

Working Draft_Version 1.0 (July 2020)

Step-by-step guide to online/remote site visit in the AUN-QA Programme Assessment (July 2020)

This document has been drafted for the staff of the study programme as well as the central administrator of the university that plans to organize the AUN-QA Programme Assessment between July to December 2020.

Should you have any comments, suggestions, and further inquiries, please contact the PO in-charge at: aun.supatchas@gmail.com, aun.officer3@gmail.com

Preparation for the Online/ Remote Site Visit in the AUN-QA Programme Assessment

1. Technical Arrangement

Period	Timeframe	University	Tick (✓) where necessary
Pre	55 days before assessment	<p>1.1 Identifying Types of Online/Remote Site Visit for Each Programme</p> <ul style="list-style-type: none"> ▶ Campus-based online/ remote site visit: All interviewees gather at the university for online interview sessions. Require live streaming facility visit. ▶ Home-based online/remote site visit: All interviewees are presented at their home/residences. Require live streaming facility visit. ▶ Hybrid: Some interviewees will be interviewed from home and some will gather at the university for online interview sessions. Require live streaming facility visit. 	
		<p>1.2 Equipment and Online Meeting Platform Requirements</p> <ul style="list-style-type: none"> ▶ Equipment requirements for interview sessions <ul style="list-style-type: none"> ▷ Dedicated Web camera and microphone for each interviewee ▷ Web camera to see the whole interview room (campus-based/ hybrid setting) ▶ Online Meeting Platform requirements for interview sessions <ul style="list-style-type: none"> ▷ Zoom Meeting Platform ▷ Internet connection and stability (speed test result verification: Internet speed with at least 10 MBPS with ping not more than 30 ms) ▶ Equipment requirements for live streaming facility visit <ul style="list-style-type: none"> ▷ The objective of the live streaming facility visit is for the assessors to see the actual environment of the university and to allow assessors to interact with university staff responsible for each facility. ▷ For a minimum requirement, it is advisable to use video camera equipment with gimbal, capable of live streaming broadcast. 	
	45 days before assessment	<p>1.3 Orientation with Universities</p> <p>The AUN-QA Secretariat will setup an orientation meeting with universities that have assessments in the same month to go through the preparation requirements including programme and technical literacy. Head of/ staff of the QA unit, PIC of each study programme, translators (who will be attending interview sessions of each programme), and dedicated technical staff (for each programme) of each universitie are required to attend the orientation.</p> <ul style="list-style-type: none"> ▶ There will be 2 sessions during the Orientation; <ul style="list-style-type: none"> ▷ 1. Plenary session (all PICs from universities and the Secretariat) ▷ 2. Breakout session (only PICs from each university and Secretariat in charge of that assessment) <p>Zoom Instructions appear as Annex U01.</p>	
30 days before assessment	<p>1.4 Readiness Test with the university</p> <p>Readiness test will be conducted after ample time is given to the university for technical preparation. Chief assessor will be attending the test run with the AUN-QA Secretariat and the university (Head of/ staff of the QA unit, PIC of each study programme, translators, and dedicated technical staff (for each programme) are required to attend the Readiness Test). After the readiness test, Chief Assessors in consultation with the AUN-QA Secretariat will decide if the online/remote site visit will proceed.</p> <ul style="list-style-type: none"> ▶ Below are items to be checked during the Readiness Test: <ul style="list-style-type: none"> ▷ Internet connection and stability test (https://www.speedtest.net/) at the university *for home-based and hybrid interview, University needs to collect and submit the internet speed test information of each interviewee to the AUN-QA Secretariat after university orientation with the interviewees ▷ Computer, web camera, and microphone for each interviewee ▷ Deicated web camera to see the whole interview room ▷ Trial of Live streaming facility visit (actual test run to all facilities at the university level and faculty levle) 		

