

**General  
Guidelines for  
AUN-QA Quality  
Assessment at  
Programme Level  
in the Universities**

**2017**

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FOR INTERNAL USE ONLY

# **General Guidelines for AUN-QA Programme Assessment in AUN-QA Member Universities**

## **2<sup>nd</sup> REVISED VERSION SEPTEMBER 2017 FOR INTERNAL USE ONLY PREPARED BY AUN-QA SECRETARIAT**

### **1. Initial Arrangement**

- QA unit<sup>1</sup> of the university should assign a contact person from each assessed programme. The details of contact person must be given to AUN-QA Secretariat. (AUNQA Sec.). For the efficiency of the assessment operation, the AUNQA Sec. will communicate directly to every contact person, and keep QA Unit in the cc. Most communication will be done through Email. **Should one or more of the requested programmes are a reassessment, the university is to notify the AUNQA Sec in advance and the reassessed programme is to submit the progress summary report providing details of what have been done to address the areas for improvement as stated in the previous assessment report.**

### **2. Opening and Closing Session**

#### **2.1. Opening session**

- 2.1.1.** The general purpose of opening session is to provide the relevant information of the university especially the vision/mission of the university to show the alignment with the Expected Learning Outcomes (ELOs) of the study programme(s).
- 2.1.2.** President and/or Rector and/or Vice Chancellor should be presented at the opening and closing session. If not, Vice President/ Vice Rector should be representing the university at the two events.

#### **2.2. Closing session**

- 2.2.1.** The closing session is divided into 2 parts, 1.) The preliminary finding of the results, and 2.) The closing ceremony. The presentation of the preliminary finding of the result is arranged as a closed session (participants are the university top administrators and those involved directly in the study

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<sup>1</sup> The office or the person as officially appointed to oversee the overall quality assurance (QA) activities of the university

programmes<sup>2</sup>. There will be no VDO recording/photo taking in this session. We DO NOT allow to have feedback and queries throughout the closing session including all remarks during the closing session on Day 3. It is appropriate that the feedback be provided in Appendix F only after the programme receives the AUN-QA Assessment at Programme Level's final report. The closing ceremony is an open session, allowing any kind of media/PR, in the session.

### 3. On-site Assessment Timetable Template

- The draft timetable template will be given to the university (QA Unit and contact person of study program) 10 weeks prior to the assessment.
- The university (QA unit in consultation with the contact person of the study program) should review and finalise the assessment timetable. The finalised timetable must be submitted to AUNQA Sec. 8 weeks before the assessment.

### 4. How to arrange SAR, appendices, and exhibits for on-site assessment

Failure to comply with all requirements stated in the **SAR Checklist** might result in the cancellation/ postponement of the on-site assessment.

- SAR should be submitted to AUNQA Sec. at least 2 months before the site visit date (this rule shall be effective until end of March 2018 whereby the new arrangement which include the pre-assessment process, will be implemented).
- The study programme needs to fill in and submit the **SAR Checklist** along with the SAR. All items in the **SAR Checklist** need to be fulfilled. Failure

to comply with all requirements stated in the **SAR Checklist** might result in the cancellation/ postponement of the on-site assessment.

*SAR is an essential document for assessment. It consists of 4 parts as listed. The report should be printed in A4 page of not more than 50 pages with typefont 12 point (from AUN-QA Training Course for Accomplishing Programme Assessment).*

- The length and format of SAR should be in the range of 50-70 pages, excluding appendices. Should there be any queries regarding the length and format of SAR, it should be directed to AUNQA Sec. Details of SAR writing can be referred to **the Guide to AUN-QA Assessment at**

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<sup>2</sup> For example, dean, vice dean, head of department/ programme chair, SAR team, representative from QA Office.

