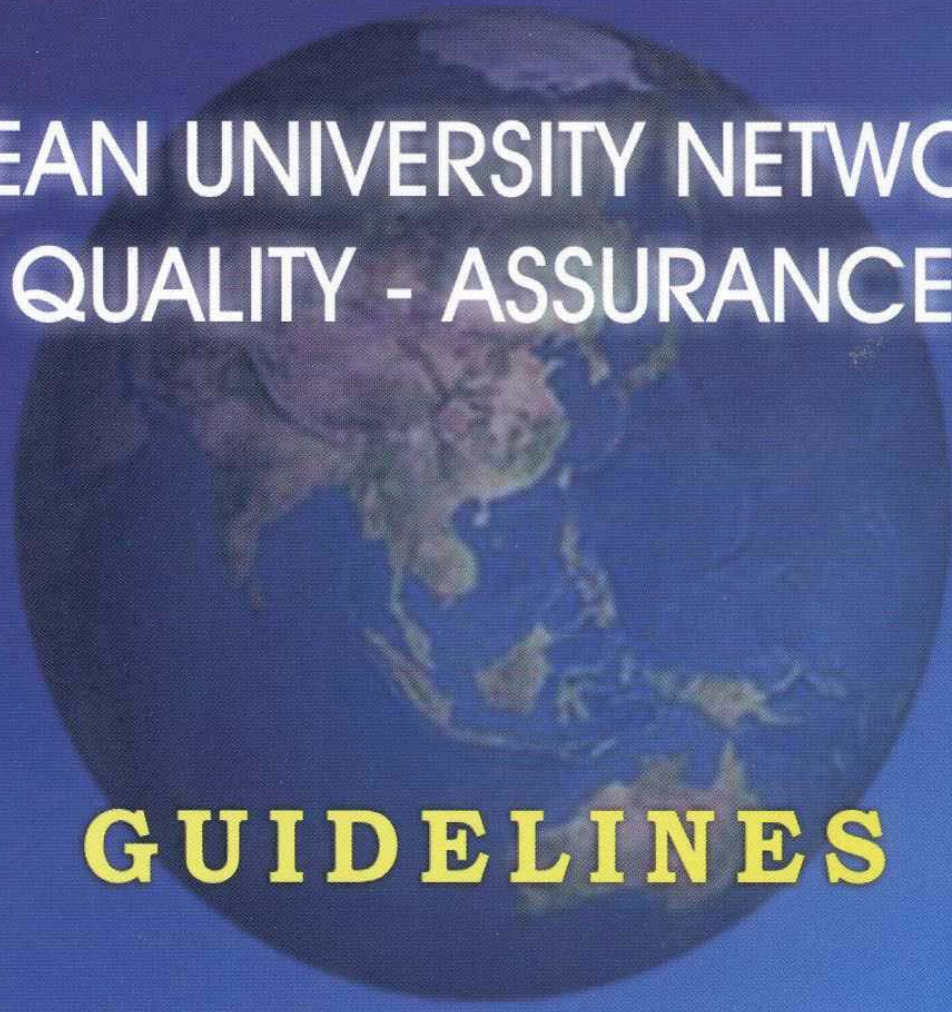




ASEAN UNIVERSITY NETWORK QUALITY - ASSURANCE



GUIDELINES



PREFACE

In this globalised world, higher educational institutions not only have to meet the increasing market demand for people with the ability to work in different cross-cultural settings, but also carry with them the mission of nurturing academic excellence and professional advancement.

ASEAN must strive for quality assurance networking development as a mechanism to reach and maintain a high standard education, not just for one particular country, but for the ASEAN region as a whole.

There have been strong QA movements in ASEAN in recent years in response to the liberalisation of education and the need for standard education. Governments of ASEAN countries have prioritised QA in education as a national agenda. Individual universities set up their own quality criteria, partly in consultation with other institutions at the national and international levels. At the regional level, the ASEAN University Network's initiative for the establishment of binding QA standards among its member universities represents a pioneering move.