	10-15 days before assessment	<p>1.5 University Orientation with the Interviewees The university is required to setup the orientation meeting with interviewees for the online/remote site visit preparation.</p> <p>► The orientation should include:</p> <ul style="list-style-type: none"> ▷ Technical equipment preparation ▷ Technical literacy (hardware and software) ▷ Technical Trial ▷ Objective of the assessment ▷ Rules and etiquette (to do/ not to do during the interview/ photo taking etc.) ▷ University informs interviewees about University Non-disclosure Agreement ▷ For home-based and hybrid interview, University needs to collect and submit the internet speed test information of each interviewee to the AUN-QA Secretariat after university orientation with the interviewees 	
	3 days before assessment	<p>1.6 Final Preparation Meeting and Final Readiness test with University</p> <p>► Final Preparation Meeting:</p> <ul style="list-style-type: none"> ▷ Assessment itinerary ▷ List of interviewees ▷ Other arrangements related to assessment <p>► Final Readiness Test :</p> <ul style="list-style-type: none"> ▷ Technical preparation 	
During	Day 0 to Day 5	<p>1.7 Technical Arrangement during the interview Technician is required to standby in Zoom meeting session (Main Meeting Room) for each study programme.</p> <p>► Communication Channel during the Interview Session:</p> <ul style="list-style-type: none"> ▷ WhatsApp Group between AUN-QA Secretariat, CQO and all PICs of each study programme will be created. 	
Post	within 7 days after assessment	<p>1.8 Feedback Survey for Online/Remote Site Visit in the AUN-QA Programme Assessment University (head of QA unit, QA staffs, head of department, and PIC of each study programme) is requested to provide feedback for Online/Remote Site Visit in the AUN-QA Programme Assessment, especially in technical arrangement for future improvements.</p>	
2. Financial Arrangement			
Period	Timeframe	University	Tick (✓) where necessary
Pre	30 days before assessment	<p>2.1 Application Fee 1,500 USD per assessment</p> <p>► Settlement by bank transfer within 30 days before the online/remote site visit in the AUN-QA Programme Assessment. Proof of transfer should be submitted to the Secretariat.</p> <ul style="list-style-type: none"> ▷ Bank: TMB Bank, Thailand (Phayathai Branch) Account Name: AUN-QA Secretariat Administrative Fee Account Number: 001-8-20582-3 Swift Code: TMBKTHBK <p>PLEASE NOTE that the transfer fee shall be borne by the host university</p>	
		<p>2.2 Assessment Fee 1,000 USD per programme (for AUN -QA Associate Member only)</p> <p>► Settlement by bank transfer within 30 days before the online/remote site visit in the AUN-QA Programme Assessment. Proof of transfer should be submitted to the Secretariat.</p> <ul style="list-style-type: none"> ▷ Bank: TMB Bank, Thailand (Phayathai Branch) Account Name: AUN-QA Operations Account Number: 003-8-20009-3 Swift Code: TMBKTHBK <p>PLEASE NOTE that:</p> <ol style="list-style-type: none"> 1. the transfer fee shall be borne by the host university 2. Item 2.2 and 2.3 can be accumulated 	

