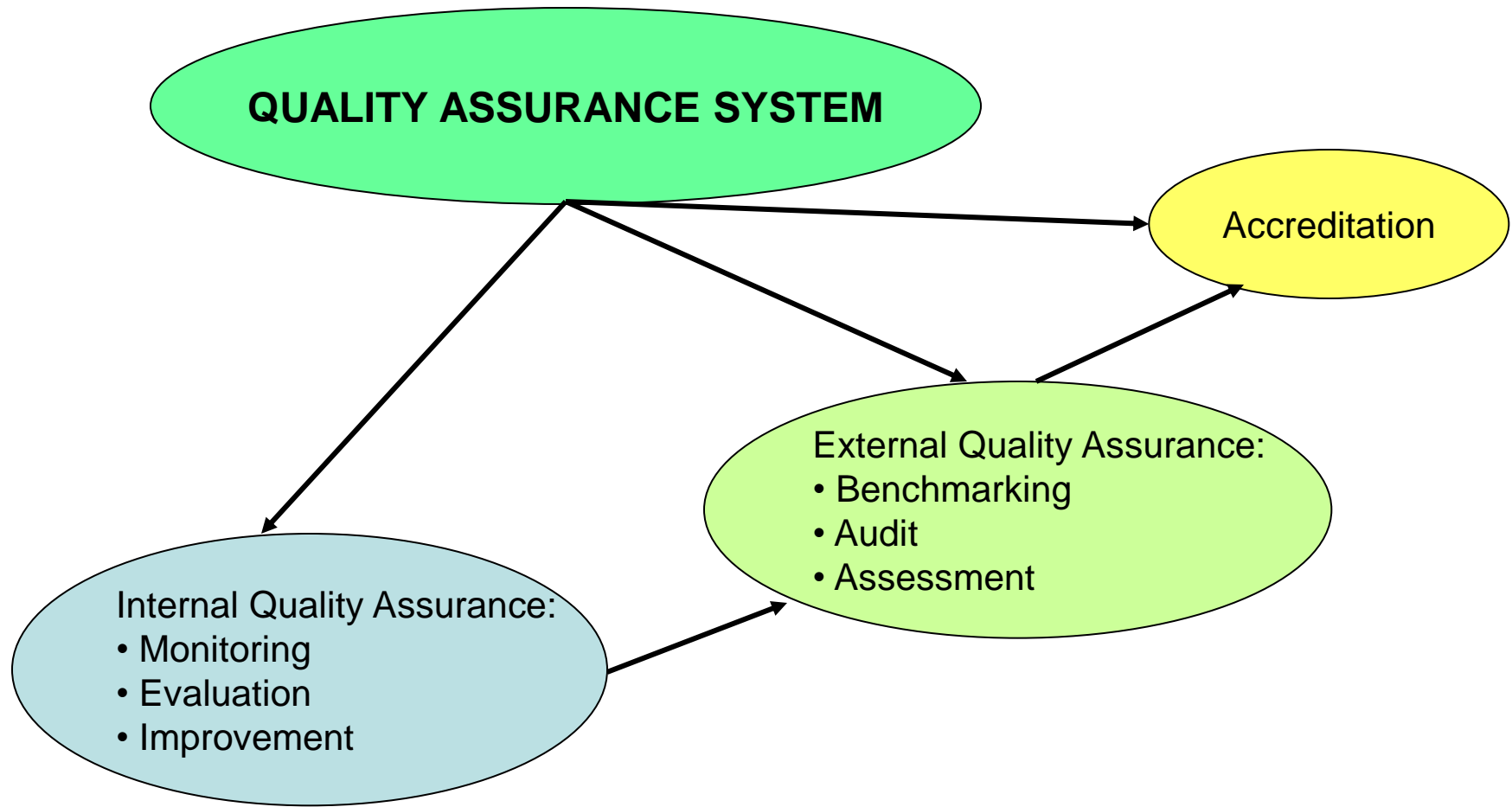
Source: AUN-QA Manual for the Implementation of the Guidelines, P20

Quality assurance in higher education can be defined as systematic management and assessment procedures to monitor performance of higher education institutions.

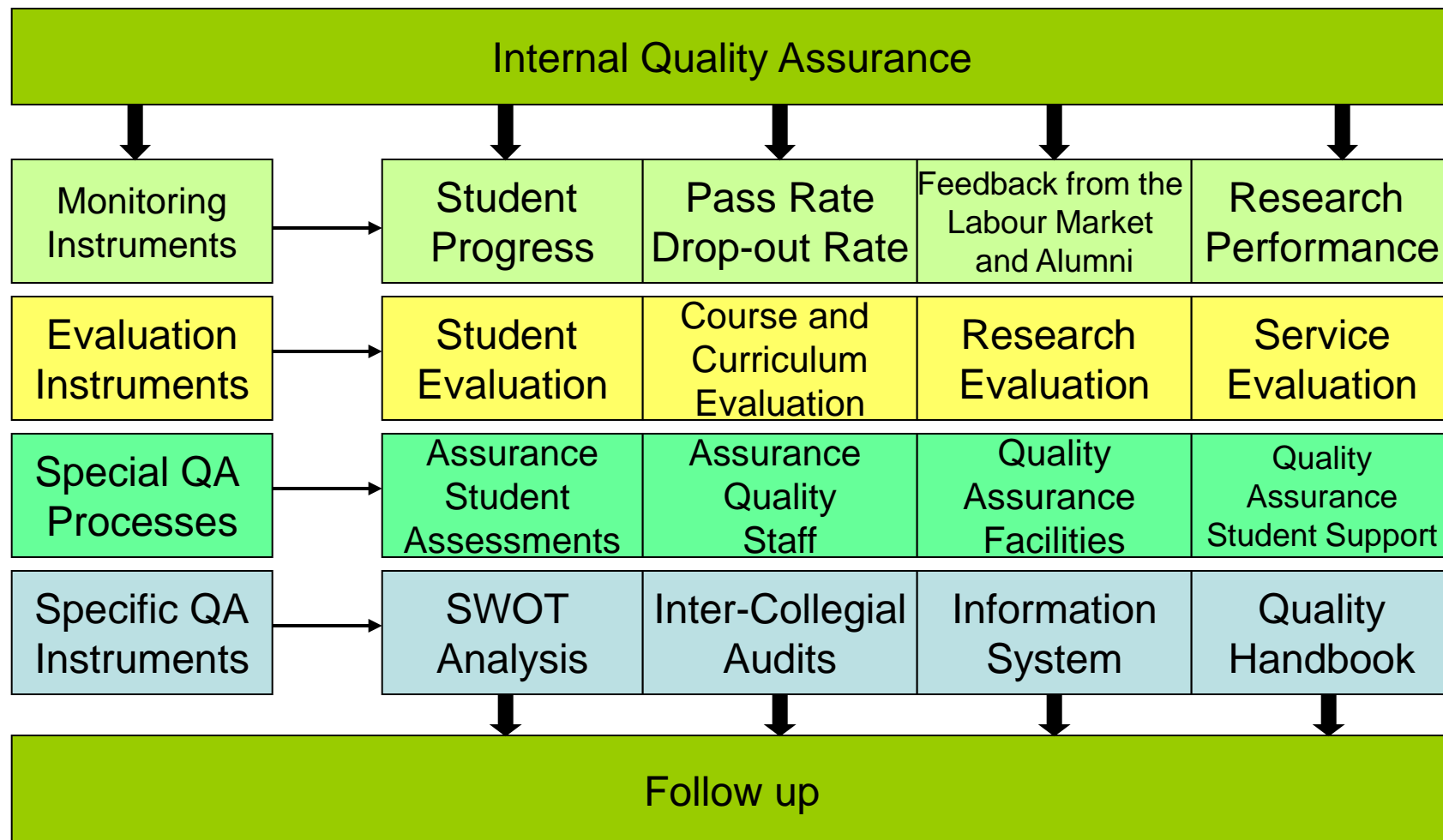
Source: The Regional Report of Asia and the Pacific (UNESCO, 2003b)



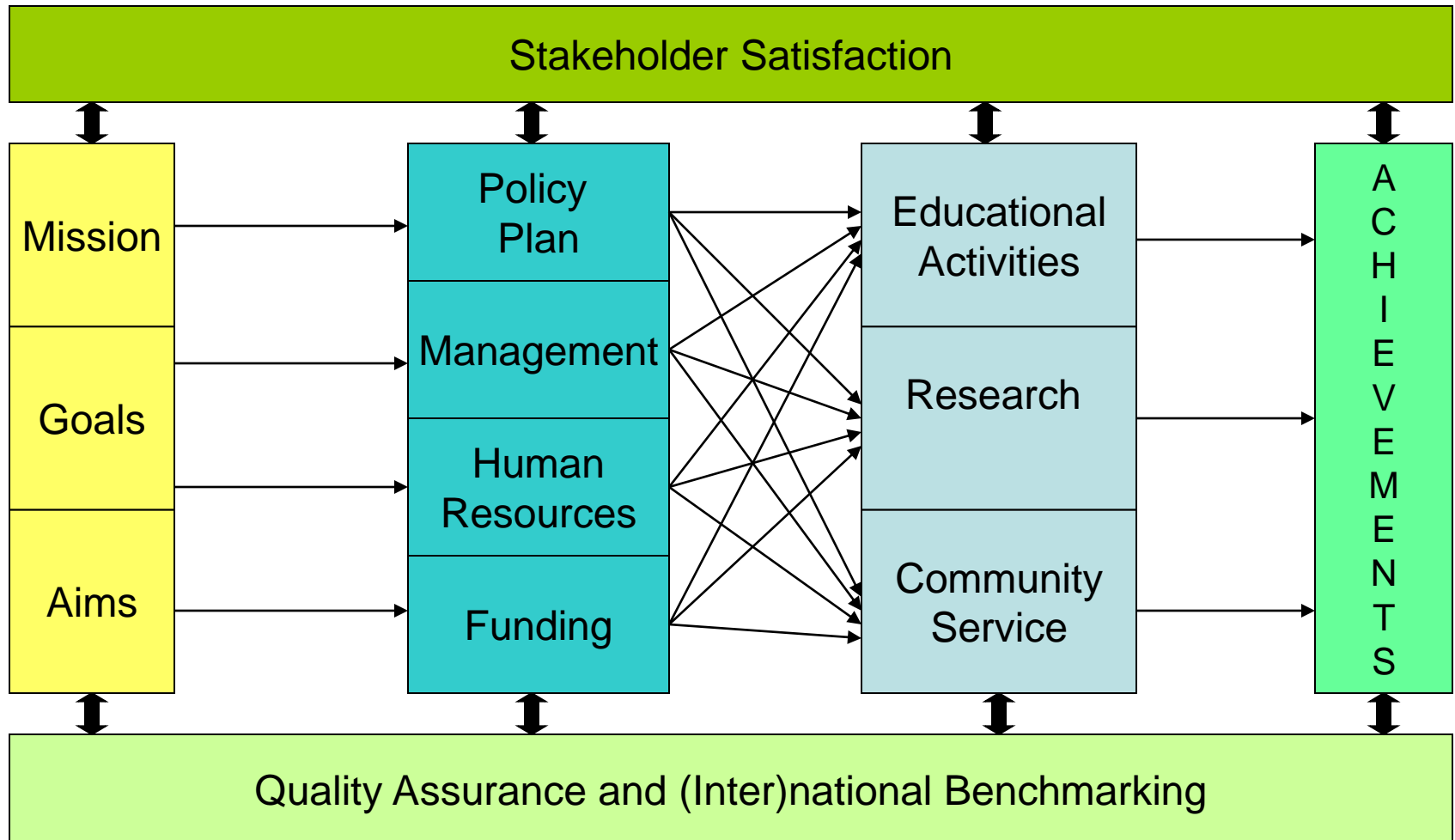
QA Mechanisms



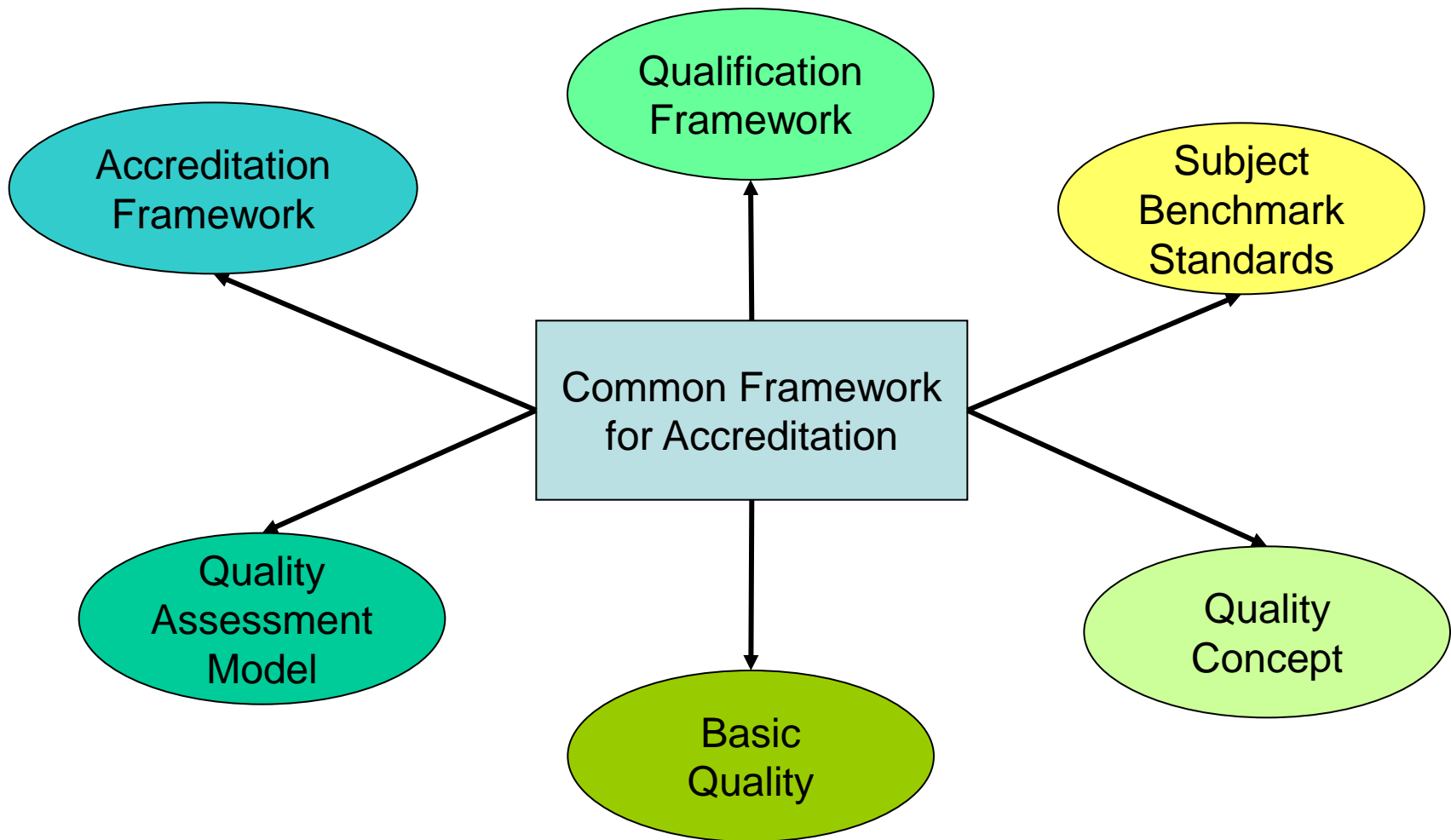
IQA System



External QA System



Accreditation



Accreditation: Granting an institution or programme a quality mark that indicates certain standards have been met

Accreditation Agencies (within and outside ASEAN)

Country	Accreditation Agency
USA	Council for Higher Education Accreditation (CHEA) 1996
UK	British Accreditation Council (BAC) 1984
Australia	Australian Universities Quality Agency (AUQA) 2000
Cambodia	Accreditation Committee of Cambodia (ACC) 2003
Indonesia	National Accreditation Board for Higher Education (BAN-PT) 1994
Malaysia	Malaysian Qualifications Authority (MQA) 2006
Thailand	Office of the National Education Standards and Quality Assessment (ONESQA) 2000
The Philippines	Accrediting Agency of Chartered Colleges and Universities in the Philippines (AACUP) 1989, Philippines Accrediting Association of Schools, Colleges and Universities (PAASCU) 1957
Vietnam	General Department of Education Testing and Accreditation 2003

Source: Adapted from Higher Education in the World 2007

Rationale for QA

- Quality graduates
- Labour market expectations
- Internationalisation of profession and globalisation
- Consumer protection
- From elite university to Institute of mass higher education
- Pressure to meet society's needs
- Increasing importance of quality in higher education
- Student exchange and international cooperation

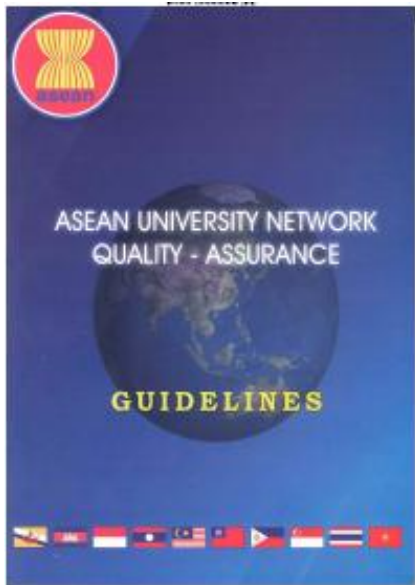


Evolution of AUN-QA



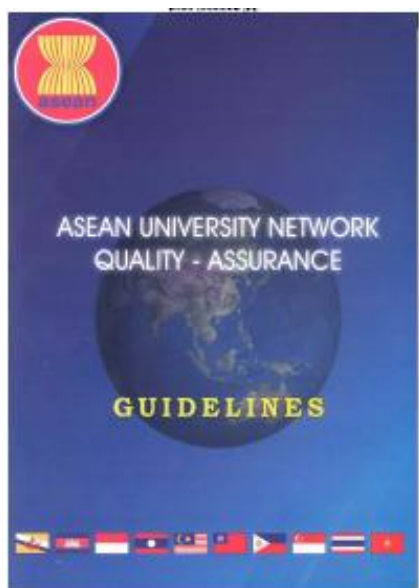
- 1995 - Establishment of ASEAN University Network (AUN)
- 1998 – Establishment of AUN-QA Network
- 1999 – Establishment of AUN-QA Network Task Force
- 2000 – Establishment of the AUN-QA Centre for Chief Quality Officers (CQOs)
- 2001 – AUN-QA Common Policies, Criteria and Strategic Plan
- 2004 – Endorsement of “AUN-QA Guidelines”
- 2006 – Endorsement of the “Manual for the Implementation of the Guidelines”
- 2007 – Actual quality assessment at programme level
- 2008 - Training of new AUN-QA assessors
- 2011 - Guide to AUN Actual Quality Assessment at Programme Level
- 2011 - Guidelines for AUN Quality Assessment & Assessors
- 2011 - DIES Training Course - ASEAN-QA

AUN-QA Guidelines



- Guidelines are benchmark standards towards quality and quality assurance
- Strengthen the position of higher education in ASEAN
- Promote the harmonisation of quality assurance in higher education within and outside ASEAN

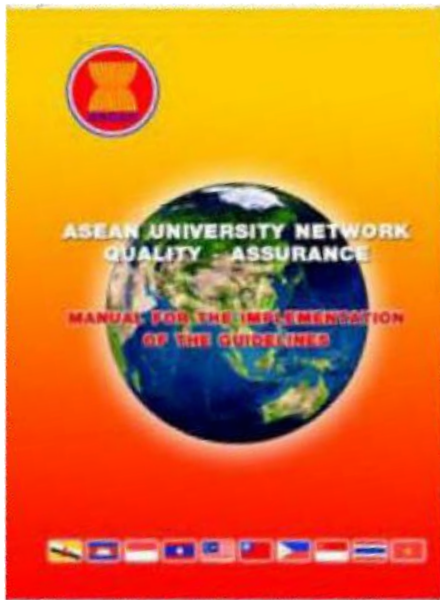
AUN-QA Guidelines



AUN-QA Criteria

- Criteria 1: QA System
- Criteria 2: Teaching and Learning
 - Course Curriculum
 - Academic Staff
 - Student Assessment
 - Learning Process
 - Environmental Health and Safety Standards
 - Learning Resources
- Criteria 3: Research
 - Funding and Facilities
 - Research Output
- Criteria 4: Services
- Criteria 5: Ethics
- Criteria 6: Human Resource Development (HRD)

Manual for the Implementation of the AUN-QA Guidelines



- Improve clarity and interpretation of quality criteria and standards
- Facilitate implementation of AUN-QA Guidelines
- Manual for Self-assessment and Auditing

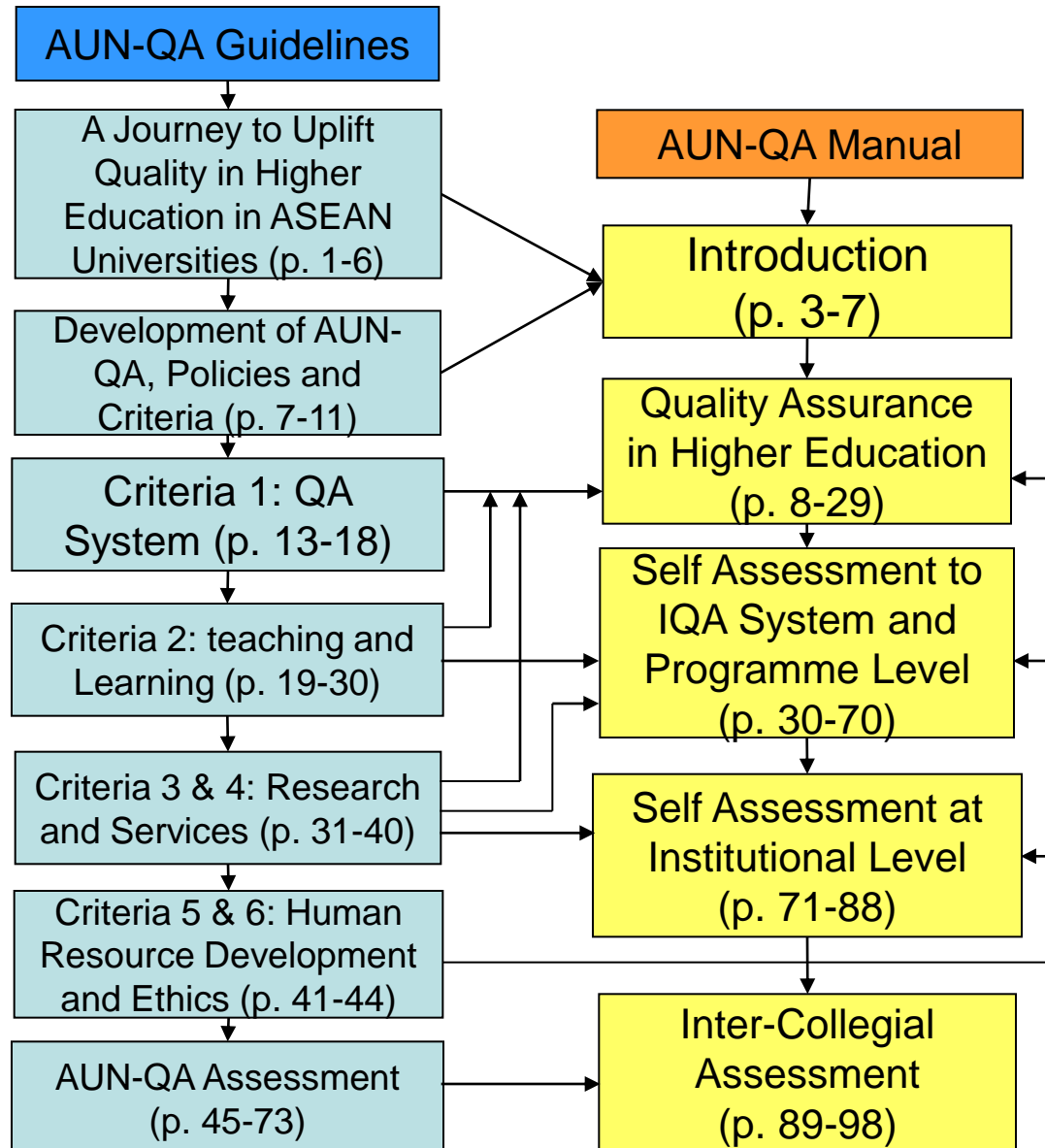
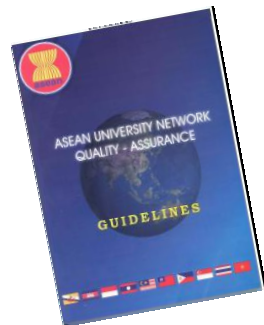
Manual for the Implementation of the AUN-QA Guidelines

This manual aims to support the universities in the ASEAN region in:

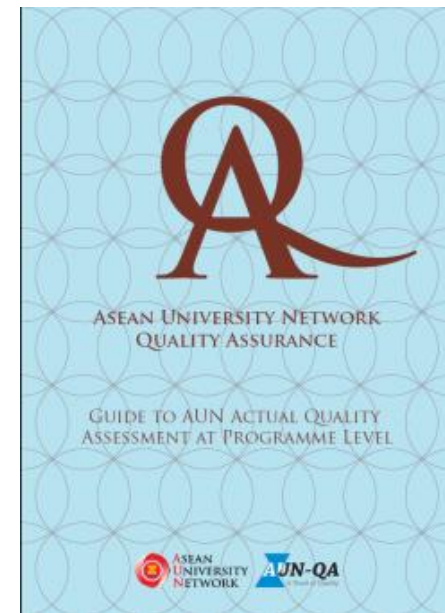
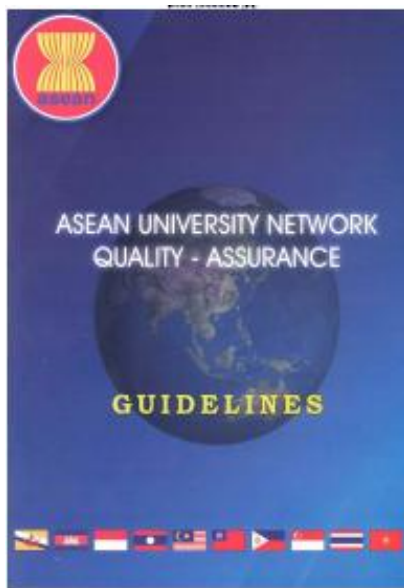
- Implementing the AUN-QA Guidelines
- Applying the AUN-QA Standards and Criteria
- Developing an adequate IQA System that fits the AUN-QA criteria and international developments
- Discovering their own quality by offering self-assessment instruments for IQA, the teaching/learning process and for some institutional aspects
- Applying for the AUN Quality label



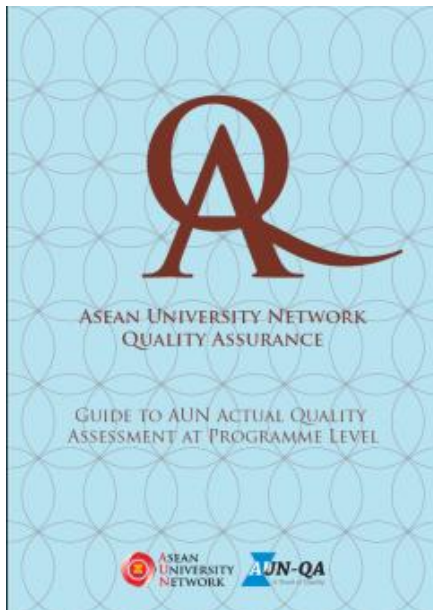
AUN-QA Guidelines and the Manual



Guide to AUN Actual Quality Assessment at Programme Level



Guide to AUN Actual Quality Assessment at Programme Level



- First revision of the AUN-QA Manual
- Criteria and assessment process of AUN Actual Quality Assessment at Programme Level
- Associated resources (templates and samples)
- Effective August 2011

