ASEAN UNIVERSITY NETWORK QUALITY ASSURANCE

GUIDE TO AUN-QA ASSESSMENT
AT INSTITUTIONAL LEVEL VERSION 3.0

Guide to AUN-QA Assessment at Institutional Level

Version 3.0

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Acknowledgement

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Foreword

It is an honor and privilege to address the readers of this *Guide to AUN-QA Assessment at Institutional Level (Version 3.0)*. This version is based on the splendid earlier version drafted by Mr. Johnson Ong Chee Bin in 2016. We owe our gratitude to Mr. Johnson, who is currently an AUN-QA Technical Expert. And it is a common practice that any quality system must be regularly updated or upgraded.

To quote the expression I made many years ago when I first coined the term *AUN-QA Family*. "The achievements of the AUN-QA are its contributions and collective works." It has always been the collective work of our AUN Member and Associate Member Universities, particularly of the people like AUN-QA Assessors, Chief Quality Officers, AUN-QA Trainers, and AUN-QA Technical Experts. And everything about AUN-QA is progressive.

We need to be progressive. I believe in the moral truth about higher education quality that is: it is wrong to provide bad education, whatever it is, to our people especially to the young ones. Massification of higher education in Southeast Asia has brought with it, or reinforced what has already been there, issues of quality standards. Our AUN-QA Assessors are brave people, in their telling of the truth about quality standards, both good and bad, to universities day-in day-out. People who tell the truth are the brave ones; shallow-minded people prefer platitudes, and those short-sighted seek only quick-fix solutions. The only guide to a university as a truly social institution is quality.

This *Guide to AUN-QA Assessment at Institutional Level (Version 3.0)* is a product of our brave people, the official (i.e., authentic) AUN-QA Senior Assessors led by another of our AUN-QA Technical Expert from the National University of Singapore, Associate Professor Dr. Tan Kay Chuan. AUN-QA Assessors often say that "quality is a journey." Placing this ethos in the context of rapid higher education quality development in 2023, with this *Guide*, we are starting a grand journey for our universities in the ASEAN region.

Choltis Dhirathiti

Choltis Dhirathiti, Ph.D.
Executive Director of ASEAN University Network

Preface

This document is the 3rd version of the **Guide to AUN-QA Assessment at Institutional Level**. It details the latest criteria and processes of AUN-QA assessment at the institutional level. It also provides all the associated documents needed to carry out an institutional assessment, including the needed checklists and report templates.

This Guide is divided into four main sections:

1. **Introduction to the AUN-QA Framework.** This section gives an overview of the AUN-QA Framework

2. **AUN-QA Model for Assessment at Institutional Level.** This section describes the AUN-QA institutional assessment model and its assessment criteria

3. **Institutional QA Assessment.** This section provides the step-by-step procedure for conducting an AUN-QA assessment at the institutional level

4. **Appendices.** This section contains the checklists and templates

1.   Introduction to the AUN-QA Framework

1.1   Quality Assurance (QA) in Higher Education

Quality in higher education is not a simple one-dimensional notion about excellence in academe. In view of the varied needs and expectations of multiple stakeholders, quality in higher education can be said to be multi-dimensional in nature.

The *World Declaration on Higher Education for the Twenty-First Century: Vision and Action (October 1998), Article 11, Qualitative Evaluation*, considers quality in higher education as "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."

To develop, implement, sustain, and improve the level of quality in higher education, a university needs to install a sound quality assurance system. The *Regional Report of Asia and the Pacific (UNESCO, 2003b)* defines quality assurance in higher education as "the systematic management and assessment procedures to monitor performance of higher educational institutions."

1.2   The AUN-QA Framework

The ASEAN University Network (AUN) recognises the importance of quality in higher education, and the need to develop a holistic quality assurance system to raise academic standards and enhance education, research, and services among its member universities. In 1998, it mooted the AUN-QA Network which led to the development of the AUN-QA Quality Assurance Framework. Since then, the network has been promoting, developing, and implementing quality assurance practices based on an empirical approach where quality assurance practices are tested, evaluated, improved, and shared. The evolution of AUN-QA Network and its development in quality assurance are depicted in Figure 1.1.

Figure 1.1 – Evolutional Development of the AUN-QA Network

The AUN-QA quality assurance framework for higher educational institutions comprises strategic and systemic quality assurance as illustrated in Figure 1.2.
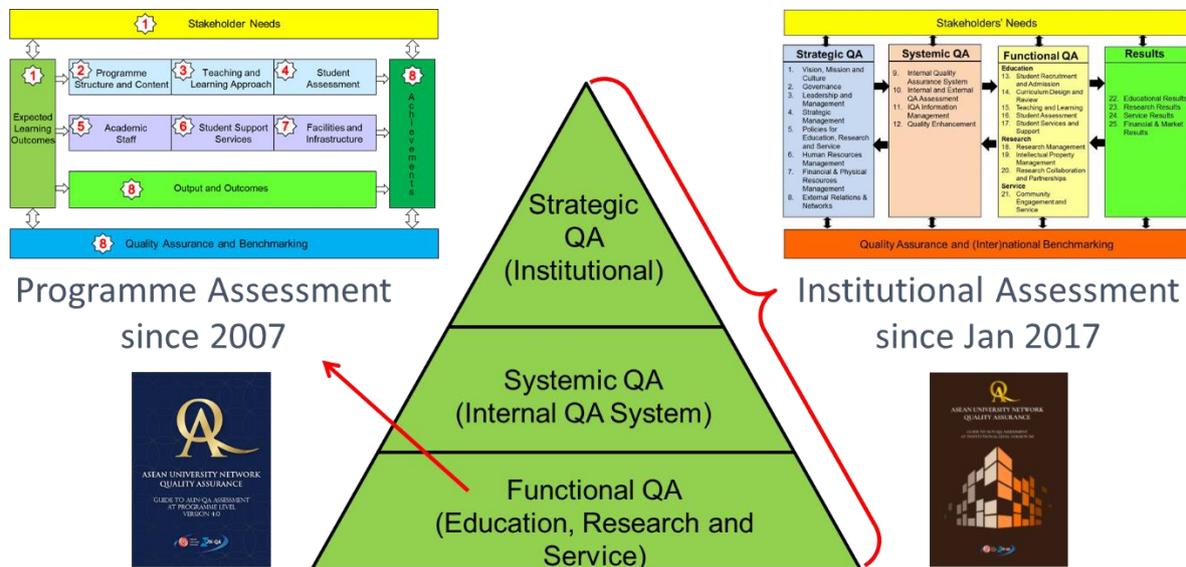
Figure 1.2 – The AUN-QA Quality Assurance Framework for Higher Educational Institutions

Based on the above framework, two types of external QA assessments are carried out by the AUN-QA as follows:

1.2.1 AUN-QA Assessment at the Programme Level

The AUN-QA model for programme level assessment focuses on the quality of educational programmes with regard to the following dimensions:

- quality of input
- quality of process
- quality of output

The 4th version of the Guide to AUN-QA Assessment at Programme Level is shown in Figure 1.3.
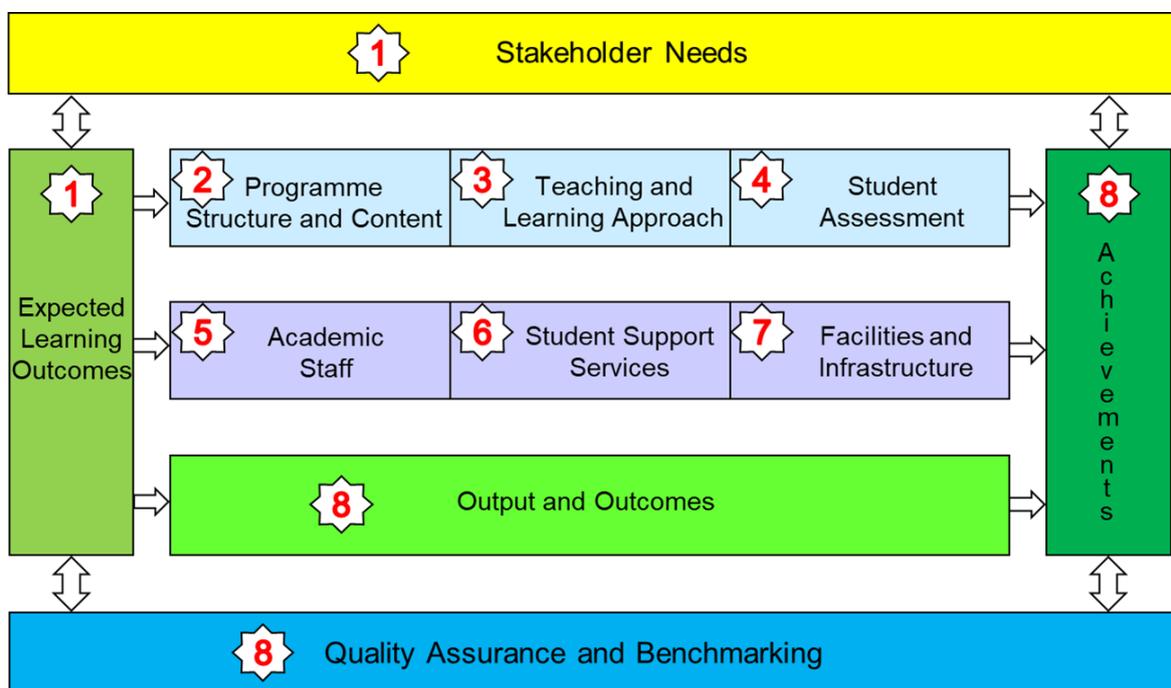
Figure 1.3 – AUN-QA Model for Programme Level Assessment (v4.0)

1.2.2 AUN-QA Assessment at the Institutional Level

The 3rd version of the AUN-QA model for institutional level assessment is designed as a holistic model that encompasses all elements of strategic QA and systemic QA, as illustrated in Figure 1.4.
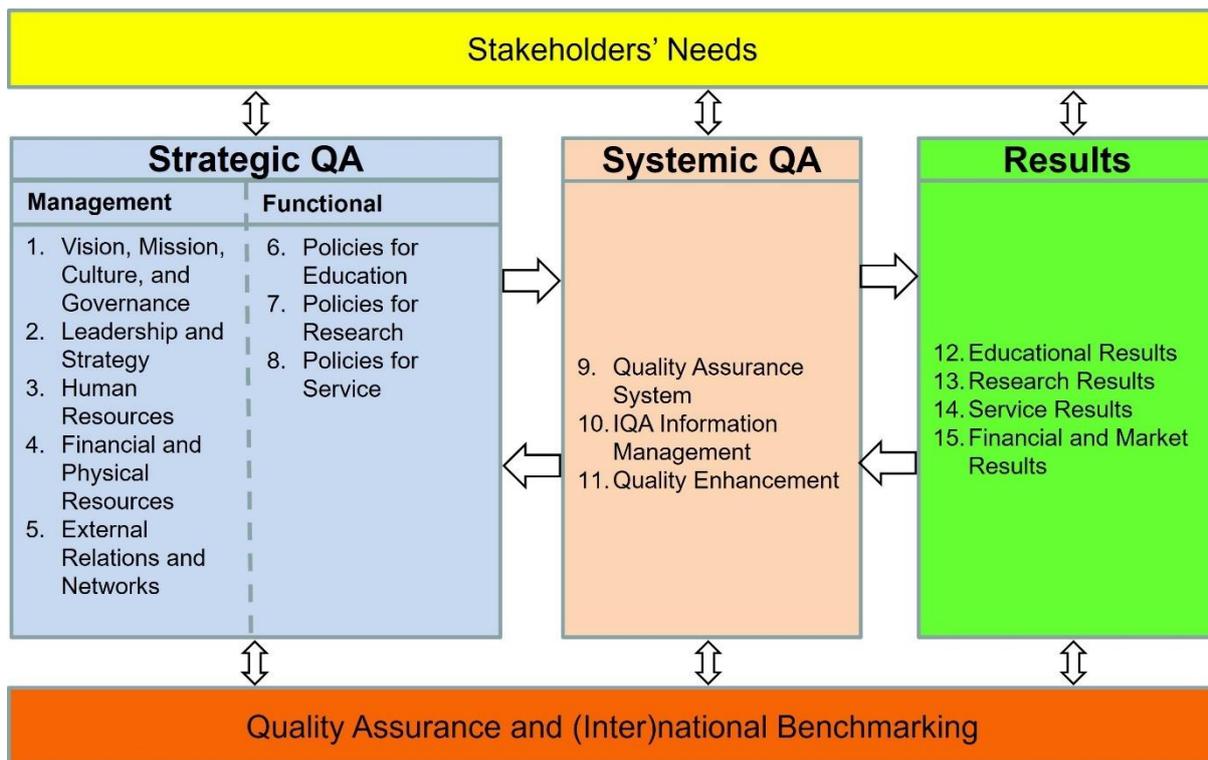
Figure 1.4 – AUN-QA Model for Institutional Level Assessment (v3.0)

Quality assurance at the institutional level begins with the needs of stakeholders which are translated into an institution's strategic quality assurance system. Strategic QA composes governance, leadership, planning, human resources, financial resources, external relations, and policies for education, research, and service.

Of importance is systemic quality assurance which comprises of the internal and external quality assurance system itself, the QA information management system, and how QA is enhanced on a continual basis.

Strategic QA and systemic QA drive the output of a university. This takes place on a backdrop of seeking best practices to achieve excellence in education, research, and service.

1.3   Alignment with Other Quality Assurance Frameworks

The 3rd version of the AUN-QA Model for Institutional Level Assessment has been redesigned as a transnational quality assurance model in support of the ASEAN Economic Community (AEC) to promote cross-border mobility for students and faculty members, and the internationalization of education. It is aligned with: 1) Principle 3 – Internal Quality Assurance of the ASEAN Quality Assurance Framework (AQAF), 2) Standards and Guidelines for Quality Assurance in the European Higher Education Area (ESG 2015 – Part 1), and 3) the Baldrige Performance Excellence Framework (Education -2015/16). This is illustrated in Figure 1.5.
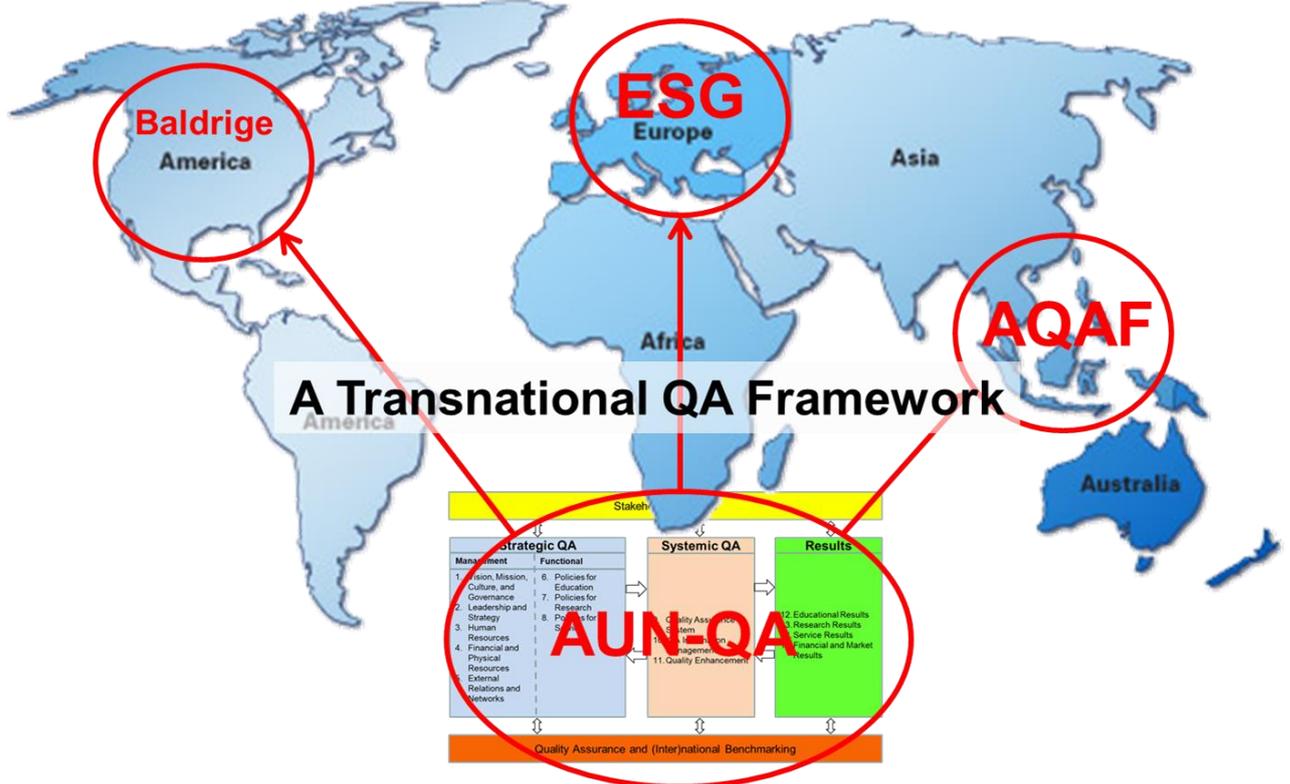
Figure 1.5 - Alignment of the AUN-QA Model for Institutional Level Assessment with Other Quality Assurance Frameworks

The AUN-QA Model for Institutional Level Assessment is aligned with Principle 3 – Internal Quality Assurance (IQA) of the AQAF. The 10 principles of IQA in AQAF are listed below.

3.1. The institution has primary responsibility for quality.

3.2. Quality assurance promotes the balance between institutional autonomy and accountability.

3.3. Quality assurance is a participatory and cooperative process across all levels incorporating the involvement of academic staff, students, and other stakeholders.

3.4. A quality culture underpins all institutional activities including teaching, learning, research, services and management.

3.5. A structured and functional internal quality assurance system with clearly defined responsibilities is established.

3.6. The quality system is promulgated and supported by the top management to ensure effective implementation and sustainability.

3.7. Sufficient resources for establishing and maintaining an effective quality system within the institution should be provided.

3.8. The institution should have formal mechanisms for approval, periodical reviews and monitoring of programmes and awards.

3.9. Quality is regularly monitored and reviewed for the purpose of continuous improvement at all levels.

3.10. Relevant and current information about the institution, its programmes, achievements, and quality processes is accessible to the public.

Source: ASEAN Quality Assurance Framework (AQAF)

Figure 1.6 shows the relationship of the AUN-QA model for institutional level assessment with Principle 3 – IQA of the AQAF.

	AUN-QA Criteria at Institutional Level														
P/C	1	2	3	4	5	6	7	8	9	10	11	12	13	14	15
1	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓
2	✓	✓	✓			✓	✓	✓				✓	✓	✓	✓
3	✓	✓			✓	✓	✓	✓	✓	✓	✓				
4	✓	✓													
5				✓		✓	✓	✓	✓	✓	✓				
6	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓
7			✓	✓			✓		✓	✓	✓				
8	✓					✓				✓					
9	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓
10	✓	✓	✓		✓	✓	✓	✓	✓	✓		✓	✓	✓	✓

Figure 1.6 – Relationship of AUN-QA Model for Institutional Level Assessment with Principle 3 – IQA of the AQAF

The AUN-QA model for institutional level assessment is also aligned with Part 1 - Standards and Guidelines for Internal Quality Assurance of the Standards and Guidelines for Quality Assurance in the European Higher Education Area (ESG 2015). The 10 standards for internal quality assurance in Part 1 of the ESG 2015 are listed below.