		<p>2.3 Honorarium for the AUN-QA Assessors 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.</p> <p>► Honorarium rate (endorsed by AUN Board of Trustees in July 2017 and has been in effect since May 2018)</p> <ul style="list-style-type: none"> ▷ Chief Assessor: 1,200 USD ▷ Lead Assessor: 1,000 USD ▷ Assessor: 700 USD <p>► The honorarium will be settled by bank transfer within 30 days before the online/remote site visit in the AUN-QA Programme Assessment. Proof of transfer of the Honorarium for each assessor should be submitted to the Secretariat.</p> <ul style="list-style-type: none"> ▷ Bank: TMB Bank, Thailand (Phayathai Branch) Account Name: AUN-QA Operations Account Number: 003-8-20009-3 Swift Code: TMBKTHBK <p>PLEASE NOTE that;</p> <ol style="list-style-type: none"> 1. the transfer fee shall be borne by the host university 2. Item 2.2 and 2.3 can be accumulated 	
		<p>2.4 Local verifier Local verifier are appointed upon agreement between the university, the AUN-QA Secretariat, and the AUN-QA Assessor. The local verifier will help AUN-QA Assessors verify the documents, evidences, and may accompany the facility visit activities. Please note that local verifier will be on standby at the campus throughout the assessment. The AUN-QA Secretariat in consultation with the AUN-QA Assessor will nominate name(s) of local verifier and to seek whether the university is in agreement with the name(s) proposed. The necessary administrative arrangements shall follow after the initial agreement has been made.</p> <p>Local verifier non-disclosure agreement appears as Annex U02 Local verifier conflict of interest declaration form appears as Annex U03</p> <p>► Administrative arrangements for the local verifier</p> <ul style="list-style-type: none"> ▷ Transportation expenses <ul style="list-style-type: none"> = Domestic airfare/ land transportation expenses include air ticket and land transportation expenses (if applicable) for local verifier will be borne by the host university. = The domestic airfare and land transportation expenses reimbursement will be settled by cash or transfer during the online/remote site visit assessment between the host university and the local verifier. <p>► Accommodation and logistic arrangement The accommodation and local transportation (between accommodation and the university) of the local verifier shall be borne and is the responsibility of the university. Please make sure that the accommodation has a proper working environment, sufficient lighting in the room, and stable wifi connection. The host university shall request the hotel for early check-in and late check-out provided to local assessors where appropriate, depending on the flight itineraries. All meals during the assessment of the local verifier shall also be borne by the university.</p>	
During	Day 0	N/A	
Post			
3. Document Preparation			
Period	Timeframe	University	Tick (✓) where necessary
Pre	60 days before assesment	<p>3.1 Submission of SAR(s), Appendices, and Exhibits Failure to comply with all requirements stated in the SAR Checklist might result in the cancellation/ postponement of the on-site assessment.</p> <p>► Specification Requirements for SAR Submission</p> <ul style="list-style-type: none"> ▷ SAR(s) should be written in English. ▷ A glossary of abbreviations and terminologies used in the report should be provided. ▷ 50-70 pages range (excluding appendices) ▷ Should be in A4 page with typefont 12 point ▷ Line spacing should be 1.5 <p>► Appendices and Online Exhibits Submission</p> <ul style="list-style-type: none"> ▷ Vital appendices need to be translated into English. For the full list of vital appendices, please refer to SAR Checklist appears as Annex U04. ▷ All other appendices and exhibits need to be made available in a systematic manner as digital copy (soft files/ document scan). ▷ All the supporting documents and exhibits need to be made available for AUN-QA Assessors in digital version. Please note that based on our experience, the AUN-QA Secretariat and AUN-QA Assessors encountered difficulty in downloading large files. Therefore, please consider finding a suitable portal to deliver the required documents. 	
	30 days before assesment	<p>3.2 Receiving of Assessment Itinerary After consultation with the assessor team, the actual assessment itinerary at your university will be provided to you in due time.</p> <p>Example in Assessment Itinerary appears in Annex U05.</p> <p>Please note that Annex U05 is a sample of Assessment Itinerary for your reference.</p>	

