STEP-BY-STEP GUIDE
TO THE ONLINE/REMOTE SITE VISIT
IN THE AUN-QA PROGRAMME ASSESSMENT

(Ver. 3, JAN 2021)

CONTENT

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

2-3 months before

SAR(s), SAR Checklist, Appendix 9a-9m &
Online Exhibits Submission

2 months before

Orientation Meeting
Receiving List of Assessor Team

1 month before

Readiness Test

2 weeks before

Document Submission

Orientation with Zoom Management Team

Final Preparation Meeting

**ASSESSMENT DATES**

1.5 month after

Receiving Final Assessment Report(s)

2 - 3 months after

Receiving Certificate(s)

Pre-Assessment Meetings

There are 4 meetings prior to the Online/Remote Site Visit in the AUN-QA Programme Assessment.

ORIENTATION MEETING
(2 MONTHS BEFORE)

ORIENTATION WITH ZMT
(1-2 WEEKS BEFORE)

ASSESSMENT DATE

READINESS TEST
(1 MONTH BEFORE)

FINAL PREPARATION MEETING
(1 WEEK BEFORE)
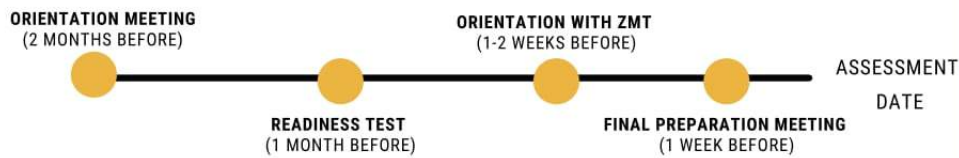
1. Orientation Meeting

- The AUN Secretariat will set up a meeting date with the university to go through the preparation and procedure as well as having a Q&A session.
- Attendees:
  - Head/Staff of QA Unit
  - Representative of each programme (PIC)
  - Zoom Management Team (ZMT)
  - Interpreter
  - Technical Staff
- Meeting Platform: ZOOM (Link will be provided by the AUN Secretariat.)

2. Readiness Test

- Purpose:
  - Test run of the live streaming of facility visit at university and programme levels to test the internet stability
  - Inspect the set up of the interview room for campus-based interview
- Attendees:
  - Head/Staff of QA Unit
  - Representative of each programme (PIC)
  - Zoom Management Team (ZMT)
  - Live streaming crew
  - Cameramen
  - Commentators
- Chief Assessor will attend the meeting together with the AUN Secretariat and decide whether the assessment can be proceeded after the test.

3. Orientation with Zoom Management Team (ZMT)

- Purpose:
  - To review and go through the procedures of Zoom meeting
- Attendees:
  - Zoom Management Team (ZMT)
  - Head/Staff of QA Unit

4. Final Preparation Meeting

- Purpose:
  - To go through the assessment itinerary and to arrange appointment for the assessment day
  - To settle other related matters
- Attendees:
  - Head/Staff of QA Unit
  - Representative of each programme (PIC)
  - Zoom Management Team (ZMT)
  - Interpreter
  - Technical Staff

NOTE:

It is suggested that the university should organize the Orientation Meeting with the interviewees and stakeholders to prepare for the assessment and to inform the following information:

- Brief Information of ASEAN University Network (AUN)
- Brief information about ASEAN University Network-Quality Assurance (AUN-QA)
- Purpose of the AUN-QA Programme Assessment
- Zoom Instruction and Rules & Etiquette
- Non-Disclosure Agreement & Photo and Video Consent Form

*Please refer to the flyer attached in the Annex section for more information.

Documentation

1. Self-Assessment Report (SAR), Appendices & Online Exhibits
Submission Period: 2 - 3 months before the assessment

Specification Requirements for SAR Submission
- SAR(s) should be written in English.
- Abbreviations and terminologies used in the report should be provided.
- 50 – 70 pages (excluding appendices)
- A4 page with 12 font size
- 1.5 line spacing

Appendices and Online Exhibit
- The information should be available in a systematic manner as digital copy.
- It is suggested that references made in SAR(s) should be able to be clicked and linked to the mentioned document.
- Vital Appendices 9a – 9m shall be translated into English, as stated in the SAR Checklist no.9 shown in Table 1.