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- For the ease and efficiency of on-site assessment, the appendices on the exhibits should be arranged following the AUN-QA criteria and sub-criteria starting with appendix 1.1, 1.2 and so on.
- Vital appendices need to be translated into English, as stated in the **SAR Checklist** no.9 as shown below:

9	The following information and documents are translated into English if they are in local language:
a	Expected learning outcomes
b	Brief outline of all courses in the programme
c	Programme specification
d	Samples of course specification
e	Educational philosophy
f	Sample of examination papers
g	Sample of marking guides
i	Sample of rubrics especially for internship, project and thesis writing
j	Sample of academic and support staff appraisal forms
k	Sample of student evaluation
l	1-page brief of each survey, tracer study report or minutes of meeting
m	Executive summary of academic and support manpower plan
n	Executive summary of training and development plan for academic and support staff



- Label of the appendices must be in English, not the local language.

## **5. The On-Site Interview Session: Dos' and Don'ts**

### **5.1. General Rules**

- 5.1.1.** The interviewee (especially the students, alumni, and employers) should be informed in advance of what and why they are there at the interview session.
- 5.1.2.** The size of each interview session should be between 15 and 25 interviewees. It should not exceed 25 interviewees of each session. Should

the number exceeds the limit, some interviewees will not be allowed to participate.

**5.1.3.** List of interviewees are to be given by the QA Unit and/or contact person of study program to AUNQA Sec. at least **1 week** before the assessment for verification or modification. The hardcopy of all list of interviewees should be given to the assessor team and the AUNQA Sec. **upon arrival at the hotel on “Day 0” as part of the assessment document package.**

**5.1.4.** During the interview session, it is required that the representatives of the assessed programmes (**academic staff, NOT the student liaison**) standby outside the interview room **at all time** in case the assessor team need some assistance during the session.

**5.1.5.** The interview room(s) of the different assessed programme(s) should be in close proximity (on the same floor) or in the same building. The lunch venue of all assessed programmes should be in the same place (not mandatory).

**5.1.6.** In all interview session except the Interview with heads of department, department administrators, and SAR Team (in the morning of Day 1) SAR writing team is not allowed to join other interview session especially the academic staff interview unless requested by Assessor Team.



**5.1.7.** The list of interviewee should include their name and position and other necessary details. Full details of the info requirement within the list are indicated below.

**5.1.8.** In most cases, if there are two or more programmes sharing the same personnels of support/administrative staff, it is recommended to split interview session into 2 session i.e. 60 minutes for faculty-level support staff and 30 minutes for programme-level support staff.

**5.1.9.** All kinds of recording (including visual and audio recording and word-by-word note taking) is **not allowed** during the interview. Photo taking is allowed only before and after the interview session.

**5.1.10.** Administrative-level staff (deans, vice deans, head of departments) are not allowed during the academic staff interview and any other interview

session. Academic staff is not allowed during any other interview session except their own.

- 5.1.11.** Seating arrangement in the interview session should allow the close proximity between the assessors and the interviewees.
- 5.1.12.** Sufficient microphones should be provided where necessary
- 5.1.13.** Interviewees are not allowed to use laptops, tablets, and mobile phones throughout the interviews unless it is an emergency.
- 5.1.14.** Interviewees are expected to arrive on time and those who arrive late may not be allowed to enter the room.



- 5.1.15.** Interviewees are not allowed to exit the room after the interview starts unless it is an emergency.
- 5.1.16.** If there are other persons (other than interviewees) who accompany the interviewees such as during employer interview, the host university must inform AUNQA Sec at least 1 week before the actual assessment and the decision will be at the discretion of AUNQA Sec.



- 5.1.17.** Each interviewee should bring “Name Tent” so that assessor can easily identify them during the interviews. Name tent should include the details of the interviewee



- 5.1.18.** The seating of interviews should be grouped where appropriate. For example, for student interview, the seating should be grouped into cohorts.
- 5.1.19.** The interviewees shall not be given a copy of SAR to read before the interview session.