<p>14 days before assessment</p>	<p>3.3 Submission of List of Interviewees List of interviewees shall be submitted to the Secretariat 14 days before the online/remote site visit in the AUN-QA Programme Assessment</p> <p>► Interviewee's Specific Rule for Remote/Online Site Visit The home-based and hybrid types of online/remote site visit require 30% of spare interviewees (in addition to the indicated numbers in the normal assessment appear below) on stand-by in the waiting room and maybe requested to enter the interview room upon necessity.</p> <p>▷ Briefing by the Dean/ Meeting with HoD, SAR Team Member</p> <ul style="list-style-type: none"> ▷ The session should be attended by dean, vice deans, head of department, and SAR team member ▷ The session starts with introduction to the faculty of the programme being assessed (should there are more than one programme being assessed in the same faculty, briefing by the dean shall be conducted in a plenary session while meeting with head of department and SAR team members as a separate session). The introduction presentation should be 10-15 minutes maximum. The dean and vice deans may be asked to leave a meeting room before the start of discussion with the SAR team members, this is upon AUN-QA Assessors' discretion. <p>▷ Academic Staff Interview</p> <ul style="list-style-type: none"> ▷ Selected academic staff should be varied in age, and have a good, proportionate mixture of young and senior lecturer. ▷ Academic staff with management and/or administrative position (President/ Vice President/ Dean/ Vice Deans, Head of Departments etc.) is not allowed in this session. ▷ The maximum number of academic staff in this session is 20 (with 30% of spare interviewees if it is home-based or hybrid types) ▷ The list of academic staff interviewee requires the following details: name, academic title, position, and year with the university. <p>▷ Support Staff Interview</p> <ul style="list-style-type: none"> ▷ Support staff shall not have teaching duties/holding academic position (with some exception for the laboratory staff, please further consult AUN-QA Secretariat for more details) ▷ Support staff maybe divided into 2 sessions, university-level support staff and programme-level support staff. ▷ The maximum number of support staff in this session is 20 (with 30% of spare interviewees if it is home-based or hybrid types). ▷ The list should indicate name, position and tasks. ▷ For the university-level support staff, it is mandatory to include the following personnel: University librarian, university registrar, university IT support staff, representatives from student support center, career development center, and etc. ▷ For the programme-level support staff interview, it should include the following personnel: Faculty/ department librarian, faculty/ department registrar, faculty-level laboratory staff (if applicable), and Faculty's IT Staff and etc. ▷ If there are 2 or more programmes sharing the same personnels of support/administrative staff, it is recommended to split the interview session into 2 sessions i.e. 60 minutes for faculty-level support staff and 30 minutes for programme-level support staff. <p>▷ Student interview</p> <ul style="list-style-type: none"> ▷ List of student shall 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 students in total (with 30% of spare interviewees if it is home-based or hybrid types). ▷ In the case of a 6-year study program, the number of selected students for each year should be between 3-4 persons, making a total of 20 students in total. ▷ The list should indicate the name and year of study of the student. <p>▷ Alumni interview</p> <ul style="list-style-type: none"> ▷ Selection shall not include the alumni who has been graduated for more than 15 years or more. ▷ The graduate year of the alumni should be varied and to include a fresh graduate as well. ▷ Should include the students from both old and new curriculum (if applicable). ▷ The maximum number of alumni in this session is 20 (with 30% of spare interviewees if it is home-based or hybrid types). ▷ The list should indicate name, company or current studies, and year of graduation <p>▷ Employer interview</p> <ul style="list-style-type: none"> ▷ Number of employers should be no fewer than 10 interviewees (with 30% of spare interviewees if it is home-based or hybrid types). ▷ If the employer is alumni the programmes being assessed, they are not allowed in the session and should be put in alumni session instead. ▷ If the employer is alumni of the university, 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). ▷ 15 is the maximum number for employer interviewees. ▷ The list should indicate 1.) name, 2.) position, 3.) company/ institution they represent, 4.) if they are alumni of the university <p>List of Interviewees Template appears as Annex U06.</p>	
	<p>3.4 Submission of Guidebook</p> <p>► Guidebook should contain the following information:</p> <ul style="list-style-type: none"> ▷ Final assessment itinerary (assessment programme) ▷ Powerpoint presentation of the university (or video, submitted as digital copy) ▷ Photos and contact details of: <ul style="list-style-type: none"> ▷ Head and members of QA Unit ▷ Dean, vice deans, head of department/study programme/ person-in-charge of each study programme (including WhatsApp contact details), and SAR team member of each study programme ▷ The document should be submitted to AUN-QA Secretariat 2 weeks before the assessment 	
	<p>3.5 Receiving of List of Assessor team List of assessor team for each study programme will be sent prior to the site visit.</p>	
	<p>3.6 Submission of University Non-Disclosure Agreement Head of university's QA unit will be the one who sign the form on behalf of all interviewees.</p> <p>The University non-disclosure agreement appears as Annex U07.</p>	
	<p>3.7 Submission of Interviewee Photo and Video Consent Form The Secretariat would like to ask for your consent in case photo taking, screenshot, print screen, and/or video recording may be taken. Please note that Head of university's QA unit will be the one who sign the form on behalf of all interviewees.</p> <p>Interviewee Photo and Video Consent Form appears as Annex U08.</p>	
<p>During</p>	<p>N/A</p>	