1.1 Policy for quality assurance
Institutions should have a policy for quality assurance that is made public and forms part of their strategic management. Internal stakeholders should develop and implement this policy through appropriate structures and processes, while involving external stakeholders.

1.2 Design and approval of programmes
Institutions should have processes for the design and approval of their programmes. The programmes should be designed so that they meet the objectives set for them, including the intended learning outcomes. The qualification resulting from a programme should be clearly specified and communicated, and refer to the correct level of the national qualifications framework for higher education and, consequently, to the Framework for Qualifications of the European Higher Education Area.

1.3 Student-centred learning, teaching and assessment
Institutions should ensure that the programmes are delivered in a way that encourages

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students to take an active role in creating the learning process, and that the assessment of students reflects this approach.

1.4 Student admission, progression, recognition and certification
Institutions should consistently apply pre-defined and published regulations covering all phases of the student "life cycle", e.g. student admission, progression, recognition and certification.

1.5 Teaching staff
Institutions should assure themselves of the competence of their teachers. They should apply fair and transparent processes for the recruitment and development of the staff.

1.6 Learning resources and student support
Institutions should have appropriate funding for learning and teaching activities and ensure that adequate and readily accessible learning resources and student support are provided.

1.7 Information management
Institutions should ensure that they collect, analyse and use relevant information for the effective management of their programmes and other activities.

1.8 Public information
Institutions should publish information about their activities, including programmes, which is clear, accurate, objective, up-to date and readily accessible.

1.9 On-going monitoring and periodic review of programmes
Institutions should monitor and periodically review their programmes to ensure that they achieve the objectives set for them and respond to the needs of students and society. These reviews should lead to continuous improvement of the programme. Any action planned or taken as a result should be communicated to all those concerned.

1.10 Cyclical external quality assurance
Institutions should undergo external quality assurance in line with the ESG on a cyclical basis.

Source: Standards and Guidelines for Quality Assurance in the European Higher Education Area (ESG 2015)

Figure 1.7 shows the relationship of the AUN-QA Model for Institutional Level Assessment with the ESG 2015 (Part 1).

	AUN-QA Criteria at Institutional Level														
P/C	1	2	3	4	5	6	7	8	9	10	11	12	13	14	15
1.1	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓				
1.2						✓									
1.3						✓		✓							
1.4					✓	✓	✓								
1.5			✓			✓	✓	✓							
1.6				✓		✓									
1.7						✓				✓	✓	✓	✓	✓	✓
1.8						✓				✓					
1.9						✓				✓	✓	✓	✓	✓	✓
1.10									✓						

(Row label axis: Part 1 of ESG 2015 (IQA))

Figure 1.7 – Relationship of AUN-QA Model for Institutional Level Assessment with the ESG 2015 (Part 1)

In addition, the AUN-QA model for institutional level assessment is also aligned with the Baldrige Performance Excellence Framework (Education – 2015/16). The seven criteria categories of the Baldrige Performance Excellence Framework are listed below.

Category 1 – Leadership
Category 2 – Strategy
Category 3 – Customers
Category 4 – Measurement, Analysis, and Knowledge Management
Category 5 – Workforce
Category 6 – Operations
Category 7 – Results

Source: 2015–2016 Baldrige Performance Excellence Framework (Education)

Figure 1.8 shows the relationship of the AUN-QA model for institutional level assessment with the Baldrige Performance Excellence Framework (Education).

Baldrige Performance Excellence Framework (Education)	AUN-QA Criteria at Institutional Level														
P/C	1	2	3	4	5	6	7	8	9	10	11	12	13	14	15
1	✓	✓													
2	✓	✓	✓	✓	✓	✓	✓	✓	✓						
3	✓	✓			✓	✓	✓	✓		✓					
4	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓
5			✓			✓									
6				✓	✓	✓	✓	✓	✓	✓	✓				
7	✓	✓	✓			✓	✓	✓	✓		✓	✓	✓	✓	✓

Figure 1.8 – Relationship of AUN-QA Model for Institutional Level Assessment with the Baldrige Performance Excellence Framework (Education)

1.4. Documentation Convention

The documentation convention in this Guide is as follows. The requirements of each AUN-QA criterion are given in a box. An explanation of the key concepts of each criterion is provided. Diagnostic questions and example sources of evidence are listed to help practitioners to discover their QA practices. The complete checklist for an AUN-QA assessment at the institutional level is documented in Appendix A.

2. AUN-QA Model for Institutional Level Assessment

The 3rd version of the AUN-QA model for institutional level assessment is designed as a holistic framework encompassing 15 criteria in strategic QA, systemic QA, and results as illustrated in Figure 2.1.
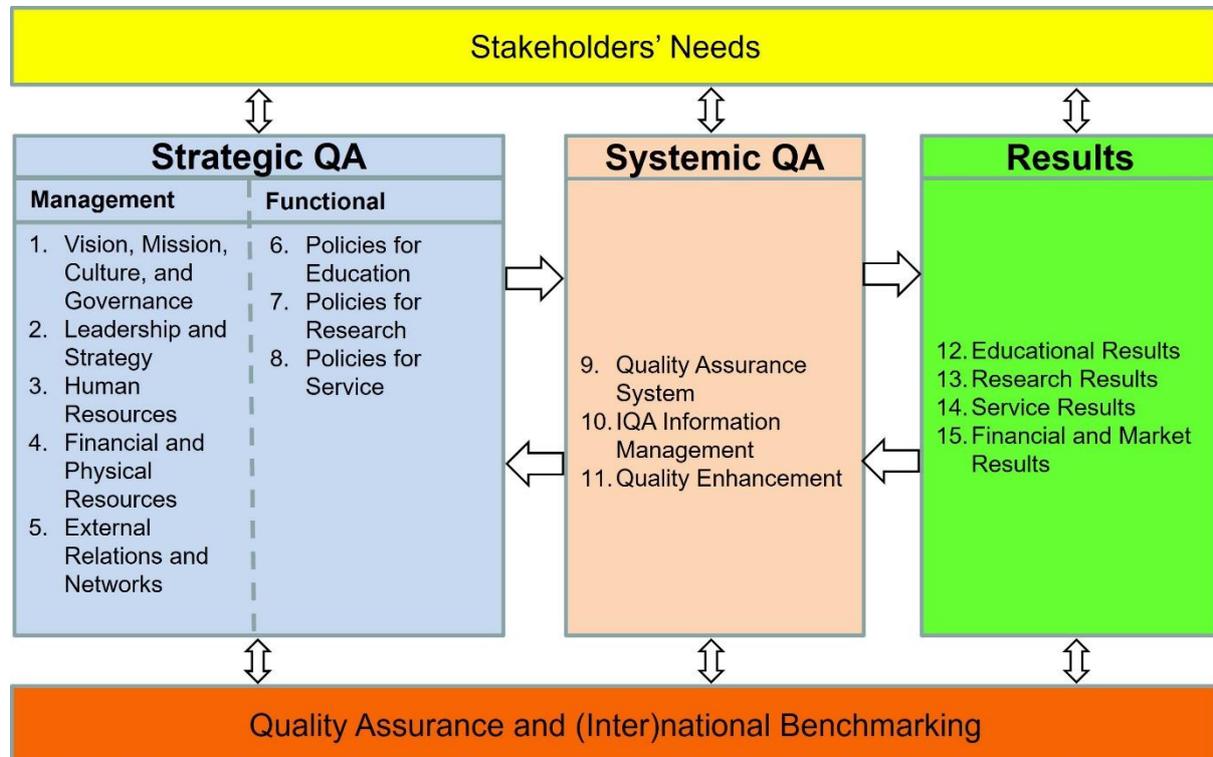
Figure 2.1 – AUN-QA Model for Institutional Level Assessment (v3.0)

The AUN-QA criteria category and the number of associated criteria and requirements are listed below.

Criteria Category	No. of Criteria	No. of Requirements
Strategic QA	8	38
Systemic QA	3	8
Results	4	14
Total	**15**	**60**

The breakdown of each AUN-QA criteria category, its associated criteria, and the number of requirements in each criterion are listed below.

Criteria Category	Strategic QA	
Criterion No.	**Criterion**	**No. of Requirements**
1	Vision, Mission, Culture, and Governance	6
2	Leadership and Strategy	5
3	Human Resources	5
4	Financial and Physical Resources	5
5	External Relations and Networks	2
6	Policies for Education	7
7	Policies for Research	5
8	Policies for Service	3
Total		**38**

Criteria Category	Systemic QA	
Criterion No.	**Criterion**	**No. of Requirements**
9	Quality Assurance System	4
10	IQA Information Management	2
11	Quality Enhancement	2
Total		**8**

Criteria Category	Results	
Criterion No.	**Criterion**	**No. of Requirements**
12	Educational Results	4
13	Research Results	4
14	Service Results	4
15	Financial and Market Results	2
Total		**14**

2.1 Vision, Mission, Culture, and Governance

AUN-QA Criterion 1

> 1.1 *That the senior leaders of the university articulate their vision and mission, and that these meet stakeholder needs.*
>
> 1.2 *That there is a university governance system including boards, councils, senates, and/or advisory committees, to set the overall direction and to ensure accountability, transparency, sustainability, and risk mitigation.*
>
> 1.3 *That the senior leaders foster a set of cultural values which promote integrity and desirable behaviors, and that these are aligned to the vision and mission in achieving the goals of the university.*
>
> 1.4 *That the vision, mission, and cultural values of the university are shown to be cascaded and implemented to all levels of staff.*
>
> 1.5 *That the decisions of the governance bodies are translated into action plans and policies, and that this include good corporate citizenship to protect the interest of stakeholders, the community, and the environment.*
>
> 1.6 *That the governance of the university is improved for institutional effectiveness and better risk management.*

Explanation

The vision of a university describes its desired future state. It addresses the direction of the institution and what it wants to be. Missions, on the other hand, describe the purpose of the institution and what it intends to achieve for its stakeholders. Culture can be defined as shared values, beliefs, norms, and behavior of a group of people. These elements should be aligned to provide direction for the strategic planning and formulation of goals and policies of an institution.

University governance may include but not be limited to university expansion, financial and resource planning, management control and risk, compliance with statutory and regulatory requirements, code of conduct and ethics, policy on conflict of interest, disclosure, reporting, and auditing. A good governance system has external oversight and uses a range of expertise. Good governance in a university protects academic integrity, ensures that all delegation (including financial, academic, and managerial) is appropriate, documented, observed, and regularly reviewed. Potential risk to the institution are also monitored and mitigated.

Diagnostic Questions

- − How relevant is the institution's vision and mission to its purpose and existence?
- − How are the shared values translated into desired behavior?
- − How is the institution's vision, mission, and culture communicated to employees?
- − What enhancements have been made to refine the vision, mission, and culture?
- − How are senior leaders personally involved in communicating and demonstrating the shared values of the institution?
- − What are the governance system and structure of the institution?
- − What are the criteria for appointing members to the various governance bodies

in the institution?
- How is the governance system responsible to the community and the environment?
- How is the governance system and structure evaluated?
- What enhancements have been made to improve governance and to mitigate potential risks?

Sources of Evidence

- Vision and mission statements
- Organisational values
- Strategic plans, policies, and guidelines
- Management review minutes
- Internal and external assessment/audit reports
- Surveys, dialogues, and focus group discussions
- Policies, guidelines, and programmes
- Structures of governing bodies
- Appointment letters of members of governance bodies
- Risk management plans
- Audit reports of governance system and structure

2.2   Leadership and Strategy

AUN-QA Criterion 2

2.1 *That there is a university management structure with clearly defined roles and responsibilities, and that vertical and horizontal communication is enabled.*
2.2 *That the management structure is reviewed regularly for improved effectiveness and organizational performance.*
2.3 *That short-, medium-, and long-term strategic planning are carried out to fulfil the education, research, and service needs of the university, and that the planning considers internal capabilities and external opportunities and challenges.*
2.4 *That key performance indicators and targets are established to measure the performance of the strategic goals.*
2.5 *That the strategic plan is cascaded and translated for implementation at every level of staffing right down to individual staff goals.*

Explanation

The senior leaders of a university are its top management and their direct reports. They often consist of board members, chancellor and vice-chancellors, rector or president, and those that report directly to them. Senior leaders are usually appointed or elected on the basis of institutional and regulatory requirements. They serve a pivotal role in guiding a university to achieve its strategic goals. Organisational charts and job descriptions are used to define the management structure, roles and responsibilities, decision making, and reporting lines.

Strategic management encompasses strategy planning, development, implementation, and evaluation. Its tools may include but not be limited to balanced scorecard, management by objectives, Hoshin Kanri, scenario planning, SWOT analysis, forecasting and projections, or other approaches to envision the future.

Strategic plans are the output of strategic planning and are often conceived based on an institution's external environment and internal capabilities. The plan should address both current and future challenges and risks as well as meet the vision and mission of the institution.

Diagnostic Questions

- What is the management structure of the university?
- How is the management structure aligned to the university's vision, mission, culture, and strategic goals?
- What are the roles and functions of the management and organizational units?
- How do senior leaders engage key stakeholders in driving the vision, mission, and strategic goals of the institution?
- What enhancements have been made to improve the leadership and management structure?
- How are the strategic plans aligned to the vision, mission, and culture of the institution?
- What key performance indicators are used to measure and monitor the achievement of the strategic goals?
- How are the organizational goals aligned to the SMART principle (i.e., specific, measurable, achievable, relevant, and time-bound)?

Sources of Evidence

- Organizational charts
- Job descriptions
- Strategic plans
- Vision and mission statements
- Strategic plans and their work plans
- Reports on the achievement of key performance indicators/targets
- Minutes of management and staff meetings
- Audit reports

2.3 Human Resources

AUN-QA Criterion 3

3.1 That human resource planning for both the academic and non-academic staff (including succession, promotion, re-deployment, termination, and retirement) is carried out to fulfil the needs for education, research, and service.
3.2 That there is a well-established academic staff promotion and tenure system, and that this is well-implemented.
3.3 That staff competences including leadership skills for various staff categories are identified, established, and implemented.

> 3.4 *That the training and developmental needs of the staff are identified and that activities are implemented to fulfil them.*
>
> 3.5 *That an efficient performance management system, including reward, recognition, and coaching/mentoring schemes, is implemented to motivate and support education, research, and service.*

Explanation

People are the single most important asset in an institution of higher learning. The quality of the institution depends on the quality of its leaders and employees. It is important that they are recruited based on merit, qualification, and experiences that fit the job functions and organizational culture.

The competences of the leaders and employees should be identified and evaluated, and relevant training and development activities provided to equip all staff with the relevant knowledge, skills, and attitude to carry out their jobs effectively.

Motivation is a key consideration in the design and implementation of any performance management system. A conducive environment is essential to support education, research, and service, as well as the well-being of all employees.

Diagnostic Questions

Academic and Support Staff
- What are the competences and qualifications of the staff members?
- What challenges does the institution meet or encounter with regards to human resources, such as age distribution, difficulties in filling vacancies, or in attracting qualified academic staff? How does the institution handle these challenges?
- What policy is implemented with regard to the employment of academic and support staff in education, research, and service?
- How satisfied are staff members with their work arrangement?
- What is the accountability of the academic staff in terms of roles, responsibilities, academic freedom, and professional ethics?
- What are the indicators used to measure the output of the academic and support staff?

Staff Management
- What are the recruitment and promotion criteria of the academic and support staff?
- What is the performance management system for the academic and support staff?
- What is the succession plan for key appointment holders?
- What are the career development plans for the academic and support staff?
- How satisfied are the academic and support staff members with the HR policy?
- What indicators are used to measure the satisfaction level of the academic and support staff?

Training and Development

- What are the training and development processes and plans? How are training needs identified?
- How does the training and development plan reflect the institution and organizational unit mission and objectives?
- What indicators are used to measure the training and development activities and their effectiveness?
- What percentage of payroll or budget is allocated for the training of the academic and support staff?

Sources of Evidence

- Manpower plans
- Employee profiles in terms of age, gender, qualification, etc
- Career and succession plans
- Recruitment criteria
- Training needs analysis
- Training and development plan and budget
- Award and recognition schemes
- Organisational charts
- HR policies and staff handbooks

2.4 Financial and Physical Resources

AUN-QA Criterion 4

> 4.1 *That there is an effective financial management system to plan, implement, audit, and improve the financial resources of the university in support of its vision, mission, and strategic goals, and that the system meets regulatory requirements.*
>
> 4.2 *That there is effective planning, maintenance, improvement, and expansion of the physical facilities and infrastructure of the university in order to meet its present and future needs for education, research, and service.*
>
> 4.3 *That there is an effective system to plan, maintain, audit, and improve the IT facilities and network infrastructure of the university, capable of meeting present and forecasted needs for education, research, and service.*
>
> 4.4 *That there is an effective system to plan, maintain, evaluate, and improve the university's academic resources such as its libraries, teaching aids, online databases, etc, to meet its present and forecasted needs for education, research, and service.*
>
> 4.5 *That there is an effective system to plan, implement, evaluate, and improve the environmental, health, safety, and access to people with special needs, and that the system meets regulatory requirements.*

Explanation

An Institution of Higher Learning's (IHL) hardware are its financial and physical resources. Providing adequate, relevant, and up-to-date resources is essential to supporting the strategic goals of education, research, and service. So is the need to

provide a conducive and safe environment for teaching, learning, and research to flourish. The effective management and monitoring of these resources will ensure that the needs of stakeholders are well-catered for and that the resources are well-maintained and effectively utilized.

Diagnostic Questions

Financial Resources
- How relevant are the financial policies, procedures, and practices in meeting the strategic goals of the university?
- How are budgets allocated for education, research, and service?
- Where are the sources of funding for education, research, and service?
- How is financial authority delegated?

Physical Facilities and Infrastructure
- How do the facilities (e.g., lecture-halls, seminar rooms, laboratories, reading rooms, computer rooms) meet the needs of students and staff?
- Are the laboratory facilities and tools sufficient?
- How are the facilities and infrastructure maintained?
- What are the development and upgrading plans of the university?

IT Facilities and Infrastructure
- Are the IT facilities and infrastructure sufficient to meet the needs for education and research?
- What is the policy for replacement of the IT hardware and software?
- Is the wifi coverage and bandwidth adequate to meet the demands of students and staff?
- How are the computers and networks protected from viruses and hacking?

Academic Resources
- How well is the library equipped for education and research?
- What is the budget for purchasing and subscribing to collections, online databases, and journals?
- What library services are provided to support education and research?

Environment, Health, and Safety
- How do the environment, health, and safety policies and practices protect the safety and lives of staff and students?
- How committed is the institution to protecting the environment?
- How well does the university cater for persons with special needs?