## **5.2. Specific rules of each interview session**

### **5.2.1. Academic Staff interview**

#### **5.2.1.1. Condition of the academic staff selection**

- The academic staff should be varied in age. There should be a good, proportionate mixture of young and senior lecturer.
- Academic staff with management and/or administrative position (President/ Vice President/ Dean/ Vice Dean etc.) **is not allowed** in this session.
- Twenty (20) is the maximum number for academic staff interviewees.

#### **5.2.1.2. INFO to indicate in the list of academic staff interviewees**

- The list should indicate name, academic title, and position.

### **5.2.2. Support Staff interview**

#### **5.2.2.1. Condition of the Support Staff selection**

- Support staff must not have teaching duties i.e. holding academic position, and should have support- related duties ONLY.
- For the support staff, it is mandatory to include the following personnel: 1.) University librarian, 2.) Faculty/ department librarian, 3.) Faculty/ department registrar, 4.) laboratory staff (if applicable) 5.) Faculty's IT Staff.
- Twenty (20) is the maximum number for support staff interviewees.

#### **5.2.2.2. INFO to indicate in the list of support staff interviewees**

- The list should indicate name, position, and tasks.

### **5.2.3. Student interview**

#### **5.2.3.1. Condition of the student selection**

- The students should be selected and distributed evenly for their year of study (for example, if it's a 4-year program, it should be 5 students selected from each 1<sup>st</sup> – 4<sup>th</sup> year, making a total of 20).
- Twenty (20) is the maximum number for support staff interviewees.

#### **5.2.3.2. INFO to indicate in the list of student interviewees**

- The list should indicate name and year of study of the student.

### **5.2.4. Alumni interview**

#### **5.2.4.1. Condition of the alumni selection**

- Selection should not include the alumni who has been graduated for more than 10 years or more.
- The graduate year of the alumni should be varied and to include a fresh graduate as well. The selection should include the students from both old and new curriculum (if applicable). As such, those who have just graduated or have been graduated 1-2 years at the date of the assessment should be represented in the alumni interview session.
- Twenty (20) is the maximum number for alumni interviewees.

#### **5.2.4.2. INFO to indicate in the list of alumni interviewees**

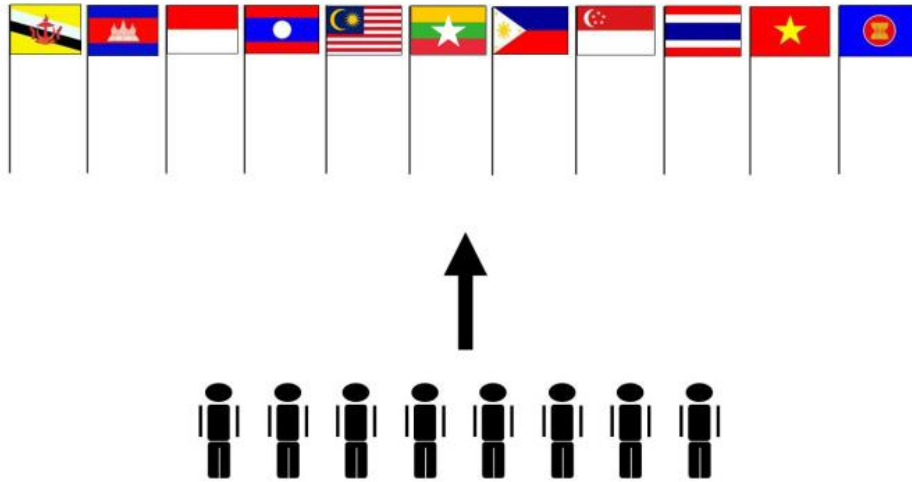
- The list should indicate name, company or current studies, and year of graduation

### **5.2.5. Employer interview**

#### **5.2.5.1. Condition of the employer selection**

- For the good result of the assessment, the number of employer should be no fewer than 10 interviewees.
- If the employer is alumni of the university in which programmes are being assessed, and they hire graduates of the assessed programme, they can be included in the employer interview but **NOT MORE THAN 30%** of the total number of employers (If you have 10 employers, not more than 3 of this type will be accepted).
- If the employer is the alumni of the assessed programme, they should be in alumni session, not employer session (even if they hire graduates of the assessed programme).
- Fifteen (15) is the maximum number for employer interviewees.





