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

2018

General Guidelines for AUN-QA Institutional Assessment

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PREPARED BY AUN-QA SECRETARIAT

1. Primary Arrangement

- QA unit[1] 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.

2. Opening and Closing Session

2.1. Opening session

2.1.1. 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[2]. There will be no VDO recording/photo taking in this session. We DO NOT allow feedback and queries throughout the closing session including all remarks during the closing session on. It is appropriate that the feedback report be provided after the university receives the AUN-QA Assessment Report. The closing ceremony is an open session, allowing any kind of media/PR, in the session.

3. On-site Assessment Timetable Template

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[1] The office or the person as officially appointed to oversee the overall quality assurance (QA) activities of the university

[2] For example, dean, vice dean, head of department/ programme chair, SAR team, representative from QA Office.

- 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

- SAR should be submitted to AUNQA Sec. at least 2 months before the site visit date
- The university needs to fill in and submit the *SAR Checklist* along with the SAR. <u>All items</u> 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.
- 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 according to *Guide to AUN-QA Assessment at Institutional Level Version 2.0*
- Vital appendices need to be translated into English, as stated in the *SAR Checklist*
- 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 interviewees (especially the students, alumni, and employers) should be informed in advance of what and why they are 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 is to be given by the QA Unit and/or contact person of study program to AUNQA Sec. at least **2 weeks** before the assessment for verification or modification**.** The hardcopy of all lists 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 (or contact person) standby outside the interview room **at all time** in case the assessor team need some assistance during the session.

5.1.5. The interview session should be done in the Faculty/School/Department building. Assessors prefer to observe the environment of the programme being assessed.

5.1.6. In all interview session, SAR writing team is not allowed to join unless requested by Assessor Team.

5.1.7. The list of interviewees should include their name and position and other necessary details.

5.1.8. 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.

5.1.9. 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.

5.1.10. Seating arrangement in the interview session should allow the close proximity between the assessors and the interviewees.

5.1.11.   Sufficient microphones should be provided where necessary

5.1.12.   Interviewees are not allowed to use laptops, tablets, and mobile phones throughout the interviews unless it is an emergency.

5.1.13.   Interviewees are expected to arrive on time and those who arrive late may not be allowed to enter the room.

5.1.14.   Interviewees are not allowed to exit the room after the interview starts unless it is an emergency.

5.1.15.   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.

5.1.16.   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

5.1.17.   The seating of interviews should be grouped where appropriate. For example, for student interview, the seating should be grouped into cohorts.

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 administrative position **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 should include the following personnel: 1.) University librarian, 2.) Faculty librarian, 3.) Faculty/ department registrar, 4.) laboratory staff (if applicable) 5.) 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 1st – 4th year, making a total of 20).

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.
- We **DO NOT** accept more than 6 out of 20 employers (30%) who are also the alumni of the university being assessed regardless of which programme they graduated from.

    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.) remark stating if they are also alumni of the university

6. Protocol and arrangement of the meeting room

6.1. Position of ASEAN Flag in the Flag Arrangements for ASEAN Meetings

6.1.1. 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 always on the extreme right after the national flag of Viet Nam, in the following manner:
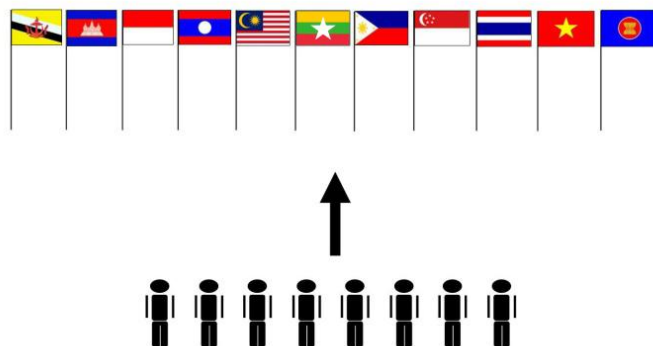