Guidelines for AUN Quality Assessment and Assessors

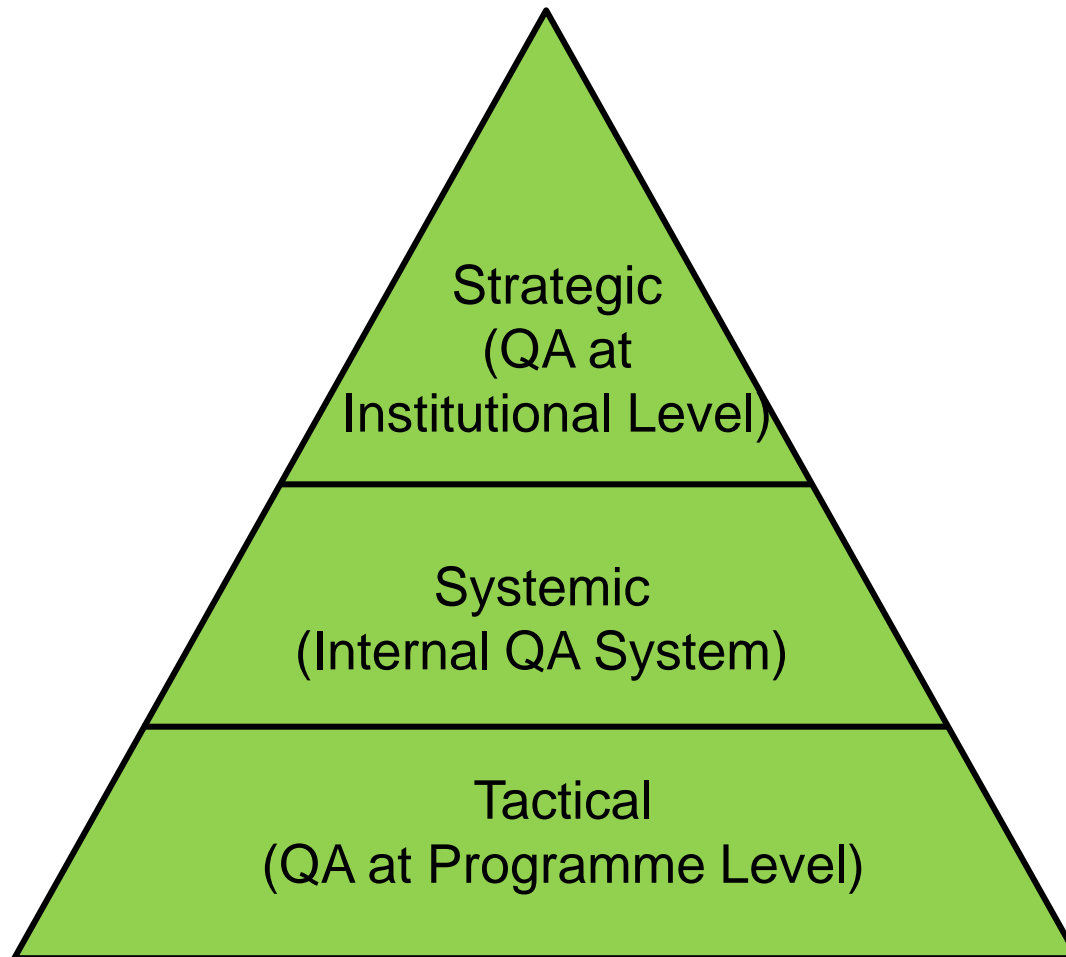


Guidelines for AUN Quality Assessment and Assessors

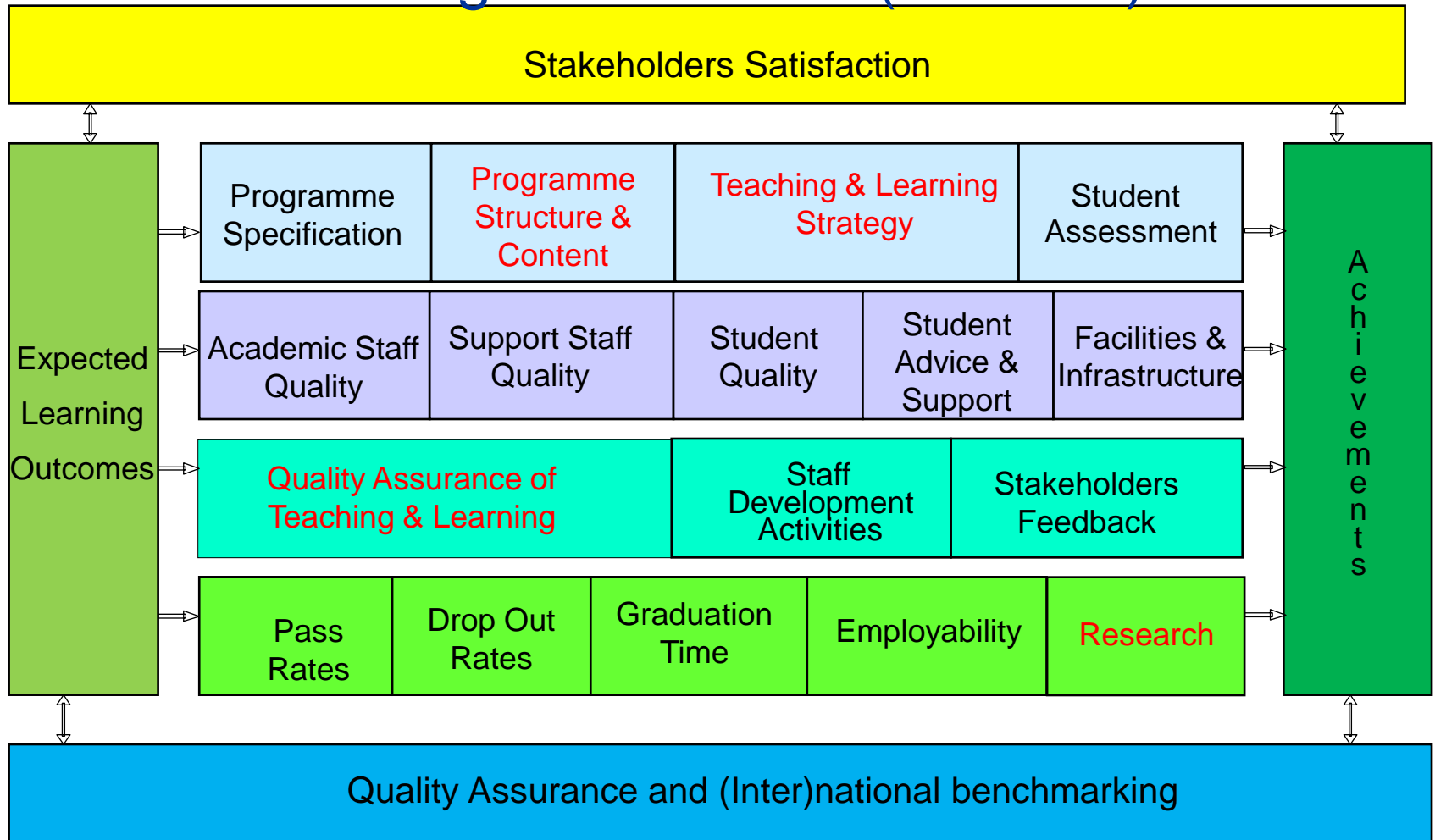
March 2011

- Operating guidelines for AUN quality assessment
- Roles, responsibilities and requirements of various stakeholders
- AUN Certification scheme
- Effective August 2011

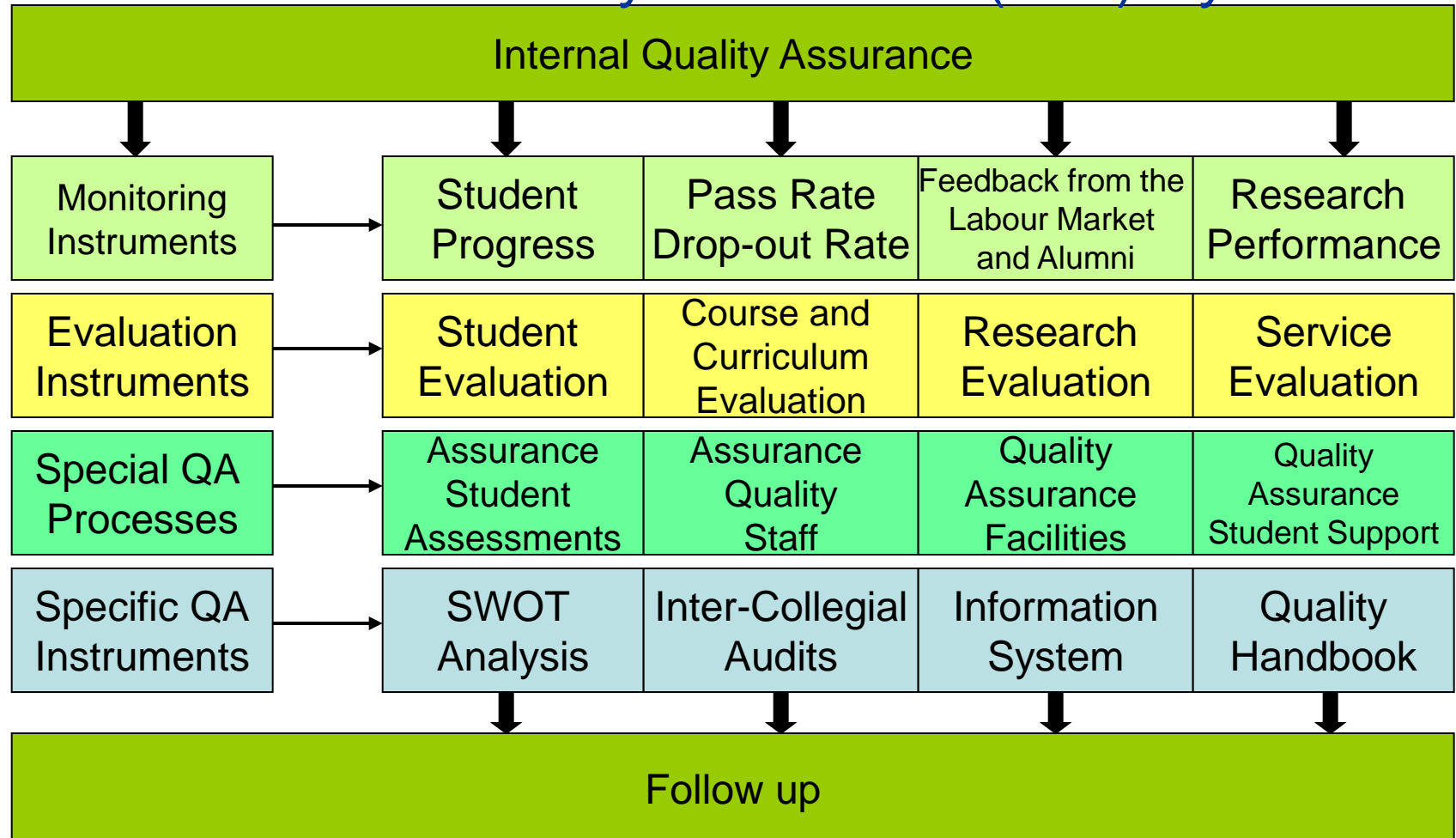
AUN-QA Models



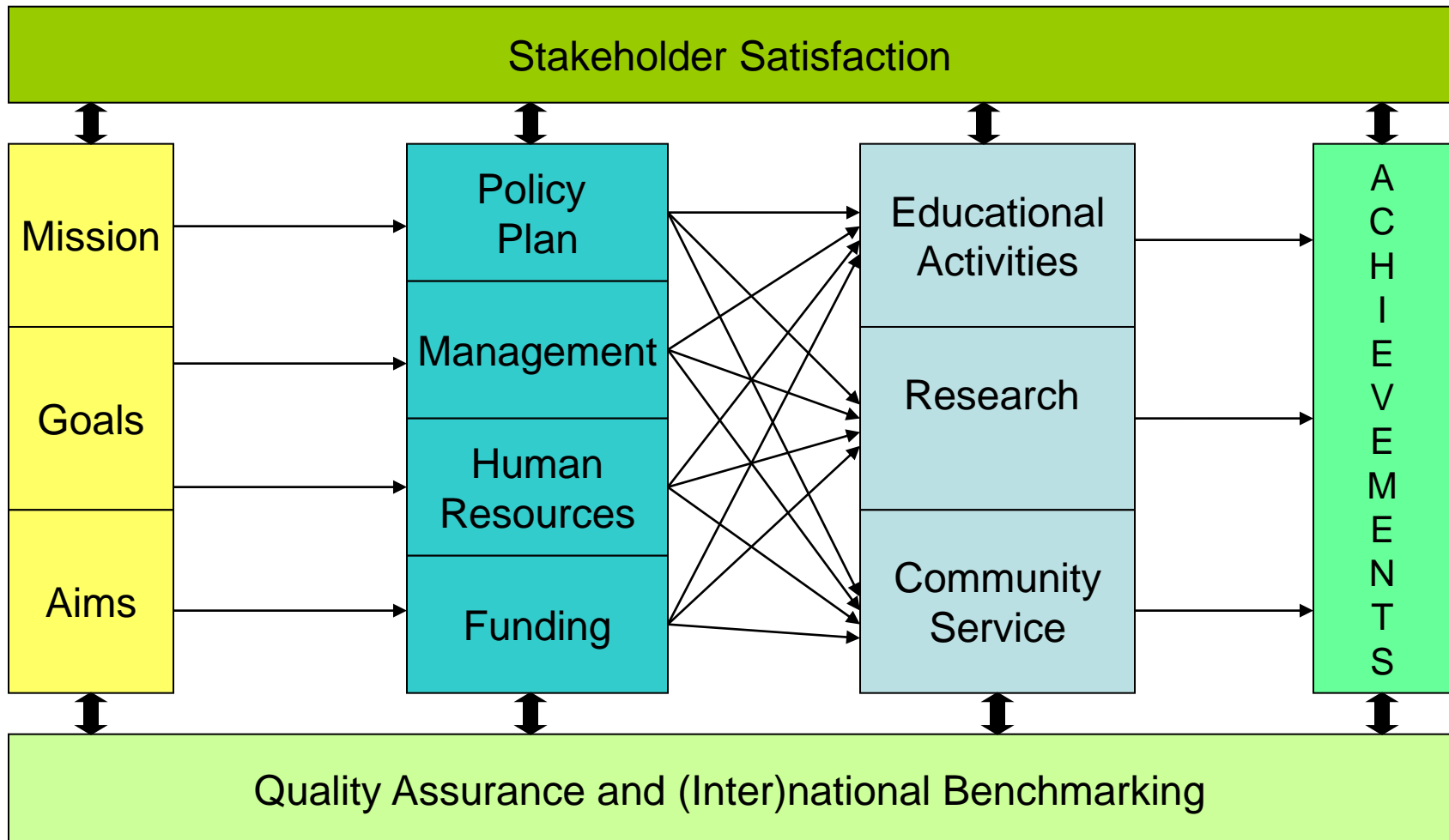
QA at Programme Level (Revised)



Internal Quality Assurance (IQA) System



QA at Institutional Level



Criterion Format

1. The Mission Statement

Benchmark Criterion:

- The university has a clearly formulated mission statement.
- The mission statement is publicly known.
- The mission statement is in line with the academic and social context.

Checklist:

1. The Mission Statement

- 1.1 The university has a clearly formulated mission statement
- 1.2 The mission statement is publicly known
- 1.3 The mission statement is in line with the academic and social context

Diagnostic questions:

- What is the university's vision for the academic training it gives?
- What is the university's vision for its research activities?
- What is the university's vision for its role in the society?

1. The Mission Statement

Benchmark Criterion:

- The university has a clearly formulated mission statement.
- The mission statement is publicly known.
- The mission statement is in line with the academic and social context.

Checklist:

1. The Mission Statement

- 1.1 The university has a clearly formulated mission statement
- 1.2 The mission statement is publicly known
- 1.3 The mission statement is in line with the academic and social context

1. The Mission Statement

Diagnostic questions:

- What is the university's vision for the academic training it gives?
- What is the university's vision for its research activities?
- What is the university's vision for its role in the society?
- Has the vision (= the long-term aims) been translated into a clearly formulated mission statement (= targets to be met in the short-term)?
- Has the mission statement been translated into achievable and operationalised goals and objectives?
- What is the specific profile of this university compared with other universities in the country in question?

Examples:

2. The Policy Plan

Benchmark Criterion:

- The university has a clear policy and strategic plan formulated in line with its mission statement.

Checklist:

2. The Policy Plan

2.1 The university has a clear policy and strategic plan formulated in line with the mission statement.

2. The Policy Plan

Diagnostic questions:

- Does the university have a clear policy in line with its mission and vision?
- Has the policy been adequately translated into the strategic plan?
- Who was involved in formulating the policy and strategic plan?
- Are policy and strategic plan well known to all academic staff and students? Is there general agreement on this?
- Does the strategic plan reflect:
 - The types of programme you are offering?
 - The choice of research fields?
 - The priorities set?
 - The main activities of the university?

Examples:

3. The Management

Benchmark Criterion:

- The university has a clear management structure in which the decision-making process, competencies and responsibilities have been clearly fixed.

Checklist:

3. The Management

3.1 The university has a clear management structure in which the decision-making process, competencies and responsibilities have been clearly defined.

3. The Management

Diagnostic questions:

- What kind of management structure does the university have: centralised and top down or decentralised and bottom up?
- Have the role and functions of the central management, faculty management and the staff been clearly described?
- Does the academic staff participate in the decision-making process on teaching and research?
- Do students participate in the decision-making process in relation to their education?
- Has the management structure of the university been endorsed by the academic community?
- Is the internal organisation structure fit for purpose?
- What management committees are in place? Are they working adequately?

Examples:

4. Human Resources

AUN-QA Criterion:

- The university develops and retains high-quality faculty members and supporting personnel by clearly defining their responsibility, and by evaluating their performance on a regular basis.
- The university develops the body of knowledge possessed by its faculty members and supporting personnel to keep paces with changes in each academic discipline.
- The university provides for:
 - establishment of a system to consider the ability, potential and need to enhance the knowledge possessed by its faculty and supporting staff in their conducting of activities that have a direct influence on the quality of teaching/learning. This should include the formulation of a concrete personnel development plan;
 - provision of training to develop the potential of faculty members and supporting personnel in accordance with the plan;
 - evaluation of the effectiveness of the provided training such as to ensure that its faculty members and supporting staff comprehend both the importance of and the relationship between the duties and activities that fall within their responsibility. This will affect the way the organization attains its quality goals.
 - compilation of records of education, experience, training, and other essential qualifications required of lecturers and supporting staff.

4. Human Resources

AUN-QA Criterion:

- The university sets up a system of evaluation by committee to be conducted according to a set timetable at least twice a year prior to pay salary increments or promotions, or to the imposition of penalties.
- The university establishes an activity plan and evaluates activities to encourage students, faculty members and other personnel to be conscientious in their thought, speech, and behaviour, to be kind, compassionate and honest, to possess equanimity, to be circumspect, logically-minded and far-sighted, to be responsible and willing to make sacrifices for the good of society.
- The university enhances the professional ethics of its students, faculty members and other personnel

4. Human Resources

Checklist:

4. Human Resources

4.1. The university develops and retains high-quality academics and support staff by clearly defining their responsibility, and by evaluating their performance on a regular basis.

4.2. The university develops the body of knowledge possessed by its academics and support staff to keep paces with changes in each academic discipline.

4. Human Resources

Checklist:

4. Human Resources

4.3. The university:

- a) establishes a system to consider the ability, potential and need to enhance the knowledge possessed by its academics and support staff in conducting activities that have a direct influence on the quality of teaching-learning. This should include the formulation of a concrete staff development plan;
- b) provides training to develop the potential of academics and Support staff in accordance with this plan;
- c) evaluates the efficiency of the training provided to ensure that its academics and support staff comprehend both the importance of and the relationship between the duties and activities that fall within their responsibility. This will affect the way the organisation attains its quality goals.
- d) Compile records of education, experience, training, and other essential qualifications required of lecturers (academic staff) and support staff.

4. Human Resources

Checklist:

4. Human Resources

4.4 The university sets up a system of evaluation by committee to be conducted according to a set timetable at least twice a year prior to pay salary increments or promotions, or to the imposition of penalties.

4.5. The university establishes an activity plan and evaluates activities to encourage students, academics and other staff to be conscientious in thought, speech, and behaviour, to be kind, compassionate and honest, to possess equanimity, to be circumspect, logically-minded and far-sighted, to be responsible and willing to make sacrifices for the good of society.

4.6. The university enhances the professional ethics of its students, academics and other staff.

4. Human Resources

Diagnostic questions:

1. How does the university select and appoint its academic staff?
2. Is an adequate staff appraisal system in place for use in evaluating performance and promotion?
3. How is staff performance evaluated?
4. What opportunities are given for staff/HR development and training?
5. How does the university evaluate the efficiency of its staff/HR development activities?
6. How does the university stimulate the ethics of its students, academics and other staff?

Examples:

5. Funding

Benchmark Criterion:

- The university has adequate funding to achieve its goals and aims.

Checklist:

5. Funding

5.1 The university has adequate funding to achieve the goals and aims.

5. Funding

Diagnostic questions:

1. How is the university funded? (What percentage of the budget is public funding, student contributions, external funding?)
2. The sources of the financial resources and the conditions attached to the funding are stated transparently and do not restrict the university's decision-making autonomy in teaching and research?
3. Are the goals and aims realistic and achievable with the provided funding?

Examples:

6. Educational Activities

AUN-QA Criterion:

- Based on AUN-QA criteria on teaching/learning (see self-assessment at programme level)

Checklist:

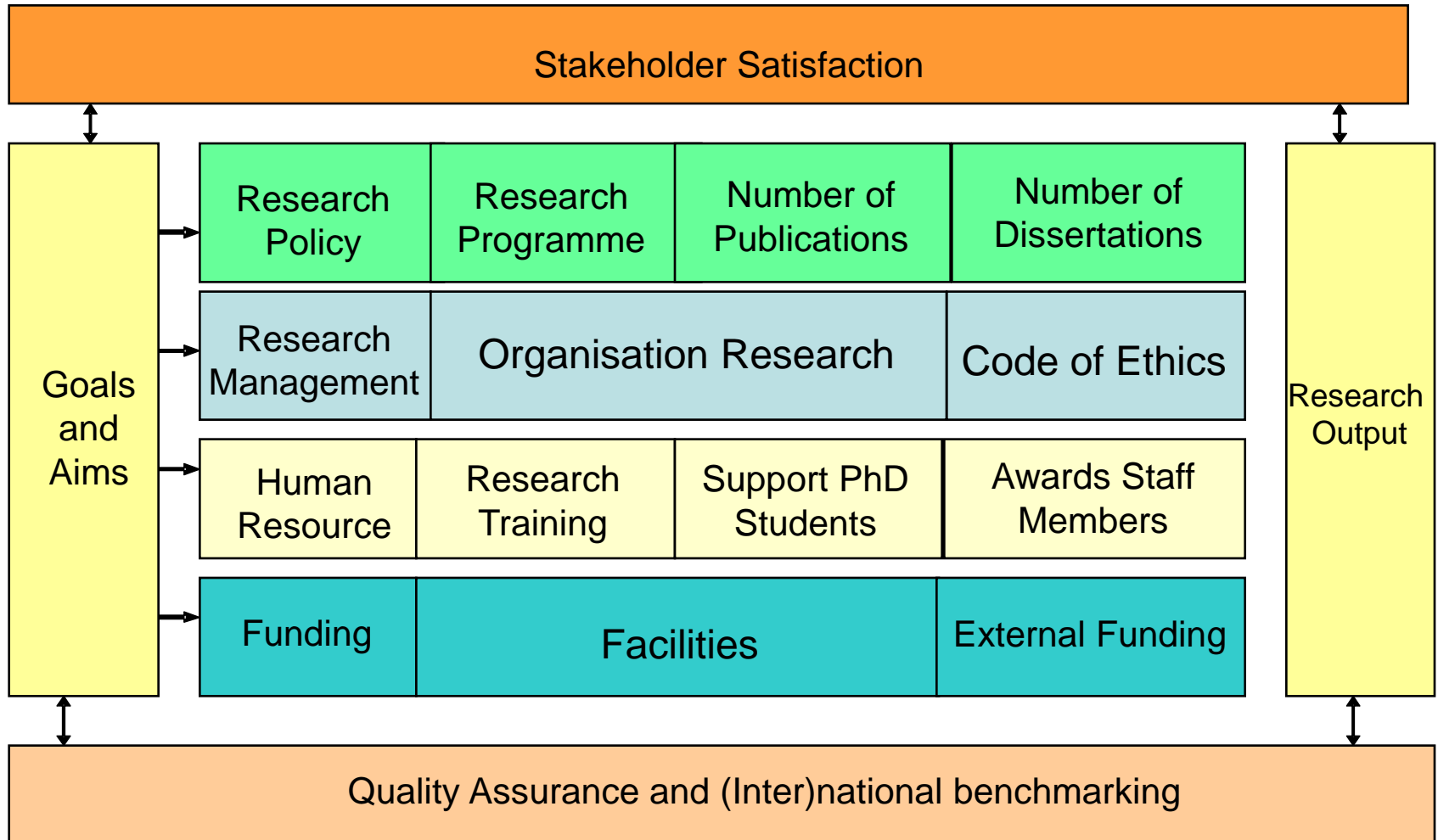
6. Educational Activities

- 6.1 Use the outcomes of the self-assessment at programme level taking into account the aspects from Appendix 5 – checklist on quality of a programme.

Diagnostic questions:

Refer to diagnostic questions in self-assessment at programme level

7. Research



7.1 Governance and Organisation

AUN-QA Criterion:

- The university has established, implemented, and ensured uniform compliance with university-wide research policies to main the integrity of the university, protect the safety and welfare of employees and experimental subjects and ensure compliance with all other regulations governing the research process.
- The university has designed policies and guidelines as guiding principle to conduct research and development activities.
- The policies and guideline set out the obligations on all researchers to be aware of good conduct in research and comply with institutional and regulatory requirements.
- The university support scholarly, research and creative activities, which contribute to the mission of the university and ultimately provide intellectual, social and economic benefits to society.
- The university is committed to the highest professional standards of scholarly research and research ethics.
- The researchers have familiarised themselves with the contents of research policies and procedures. Misconduct in conducting or reporting research is considered to be a serious breach of academic responsibilities.

7.1 Governance and Organisation

Diagnostic questions:

- Has a University Research Council been established? How does it work?
- Has a University Research Management Unit been established? What are its functions? Is it working?
- How does the university manage the research funding?

Examples:

7.2 University Research Policy

AUN-QA Criterion:

- The university has a clear research policy, setting the direction of research and deciding about research profile and research activities

Diagnostic questions:

Does the university's research policy cover the above-mentioned topics?

Examples:

7.3 The University Intellectual Property Rights Policy

AUN-QA Criterion:

- The university has a clear policy, for the protection of creative efforts and especially for the protection of economic investment in creative efforts (Intellectual Property Right Policy).

Diagnostic questions:

- Has the university formulated a policy to protect intellectual property rights?
- Does it function adequately or are there any problems?
- How does the university cope with the problems?

Examples:

7.4 Code of Conduct for Research/ Code of Ethics for Research

AUN-QA Criterion:

- The university has a clear code of conduct for research, including a code of ethics.

Diagnostic questions:

- Has the university formulated a code of conduct and a code of ethics?
- Does the university have a Research Ethics Committee
- If no such committee is in place, how does the university cope with ethical questions?

Examples:

7. Research

Checklist:

7. Research

- 7.1 The university establishes, implements and ensures uniform compliance with university-wide research policies to maintain the integrity of the university, protect the safety and welfare of staff and experimental subjects and to ensure compliance with all other regulations governing the research process.
- 7.2 The university has designed policies and guidelines as guiding principles to conduct research and development activities.
- 7.3 The policies and guidelines set out the obligations on all researchers to be aware of good conduct in research and to comply with institutional and regulatory requirements.
- 7.4 The university supports scholarly research and creative activities that contribute to the mission of the university and ultimately provide intellectual, social and economic benefits to society.

7. Research

Checklist:

7. Research

- 7.5 The university is committed to the highest professional standards of scholarly research and research ethics.
- 7.6 The researchers have familiarised themselves with the contents of research policies and procedures. Misconduct in conducting or reporting research is considered a serious breach of academic responsibilities.
- 7.7 The university has a clear research policy, setting the direction of research and deciding on the research profile and research activities.
- 7.8 The university has a clear code of conduct for research including a code of ethics.