Post	45 days after assessment	N/A	
	60 days after assessment	3.8 Receiving of Final Report Final Report from assessors will be sent in digital version and printed version to university.	
	75 days after assessment	3.9 Submission of Appendix F Feedback Form Appendix F Feedback for the assessed programmes to complete and submit back to the AUN-QA Secretariat within two weeks after receiving the Final Report. After all feedbacks have been received, the AUN-QA Secretariat shall proceed with the final report (printed version) and certificate production. Appendix F Feedback Form appears as Annex U09	
	120 days after assessment	3.10 Receiving of Certificate Certificates valid for 5 years will be mailed to the university after the submitted Appendix F Feedback Form is acknowledged by the AUN-QA Assessor	

During the Online/ Remote Site Visit in the AUN-QA Programme Assessment

4. Photo and video

Period	Timeframe	University	Tick (✓) where necessary
Pre			
During	Day 1 to Day 3	4.1 Interview Session <ul style="list-style-type: none"> ▶ Photo can be taken before and after the interview. ▶ Video recording is not allowed during any interview session. ▶ If there would be photo or video record during the interview, interviewees will: <ul style="list-style-type: none"> ▷ Be asked for consent for recording ▷ Be informed clearly about the purpose of the record ▷ Be alerted during the whole recording period <p>Please note that still images may be used in AUN-QA publication, however, text transcript, video and sound recording will be used for AUN-QA Assessor reference ONLY. No external parties including the university would be able to access the recorded information. For more information, please see Annex U08.</p>	
	Day 1 and Day 5	4.2 Opening and Closing Session <ul style="list-style-type: none"> ▶ No video recording/photo taking during the presentation of the preliminary results and findings in the Zoom meeting session is allowed. ▶ The Opening and Closing ceremony is an open session, allowing any kind of media/PR, in the session. ▶ If there would be photo or video record during the session, participants will: <ul style="list-style-type: none"> ▷ Be asked for consent for recording ▷ Be informed clearly about the purpose of the record ▷ Be alerted during the whole recording period 	
Post			

5. Opening and Closing Session

Period	Timeframe	University	Tick (✓) where necessary
	14 days before assessment	N/A	
Pre	7 days before assessment	5.1 Submission of VIP list University submits VIP list who will be attending Opening and Closing Session to the Secretariat.	
During	Day 0 to Day 5	5.2 Objectives of the Opening and Closing Session ► Opening and Closing Session ▷ Opening Session It is suggested that the university provides the general and relevant information of the university, such as the vision/mission of the university, and to show the alignment with the Expected Learning Outcomes (ELOs) of the study programme(s). ▷ Closing Session - Presentation of the preliminary results and findings - Arranged as an opened session - Participants can be any person upon the appropriateness and demand of the university decision based on the effectiveness and efficiency of the assessment at that university. - We DO NOT allow feedback and/or queries throughout the presentation and closing session including all remarks during the closing session. - The feedback will be provided in Appendix F only after the programme receives the AUN-QA Assessment at Programme Level's final report. - The closing ceremony - To express gratitude and appreciation to the host university for their hospitality during the assessment. ► General Arrangement Please note that the university needs to have a master of ceremony to guide through the two sessions	
Post			
6. Interview			
Period	Timeframe	University	Tick (✓) where necessary
Pre		6.1 Interview Room Arrangement (physical arrangement) There are 3 types of Online/Remote Site Visit: Type 1 - Campus-based online/remote site visit Type 2 - Home-based online/remote site visit Type 3 - Hybrid Please refer to "Section 1.1 Identifying Types of Online/Remote Site Visit" for more information. ► Below please find the interview room arrangement for Type 1 and Type 3 ▷ The interview room must comply with the following requirements - Comply with the social distancing policy both at country and university level - Each interviewee to have their own web camera and microphone - For the number of interviewees of each session, please refer to list of interviewees in category "3. Document Preparation". - No observer is allowed. - The interview room should be quiet. - For university-based site visit and hybrid type, one of the cameras should be set up to allow the Secretariat to see the whole interview room. ► Zoom Meeting Room Arrangement Please refer to Zoom Instructions appears as Annex U01 for more details.	