Sources of Evidence

- Financial reports and statements
- Budgets of organizational units
- Internal and external audit reports
- Campus development and upgrading plans
- List of facilities, equipment, computer hardware, and software, etc
- Maintenance plans and records

- Safety, health, and environmental policies
- Student and staff feedback
- Budget for facilities and infrastructure
- Library collection and online database/journal subscription

2.5   External Relations and Networks

AUN-QA Criterion 5

> 5.1 *That the university has in place policies, a strategic plan, and procedures to improve external relations, networking, and partnerships, with businesses, industries, professional bodies, alumni, government, and non-government organizations, both local and overseas.*
>
> 5.2 *That the university's external relations plans are implemented, and are aligned to achieving its vision, mission, and strategic goals.*

Explanation

External relations, networks, and partnerships are important to any IHL. These are resources and capabilities that universities can take advantage of to value-add to their own organization. These establishments help universities to achieve their strategic goals. The benefits brought about may include enriching student learning experiences, increasing student mobility, credit transfer, improving systems and processes, cross-border education, collaborative or joint education, improved research, etc.

Diagnostic Questions

- How is the goal of establishing external relations or partnerships aligned with the institution's vision and mission?
- What benefits can the partnerships and networks bring to its stakeholders?
- How are partners and networks chosen?
- What criteria are used to identify, select, evaluate, and renew partnerships?

Sources of Evidence

- Memorandums of Understanding (MoUs)
- Partnership contracts/agreements
- Letters of Intent
- Alumni charters

2.6   Policies for Education

AUN-QA Criterion 6

> 6.1 *That there are plans, policies, and selection criteria for student recruitment and admission into each study programme, and that these are implemented,*

> *monitored, and improved to ensure that they remain relevant and effective.*
>
> *6.2 That there is a university-wide curriculum design and development process for all study programmes where learning outcomes are systematically formulated, implemented, reviewed, and updated to ensure that they remain relevant to stakeholder needs.*
>
> *6.3 That there is a system to select appropriate teaching and learning activities that are aligned to the university's educational philosophy and the achievement of the learning outcomes.*
>
> *6.4 That the teaching and learning activities are monitored and evaluated for quality and improvement.*
>
> *6.5 That the teaching and learning activities enhance life-long learning, creative thought, an entrepreneurial mind-set, and are constructively aligned to achieving the learning outcomes.*
>
> *6.6 That there is a system to select appropriate types of student assessment, and that these are constructively aligned to achieving the learning outcomes.*
>
> *6.7 That proper student services and support are implemented, monitored, and that they meet the needs of the stakeholders.*

Explanation

Educational policies and guidelines address the purpose and objectives of education, the methods to achieve them, and the tools for measuring their effectiveness. These may include but not be limited to educational philosophy, academic freedom, code of ethics, student intake, class size, teaching and learning approach, student assessment, credit system, graduation requirements, etc.

The curriculum design and review process of a university consists of three phases: design, development, and review. The design phase include determining stakeholder needs, determining programme structure and content, and setting the teaching, learning, and assessment approaches.

The development phase include formulating course expected learning outcomes, developing course syllabus, and determining specific teaching and learning methods. The review phase include reviewing the needs of the stakeholders, evaluating the ELO achievement, evaluating the teaching and learning methods used, and broadly evaluating the quality of the students.

The provision of student services and support is to create a conducive environment for learning and to support students in their academic pursuits. Support staff are appointed to provide student services. They should be adequately trained. Student monitoring is necessary for tracking their academic performance.

Diagnostic Questions

Educational Policies, Student Recruitment, and Curriculum Design
- How are the educational policies aligned to the vision and mission of the institution?
- How is student intake monitored and analysed?
- What criteria are used for admitting local and foreign students?
- Who are responsible for designing the curricula?

- How are academic staff and students involved in the curricula design?
- What are the roles of the stakeholders in the design and review of the curricula?
- How are the programmes and their courses evaluated?
- How are students involved in evaluating the curricula and courses?
- What actions are taken to improve the curricula?

<u>Teaching, Learning, Assessment, and Student Support</u>
- How is diversity of the learning environment promoted including exchange programmes, internship, and community service?
- How are teaching and learning methods aligned with the expected learning outcomes?
- How is technology used in teaching and learning?
- How is exit assessment carried out on the graduating students?
- What are the assessment methods used?
- How are assessment rubrics designed and used?
- What are the rules for re-assessment and are students satisfied with these?
- What indicators are used to monitor student progress and performance?
- What special attention is given to underperforming students?
- How is information provided to students on career prospects?

Sources of Evidence

- Educational policies, guidelines, ethics, and academic freedom
- Faculty and student handbooks
- Research policies, guidelines, and ethics
- Review, audit, and assessment reports
- Student selection processes and criteria
- Programme specifications and course specifications
- Curriculum design, review, and approval process
- Results of assessment and examinations
- Reports from external examiners
- Learning management systems
- Examination regulations, assessment rubrics, marking schemes
- Appeal procedure
- Service performance indicators

2.7   Policies for Research

AUN-QA Criterion 7

> 7.1 *That there is an efficient system to direct and oversee the research agenda of the university at all levels.*
> 7.2 *That key performance indicators, including level of funding, number of research projects, publication output, patent, copyright, invention, etc, are used to evaluate the university's research input, activity, output, outcome, and impact.*
> 7.3 *That there is systematic encouragement and management of research excellence, including innovation and entrepreneurship.*
> 7.4 *That there is a proper and efficient big data system to record, store, and analyse*

> *all the intellectual property of the university.*
> *7.5 That there is a system to establish and foster research collaboration and partnership with government organizations, other universities, industry, locally, abroad, and across multiple disciplines.*

Explanation

Research policies, guidelines, and ethics set the direction and objectives of research, standards, ethical practices, responsibilities, and accountability. They are the guiding principles for universities to achieve their research goals and aspirations. It is important that they are aligned to the vision and mission of the university.

Research provides the foundation for the advancement of knowledge as well as the discovery of new knowledge. It is the source of new ideas, methods, techniques, and innovation across a wide range of multi-disciplinary areas. Research contributes and impact the development of a university and the betterment of society.

Intellectual property is a broad term for the various rights which the law provides to protect creative work, and especially to protect economic investment in creative effort. It includes copyrights, patents, designs, trademarks, inventions, and research data, records, and results.

Research collaboration and partnerships are extended arms of IHLs. They help close gaps of research limitations and constraints of an IHL. The collaboration and partnerships should support the vision and mission of the institution and add value to its relationships.

Diagnostic Questions

Research Policies and Management
- − What are the institution's policies, guidelines, and code of ethics for research?
- − How are the research policies, guidelines and ethics aligned to the vision and mission of the institution?
- − What is the university's research strategic plan?
- − What are the roles and responsibilities of the QA units, faculties, and centers for assuring quality in research?
- − How are research funds secured and tracked?
- − What are the key performance indicators for research activities?
- − How are the impact of research and contribution to society measured?

Intellectual Property Management
- − What are the institution's policies to protect intellectual property rights?
- − How are incubation and commercialization supported by the institution?
- − How are research data, records, and results captured, stored, and published?

Research Collaboration and Partnerships
- − What benefits can collaboration and partnerships bring to the university and its stakeholders?
- − How are the partners chosen?
- − What criteria are used to identify, select, evaluate, and renew collaboration and

partnerships?

Sources of Evidence

- Research policies, guidelines, and ethics
- Research plans and strategies
- Organizational chart of research units and centers
- Agreements and contracts with other universities and organizations
- Sources and amount of research fund
- Patents, copyrights, and trademarks
- Research data, records, and results
- Incubation and commercialization
- Partnership contracts and agreements

2.8 Policies for Service

AUN-QA Criterion 8

8.1 *That there are plans, policies, and guidelines to engage the community, and that these are implemented, reviewed, and improved to meet stakeholder needs and satisfaction.*
8.2 *That there are plans, policies, and guidelines aligned with the national agenda, and that these are implemented, reviewed, and improved.*
8.3 *That there are plans, policies, and guidelines to achieve a better and more sustainable global future while protecting the environment.*

Explanation

Contribution to society is an expected role of IHLs. They often play a key role in nation building and are a catalyst for social transformation and economic development. The most explicit mission of a university is to produce knowledge workers and research that benefits mankind and society. University services include social and cultural development, environmental sustainability, public healthcare, natural disaster mitigation, etc.

IHLs are responsible for serving humankind at the community, country, and global levels. Both staff and student development are done holistically to include character building and to engender a sense of giving back to society. The provision of services to society are fully in line with the vision and mission of any IHL.

Diagnostic Questions

Service Policies
- What role does the university play in nation building, and social and economic development?
- What are the key contributions? How do they relate to the vision and mission of the university?
- How are such contributions regulated and measured?

- How do such contributions benefit its community, country, and humankind?
- How satisfied are the stakeholders with the services provided?

Sources of Evidence

- Letters of Intent
- Service contracts and agreements
- Programme and course specifications
- Service policies, guidelines, and ethics
- Review, audit, and assessment reports

2.9 Quality Assurance System

AUN-QA Criterion 9

9.1 That there is a quality assurance office set up with roles and responsibilities to oversee the university's internal and external quality assurance activities, and that the activities are effective and are aligned to achieving the university's strategic goals.
9.2 That there is a quality assurance plan that raises the commitment of and engages the university's stakeholders towards a higher level of assurance.
9.3 That the quality assurance plan is communicated, cascaded, and translated into short- and long-term action plans for implementation university-wide and at all levels.
9.4 That key performance indicators and targets are established to measure the effectiveness of the quality assurance activities, and that the results are released to relevant stakeholders in a timely manner for feedback and improvement.

Explanation

It is essential that each university establishes an internal quality assurance (IQA) system. Its purpose is to monitor, evaluate, and improve the quality of education, research, and service. An IQA system can be centralized, decentralized, or be a hybrid. No one system or model fits all universities. Each university builds its own system that best fits its own vision and mission, culture, developmental needs, and regulatory requirements. An internal quality assurance system need also complement its external quality assurance (EQA) system.

An EQA system often takes the form of external assessment by which a third party evaluates the quality of the university's educational programmes. This accords formal external recognition as having met pre-determined criteria or standards. This is usually termed accreditation or certification. It is sometimes conducted to meet the regulatory requirements.

Internal and external assessment provide a university with the opportunity to:

- Review its strategic plans and goals
- Promote and improve quality

- Gather stakeholder voices
- Learn and share best practices
- Seek recognition

Internal and external assessment processes should adhere to the following principles:

- Independence – the basis for the impartiality, integrity, and objectivity of the assessment activities
- Evidence-based – the rational basis for reaching reliable and truthful assessment conclusions in a systematic manner. Evidences should be based on records and statements of fact or information which are relevant to the assessment criteria or standards

Diagnostic Questions

- What is the institution's policy on IQA?
- What is the institution's strategic plan regarding the quality of its education, research, and service?
- What are the roles and responsibilities of the QA units, faculties, and departments in terms of assuring quality?
- How do the IQA and EQA systems complement each other?
- What is the plan for QA awareness and training?
- How are assessment findings and results documented and reported?
- What are the follow-up activities to the assessment findings and results?

Sources of Evidence

- Strategic QA plans and goals
- Internal and external QA assessment and audit reports
- QA manual, policies, and procedures
- Organization chart of QA units
- Reports on performance of IQA system
- Training needs analysis
- Internal and external assessment plans and reports
- Preventive and corrective action plans

2.10 IQA Information Management

AUN-QA Criterion 10

10.1 *That there is an effective information management system to collect, process, and report on all the strategic and QA key performance indicators and targets, and that this supports the university's mission in education, research, and service.*
10.2 *That the information management system include data analytics, and is accessible to stakeholders in aiding decision-making while assuring information integrity and usefulness.*

Explanation

An IQA information management system (IMS) is the "brain" of a university where knowledge is generated from data collected. This aids learning, planning, and decision making.

As the saying goes "Garbage in; garbage out." The quality of knowledge generated by an institution depends highly on the quality of the data and information collected. A robust system ensures that all data and information are valid and reliable. As personal and sensitive data are collected, ensuring its confidentiality and security are important.

Data analytics and knowledge management are twin pillars of knowledge creation. Data analytics can be described as the systematic process of transforming information into knowledge. Knowledge management, on the other hand, is the process of capturing, distributing, and using it to help a university achieve its strategic goals.

Diagnostic Questions

- What mechanisms are used to collect data and other information from stakeholders?
- How effective are the mechanisms for collecting the information?
- How is the information organized and stored?
- How are the information and knowledge used for decision making, learning, improvement, and planning?
- How is the confidentiality and security of the information assured?
- How are risks in the IQA information management system mitigated?

Sources of Evidence

- Data analytics
- IQA information management system plans
- Data records and warehouse
- Confidentiality and security policy
- Management and operational reports

2.11 Quality Enhancement

AUN-QA Criterion 11

11.1 *That there is a plan to continually enhance the university's quality assurance system including benchmarking and comparative studies, in seeking best practices in education, research, and service.*
11.2 *That benchmarking and comparative metrics from multiple sources are established and are used for self-study and improvement of the university's own quality assurance activities.*

Explanation

Quality enhancement is a planned process for improving the quality of a university and its constituents. It is a continual search for best practices to improve one's own processes.

The confidence and trust from stakeholders and the general public in an IHL is established and maintained through an effective quality assurance system and enhancement activities. This ensures that the IQA system is robust, regularly monitored, and periodically reviewed, thereby securing its continued relevance and effectiveness.

Diagnostic Questions

- How is the university's QA enhancement plan aligned to its strategic QA plan?
- How are benchmarking partners selected?
- What is the benchmarking process?
- How is organizational learning in benchmarking documented and shared?
- What enhancements have been made to improve the benchmarking process?

Sources of Evidence

- QA enhancement plans
- Strategic QA plans
- Benchmarking criteria for partners
- Benchmarking reports
- Benchmarking processes
- Performance reports

2.12   Educational Results

AUN-QA Criterion 12

12.1 *That output and outcome indicators such as pass rates, dropout rates, average time to graduate, and the achievement of learning outcomes for all study programmes are established, monitored, and benchmarked for improvement.* 12.2 *That the employability, entrepreneurship, and other career aspirations of graduates are established, monitored, and benchmarked for improvement.* 12.3 *That outcome and longer-term impact type indicators such as contribution to national development and sustainable developmental goals are established, monitored, and benchmarked for improvement.* 12.4 *That the satisfaction level of stakeholders on the quality of graduates are established, monitored, and benchmarked for improvement.*

Explanation

Assessing a university's quality assurance system entails evaluating the quality of its processes as well as the quality of its output and its graduates. IHLs monitor the achievement of expected learning outcomes, pass rates, dropout rates, average time

to graduation, plus a host of employment indicators.

Further to analysing its input, process, and output, a university also measures the satisfaction of its stakeholders. Various feedback channels are used to collect and measure stakeholder satisfaction. The information collected should also be analysed and benchmarked to make improvement to its programmes, quality practices, and quality assurance system.

Inputs are resources that go into producing some activity. Activities are actions carried out to achieve some result. Outputs are first-level results (e.g., the number of students graduated). Outcomes are second-level results (e.g., what kinds of jobs the graduates secure). Impacts are third-level results that speak of longer-term consequences (e.g., graduates becoming successful businessmen or valued members of society).

Diagnostic Questions

Pass Rates and Dropout Rates
− What is the system to monitor student pass rates and dropout rates?
− What do the departments think of their pass rates? If not satisfactory, what measures have been taken to improve their pass rates?
− How high are the dropout rates? What are the explanations for the dropout rates?
− Where do the dropout students go to?

Average Time to Graduation
− What do the departments think of their 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?

Quality and Employability of Graduates
− How satisfactory is the quality of the graduates?
− How do the achieved standards match the expected standards?
− How do the graduates get jobs? What are the career prospects of the graduates over the last five years?
− Over the last five years, what percentage of graduates found jobs within six months or 12 months of graduation?
− What percentage of graduates is still unemployed one year after graduation?

Stakeholder Satisfaction
− What mechanisms are available to staff to express their satisfaction or dissatisfaction about the programmes, resources, facilities, processes, policies, etc, of the university?
− What indicators are used to measure and monitor the satisfaction level of the staff?
− How do the departments know about what students think of the courses, programmes, teaching, examinations, etc?
− How do the departments cope with feedback and complaints from students?
− What is the opinion and feedback of the graduates about the competencies that they acquired?

- How is feedback from the alumni used to improve the programmes?
- How satisfied are employers with the quality of the graduates?
- What are specific complaints about the graduates?
- What specific strengths of the graduates are appreciated by employers?

Sources of Evidence

- Performance reports of education
- Stakeholder satisfaction trends
- Graduates, alumni, and employer surveys
- Press reports
- Employment surveys
- Employment statistics
- Stakeholder feedback

2.13   Research Results

AUN-QA Criterion 13

> 13.1 *That funding opportunities for research activities in the university are established, monitored, and benchmarked for improvement.*
> 13.2 *That the type and quantity of all research output and other intellectual property generated in the university by the academic staff, research staff, and students, are established, monitored, and benchmarked for improvement.*
> 13.3 *That the results of research and business innovation, including entrepreneurship, start-up incubation, commercialization, etc, are established, monitored, and benchmarked for improvement.*
> 13.4 *That the research of the university contributes to and is aligned with national development and sustainable development goals.*

Explanation

A corner stone of many universities is its research output. This comes in many forms, e.g., publications, patents, inventions, start-up companies, etc. The detailed and centralized recording of all these outputs is necessary for a big picture view to understand focuses, directions, and alignment to strategic plans.

Universities provide research funds as well as source for funds externally, from businesses, governments, NGOs, joint-funding, etc. All the research plans, activities, and output of a university have to be shown to be aligned with its vision and mission, and the national development of a country.

Diagnostic Questions

- What research activities are carried out by the faculties, research centers, staff, and students?
- How are the research activities aligned to the research goals? How are they aligned to the vision and mission of the university and faculties?
- What is the trend of research quantity and quality over time?

- How are the research activities benchmarked for improvement?
- How are the staff and students motivated to carry out research?

Sources of Evidence

- Research performance reports
- Research strategic plans and goals
- Publications and citations
- Registration of patents, trademarks, and copyrights
- Incubation and commercialization
- Research funding

2.14   Service Results

AUN-QA Criterion 14

> *14.1 That the type and quantity of community engagement, service, and contribution to society are established, monitored, and benchmarked for improvement.*
> *14.2 That the societal impact and achievement of community engagement, service, and contribution to society and sustainable development goals are established, monitored, and benchmarked for improvement.*
> *14.3 That the impact on students and staff of community engagement, service, and contribution to society and sustainable development goals, are established monitored, and benchmarked for improvement.*
> *14.4 That the satisfaction of stakeholders in community engagement, service, and contribution to society and sustainable development goals are established, monitored, and benchmarked for improvement.*

Explanation

The service results of a university and its staff and students should be established, monitored, and benchmarked for improvement. Such results or achievements can be measured at varying levels. At the individual level, it may be in terms of hours spent on community service tasks. At a department level, it may refer to initiatives or whole events organized. At the university level, this may be taken further to reflect broad engagements with multiple not-for-profit organizations or how the social causes of a country are addressed.

