AUN-QA
A Touch of Quality

Workshop 1: :
Perform Desktop Assessment

Chavalit Wongse-ek
Veeradeth Panvisavas

Learning Outcomes

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- **Perform** well the Desktop Assessment
- **Prepare** successfully Appendix B and ready for Site Visit

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Desktop Assessment

3

- The first initial step before the site assessment
- It is a <u>document review exercise</u> based on the SAR and available documents.
- **Appendix B** is used for this purpose.
  A sample on how the template is being used for desktop planning is documented in **Appendix C**.

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- SAR is the most critical document for desktop assessment and it should be given to the assessors in advance before the actual assessment.
- It should give an overview of the university, faculty, department and programme being assessed.
- SAR should cover all the criteria listed in the checklist. If any of the criteria are not documented, the assessors should clarify with the contact person of the university (via Secretariat of AUN).
- Assessors should identify information and documents mentioned in the SAR and verify them against the physical documents during the site assessment.
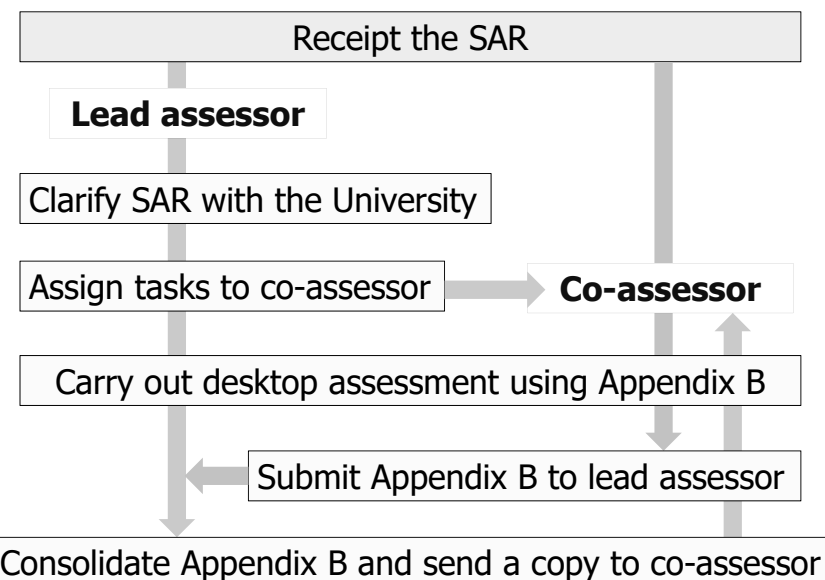
Using Appendix B

- Clarifying SAR and QA practices
- Identifying strengths and weaknesses of the QA practices
- Identifying gaps in meeting the AUN-QA criteria
- Identifying possible areas for improvement
- Crafting questions for stakeholders' interviews
- Identifying sources of evidence for verification

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Receipt the SAR

Lead assessor

Clarify SAR with the University

Assign tasks to co-assessor → **Co-assessor**

Carry out desktop assessment using Appendix B

Submit Appendix B to lead assessor

Consolidate Appendix B and send a copy to co-assessor

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Reading the SAR

- Reading the SAR
- Finding the answer of the requirements of each Criterion
  - What have the programme performed?
  - What are the evidences?
  - What are the Gaps?
- Prepare the results in Appendix B

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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.

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Description of the Score

1	2	3	4
There are **no plans, documents, evidences or results** available.	**Process** is still at its planning stage or is inadequate	**Process** has implemented but minor improvement is needed	**Process** has been fully implemented
	There is little **document or evidence** available	No clear **evidences** to support	**Evidences** are fully supported
	ADRI shows little or poor results	**ADRI** shows inconsistent or some results	**ADRI** consistent results as expected

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Step of Reading SAR: Using 4W and 1H

1. Read the Introduction
   >> Mark and Note the relevance...
2. Read Criterion 1.1, then finding where the answer of requirements are?
   >> Mark and/or Note them...
3. How they Meet the Requirements? Evidences' support? ADRI approached?
   Find out the performances (strengths) and gaps (area of Improvements
   >> Note: Question-Who? ... In App B
   >> List more Evidences to see? ... In App B
4. Other Requests: Adjust schedule, Tour, ...?
   >> Note and prepare to meet with Facilitators