SAR Checklist
- The checklist(s) should be completed and submitted together with the SAR(s).
- Failure to comply with all requirements stated in the SAR Checklist might result in cancellation/postponement of the assessment.
- Name of the study programme provided in SAR Checklist will be applied in the AUN-QA assessment report and certificate and cannot be changed upon submission.

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

Table. 1 Appendix 9a-9m

SAR Validation
- SAR(s) will be validated by the AUN-QA Assessor Team under consultation with the Chief Assessor to confirm whether to "accept or reject" the SAR(s).
- 2 Weeks after SAR(s) are submitted to the AUN-QA Assessor Team, results of SAR validation will be informed to the university.

2. List of Facility Visit   Submission Period: 1-2 weeks before the Readiness Test

List of Suggested Facility

UNIVERSITY LEVEL	FACULTY/PROGRAMME LEVEL
University Library	Faculty Library
Computer Room/IT Service	Classroom
Academic Service	Study Room
Career Development Center	Laboratory
Student Support Center	
Laboratory/Workshop	

3. List of Interviewee   Submission Period: 2 weeks before the assessment

- The template is provided by the AUN Secretariat.

4. Guidebook   Submission Period: 2 weeks before the assessment

Content that should be included:

- Final assessment itinerary
- Brief information of the university and the assessed programme(s)
- Photos and contact details of:
  - Head and member of QA Unit
  - Dean, Vice Dean(s)
  - Head of Department
  - Person in charge of each study programme
  - SAR Team Member of each study programme
  - Zoom Management Team (ZMT)

5. University Non-Disclosure Agreement   Submission Period: 2 weeks before the assessment

- Head of the QA Unit is to sign on behalf of the interviewees and stakeholders.
- The interviewee should be informed of the condition stated in the agreement.

6. Photo and Video Consent Form   Submission Period: 2 weeks before the assessment

- During the assessment, the AUN-QA Assessors and the AUN Secretariat might take photos for internal purposes including publication.
- Head of the QA Unit is to sign on behalf of the interviewees and stakeholders.
- The interviewee should be informed of the condition stated in the agreement.

7. List of VIP   Submission Period: 2 weeks before the assessment

- List of VIPs who will attend the opening and closing session.

8. Final Assessment Report Submission

- Final Assessment Report, Appendix D(2) and Appendix J, of each assessed programme will be submitted to the university within 1 - 1.5 months after the assessment.

9. Appendix F Assessment Feedback   Submission Period: 2 weeks after receiving final report

- The file will be sent together with the final report.
- Assessed programme(s) is required to complete the form and submit to the AUN Secretariat.
- The final report (printed version) and certificate(s) production will be proceeded after the completion of document submission.

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Assessment Itinerary

1. Sample of Itinerary

DAY 1	
8.00 – 8.30	Opening Session - University Introductory Video Presentation - Welcoming Speech by university representative - Opening Remarks by the AUN-QA representative - Group Photo
8.30 – 8.50	Break
8.50 – 10.20	Meeting with Dean, Vice-Dean, Head of SAR Team, Head of Department & Briefing by Dean
10.20 – 10.50	Break
10.50 – 12.20	Live Streaming of Facility Visit (University Level)
12.20 – 13.30	Lunch
13.30 – 15.00	Academic Staff Interview
15.00 onwards	Assessors' Internal Meeting
DAY 2	
8.30 – 9.30	Support Staff Interview (University Level)
9.30 – 9.45	Break
9.45 – 10.45	Support Staff Interview (Faculty/Programme Level)
10.45 – 11.15	Break
11.15 – 12.15	Student Interview (Year 1,2)
12.15 – 13.15	Lunch
13.15 – 14.15	Student Interview (Year 3,4)
14.15 onwards	Assessors' Internal Meeting