Diagnostic Questions

- What are the different types of community engagement and services carried out by the university and its staff and students?
- How are the community engagement and services aligned to the university's goals?
- What is the trend of community engagement and services over time?
- How is community engagement and services benchmarked for improvement?
- What impacts and benefits does community engagement and services bring about?

Sources of Evidence

- Performance reports of community engagement and service
- Strategic plans and goals
- Student reports and feedback
- Community feedback

2.15   Financial and Market Results

AUN-QA Criterion 15

> 15.1 *That financial performance indicators for education, research, and service are established, monitored, and benchmarked for improvement.*
> 15.2 *That market performance indicators for education, research, and service are established, monitored, and benchmarked for improvement.*

Explanation

The financial and market results of a university should be established, monitored, and benchmarked for improvement. Financial performance and indicators may include but not be limited to balance sheet, income/expenditure statements, return on investment, and ratio analysis.

Market performance and indicators may include but not be limited to national and international competitive rankings, market size or share, awards, and stakeholder satisfaction.

Diagnostic Questions

- What is the trend of financial performance over time? What factors influence the trend?
- What is the trend of market performance over time? What factors influence the trend?
- How satisfied are stakeholders with the financial performance of the institution?
- How satisfied are stakeholders with the market performance of the institution?

Sources of Evidence

- Financial reports
- Financial statements
- National and international rankings
- Statistics of student enrolment
- Strategic plans and goals

3. Institutional QA Assessment

3.1 Introduction to Institutional QA Assessment

An assessment can be defined as a general term that embraces all methods used to judge the performance of an individual, a group, or an organization. Self-assessment is the process of critically reviewing the quality of one's own performance at the institutional, system, or programme level.

Institutional quality assessment in higher education, therefore, can be defined as the systematic assessment of strategic and systemic quality assurance in education, research, service, as well as the results and effectiveness of the quality assurance system of that institution. It aims to determine if an institution has met the stated quality criteria and requirements.

3.2 Eligibility for Institutional QA Assessment

To be eligible for institutional QA assessment under the AUN-QA Network, the applying institution or university must fulfil the following conditions at the time of application:

- be an AUN member university or an associate member university of the AUN-QA Network;
- have at least five (5) study programmes assessed and certified by the AUN-QA Network with the certificates being valid at the time of application; and
- for renewal of the Certificate for AUN-QA Assessment at Institutional Level, the certified institution must fulfil the requirements for the submission of an interim report.

An institution and its affiliates are considered to be one entity if they report to the same governing body and senate or its equivalent. They can choose to have one university, a few universities, or all of the universities that report to the same governing body and senate or its equivalent, to be assessed in one AUN-QA institutional assessment. However, if an institution has two universities with each of them reporting to separate governing bodies and senates, then the institution cannot be assessed as one entity in one AUN-QA institutional assessment. They have to be assessed separately in two or more AUN-QA institutional assessments.

Institutions or universities accepted for institutional QA assessment must also comply with the requirements stated in the "Guidelines for AUN Quality Assessment and Assessors (Version 2.0)".

Further to the above conditions, the final decision to accept any application for an AUN-QA institutional assessment rests solely with the AUN-QA Council.

3.3 Requirements for Submission of the Self-Assessment Report

An AUN-QA Institutional Assessment self-assessment report to be submitted by the

applying university shall meet the following requirements:

- Part 2 of the SAR should be written strictly according to the Checklist for AUN-QA Assessment at Institutional Level as documented in Appendix A;
- the SAR should be written or translated into the English language;
- a glossary of abbreviations and terminologies used in the report should be provided;
- the SAR should be submitted and made available in both hardcopy and softcopy to the AUN Secretariat at least three (3) months before the date of the assessment;
- the submitted SAR will be treated as the final and official document and no changes will be allowed;
- supporting documents and evidences should be made available, clearly labelled, and displayed in the discussion room for the assessors during the site visit;
- the SAR should not be more than 120 A4 pages in the main report (excluding appendices) and printed in a consistent typeface of font size 12;
- the appendices should be collated in a separate bound document or made available online; and
- the content of the SAR should consist of the below.

Part 1: Organizational Profile

This section describes the organizational profile of the institution. It should provide an overview and structure of the institution (main campus) and its affiliates (branch campuses), governing boards, workforce description, educational programmes, key research and services, operating environment and challenges, etc.

Part 2: AUN-QA Criteria and Requirements

This section contains the write-up on how the institution or university addresses the AUN-QA institutional assessment criteria and requirements. Follow the criteria listed in the self-assessment checklist (see Appendix A).

Part 3: Self-Assessment of Institutional Quality Assurance

This section documents the self-assessment of the institutional quality assurance, its strengths and weaknesses, and improvement plan, as well as the completed Checklist for AUN-QA Assessment at Institutional Level as shown in Appendix A.

Part 4: Appendices

The appendices contain the glossary, supporting documents, and other evidences.

3.4   Requirements for Stakeholder Interviews

Interviews with stakeholders such as key members of the governing board, key management staff, administrative heads, committees, support staff, students, alumni, and employers, are arranged as part of the site visit. Their input and feedback form part of the objective evidence. It is important that the interviewees are selected based on the following requirements:

- True representation of the population. For example, students selected for the interviews should represent each cohort in year 1, year 2, year 3, year 4, etc. Similarly for the graduate students. There should be a mix of male and female students with varied academic achievements based on the population profile. Likewise for the academic and support staff. The representation of the interviewees should be selected based on the proportion and category of staff and size of the faculties and departments.
- For the selection of alumni members, the institution should arrange to have alumni who graduated within the last five years, between five and 10 years, and beyond 10 years.
- For the selection of employers, the institution should arrange for key employers of the graduates and not more than 30% of them should be alumni of the university.
- The size of each interview session should be between 10 to 20 interviewees.
- Each interviewee is not allowed to be represented in more than one stakeholder interview session.
- A listing of the interviewees with basic information about them is to be provided to the assessors at least <u>two weeks</u> before the site visit. The information to be included in the list is tabulated below.

Stakeholder	Information on Interviewee
Governing Board/Committees	Name, designation, appointment, and organization
University staff	Name, designation, appointment, and department
Students	Name, year of study, and programme
Alumni	Name, graduation year, and degree
Employers	Name, designation, and company information

- As the interviews are held in strict confidentiality, voice and video recording of the sessions are not allowed.
- To ensure forthright exchanges of views, no staff member of the applying university is allowed at interviews with students, alumni, and employers.

3.5   Preparation of the Self-Assessment Report

Figure 3.1 illustrates the approach for preparing the self-assessment report which encompasses the Plan-Do-Check-Act (PDCA) cycle.
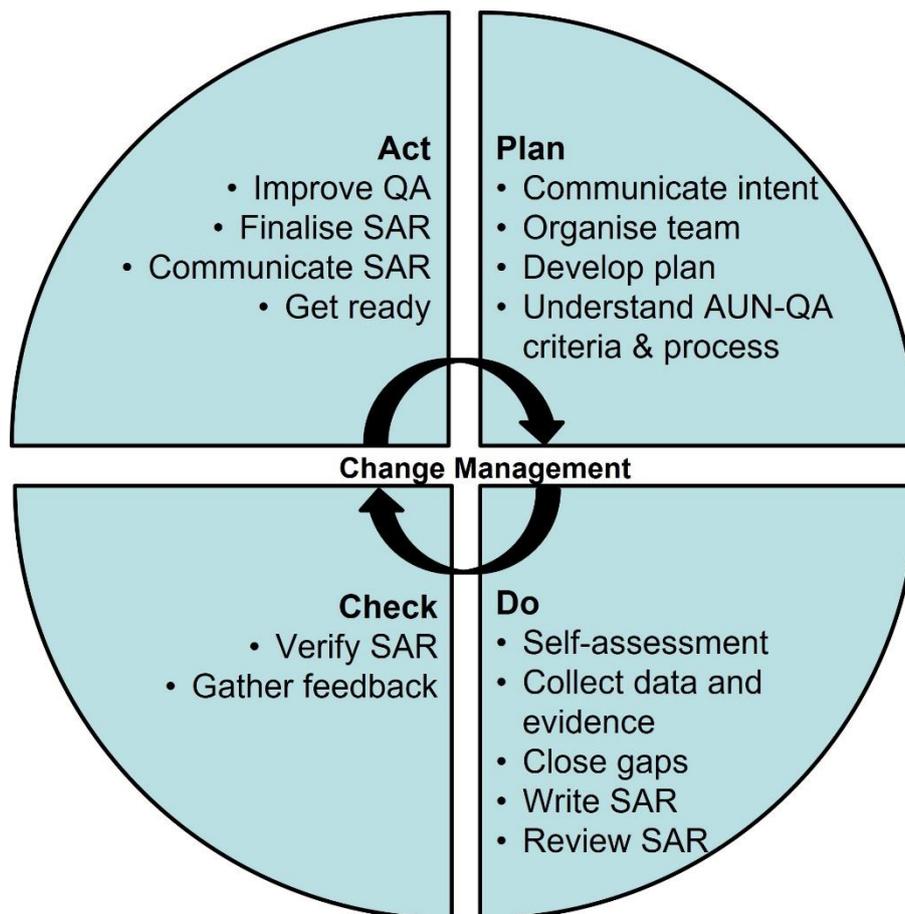
Figure 3.1 – The PDCA Approach to SAR Preparation

The "Plan" phase begins with communication of the intent for institutional QA assessment. Appoint a leadership team consisting of key management staff to be responsible for overseeing and writing the SAR. Several working teams consisting of key people representing various departments may also be formed to write parts of the SAR.

These SAR working teams would report to the SAR leadership team. As part of the change management process, early engagement with stakeholders is crucial to get their buy-in and commitment before the start of the assessment. A clear timetable should be set-up to develop the SAR (see Figure 3.2). Each member in the SAR team should be made responsible for collecting and analyzing data and information, and writing the SAR. Each member must have a good understanding of the AUN-QA criteria and requirements.

Activity/ Month		1	2	3	4	5	6	7	8	9	10	11	12	Deadline	Assigned to	Status
P L A N	Communicate intent	■														
	Organise team	■														
	Develop plan		■													
	Understand AUN-QA criteria & process		■	■												
D O	Self-assessment			■												
	Collect data & evidences				■	■	■	■	■	■						
	Close gaps						■	■	■	■						
	Write SAR						■	■	■	■						
	Review SAR							■	■	■						
C H E C K	Verify SAR									■	■					
	Gather feedback										■					
A C T	Improve SAR											■	■			
	Finalise SAR											■	■			
	Communicate SAR												■			
	Get ready												■			
Change Management		■	■	■	■	■	■	■	■	■	■	■	■			

Figure 3.2 – Typical Project Timeline for SAR Preparation

The "Do" phase involves identifying gaps in the institutional QA system in meeting the AUN-QA institutional assessment criteria and requirements. Data collection is a crucial step in this phase as it helps to quantify the existing quality assurance practices as well as to identify what the institution needs to do in order to satisfy the AUN-QA criteria and requirements. Solutions to close the gaps should be implemented before proceeding to write the SAR. Depending on the number and size of the gaps, the "Do" phase may take anywhere from 12 - 24 months to complete.

The "Check" phase involves verifying the SAR as well as the quality assurance practices. Feedback from all parties involved needs to be provided in order to improve the SAR. It is also a good idea to appoint an independent team to assess the SAR and the existing quality assurance practices against the AUN-QA criteria and requirements. Recommendations to improve the SAR and to close the gaps in the existing quality assurance practices should be made.

The "Act" phase involves implementing the recommendations raised in the "Check" phase and finalizing the SAR before it is released to the relevant stakeholders and getting the SAR ready for its external assessment by the AUN-QA.

3.6   Self-Assessment Report

A typical self-assessment project from initiation to the assessment date would last

about 12 months. However, the duration can vary, depending on the stage of development, availability of data and information, and the maturity of the quality assurance system of the institution. Before initiating an AUN-QA institutional assessment, it is important that the top management, SAR leadership, and working teams and staff have a common comprehension and understanding of the AUN-QA criteria and requirements. Training and communication should be established to ensure this. The SAR should be written in an objective, factual, and complete manner, and it should follow the format stated in the Checklist for AUN-QA Assessment at Institutional Level (See Appendix A).

Below are some guidelines for preparing an effective SAR:

- A SAR is an account of the institution's quality assurance system. It should be both descriptive and analytical. The diagnostic questions provided in each of the AUN-QA criteria can help an institution to discover or evaluate its QA practices.
- The SAR should follow a specific format based on the AUN-QA criteria and requirements.
- Illustrate clearly what, where, why, when, who, and how the QA system or practices are implemented and managed to fulfil the criteria. This will help in putting together all related information.
- Focus on information and data (objective evidences) that directly address the criteria. The report is to be concise and factual. Provide trends and statistics to show achievements and performances. The quantitative data and results provided in the SAR and evidences should be accurate, consistent, and reliable.
- When analyzing an institution's quality assurance system, it is not only important to look for evidence on how far the criteria have been met but to also seek best practices from other institutions for benchmarking and improvement.

The first three parts of the SAR for an AUN-QA institutional assessment should consist of the organizational profile, the AUN-QA criteria and requirements, and the self-assessment of the institution quality assurance system. These are explained below.

Part 1: Organizational Profile

Part 1 describes the organizational profile of the institution. It should provide an overview of the university and its structure, i.e., main campus and its affiliates (branch campuses), governing board, workforce, educational programmes, key research and services, operating environment and challenges, etc.

1. Organizational Description
    a. Vision, mission, and cultural values of the university.
    b. Organizational structure of the university and its affiliates including the latest organizational chart.
    c. Organizational structure of the governing board or its equivalent including the latest organizational chart.
    d. Educational programmes offered by the university and its affiliates. Provide a summary of the study programmes offered by the university using the table provided in Figure 3.3. A listing of all the study programmes by faculty indicating the name and award of the study programmes, awarding body, year the

programme was first offered, accreditation status, number of students, etc, should be documented in the appendix to the self-assessment report.

Faculty	Undergraduate		Graduate		Others (Please specify)	
	No. of Programmes	No. of Students	No. of Programmes	No. of Students	No. of Programmes	No. of Students

Figure 3.3 - Summary of Study Programmes Offered by the University

e. List the research centers or centers of excellence located in the university and its affiliates as in Figure 3.4 below.

No.	Name of Research Center/Center of Excellence	Year the Center was Established	Key Research Areas	Number of Academic and Research Staff

Figure 3.4 - List of Research Centers/Centers of Excellence

f. Academic staff profile of the university and its affiliates. Provide a summary of the academic staff profile in Figure 3.5 below. List the academic rank, full-time and part-time, PhD holders, and other relevant details of the academic staff by faculty or school.

Academic and Research Staff Category (please specify)	Full-time		Part-time	
	Headcount	%PhD	Headcount	%PhD

Total				

Figure 3.5 – Summary of Academic Staff Profile

g. According to the organizational chart, list the category and number of management and non-management staff in Figure 3.6.

Staff Category (Please specify)	No. of Staff in Each Category		
	Full-Time	Part-Time	Total
Total			

Figure 3.6 - Category and Number of Management and non-Management Staff

2. Organizational Environment
   a. Describe the regulatory environment in which the university operates in and how it affects the operation of the university.
   b. Describe the key strategic challenges faced by the university in the operating environment and how it plans to overcome them.
   c. Describe the strategic strengths and opportunities of the university in the operating environment and how it takes advantage of them.

Part 2: AUN-QA Criteria and Requirements

This section contains the write-up on how a university can address the AUN-QA criteria and requirements. Applicants to an AUN-QA institutional assessment can use

the following guidelines to assist in writing the self-assessment report:

    a. Present the write-up according to the 15 criteria as listed in the Checklist for AUN-QA Assessment at Institutional Level (Appendix A).
    b. Use a systematic approach to capture information and evidences to directly address the AUN-QA criteria and requirements. The approach may be ADRI (Approach-Deployment-Results-Improvement), PDCA (Plan-Do-Check-Act), or 5Ws and 1H (Why, What, When, Where, Who and How).
    c. Use diagrams or flowcharts to illustrate clearly how the approach is implemented.
    d. All responses should be concise and factual. Statements should be supported with data wherever appropriate.
    e. The Results criteria require substantiation, e.g., show performance trends, achievement (performance levels against targets), comparison of performance against that of competitors and/or benchmarks, etc.

Part 3: Self-Assessment of Institutional QA

    a. This is the self-assessment of the institutional quality assurance system.
    b. Summarize the strengths of the university.
    c. Summarize the weaknesses of the university.
    d. Detail the improvement plan of the university. This would be the recommendations to close the gaps identified in the self-assessment report and plans to implement them.
    e. Complete the Checklist for AUN-QA Assessment at Institutional Level (Appendix A).

3.7   Institutional QA Assessment Process

To ensure that an assessment is objective, independent, creditable, and reliable, the AUN-QA Network adopted the fundamental principles for the assessment process and its assessors as stated in the ISO 19011 Standard *Guidelines for Auditing Management Systems*. These principles relate to the conduct of the assessors. They are:

- Ethical conduct – the foundation of professionalism.
- Fair representation – the obligation to report truthfully and accurately.
- Due professional care – the application of diligence and judgment to assessment.

Two other principles that relate to the AUN-QA assessment process are:

- Independence – the basis for the impartiality and objectivity of the assessment conclusions.
- Evidence – the rational basis for reaching reliable and reproducible assessment conclusions in a systematic assessment process. Evidences are based on records and statements of fact or information that are relevant to the assessment criteria and are verifiable.

Adherence to the above fundamental principles is a prerequisite for all AUN-QA

assessments in providing an objective, independent, creditable, and reliable assessment process and outcome.

All quality assessments carried out by the AUN-QA Network follow a systematic process through the Plan-Do-Check-Act (PDCA) or Deming Cycle as illustrated in Figure 3.7.
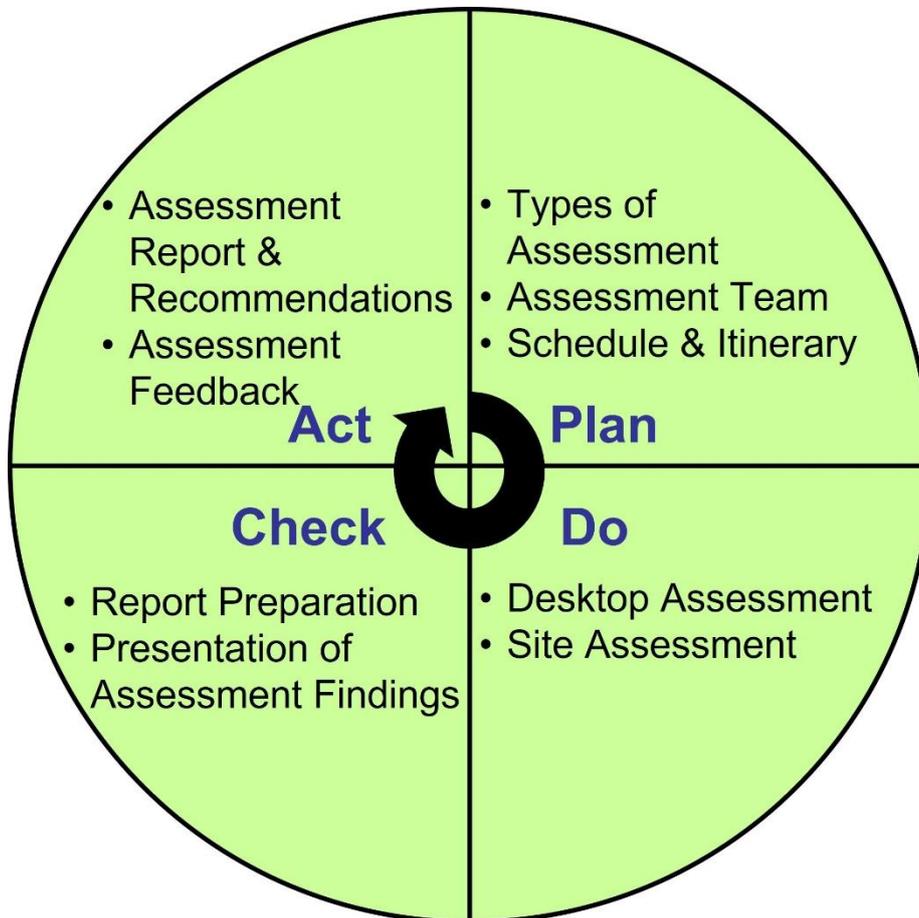
Figure 3.7 – The PDCA Approach to AUN-QA Assessment

3.7.1 Plan Phase

The Plan phase consists of:

• Types of assessment
• Assessment team
• Schedule and itinerary

The planning of an AUN-QA assessment depends on the type of assessment requested by the applying university. The two types of external assessment carried out by the AUN-QA Network are institutional assessment and programme assessment. The planning of an institutional assessment by the AUN-QA Network is documented below.