8. The Contribution to Society and the Community

Benchmark Criterion:

- The university has clear guidelines for consultancy and community service

Checklist:

8. The Contribution to Society and the Community

8.1 The university has clear guidelines on consultancy and on the contribution to society and community service

8. The Contribution to Society and the Community

Diagnostic questions:

- What role does the university play in the local, national and international community
- What are the key activities, which of these lie outside normal teaching or research? How do they relate to the mission?
- What are the non-profit activities of the university?
- Is there a clear policy on consultancy and the contribution to society and the community?
- How is the income from consultancy regulated?

Examples:

9. Achievements

Benchmark Criterion:

- A university has the means and opportunity to check whether the achievements are in line with the expected outcomes.

Checklist:

9. Achievements

9.1 The university has the means and opportunities to check whether the achievements are in line with the expected outcomes.

9. Achievements

Diagnostic questions:

- Are the achieved outcomes in line with the formulated goals and aims?
- How does the university check that it achieves what it wants to achieve?
- If the achievement is not satisfactory, what action does the university take?

Examples:

10. Stakeholder Satisfaction

Benchmark Criterion:

- A university has a structured method for obtaining feedback from the stakeholders.

Checklist:

10. Stakeholder Satisfaction

10.1 The university has a structural method for obtaining feedback from stakeholders.

10. Stakeholder Satisfaction

Diagnostic questions:

- Is regular student evaluation carried out? How is it done? Is it adequate?
- What is done with the results of student evaluations?
- Does the university have an insight into the opinion and feedback of graduates when they are employed?
- Are the complaints or positive feedback received from alumni used to adapt the programmes?
- Are there any structured contacts with employers and the labour market for obtaining feedback?
- How do the employers appreciate graduates?
- Are there any specific complaints?
- Are specific strengths appreciated by employers?
- Does the university have any tools to obtain feedback from society?

Examples:

11. Quality Assurance and (Inter)national Benchmarking

Benchmark Criterion:

- A university has an efficient internal quality assurance system.

Checklist:

11. Quality Assurance and (Inter)national Benchmarking

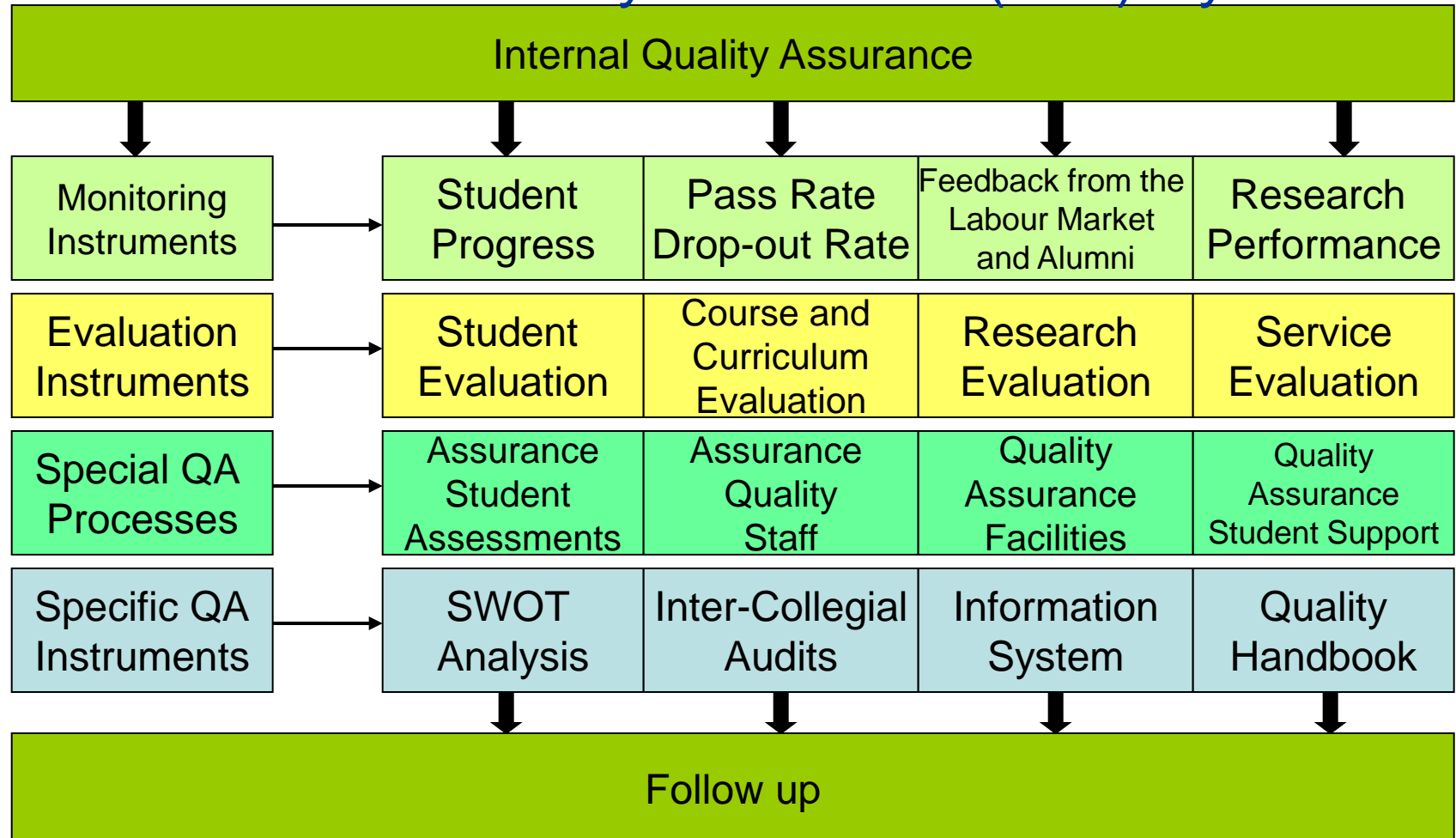
11.1 The university uses the outcomes of the self-assessment of the IQA system (see Appendix 4).

Diagnostic questions:

Refer to diagnostic questions in self-assessment of the IQA System.

QA at IQA System Level

Internal Quality Assurance (IQA) System



1. Quality Assurance: General Aspects

AUN-QA Criterion:

- An institution has a clear policy and associated procedures for the assurance of the quality and standards of their programmes and awards. The university commits itself explicitly to the development of quality culture and quality awareness.
- To achieve this, the university develops and implements a strategy for the continuous enhancement of quality. The strategy, policy and procedures should have a formal status and be publicly available.
- They also include a role for students and other stakeholders.

Checklist:

1. Policy

- 1.1 The institution has a clear policy on IQA
- 1.2 There is a clear formal strategy on IQA
- 1.3 The role of all stakeholders is clearly described

1. Quality Assurance: General Aspects

Diagnostic questions:

- Does the university have a clearly formulated policy on IQA?
- Does the policy statement explicitly contain:
 - the relationship between teaching and research at the institution;
 - the institution's strategy on quality and standards;
 - how the quality assurance system is organised;
 - the responsibilities of departments, schools, faculties and other organisational units and individuals for assuring quality;
 - the involvement of students and stakeholders in quality assurance;
 - the ways in which the policy is implemented, monitored and revised

Examples:

2. The Monitoring System

AUN-QA Criterion:

An institution has a structured monitoring system to collect information on the quality of its activities. The monitoring system includes:

- Student evaluation
- A student progress system
- Structural feedback from the labour market
- Structural feedback from alumni
- Number of publications
- Number of grants

Checklist:

2. Monitoring

2.1 Student evaluation

2.2 Student progress system

2.3 Structured feedback from the labour market (employers)

2.4 Structured feedback from the alumni

2. The Monitoring System

Diagnostic questions:

Does the university have an efficient monitoring system including:

- a system to track student progress
- a system to register pass rates and dropout rates
- structural feedback from the labour market (employers)
- structural feedback from alumni
- records concerning the number of publications registered by staff
- records on the number of research grants

Examples:

3. Evaluation Instruments

AUN-QA Criterion:

An institution has formal mechanisms for the periodic review or evaluation of its:

- core activities
- programmes and degrees
- research activities (if applicable)
- contribution to society and the community

Checklist:

3. Periodic Review of the Core Activities (Education, Research and the Contribution to Society and the Community)

3.1 Period review of teaching and learning

3.2 Period review of research

3.3 Periodic review of the contribution to society and the community

3. Evaluation Instruments

Diagnostic questions:

Does the university carry out:

- student evaluation
- course evaluation
- curriculum evaluation
- regular review of research outcomes
- regular evaluation of the contribution to society and the community

Examples:

4. Special QA Processes: Student Assessment

AUN-QA Criterion:

- An institution has clear procedures to assure the assessment of students.
- Students are assessed on the basis of published criteria, regulations and procedures that are applied consistently.
- There are clear procedures to assure the quality of the examinations.
- There is an appeals procedure.

Checklist:

4. Quality Assurance of the Student Assessment

4.1 Criteria for assessment

4.2 Assessment procedures

4.3 Regulations to assure the quality of assessment

4.4 Appeal procedures

4. Special QA Processes: Student Assessment

Diagnostic questions:

- Does the student assessment meet the principles of adult learning?
Adults prefer to be assessed by criterion-referenced methods and by a combination of peer, self and teacher assessment.
- Does the assessment method foster open, flexible, reflective and outcome based assessment?
- Are the criteria made explicit?
- Are the assessment strategies in line with clearly-defined learning outcomes?
- Do the assessment arrangements correspond with all the aims and aspects of the curriculum as taught?
- Is a range of assessment methods used in a planned manner to serve diagnostic, formative, and summative purposes?

4. Special QA Processes: Student Assessment

Diagnostic questions:

- Is the scope and weighting of the assessment schemes known to all concerned?
- Are the standards applied in assessment schemes explicit and consistent across the curriculum?
- Are procedures regularly applied to ensure that, as far as possible, assessment schemes are valid, reliable and fairly administered?
- Do students have ready access to reasonable appeals procedures?
- Is the reliability and validity of the assessment methods documented as required and regularly evaluated?
- Are new assessment methods developed and tested?

Examples:

5. Special QA Processes: Staff Quality

AUN-QA Criterion:

An institution has means to satisfy itself that its staff are qualified and competent to conduct the core activities of the institution: education, research and the contribution to society and the community:

- adequate staff appointment procedures
- adequate staff appraisal system
- staff development activities

Checklist:

5. Quality Assurance of Staff

5.1 Staff appointment procedures

5.2 Staff appraisal system

5.3 Staff development activities

5. Special QA Processes: Staff Quality

Diagnostic questions:

- How is the staff recruitment system organised?
- How is the promotion system organised? What criteria are important for promotion?
- Are staff appraisals carried out? How are these done? What are the consequences?
- Has a clear HR policy been put in place?
- Are staff development activities carried out?

Examples:

6. Special QA Processes: Quality of the Facilities

AUN-QA Criterion:

An institution has clear procedures to ensure that the quality of its facilities needed for student learning are adequate and appropriate for each programme offered:

- adequate checks on the computer facilities
- adequate checks on the library
- adequate checks on the laboratories

Checklist:

6. Quality Assurance of Facilities

6.1 Checking the computer facilities

6.2 Checking the library facilities

6.3 Checking the laboratories

6. Special QA Processes: Quality of the Facilities

Diagnostic questions:

What procedures do you have to assure the quality of:

- the lecture halls, tutorial rooms, auditorium, etc?
- the libraries?
- the laboratories?
- the learning resources
- the research resources?

Examples:

7. Special QA Processes: Quality of Student Support

AUN-QA Criterion:

An institution has clear procedures to assure the quality of the student support and student advice.

In establishing a learning environment to support the achievement of quality student learning, teachers must do everything in their power to provide not only a physical and material environment that is supportive of learning and is appropriate to the activities involved, but also a social or psychological environment.

Checklist:

7. Quality Assurance of Student Support/Advice

- 7.1 Information for students
- 7.2 Student advice/support
- 7.3 student welfare
- 7.4 Student housing
- 7.5 Sports facilities

7. Special QA Processes: Quality of Student Support

Diagnostic questions:

What procedures to you have to assure the quality of the student support activities:

- a tutoring system
- student advice and/or counselling
- student housing
- sports facilities

Examples:

8. Special QA Instruments: SWOT Analysis or Self-assessment

AUN-QA Criterion:

An institution regularly conducts, but at least once every 5 years, a self-assessment of its core activities and of the institution as a whole to learn about its strengths and weaknesses. This self-assessment will lead to a quality plan.

Checklist:

8. Self-assessment

- 8.1 Self-assessment of the IQA system
- 8.2 Self-assessment of teaching/learning
- 8.3 Self-assessment of research
- 8.4 Self-assessment of the contribution to society and the community
- 8.5 Self-assessment of the university

8. Special QA Instruments: SWOT Analysis or Self-assessment

Diagnostic questions:

Does the university already have experience with the instrument of self-assessment?

- Is there any connection with external assessment/accreditation?
- Are the core activities being assessed?
- If not yet done, are you planning to conduct self-assessment on a regular basis?
- If you have (not yet) conducted self-assessment, how do you know what your quality is?

Examples:

9. Special QA Instruments: Inter-collegial Audit

AUN-QA Criterion:

A self-assessment might be part of an External Quality Assessment (EQA) or accreditation process where the self-assessment report acts as input for the external review team. If the self-assessment is not connected to the EQA, the institution will be expected to organise an audit itself based on the self-assessment report.

Checklist:

9. Internal Audit

9.1 Internal audit of teaching/learning

9.2 Internal audit of research

9.3 Internal audit of the contribution to society and the community

9.4 Internal audit of the university

9. Special QA Instruments: Inter-collegial Audit

Diagnostic questions:

Does the university have an audit system?

- How often do you use it?
- Do you have trained auditors? Where were they trained?
- What is done with the outcomes of an audit? Give some examples.

Examples:

10a. Special QA Instruments: Information Systems

AUN-QA Criterion:

An institution should ensure that it collects, analyses and uses relevant information for the effective management of its core activities.

Checklist:

10a. Information Systems

10a.1 Information management system in general

10a.2 Information management system for teaching/learning

10a.3 Information management system for research

10a. Special QA Instruments: Information Systems

Diagnostic questions:

- What is done with the information collected by the monitoring system?
- Does the executive management use the information collected?
- Are you using the instrument of benchmarking? How are you using it?

Examples:

10b. Special QA Instruments: Public Information System

AUN-QA Criterion:

An institution should regularly publish up-to-date, impartial and objective information, both quantitative and qualitative, about the programmes and awards that it offers.

Checklist:

10b. Public Information

10b.1 Public information on the university

10b.2 Public information on the educational programmes and awards/degrees offered

10b.3 Public information on research activities

10b. Special QA Instruments: Public Information System

Diagnostic questions:

- What procedures does the university have to assure the quality of the information?
- How do you ensure that the information is impartial?

Examples:

11. Special QA Instruments: QA Handbook

AUN-QA Criterion:

An institution has a QA handbook that documents all regulations, processes and procedures concerning quality assurance. This handbook is public and known to all the people concerned.

Checklist:

11. QA Handbook

11.1 Presence of a QA handbook

11.2 Handbook is known to staff and students

11. Special QA Instruments: QA Handbook

Diagnostic questions:

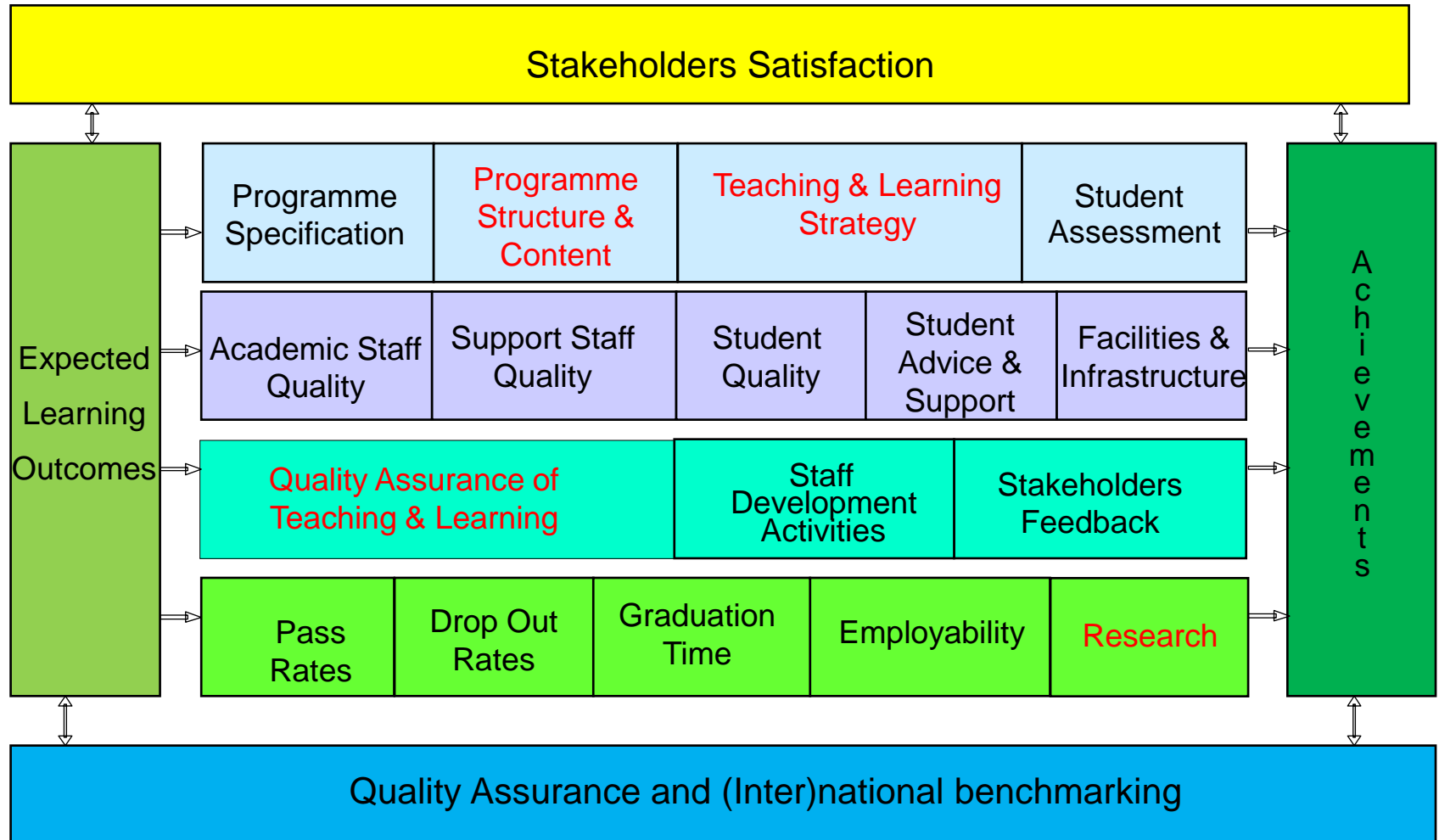
- Does the university already have a QA handbook?
- What is the content of the QA handbook? Sum up the chapters.
- What documents, processes and procedures are already available?
- What documents, processes and practices need to be developed?
- Who will collect and compile all the information?

Examples:

Workshop Outline

Day 2	Topic
9.00am – 10.00am	• QA at Programme Level
10.00am – 10.15am	• Break
10.15am – 12.00pm	• QA at Programme Level
12.00pm – 1.00pm	• Lunch
1.00pm – 3.00pm	• PDCA Approach to Self-assessment at Programme Level (Plan)
3.00pm – 3.15pm	• Break
3.15pm – 5.00pm	• PDCA Approach to Self-assessment at Programme Level (Do)

QA at Programme Level (Revised)



Original Criteria	Sub-criterion	Revised Criteria	Sub-criterion
1. Goals and Objectives; Expected Learning Outcomes	4	1. Expected Learning Outcomes	4
2. Programme Specification	3	2. Programme Specification	3
3. Programme Content	4	3. Programme Structure and Content	7 (-1)
4. Programme Organisation	4		
5. Didactic Concept and Teaching/Learning Strategy	5	4. Teaching and Learning Strategy	4 (-1)
6. Student Assessment	8	5. Student Assessment	7 (-1)
7. Staff Quality	10	6. Academic Staff Quality	10
8. Quality of Support Staff	4	7. Support Staff Quality	4
9. Student Quality	4	8. Student Quality	3 (-1)
10. Student Advice and Support	5	9. Student Advice and Support	4 (-1)
11. Facilities and Infrastructure	5	10. Facilities and Infrastructure	5
12. Quality Assurance of Teaching/Learning Process	4	11. Quality Assurance of Teaching/Learning Process	7 (-2)
13. Student Evaluation	2		
14. Curriculum Design	3		
15. Staff Development Activities	2	12. Staff Development Activities	2
16. Feedback Stakeholders	2	13. Stakeholders Feedback	3 (+1)
17. Output	2	14. Output	4 (+2)
18. Stakeholders Satisfaction	1	15. Stakeholders Satisfaction	1
Total at Programme Level	72	Total	68 (-4)P11

Past Actual AUN-QA Quality Assessment



No.	Period	University	Programme
1 st	Dec 2007	University of Malaya	<ul style="list-style-type: none"> • Biomedical Engineering • Computer-Aided Design /Manufacture Engineering
2 nd	Aug 2008	De La Salle University	<ul style="list-style-type: none"> • Chemical Engineering • Applied Economics
3 rd	Dec 2008	Universitas Indonesia	<ul style="list-style-type: none"> • Civil Engineering • Mechanical Engineering
4 th	Dec 2008	Institut Teknologi Bandung	<ul style="list-style-type: none"> • Physics • Pharmacy
5 th	Oct 2009	Universitas Gadjah Mada	<ul style="list-style-type: none"> • Pharmaceutical Sciences • Chemistry • Medical Education

Past Actual AUN-QA Quality Assessment



No.	Period	University	Programme
6 th	Dec 2009	Vietnam National University - Hanoi	<ul style="list-style-type: none"> Information Technology
7 th	Dec 2009	Vietnam National University – Ho Chi Minh City	<ul style="list-style-type: none"> Information Technology Computer Science & Engineering Electronics & Telecommunications
8 th	Oct 2010	Universitas Indonesia	<ul style="list-style-type: none"> Architecture Electrical Engineering Chemistry Metallurgy & Material Engineering
9 th	Nov 2010	De La Salle University	<ul style="list-style-type: none"> Chemistry Psychology Literature
10 th	Dec 2010	Vietnam National University - Hanoi	<ul style="list-style-type: none"> Economics
11 th	Jun 2011	Universitas Gadjah Mada	<ul style="list-style-type: none"> Civil Engineering Geology Engineering Biology

Past Actual AUN-QA Quality Assessment



No.	Period	University	Programme
12th	Nov 2011	De La Salle University	<ul style="list-style-type: none"> Applied Corporate Management Physics Software Technology
13th	Dec 2011	Vietnam National University – Ho Chi Minh City	<ul style="list-style-type: none"> Vietnamese Studies Biotechnology Manufacturing Engineering
14th	May 2012	Vietnam National University - Hanoi	<ul style="list-style-type: none"> Chemistry English Language Teacher Education
15th	Oct 2012	Universitas Indonesia	<ul style="list-style-type: none"> Chemistry Management
16th	Dec 2012	Vietnam National University – Ho Chi Minh City	<ul style="list-style-type: none"> Business Administration

1. Expected Learning Outcomes

- 1.The curriculum is developed to promote learning, learning how to learn and to instill in students a commitment of lifelong learning (e.g. commitment to critical inquiry, development of study and information-processing skills, a willingness to experiment with new ideas and practices).*
- 2.The curriculum offers to graduates the ability to do advanced studies, to develop their own personality, to have an academic attitude and to be competent in their field of study. The graduates should also have transferable skills, leadership skills, and should be oriented to the job market and be able to develop their careers (1.9).*
- 3.The curriculum has clearly formulated learning outcomes, reflecting the relevant demands and needs of all stakeholders.(1.2)*

1	Expected Learning Outcomes	1	2	3	4	5	6	7
1.1	The expected learning outcomes have been clearly formulated and translated into the programme (3)							
1.2	The programme promotes life-long learning (1)							
1.3	The expected learning outcomes cover both generic and specialised skills and knowledge (2)							
1.4	The expected learning outcomes clearly reflect the requirements of the stakeholders (3)							
	Overall opinion							

1. Expected Learning Outcomes

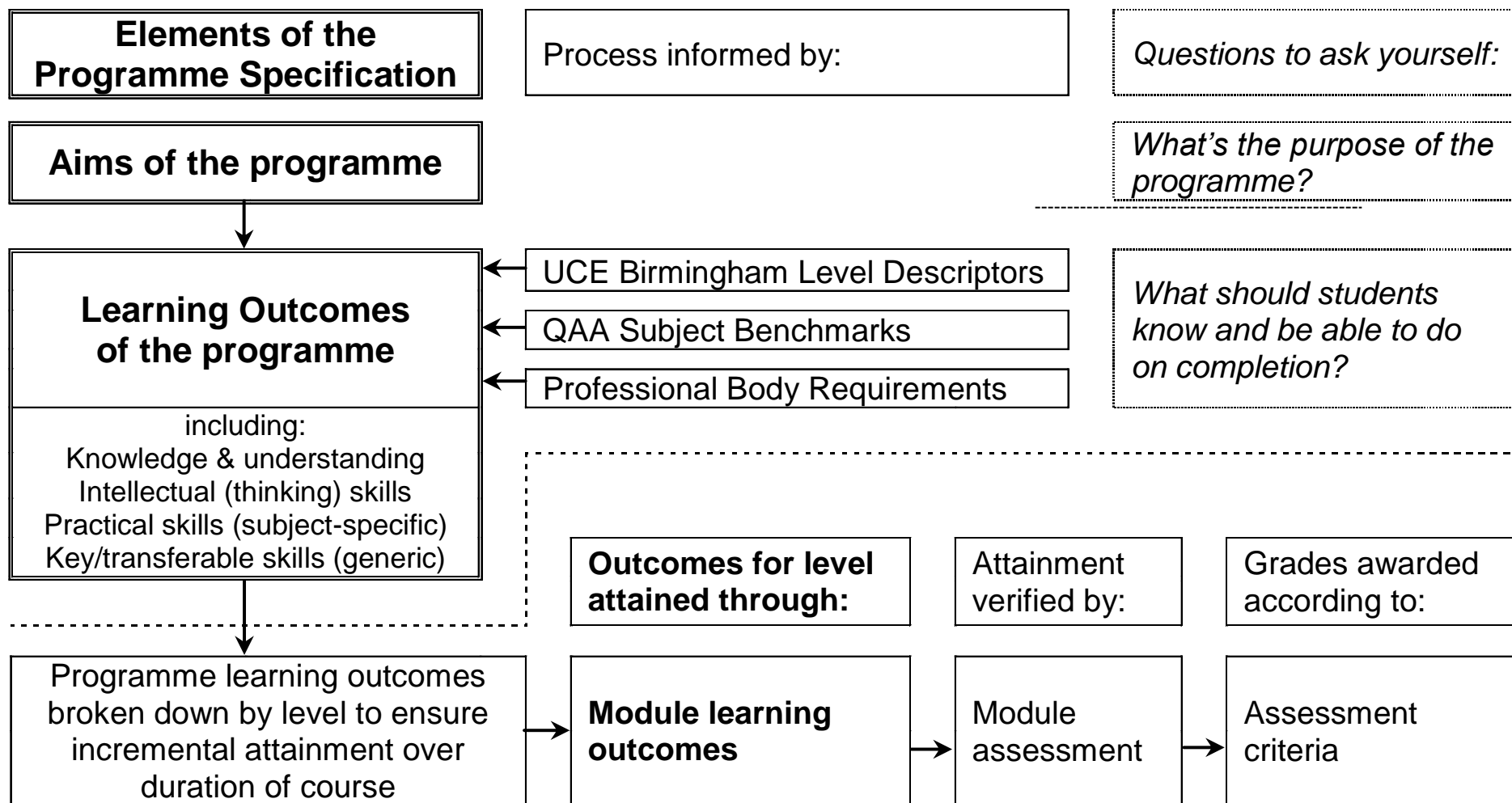
Diagnostic questions:

- Why are we educating?
- What is the educational philosophy behind the programme?
- What are the expected learning outcomes?
- How are the programme learning outcomes formulated?
- Do the learning outcomes reflect the department's goals?
- Does the labour market set any specific requirements for graduates to meet?
- To what extent and how do we try to tune the programme to the labour market?
- Is there a well-defined job profile?
- How are the learning outcomes made known to staff and students?
- To what extent do we think that the learning outcomes have been achieved?
- Do we review the learning outcomes?
- How are the learning outcomes translated into the concrete requirements of the graduate (i.e. knowledge, skills and attitudes; and professional ethics)?