The ASEAN University Network's efforts to set up a standard quality assurance system originated from the need to improve quality amid globalisation, realising that the fastest way for us to grow is to start a long QA journey together.

The creation of the ASEAN University Network-Quality Assurance (AUN-QA) was initiated in 1998 by the first Chairman of the AUN Board of Trustees (AUN-BOT), Professor Dr. Vanchai Sirichana, who believes that it will help all higher education institutions in ASEAN attain and maintain their high standard of education. And in the highly competitive, globalised world of education, quality assurance helps bridge the gaps among individual institutions with diverse cultures and resources.

The Board of Trustees marked the year 1999 as the AUN Year of Quality Education and convened an AUN-QA Network (AUNQANET) Task Force comprising administrators responsible for quality development at each member university. The aim is to develop a common standard of quality by sharing experiences and good practices.

The collective will and commitment of all AUN Member Universities were demonstrated in the *Bangkok Accord on AUN-QA*, which has since become the bedrock of ASEAN's future quality improvement. The Accord provides a series of guideline to promote the development of a quality assurance system as instruments for maintaining, improving and enhancing teaching, research and the overall academic standards of AUN member universities.

The Chief Quality Officers (CQOs) appointed by each Member University have met every 6 months at the Workshop on AUN-QA for CQOs starting in April 2001. From the first to the sixth workshops, the project has remarkably progressed with AUN-QA common policy and criteria, guidelines for AUN-QA, benchmarking procedures, AUN-QA good practices, and assessment instruments.

Indeed, the AUN-QA has grown through the years to be a firm foundation for member universities to understand each other's systems. It retains the uniqueness of each

institution while further promoting cost and expertise sharing among members. Moreover, it has been a unique ASEAN forum where more experienced university members never fail to lend a hand to the less experienced ones. With the achievements, the network is now ready to expand its co-operation to share with and learn from its peers since quality assurance is a continuous attempt best accomplished by collective efforts, comparative approaches, and peer-to-peer collaboration.

This AUN-QA Guidelines was jointly written by the CQOs to be used as a manual and reference for the distinct and unique QA movement in the ASEAN region.

On behalf of the AUN Secretariat, I would like to record our deep and sincere appreciation to all Chief Quality Officers for their endeavor and great contribution to the AUN-QA. My special thanks go to Associate Professor Damrong Thawesaengskulthai of Chulalongkorn University who is a coordinator for the AUN-QA workshops and to Associate Professor Tan Kay Chuan of National University of Singapore for assisting in refining the AUN-QA Guidelines.

My deep gratitude also goes to Professor Dr. Vanchai Sirichana, First Chairman of AUN Board of Trustees for the initiative of AUN-QA and to Professor Dr. Supachai Yavaprabhas, Former AUN Executive Director for his determination and strong commitment to the AUN-QA throughout the journey. We are also very grateful to AUN Member Universities for their support and contribution.

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ASEAN University Network – Quality Assurance

A Journey to Uplift the Quality of Higher Education in ASEAN Universities

Globalisation and the Quest for Quality Education

In recent decades, Quality Assurance (QA) movements in higher education have been in evidence in line with intensifying globalisation. The increasingly competitive world market, the emergence of free trade zones, the rise of multinational companies, and the flow of information, have resulted in knowledge based economies which require support from people who are able to work in a radical, ethical, and different environment, and whose qualifications are widely accepted (Woodhouse, 2000). Education then became business with new forms (transnational, on-line, and academic/business collaborative) and with different purposes (tailor-made programmes, short courses, part-time executive classes) massively offered by public and private institutions. In this scenario, higher education institutions have to strive for international standard to ensure that their students receive high quality and relevant education while their qualifications are internationally recognised by national governments, employers, and other institutions (Harman, 2000). QA therefore became a centre of concerns of all higher education institutions.