#### 5.2.5.2. INFO to indicate in the list of employer interviewees

- The list should indicate 1.) name, 2.) position, 3.) company/ institution they represent, 4.) if they are alumni of the university

## 6. Preparation for Translator/ Interpreter

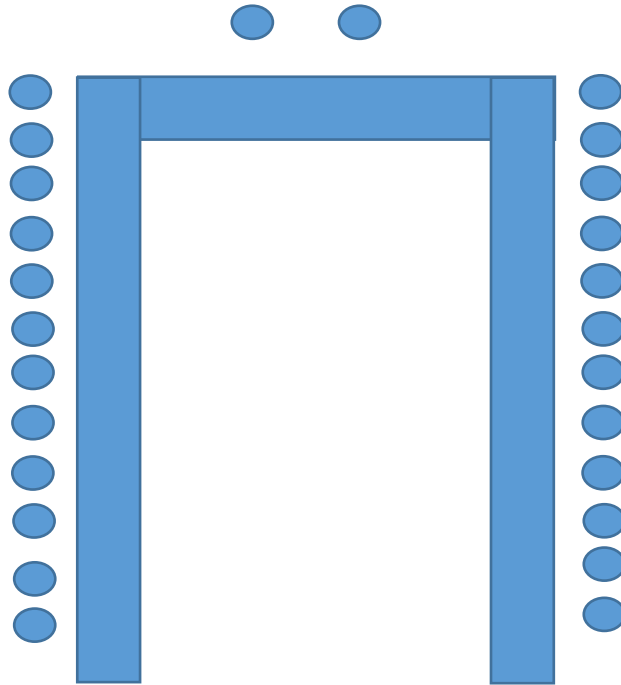
- **It is preferable to use independent translator.** If not available, it has to be academic staff from different Faculties/Schools. For the benefit of the study program, translation should be done in details i.e. no answer should be shortened or summarized during the translation. The AUNQA Sec. reserves the right to request a new translator/interpreter if necessary.

## 7. Protocol and arrangement of the meeting room

### 7.1. Position of ASEAN Flag in the Flag Arrangements for ASEAN Meetings

**7.1.1.** The ASEAN outdoor/venue and room flag shall be displayed together with the flags of ASEAN Member States in alphabetical order, based on the names of Member States, starting from Brunei Darussalam on the extreme left and with the ASEAN Flag (if available) always on the extreme right after the national flag of Viet Nam, in the following manner:

- 7.2.** The university is required to submit the photos of the interview room of every programmes prior to the site visit.
- 7.3.** It is strongly suggested that the microphones are available in the interview room
- 7.4.** The interview must be big enough to have the areas where exhibits and appendices are printed out and displayed within the interview room.
- 7.5.** The interviewees should not sit on the same side with the assessor team.
- 7.6.** The table set up should follow a U-Shape format (per below)



## 8. Facility site visit

- The list of facility site visit at both university level and the faculty level **MUST be given to AUNQA Sec. for consideration 1 week prior to the assessment.** That way, suggestions and alterations can be made before that site visit date.

## 9. Document Review and clarification session with the Head of Department (HOD) and SAR Team

- During the document review and clarification session on Day 2 afternoon, there should be 2 translators on standby to assist both assessors with the documents in local language. The translator can be member of the SAR Team themselves.

## 10. Travel arrangements

- Air tickets of AUN-QA Assessors and AUN-QA Secretariat will be managed by the AUN-QA Secretariat.
- Before arrival date, the university should provide the pre-departure information to AUNQA Sec. and assessor team. Example will be given by the AUNQA Sec.