An institutional QA assessment panel will be appointed by the Chairperson of the AUN-QA Council based on the assessors' background, experience, and language ability as well as the above principles of assessment. The members of the assessment panel shall be from different universities and countries other than the country the assessment university operates in. The Chair of the institutional QA assessment panel, who is also the Chief Assessor, in consultation with the Chairperson of the AUN-QA Council, shall appoint the lead and other assessors as documented in Figure 3.8.

Six Assessors	In-charge of
Chief Assessor + 1 other assessor	Criteria 1-5, 15
1 Lead Assessor + 1 other assessor	Criteria 6-8, 12-14
1 Lead Assessor + 1 other assessor	Criteria 9-11
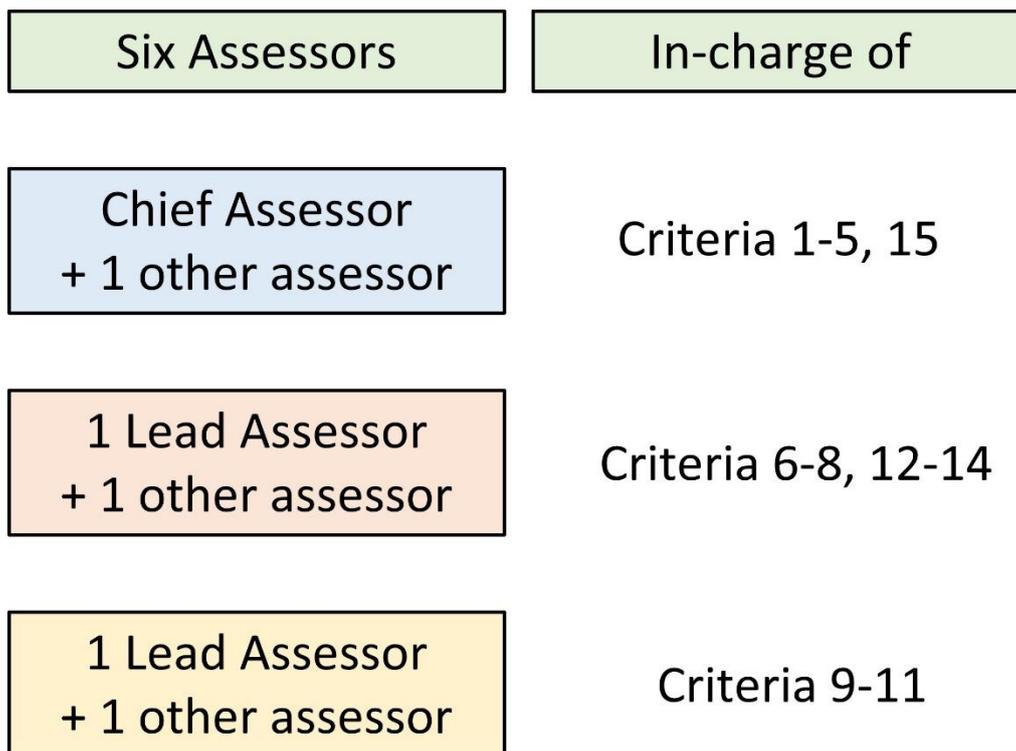
Figure 3.8 – Composition of Assessor Panel for AUN-QA Institutional Assessment
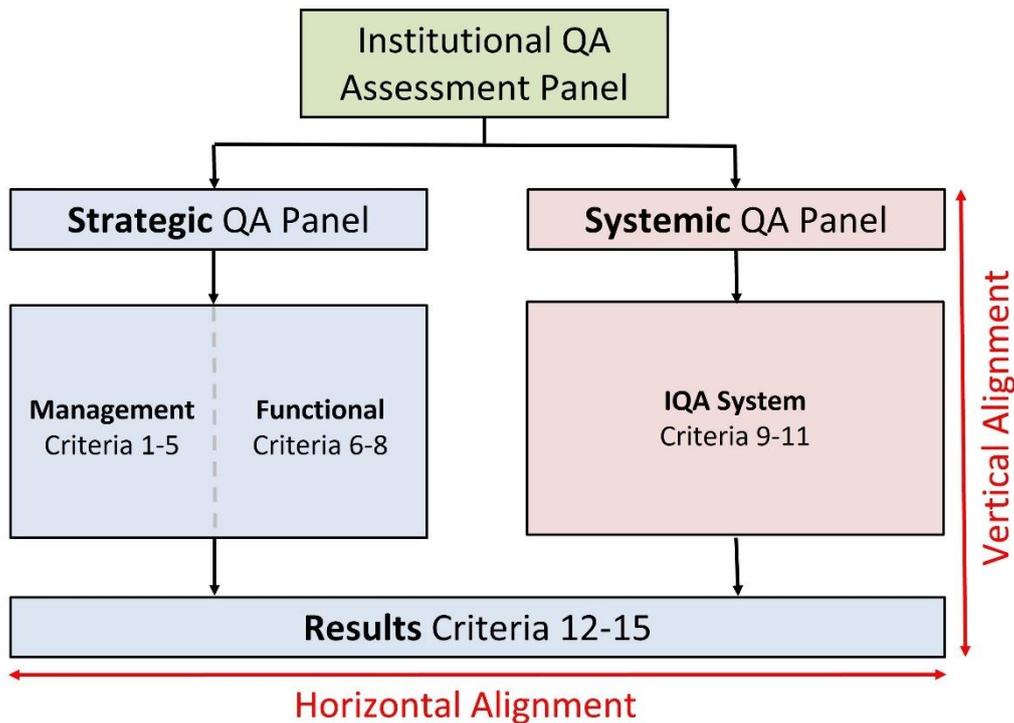
Figure 3.9 – Structure of the AUN-QA Institutional Assessment Panel

Figure 3.9 shows the structure of the AUN-QA institutional assessment panel. The Chief or Chair of the assessment panel will lead and oversee the entire institutional QA assessment and assign the scope of assessment as follows:

The Strategic QA Panel shall consist of the Chair of the institutional assessment panel and at least three other assessors. Of the four assessors, at least two shall be AUN-QA lead assessors and should have management or administrative experience. Two assessors will cover criteria 1-5, and 15; the other two assessors will cover criteria 6-8 and 12-14.

The Systemic QA Panel shall consist of one lead assessor and one other assessor. The lead assessor shall have an IQA background. This panel will assess criteria 9-11.

The lead assessor of each assessment panel will coordinate the assessment with the Chair of the institutional assessment panel. He/she will be responsible for leading the assessment and stakeholder interviews, assigning of roles and assessment areas/criteria, and moderating the assessment findings and results. In general, all assessors should perform the following roles based on the scope assigned:

- Prepare the assessment plan and checklist.
- Communicate and clarify the assessment requirements.
- Plan and carry out assigned responsibilities effectively and efficiently.
- Make observations on curricula, processes, facilities, and quality improvements.
- Report the assessment findings and results.
- Retain and safeguard all documents pertaining to the assessment.

Before the site assessment, the Chair of the institutional QA panel and the lead assessors will decide and agree on the assessment itinerary and the areas to assess in each panel. The areas to be assessed may include selected faculties, schools, or colleges and academic departments, research centers or centers of excellence, study programmes, committees, and administrative departments.   The proposed assessment itinerary will be discussed and finalized with the AUN Secretariat and the management representatives of the university to be assessed.

A typical Itinerary for an AUN-QA institutional assessment (see Figure 3.10) is spread over six days and will normally consist of:

- Opening meeting – welcome speeches, token exchange, and photo taking.
- Interviews with key members of governing boards or the equivalent, key management staff, deans, administrative department heads, programme chairs, faculty members, supporting staff, students, alumni, and employers.
- Site tour (teaching facilities, laboratories, workshops, libraries, general facilities, etc).
- Document review, discussions, and report preparation by the assessment panel.
- Breaks, lunches, and dinners.
- Closing meeting – presentation of preliminary assessment-findings.

Date/Time	Activities		
	Strategic QA Panel		**Systemic QA Panel**
	Management Criteria	**Functional Criteria**	
Day 0			
Arrival and Pick-up of Assessors and Staff from the AUN-QA Secretariat			
14:00 –17:00	Pre-site Assessment Meeting of Assessors and AUN-QA Secretariat (at Hotel or at University)		
17:30 onwards	Introductions and Welcome Dinner with Senior University Management Staff		
Day 1			
09:00 – 09:30	Opening Session (Welcome Speeches, Token Exchange, and Photo Taking)		
09:30 – 09:45	Break		
09:45 – 11:00	Meeting with University President/Vice-Chancellor/Rector, Deputy Presidents/Deputy Vice-Chancellor(s)/Vice-Rector(s), etc, for Education/Academic Affairs, Research, Administration/Service, and others (where applicable)		
11:00 – 12:15	Meeting with Governing Board (Chairman and at least Five other Board Members)		
12:15 – 14:00	Lunch with Selected University Senior Management and Governing Board Members from above Meetings Afternoon Prayers		
14:00 – 16:30	Campus Tour (Split by Assessor Panels)		
16:30 – 17:30	Assessors Internal Meeting (Debrief)		
17:30 onwards	Back to Hotel Dinner		
Day 2			
09:00 – 10:30	Meeting with Director of Human Resources and Key Support Staff	Meeting with Provost, VP Research, VP Admin, and other VPs, VRs, or VCs	Meeting and Document Review with Central QA Office
10:30 – 10:45	Break		
10:45 – 12:15	Meeting with Director of Finance and Physical Resources, and Key Support Staff	Meeting with Deans, VD Research, and VD Admin	Meeting and Document Review with Faculty QA Representatives
12:15 – 14:00	Lunch Afternoon Prayers		
14:00 – 15:30	Meeting with Director of External Relations and Key Support Staff	Meeting with Director(s) of Research Centers/ Centers of Excellence and IP/Entrepreneurship/ Innovation Center/ Research Management Center	Meeting with Registrar, Admissions, and Student Support Services
15:30 – 15:45	Break		
15:45 – 17:15	Meeting with Director of Environment, Health, and Safety, and Key Support Staff	Meeting with Faculty Members/Academic Staff	Meeting with Staff Union and Student Union

Date/Time	Activities		
	Strategic QA Panel		Systemic QA Panel
	Management Criteria	Functional Criteria	
17:15 – 18:00	Assessors Internal Meeting (Debrief)		
18:00 onwards	Back to Hotel Dinner		
Day 3			
09:00 – 10:30	Meeting with Director of Campus Development and Key Support Staff		Meeting with University QA Head, Data Analytics and Related Departments
10:30 – 10:45	Break		
10:45 – 12:15	Meeting with Director of Library Resources and Key Support Staff		Further Meeting and Document Review with Central QA Office
12:15 – 14:00	Lunch with Selected University Management and Academic Staff Afternoon Prayers		
14:00 – 15:30	Meeting with Directors of IT, Data Analytics, and Related Departments, and Key Support Staff	Meeting with Undergraduate Students	Meeting with Directors of IT, Data Analytics, and Related Departments, and Key Support Staff
15:30 – 15:45	Break		
15:45 – 17:15		Meeting with Graduate Students	
17:15 – 18:00	Assessors Internal Meeting (Debrief)		
18:00 onwards	Back to Hotel Dinner		
Day 4			
Date/ Time	Activities		
	One Assessor from Each Panel	One Assessor from Each Panel	
09:00 – 10:30	Meeting with Alumni of the Institution (Group 1)	Meeting with Alumni of the Institution (Group 2)	
10:30 – 10:45	Break		
10:45 – 12:15	Meeting with Employers of the Institution (Group 1)	Meeting with Employers of the Institution (Group 2)	
12:15 – 14:00	Lunch Afternoon Prayers		
14:00 – 15:00	Assessors Panel Internal Meeting (Debrief)		
15:00 – 17:00	Clarification Meeting with University Management and SAR Team		
17:00 onwards	Back to Hotel Dinner and Report Preparation		
Day 5			
09:00 – 11:00	Presentation of Assessment Findings		
11:00 – 11:30	Closing Session		
11:30 – 13:00	Lunch Afternoon Prayers		
13:00 – 14:00	Assessors Internal Meeting (Debrief)		
14:00 onwards	Departure of Assessors		

Figure 3.10 – A Generic Itinerary for an AUN-QA Institutional Assessment

3.7.2 Do Phase

The "Do" phase involves the desktop assessment and site assessment.

<u>Desktop Assessment</u>

The desktop assessment is the first step. It is a document review exercise which involves a preliminary assessment of the quality assurance system based on the SAR and available documents. The desktop assessment facilitates the development of an assessment plan. The AUN-QA Assessment Planning Template (see Appendix B) is used for this purpose. The desktop assessment allows the following preparatory works to be done:

- Clarify the SAR and quality assurance practices
- Identify the strengths and weaknesses of the quality assurance practices
- Identify the gaps in meeting the AUN-QA criteria and requirements
- Identify possible areas for improvement
- Craft questions for the stakeholder interviews
- Identify sources of evidence for verification

The purpose of assessment planning is to gather evidence of practices that meet the AUN-QA criteria and requirements. The plan should include:

- Sources of information and evidence
- Strategy employed to gather the evidence as well as identifying documents and records for review. The strategy may include interviews, site visits, document reviews, website access, etc
- Identify individuals to be interviewed and plan the schedule of interviews and the site tours
- Prepare questions needed for the interviews

The SAR is the most critical document for the desktop assessment. It should be given to the assessors at least <u>three</u> months before the site assessment. It should cover all the criteria. If any of the criteria are not documented, the assessors should clarify with the contact person of the university. Assessors should identify data, information, records, and other documents mentioned in the report, and verify them against the physical documents during the site assessment.

The PDCA approach is a good tool to apply in the assessment planning. Questions can be formulated at each stage of the PDCA cycle (see Figure 3.11).
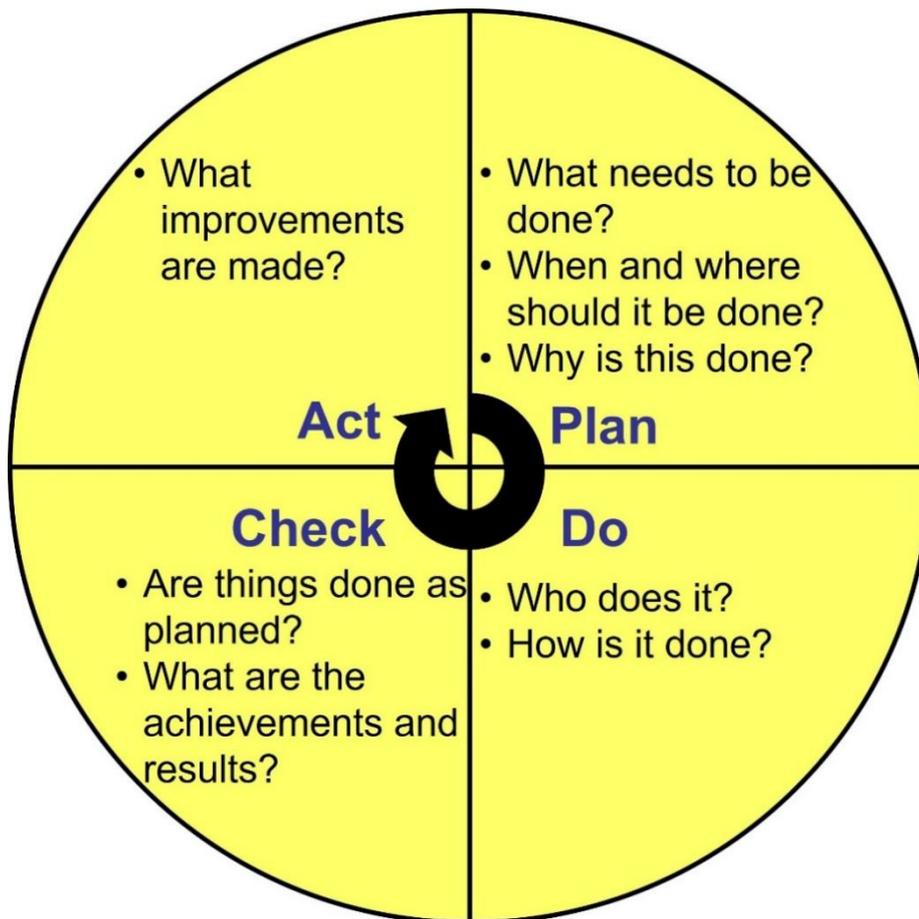
Figure 3.11 – The PDCA Approach to Formulating Questions

For example, at the "Plan" stage, questions on what, when, and why can be used to establish objectives and processes that deliver results based on the AUN-QA criteria and the organizational profile. At the "Do" stage, questions can revolve around implementation and who are involved. At the "Check" stage, questions on monitoring and measuring performance and processes can be formulated. Lastly at the "Act" stage, assessors can plan questions on actions to continually improve performance. Or the 5Ws (Why, What, Where, Who, and When) and 1H (How) questioning technique may be used.

To facilitate the desktop assessment and planning, a template for desktop assessment at institutional level is documented in Appendix B.

Site Assessment

The site assessment or site visit begins with an opening meeting with key management representatives of the university and the AUN-QA assessment panel and Secretariat. This opening meeting is followed by interviews with the various stakeholders. Site tours may be arranged before or between interviews. The assessment will conclude with a closing meeting.