The quality of higher education is judged mainly by the strength of ethical and pedagogical principles it embodies. It is driven by a number of conflicts and paradoxes: the contradiction between explosion and fragmentation of demand on one hand and the unemployment which affects an ever growing number of graduates on the other; between the provision of equal opportunity and the financial constraints upon the mass extension of higher education; and finally, between ethical and moral obligations and the various incitements of knowledge and discoveries. Faced with such tensions and paradoxes, higher education must develop a new vision, take advantage of its adaptability, flexibility and imaginative resources in order to develop problem-solving and forward-looking capacities equip itself with an ever watchful critical spirit and promote teamwork, without ever jettisoning its role as ethical watchdog. Yet, without collective efforts of higher education alliance, the quality of higher education could not be effectively enhanced while the skills, perceptions and wisdom of the graduates could hardly be competitively developed.

On Collective Move

QA conscious has been rapidly implanted at institutional, national and international levels. Collective movements are active since quality achievement requires comparative approach not only to understand thinking patterns and practices of one's peer but also to create "peer pressure" for self-improvement. Besides, the mechanism would heighten quality of education which could be developed to the level that participating institutions accept one another's system and standard as mutual recognition facilitating intra-grouping academic mobility.

At national level, governments, in realising that traditional academic controls are inadequate to today's challenges and more explicit quality assurances are needed, seek different approaches in applicable to their particular political and cultural

preferences. Some, like Argentina, introduced new mechanisms of management control or reporting requirements. Some developed accreditation systems or new systems of quality assurance as Korea, India, New Zealand, and Malaysia did in regard of private higher education. Many launched successful pilot projects as in the case of Chinese interrelated projects on 3 systems of education evaluation. Others established national QA bodies such as Australia's Quality Assurance Agency (QAA), India's National Assessment and Accreditation Council (NAAC), and Thailand's Office for National Education Standards and Quality Assessment (ONESQA) (El-Khawas, 1998; Harman, 2000; Zhang 2002; Gnanam, 2002; Bureau of Higher Education Standards, 2002).

While governments response to expanding and more diverse higher education sector through their QA initiatives, they search for combined efforts at international level. The Latin America and the Caribbean convention on mutual recognition of studies, diplomas and degrees in higher education, supported by UNESCO, was adopted in 1973. It was followed by similar conventions in 1978 among the Arab States and between Arab and European States bordering on the Mediterranean, in 1981 among the African States, in 1983 among Asia and the Pacific states, and in 1997 among the European states (Yibing, 2002). While the 1983 convention led to the establishment of the Regional Committee to promote the application of convention among state parties, the concept of the 1997 convention or the Lisbon convention was pushed forward through the adoption of Sorbonne Declaration in 1998 and Bologna Declaration in 1999, which gears toward an "European Space for Higher Education" through, among others, the creation of a qualifications framework accepted and recognised across Europe (Edwards, 2002). In line with these, international alliances were institutionalised such as the Global Alliance for Transnational Education (GATE) and the International Network for Quality Assurance Agencies in Higher Education (INQAAHE) to push forward the QA initiatives through knowledge sharing and mutual supports and services.

Regional QA Alliance and the Development of AUN-QA

QA movements in ASEAN have been active in recent years. In response to the liberalisation of education and the needs for standard education, governments of ASEAN countries have prioritized QA in education as national agenda while individual universities in ASEAN set up their own quality criteria, partly in exchange with other institutions on the national and international level. At regional level, the ASEAN University Network (AUN)'s initiative for the establishment of binding QA standards among its member universities represents a pioneering move.

The initiative on ASEAN University Network-Quality Assurance (AUN-QA) Networking was originated by the first Chairman of the AUN Board of Trustees (AUN-BOT), Professor Dr. Vanchai Sirichana in 1998 in view that higher education institutions in ASEAN should strive to develop quality assurance networking as mechanism to reach and maintain high standard education, not just for one particular country but for ASEAN as a whole. Amid competitive environment of globalised world education, quality assurance is also an instrument for mutual recognition to and respect of differences among individual institutions including their diversified cultural and basic resources.