- Pre-departure information should include the contact person who will pick up the assessor team and AUNQA Sec. The mobile number, the hotel information and contact details, should also be provided.
- It is strongly suggested that when picking-up/ dropping-off of the assessor team, there should be a contact person who is a university staff representing the university or the study programme, accompany the assessor team (not only the driver alone).
- The host should cover the travel tax of the assessors traveling for the Filipinos. For the Philippines, travel tax is 1,620 Peso per person. The exact amount will be informed by the AUNQA Sec.
- For the airport tax expenses and air ticket expenses, the financial department should **separate** the two categories and thus the paper be signed separately. For airport tax(es), **it should be signed by each individual upon receiving the money. It is preferable that the money is provided in local currency or in USD.**
- The reimbursement of the air ticket MUST BE in the amount stated in the receipt and/or country of origin's currency written in the receipt.

## 11. Accommodation Arrangements

- Please make sure that the accommodation has proper working environment and sufficient lighting in the room. Insufficient light in the room will make the works of assessors more difficult.
- There is no need to prepare for dinner on the arrival date (day 0) and day 1 of the assessment, AUNQA Sec. shall inform the assessor to order room service or have dinner at the hotel in order to have internal meeting among assessors and/or AUNQA Sec. and these will be borne by the host university.
- On day 2, dinner will be by room service or dinner at the hotel. The assessor will be informed that the dinner will be borne by the host university. All expenses related to meals (room service, mini bars, and dinner at hotel) by assessors and AUNQA Sec during the event, will be borne by the host. Other expenses (laundry, etc.) will be paid by assessors' and AUNQA Sec.'s own expenses. Please confirm with the hotel that there should be no meal charges to the guest upon check-out.
- **The host university shall book a meeting room at the hotel from 4:00 pm until 11:00 pm on day 2 for assessors to discuss on the preliminary result findings and to consolidate presentation. Coffee break is to be provided.**
- The host university shall request the hotel for early check-in and late check-out provided to assessors and AUNQA Sec. where appropriate, depending on the flight itineraries.
- The accommodation must have stable WIFI connection.

## 12. Financial Arrangements

- There are 5 main categories of expenses incurred during the assessment:
  1. Administrative fee (1,500 USD **per assessment** for both AUN-QA Member and AUN-QA Associate Member)
  2. Development fund (1,000 USD **per programme** for AUN -QA Associate Member only)
  3. **Honorarium of the assessor**

- 1,000 USD for lead assessor (plus additional of 200 USD for person assigned as Chief Assessor. AUN-QA Sec is to inform the university who is assigned as Chief Assessor)
- 700 USD for assessor.
- Condition of the honorarium
  - Each programme assessment consists of 1 lead assessor and 1 assessor
  - If 2 or more programmes are assessed at the same time, the Chief Assessor will be selected and appointed from one of the Lead Assessor
- 4. Airfare expenses including air ticket, airport tax, departure tax of the country of origin and country of arrival (if applicable) of the assessor team and AUNQA Sec.
- 5. Local hospitality (including meals, transportation, and accommodation)

**For expenses no.1** it should be wired to the following AUN-QA AUN-QA Administrative Fee account **ONE MONTH BEFORE THE SITE VISIT DATE:**

**Settlement by:** bank transfer

**Bank:** TMB BANK, Thailand (Phayathai Branch)

**Account Name:** AUN-QA Administrative Fee

**Account Number:** 001-8-20582-3

**Swift Code:** TMBKTHBK

**\*PLEASE NOTE THAT the transfer fee will be borne by the host university and must be excluded from the amount transferred.**

**\*PLEASE ALSO NOTE THAT for expense No.1 Administrative fee,**

**- For all assessment after May 2019, the administrative fee is 1,500 USD. The university who has transferred 1,000 USD application fee will only need to transfer the outstanding amount of 500 USD for administrative fee.**