An opening meeting with the host university management representatives should be held at the start of the site assessment. The purpose of the opening meeting is to:

- Introduce the members of the assessment team to the host university's management team
- Establish official communication links between the assessment team and the host university
- Review the scope and objectives of the assessment
- Clarify details of the assessment plan and schedule
- Allow the host university to introduce the university, themselves, and key management staff

A typical opening statement by the chairperson of the assessment team may be as follows:

> "Good morning ladies and gentlemen. My name is XXX and my colleagues are YYY. We are the assessment panel from the AUN-QA Network.
>
> At the request of your university, we are glad to make a quality assurance assessment at the institutional level under the AUN-QA criteria and requirements. The scope of the assessment will cover the XXX campus of your university. We will be looking at the activities that are relevant to these areas. We will be following a schedule as agreed earlier and do let us know if there are any changes. The assessment will take about six days to complete.
>
> A closing session will be held on the final day of the assessment where we will present the preliminary assessment-findings.
>
> Before we proceed, is there anything that you would like to ask? (Pause for a second).
>
> Thank you and you may now introduce the members of your team."

Interviews

Interviews with various stakeholders are pre-arranged by the host university prior to the site visit. At the interviews, the assessor team ask for clarification of any obscurities and explanation of any topic that is not clear.

The interviews with the stakeholders provide a very rich source of information. But the information needs to be checked and cross-validated with objective evidence and other relevant stakeholders. All stakeholder interviews should be held according to the requirements stated in this manual and the *Guidelines for AUN-QA Assessment and Assessors, Version 2.0*.

In each interview, the assessors will usually go through several steps including informing the interviewees about the purpose of the interview, gather background information about the interviewees, and conducting the actual interview.

The objectives of the interviews are to:

- Gather information and evidences
- Clarify and verify the SAR and practices
- Provide interviewees with an opportunity to present the full picture

It is important for the assessors to talk less and listen more as the purpose of the interview is to ensure a fair and objective view of the assessment. In preparing for the interviews, the assessors should consider the following:

- Know the interviewees:
  - Language
  - Education
  - Specialization 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 all different criteria and interviewees

An interview process consists of the following three phases:

- Introduction
- Questioning
- Conclusion

At the introduction phase, the following items should be carried out:

- Introduce the assessor panel
- Explain the purpose of the interview
- Put interviewees at ease
- Get to know the background of the interviewees (e.g., years of service or study, current position, scope of work, etc)

During questioning, do take note of the following factors:

- Use a reassuring tone and approach in a respectful manner
- Assure interviewees that the session is strictly confidential and no information will be attributed to any one individual
- Lead the discussion
- Take note
- Keep to the agenda
- Watch the time

Use effective questioning techniques:

- Ask one question at a time. Give interviewees ample time to respond before

moving to the next question
- Use open-ended questions to probe for information
- Use close-ended questions to confirm information
- Avoid leading questions
- Use neutral language. Avoid words like never, bad, always, weak, etc

Before concluding the interview, do the following:

- Summarize the major points discussed at the interview
- Ask if anyone has anything else to add. This gives the interviewees some control over the interview process and a chance to tell the assessors something important that might not have been discussed
- Thank the interviewees for their time

The following are four basic techniques for active listening:

1. Mirroring. Restate using different words what the interviewees have just said. Restate in such a way as to encourage the interviewees to carry on talking.
2. Using silences. Silence may make people feel uncomfortable in a conversation. However, not every gap in a conversation needs to be filled. Distinguish between positive and negative silences where an interviewee may be thinking. During a negative silence where the interviewee is not able to respond, provide assistance.
3. Acknowledging. Remind the interviewee periodically that you are listening with words like "Yes", "I see", "Um..m". Use body language like nodding and eye contact without interrupting the interviewees unnecessarily.
4. Open-ended questioning. Use questions that encourage the interviewees to think further rather than give a straight "Yes" or "No" reply. Close-ended questions often cut the natural flow of an interviewee's thoughts, make them feel interrogated, and may put them on the defensive.

Objective Evidence

Evidence should be collected on all matters related to the assessment objectives and scope. Checklists can be used to aid the collection of evidence. Evidence should be collected through:

- Interviews
- Examination of documents/records (physical and electronic)
- Observation of activities and facilities
- Site tour
- Statistical methods (e.g., sampling) can be used to increase efficiency. However, the sample should be a fair representation of the area under examination

Site tours can be planned before or between interviews. They normally include visit to lecture halls, tutorial rooms, laboratories, workshops or practical rooms, libraries, and computer laboratories. Special attention should be paid to the environment in the facilities, condition of the equipment and tools, and cleanliness and maintenance of the facilities. Site tours also provide the assessors with an opportunity to clarify the

findings or SAR with other staff and students.

3.7.3 Check Phase

The "Check" phase involves report preparation and presentation of the preliminary assessment findings (Appendix D).

At the end of the assessment, prior to preparing the final report, the assessment team may hold a clarification meeting with the host university's management representatives and those responsible for the quality assurance system.

The purpose of the meeting is to:

- present the preliminary results of the assessment
- ensure that the results of the assessment are clearly understood
- provide an opportunity for clarification
- conclude the assessment

The meeting is part of the "Check" phase and it helps the assessors to prepare an objective and factual report. It gives the assessors an opportunity to clarify doubts and to seek a better understanding of the QA processes and how the AUN-QA criteria are fulfilled. It helps to identify and agree on the areas for improvement and provides the motivational force for the university to improve its QA system. The two-way communication in the "Check" phase helps make the university more receptive to the findings and also helps to build a closer and enduring relationship between the AUN-QA team (the Secretariat and the assessors) and the university.

Assessment Report

The objectives of the assessment report are to:

- Arrive at a conclusion on the level of performance based on the AUN-QA criteria and requirements
- Identify the strengths of the university
- Identify the areas for improvement of the university

The steps to prepare the assessment report are illustrated in Figure 3.12.

```
┌─────────────────────┐
│ Review Assessment   │      • Verify evidence
│ Findings            │
└─────────────────────┘
          ↓
┌─────────────────────┐
│ Identify Strengths  │      • Areas which meet criteria
│                     │      • Areas which are best practices
└─────────────────────┘
          ↓
┌─────────────────────┐
│ Establish Areas for │      • Areas which need improvement
│ Improvement         │      • Areas which are major weaknesses
└─────────────────────┘
          ↓
┌─────────────────────┐
│ Clarify Findings    │      • Confirm areas in doubt
│                     │      • Agree on improvement areas
│                     │      • Presentation of findings at closing meeting
└─────────────────────┘
          ↓
┌─────────────────────┐
│ Establish Ratings   │      • Establish and agree on level of performance
│                     │      • Reconciliation of ratings between teams for
│                     │        common criteria
└─────────────────────┘
          ↓
┌─────────────────────┐
│ Prepare Final       │      • Using AUN-QA Assessment Results
│ Report              │        Template
│                     │      • Final Report
└─────────────────────┘
```

Figure 3.12 – Steps in Preparing the Assessment Report

In order to prepare a creditable and objective report, the assessment panel has to verify the evidences gathered and agree on the strengths and weaknesses of the QA practices adopted by the university.

Next is to establish the gaps against the AUN-QA criteria and suggest areas for improvement. Based on the findings, the assessment panel has to establish and agree on the level of performance or ratings. Any differences should be resolved through factual and objective evidences against best known practices. Reconciliation of ratings of common criteria should be carried out to ensure consistency of results.

A seven-point and the same rating scale is used for AUN-QA programme- and institutional-level assessments. It provides universities and assessors an instrument for scaling their verdicts and to see how far they have progressed in their AUN-QA journey. The seven-point rating scale is described below.

Rating	Description
1	**Absolutely Inadequate** The QA practice to fulfil the criterion is not implemented. There are no plans, documents, evidences or results available. Immediate improvement must be made.
2	**Inadequate and Improvement is Necessary** The QA practice to fulfil the criterion is still at its planning stage or is inadequate where improvement is necessary. There is little document or evidence available. Performance of the QA practice shows little or poor results.
3	**Inadequate but Minor Improvement Will Make It Adequate** The QA practice to fulfil the criterion is defined and implemented but minor improvement is needed to fully meet them. Documents are available but no clear evidence to support that they have been fully used. Performance of the QA practice shows inconsistent or some results.
4	**Adequate as Expected** The QA practice to fulfil the criterion is adequate and evidences support that it has been fully implemented. Performance of the QA practice shows consistent results as expected.
5	**Better Than Adequate** The QA practice to fulfil the criterion is better than adequate. Evidences support that it has been efficiently implemented. Performance of the QA practice shows good results and positive improvement trend.
6	**Example of Best Practices** The QA practice to fulfil the criterion is considered to be example of best practices in the field. Evidences support that it has been effectively implemented. Performance of QA practice shows very good results and positive improvement trend.
7	**Excellent (Example of World-class or Leading Practices)** The QA practice to fulfil the criterion is considered to be excellent or example of world-class practices in the field. Evidences support that it has been innovatively implemented. Performance of the QA practice shows excellent results and outstanding improvement trends.

A rating for each criterion is provided holistically from a scale of 1 to 7. However, the rating for each requirement will only be used by the assessors to derive the score for each criterion using Appendix C. The requirement ratings will not be disclosed to the university.

Each criterion will be rated. In addition, there are four groups of ratings: i) Strategic QA panel (management criteria 1-5), ii) Strategic QA panel (functional criteria, 6-8), iii) Systemic QA panel (9-11), and iv) results criteria (12-15). In other words, criteria 1-5 will each have their individual rating. In addition, there will be a single rating for this group, to be arrived at holistically. For example, criteria 1-5 are rated 4, 5, 5, 4, and 4, respectively. The group rating for this group (Strategic QA panel, management criteria 1-5) may be a 4 or a 5. Group ratings are not averages; they are rated holistically.

For a university to receive the AUN-QA certificate for a successful institutional assessment, at rating of at least "4" must be obtained for each of these four groups.

The certificate will be valid for a period of five years and an interim report has to be submitted by the university to AUN-QA Secretariat two years from the date of the assessment.

Before making the final presentation to the management of the university, the assessment panel should clarify any doubts and agree on the areas for improvement with the key management staff of the university, if necessary. The report should not be judgmental such as using the words "frequently, must, necessary," etc. Instead, state the comment factually and indicate the importance of having the suggested practice or process. The final report should be prepared using the AUN-QA Assessment Report Template (see Appendix E).

In writing the feedback report, do adhere to the following guidelines:

- The feedback has to be:
  - Objective
  - Based on evidence
  - Encouraging
  - Be part of a "learning" process

- The feedback should not:
  - Ridicule
  - Mandate solutions
  - Be insensitive to the overall efforts of the university
  - Ignore the achievements made

Constructive feedback is fundamental for an assessment to be effective. It helps a university to determine its readiness in meeting the AUN-QA criteria and requirements. It also provides the basis for feedback on areas that the university needs to improve. Constructive feedback should:

- Use clear, simple, grammatically correct, and complete sentences. They help to reduce the time needed to clarify points
- Avoid jargons or acronyms
- Use positive tone, be specific to guide improvement, and comment only on areas contained in the criteria
- Be non-prescriptive, i.e., state observations and areas for improvement rather than provide solutions

A closing session is typical for any assessment. In it, the Chair of the assessor panel makes closing remarks on the entire assessment process. The following is an example.

"Good morning ladies and gentlemen. On behalf of the assessment panel, I would like to thank you and your staff for the hospitality and assistance you have given us throughout the assessment. We have enjoyed the friendly atmosphere during the assessment.

First, I would like to reiterate the purpose and scope of this assessment under the AUN-QA assessment at institutional level. The assessment has been carried out on the basis of a prepared plan which involves examining a representative sample of your university's activities. With your kind consent, we will present the preliminary results and findings from the team. A final report will be sent to your university at a later date."

3.7.4 Act Phase

The "Act" phase involves preparing the final report and the assessment feedback. The final report consists of a summary and the detailed assessment results (see Appendix E). A typical summary of the report is reproduced below.

This report is based on the information provided in the self-assessment report (SAR), evidences, site tours, and interviews with selected stakeholders including key management of the governing body and institution, academic and support staff, students, alumni, and employers. It should be read together with the preliminary findings presented at the closing session where key strengths and areas for improvement were highlighted.

The AUN-QA assessment at institutional level covers 15 criteria. Each criterion is assessed based on a seven-point scale. The summary of the assessment results is as follows:

Criterion	Score
Strategic QA	
1. Vision, Mission, Culture and Governance	
2. Leadership and Strategy	
3. Human Resources	
4. Financial and Physical Resources	
5. External Relations and Networks	
6. Policies for Education	
7. Policies for Research	
8. Policies for Service	
Systemic QA	
9. Quality Assurance System	
10. IQA Information Management	
11. Quality Enhancement	
Results	
12. Educational Results	
13. Research Results	
14. Service Results	
15. Financial and Market Results	

Based on the assessment results, XXX institution has fulfilled/not fulfilled the requirements of the AUN-QA model for institutional assessment.

The assessment panel will forward its completed report to the AUN-QA Secretariat for their onward transmission to the university assessed. The university will then be requested to complete a feedback for the purpose of improving the assessment process (see Appendix F).

Appendices

Appendix A – Checklist for AUN-QA Assessment at Institutional Level
Appendix B – AUN-QA Assessment Planning for Institutional Level Template
Appendix C – AUN-QA Assessment Report for Institutional Level
                    (Working Copy for Assessors) Template
Appendix D – AUN-QA Assessment Presentation for Institutional Level
                    (Sample Slide Template)
Appendix E – AUN-QA Assessment Report for Institutional Level Template
Appendix F – AUN-QA Assessment Feedback Report

Appendix A

Checklist for AUN-QA Assessment at Institutional Level

1	**Vision, Mission, Culture, and Governance**	1	2	3	4	5	6	7
1.1	That the senior leaders articulate the vision and mission of the university, and these meet stakeholder needs.							
1.2	That there is a university governance system including boards, councils, senates, and/or advisory committees, to set overall direction and to ensure accountability, transparency, sustainability, and risk mitigation. University governance may include but not be limited to university expansion, financial and resource planning, management control and risk, compliance with statutory and regulatory requirements, code of conduct and ethics, policy on conflict of interest, disclosure, reporting, and auditing.							
1.3	That the senior leaders foster a set of cultural values which promote integrity and desirable behaviors, and are aligned with the vision and mission in achieving the goals of the university.							
1.4	That the vision, mission, and cultural values are shown to be cascaded and implemented to all levels of staff.							
1.5	That the decisions of the governance bodies are translated into action plans and policies, and that this includes good corporate citizenship to protect the interest of stakeholders, the community, and the environment.							
1.6	That the governance of the institution is improved for institutional effectiveness and better risk management.							
	Overall Opinion							
2	**Leadership and Strategy**	1	2	3	4	5	6	7
2.1	That there is a university management structure with clearly defined roles and responsibilities, and vertical and horizontal communication is enabled.							
2.2	That the management structure is reviewed regularly for improved effectiveness and organizational performance.							
2.3	That short-, medium-, and long-term strategic planning is carried out to fulfil the education, research, and service needs of the university, and that the planning considers internal capabilities and external challenges and							

		1	2	3	4	5	6	7
	opportunities.							
2.4	That key performance indicators and targets are established to measure the performance of the strategic goals.							
2.5	That the strategic plan is cascaded and translated for implementation at every level of staffing right down to individual staff goals.							
	Overall Opinion							
3	**Human Resources**	1	2	3	4	5	6	7
3.1	That the human resource planning for both academic and non-academic staff (including succession, promotion, re-deployment, termination, and retirement) are carried out to fulfil the needs for education, research, and service.							
3.2	That there is a well-established and sound academic staff promotion and tenure system, and that this is well-implemented.							
3.3	That the competences including leadership skills for various staff categories are identified, established, and implemented.							
3.4	That the training and developmental needs of the staff are identified and that activities are implemented to fulfil them.							
3.5	That there is efficient performance management system including reward, recognition, and coaching/mentoring schemes, are implemented to motivate and support education, research, and service.							
	Overall Opinion							
4	**Financial and Physical Resources**	1	2	3	4	5	6	7
4.1	That there is an effective financial management system to plan, implement, audit, and improve the financial resources of the university in support of its vision, mission, and strategic goals, and that the system meets regulatory requirements.							
4.2	That there is an effective planning, maintenance, improvement, and expansion of the physical facilities and infrastructure of the university, in order to meet its present and future needs for education, research, and service.							
4.3	That there is an effective system to plan, maintain, audit, and improve the IT facilities and network infrastructure of the university, capable of meeting present and forecasted needs for education, research, and service.							

4.4	That there is an effective system to plan, maintain, evaluate, and improve the academic resources such as the libraries, teaching aids, online databases, etc, to meet the present and forecasted needs of education, research, and service.							
4.5	That there is an effective system to plan, implement, evaluate, and improve the environment, health, safety, and access to people with special needs, and that the system meets regulatory requirements.							
	Overall Opinion							
5	**External Relations and Networks**	1	2	3	4	5	6	7
5.1	That the university has in place policies, a strategic plan, and procedures to improve external relations, networking, and partnerships, with businesses, industries, professional bodies, alumni, government, and non-government organizations, both local and overseas.							
5.2	That the university's external relations plans are implemented, and are aligned to achieving its vision, mission, and strategic goals.							
	Overall Opinion							
6	**Policies for Education**	1	2	3	4	5	6	7
6.1	That there are plans, policies, and selection criteria for student recruitment and admission into each study programme, and that these are implemented, monitored, and improved to ensure that they remain relevant and effective.							
6.2	That there is a university-wide curriculum design and development process for all study programmes where learning outcomes are systematically formulated, implemented, reviewed, and updated to ensure that they remain relevant to stakeholder needs.							
6.3	That there is a system to select appropriate teaching and learning activities that are aligned to the university's educational philosophy and the achievement of the learning outcomes.							
6.4	That the teaching and learning activities are monitored and evaluated for quality and improvement.							
6.5	That the teaching and learning activities enhance life-long learning, creative thought, an entrepreneurial mindset, and are constructively aligned to achieving the learning outcomes.							
6.6	That there is a system to select appropriate types							

		1	2	3	4	5	6	7
	of student assessment, and that these are constructively aligned to achieving the learning outcomes.							
6.7	That proper student services and support are implemented, monitored, and that they meet the needs of the stakeholders.							
	Overall Opinion							
7	**Policies for Research**	1	2	3	4	5	6	7
7.1	That there is an efficient system to direct and oversee the research agenda of the university at all levels.							
7.2	That key performance indicators, including level of funding, number of research projects, publication output, patent, copyright, invention, etc, are used to evaluate the research input, activity, output, outcome, and impact.							
7.3	That there is systematic encouragement and management of research excellence, including innovation and entrepreneurship.							
7.4	That there is a proper and efficient big data system to record, store, and analyze all the intellectual property of the university.							
7.5	That there is a system to establish and foster research collaboration and partnership with government organizations, other universities, industry, locally, abroad, and across multiple disciplines.							
	Overall Opinion							
8	**Policies for Service**	1	2	3	4	5	6	7
8.1	That there are plans, policies, and guidelines to engage the community and provide services to meet the vision and mission of the university, and that these are implemented, reviewed, and improved to meet university stakeholder needs and satisfaction.							
8.2	That there are plans, policies, and guidelines aligned with the national agenda, and that these are implemented, reviewed, and improved.							
8.3	That there are plans, policies, and guidelines to achieve a better and more sustainable global future while protecting the environment.							
	Overall Opinion							
9	**Quality Assurance System**	1	2	3	4	5	6	7
9.1	That there is a quality assurance office set up with roles and responsibility to oversee the university's internal and external quality							

	assurance activities, and that the activities are effective and are aligned to achieving the strategic goals of the university.							
9.2	That there is a quality assurance plan that raises commitment and engages the university's stakeholders towards a high level of assurance.							
9.3	That the quality assurance plan is communicated, cascaded, and translated into long- and short-term action plans for implementation university-wide and at all levels.							
9.4	That key performance indicators and targets are established to measure the effectiveness of the quality assurance activities, and that the results are released to relevant stakeholders in a timely manner for feedback and improvement.							
	Overall Opinion							
10	**IQA Information Management**	1	2	3	4	5	6	7
10.1	That there is an effective information management system to collect, process, and report on all strategic and QA key performance indicators and targets, and that this supports the university's mission in education, research, and service.							
10.2	That the information management system include data analytics, and is accessible to stakeholders in order to aid decision making while assuring information integrity and usefulness.							
	Overall Opinion							
11	**Quality Enhancement**	1	2	3	4	5	6	7
11.1	That there is a plan to continually enhance the QA system in the university including benchmarking and comparative studies in seeking best quality-assurance practices in education, research, and service.							
11.2	That benchmarking and comparative metrics from a range of multiple sources are established and are used for self-study and improvement of the university's own quality assurance activities.							
	Overall Opinion							
12	**Educational Results**	1	2	3	4	5	6	7
12.1	That output indicators such as pass rates, dropout rates, average time to graduate and achievements of learning outcomes for all study programmes are established, monitored, and benchmarked for improvement.							