The initiative was welcomed by the fourth AUN-BOT meeting in Myanmar in 1998 and became an important priority of the AUN, particularly in the dimensions of

teaching, learning, and management. In committing to this, the BOT also marked the year 1999 as the AUN year of quality education and convened the AUN-QA Network (AUNQANET) Task Force comprising administrators responsible for quality development in each member university with the aim to develop a common standard of quality by sharing experience and good practices.

The AUNQANET Task Force Meeting was held in November 2000, back-to-back with the 9th AUN-BOT Meeting in Bangkok, Thailand, under the name "Workshop on AUN-QA Alliance". In this particular Meeting, collective wills and commitments of all AUN member Universities had been demonstrated in **the Bangkok Accord on AUN-QA** to chart ASEAN's future of quality improvement within the network. The Accord provides a guideline to promote the development of a quality assurance system as an instrument for maintaining, improving and enhancing teaching, research and the overall academic standards of AUN member universities.

Also at the very first meeting, the AUN Members agreed on "think big, start small" principle by aiming to become the first ASEAN group to be consultants and external assessors on quality assurance to member universities and institutions in the region but starting first with a pilot project on voluntary cross assessment. To push forward the initiative, Chulalongkorn University was requested to be the AUN-QA focal point co-ordinating with a Chief Quality Officer (CQO), who was appointed by each AUN Member University to identify, plan and encourage the implementation of good practices for quality assurance in higher education, as well as to co-ordinate for further mutual collaboration and information exchange in order to achieve the aforesaid goals.

Another big leap forward for AUN-QA was the First Workshop on AUN-QA for CQOs, hosted by the Universiti Malaya in Malaysia in April 2001. The CQOs had actively taken part in the drafting of **AUN-QA Common Policies and Criteria**, as well as formulating the long-term strategic plan for AUN-QA. The AUN-QA Common Policies and Criteria agreed upon by the CQOs were later endorsed and adopted by member universities.

In October 2001, the Second Workshop on AUN-QA for CQOs, hosted by Chulalongkorn University, Burapha University and the Ministry of University Affairs of Thailand was held in Bangkok and Chonburi. The Workshop concentrated on QA status, movement, documentation, electronic manual and system implementation for AUN-QA activities, all of which effectively contributed to the development of AUN-QA benchmarking procedures.

Later in March 2002, the Third Workshop on AUN-QA for CQOs entitled "QA Practices: Teaching Best, Learning Best" with the focus on the sharing of good practices in teaching and learning, was held in Yangon, Myanmar. The Workshop turned out to be highly successful as member universities actively shared their experiences and expertise in teaching and learning. To accelerate AUN-QA development in accordance with ASEAN's *Prosper Thy Neighbor* approach, member universities also offered training programmes in various aspects to enhance QA to fellow members during the Workshop.

In the Fourth Workshop on AUN-QA for CQOs hosted by Universitas Indonesia and Gadjah Mada University in Jakarta and Yogyakarta, Indonesia in October 2002, the CQOs continued to discuss AUN-QA good practices on research, services, ethics, and human resource development through sharing experiences among member universities. In addition, the Workshop agreed to compile and publish AUN-QA

Guidelines as a manual for member universities in pursuing QA standard mutually recognised by the Network.

As a continuous effort, the Fifth Workshop on AUN-QA for CQOs was held in March 2003 by Universiti Brunei Darussalam in Bandar Seri Begawan, Brunei Darussalam. The Workshop further discussed draft AUN-QA Guidelines and AUN-QA assessment through experiences shared among member universities and lesson learnt from an external expert from the National Assessment and Accreditation Council (NAAC), India. Besides, the CQOs identified and agreed on the AUN-QA assessment instruments, which would be used as indicators for practical assessment.