During	Day 0 to Day 5	<p>6.2 General Rules and Protocol for All Interview Sessions during the Online/Remote Site Visit Assessment</p> <ul style="list-style-type: none"> ▶ The interviewees (especially the students, alumni, and employers) should be informed in advance of what and why they are there at the interview session. ▶ During the interview session, it is required that the Person-in-charge of the assessed programmes (academic staff, NOT the student liaison) standby in the provided Zoom Meeting room to help sort the incoming interviewees (identification and name changes etc.) at all time in case the assessor team or the Secretariat needs some assistance during the session. ▶ In all interview sessions 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 sessions especially the academic staff interview unless requested by the Assessor Team. ▶ All kinds of recording (including visual and audio recording and word-by-word note taking) is not allowed during the interview. Photo taking (screen capture) is allowed only before and after the interview session. ▶ Administrative-level staff (dean, 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. ▶ Interviewees are not allowed to use laptops, tablets, and mobile phones (except that these devices are used for Zoom interview meeting) throughout the interviews unless it is an emergency. ▶ Interviewees are expected to be in the Zoom meeting session on time and those who join late may not be allowed to enter the room. ▶ Interviewees are not allowed to leave the Zoom meeting session after the interview starts unless it is an emergency. ▶ When signed in to the Zoom meeting session, each interviewee should use their real name as appears in the interviewee list. ▶ The interviewees shall not be given a copy of SAR(s) to read before the interview session. 	
		<p>6.3 Translator It is preferable to use an independent translator. If not available, the translator can be university's 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 in the translation. The AUN-QA Secretariat reserves the right to request a new translator/interpreter if necessary.</p>	
		<p>6.4 Document Review Session During the document review and clarification session, the translator should be on standby to assist the AUN-QA Assessor for document translation. The SAR team should also be on standby to help with document translation.</p>	
	Day 5	<p>6.5 Submission of Participated Interviewees of each session University submits number of participated interviewees of each session to the Secretariat.</p>	
Post			
7. Facility visit			
Period	Timeframe	University	Tick (✓) where necessary
Pre	14 days before assessment	<p>7.1 Submission of Recorded Video and List of Facility Visit Facility visit will be done in both recorded medium (prior to the site visit) and live streaming.</p> <ul style="list-style-type: none"> ▶ Prior to the site visit date, university is required to submit: <ul style="list-style-type: none"> ▷ One recorded video of university level facility visit ▷ Recorded videos of faculty level facility visit seperated for each study programme ▷ List of the facility visit. ▶ Suggested facilities to be in the recorded videos and for live streaming are as follows: <ul style="list-style-type: none"> ▷ University Level <ul style="list-style-type: none"> ▷ University Library ▷ Computer room/IT service ▷ Academic service ▷ Career Development Center ▷ Student support center ▷ Laboratory/workshop ▷ Faculty Level <ul style="list-style-type: none"> ▷ Classroom ▷ Study room ▷ Faculty library ▷ Laboratory <p>**Please note that Both recorded video of university level and faculty level can be narrated or dubbed with/without subtitle. Maximum length is 20 minutes each and a maximum size is 500 MB.**</p>	
During	Day 1	<p>7.2 Live streaming facility visit at university level Facility visit live streaming at university level will be a joint session in the same Zoom meeting room attended by all assessors from every study programmes.</p> <ul style="list-style-type: none"> ▶ Requirements: <ul style="list-style-type: none"> ▷ One streaming camera for live steaming at university level session. ▷ Person in charge standby at each facility to provide in-depth information. <p>Please note that there might be additional facility requested apart from the list as well as question asked by assessors during in the live streaming.</p>	

	Day 3	<p>7.3 Live streaming facility visit at faculty level Live streaming facility visit at university level will be conducted separately for each study programme.</p> <p>► Requirements:</p> <ul style="list-style-type: none"> ▷ One streaming camera for live steaming of each study programe should be provided. ▷ Person in charge standby at each facility to provide in-depth information. <p>Please note that there might be additional facility requested apart from the list as well as question asked by assessors during in the live streaming.</p>	
Post			