Examples:

1. Expected Learning Outcomes

Guide to writing learning outcomes



2. Programme Specification

1. *Universities are recommended to publish, for each programme they offer, a programme specification which identifies potential stopping off points and gives the intended outcomes of the programme in terms of:*
 - *The knowledge and understanding that the students will have upon completion*
 - *Key skills: communication, numeracy, the use of information technology and learning how to learn*
 - *Cognitive skills, such as an understanding of methodologies or ability in critical analysis*
 - *Subject specific skills, such as laboratory skills, clinical skills, etc.(1.10)*
2. *Programme specification is a concise description of the intended outcomes of learning from a higher education programme, and the means by which these outcomes can be achieved and demonstrated.(1.11)*
3. *Programme specification makes explicit the intended outcomes in terms of knowledge, skills and attitudes. They should help students to understand the teaching and learning method that enables the outcome to be achieved; the assessment method that enable achievement to be demonstrated; and the relationship of the programme and its study elements to the qualification frameworks in each member country and to any subsequent professional qualification or career path.(1.1)*

2. Programme Specification

2	Programme Specification	1	2	3	4	5	6	7
2.1	The university uses programme specification (1)							
2.2	The programme specification shows the expected learning outcomes and how these can be achieved (1,2,3)							
2.3	The programme specification is informative, communicated, and made available to the stakeholders (1,3)							
	Overall opinion							

2. Programme Specification

The following information should be included in the programme specification:

- Awarding body/institution
- Teaching institution (if different)
- Details of the accreditation by a professional or statutory body
- Name of the final award
- Programme title
- Learning outcomes of the programme
- Admission criteria or requirements to the programme
- Relevant subject benchmark statements and other external and internal reference points used to provide information on programme outcomes
- Programme outcomes such as knowledge, skills and attitudes
- Teaching, learning and assessment strategies to enable outcomes to be achieved and demonstrated
- Programme structure and requirements including levels, modules, credits, etc.
- Date on which the programme specification was written or revised

2. Programme Specifications

Diagnostic questions:

- Are the learning outcomes translated into the programme and its courses or modules?
- Does the university have a programme specification as formulated by the AUN-QA?
- Is the programme specification published and made available or known to stakeholders?
- What is the process for reviewing the programme specification?

Examples:

3. Programme Structure & Content

- 1.The curriculum shows a balance between specialised contents, general knowledge and skills. The curriculum is designed to meet the needs of the stakeholders. (1.3)*
- 2.The curriculum takes into account and reflects the vision, mission, aims and objectives of the institution. The vision, mission, aims and objectives are explicit and are known to staff and students.(1.1)*
- 3.The curriculum shows the expected competences of the graduate. Each course should clearly be designed to show the expected outcomes of the course competencies. To obtain this, a curriculum map should be constructed.(1.5)*
- 4.The curriculum is designed so that the subject matter is integrated and strengthens other courses in the curriculum (1.4)*
- 5.The curriculum is structured to show range, depth, coherence and organisation of the courses (1.6)*
- 6.The curriculum structure shows clearly the basic courses, the intermediate courses, the specialised courses and the final project, thesis or dissertation (1.7)*

3. Programme Structure & Content

3	Programme Structure and Content	1	2	3	4	5	6	7
3.1	The programme content shows a good balance between generic and specialised skills and knowledge (1)							
3.2	The programme reflects the vision and mission of the university (2)							
3.3	The contribution made by each course to achieving the learning outcomes is clear (3)							
3.4	The programme is coherent and all subjects and courses have been integrated (4)							
3.5	The programme shows breadth and depth (5)							
3.6	The programme clearly shows the basic courses, intermediate courses, specialised courses and the final project, thesis or dissertation (6)							
3.7	The programme content is up-to-date (1)							
	Overall opinion							

3. Programme Structure & Content

Diagnostic questions:

- Do the contents reflect the mission and vision of the university?
- Do the contents of the undergraduate programme reflect the expected outcomes and can they be considered capable of achieving the expected outcomes?
- Are the courses in the programme clearly related? Is the programme coherent?
- Has a proper balance been struck between specific and general courses?
- Is the programme content up-to-date?
- Why was this programme structure chosen?
- Has the educational programme been changed structurally over recent years? If so, why?
- Do the courses demonstrate growing complexity over the years?
- Were any requirements specified on the internal coherence of the courses? Who set these requirements?
- Does the first year of the programme provide sufficient insight into the remaining parts of the programme?
- Is the connection between basic programme and specialisation correct?
- Is the organisation of the various specialised courses satisfactory?
- Is the relation between basic courses, intermediate courses and specialised courses in the compulsory programme and the optional sections satisfactory?
- Are bottlenecks experienced within the programme?
- What organisational form does the university use (term, semester, modular, problem oriented)? What do those involved think of this?

3. Programme Structure & Content

Skills Matrix or Curriculum Map

	Introduced	Reinforced	Assessed (exit level)
Outcome #1	Subject A (Lecture)	Subject C (Case-based learning) Subject F (PBL)	
Outcome #2	Subject B (Interactive lecture) Subject C (Self-directed learning)	Subject D (Laboratory) Subject G (Placement)	Subject H (Final year project)
Outcome #3		Subject E (Peer tutoring) Programme A (organised by SAO)	

Curriculum Mapping Process



1. Building your curriculum map

Get an overview of the extent to which each programme outcome is taught and assessed?

2. Identify gaps in the curriculum

Have all intended outcomes of your programme been adequately addressed?

3. Making adjustments to the curriculum

Modify the curriculum, teaching and assessment methods where appropriate

4. Teaching & Learning Strategy

1. *Staff are encouraged to employ action learning. Action learning is a continuous process of learning and reflection, supported by peers, with the intention of achieving quality student learning. Through action learning, university teachers learn with and from each other by working on real problems and reflecting on their own experiences. A programme of facilitated action learning is aimed at the improvement of student learning and the environment in which it occurs. (2.14)*
2. *Quality learning is understood as involving the active construction of meaning by the student, and not just something that is imparted by the teacher. It is a deep approach of learning that seeks to make meaning and achieve understanding. Hence, the conception of teaching is the facilitation of learning. (4.1)*
3. *It is the students who achieve the aims of higher education. Quality learning is largely dependent on the approach that the learner takes when learning. This in turn is dependent on the concepts that the learner holds of learning, what he or she knows about his or her own learning, and the strategies she or he chooses to use. (4.2)*
4. *Quality learning embraces the principles of adult learning. Adults learn best in a relaxed, supportive, cooperative and informal learning environment. Deep learning is likely to take place in environments which foster collaborative learning. (4.3)*
5. *In promoting responsibility in learning, teachers should:*
 - a. *create a teaching-learning environment that enables individuals to participate responsibly in the learning process*
 - b. *provide curricula that are flexible and enable learners to make meaningful choices in terms of subject content, programme routes, approaches to assessment and modes and duration of study (4.9)*
6. *In engaging with feelings and values as well as intellectual development, teachers provide learning opportunities and encounters which involve the whole person, feelings as well as intellect (4.10)*

4. Teaching & Learning Strategy

4	Teaching and Learning Strategy	1	2	3	4	5	6	7
4.1	The faculty or department has a clear teaching and learning strategy (5)							
4.2	The teaching and learning strategy enables students to acquire and use knowledge academically (2, 6)							
4.3	The teaching and learning strategy is student oriented and stimulates quality learning (3, 4)							
4.4	The teaching and learning strategy stimulates action learning and facilitates learning to learn (1)							
	Overall opinion							

Examples:

4. Teaching & Learning Strategy

Diagnostic questions:

- Is there an explicit teaching and learning strategy shared by all staff members?
Is this adequate?
- Is diversity of learning environment promoted including exchange programme?
- Is the instruction/teaching provided by other departments satisfactory?
- Are the instructional methods used (organisation of self-instruction for the students, size of classes, organisation of seminars, practical courses/internships, etc.) satisfactory?
- How is technology used in the instruction?
- How is the teaching and learning strategy evaluated? Do the chosen methods fit into the learning outcomes of the courses? Is there sufficient variety in the methods?
- Are there any circumstances that prevent these desired instructional methods from being used (number of students, material infrastructure, lecturer skills)?

4. Teaching & Learning Strategy

Diagnostic questions:

- If research is a core activity for the university:
- When do students come into contact with research for the first time?
- How is the interrelationship between education and research expressed in the programme?
- How are the research findings included in the programme?
- The practical training of students (trainees) is a specific aspect in the teaching and learning strategy. Describe the practical training in the programme:
- Is practical training a compulsory part?
- What is the size of practical training credit points?
- Have any criteria been formulated for the practical training to comply with?
- Preparation of practical training in the programme (concerning content, method and skills).
- Is the level of the practical training satisfactory?
- Are there any bottlenecks in the practical training? If so, what causes them?
- How are students coached?
- How is the assessment done?

5. Student Assessment

1. *Assessment covers:*
 - *New student entrance by means of input competency*
 - *Student's study progress by means of matrix/map/portfolio of the competency and outcome-based curriculum*
 - *Final/ Exit test of the graduates by means of Graduate Competency Checklist or comprehensive and integrated assessment*
2. *In line with principle of adult learning, adults prefer to be assessed by criterion-referenced methods and by a combination of peer, self- and teacher assessment.(3.1)*
3. *In fostering open, flexible, reflective and outcome-based assessment, the teachers should provide a variety of assessment methods of students' learning, through self-, peer and teacher assessment where the criteria are made explicit following negotiation with the course members. The assessment strategies adopted should be congruent with clearly defined learning outcomes.(3.2)*
4. *Assessment methods correspond to all the aims and aspects of the curriculum as taught (3.3)*
5. *A range of assessment methods is used in a planned manner to serve diagnostic, formative, and summative purposes. (3.4)*
6. *The scope and weighting of assessment schemes are clear and known to all concerned. (3.5)*
7. *Standards applied in assessment schemes are explicit and consistent across the curriculum. (3.6)*
8. *Procedures are regularly applied to ensure that, as far as possible, assessment schemes are valid, reliable and fairly administered. (3.7)*
9. *Students have ready access to reasonable appeal procedures.(3.9)*
10. *The reliability and validity of assessment methods should be documented and regularly evaluated and new assessment methods are developed and tested.(3.10)*

5. Student Assessment

5	Student Assessment	1	2	3	4	5	6	7
5.1	Student assessment covers student entrance, student progress and exit tests (1)							
5.2	The assessment is criterion-referenced (2)							
5.3	Student assessment uses a variety of methods (3, 5)							
5.4	Student assessment reflects the expected learning outcomes and the content of the programme (3)							
5.5	The criteria for assessment are explicit and well-known (3,6)							
5.6	The assessment methods cover the objectives of the curriculum (4)							
5.7	The standards applied in the assessment are explicit and consistent (7, 8, 9, 10)							
	Overall opinion							

5. Student Assessment

Diagnostic questions:

- Is entry assessment done on new students?
- Is exit assessment done on departing (graduating) students?
- To what extent do the assessment and examinations cover the content of the courses and programme? To what extent do the assessment and examinations cover the objectives of the courses and of the programme as a whole?
- Is the assessment criterion-referenced (i.e. a specified set of criteria)?
- Is a variety of assessment methods used? What are they?
- Are the pass/fail criteria clear?
- Are the assessment/examination regulations clear?
- Are the procedures clear? Are they well known? Well followed?
- Are any safeguards in place to ensure objectivity?
- Are the students satisfied with the procedures? What about complaints from students?
- Do clear rules exist for re-assessment and are students satisfied with these?

5. Student Assessment

Diagnostic questions:

A special form of student assessment is the final project (essay, thesis or assignment). This requires students to demonstrate their knowledge and skills and their ability to manipulate the knowledge in a new situation.

- Do clear regulations exist for the final project?
- Have criteria been formulated that the final project has to comply with?
- What does the preparation for producing the final project in the programme involve (in terms of content, methods, and skills)?
- Is the level of the final project satisfactory?
- Do any bottlenecks exist for producing final project? If so, why?
- How are students being coached?

Examples:

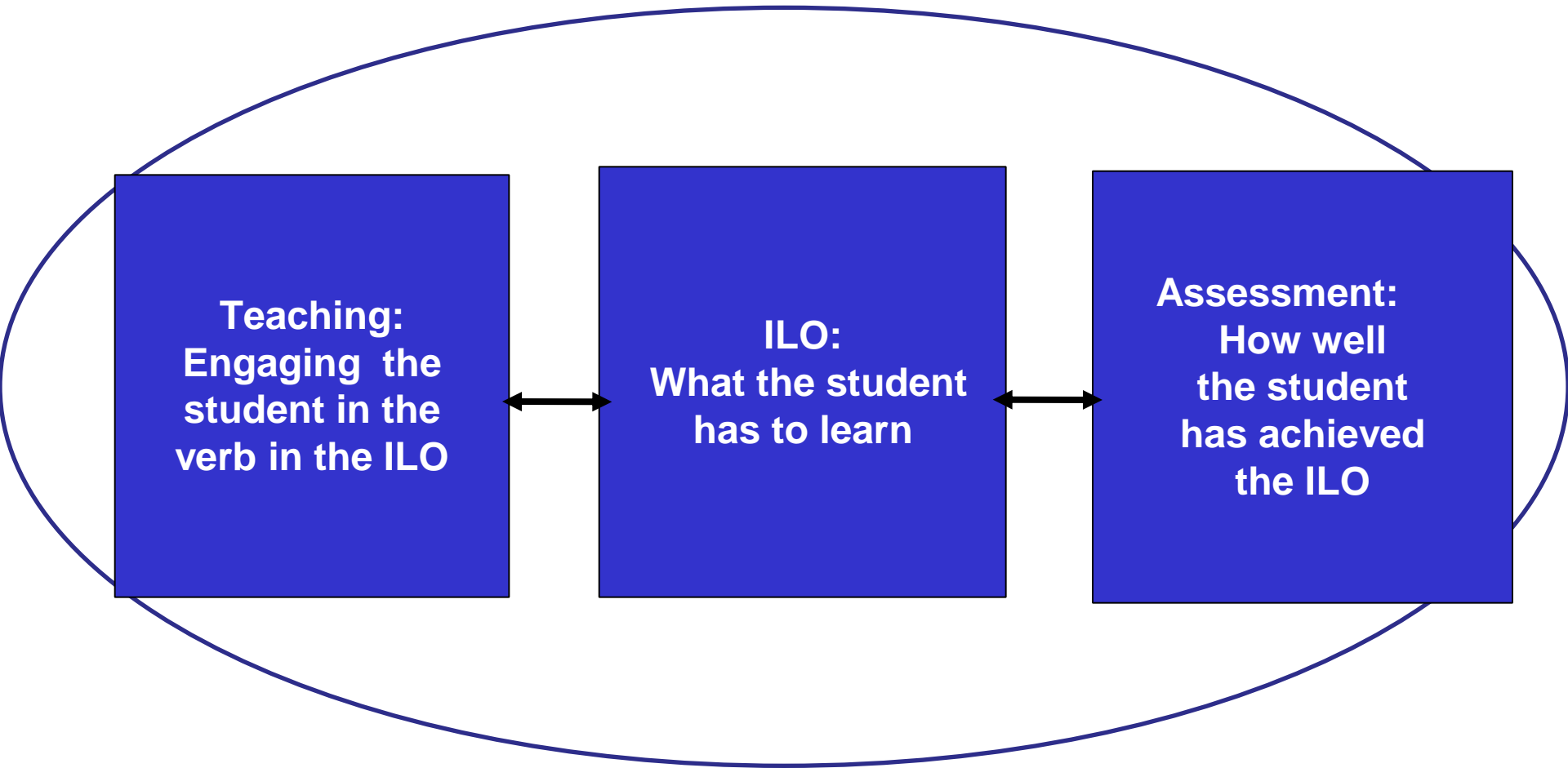
Constructive Alignment

- As a Teacher/Lecture, what do you want to achieve in teaching?
 - The focus in teaching is not what we teach but what we would like our students to learn and how we can help them achieve that.
 - The first step therefore is to define the intended learning outcomes for our students.
 - Teaching and assessment are then designed and implemented to align to these outcomes.

“Constructive” “Alignment”

- ‘**Constructive**’ refers to the idea that students *construct meaning* through relevant learning activities.
- ‘**Alignment**’ refers to a learning environment where teaching and learning activities, and assessment tasks, are *aligned* to the intended learning outcomes of a subject.

Constructive Alignment



4 Steps: Designing Constructively Aligned Teaching and Assessment

- Step 1: describe intended outcomes in the form of standards students are to attain using appropriate learning verbs.
- Step 2. create a learning environment likely to bring about the intended outcomes.
- Step 3. use assessment tasks enabling you to judge if and how well students' performances meet the outcomes.
- Step 4. develop grading criteria (rubrics) for judging the quality of student performance.

Expected Learning Outcome

- **University level**
 - What are the attributes of an ideal graduate of the University?
- **Programme level**
 - What are the intended learning outcomes for students enrolled in the programme?
- **Subject/Unit level**
 - What are the intended learning outcomes for students taking a particular subject/unit at a particular level within the programme?

Expected Learning Outcomes

- Statements of what students are expected to be able to do as a result of engaging in the learning process (studying a subject/programme).
- Expressed from the students' perspective.
- Expressed in the form of action verbs leading to observable and assessable outcomes.
- Related to criteria for assessing student performance.

Four common teaching situations and associated teaching and learning activities

Situation	Teaching Activities	Learning Activities
LECTURE	Talk, explain, clarify	Listen, take notes, accept, query, discuss with peers, one-minute paper
TUTORIAL	Set/answer questions, provide feedback	Pre-read, prepare questions, learn from peers, critique, analyse
PROJECT	Set brief, provide ongoing feedback	Apply, create, self-monitor, communicate, teamwork
PROBLEM BASED LEARNING	Set problems, provide feedback	Set learning goals, design, apply, access desired content and skills, integrate, solve problems

Alignment of ELO and TLA

Typical ELO	Possible TLAs
Describe	Set reading, lecture, report on
Explain	Tutorial, activities, write essay
Integrate	Project, assignment
Apply	Project, case study
Solve problem	PBL, case study
Design, create	Project, poster
Hypothesise	Experiment, project
Reflect	Reflective diary

- The point is not how you are going to teach but how and what you want your students to learn.
- NOTE! Many of these TLAs can be assessments tasks as well. Then you have excellent alignment.

Assessment Tasks

- Provide students the opportunity to demonstrate whether or not they have achieved the ILOs and what level their performance is in those ILOs.
- Should be appropriately designed or selected to address the ILOs that we want to assess.
- Different assessment methods (tasks) address different ILOs. There should therefore be several kinds of task.
- Provide the evidence allowing teachers to make a judgment about the level of a student's performance against the ILOs and to award a final grade.

Alignment of ELO and Assessment Tasks

Common ELOs	Possible Assessment
Describe	Assignment, essay question exam
Explain	Assignment, essay question exam,
Integrate	Project, assignment
Analyse	Case study, assignment
Apply	Project, case study, experiment
Solve problem	Case study, project, experiment
Design, create	Project, experiment, poster
Reflect	Reflective diary, portfolio, self-assessment
Communicate	A range of oral, writing or listening

6. Academic Staff Quality

1. *Competent university teaching staff are able to:*
 - *design and deliver a coherent teaching and learning programme*
 - *apply a range of teaching and learning methods and select methods most appropriate to desired learning outcomes*
 - *develop and use a variety of instructional media*
 - *employ a range of techniques to assess students' work and match these to intended learning outcomes*
 - *monitor and evaluate their own teaching performance and evaluate programmes they deliver*
 - *reflect upon their own teaching practices*
 - *identify needs and develop plans for continual development. (2.13)*
2. *The teaching staff establishment or staffing is sufficient to deliver the curriculum and suitable in terms of the mix of qualifications, experience, aptitudes, age, etc. (2.1)*
3. *Recruitment and promotion of academic staff are based on merit system, which includes teaching, research and service.(2.3)*
4. *Roles and relationship of staff members are well defined and understood (2.4)*
5. *Duties allocated are appropriate to qualifications, experience, and aptitude. (2.5)*
6. *Time management and incentive system are directed to support quality of teaching and learning.(2.6)*
7. *All staff is accountable to the Owner of the University (e.g. the Government, Board of Trustees, or the Foundation) through the Rector, President or Vice- Chancellor and to the stakeholders, taking into account their academic freedom and professional ethics. (2.9)*
8. *There are provisions for review, consultation, and redeployment.(2.10)*
9. *Termination, retirement and social benefits are planned and well implemented. (2.11)*
- 10 *There is a well-planned staff appraisal based on fair and objective measures in the spirit of enhancement which are carried out regularly (2.12)*

6. Academic Staff Quality

6	Academic Staff Quality	1	2	3	4	5	6	7
6.1	The staff are competent for their tasks (1)							
6.2	The staff are sufficient to deliver the curriculum adequately (2)							
6.3	Recruitment and promotion are based on academic merits (3)							
6.4	The roles and relationship of staff members are well defined and understood (4)							
6.5	Duties allocated are appropriate to qualifications, experience and skills (5)							
6.6	Staff workload and incentive systems are designed to support the quality of teaching and learning (6)							
6.7	Accountability of the staff members is well regulated (7)							
6.8	There are provisions for review, consultation and redeployment (8)							
6.9	Termination and retirement are planned and well implemented (9)							
6.10	There is an efficient appraisal system (10)							
	Overall opinion							

6. Academic Staff Quality

Size of the staff and their qualifications

Category	M	F	Total		Percentage of PhDs
			People	FTEs*	
Professors					
Associate/ Assistant Professors					
Full time lecturers					
Part time lecturers					
Visiting professors/ lecturers					
Total					

* FTE stands for Full-Time Equivalent. This is a unit to calculate the investment of time. 1 FTE is equal to about 40 hours per week (full-time employment). A staff member with a weekly appointment of 8 hours is 0.2 FTE.

6. Academic Staff Quality

Staff/student ratio and staff/graduate ratio
(please specify the year)

Total FTE of teaching staff*	Number of students	Number of graduates	Number of students per FTE of teaching staff	Number of graduates per FTE of teaching staff

** Realistic estimate of the number of FTEs of teaching staff. The number of students enrolled in the programme at the beginning of the academic year. If this number is not considered to be representative, please specify what it should be.*

6. Academic Staff Quality

Diagnostic questions:

- Are the staff competent and qualified for their job?
- Are the competencies and expertise of the staff adequate for delivering this programme?
- Are there any problems with the human resources? Age structure? Vacancies difficult to fill? How many Master's and PhD degree holders are there among the staff? What difficulties are there in attracting qualified staff?
- What policy is pursued with regard to the employment of staff, both in teaching and research?
- Is conscious effort made to involve professors in mentoring and/or training junior/new academic staff?
- Is a policy in place with regard to the involvement in seminars, supervision of final papers, practical courses and/or practical training internships?
- What about teaching loads? The staff/student ratio? The staff/graduate ratio?
- How many contact hours service-instruction are given in other programmes and departments?
- What is the accountability of staff to their roles, responsibilities and professional ethics?

6. Academic Staff Quality

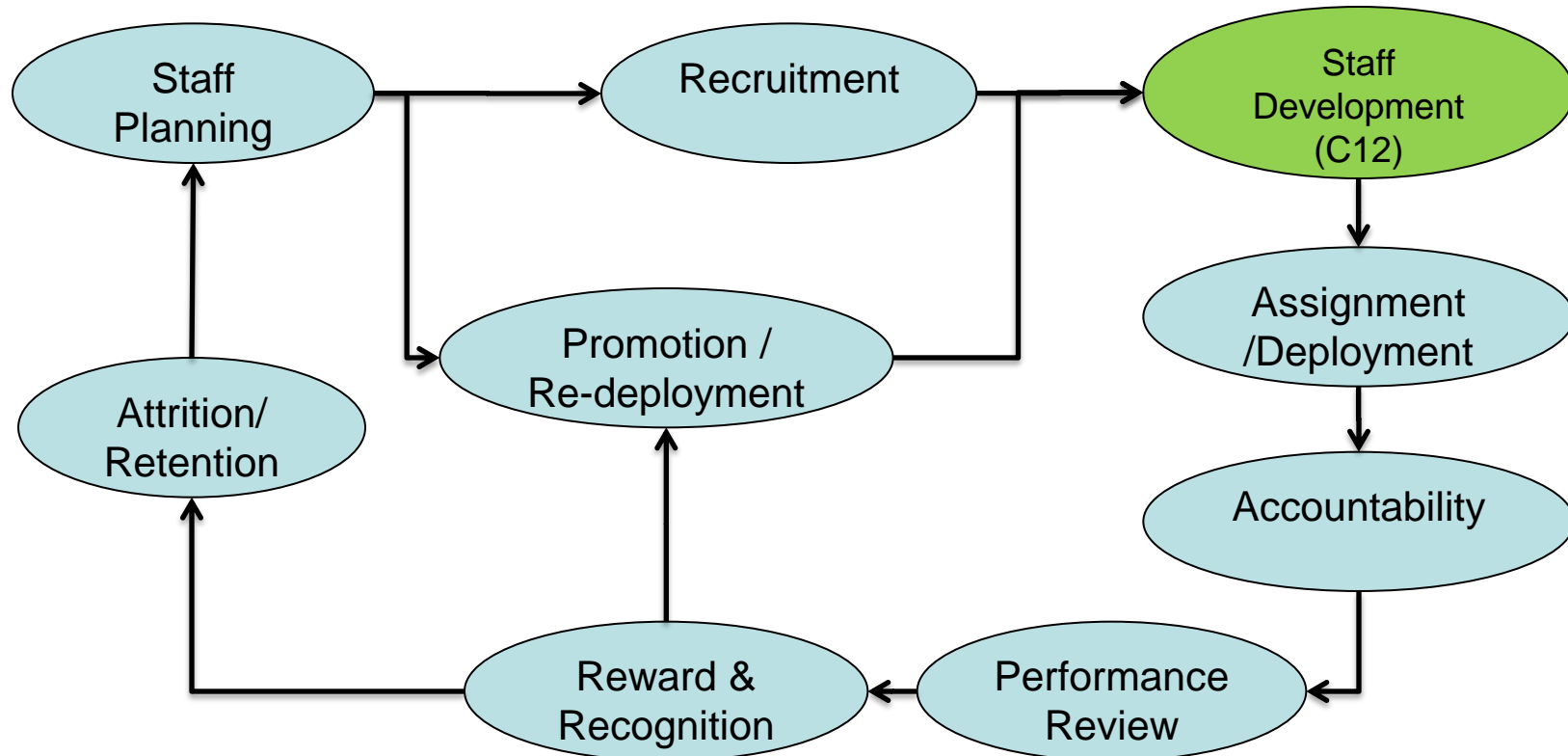
Diagnostic questions:

Staff management

- Does the department have a clearly formulated staff management structure?
- Is staff recruitment based on experience in teaching and research?
- Is there a system of staff appraisal?
- What role do teaching qualifications and teaching activities play in the career of the staff members?
- How does the department think of its HR policy so far?
- What future developments are there?
- How are teachers prepared for the teaching task?
- Is the teaching delivered by the staff supervised and assessed?

Examples:

6. Academic Staff Quality



7. Support Staff Quality

There is adequate support in term of staffing at the libraries, laboratories, administration and student services. (2.2)

7	Support Staff Quality	1	2	3	4	5	6	7
7.1	The library staff are competent and adequate in providing a satisfactory level of service							
7.2	The laboratory staff are competent and adequate in providing a satisfactory level of service							
7.3	The computer facility staff are competent and adequate in providing a satisfactory level of service							
7.4	The student services staff are competent and adequate in providing a satisfactory level of service							
	Overall opinion							

7. Support Staff Quality

Diagnostic questions:

- Are the support staff for the library competent and sufficient?
- Are the support staff for the laboratories competent and sufficient?
- Are the support staff for the computer facilities competent and sufficient?
- Are the support staff for the administration competent and sufficient?
- What is the ratio of academic staff to support staff? Is the support staff competent and sufficient in giving services to staff and students?

Examples:

8. Student Quality

There is a clear student intake policy and the admission criteria to the programme are formulated and reviewed periodically.