The Sixth Workshop on AUN-QA for CQOs was held in Singapore in February 2004 to test the AUN-QA Assessment Indicators through case studies at National University of Singapore and Nanyang Technological University. In reviewing a compilation of the AUN-QA Assessment Exercises, it was consequently agreed that the Assessment Indicator Forms be needed some adjustments to be more practical and more integrated into the internal processes of individual AUN Member Universities.

After the Sixth Workshop, the Assessment Indicator Forms were revised based on further comments by the CQOs. In a refining process, the draft AUN-QA Guidelines, incorporating the revised Assessment Indicator Forms, were later sent to all CQOs, Presidents, Rectors, and Vice-Chancellors of AUN Member Universities for their comments before finalising the draft AUN-QA Guidelines.

The AUN-QA Guidelines was then endorsed at the Sixteenth Meeting of the AUN Board of Trustees on 29-30 November 2004 in Siem Reap, Cambodia.

Towards ASEAN Higher Education Harmonisation

The AUN-QA has illustrated the great potentials of international collaboration in quality assurance for higher educational institutions in ASEAN. It has been developed from the stage of “ No Effort” to “ Informal Effort” to “ Organised Effort” and will soon reach the “ Mature Effort” stage. The Bangkok Accord on AUN-QA formally launched a joint effort among member universities to pursue quality in higher education as a group. The AUN-QA Common Policy and Criteria set the targets and frame the mission for CQOs by accommodating differences with principle of a tailor-made system and key component inclusiveness. With the mission framed, the CQOs have then stepped forward to benchmarking procedures, good practices, and assessment instruments, which will be tried as a case study for practical assessments.

Indeed, the AUN-QA has grown through the years to be firmer in foundation with increasing understanding of one another’ s systems. It retains the uniqueness of each institution while further promoting cost and expertise sharing among members. Moreover, it has been a unique ASEAN forum where more experienced university members never fail to lend a hand to the less experienced ones. Through the AUN-QA mechanisms, academic borders among member universities are diminished by harmonisation of higher education systems and standards. Through AUN-QA, the mobility of faculty members and students would be greatly encouraged, facilitating collaborative researches as well as credit transfer among AUN members and ultimately across the region.

The Bangkok Accord on AUN-QA

At the Ninth AUN-BOT Meeting held on 12-13 November 2000 at Chulalongkorn University, Bangkok, Thailand, the Meeting hereby endorsed the Bangkok Accord on AUN-QA, which aims to promote the development of a quality assurance system as an instrument for maintaining, improving and enhancing teaching, research and the overall institutional academic standards of higher educational institutions of Member Universities. The Meeting recognized and respected the differences among Member Universities in their institutions and environment, including cultural as well as basic resources. In the spirit of collaboration, the Meeting agreed to develop standards and mechanisms for quality assurance in higher education, which could consequently lead to mutual recognition by Member Universities. In order to achieve this aim, AUN Board Members, who represent all AUN Member Universities in their countries, agreed:

1. that a Chief Quality Officer (CQO) will be appointed by each Member University to coordinate the implementation to achieve this aim. The CQOs from Member Universities are to convene regularly at organised workshops. The first workshop shall result in the establishment of common criteria for quality assurance in higher education as well as the benchmarking procedures through internal and external examiners.
2. that the common quality criteria and the benchmarking procedures, derived from the first workshop, (A. teaching and learning B. research C. community services D. media of instruction E. learning facilities F. staff/student ratio, etc.) are acceptable to all Member Universities.
3. that they would identify and encourage the implementation of good practices for quality assurance in higher education.
4. that they would continue mutual collaboration and information exchange through regular communication channels and sharing of information.
5. that the individual members may invite and facilitate auditing, assessment and review by other Member Universities as well as by external bodies.
6. that they shall be responsible for the implementation of this Accord by Member Universities. Any differences or disputes arising from the implementation of this Accord shall be settled by mutual consultation among Member Universities.
7. that they shall seek further and deeper engagement regarding quality assurance in higher education with ASEAN Dialogue Partners.