DAY 3	
8.30 – 10.00	Live Streaming of Facility Visit (Faculty/Programme Level)
10.00 – 10.30	Break
10.30 – 12.00	Alumni Interview
12.00 – 13.00	Lunch
13.00 –14.30	Employer Interview
14.30 onwards	Assessors' Internal Meeting

DAY 4	
8.30 – 10.30	Document Review of AUN-QA Assessors
10.30 – 11.00	Break
11.00 –13.00	Clarification with SAR Team
13.00 – 14.00	Lunch
14.00 onwards	Assessors' Internal Meeting

DAY 5	
8.00 - 10.30	Closing Session - Preliminary Findings of the Result Presentation by the AUN-QA Assessor Team - Wrap-up Presentation by the Chief Assessor - Closing Remarks by the AUN-QA representative - Closing Remarks by the university representative - Group Photo

*In case more than one study programmes are under the same faculty, following interview sessions can be shared/joint:

- Meeting with Dean, Vice-Dean, Head of SAR Team, Head of Department & Briefing by Dean
- Academic Staff Interview
- Support Staff Interview (Faculty/Programme Level)

2. Mode of Operation

1) Campus-based
- All interviewees attend the interview sessions from campus.
- If the meeting room is set up as a conference room, an extra camera overseeing the whole room is required.

2) Home-based
- All interviewees attend the interview sessions from their residences.

3) Multiple Locations
- Interviewees attend the interview sessions both from the campus and their residences.

Live Streaming of Facility Visit

1. Requirements

Equipment

- Any devices with camera
- Stabilizer/gimbal
- Headphones/earphones
- Bluetooth microphone (optional)

Operation

1) Management

- Names and sequence of the facilities in the live streaming should correspond to the submitted list of facility visit.

- To reduce traveling time between each facility, at least 3 devices should be prepared and shared among the facilities. If applicable, it is suggested that each facility should have its own devices.

- Commentators and cameramen of each facility are suggested to use different Zoom accounts with headphones/earphones on to avoid internet instability and ensure audio quality.

- Questions might be asked randomly to some facility's users during the live streaming by the AUN-QA Assessor Team. Please ensure the microphone and audio quality.

2) Commentator

- Each facility should prepare a representative to be a commentator.

- It is suggested that the commentator is the person in charge of the facility so that he/she can provide thorough information.

- Commentators should be able to explain, provide information of the facility and be able to answer impromptu questions to the AUN-QA Assessor Team during the live streaming.

3) Cameraman

- The AUN-QA Assessor Team might request the cameraman to point the camera at some certain place. Thus, the cameraman should be able to hear the communication going on in the session.

2. Recorded Video of Facility　Submission Period: 2 weeks before the assessment

- It is required to submit the video of facility visit, both university and faculty/programme levels prior to the assessment.
- The video can be narrated or dubbed with/without subtitles.
- Maximum length of each video is 20 minutes.
- The video should be accessible online.

Interview Session

1. Interview Sessions

- **Meeting with Dean, Vice-Dean, Head of SAR Team, SAR Team, Head of Department & Briefing by Dean**

  - Attendee: Dean, Vice-Dean, Head of SAR Team, SAR Team, Head of Department
  - The session will start with an introductory presentation of the faculty/programme by dean and/or vice-dean

- **Academic Staff Interview**

  - Maximum number: 20
  - Conditions:
    - Holding no administrative or management position
    - Good proportion of young and senior lecturer

- **Support Staff Interview (University and Faculty/Programme Level)**

  - Maximum number: 20
  - Conditions:
    - Do not have teaching duties
    - Holding no academic position (except for laboratory personnel)
  - The session is divided into 2 levels:

1) University Level	2) Faculty/Programme Level
Following personnel are requested to attend:	Following personnel are requested to attend:
o University librarian	o Faculty/Department librarian
o University registrar	o Faculty/Department registrar
o IT support staff	o Laboratory staff (if applicable)
o Student Support Center	o Faculty's IT Staff
o Career Development Center	
o QA Office	

- **Student Interview**

  - Maximum number: 20
  - The number of students should be selected evenly according to the academic year. For example, 5 students from each year of the 4-year programme should be joined which makes the total number of 20 students.
  - The gender of students should be varied with a proper mixture of male and female interviewees.