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Qualitative Criterion

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

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Quantitative Criterion

Criterion 11	
What	What is the current result or performance? What are the past results or performance? What is the target? Trend? Describe the result or performance
How	How is it performing when compared to past years? How is it performing when compared or benchmarked with other competing universities or benchmarking partners? Describe the comparison of result or performance
Why	Why the result or performance is on a downward trend or fall below expectation? Describe the gaps and its improvement plan

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Mixed Criterion

Criterion 6, 7, 8, 9, 10		
What	What is it? Describe the criterion or situation	What is the current result or performance? What are the past results or performance? What is the target? What is the trend? Describe the result or performance
How	How is it done? How is it aligned to …..? Who is involved? When is it done? Where is it done? Describe the approach (process) and deployment	How is it performing when compared to past years? How is it performing when compared or benchmarked with other competing universities or benchmarking partners? Describe the comparison of result or performance
Why	Why does the gap exist? Describe the gap and its improvement plan	Why the result or performance is on a downward trend or fall below expectation? Describe the gap and its improvement plan

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What are you looking for each Criterion?
Example: Criterion 1.1

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Criterion	1.1 The expected learning outcomes have been clearly formulated and aligned with the vision and mission of the university. [1,2]
Plan/ Approach	• What is(are) the name of the process(es) or approach(es)?
Do/Deploy	
Check/Result	
Act/ Improvement	

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Example: Criterion 1.1

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Criterion	1.1 The expected learning outcomes have been clearly formulated and aligned with the vision and mission of the university. [1,2]
Plan/ Approach	Process - Formulation of ELOs • How are the ELOs formulated? • What are the key steps? • How is it aligned to vision, mission, objectives, learning outcomes and integrated with other approaches or processes?
Do/Deploy	
Check/Result	
Act/ Improvement	

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Example: Criterion 1.1

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Criterion	1.1 The expected learning outcomes have been clearly formulated and aligned with the vision and mission of the university. [1,2]
Plan/Approach	
Do/Deploy	• When it was first deployed? How long has it been deployed? • Who is involved in deploying it ? What level/type of employee? • Where is it deployed? Which faculty, school, department?
Check/Result	
Act/ Improvement	

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Example: Criterion 1.1

Criterion	1.1 The expected learning outcomes have been clearly formulated and aligned with the vision and mission of the university. [1,2]
Plan/Approach	
Do/Deploy	
Check/ Result	• What is the performance measure for this process or criterion? • What are the past and current results? • What is the target and trend? • What are the comparative or competitive results?
Act/ Improvement	

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Example: Criterion 1.1

Criterion	1.1 The expected learning outcomes have been clearly formulated and aligned with the vision and mission of the university. [1,2]
Plan/Approach	
Do/Deploy	
Check/Result	
Act/ Improvement	• Has the process ever been improved? • Is there an example of improvement that can be describe? • Was the improvement effectiveness?

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Example: Criterion 3.1

Criterion	3.1 The curriculum is designed based on constructive alignment with the expected learning outcomes [1]
Process	• What is(are) the name of the process(es) or approach(es)?
Plan/ Approach	• How is the curriculum designed ? • What is its purpose or goal? • What are the key steps?
Do/Deploy	• How is it aligned to objectives, learning outcomes and integrated with other approaches or processes?
Check/Result	• How does the curriculum mapping indicate?
Act/ Improvement	• How the curriculum has been improved?