The Kuala Lumpur AUN-QA Policies

1. AUN member universities shall continuously strive to improve the implementation of their Quality Assurance Systems.
2. AUN member universities shall institute a Quality Assurance exchange and training programme, of which the framework and implementation be collectively agreed upon by the respective CQOs of member universities.
3. The CQOs of member universities shall formulate a plan by which the Quality Assurance System of member universities could be enhanced and commonly recognised by AUN.
4. AUN member universities shall welcome cross-external audits using commonly agreed upon auditing instruments to facilitate global recognition and benchmarking of member universities.
5. The quality criteria of the core activities of AUN member universities (teaching/ learning, research and services) shall be the foundation of any auditing instrument formulated by the AUN.

The Kuala Lumpur AUN-QA Criteria

Criteria 1 on QA Systems

Level 1: Existence of documentation and continuously evaluated QA systems.

Level 2: The QA systems are subjected to external audit.

Criteria 2 on Teaching/Learning

No. 1: Course Curriculum

Level 1: AUN member universities' course curricula shall undergo periodic review.

Level 2: AUN member universities shall periodically review their course curricula every 3-5 years.

No. 2: Academic Staff

Level 1: AUN member universities' tenured and tenure-track academic staff should have a minimum of a master or equivalent degree.

Level 2: AUN member universities shall have tenured and tenure-track academic staff of a higher qualification than a master degree.

No. 3: Student Assessment

Level 1: AUN member universities shall have a clear set of student assessment criteria.

Level 2: AUN member universities shall accept and provide credit exemption/transfer between/among member universities.

No. 4: Learning Process

Level 1: AUN member universities shall be able to show effectiveness of delivery of the learning process.

Level 2: AUN member universities' academic staff-student ratio should be lower than 1:30.

No. 5: Environmental Health and Safety Standards

Level 1: AUN member universities' infrastructure shall be able to meet environmental health and safety standards.

Level 2: AUN member universities shall be able to provide a conducive learning environment and ambience.

No. 6: Learning Resources

Level 1: AUN member universities shall be able to provide adequate learning/instructional resources.

Level 2: AUN member universities shall develop digital libraries and allow access to member universities.

Criteria 3 on Research

No. 1: Funding and Facilities

Level 1: AUN member universities shall provide funds and facilities for research.

Level 2: AUN member universities' research allocation shall be no less than 2-5% of annual budget of their academic units.

No. 2: Research Output

Level 1: AUN member universities shall show evidence of research activities by research outputs including publications, intellectual property rights, and commercialisation.

Level 2: AUN member universities' annual research output to tenured academic staff index in refereed journals of 1:5.

Criteria 4 on Services

Level 1: AUN member universities shall provide or institute programmes that could benefit the country's own community.

Level 2: AUN member universities shall provide or institute programmes that could benefit the regional/international community.

Criteria 5 on Ethics

Level 1: AUN member universities shall have in place a code of ethics.

Level 2: AUN member universities shall develop a common regional code of ethics.

Criteria 6 on HRD

Level 1: AUN member universities shall develop a systematic HRD programme.

Level 2: AUN member universities shall support and facilitate HRD whenever possible.

Criteria 1: QA Systems

1.1 QA Status

- All AUN Member Universities need to be aware of the significance of quality assurance.
- It is recognized that there are differences in QA systems and criteria adopted by the AUN Member Universities. However, the majority of their criteria should be in line with those of the common criteria adopted at the 1st Workshop on AUN-QA in Kuala Lumpur, Malaysia.
- The majority of AUN Member Universities are at different stages of QA progressiveness, namely Acknowledgement and Preparation, Development, Implementation, and Internal and External assessment. Some universities may be at a more advanced stage of quality assurance dependent largely on the university' s characteristics and uniqueness.
- AUN Member Universities which have implemented QA systems have not done it as an all-encompassing activity. Rather, only selected units within the university may be earmarked for QA implementation. In other words, universities approach this QA initiative as and when they are able to on a unit by unit basis.
- It is recognized that all AUN Member Universities fully support the policies developed during the 1st Workshop on AUN-QA in Kuala Lumpur, Malaysia.