12.2	That the employability, entrepreneurship, innovation and other career aspirations of graduates of study programmes is established, monitored, and benchmarked for improvement.							
12.3	That outcome and longer-term impact type indicators such as contribution to national development and sustainable development goals are established, monitored, and benchmarked for improvement.							
12.4	That the satisfaction level of stakeholders on the quality of graduates are established, monitored, and benchmarked for improvement.							
	Overall Opinion							
13	**Research Results**	1	2	3	4	5	6	7
13.1	That the funding opportunities for all research activities in the university is established, monitored, and benchmarked for improvement.							
13.2	That the type and quantity of all research output and other intellectual property generated in the university by the academic staff, research staff, and students, are established, monitored, and benchmarked for improvement.							
13.3	That the results of research and business innovation, including entrepreneurship, start-up incubation, commercialization, etc, are established, monitored, and benchmarked for improvement. .							
13.4	That the research of the university contributes and is aligned to national development and sustainable development goals							
	Overall Opinion							
14	**Service Results**	1	2	3	4	5	6	7
14.1	That the type and quantity of community engagement, service, and contribution to society are established, monitored, and benchmarked for improvement.							
14.2	That the societal impact and achievement of the community engagement, service, and contribution to society and sustainable development goals are established, monitored, and benchmarked for improvement.							
14.3	That the impact on students and staff of community engagement, service, and contribution to society and sustainable development goals are established, monitored, and benchmarked for improvement.							
14.4	That the satisfaction of stakeholders in							

		1	2	3	4	5	6	7
	community engagement, service, and contribution to society and sustainable development goals is established, monitored, and benchmarked for improvement.							
	Overall Opinion							
15	**Financial and Market Results**	1	2	3	4	5	6	7
15.1	That financial performance and indicators for education, research, and service are established, monitored, and benchmarked for improvement.							
15.2	That market performance and indicators for education, research, and service are established, monitored, and benchmarked for improvement.							
	Overall Opinion							

AUN-QA ASSESSMENT PLANNING (INSTITUTIONAL LEVEL)

AUN-QA Assessment No.:	Date of Assessment:
Name of Institution:	
Address of Institution:	
Name of President/Vice-Chancellor:	
Name of Management Representative/Designation:	E-mail:
Assessment Panel (Name of Assessors):	

Criteria/Requirements	Strengths	Interview Questions	Sources of Evidence	Areas for Improvement
1. Vision, Mission, Culture, and Governance				
1.1 That the senior leaders articulate the vision and mission of the university, and these meet stakeholder needs.				
1.2 That there is a university governance system including boards, councils, senates, and/or advisory committees, to set overall direction and to ensure accountability, transparency, sustainability, and risk mitigation. University governance may include but not be limited to university expansion, financial and resource planning, management control and risk, compliance with statutory and regulatory requirements, code of conduct and ethics, policy on conflict of interest, disclosure, reporting, and auditing.				

Criteria/Requirements	Strengths	Interview Questions	Sources of Evidence	Areas for Improvement
1.3 That the senior leaders foster a set of cultural values which promote integrity and desirable behaviors, and are aligned with the vision and mission in achieving the goals of the university.				
1.4 That the vision, mission, and cultural values are shown to be cascaded and implemented to all levels of staff.				
1.5 That the decisions of the governance bodies are translated into action plans and policies, and that this includes good corporate citizenship to protect the interest of stakeholders, the community, and the environment.				
1.6 That the governance of the institution is improved for institutional effectiveness and better risk management.				

Criteria/Requirements	Strengths	Interview Questions	Sources of Evidence	Areas for Improvement
2. Leadership and Strategy				
2.1 That there is a university management structure with clearly defined roles and responsibilities, and vertical and horizontal communication is enabled.				
2.2 That the management structure is reviewed regularly for improved effectiveness and organizational performance.				
2.3 That short-, medium-, and long-term strategic planning is carried out to fulfil the education, research, and service needs of the university, and that the planning considers internal capabilities and external challenges and opportunities.				
2.4 That key performance indicators and targets are established to measure the performance of the strategic goals.				

Criteria/Requirements	Strengths	Interview Questions	Sources of Evidence	Areas for Improvement
2.5 That the strategic plan is cascaded and translated for implementation at every level of staffing right down to individual staff goals.				
3. Human Resources				
3.1 That the human resource planning for both academic and non-academic staff (including succession, promotion, re-deployment, termination, and retirement) are carried out to fulfil the needs for education, research, and service.				
3.2 That there is a well-established and sound academic staff promotion and tenure system, and that this is well-implemented.				
3.3 That the competences including leadership skills for various staff categories are identified, established, and implemented.				

Criteria/Requirements	Strengths	Interview Questions	Sources of Evidence	Areas for Improvement
3.4 That the training and developmental needs of the staff are identified and that activities are implemented to fulfil them.				
3.5 That there is efficient performance management system including reward, recognition, and coaching/mentoring schemes, are implemented to motivate and support education, research, and service.				
4. Financial and Physical Resources				
4.1 That there is an effective financial management system to plan, implement, audit, and improve the financial resources of the university in support of its vision, mission, and strategic goals, and that the system meets regulatory requirements.				
4.2 That there is an effective planning, maintenance, improvement, and expansion of the physical facilities and infrastructure of the university, in order to meet its present and				

Criteria/Requirements	Strengths	Interview Questions	Sources of Evidence	Areas for Improvement
future needs for education, research, and service.				
4.3 That there is an effective system to plan, maintain, audit, and improve the IT facilities and network infrastructure of the university, capable of meeting present and forecasted needs for education, research, and service.				
4.4 That there is an effective system to plan, maintain, evaluate, and improve the academic resources such as the libraries, teaching aids, online databases, etc, to meet the present and forecasted needs of education, research, and service.				
4.5 That there is an effective system to plan, implement, evaluate, and improve the environment, health, safety, and access to people with special needs, and that the system meets regulatory requirements.				

Criteria/Requirements	Strengths	Interview Questions	Sources of Evidence	Areas for Improvement
5. External Relations and Networks				
5.1 That the university has in place policies, a strategic plan, and procedures to improve external relations, networking, and partnerships, with businesses, industries, professional bodies, alumni, government, and non-government organizations, both local and overseas.				
5.2 That the university's external relations plans are implemented, and are aligned to achieving its vision, mission, and strategic goals.				
6. Policies for Education				
6.1 That there are plans, policies, and selection criteria for student recruitment and admission into each study programme, and that these are implemented, monitored, and improved to ensure that they remain relevant and effective.				

Criteria/Requirements	Strengths	Interview Questions	Sources of Evidence	Areas for Improvement
6.2 That there is a university-wide curriculum design and development process for all study programmes where learning outcomes are systematically formulated, implemented, reviewed, and updated to ensure that they remain relevant to stakeholder needs.				
6.3 That there is a system to select appropriate teaching and learning activities that are aligned to the university's educational philosophy and the achievement of the learning outcomes.				
6.4 That the teaching and learning activities are monitored and evaluated for quality and improvement.				
6.5 That the teaching and learning activities enhance life-long learning, creative thought, an entrepreneurial mindset, and are constructively aligned to achieving the learning outcomes.				

Criteria/Requirements	Strengths	Interview Questions	Sources of Evidence	Areas for Improvement
6.6 That there is a system to select appropriate types of student assessment, and that these are constructively aligned to achieving the learning outcomes.				
6.7 That proper student services and support are implemented, monitored, and that they meet the needs of the stakeholders.				
7. Policies for Research				
7.1 That there is an efficient system to direct and oversee the research agenda of the university at all levels.				
7.2 That key performance indicators, including level of funding, number of research projects, publication output, patent, copyright, invention, etc, are used to evaluate the research input, activity, output, outcome, and impact.				
7.3 That there is systematic encouragement and management of research				

Criteria/Requirements	Strengths	Interview Questions	Sources of Evidence	Areas for Improvement
excellence, including innovation and entrepreneurship.				
7.4 That there is a proper and efficient big data system to record, store, and analyze all the intellectual property of the university.				
7.5 That there is a system to establish and foster research collaboration and partnership with government organizations, other universities, industry, locally, abroad, and across multiple disciplines.				
8. Policies for Service				
8.1 That there are plans, policies, and guidelines to engage the community and provide services to meet the vision and mission of the university, and that these are implemented, reviewed, and improved to meet university stakeholder needs and satisfaction.				

Criteria/Requirements	Strengths	Interview Questions	Sources of Evidence	Areas for Improvement
8.2 That there are plans, policies, and guidelines aligned with the national agenda, and that these are implemented, reviewed, and improved.				
8.3 That there are plans, policies, and guidelines to achieve a better and more sustainable global future while protecting the environment.				
9. Quality Assurance System				
9.1 That there is a quality assurance office set up with roles and responsibility to oversee the university's internal and external quality assurance activities, and that the activities are effective and are aligned to achieving the strategic goals of the university.				
9.2 That there is a quality assurance plan that raises commitment and engages the university's stakeholders towards a high level of assurance.				

Criteria/Requirements	Strengths	Interview Questions	Sources of Evidence	Areas for Improvement
9.3 That the quality assurance plan is communicated, cascaded, and translated into long- and short-term action plans for implementation university-wide and at all levels.				
9.4 That key performance indicators and targets are established to measure the effectiveness of the quality assurance activities, and that the results are released to relevant stakeholders in a timely manner for feedback and improvement.				
10. IQA Information Management				
10.1 That there is an effective information management system to collect, process, and report on all strategic and QA key performance indicators and targets, and that this supports the university's mission in education, research, and service.				
10.2 That the information management system include data analytics, and is accessible				

Criteria/Requirements	Strengths	Interview Questions	Sources of Evidence	Areas for Improvement
to stakeholders in order to aid decision making while assuring information integrity and usefulness.				
11. Quality Enhancement				
11.1 That there is a plan to continually enhance the QA system in the university including benchmarking and comparative studies in seeking best quality-assurance practices in education, research, and service.				
11.2 That benchmarking and comparative metrics from a range of multiple sources are established and are used for self-study and improvement of the university's own quality assurance activities.				
12. Educational Results				
12.1 That output indicators such as pass rates, dropout rates, average time to graduate and achievements of learning outcomes for all study programmes are established,				

Criteria/Requirements	Strengths	Interview Questions	Sources of Evidence	Areas for Improvement
monitored, and benchmarked for improvement.				
12.2 That the employability, entrepreneurship, innovation and other career aspirations of graduates of study programmes is established, monitored, and benchmarked for improvement.				
12.3 That outcome and longer-term impact type indicators such as contribution to national development and sustainable development goals are established, monitored, and benchmarked for improvement.				
12.4 That the satisfaction level of stakeholders on the quality of graduates are established, monitored, and benchmarked for improvement.				
13. Research Results				
13.1 That the funding opportunities for all research activities in the university is established, monitored, and benchmarked for improvement.				

Criteria/Requirements	Strengths	Interview Questions	Sources of Evidence	Areas for Improvement
13.2 That the type and quantity of all research output and other intellectual property generated in the university by the academic staff, research staff, and students, are established, monitored, and benchmarked for improvement.				
13.3 That the results of research and business innovation, including entrepreneurship, start-up incubation, commercialization, etc, are established, monitored, and benchmarked for improvement.				
13.4 That the research of the university contributes and is aligned to national development and sustainable development goals				
14. Service Results				
14.1 That the type and quantity of community engagement, service, and contribution to society are established, monitored, and benchmarked for improvement.				

Criteria/Requirements	Strengths	Interview Questions	Sources of Evidence	Areas for Improvement
14.2 That the societal impact and achievement of the community engagement, service, and contribution to society and sustainable development goals are established, monitored, and benchmarked for improvement.				
14.3 That the impact on students and staff of community engagement, service, and contribution to society and sustainable development goals are established, monitored, and benchmarked for improvement.				
14.4 That the satisfaction of stakeholders in community engagement, service, and contribution to society and sustainable development goals is established, monitored, and benchmarked for improvement.				

Criteria/Requirements	Strengths	Interview Questions	Sources of Evidence	Areas for Improvement
15. Financial and Market Results				
15.1 That financial performance and indicators for education, research, and service are established, monitored, and benchmarked for improvement.				
15.2 That market performance and indicators for education, research, and service are established, monitored, and benchmarked for improvement.				

AUN-QA ASSESSMENT REPORT (INSTITUTIONAL LEVEL)
(Working Copy for Assessors)

AUN-QA Assessment No.:	Date of Assessment:
Name of Institution:	
Address of Institution:	
Name of President/Vice-Chancellor:	
Name of Management Representative/Designation:	E-mail:
Assessment Panel (Name of Assessors):	

Report Summary

This report is based on the information provided in the self-assessment report (SAR), evidences, site tour, and interviews with selected stakeholders, including key management of the governing body and institution, academic and support staff, students, alumni, and employers. It should be read together with the preliminary findings presented at the closing session where the key strengths and areas for improvement were highlighted.

The AUN-QA assessment at institutional level covers 15 criteria and each criterion is assessed based on a 7-point scale. The summary of the assessment results is as follows:

Criterion	Score
Strategic QA	
1. Vision, Mission, Culture, and Governance	
2. Leadership and Strategy	
3. Human Resources	
4. Financial and Physical Resources	
5. External Relations and Networks	
6. Policies for Education	
7. Policies for Research	
8. Policies for Service	
Systemic QA	
9. Quality Assurance System	
10. IQA Information Management	
11. Quality Enhancement	
Results	
12. Educational Results	
13. Research Results	

Criterion	Score
14. Service Results	
15. Financial and Market Results	

Based on the assessment results, the XXX institution has fulfilled/not fulfilled the requirements of the AUN-QA Model for Institutional Level Assessment. For an institution to receive the AUN-QA Network certificate, a rating of at least 4 must be obtained for Strategic QA, Systemic QA, and Results.

Criteria/Requirements	Strengths	Areas for Improvement	Score (1 – 7)
1. Vision, Mission, Culture, and Governance			
1.1 That the senior leaders articulate the vision and mission of the university, and these meet stakeholder needs.			
1.2 That there is a university governance system including boards, councils, senates, and/or advisory committees, to set overall direction and to ensure accountability, transparency, sustainability, and risk mitigation. University governance may include but not be limited to university expansion, financial and resource planning, management control and risk, compliance with statutory and regulatory requirements, code of conduct and ethics, policy on conflict of interest, disclosure, reporting, and auditing.			

Criteria/Requirements	Strengths	Areas for Improvement	Score (1 – 7)
1.3 That the senior leaders foster a set of cultural values which promote integrity and desirable behaviors, and are aligned with the vision and mission in achieving the goals of the university.			
1.4 That the vision, mission, and cultural values are shown to be cascaded and implemented to all levels of staff.			
1.5 That the decisions of the governance bodies are translated into action plans and policies, and that this includes good corporate citizenship to protect the interest of stakeholders, the community, and the environment.			
1.6 That the governance of the institution is improved for institutional effectiveness and better risk management.			

Criteria/Requirements	Strengths	Areas for Improvement	Score (1 – 7)
2. Leadership and Strategy			
2.1 That there is a university management structure with clearly defined roles and responsibilities, and vertical and horizontal communication is enabled.			
2.2 That the management structure is reviewed regularly for improved effectiveness and organizational performance.			
2.3 That short-, medium-, and long-term strategic planning is carried out to fulfil the education, research, and service needs of the university, and that the planning considers internal capabilities and external challenges and opportunities.			
2.4 That key performance indicators and targets are established to measure the performance of the strategic goals.			

Criteria/Requirements	Strengths	Areas for Improvement	Score (1 – 7)
2.5 That the strategic plan is cascaded and translated for implementation at every level of staffing right down to individual staff goals.			
3. Human Resources			
3.1 That the human resource planning for both academic and non-academic staff (including succession, promotion, re-deployment, termination, and retirement) are carried out to fulfil the needs for education, research, and service.			
3.2 That there is a well-established and sound academic staff promotion and tenure system, and that this is well-implemented.			
3.3 That the competences including leadership skills for various staff categories are identified, established, and implemented.			

Criteria/Requirements	Strengths	Areas for Improvement	Score (1 – 7)
3.4 That the training and developmental needs of the staff are identified and that activities are implemented to fulfil them.			
3.5 That there is efficient performance management system including reward, recognition, and coaching/mentoring schemes, are implemented to motivate and support education, research, and service.			
4. Financial and Physical Resources			
4.1 That there is an effective financial management system to plan, implement, audit, and improve the financial resources of the university in support of its vision, mission, and strategic goals, and that the system meets regulatory requirements.			
4.2 That there is an effective planning, maintenance, improvement, and expansion of the physical facilities and infrastructure of the university, in order to meet its present and			

Criteria/Requirements	Strengths	Areas for Improvement	Score (1 – 7)
future needs for education, research, and service.			
4.3 That there is an effective system to plan, maintain, audit, and improve the IT facilities and network infrastructure of the university, capable of meeting present and forecasted needs for education, research, and service.			
4.4 That there is an effective system to plan, maintain, evaluate, and improve the academic resources such as the libraries, teaching aids, online databases, etc, to meet the present and forecasted needs of education, research, and service.			
4.5 That there is an effective system to plan, implement, evaluate, and improve the environment, health, safety, and access to people with special needs, and that the system meets regulatory requirements.			

Criteria/Requirements	Strengths	Areas for Improvement	Score (1 – 7)
5. External Relations and Networks			
5.1 That the university has in place policies, a strategic plan, and procedures to improve external relations, networking, and partnerships, with businesses, industries, professional bodies, alumni, government, and non-government organizations, both local and overseas.			
5.2 That the university's external relations plans are implemented, and are aligned to achieving its vision, mission, and strategic goals.			
6. Policies for Education			
6.1 That there are plans, policies, and selection criteria for student recruitment and admission into each study programme, and that these are implemented, monitored, and improved to ensure that they remain relevant and effective.			