8	Student Quality	1	2	3	4	5	6	7
8.1	There is a clear student intake policy							
8.2	The student admission process is adequate							
8.3	The actual study load is in line with the prescribed load							
	Overall opinion							

8. Student Quality

Give a summary of the intake of first year students

	Full-time			Part-time		
Academic year	M	F	Total	M	F	Total

Give a summary of the total number of students enrolled in the programme (last 5 academic years)

	Full-time			Part-time		
Academic year	M	F	Total	M	F	Total

8. Student Quality

Diagnostic questions:

- How do you analyse the development of the student intake: Reasons to worry? Causes of problems? Prospects for the future?
- Are students selected?
- If so, how are they selected? What are the requirements?
- What policy is pursued with regard to the intake of students? Does it aim to increase the intake or to stabilise it? Why?
- What measures are taken to affect the quality and the size of the intake?
- What effect do these measures have?
- How does the programme take into account the level of achievement of entering students? How are the programme and secondary education linked?

8. Student Quality

Diagnostic questions:

Student study load and performance

- Does the department have a credit points system? How are credits calculated?
- Does the programme's actual study load correspond with the prescribed study load?
- Is the study load divided equally over and within the academic years?
- What measures are taken in the field of programme development and/or student advice when parts of the programme deviate from the prescribed study load (too difficult/heavy or too easy)? Are these measures effective?
- Can an average student complete the programme in the planned time?
- What are the indicators used to monitor student progress and performance?

Examples:

9. Student Advice and Support

1. *Student progress is systematically recorded and monitored, feedback to students and corrective actions are made where necessary.(3.8)*
2. *In establishing a learning environment to support the achievement of quality student learning, teachers do all in their power to provide not only a physical and material environment which is supportive of learning and which is appropriate for the activities involved, but also a social or psychological one (5.1).*

9	Student Advice and Support	1	2	3	4	5	6	7
9.1	There is an adequate student progress monitoring system (1)							
9.2	Students get adequate academic advice, support and feedback on their performance (1)							
9.3	Mentoring for students is adequate (1)							
9.4	The physical, social and psychological environment for the student is satisfactory (2)							
	Overall opinion							

9. Student Advice and Support

Diagnostic questions:

- Does the department have a monitoring system for:
 - recording study progress
 - following graduates (for example, tracer surveys)
- How is the data of the monitoring system used?
- What role do staff members play in informing and coaching students?
- What role do they play in integrating students into the department?
- How is the information to potential students organised? Is sufficient attention paid to requirements of their educational background? Does the future student get a good impression of the education offered? Is the information evaluated? If so, what happens with the results?
- How are students informed about study facilities? How is the information provided with regard to the programme?
- Is student progress recorded? Does the recording lead to problems being pointed out in time? When is the first contact made with problematic cases? Does this result in remedial and/or preventive actions being introduced for the individual student or programme development?
- Is special attention paid to the coaching of first year students? If so, how does it work?
- Is attention paid to study progress?

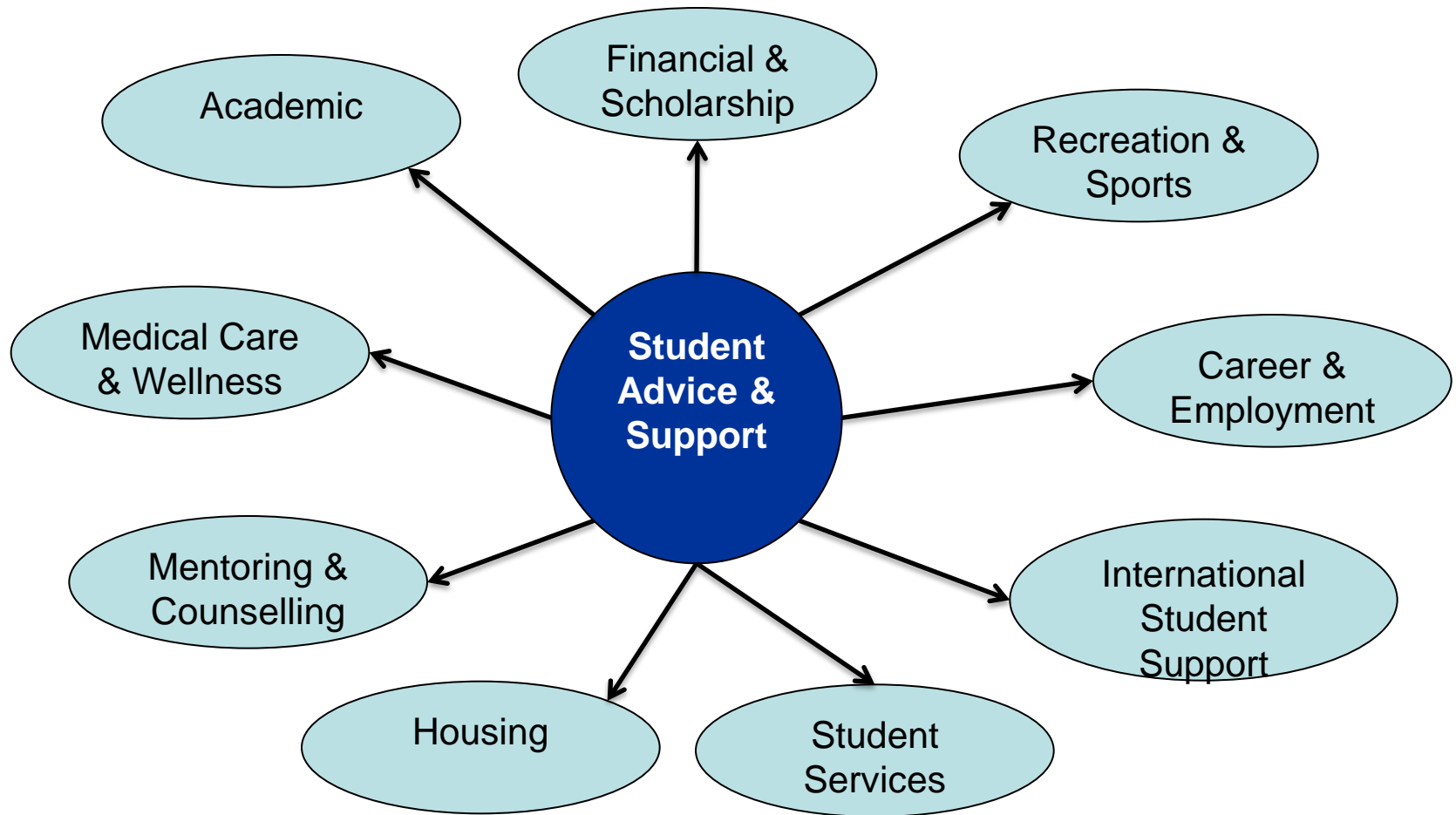
9. Student Advice and Support

Diagnostic questions:

- Are specific facilities available to provide study skills for students with problems? Are these available within the department, the faculty or centrally? How is information on these matters organised?
- Is separate attention paid to coaching of advanced students?
- Is assistance given in completing the final project? Where can students who get stuck with their practical training or final project get help?
- How are students advised on problems concerning course options, change of options, interruption or termination of studies?
- Is information provided on career prospects? Do students have the opportunity to familiarise themselves with the labour market by means of practical training, application courses and the like?
- If students wish to extend their course of study, are the reasons examined? If yes, what are usually the findings and what measures do they result in?
- To what extent do the structure and organisation of the programme contribute to students taking on an active study approach?
- To what extent does the programme challenge students to make a satisfactory investment in their studies/programme?
- Are you satisfied with the tools available to improve study progress?

Examples:

9. Student Advice and Support



10. Facilities and Infrastructure

1. *The physical resources to deliver the curriculum, including equipment, materials and information technology are sufficient (6.1)*
2. *Equipment is up-to-date, readily available and effectively deployed (6.2)*
3. *Learning resources are selected, filtered, and synchronized with the objectives of the study programme (6.4)*
4. *A digital library is set up in keeping with progress in information and communication technology (6.5)*
5. *Information technology systems are set up or upgraded (6.7)*
6. *University computer centres provide continuously a highly accessible computer and network infrastructure that enables the campus community to fully exploit information technology for teaching, research and development, services and administration. (6.8)*
7. *Environmental Health and Safety Standards meet the local requirements in all aspects (5.2)*

10. Facilities and Infrastructure

10	Facilities and Infrastructure	1	2	3	4	5	6	7
10.1	The lecture facilities (lecture halls, small course rooms) are adequate (1)							
10.2	The library is adequate and up-to-date (3, 4)							
10.3	The laboratories are adequate and up-to-date (1, 2)							
10.4	The computer facilities are adequate and up-to-date (1, 5, 6)							
10.5	Environmental health and safety standards meet requirements in all aspects (7)							
	Overall opinion							

11. Facilities and Infrastructure

Diagnostic questions:

Teaching rooms

- Are enough lecture-halls, seminar rooms, laboratories, reading rooms, and computer rooms available? Do these meet the relevant requirements?
- Is the library sufficiently equipped for education?
- Is the library within easy reach (location, opening hours)?
- Do you have sufficient laboratory facilities? Including support staff?
- Do the laboratories meet the relevant requirements?

Teaching aids and tools

- Are sufficient audio-visual aids available?
- Are there enough computers? Appropriate and enough computer programmes (computer-aided education, maths programmes, design programmes, etc)?
- To what extent do the facilities/infrastructure promote or obstruct delivery of the programme?
- Is the total budget for aids and tools sufficient?

Examples:

11. Quality Assurance of Teaching & Learning Process

1. *The curriculum is developed as a group to ensure the representation from the faculty Quality Committee, the faculty Teaching and Learning Committee, the programme team, students and stakeholders from industry, government and professional organisations (page 22 Introduction)*
2. *The curriculum is periodically reviewed and evaluated as to its effectiveness. Adjustments are made after reasonable time periods.(1.8)*
3. *A prime condition for constantly improving teaching and learning is a planned and regular process of evaluation. In this regard, teachers should foster a climate which values student involvement in the evaluation of teaching and the assessment of learning outcomes (end of page 30).*

11. Quality Assurance of Teaching & Learning Process

11	Quality Assurance of Teaching and Learning Process	1	2	3	4	5	6	7
11.1	The curriculum is developed by all teaching staff members (1)							
11.2	The curriculum development involves students (1)							
11.3	The curriculum development involves the labour market (1)							
11.4	The curriculum is regularly evaluated at reasonable time periods (2)							
11.5	Courses and curriculum are subject to structured student evaluation (3)							
11.6	Feedback from various stakeholders is used for improvement (3)							
11.7	The teaching and learning process, assessment schemes, the assessment methods and the assessment itself are always subject to quality assurance and continuous improvement (3)							
	Overall opinion							

11. Quality Assurance of Teaching & Learning Process

Diagnostic questions: **Curriculum design**

- Who is responsible for designing of the curriculum?
 - How are academic staff and students involved in the curriculum design?
 - What are the roles of the stakeholders in the design and review of the curriculum?
 - How do curriculum innovations come about? Who takes the initiative?
- On the basis of what signals?
- Who is responsible for implementation?
 - When designing curricula, is there any benchmarking with other institutions?
 - In which international networks does the department participate?
 - With which institution abroad does exchange take place?
 - Has the programme been recognised abroad?

11. Quality Assurance of Teaching & Learning Process

Diagnostic questions: **Curriculum design**

- Briefly outline how the department tries to guarantee quality. Is a structured quality assurance in place? If so, please describe it and how it works?
- Which boards and/or committees are involved in internal quality assurance?
- Is there a curriculum committee? What is its role?
- Is there an examination committee? What is its role? Does it work?
- Are the functions and responsibilities of the committees and administrators clear to everyone? Are there any problems with the division of responsibilities?

11. Quality Assurance of Teaching & Learning Process

Diagnostic questions:

Course and curriculum evaluation

- How is the programme (curriculum) evaluated? At course level? At curriculum level?
- Is the evaluation done systematically?
- How are the students involved in evaluating the education and training?
- How and to whom the results are made known?
- Is anything done with the results? How this is made transparent?

Student evaluation

- Does the university use student evaluations in a structured manner?
- Who is responsible for the evaluations?
- What is done with the outcome of the evaluations? Are there any examples of this contributing to improvements?
- What input do the students give to those who are in the committees involved in the internal quality assurance process?

11. Quality Assurance of Teaching & Learning Process



Examples:

12. Staff Development Activities

1. *Training and development needs for academic and support staff are systematically identified, in relation to individual aspirations, the curriculum and institutional requirements.(2.7)*
2. *Academic and support staff undertake appropriate staff development programmes related to the identified needs (2.8)*

12	Staff Development Activities	1	2	3	4	5	6	7
12.1	There is a clear plan on the needs for training and development of both academic and support staff (1)							
12.2	The training and development activities for both academic and support staff are adequate to the identified needs (2)							
	Overall opinion							

12. Staff Development Activities

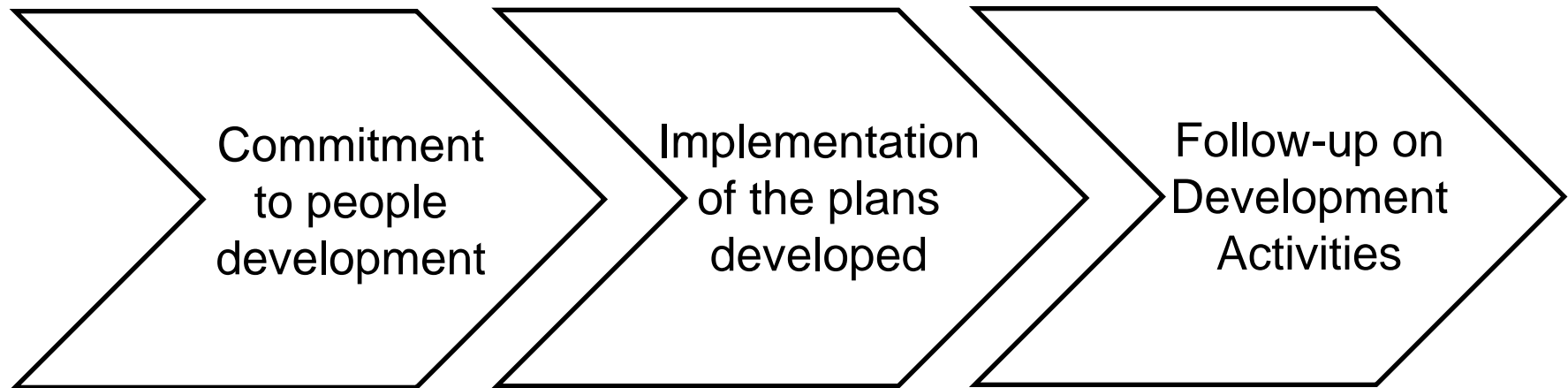
Diagnostic questions:

- Who is responsible for both academic and support staff training and development activities?
- What are the training and development process and plan? How are training needs identified?
- Does the training and development plan reflect the university and faculty mission and objectives?
- Is there a system to develop strategic and technical competencies of support staff?
- What are the training hours and number of training places for academic and support staff per year?
- What percentage of payroll or budget is allocated for training of academic and support staff?

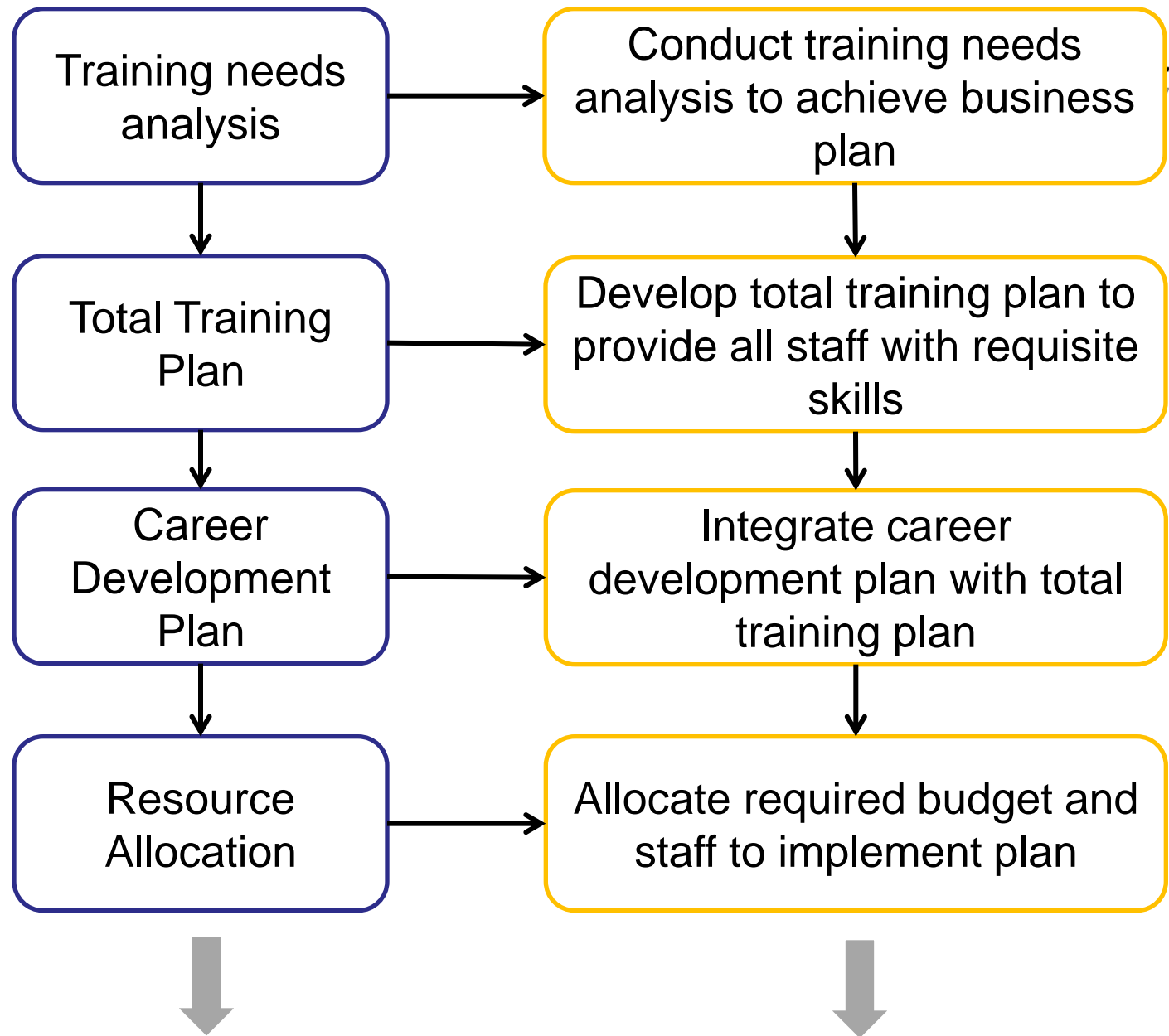
Examples:

12. Staff Development Activities

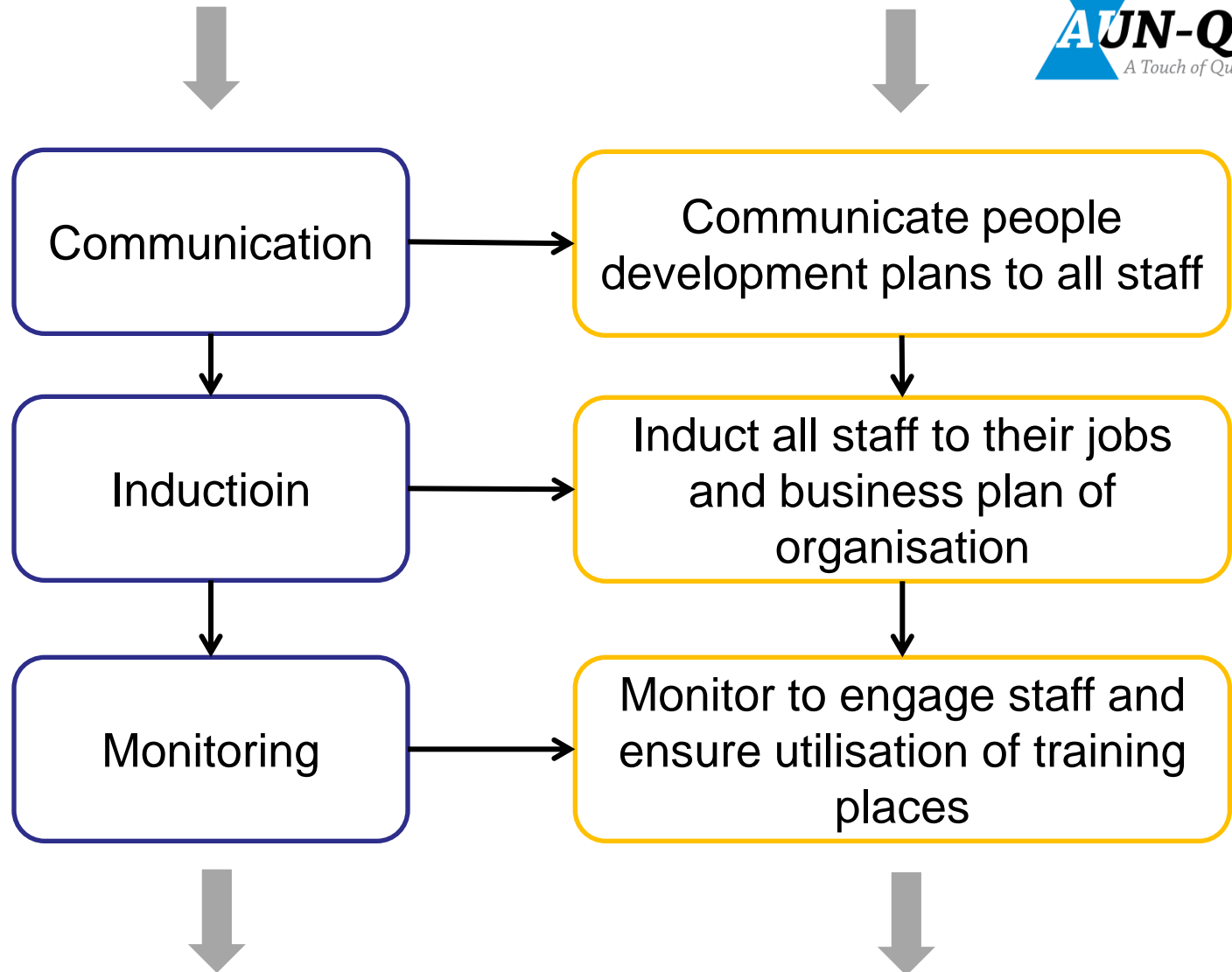
Overview



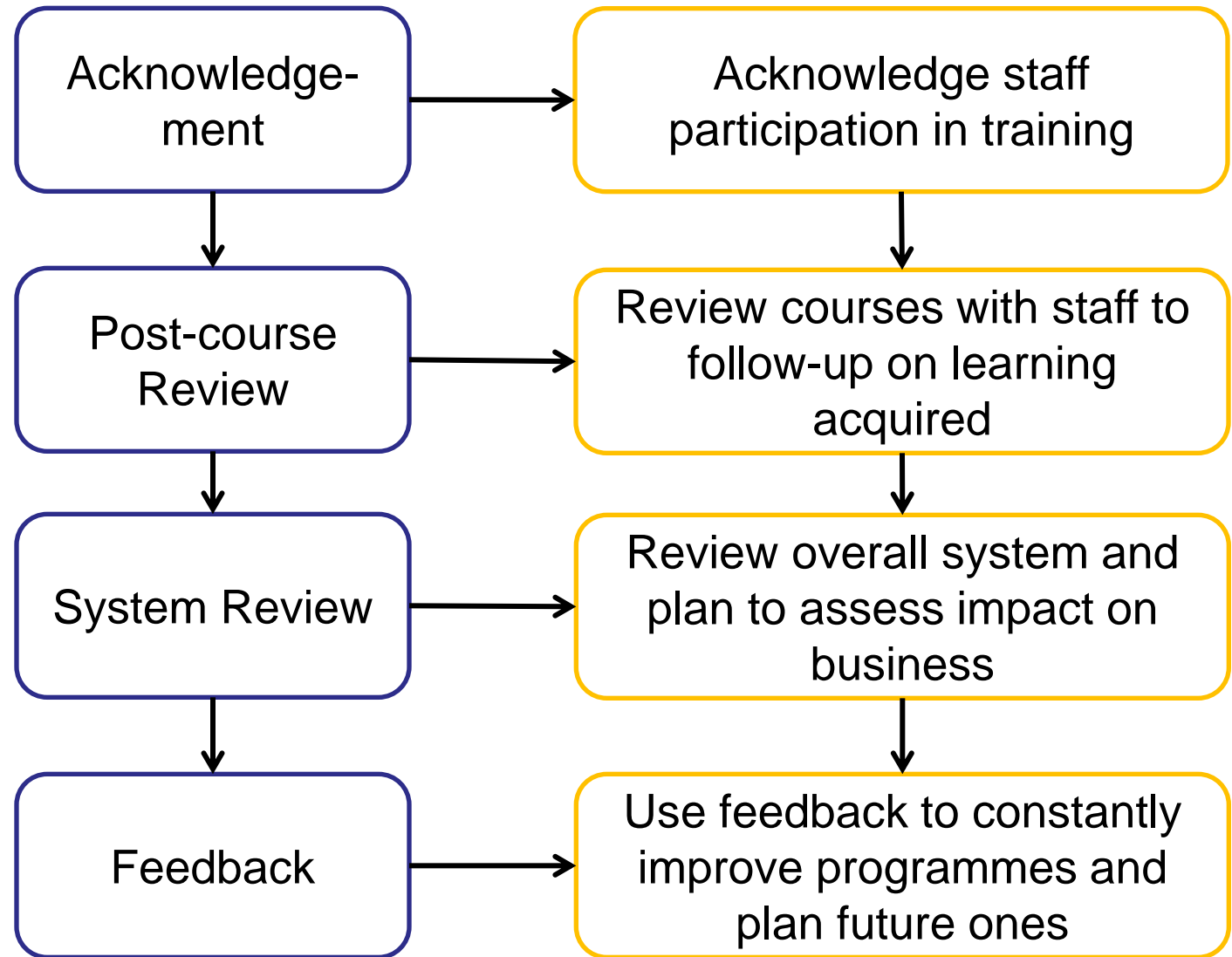
Commitment to people development



Implementation of the plans developed



Follow-up on Development Activities



13. Feedback Stakeholders

1. Universities are encouraged to have a built-in regular curriculum evaluation and course appraisal, involving all stakeholders (decision makers, employers, students, alumni, etc). (1.15)

13	Stakeholders Feedback	1	2	3	4	5	6	7
13.1	There is adequate structured feedback from the labour market							
13.2	There is adequate structured feedback from the students and alumni							
13.3	There is adequate structured feedback from the staff							
	Overall opinion							

13. Feedback Stakeholders

Diagnostic questions:

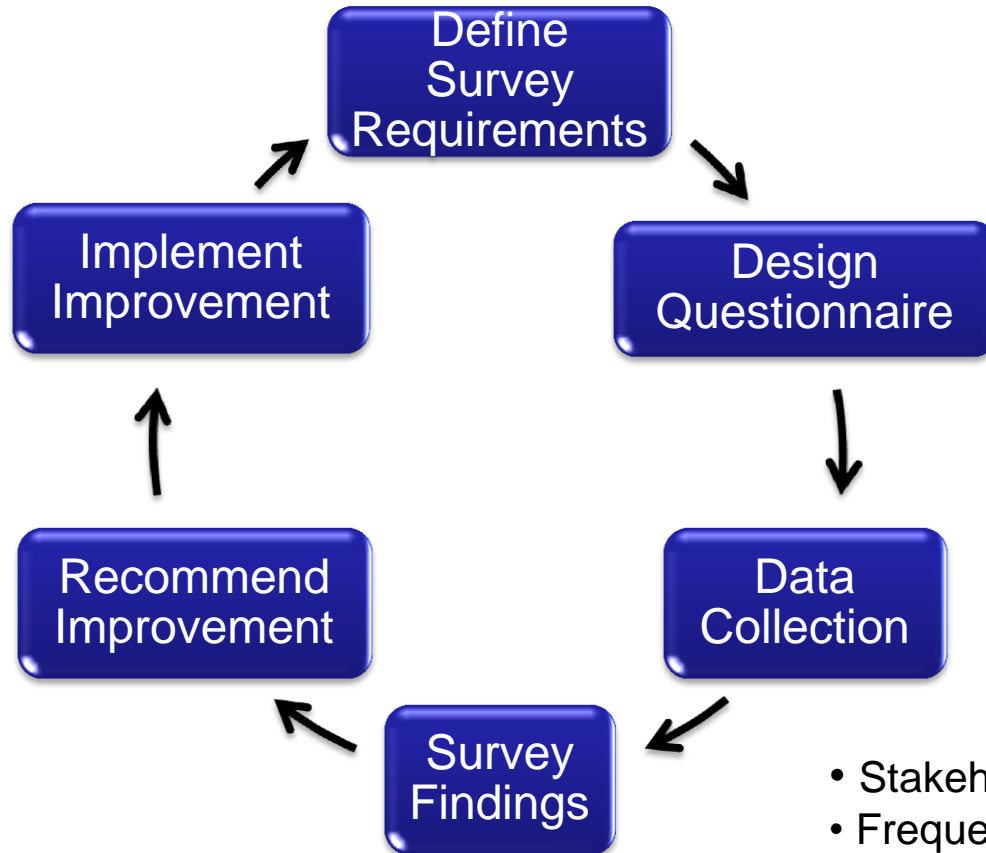
- Does the university have an efficient monitoring system, including:
 - structured feedback from the labour market
 - structured feedback from staff
 - structured feedback from the students
 - structured feedback from the alumni

Contact with graduates

- Does the department maintain contact with its graduates after graduation? Is there an association of graduates/alumni?
- What do graduates think about the programme?
- Is information from graduates used (feedback about their programme, information about developments in the labour market) to adjust the programme, if necessary?