- **Alumni Interview**

  - Maximum number: 20
  - The alumni should not be graduated over 10 years.
  - Graduation year should be varied including the fresh graduates.

- **Employer Interview**

  - At least 10 interviewees are required with a maximum number of 15 employers.
  - Employers should not be the alumni of the assessed programme/faculty.
  - If the employer is the alumni of the university, please indicate in the list of interviewee (not more than 30% of the total number of employers are acceptable).

2. Rules & Protocols

Interviewees should be informed in advance of the purpose of the interview session.	SAR(s) shall not be given to the interviewees; especially, student and alumni, beforehand. Only the SAR team is allowed.	It is required that the interviewees join the meeting 30 minutes before the session starts.
The meeting room is closed after the session starts for 15 minutes.	Microphone should be muted at all time unless the interviewee would like to speak.	Camera should be turned on throughout the interview session.
It is suggested to be in a quiet environment while having the interview.	Any kind of recording is not allowed during the session.	Virtual background is not allowed during the interview session.

3. Interpreter

Conditions:

- The interpreter must be an independent interpreter or from other faculties or universities.
- The interpreter is encouraged to not participate in student and alumni interview sessions. However, interpreters should be on standby, if needed.
- The AUN-QA Assessor and the AUN Secretariat have a right to request for the new interpreter, if necessary.

Opening and Closing Sessions

1. Opening Session

Attendees

- VIP Guest (to provide opening remarks); President/Rector/Vice Chancellors, Vice President/Vice Rector
- Study Programmes; Dean, Vice Dean, Head of Department, Person in Charge
- MC
- University level ZMT
- AUN-QA Assessor Team
- AUN Secretariat

Sequence

- University Introductory Video
- Welcoming Speech by university representative
- Opening Remarks by the AUN-QA representative
- Group Photo

Rules and Protocols

- Any kind of recording is not allowed.

2. Closing Session

Attendees

- VIP Guest (to provide opening remarks); President/Rector/Vice Chancellors, Vice President/Vice Rector
- Study Programmes; Dean, Vice Dean, Head of Department, Person in Charge
- MC
- University level ZMT
- Any person upon the appropriateness and demand of the university decision based on the effectiveness and efficiency of the assessment at that university
- AUN-QA Assessor Team
- AUN Secretariat

Sequence

- Preliminary Findings of the Result Presentation by the AUN-QA Assessor Team
- Wrap-up Presentation by the Chief Assessor
- Closing Remarks by the AUN-QA representative
- Closing Remarks by the university representative
- Group Photo

Rules and Protocols

- Any kind of recording is not allowed.
- There is no Q&A during the presentation.

📹 Zoom Management Team (ZMT)

ZMT is a team in charge of the Zoom meeting management and operation during the online/remote assessment appointed by the assessed university.

Roles and Responsibilities

- Host and co-host of the meeting
- Manage the interview process using the Zoom account provided by the AUN Secretariat

Equipment

- ZMTs should use a laptop or computer. IPad or other tablet-type devices limited to Zoom functions are not permitted.

General requirements of ZMT are as follows:

- In one assessment, there will be two levels of Zoom Management Team, university level and programme level.
- Each Zoom Management Team consists of at least 2 staff or more.

   For example, if there are 4 four programmes per assessment, this will require 1 university-level Zoom Management Team and 4 programme-level Zoom Management Team (1 team per programme).
- Each team member shall use a separate Zoom account.
- Each team needs to be proficient in English.
- Each team should have adequate knowledge in hosting Zoom Meeting and its functions.
- Each team is required to participate fully and need to be in the Zoom Meeting at all time.

Local Verifier

Local Verifier(s) is appointed based on mutual agreement between the university, the AUN Secretariat, and the AUN-QA Assessor.