Criteria/Requirements	Strengths	Areas for Improvement	Score (1 – 7)
6.2 That there is a university-wide curriculum design and development process for all study programmes where learning outcomes are systematically formulated, implemented, reviewed, and updated to ensure that they remain relevant to stakeholder needs.			
6.3 That there is a system to select appropriate teaching and learning activities that are aligned to the university's educational philosophy and the achievement of the learning outcomes.			
6.4 That the teaching and learning activities are monitored and evaluated for quality and improvement.			
6.5 That the teaching and learning activities enhance life-long learning, creative thought, an entrepreneurial mindset, and are constructively aligned to achieving the learning outcomes.			

Criteria/Requirements	Strengths	Areas for Improvement	Score (1 – 7)
6.6 That there is a system to select appropriate types of student assessment, and that these are constructively aligned to achieving the learning outcomes.			
6.7 That proper student services and support are implemented, monitored, and that they meet the needs of the stakeholders.			
7. Policies for Research			
7.1 That there is an efficient system to direct and oversee the research agenda of the university at all levels.			
7.2 That key performance indicators, including level of funding, number of research projects, publication output, patent, copyright, invention, etc, are used to evaluate the research input, activity, output, outcome, and impact.			
7.3 That there is systematic encouragement and management of research			

Criteria/Requirements	Strengths	Areas for Improvement	Score (1 – 7)
excellence, including innovation and entrepreneurship.			
7.4 That there is a proper and efficient big data system to record, store, and analyze all the intellectual property of the university.			
7.5 That there is a system to establish and foster research collaboration and partnership with government organizations, other universities, industry, locally, abroad, and across multiple disciplines.			
8. Policies for Service			
8.1 That there are plans, policies, and guidelines to engage the community and provide services to meet the vision and mission of the university, and that these are implemented, reviewed, and improved to meet university stakeholder needs and satisfaction.			

Criteria/Requirements	Strengths	Areas for Improvement	Score (1 – 7)
8.2 That there are plans, policies, and guidelines aligned with the national agenda, and that these are implemented, reviewed, and improved.			
8.3 That there are plans, policies, and guidelines to achieve a better and more sustainable global future while protecting the environment.			
9. Quality Assurance System			
9.1 That there is a quality assurance office set up with roles and responsibility to oversee the university's internal and external quality assurance activities, and that the activities are effective and are aligned to achieving the strategic goals of the university.			
9.2 That there is a quality assurance plan that raises commitment and engages the			

Criteria/Requirements	Strengths	Areas for Improvement	Score (1 – 7)
university's stakeholders towards a high level of assurance.			
9.3 That the quality assurance plan is communicated, cascaded, and translated into long- and short-term action plans for implementation university-wide and at all levels.			
9.4 That key performance indicators and targets are established to measure the effectiveness of the quality assurance activities, and that the results are released to relevant stakeholders in a timely manner for feedback and improvement.			
10. IQA Information Management			
10.1 That there is an effective information management system to collect, process, and report on all strategic and QA key performance indicators and targets, and that this supports the university's mission in education, research, and service.			
10.2 That the information			

Criteria/Requirements	Strengths	Areas for Improvement	Score (1 – 7)
management system include data analytics, and is accessible to stakeholders in order to aid decision making while assuring information integrity and usefulness.			
11. Quality Enhancement			
11.1 That there is a plan to continually enhance the QA system in the university including benchmarking and comparative studies in seeking best quality-assurance practices in education, research, and service.			
11.2 That benchmarking and comparative metrics from a range of multiple sources are established and are used for self-study and improvement of the university's own quality assurance activities.			
12. Educational Results			
12.1 That output indicators such as pass rates, dropout rates, average time to graduate and achievements of learning			

| Criteria/Requirements	Strengths	Areas for Improvement	Score (1 – 7)
outcomes for all study programmes are established, monitored, and benchmarked for improvement.			
12.2 That the employability, entrepreneurship, innovation and other career aspirations of graduates of study programmes is established, monitored, and benchmarked for improvement.			
12.3 That outcome and longer-term impact type indicators such as contribution to national development and sustainable development goals are established, monitored, and benchmarked for improvement.			
12.4 That the satisfaction level of stakeholders on the quality of graduates are established, monitored, and benchmarked for improvement.			
13. Research Results			
13.1 That the funding opportunities for all research activities in the university is established, monitored, and benchmarked for improvement.			

Criteria/Requirements	Strengths	Areas for Improvement	Score (1 – 7)
13.2 That the type and quantity of all research output and other intellectual property generated in the university by the academic staff, research staff, and students, are established, monitored, and benchmarked for improvement.			
13.3 That the results of research and business innovation, including entrepreneurship, start-up incubation, commercialization, etc, are established, monitored, and benchmarked for improvement.			
13.4 That the research of the university contributes and is aligned to national development and sustainable development goals			
14. Service Results			
14.1 That the type and quantity of community engagement, service, and contribution to society are established, monitored, and benchmarked for improvement.			

Criteria/Requirements	Strengths	Areas for Improvement	Score (1 – 7)
14.2 That the societal impact and achievement of the community engagement, service, and contribution to society and sustainable development goals are established, monitored, and benchmarked for improvement.			
14.3 That the impact on students and staff of community engagement, service, and contribution to society and sustainable development goals are established, monitored, and benchmarked for improvement.			
14.4 That the satisfaction of stakeholders in community engagement, service, and contribution to society and sustainable development goals is established, monitored, and benchmarked for improvement.			

Criteria/Requirements	Strengths	Areas for Improvement	Score (1 – 7)
15. Financial and Market Results			
15.1 That financial performance and indicators for education, research, and service are established, monitored, and benchmarked for improvement.			
15.2 That market performance and indicators for education, research, and service are established, monitored, and benchmarked for improvement.			

**AUN-QA Assessment Presentation for Institutional Level (Sample Slide Template)**

Rating Scale

Rating	Description
1	**Absolutely Inadequate** The QA practice to fulfil the criterion is not implemented. There are no plans, documents, evidences or results available. Immediate improvement must be made.
2	**Inadequate and Improvement is Necessary** The QA practice to fulfil the criterion is still at its planning stage or is inadequate where improvement is necessary. There is little document or evidence available. Performance of the QA practice shows little or poor results.
3	**Inadequate but Minor Improvement Will Make It Adequate** The QA practice to fulfil the criterion is defined and implemented but minor improvement is needed to fully meet them. Documents are available but no clear evidence to support that they have been fully used. Performance of the QA practice shows inconsistent or some results.

Rating Scale

Rating	Description
4	**Adequate as Expected** The QA practice to fulfil the criterion is adequate and evidences support that it has been fully implemented. Performance of the QA practice shows consistent results as expected.
5	**Better Than Adequate** The QA practice to fulfil the criterion is better than adequate. Evidences support that it has been efficiently implemented. Performance of the QA practice shows good results and positive improvement trend.
6	**Example of Best Practices** The QA practice to fulfil the criterion is considered to be example of best practices in the field. Evidences support that it has been effectively implemented. Performance of QA practice shows very good results and positive improvement trend.
7	**Excellent (Example of World-class or Leading Practices)** The QA practice to fulfil the criterion is considered to be excellent or example of world-class practices in the field. Evidences support that it has been innovatively implemented. Performance of the QA practice shows excellent results and outstanding improvement trends.

1. Vision, Mission, Culture, and Governance

Strengths

1. Vision, Mission, Culture, and Governance

Areas for Improvement

AUN-QA ASSESSMENT REPORT (INSTITUTIONAL LEVEL)

AUN-QA Assessment No.:	Date of Assessment:
Name of Institution:	
Address of Institution:	
Name of President/Vice-Chancellor:	
Name of Management Representative/Designation:	E-mail:
Assessment Panel (Name of Assessors):	

Report Summary

This report is based on the information provided in the self-assessment report (SAR), evidences, site tour and interviews with selected stakeholders including key management of the governing body and institution, academic and support staff, students, alumni and employers. It should be read together with the preliminary findings presented at the closing session where the key strengths and areas for improvement were highlighted.

The AUN-QA assessment at institutional level covers 15 criteria and each criterion is assessed based on a 7-point scale. The summary of the assessment results is as follows:

Criterion	Score
Strategic QA	
1. Vision, Mission, Culture, and Governance	
2. Leadership and Strategy	
3. Human Resources	
4. Financial and Physical Resources	
5. External Relations and Networks	
6. Policies for Education	
7. Policies for Research	
8. Policies for Service	
Systemic QA	
9. Quality Assurance System	
10. IQA Information Management	
11. Quality Enhancement	
Results	
12. Educational Results	
13. Research Results	

Criterion	Score
14. Service Results	
15. Financial and Market Results	

Based on the assessment results, the XXX institution has fulfilled/not fulfilled the requirements of the AUN-QA Model for Institutional Level Assessment. For an institution to receive the AUN-QA Network certificate, a rating of at least 4 must be obtained for Strategic QA, Systemic QA, and Results.

Criteria/Requirements	Strengths	Areas for Improvement
1. Vision, Mission, Culture, and Governance		
1.1 That the senior leaders articulate the vision and mission of the university, and these meet stakeholder needs.		
1.2 That there is a university governance system including boards, councils, senates, and/or advisory committees, to set overall direction and to ensure accountability, transparency, sustainability, and risk mitigation. University governance may include but not be limited to university expansion, financial and resource planning, management control and risk, compliance with statutory and regulatory requirements, code of conduct and ethics, policy on conflict of interest, disclosure, reporting, and auditing.		

Criteria/Requirements	Strengths	Areas for Improvement
1.3 That the senior leaders foster a set of cultural values which promote integrity and desirable behaviors, and are aligned with the vision and mission in achieving the goals of the university.		
1.4 That the vision, mission, and cultural values are shown to be cascaded and implemented to all levels of staff.		
1.5 That the decisions of the governance bodies are translated into action plans and policies, and that this includes good corporate citizenship to protect the interest of stakeholders, the community, and the environment.		
1.6 That the governance of the institution is improved for institutional effectiveness and better risk management.		

Criteria/Requirements	Strengths	Areas for Improvement
2. Leadership and Strategy		
2.1 That there is a university management structure with clearly defined roles and responsibilities, and vertical and horizontal communication is enabled.		
2.2 That the management structure is reviewed regularly for improved effectiveness and organizational performance.		
2.3 That short-, medium-, and long-term strategic planning is carried out to fulfil the education, research, and service needs of the university, and that the planning considers internal capabilities and external challenges and opportunities.		
2.4 That key performance indicators and targets are established to measure the performance of the strategic goals.		

Criteria/Requirements	Strengths	Areas for Improvement
2.5 That the strategic plan is cascaded and translated for implementation at every level of staffing right down to individual staff goals.		
3. Human Resources		
3.1 That the human resource planning for both academic and non-academic staff (including succession, promotion, re-deployment, termination, and retirement) are carried out to fulfil the needs for education, research, and service.		
3.2 That there is a well-established and sound academic staff promotion and tenure system, and that this is well-implemented.		
3.3 That the competences including leadership skills for various staff categories are identified, established, and implemented.		

Criteria/Requirements	Strengths	Areas for Improvement
3.4 That the training and developmental needs of the staff are identified and that activities are implemented to fulfil them.		
3.5 That there is efficient performance management system including reward, recognition, and coaching/mentoring schemes, are implemented to motivate and support education, research, and service.		
4. Financial and Physical Resources		
4.1 That there is an effective financial management system to plan, implement, audit, and improve the financial resources of the university in support of its vision, mission, and strategic goals, and that the system meets regulatory requirements.		
4.2 That there is an effective planning, maintenance, improvement, and expansion of the physical facilities and infrastructure of the university, in order to meet its present and		

Criteria/Requirements	Strengths	Areas for Improvement
future needs for education, research, and service.		
4.3 That there is an effective system to plan, maintain, audit, and improve the IT facilities and network infrastructure of the university, capable of meeting present and forecasted needs for education, research, and service.		
4.4 That there is an effective system to plan, maintain, evaluate, and improve the academic resources such as the libraries, teaching aids, online databases, etc, to meet the present and forecasted needs of education, research, and service.		
4.5 That there is an effective system to plan, implement, evaluate, and improve the environment, health, safety, and access to people with special needs, and that the system meets regulatory requirements.		

Criteria/Requirements	Strengths	Areas for Improvement
5. External Relations and Networks		
5.1 That the university has in place policies, a strategic plan, and procedures to improve external relations, networking, and partnerships, with businesses, industries, professional bodies, alumni, government, and non-government organizations, both local and overseas.		
5.2 That the university's external relations plans are implemented, and are aligned to achieving its vision, mission, and strategic goals.		
6. Policies for Education		
6.1 That there are plans, policies, and selection criteria for student recruitment and admission into each study programme, and that these are implemented, monitored, and improved to ensure that they remain relevant and effective.		

Criteria/Requirements	Strengths	Areas for Improvement
6.2 That there is a university-wide curriculum design and development process for all study programmes where learning outcomes are systematically formulated, implemented, reviewed, and updated to ensure that they remain relevant to stakeholder needs.		
6.3 That there is a system to select appropriate teaching and learning activities that are aligned to the university's educational philosophy and the achievement of the learning outcomes.		
6.4 That the teaching and learning activities are monitored and evaluated for quality and improvement.		
6.5 That the teaching and learning activities enhance life-long learning, creative thought, an entrepreneurial mindset, and are constructively aligned to achieving the learning outcomes.		

Criteria/Requirements	Strengths	Areas for Improvement
6.6 That there is a system to select appropriate types of student assessment, and that these are constructively aligned to achieving the learning outcomes.		
6.7 That proper student services and support are implemented, monitored, and that they meet the needs of the stakeholders.		
7. Policies for Research		
7.1 That there is an efficient system to direct and oversee the research agenda of the university at all levels.		
7.2 That key performance indicators, including level of funding, number of research projects, publication output, patent, copyright, invention, etc, are used to evaluate the research input, activity, output, outcome, and impact.		

Criteria/Requirements	Strengths	Areas for Improvement
7.3 That there is systematic encouragement and management of research excellence, including innovation and entrepreneurship.		
7.4 That there is a proper and efficient big data system to record, store, and analyze all the intellectual property of the university.		
7.5 That there is a system to establish and foster research collaboration and partnership with government organizations, other universities, industry, locally, abroad, and across multiple disciplines.		

Criteria/Requirements	Strengths	Areas for Improvement
8. Policies for Service		
8.1 That there are plans, policies, and guidelines to engage the community and provide services to meet the vision and mission of the university, and that these are implemented, reviewed, and improved to meet university stakeholder needs and satisfaction.		
8.2 That there are plans, policies, and guidelines aligned with the national agenda, and that these are implemented, reviewed, and improved.		
8.3 That there are plans, policies, and guidelines to achieve a better and more sustainable global future while protecting the environment.		

Criteria/Requirements	Strengths	Areas for Improvement
9. Quality Assurance System		
9.1 That there is a quality assurance office set up with roles and responsibility to oversee the university's internal and external quality assurance activities, and that the activities are effective and are aligned to achieving the strategic goals of the university.		
9.2 That there is a quality assurance plan that raises commitment and engages the university's stakeholders towards a high level of assurance.		
9.3 That the quality assurance plan is communicated, cascaded, and translated into long- and short-term action plans for implementation university-wide and at all levels.		

Criteria/Requirements	Strengths	Areas for Improvement
9.4 That key performance indicators and targets are established to measure the effectiveness of the quality assurance activities, and that the results are released to relevant stakeholders in a timely manner for feedback and improvement.		
10. IQA Information Management		
10.1 That there is an effective information management system to collect, process, and report on all strategic and QA key performance indicators and targets, and that this supports the university's mission in education, research, and service.		
10.2 That the information management system include data analytics, and is accessible to stakeholders in order to aid decision making while assuring information integrity and usefulness.		

Criteria/Requirements	Strengths	Areas for Improvement
11. Quality Enhancement		
11.1 That there is a plan to continually enhance the QA system in the university including benchmarking and comparative studies in seeking best quality-assurance practices in education, research, and service.		
11.2 That benchmarking and comparative metrics from a range of multiple sources are established and are used for self-study and improvement of the university's own quality assurance activities.		
12. Educational Results		
12.1 That output indicators such as pass rates, dropout rates, average time to graduate and achievements of learning outcomes for all study programmes are established, monitored, and benchmarked for improvement.		
12.2 That the employability, entrepreneurship, innovation and other career aspirations of graduates of study programmes		

Criteria/Requirements	Strengths	Areas for Improvement
is established, monitored, and benchmarked for improvement.		
12.3 That outcome and longer-term impact type indicators such as contribution to national development and sustainable development goals are established, monitored, and benchmarked for improvement.		
12.4 That the satisfaction level of stakeholders on the quality of graduates are established, monitored, and benchmarked for improvement.		
13. Research Results		
13.1 That the funding opportunities for all research activities in the university is established, monitored, and benchmarked for improvement.		

Criteria/Requirements	Strengths	Areas for Improvement
13.2 That the type and quantity of all research output and other intellectual property generated in the university by the academic staff, research staff, and students, are established, monitored, and benchmarked for improvement.		
13.3 That the results of research and business innovation, including entrepreneurship, start-up incubation, commercialization, etc, are established, monitored, and benchmarked for improvement.		
13.4 That the research of the university contributes and is aligned to national development and sustainable development goals		
14. Service Results		
14.1 That the type and quantity of community engagement, service, and contribution to society are established, monitored, and benchmarked for improvement.		

Criteria/Requirements	Strengths	Areas for Improvement
14.2 That the societal impact and achievement of the community engagement, service, and contribution to society and sustainable development goals are established, monitored, and benchmarked for improvement.		
14.3 That the impact on students and staff of community engagement, service, and contribution to society and sustainable development goals are established, monitored, and benchmarked for improvement.		
14.4 That the satisfaction of stakeholders in community engagement, service, and contribution to society and sustainable development goals is established, monitored, and benchmarked for improvement.		

Criteria/Requirements	Strengths	Areas for Improvement
15. Financial and Market Results		
15.1 That financial performance and indicators for education, research, and service are established, monitored, and benchmarked for improvement.		
15.2 That market performance and indicators for education, research, and service are established, monitored, and benchmarked for improvement.		

AUN-QA ASSESSMENT FEEDBACK REPORT (INSTITUTIONAL LEVEL)

AUN-QA Assessment No.:	Date of Assessment:
Name of Institution:	
Name of President/Vice-Chancellor:	
Name Management Representative/Designation:	E-mail:
Address:	
Name of Assessors:	
Feedback on SAR Preparation (interpretation of criteria, writing of SAR, gathering of evidences and other problems faced in preparing the SAR)	
Feedback on Assessment Process (Process: pre-assessment preparation, site assessment and final assessment results and presentation; Assessment: objectivity, independence, evidence-based, Assessment: itinerary, activities and duration)	
Feedback on Usefulness of Assessment Report (improvement, planning, benchmarking purposes)	
Other comments and suggestions to improve the AUN-QA Assessment	