Examples:

13. Feedback Stakeholders



- Stakeholders
- Frequency
- Sample size
- Response rate
- Quantitative and qualitative feedback
- Improvement strategy
- Link to Criterion 15 – Stakeholders Satisfaction

14. Output

The quality of the graduates should achieve the expected learning outcomes and the needs of the stakeholders. Research activities carried out by academic staff and students should meet the requirements of the stakeholders.

14	Output	1	2	3	4	5	6	7
14.1	The pass rate is satisfactory and dropout rate is of acceptable level							
14.2	Average time to graduate is satisfactory							
14.3	Employability of graduates is satisfactory							
14.4	The level of research activities by academic staff and students is satisfactory							
	Overall opinion							

14. Output

Pass rate and dropout rate

Academic year	Size cohort *	% first degree after			% dropout after			
		3 year	4 years	>4years	1 years	2 years	3 years	>3 years
			**			**		

Provide information on the pass rate and dropout rates of the various years (last 8 – 10 cohorts)

Diagnostic questions

- Does the university have an efficient monitoring system including:
 - a system to follow student progress?
 - a system to register pass rates and dropout rates?
- What does the department think of the pass rate? If not satisfactory, what measures have been taken to improve the pass rate?
- Have any fluctuations in the success rate been seen over the last five years?
- How high is the dropout rate? Are there explanations for the dropout rate?
- Does the department know where the dropout students are going?

14. Output

Diagnostic questions:

Achieved outcomes (graduates)

- Is the average standard of the graduate satisfactory?
- Do the achieved standards match the expected standards?
- Do graduates get jobs easily? Are the jobs that the graduates get in accordance with the level of graduation?
- Have any changes been signalled in the labour market prospects of graduates over the last few years? What are the prospects?

14. Output

Diagnostic questions:

Average time to graduation

- Indicate the average number of years a student spends on a programme. If necessary, categorise the students in groups.
- What does the department think of the average time to graduate?
- What measures have been taken to promote graduation and to shorten the average time to graduate?
- What effect do these measures have?

Graduate Employability

- What percentage of graduates found a job within six months of graduation over the past five years? What percentage of graduates found a job within a year?
- What percentage of graduates are still unemployed 2 years after graduation?

14. Output

Diagnostic questions:

Research

- What types of research activities are carried out by academic staff and students? Are these activities aligned to the vision and mission of the university and faculty?
- What is the level of research funding and how it is utilised?
- What is the volume of research papers? Are the research papers published in local, regional and international journals?

Examples:

14. Output

- Current and past performance indicators
- Performance targets
- Trend (upwards or downwards) and its reasons
- Comparison with other competitors or universities
- Benchmark with targeted universities



15. Stakeholder Satisfaction

Stakeholders are satisfied with the programme and the quality of the graduates.

15	Stakeholders Satisfaction	1	2	3	4	5	6	7
15.1	The feedback from stakeholders is satisfactory							
	Overall opinion							

15. Stakeholder Satisfaction

Diagnostic questions:

Students

- Does the department know what students think about the courses, programme, teaching, examinations, etc?
- How does the department cope with complaints from students?

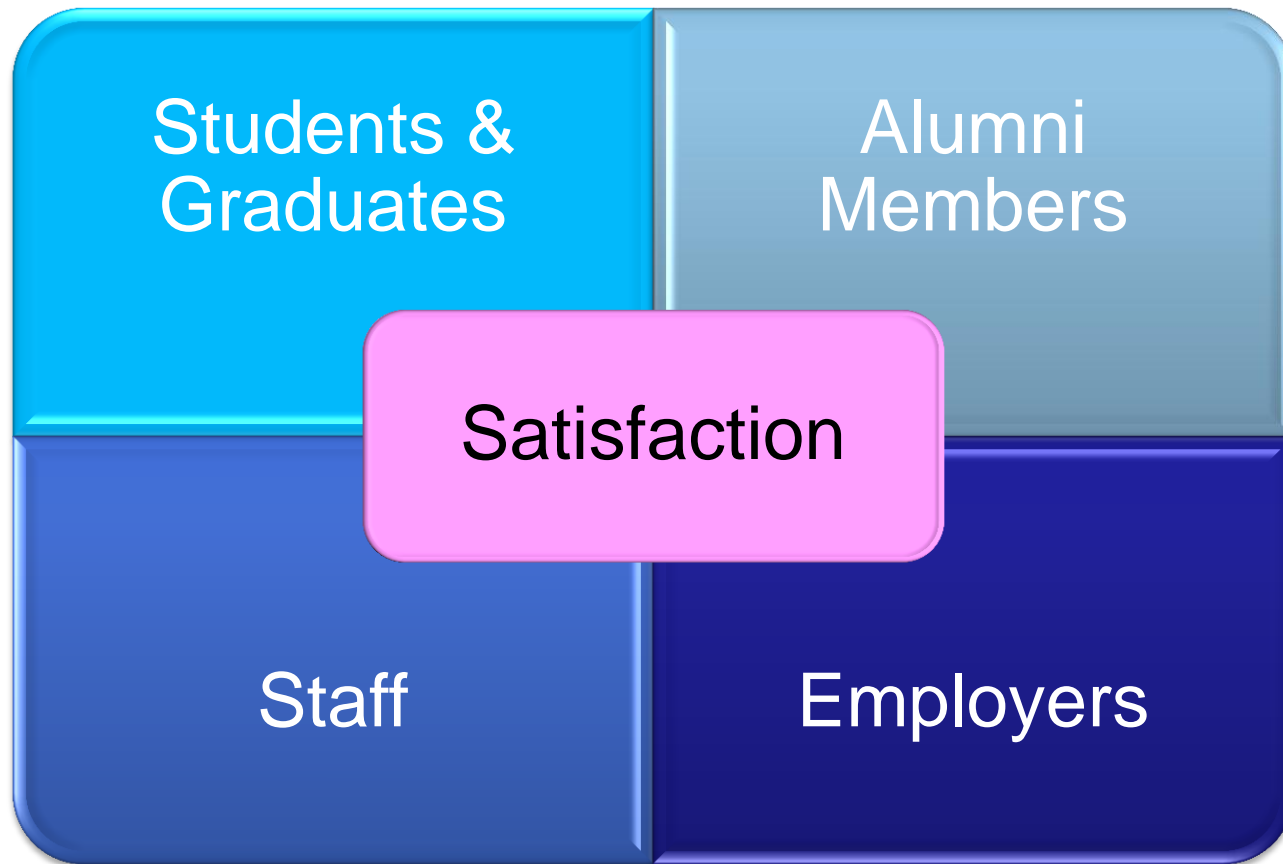
Alumni (graduates)

- What is the opinion and feedback of the graduates about the competencies that they acquired?
- Are the complaints or positive feedback of the alumni used to improve the programme?

Labour market

- Do employers appreciate the graduates?
- Are there any specific complaints about the graduates?
- Are specific strengths of the graduates appreciated by the employers?

15. Stakeholder Satisfaction

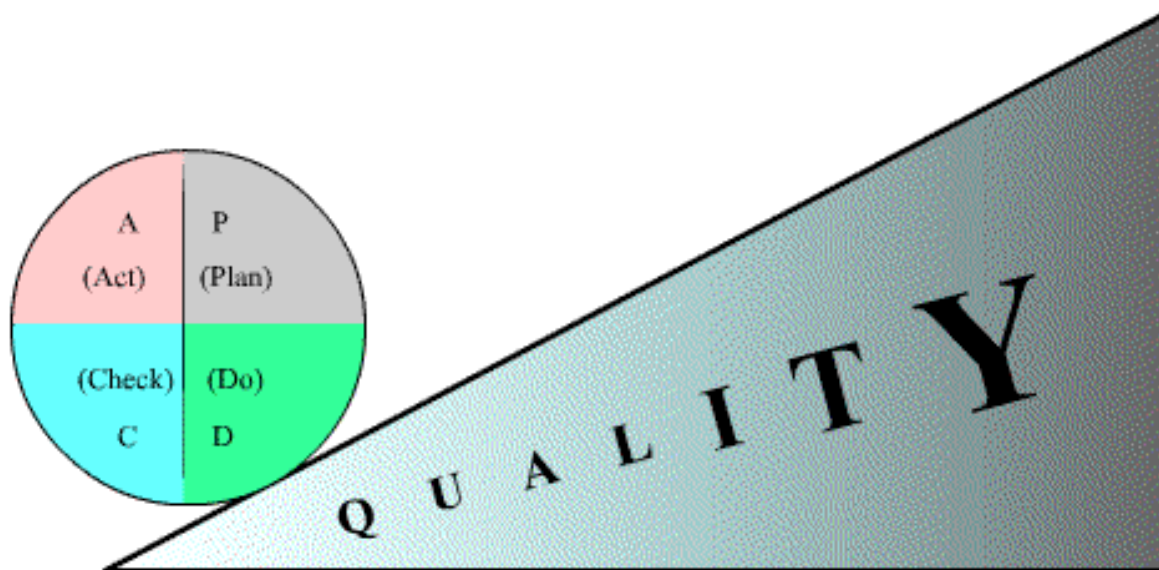


Link to Criterion 13 – Stakeholders Feedback

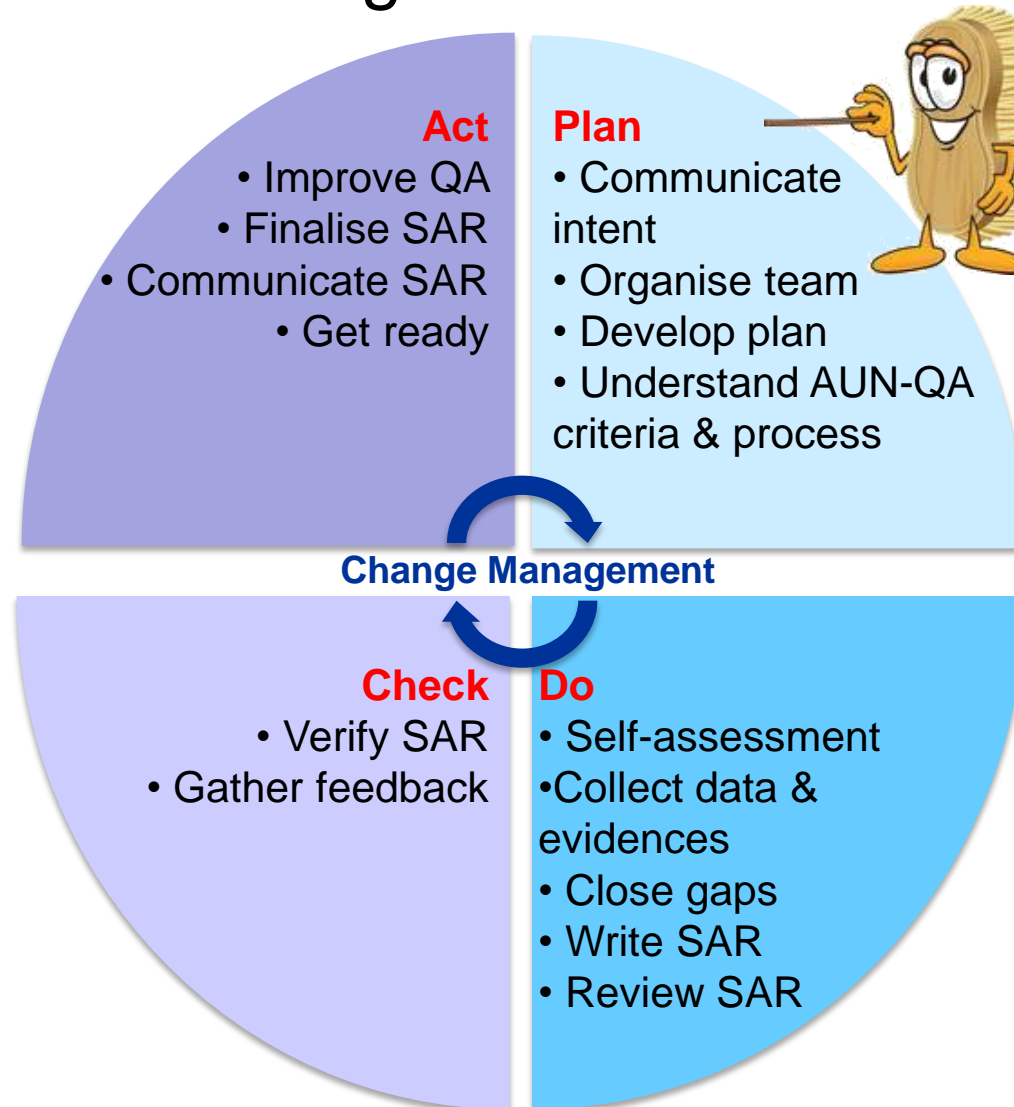
PDCA Approach to Self-assessment at Programme Level

The Deming (PDCA) Cycle

- ▶ play
- stop
- ▶▶ step
- ◀ rew



PDCA Approach to Self-assessment at Programme Level



Communicate Intent

- Inform stakeholders
- Objective and scope
- Plan
- Stakeholders roles and involvement
- Set expectations and climate
- Start of change management



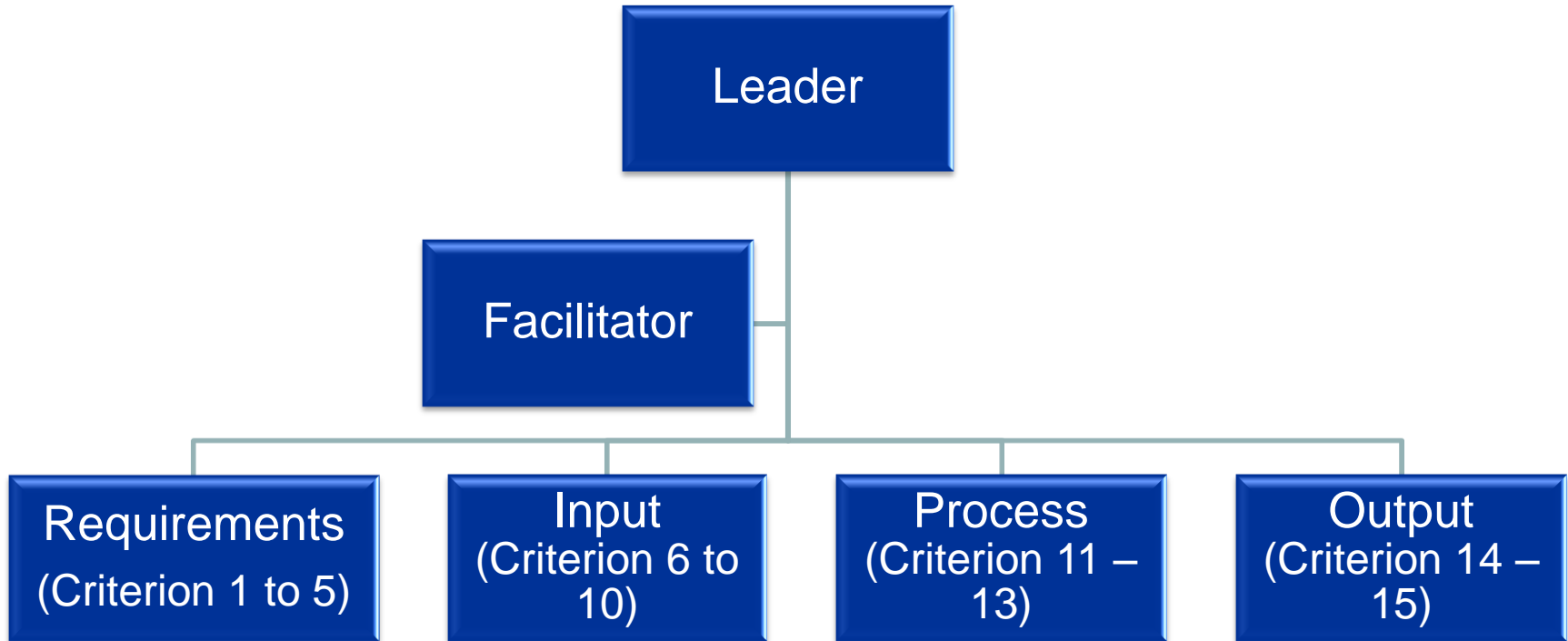
Organise Team

- Structure and Roles
 - ✓ System element
 - ✓ Related Criterion
 - ✓ Random Criterion
- Size
 - ✓ Main and sub-groups
- Ownership
- Subject matter expert including language
- Availability
- Support from sponsor, management and peers



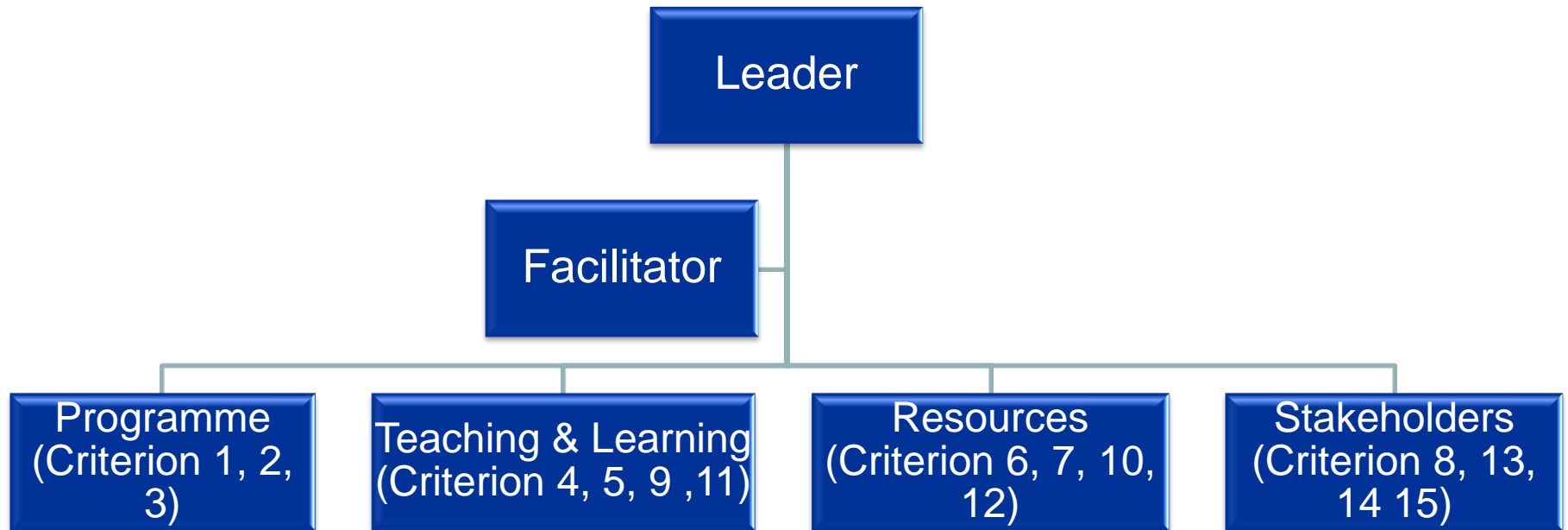
Structure and Roles

System Element



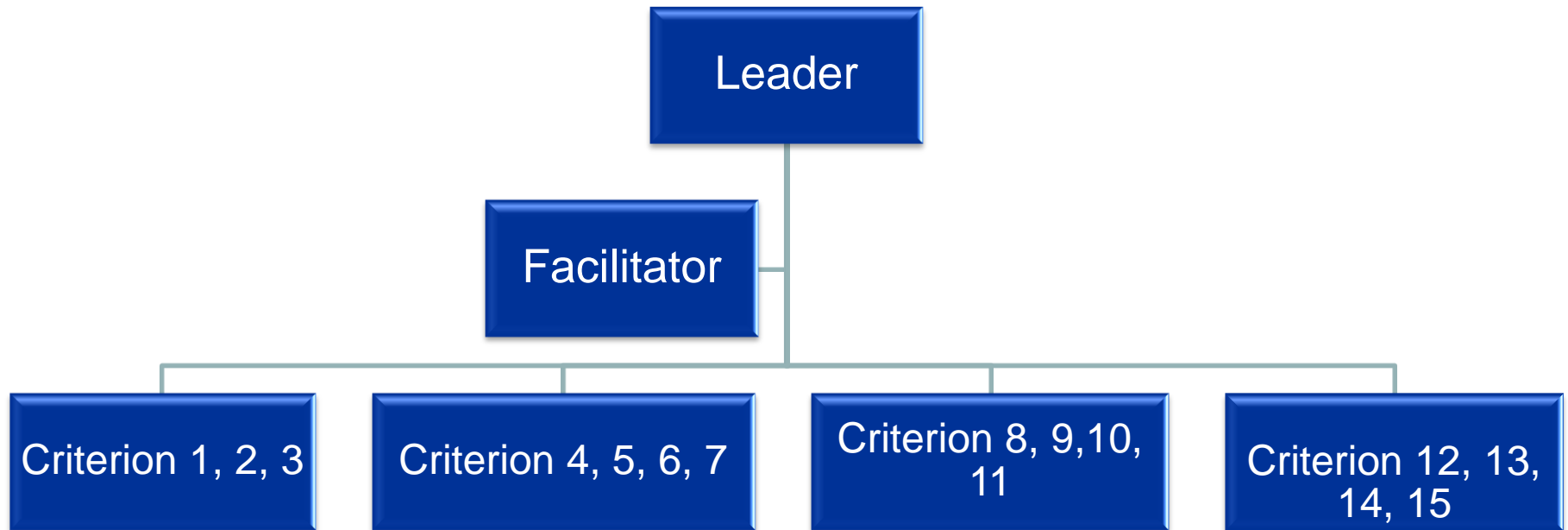
Structure and Roles

Related Criterion



Structure and Roles

Random Criterion



Structure and Roles

Key Roles & Responsibilities (example)

Leader	Responsibilities
Dean	<ul style="list-style-type: none">• Link between faculty, QA Office and university administration
Head of Academic Affair of the Faculty	<ul style="list-style-type: none">• Link between department, Dean and QA office• Link between faculty and data center
Head of Department	<ul style="list-style-type: none">• Provide leadership• Link between Dean, Academic Affair and Team
Head of Team	<ul style="list-style-type: none">• Lead team• Develop plan• Assign and review task• Divide team structure and roles• Link between members with data center• Collate and edit SAR

Structure and Roles

Define Key Roles & Responsibilities (example)

Key Role	Responsibilities
Facilitator (QA Office)	<ul style="list-style-type: none">• Provide leadership• Guide internal assessors• Guide SAR team• Train internal assessors• Train SAR team• Encourage and motivate SAR team• Review SAR• Link between faculty and university
Facilitator (Faculty)	<ul style="list-style-type: none">• Guide SAR team• Encourage and motivate SAR team• Review SAR
Member (Department)	<ul style="list-style-type: none">• Gather and organize information• Write SAR

AUN-OA

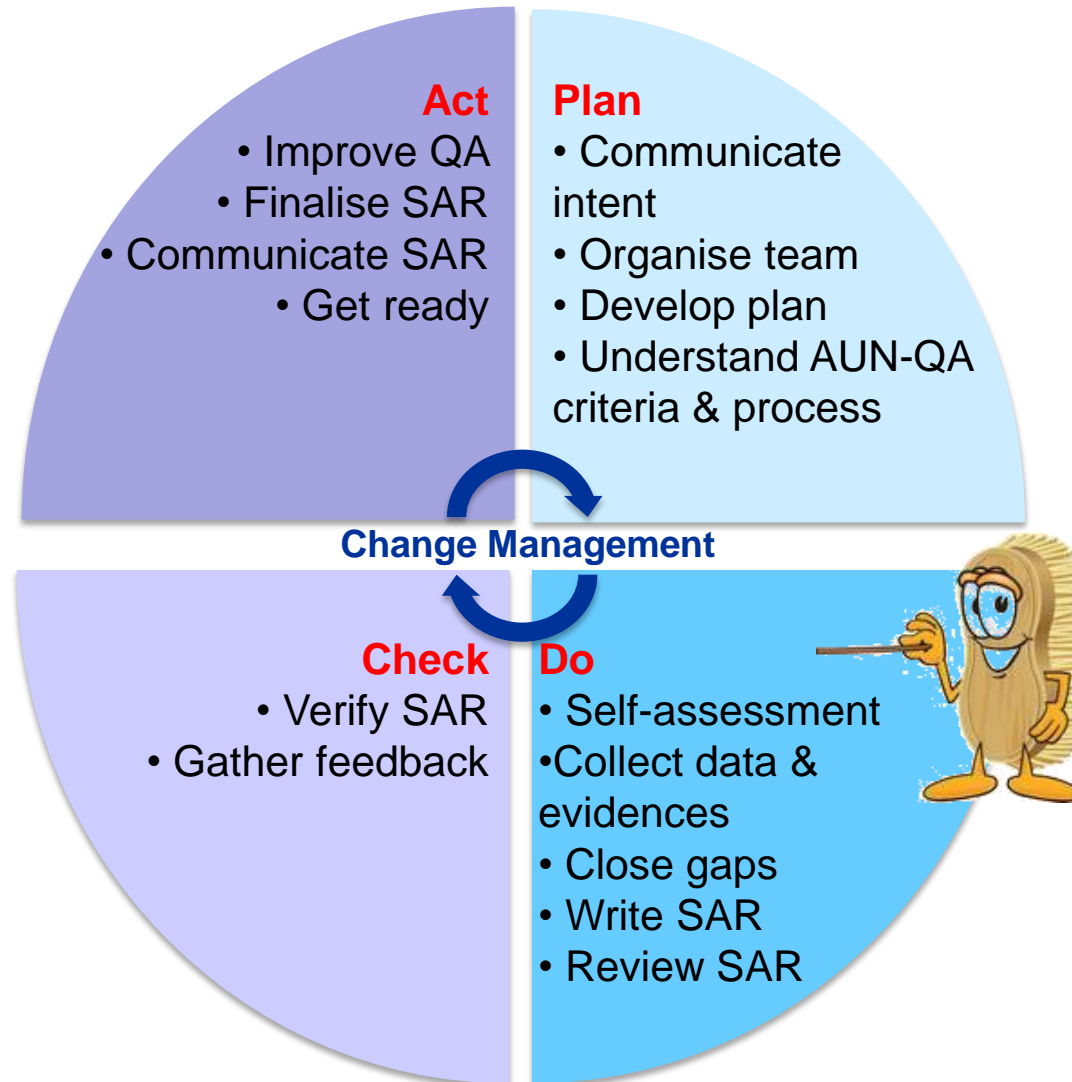
[illegible]

Understand AUN QA Criteria and Process

- Obtain copy of the AUN-QA manual
- Educate stakeholders
- Organise training for relevant stakeholders
- Seek clarifications with internal and external experts

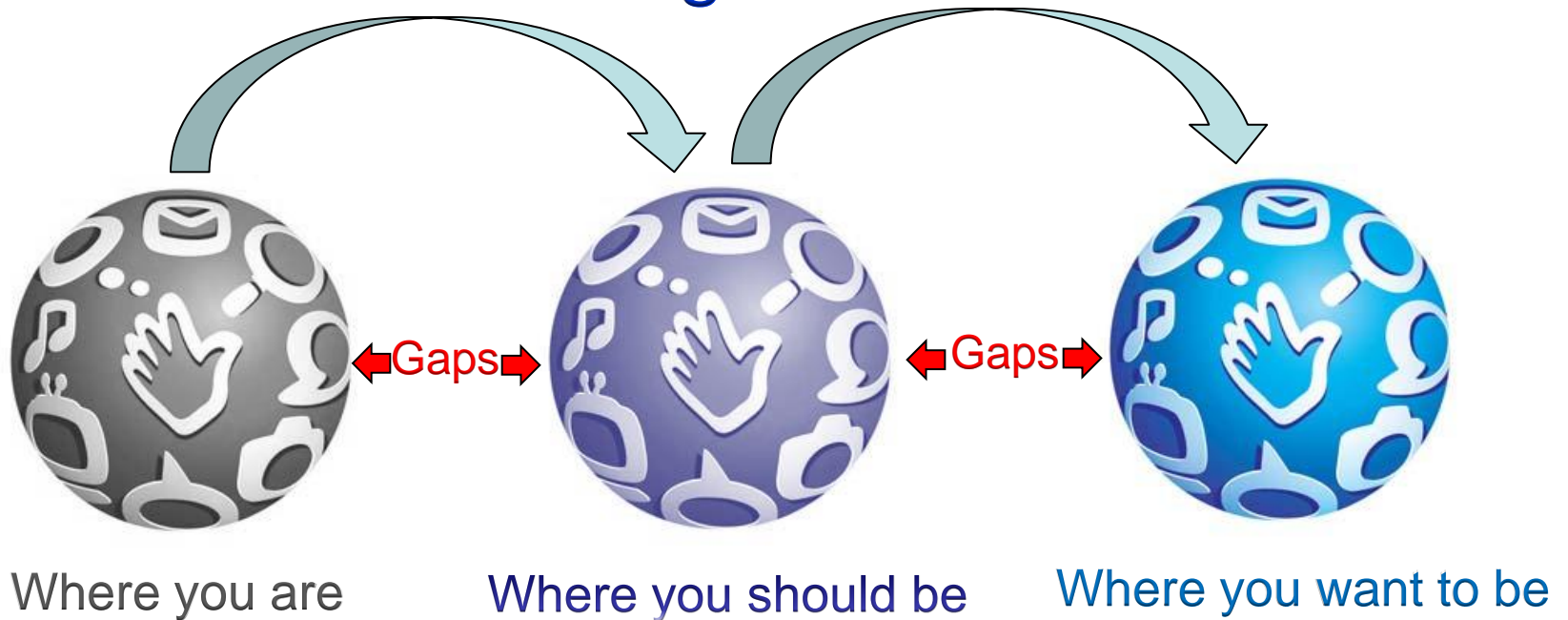


PDCA Approach to Self-assessment at Programme Level



Self-Assessment (Gaps Analysis)

How to get there?