Diagram 1: Outdoor Flags Diagram

6.1.2. When placed with the flag of a Dialogue Partner, the ASEAN Flag along with the flags of ASEAN Member States shall be displayed in the following manner:
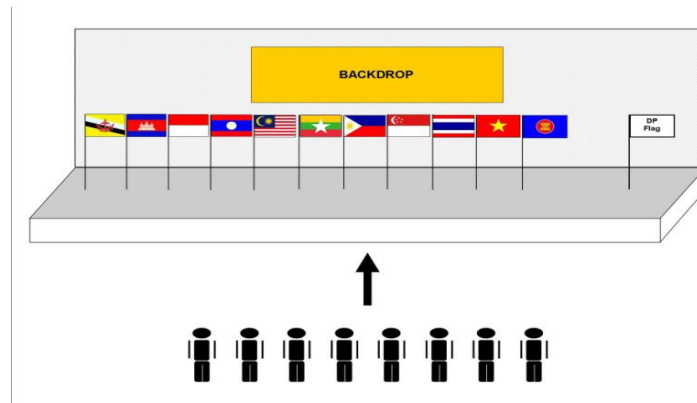

Diagram 2: Venue Flags (Outdoor/Indoor)

6.2. The university is required to submit the photos of the interview room of every programmes prior to the site visit.

7. Preparation for Translator/ Interpreter
- **It is preferable to use independent translator from the assessed university.** 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.

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 2 weeks prior to the assessment.**

9. Document Review and clarification session with the Head of Department (HOD) and SAR Team
- During the document review and clarification session, 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**
- 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.
- When picking-up/ dropping-off of the assessor team, there should be a contact person who is a university staff representing the university accompany the assessor team (not only the driver alone).
- The host should cover the travel tax of the assessors traveling for the Filippinos. For the Philippines, travel tax is 1,620 Peso per person. The exact amount will be informed by the AUNQA Sec.
- 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**
- **All expenses related to meals (room service, mini bars except alcohol, and dinners 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 hotel there will be no deposit required upon checkin for assessors and AUNQA Sec**
- **Please confirm with the hotel that there should be no meal charges to the guest upon check-out.**
- **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.
- Please make sure that the accommodation has sufficient lighting in the room. Insufficient light in the room will make the works of assessors more difficult.

12. Financial Arrangements

- There are 5 main categories of expenses incurred during the assessment:
  1. **Honorarium of 5 assessors (1,500 USD each).**
  2. **Honorarium of one chief of assessor team (2000 USD)**
  3. **Airfare expenses including airport tax, departure tax of the country of origin and country of arrival (if applicable) of the 6 assessor team and 3 AUN Secretariat.**
  4. **Local hospitality (including meals throughout the assessment period, transportation, accommodation, and minibars at hotel excluding alcohol)**
  5. **Administrative fees and development fund (if applicable)* The invoice will be submitted to the host by AUNQA Sec prior to assessment**

Summary of Financial Reimbursement

Item	Amount	Currency	Remark
Airfares	As stated in invoice provided by AUN	Local currency as stated in invoice provide by AUN	For 6 Assessors and 3 Staff from AUN
Travel Tax	1620	Peso (USD also accepted)	Upon receipts for assessors from the Philippines
Honorarium for one Chief of assessor team	2000	USD	
Honorarium for 5 assessors	7500	USD	1500 USD per assessor
Accommodation, meals and minibars at hotel/restaurants			For 6 assessors and 3 Staff from AUN
Local Hospitality (Meals, drinks, transport)			For 6 assessors and 3 Staff from AUN
Administrative Fees	1500	USD	
*AUN-QA Development Fund	3000	USD	Applicable to AUN-QA associate members ONLY

For item No. 5 (Administrative fees and development fund), it must be wired to the following AUN-QA Development Fund account after AUNQA Sec submits an invoice to the host:

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 is excluded from the amount transferred.

For items No. 1, No.2, and No.3 (honorarium and airfares), they should be settled by cash upon arrival to the AUNQA Sec.

- **The host university shall prepare the honorarium in individual envelope for each assessor in EXACT amount**
- **The airfare reimbursement and honorarium settlement must be made at the latest, on the third 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
- Observer needs to submit the observer declaration form 4 weeks before the assessment date. Late submission of the form will not be considered valid and will not be allowed in the interview session.
- During the interview session, observer has to wear badge (which state clearly that they are 'observer') all the time.
- Observers cannot attend the student and support staff interview session at the minimum. For Other session, AUN-QA Assessors and AUNQA Sec. have full discretion to allow or disallow the observers in other interview session.
- Observers are not allowed 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.

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
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
Pre-departure information (assessment guidebook)	The pre-departure information with all vital information on travel arrangement is finalized and submitted	1 week before assessment (at the latest)
All lists of interviewees	List is given to AUNQA Sec.	2 weeks before assessment
List of facility site visit	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	Arrival Day of the assessors