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Sources of Evidence

• Programme and course specifications
• Course brochure and prospectus or bulletin
• Skills matrix
• Stakeholders' input
• University and faculty websites
• Curriculum review minutes and documents
• Accreditation and benchmarking reports

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Appendix B

ASEAN University Network

Appendix B

AUN-QA ASSESSMENT PLANNING (PROGRAMME LEVEL)

AUN-QA Assessment No.:	Date of Assessment:
Name of Programme Assessed:	
Name of University:	
Name of Faculty/School:	
Name of Management Representative/Designation:	Email:
Name of Assessors:	

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Sample for Appendix B (Appendix C)

Criteria		Strengths	Interview Questions	Sources of Evidence	Areas for Improvement
1. Expected Learning Outcomes	1.1 The expected learning outcomes have been clearly formulated and aligned with the vision and mission of the university [1,2]	The established learning outcomes are aligned to the requirements of the National Accreditation Board as well as reference to ABET and prominent university in USA, UK, Australia and Singapore. The expected learning outcomes are revised every 4 years with the latest revision in 2014. These are formulated with the consideration of the regional and national needs and global trend of scientific progress, which are part of the university, faculty and department mission statements.	What educational taxonomy is used in writing the expected learning outcomes?	Programme specification University and faculty websites Curriculum review minutes and documents	
1. Expected Learning Outcomes	1.2 The expected learning outcomes cover both subject specific and generic (i.e. transferable) learning outcomes [3]	The expected learning outcomes are established and integrated for both specific and generic skills and knowledge using matrix of competencies as documented in the new curriculum 2014.	How do the generic learning outcomes meet the needs of the employers?	Programme specification University and faculty websites Curriculum review minutes and documents	

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Criteria		Strengths Observations: (Facts or Requirement approached)	Interview Questions (Clarification/Verification)	Sources of Evidence (Supporting Evidences Audited)	Areas for Improvement (Finding) Strength/Areas for Improvement
1. Expected Learning Outcomes	1.1 The expected learning outcomes have been clearly formulated and aligned with the vision and mission of the university [1,2]	ELOs - clearly formulated in 2014 - not clearly translated into prog spec and pro struc - deploy through web, student and faculty handbooks, prog spec	- What are the key changes of the revised ELOs and the last - When was the revised ELOs implemented - How ELOs have been translated into prog spec? - How do you involve with the last ELOs development?	- ELOs doc - Web support doc - Handbook - Curriculum	ST: - Well development process of ELO AI: - Not clearly translate ELO into prog spec and Prog Struc
1. Expected Learning Outcomes	1.2 The expected learning outcomes cover both subject specific and generic (i.e. transferable) learning outcomes [3]	- SAR talk about balance courses in curriculum rather than in ELOs, therefore all explanation should go for 3.1 - ELOs itself (Appendix 1) in general cover generic and specialized skills and knowledge but is not clear the competences?	- What are the professional or specialized competencies in the revised ELOs?	- As above	AI: - Taxonomy should be used

1. Expected Learning Outcomes	1.3 The expected learning outcomes clearly reflect the requirements of the stakeholders [4]	- Stakeholders defined are
		  - trainers,
		  - managers,
		  - expert and
		  - students
		- Processes to get the requirements are not noted.
		(See C.10 to clarify)
			- How are they important in terms of ELOs?
			- Which part of the ELOs that reflect the requirements of stakeholders? And how do they transfer?
			- How do you get the requirements of each stakeholders
				- Data of stakeholder requirements/ survey/interview
				- Attachment 1.4-01 to 07
					AI:
					- Not clear of the reflection
					- Cannot seen the processes of gathering the stakeholders' requirements

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Do the same for the other Criteria

Relationship of AUN-QA Criteria and Sub-Criteria

AUN-QA Criterion	1	2	3	4	5	6	7	8	9	10	11
1	1.1 1.2 1.3	2.1 2.2	3.1 3.2	4.2 4.3	5.1 5.3	6.4				10.1 10.3	11.5
2	1.1 1.2	2.1 2.2 2.3	3.1 3.2 3.3	4.2	5.1 5.2 5.3	6.4		8.4			11.5
3	1.1 1.2	2.1 2.2 2.3	3.1 3.2 3.3	4.2 4.3	5.1 5.2 5.3	6.4				10.2 10.3	11.5
4	1.1 1.2	2.1 2.2	3.1 3.2	4.1 4.2 4.3		6.4		8.5	9.1 9.2 9.3 9.4	10.3	11.5
5	1.1 1.2	2.1 2.2 2.3	3.1 3.2		5.1 5.2 5.3 5.4 5.5	6.4		8.3 8.4 8.5		10.3	11.5

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