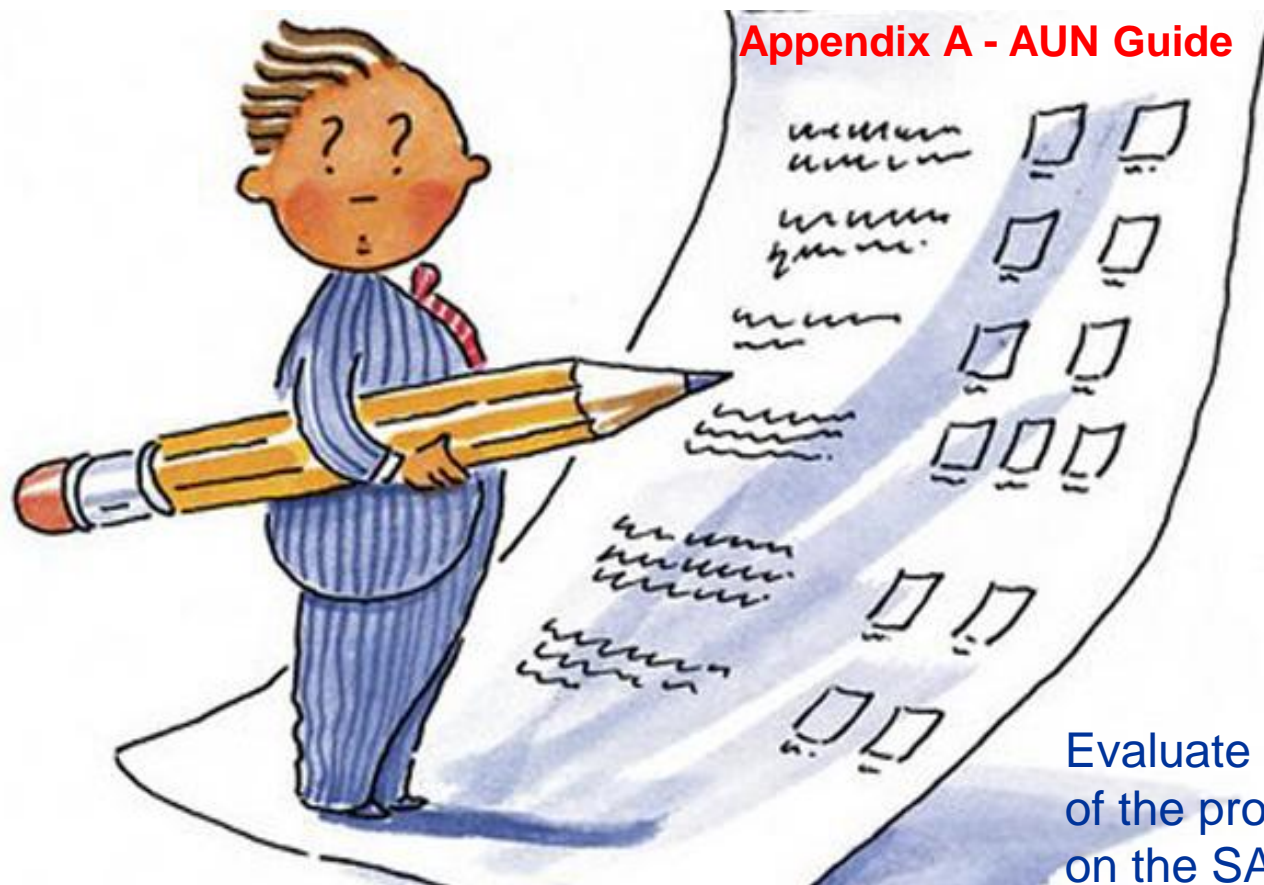


Rating Scale

Score	Value Interpretation	Quality & Improvement Interpretation
1	Nothing (no documents, no plans, no evidence) present	Absolutely inadequate; immediate improvements must be made
2	This subject is in the planning stage	Inadequate, improvements necessary
3	Documents available, but no clear evidence that they are used	Inadequate, but minor improvements will make it adequate
4	Documents available and evidence that they are used	Adequate as expected (meeting the AUN-QA guidelines and criteria)
5	Clear evidence on the efficiency of the aspect	Better than adequate (exceeding the AUN-QA guidelines and criteria)
6	Example of best practices	Example of best practices
7	Excellent (world-class or leading practices)	Excellent (world-class or leading practices)

As weight is not allocated to each criterion, the overall opinion should be based on the achievement or fulfillment of the criterion as a whole. It should not be computed based on the average score of the statements under each criterion. **The overall score for the 15 criteria has been removed as the focus is on improvement rather than the ratings.**

Self-Assessment Exercise



Evaluate the QA practices of the programme based on the SAR using the rating scale

Collect Data and Evidences

- Identify and interview people within the university that can provide information and data for each criterion
- Verify the reliability and accuracy of the information and data
- Identify the sources of evidence and review documentation
- Identify information and data gaps and implement plan to collect new information and data
- Identify and gather information and data for comparison and benchmarking



Collect Data and Evidences

AUN-QA Criteria		Possible Evidences
1	Expected Learning Outcomes	Programme & module specifications, course brochure & prospectus, skills matrix, stakeholders' inputs, university & faculty website, communication media & plans to stakeholders, curriculum review minutes, accreditation & benchmarking reports
2	Programme Specification	
3	Programme Structure & Content	
4	Teaching & Learning Strategy	Teaching & learning strategy, evidence of action learning, student feedback, online learning portal, module specification
5	Student Assessment	Assessment criteria, samples of in-course assessment, project work, final examination, marking scheme, moderation process, appeal procedure
6	Academic Staff Quality	Recruitment criteria, staff qualifications, peer review & appraisal system, career plan, student feedback, award & recognition systems, staff workload, allocation of roles and duties, termination & retirement schemes

Collect Data and Evidences

AUN-QA Criteria		Possible Evidences
7	Support Staff Quality	Number, type and qualification of support staff, career plan, training plan, appraisal system, award & recognition schemes, student/faculty feedback
8	Student Quality	Student selection process, trend of student intakes, credit system, student workload, student performance reports
9	Student Advice and Support	Mechanisms to report and feedback on student progress, coaching, mentoring and counselling schemes, student feedback
10	Facilities and Infrastructure	Number and type of facilities, utilisation rates, downtime/uptime, maintenance plan, new facilities and upgrading plans, safety & health policy, facilities booking system
11	Quality Assurance of Teaching & Learning Process	Curriculum design, review & approval process and minutes, QA of assessments/examinations, stakeholders' inputs, external examiners, students feedback

Collect Data and Evidences

AUN-QA Criteria		Possible Evidences
12	Staff Development Activities	Education, training and development policy and plan, training places & hours, scholarships, job rotation & deployment scheme
13	Stakeholders Feedback	Regular & ad-hoc and formal & informal surveys and feedback, uses of reports
14	Output	Pass/drop-out rates, employment statistics, entry-level salary, employers feedback, average time to graduate, research
15	Stakeholders Satisfaction	Process for measuring stakeholders satisfaction, stakeholders satisfaction trends, perceptions of graduates & university

Close Gaps

- A gap occurs when the current situation does not meet:
 - one or more of the requirements in the criterion
 - targeted score of one or more criteria
 - targeted performance or results
- Identify short and long term gaps
- Know the reason(s) for the gaps
- Plan and implement solutions to close the short and long term gaps



Write SAR - Content of the SAR

Part 1: Introduction

- Content page
- Executive summary
- Organisation of the self-assessment
- Brief description of the university, faculty and department

Part 2: AUN-QA Criteria Requirements

- Write-up on how the university, faculty or department addresses the requirements of the AUN-QA criteria (use checklist as a reference)

Part 3: Strengths and Weaknesses Analysis

- Summary of strengths
- Summary of Weaknesses
- Completed checklist
- Improvement plan

Part 4: Appendices

- Glossary
- Supporting documents and evidences

Write SAR

- An account of the programme to be assessed (both descriptive and analytical)
- Serve as a source for improvement and assessment
- Adopt a standard format and style to address the AUN-QA criteria
- Illustrate clearly what, where, when, who and how the QA mechanisms or instruments are implemented to fulfill each criterion
- Focus on information and data (objective evidences) that directly address each criterion
- Make reference or link related criterion in the report (e.g. Criterion 6, 7 and 12)
- Written/translated into a language (for example, English) that is easy for external assessors to comprehend.
- Provide a glossary of abbreviations and terms used in the report.

Write SAR

1. Determine whether the criterion is qualitative, quantitative or both; and what is it asking for: a requirement, a process, a resource, a result....
2. Write the criterion using 5Ws and 1H or ADRI approach
3. Report should be written in a positive tone
4. Review what you have written

Write SAR

Qualitative Criterion

Criterion 1, 2, 3, 4, 5, 9	
What	What is it? Describe the criterion or situation
How	How is it done? How is it aligned to? Who is involved? When is it done? Where is it done? Describe the approach (process) and deployment
Why	Why does the gap exist? Describe the gap and its improvement plan

Write SAR

Quantitative Criterion

Criterion 14 and 15

What	What is the current result or performance? What are the past results or performance? What is the target? What is the trend? Describe the result or performance
How	How is it performing when compared to past years? How is it performing when compared or benchmarked with other competing universities or benchmarking partners? Describe the comparison of result or performance
Why	Why the result or performance is on a downward trend or fall below expectation? Describe the gaps and its improvement plan

Write SAR

Mixed Criterion

Criterion 6, 7, 8, 10, 11, 12, 13		
What	<p>What is it?</p> <p>Describe the criterion or situation</p>	<p>What is the current result or performance?</p> <p>What are the past results or performance?</p> <p>What is the target?</p> <p>What is the trend?</p> <p>Describe the result or performance</p>
How	<p>How is it done?</p> <p>How is it aligned to?</p> <p>Who is involved?</p> <p>When is it done?</p> <p>Where is it done?</p> <p>Describe the approach (process) and deployment</p>	<p>How is it performing when compared to past years?</p> <p>How is it performing when compared or benchmarked with other competing universities or benchmarking partners?</p> <p>Describe the comparison of result or performance</p>
Why	<p>Why does the gap exist?</p> <p>Describe the gap and its improvement plan</p>	<p>Why the result or performance is on a downward trend or fall below expectation?</p> <p>Describe the gap and its improvement plan</p>

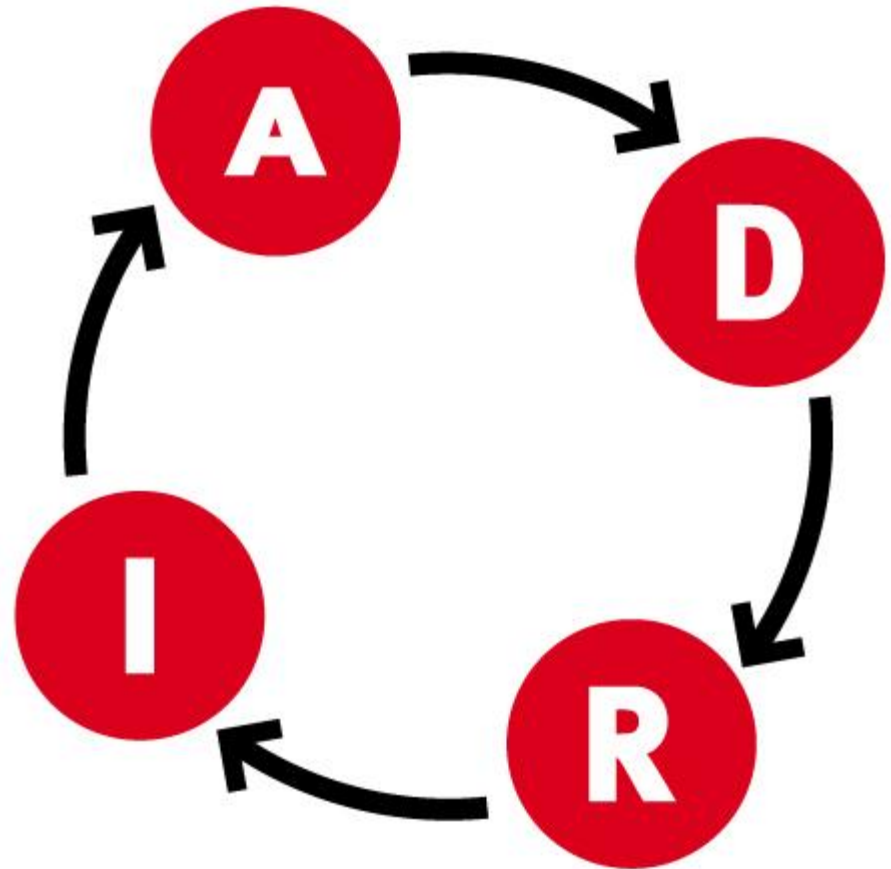
ADRI Approach

Approach

Deployment

Results

Improvement



Approach



What is the name of the process or approach?

What is its purpose or goal?

How is it aligned to vision, mission, objectives, learning outcomes and integrated with other approaches or processes?

What are the key steps?

Deployment

- When it was first deployed? How long has it been deployed?
- Who is involved in deploying it ? What level/type of employee?
- Where is it deployed? Which faculty, school, department?



Results

- What is the performance measure for this process or criterion?
- What are the past and current results?
What is the trend?
What is the target?
- What are the comparative or competitive results?



Improvement



- Has the process ever been improved?
- Is there an example of improvement that you can describe?
- Was the improvement effectiveness?

How to Write SAR?

AUN Criterion	<p>12. Staff Development Activities</p> <p>12.1 There is a clear plan on the needs for training and development of both academic and support staff</p> <p>12.2 The training and development activities for both academic and support staff are adequate to the identified needs</p>
APPROACH (WHAT, WHY, WHO and HOW)	
Name of process(es)	Training and Development Process of Academic and Support Staff
Purpose/goal	Identify training needs, deployment of training activities and evaluation of training effectiveness
Relate to other AUN criterion	<p>6. Academic Staff Quality</p> <p>7. Support Staff Quality</p>
Person(s) Responsible	Director of Human Resource Department
Key steps (Input, Process, Output)	<p>At the end of each calendar year, the HR Department will initiate the training needs identification process. Each HOD will identify the training needs for the coming year with each individual as part of the university, faculty and individual needs. The training plan for each individual is then collated to form the faculty training plan. The faculty training plan is submitted to the HR department for approval. Once the training plan is approved, appropriate training programmes are identified and scheduled, and made known to staff for registration. Staff who have selected the training programme will attend the training as planned. After the training, an evaluation is made by the staff and submitted to the HOD and HR department for report.</p> <p>Insert a flowchart of the process</p>

How to Write SAR?

DEPLOYMENT (WHERE and WHEN)

Process deployment	The training process for academic and support staff was established in 2008 and implemented university-wide in 2010 to all schools, faculties and support departments.
--------------------	--

RESULTS

Measures	Results for the last 3 years
Number of training hours per staff	
Number of training places per staff	
Percent of training places utilised	
Training budget as % of total budget	

IMPROVEMENT

Date and description of improvements	The training process for academic staff was established in 2008 and implemented at 5 major schools/faculties covering only post-graduate programmes for academic staff. In 2010, the process was extended to support staff as part of the “People” strategy. Today, the process is applicable to all schools, faculties and administrative departments covering all training programmes in leadership, curriculum development, pedagogy, IT skills and soft skills. The training budget has been increasing at a rate of 2% per annum since 2008. Number of training hours per staff has also been increased from 10 in 2008 to 20 in 2011.
--------------------------------------	---

Review SAR

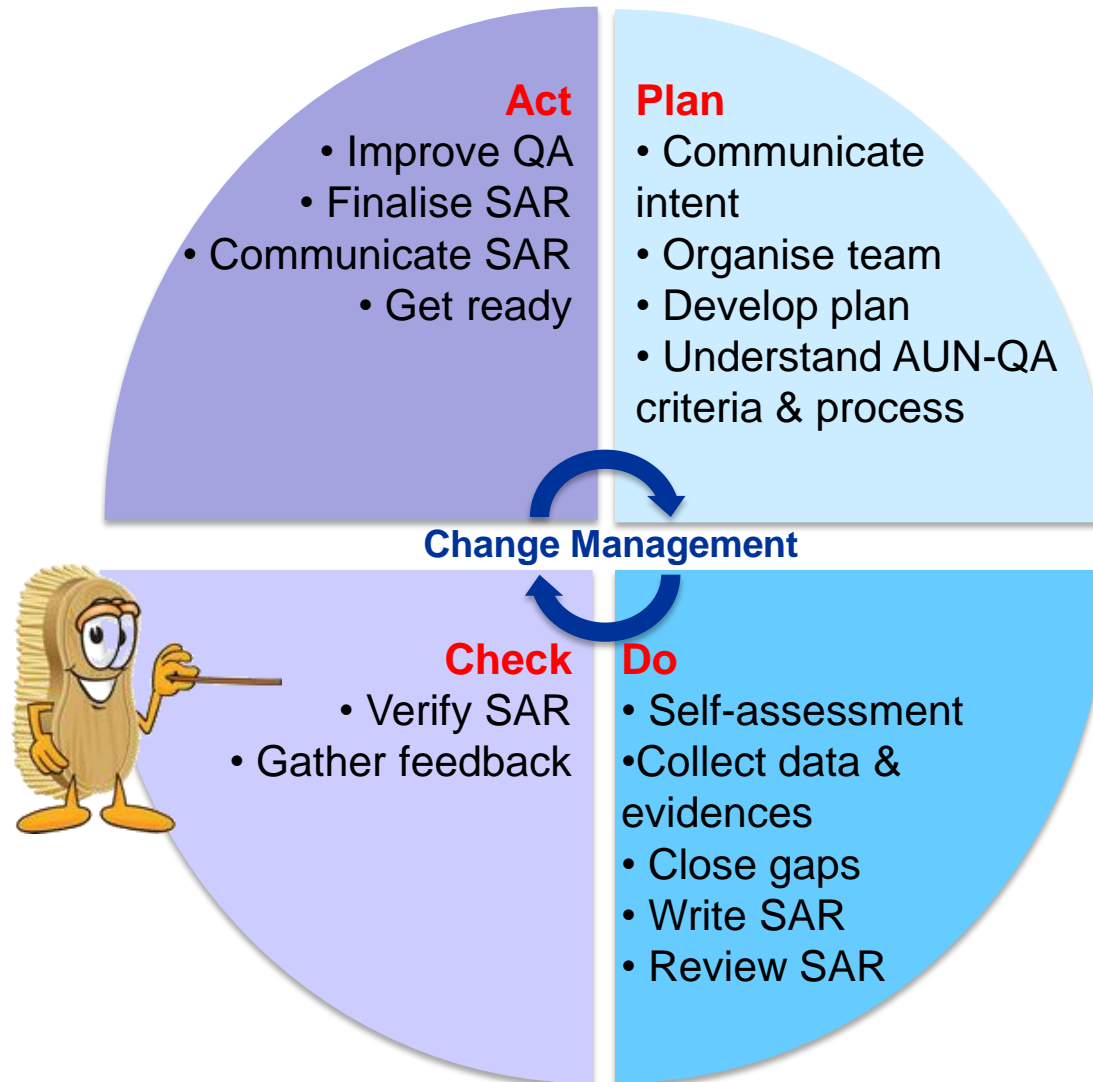
- Putting them all together – structure and flow
- SAR addresses all the criteria
- Verify the accuracy of the SAR, evidences, information and data
- Look out for inconsistency in the SAR
- Edit out unneeded or irrelevant information and data
- Ensure linkages are made to related criterion
- Proofread the SAR
- SAR may need several re-write



Workshop Outline

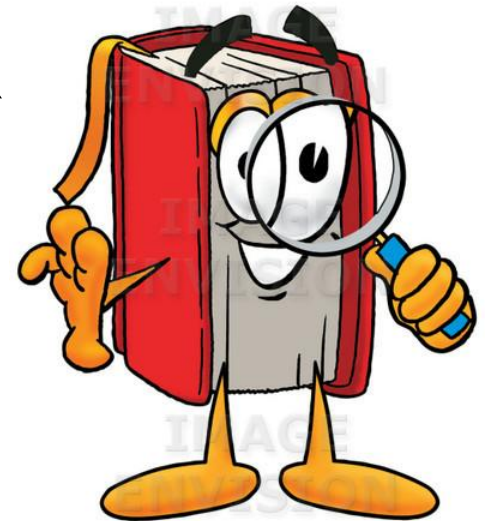
Day 3	Topic
9.00am – 10.00am	• PDCA Approach to Self-assessment at Programme Level (Check)
10.00am – 10.15am	• Break
10.15am – 12.00pm	• PDCA Approach to Self-assessment at Programme Level (Act)
12.00pm – 1.00pm	• Lunch
1.00pm – 3.00pm	• Change Management
3.00pm – 3.15pm	• Break
3.15pm – 5.00pm	• AUN Quality Assessment Process • Conclusion

PDCA Approach to Self-assessment at Programme Level



Verify SAR & Gather Feedback

- An internal self-assessment
- Conducted by an independent party
- Desktop and site assessments
- Verify SAR, evidences and documents
- Interview SAR team and relevant stakeholders
- Identify areas for improvement in SAR and QA practices
- Make recommendations to SAR team and management
- Lesson learnt on assessment process, SAR and QA practices (a good mock-up leading to actual assessment)



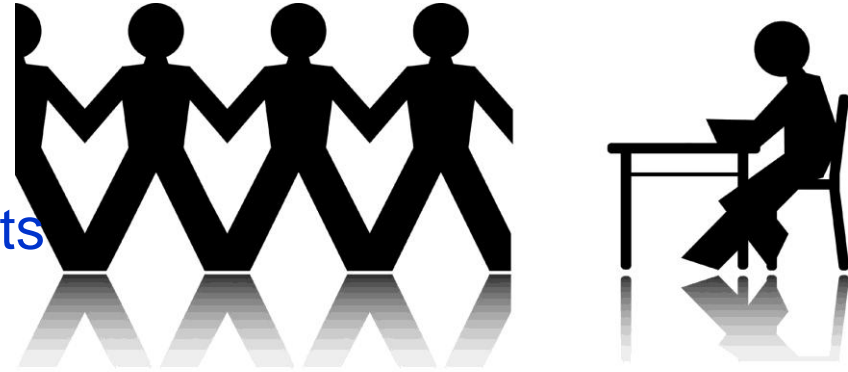
Internal Self-Assessment Team

- Roles of Assessor
- Preparing assessment plan & checklist
- Communicating and clarifying assessment requirements
- Planning & carrying out assigned responsibilities effectively & efficiently
- Making observations on curriculum, process and quality improvement
- Clarifying and verifying findings and results
- Reporting and presenting the assessment results
- Retaining & safeguarding documents pertaining to the assessment



Interview

- Know the interviewees
 - ✓ Language
 - ✓ Education
 - ✓ Specialisation or area of interests
- Plan the questions
 - ✓ Focus on the criteria
 - ✓ Phrase questions as neutrally as possible to avoid bias
 - ✓ Use open-ended questioning technique (5Ws and 1H) to probe for information
 - ✓ Use close-ended questions to confirm information
 - ✓ Manage time to cover different criteria and interviewees



Feedback

- Feedback must be:
 - ✓ Objective
 - ✓ Based on evidence
 - ✓ Encouraging
 - ✓ Part of a “learning” process
- Feedback must not:
 - ✓ Ridicule
 - ✓ Mandate solution
 - ✓ Be insensitive to the overall effort
 - ✓ Ignore the achievement made

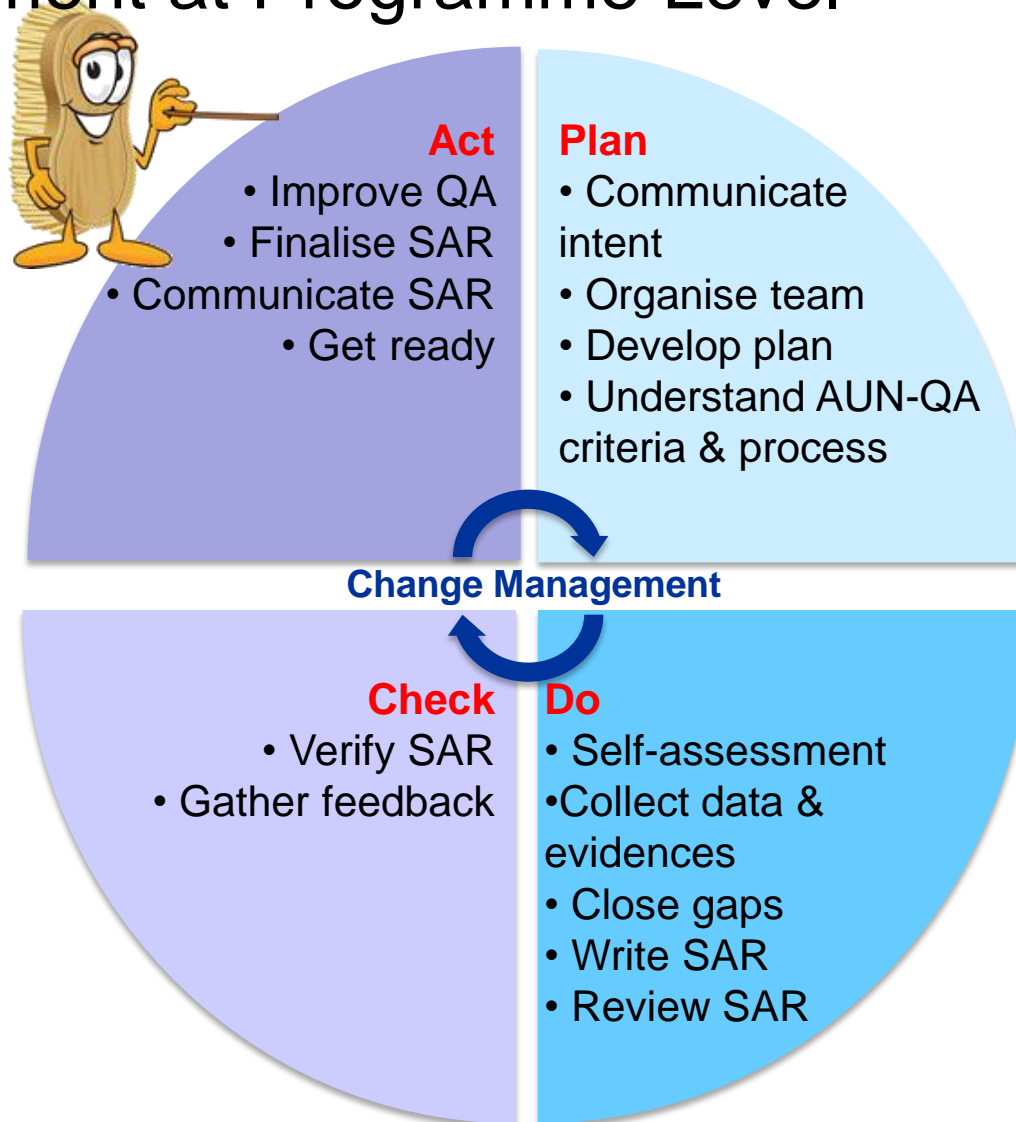


Feedback

- Use clear, simple, grammatically correct and complete sentences
- Avoid jargons or acronyms
- Be constructive
 - ✓ Use positive tone
 - ✓ Be specific
 - ✓ Fall within the criteria
- Be non-prescriptive – state observations and evaluations rather than mandating solutions