Roles and Responsibilities

- Verifying the documents and evidence upon request by the AUN-QA Assessor
- May accompany during the facility visit

Administrative Arrangements

1) Transportation Expenses

- Domestic airfare/ land transportation expenses including air ticket and land transportation expenses (if applicable) will be borne by the host university.
- The domestic airfare and land transportation expenses reimbursement will be settled by cash or transfer during the online/remote site visit assessment between the host university and the local verifier.

2) Accommodation and Logistic Arrangement

- The accommodation and local transportation (between accomodation and the university) of the local verifier(s) will be borne by the host university.
- Please make sure that the accommodation has a proper working environment, sufficient lighting in the room, and stable wifi connection.
- The host university may request the hotel for early check-in and late check-out provided to local assessors where appropriate, depending on the flight itineraries.
- All meals during the assessment of the local verifier shall also be borne by the university.

*Please note that the honorarium of the Local Verifier will be borne by the AUN Secretariat.

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Financial Arrangement

1. Application Fee

- 1,500 USD per assessment
- Settlement by bank transfer within 30 days after receiving the invoice
- Proof of transfer should be submitted to the Secretariat.
- Bank Account
  - Bank: TMB Bank, Thailand (Phayathai Branch)
  - Account Name: AUN-QA Secretariat Administrative Fee
  - Account Number: 001-8-20582-3
  - Swift Code: TMBKTHBK
- Please note that the transfer fee shall be borne by the host university

2. Assessment Fee

- 1,000 USD per programme (for AUN -QA Associate Member only)
- Settlement by bank transfer after the completion of the Readiness Test
- Proof of transfer should be submitted to the Secretariat.
- Bank Account
  - Bank: TMB Bank, Thailand (Phayathai Branch)
  - Account Name: AUN-QA Operations
  - Account Number: 003-8-20009-3
  - Swift Code: TMBKTHBK
- Please note that the transfer fee shall be borne by the host university

3. Honorarium

- Each assessed programme consists of 1 Lead Assessor and 1 Assessor.
- If 2 or more programmes are assessed at the same time, the Chief Assessor will be selected and appointed from one of the Lead Assessors.
- Honorarium rate (endorsed by AUN Board of Trustees in July 2017 and has been in effect since May 2018)
  - Chief Assessor: 1,200 USD
  - Lead Assessor: 1,000 USD
  - Assessor: 700 USD
- Settlement by bank transfer after the completion of the Readiness Test.
- Proof of transfer should be submitted to the Secretariat.
- Bank Account
  - Bank: TMB Bank, Thailand (Phayathai Branch)
  - Account Name: AUN-QA Operations
  - Account Number: 003-8-20009-3
  - Swift Code: TMBKTHBK
- Please note that the transfer fee shall be borne by the host university

Timeline and List of Requested Documents

Timeframe	To submit	To be received
2-3 months before	• SARs • SAR checklist • Appendices • Online Exhibits	Information Package and Annexes
1-2 months before		• Assessment Itinerary • List of Assessor Team
1-2 weeks before <u>Readiness Test</u>	List of Facility (university and faculty/programme level)	
2 weeks before	• List of Interviewees • Guidebook • Recorded Video of Facility (university and faculty/programme level) • University Non-Disclosure Agreement • Interviewee Photo and Video Consent Form • List of VIP	
1-2 months after		• AUN-QA Final Assessment Report • Appendix F: Assessment Feedback
2.5 months after	Appendix F: Assessment Feedback	
within 4 months		AUN-QA Certificate

Annex

- Annex U01_Zoom Instruction
- Annex U02_SAR Checklist
- Annex U03_Zoom Management Team Instruction
- Annex U04_List of Interviewee Template
- Annex U05_Assessment Itinerary
- Annex U06_List of Zoom Management Team
- Annex U07_Interviewee Orientation Flyer
- Annex U08_Non-Disclosure Agreement
- Annex U09_Photo and Video Consent Form
- Annex U10_Zoom Naming Template for the AUN-QA Programme Assessment (JAN 2021)
- Annex U11_Appendix F: Assessment Feedback (post-assessment)
- Pink Book_Guide to AUN-QA Assessment at Programme Level Version 3_2015

Phòng Khảo thí và Đảm bảo Chất lượng Giáo dục

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