**For expense no.2,** it should be wired to the following AUN-QA Development Fund account **ONE MONTH BEFORE THE SITE VISIT DATE:**

**Account Name:** ASEAN University Network

**Account Number:** 003-8-20009-3

**Bank:** TMB Bank, Thailand (Phayathai Branch)

**Swift Code:** TMBKTHBK

**\*PLEASE NOTE THAT the transfer fee will be borne by the host university and must be excluded from the amount transferred.**

**For expenses no. 3 and 4,** it should be **SETTLED BY CASH** upon arrival with the AUNQA Sec.

- The airfare reimbursement and honorarium settlement **must be made at the latest, on the second day of the assessment.**
- For airfare reimbursement, all papers should be addressed to and signed by the AUN senior programme officer/ AUN programme officer in charge of the

**assessment. This is because airfare is paid in advance by AUNQA Sec., not the assessors. Assessors only need to sign upon receiving honorarium, if necessary.**

### **13. Token of Appreciation and Souvenir (if any) Arrangements**

- It is strongly suggested that the token of appreciation and souvenirs (if any) presented by the host university during the assessment process should not be of high values.

### **14. General rules of observer**

For the purpose of staff development and learning, observers are permitted to attend specific parts of the site assessment. To safeguard the integrity and confidentiality of the assessment, observers must be **from other universities** (observers from the university being assessed are no longer allowed in any interview session) and adhere to the following requirements:

- They must be from AUN-QA members and associate members.
- The list of observers will be approved by Chairperson of the AUN-QA Council.
- They are required to formally declare that they have no conflicts of interest with the university being assessed;
- They are not allowed to record the observed session using any electronic devices;
- They will not be allowed to observe any private discussion held by the assessment team;
- They may be excluded from any meeting or interview by the discretion of chief/lead assessor and/or AUN-QA Secretariat;
- They are not allowed to ask questions or provide comments during the site assessment and interviews;
- They are responsible for their own accommodation and travel; and
- They may be invited to provide comments about the assessment process by AUN-QA Secretariat.
- During the interview session, observer has to wear badge (which state clearly that they are 'observer') all the time.
- Observers are not allow to bring laptop, recorder, and tablets during the interview. It is not also appropriate for observer to conduct verbatim note during the interview as it is counter-productive to AUN-QA principle.
- We allow the maximum of 3 observers per programme.

### **15. Photos and Video**

- Photo can be taken before and after the interview, not during the interview
- VDO is only allowed in the closing ceremony. VDO recording is not allowed during any interview session.

## Annex 1. Document Submission Checklist

Document	Items to be submitted to AUNQA Sec.	Submit within timeframe	Yes	No	Remarks
Assessment Programme Template	The programme template is submitted	10 weeks before assessment			
SAR	SAR is submitted with completed SAR Checklist	At least—8 weeks before assessment			
Transfer of AUN-QA Administrative fee and AUN-QA Development fund fee	The fee has been transferred and the university submit the proof of transfer via Email *Please note that if you have transferred 1,000 USD during the application period, the amount is deductible to administrative fee and the university will only need to transfer 500 USD.	4 weeks before assessment at the latest			
Pre-departure information (assessment guidebook)	The pre-departure information with all vital information on travel arrangement is finalized and submitted	2 weeks before assessment (at the latest)			
List of interviewees of all assessed programme(s)	List is given to AUNQA Sec.	2 weeks before assessment			
List of facility site visit (both university level and programme level list)	List of facility site visit is submitted to AUNQA Sec.	2 weeks before assessment			
photos of the interview room	Photos of the interview room of every programmes is submitted to AUN-QA Secretariat	1 week before assessment			
Hard copy of the SAR and all the required appendices stated in the SAR checklist	Hard copy of the SAR and all the required appendices stated in the SAR checklist are printed out and will be given to the assessor team	<b>Arrival Day of the assessors</b>			