PDCA Approach to Self-assessment at Programme Level



Improve QA

- Assign responsibility to improve QA practices
- Identify immediate and future improvement to QA practices
- Plan improvement activities
- Develop and implement QA practices to close gaps
- Monitoring progress



Finalise SAR

- SAR represents a report card of the university performance
- A source document for assessor to make preliminary assessment of the university
- Incorporate findings and recommendations at the Check stage
- Final review and proofread of the SAR
- Translate the SAR and key documents in English, if necessary



Communicate SAR

- Appoint spokesperson for communicating the SAR
- Develop a communication plan
- Inform staff about the assessment criteria and process
- Brief staff on the content of the SAR, QA practices and supporting evidences and documents
- Make SAR and related information readily available to staff



Get Ready

- Approve or endorse the final SAR, documents and records for assessment
- Prepare, label and make available all documents and records (physical and electronic version) for assessment purpose
- Prepare presentation materials on the university, faculty and the programme to be assessed
- Prepare stakeholders for the assessment interviews
- Prepare the site(s) for the assessment
- Plan the assessment itinerary
- Send a copy of the SAR to the assessment team at least 1.5 – 2 months in advance

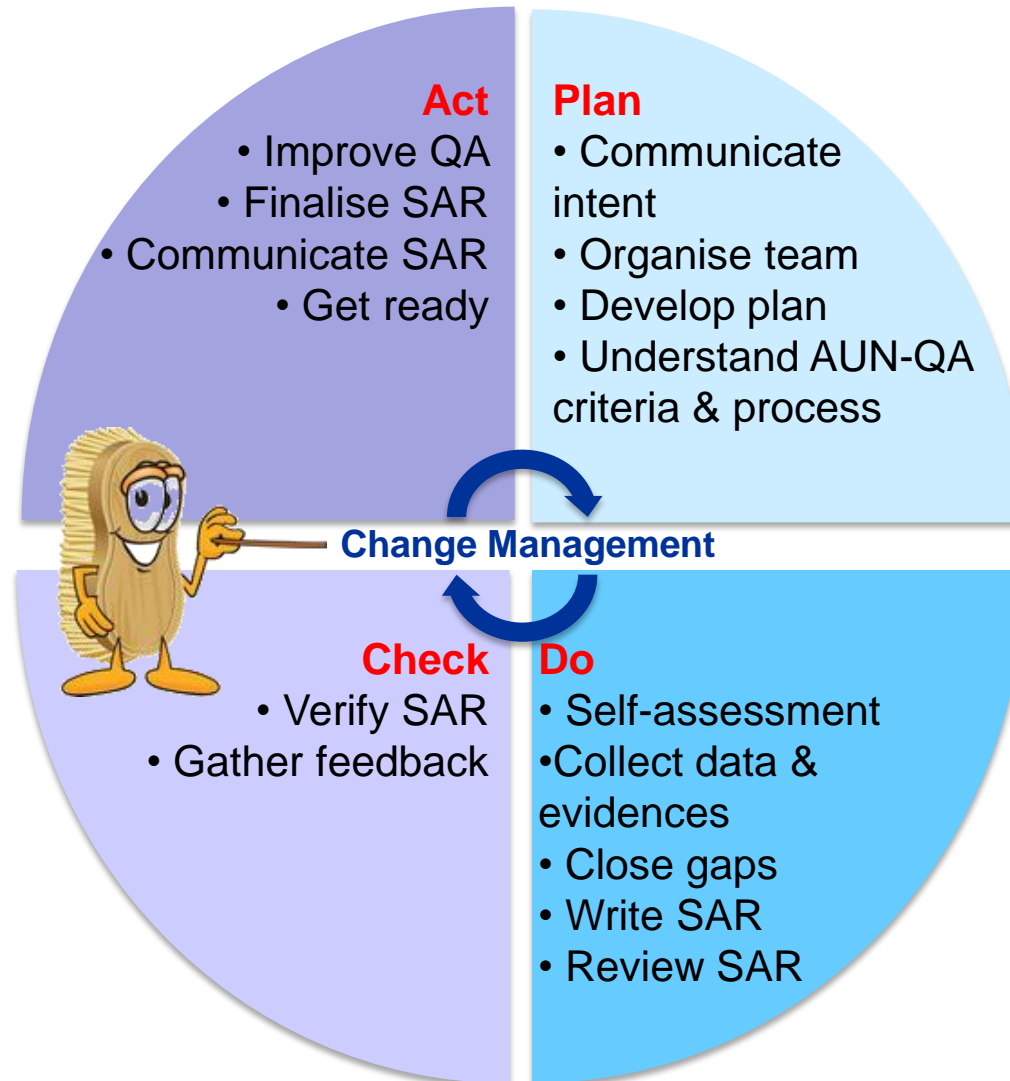


SAR Review Exercise



- Identify the gaps in the SAR
- Propose changes to fulfill the AUN-QA criterion
- Present the changes

PDCA Approach to Self-assessment at Programme Level



Change Management

What is Change?

Change Management

Give some examples of change?

Change Management

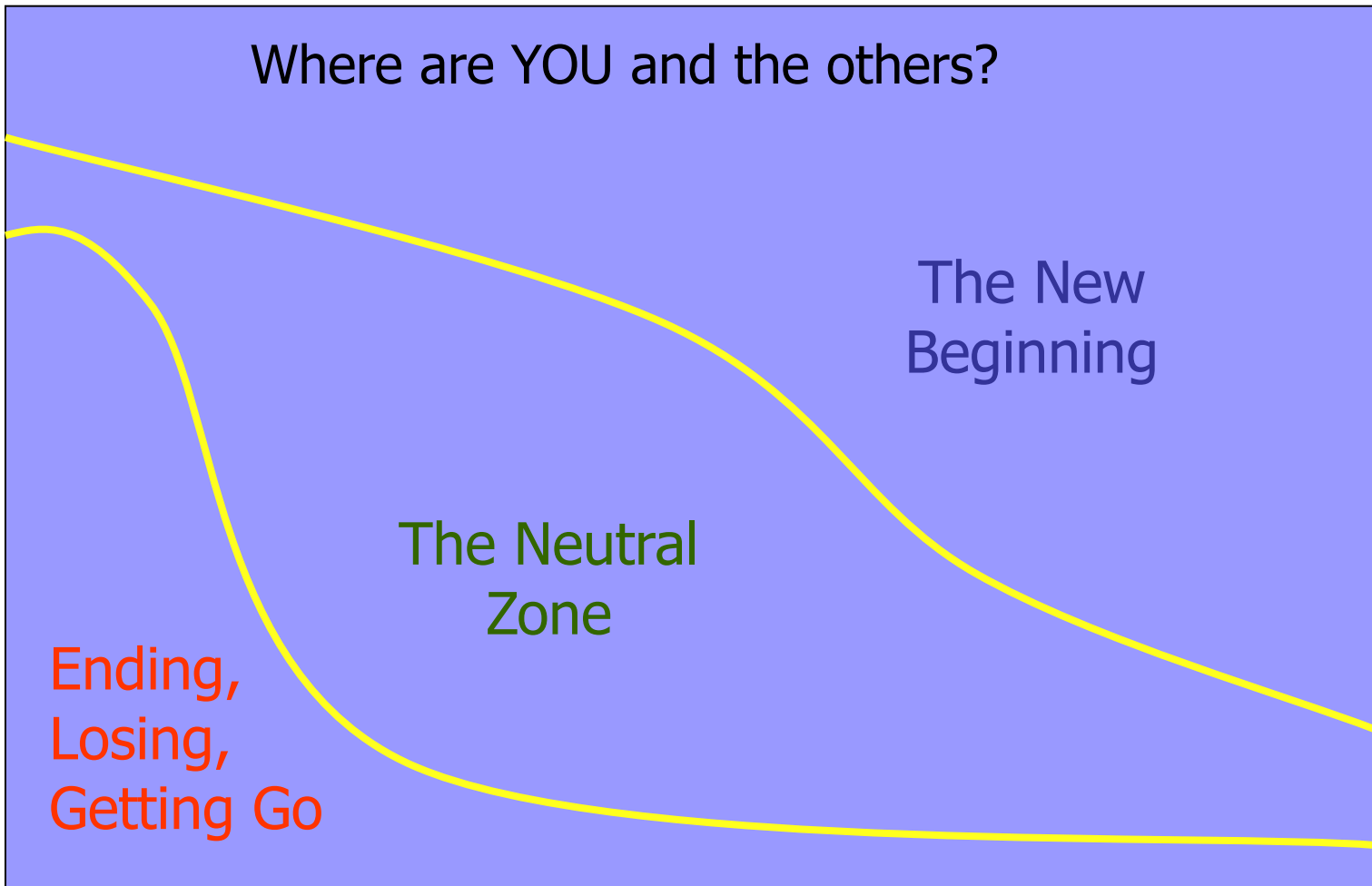
Are People Resistance to Change?

Change Management

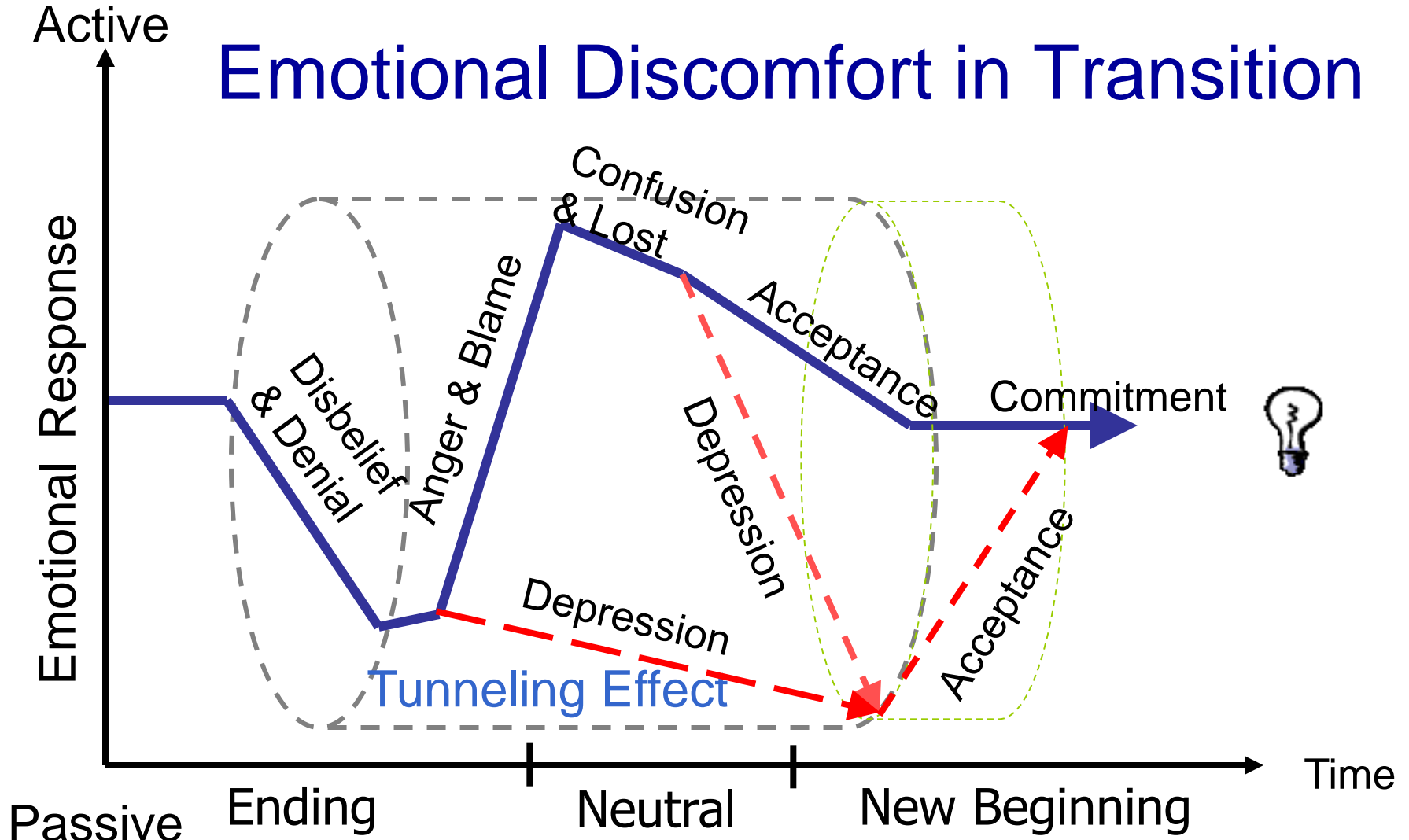
What is Transition?

Change Management

What is Transition?



Source: Managing Transitions, William Bridges

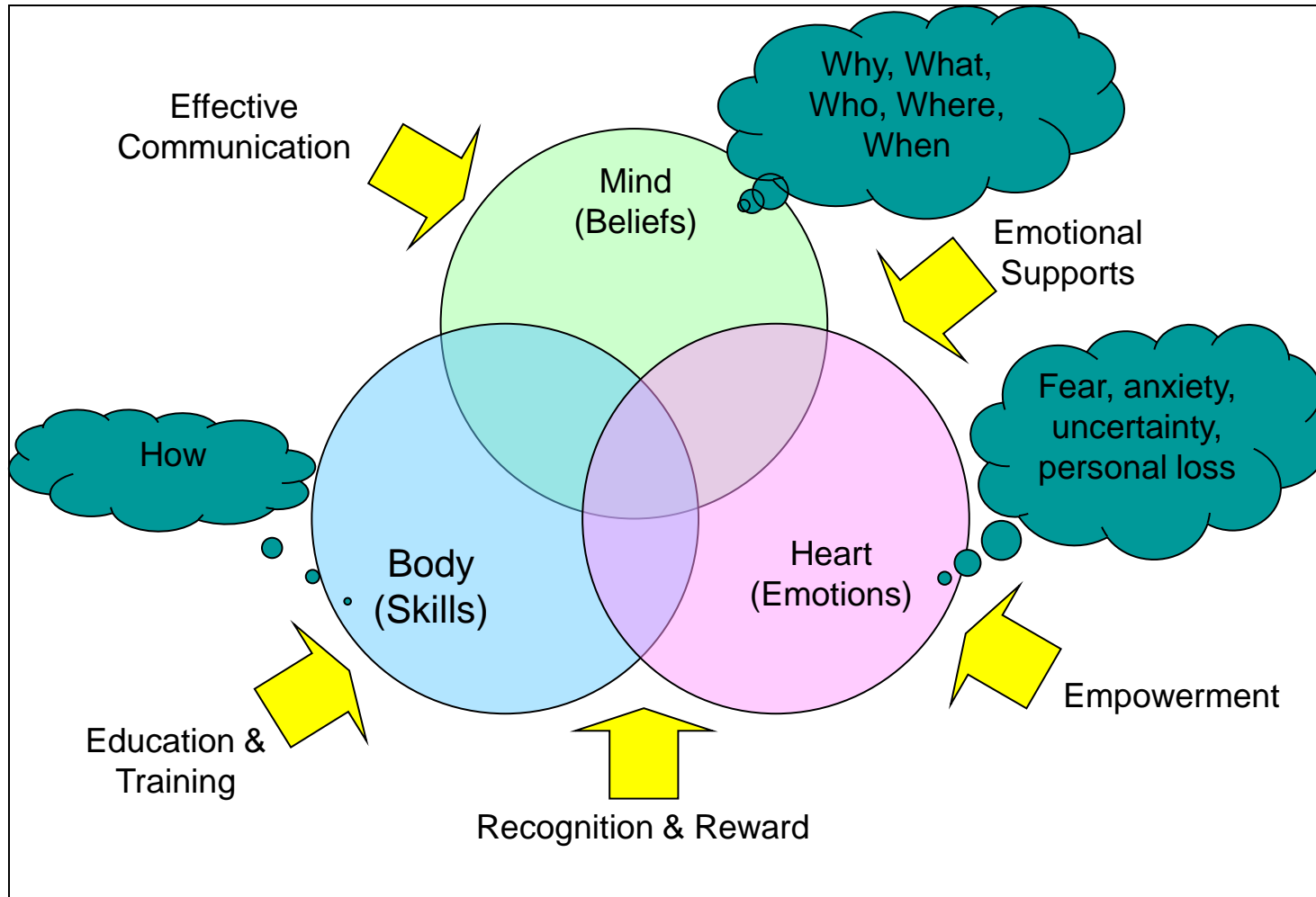


Change Management

Change management is a structured approach to transitioning individuals, teams, and organisations from a current state to a desired future state. It is an organisational process aimed at empowering employees to accept and embrace changes in their current business environment

Source: Wikipedia

Change Management



Change Management

Stage of Emotional Discomfort	Strategies for Transition
Disbelief & Denial (Ending)	
Anger & Blame (Ending)	

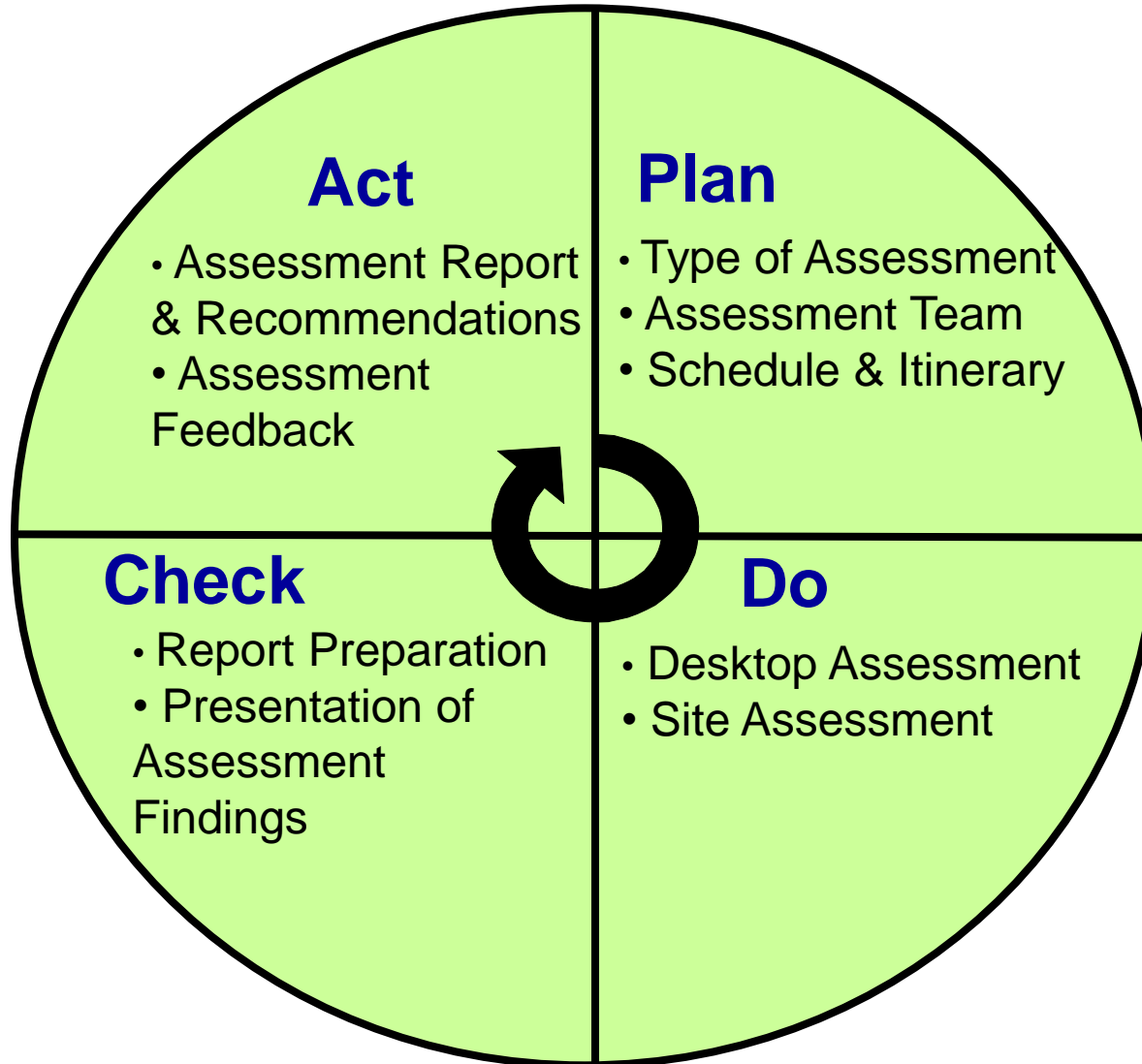
Change Management

Stage of Emotional Discomfort	Strategies for Transition
Confusion & Lost (Neutral Zone)	
Acceptance (New Beginning)	

Change Management

Stage of Emotional Discomfort	Strategies for Transition
Depression (Ending or Neutral)	
Commitment (New Beginning)	

Quality Assessment Process



Quality Assessment Process

Stage	Timeline	Key Activity	Agent
Plan	6 – 12 months prior to assessment	Schedule universities for re-accreditation for existing accredited universities	AUN Secretariat
		Confirm schedule for re-accreditation for existing accredited universities	<ul style="list-style-type: none"> Applying university AUN Secretariat
		Apply for accreditation by university for new applicant or assessment	Applying university
		Process and accept new application	AUN Secretariat
		Confirm schedule for accreditation for new application	<ul style="list-style-type: none"> Applying university AUN Secretariat

Quality Assessment Process

Stage	Timeline	Key Activity	Agent
Plan	6 months prior to assessment	Invite assessors for assessment	AUN Secretariat
		Accept or decline invitation by assessors. Submit Disclosure of Conflict of Interest	Assessor
		Appoint and confirm assessors and assessment teams	<ul style="list-style-type: none"> AUN Secretariat Assessor

Quality Assessment Process

Stage	Timeline	Key Activity	Agent
Plan	2 - 3 months prior to assessment	Confirm assessment itinerary, accommodation and logistics arrangements with applying university	<ul style="list-style-type: none"> • AUN Secretariat • Applying university • Assessor
		Send registration form to assessor	AUN Secretariat
		Submit registration form with flight information, accommodation and diet requirements	Assessor
		Submit progress report by applying university	Applying university
		Monitor and track status of accredited university	AUN Secretariat

Quality Assessment Process

Stage	Timeline	Key Activity	Agent
Do	1½ - 2 months prior to assessment	Submit self-assessment report (SAR) to AUN Secretariat and assessors	Applying university
		Conduct desktop assessment and clarify with applying university, if necessary	Assessor
	1 day prior to assessment	Arrival of assessors and AUN Secretariat	<ul style="list-style-type: none"> • AUN Secretariat • Applying university • Assessor
	Day 1 of assessment	Opening session and site assessment	<ul style="list-style-type: none"> • AUN Secretariat • Applying university • Assessor

Quality Assessment Process

Stage	Timeline	Key Activity	Agent
Do/ Check	Day 2 of assessment	Site assessment and preparation of assessment report	<ul style="list-style-type: none"> • AUN Secretariat • Applying university • Assessor
Check	Day 3 of assessment	Closing session and departure of assessors and AUN Secretariat	<ul style="list-style-type: none"> • AUN Secretariat • Applying university • Assessor

Quality Assessment Process

Stage	Timeline	Key Activity	Agent
Act	Within 4 weeks after assessment	Submit assessment report to AUN Secretariat and provide feedback to AUN Secretariat on the assessment, if necessary. Request payment of honorarium and submit claims, if any	Assessor
	Within 6 weeks after assessment	Send assessment report and assessment feedback to applying university	AUN Secretariat
	Within 10 weeks after assessment	Submit assessment feedback and appeal, if necessary	<ul style="list-style-type: none"> Applying university AUN Secretariat
	Within 9 – 12 months after assessment	Submit progress report by applying university	Applying university
		Monitor and track status of accredited university	AUN Secretariat

Quality Assessment Process

Stage	Timeline	Key Activity	Agent
Act	Within 14 weeks after assessment	Recommend the release of final assessment reports and accreditation to the Board of Trustees for approval;	AUN Secretariat
		Endorse the release of final assessment reports and accreditation	AUN-BOT
	Within 16 weeks after assessment	Release of final assessment report and accreditation award to applying university and publish accreditation status in AUN website	AUN Secretariat
	Within 30 weeks after assessment	Release of best practices of applying university in the AUN-QA Benchmarking Database	AUN Secretariat

Quality Assessment Process

Stage	Timeline	Key Activity	Agent
Act	Within 9 – 12 months after assessment	Request for progress report from applying university on recommendations made by assessment teams	AUN Secretariat
		Submit progress report by applying university	Applying university
		Monitor and track status of accredited university	AUN Secretariat

Site Assessment

- Document Review
- Evidence should be collected on all matters related to the assessment objectives and scope
- Evidence should be collected through:
 - ✓ Interviews
 - ✓ Examination of documents/records
 - ✓ Observation of activities and facilities
 - ✓ Site tour
 - ✓ Working environment
 - ✓ Work practices (e.g. safety)
 - ✓ Condition of facility and equipment
 - ✓ Verify information and data with staff and students



Site Assessment

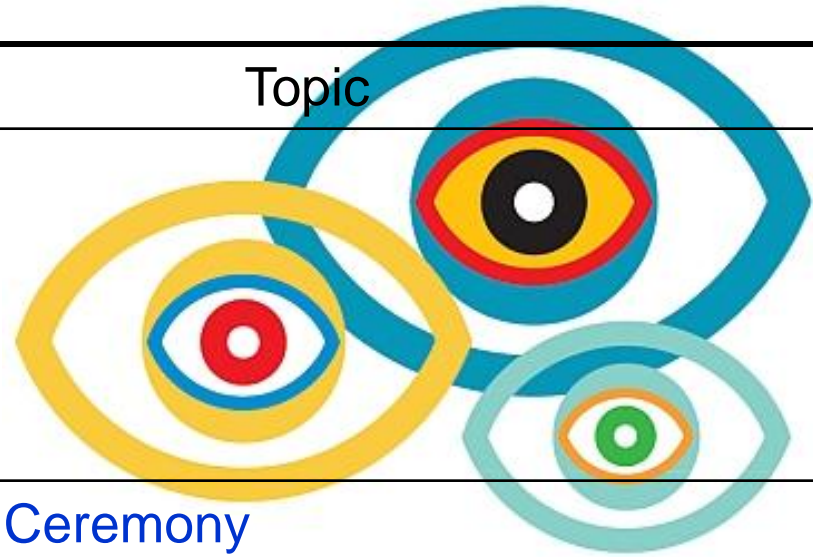
Site Tour

- Lecture halls and tutorial rooms
- Laboratories
- Workshops
- Libraries
- Computer labs
- Student services
- Sports and recreation



Workshop Outline

Day 4	Topic
9.00am – 3.00pm	• Study visit
3.00pm – 4.00pm	• Certification Ceremony



STUDYVISITS

**THANK-
YOU**