1.2 QA Movement

- Human Resources
 - Lack of motivation/incentive
 - Need for several training programmes on QA procedures
 - Inadequate understanding by the university of QA issues
 - Need for a new mindset among people involved that QA is everyone' s responsibility, not just the university administrators'
- Procedures
 - Consideration of both quantitative and qualitative aspects of academic QA
 - Some QA measures may be more quantifiable than others
- Budgeting
 - Need for university budget to initiate QA activities
 - In some countries/universities, the government provides a budget for QA activities
- Motivation
 - Setting up QA awards
 - Encouragement of strong ties and love towards one' s own institution
- Time

- Writing of a QA manual for internal and external assessment is time consuming

1.3 QA Documentation/Electronic Manual

- Type of QA manual
 - Different types of QA documentation are presented (country to country and university to university)
 - There is the need for more learning among member universities
 - AUN Member Universities agree to share the existing lists of QA documents via electronic medias such as web pages
 - Examples of hard-copy QA documentation include manuals, reports, instruction procedures, checklists, rules and regulations, etc
- Target of achievement for QA manual (time to completion)
 - This has not been specifically defined
 - Some universities aim to accomplish the target for a QA manual by 2003. Other universities' target the production of a manual later
- Contents of QA manual
 - The 6 items of AUN-QA Common Criteria are referred
 - AUN Member Universities look forward to indicators for each criterion for benchmarking purposes

1.4 QA System Implementation

- Situations of various AUN Member Universities are quite different. However, we can define various common QA procedures.
- Each university can form its own criteria, performance indicators and QA system implementation. But perhaps we have many common things.
- We will follow the AUN-QA criteria.
- How to implement QA system
 - Formation of organizations for different levels
 - Encourage staff, propaganda about QA
 - Formation, creation of criteria indicators
 - Carry out internal audit: → correction → improvement → internal audit → internal assessment → external assessment
- Review of QA system implementation

Although some universities concentrate on learning, teaching and research areas, we could extend the procedures to all other remaining areas (services, ethics, etc) by understanding factors that contribute to good and bad practices under different constraints and limitation of different countries in order to realize improvement. In doing so, countries can help each other when going through their own processes.

1.5 Internal and External Assessment and Improvement

- Some universities have internal and external assessments; some have only external assessment.
- Some assess at both the undergraduate and post-graduate levels; some only assess at the undergraduate level.

- Some assess both the academic side and administration; some assess only the academic side.
- How internal assessment is conducted at different universities:
 - every unit is encouraged to assess themselves
 - certain persons are identified to be responsible in each unit
 - committees may be set up to take charge
 - people volunteer to be auditors
 - volunteered auditors are given training
 - each unit identifies what it wants the auditors to assess them to
 - Some universities have their own auditors; some have people in other schools to cross-audit them
 - Some units request outside, peer, or auditors (in the same discipline) , e.g., from US, UK, etc
- How external assessment is conducted at different universities:
 - Some universities assess according to criteria of their Ministries or Departments of Higher Learning
 - Some use auditors from another university
 - Some schools such as medical or engineering have professional bodies that assess them
 - Some have assessment in the form of participating in a Newsweek survey
- How the QA systems is improved:
 - The report is submitted annually or every 6 months
 - It is read, commented
 - The evaluation is returned, to be improved
 - The evaluation body (the Ministry which has control of the university) gives instructions for universities to take necessary actions

Criteria 2: Teaching and Learning

The overall Guidelines for Teaching and Learning identify a series of system-wide expectations covering all matters relating to the management of teaching and learning quality and standards in higher education. In so doing, it will provide an authoritative reference point for universities as they assure, consciously, actively and systematically, the academic quality and standards of their education programs. In preparing the Guidelines it is assumed that, taking into account regionally agreed-on principles and practices among Member Universities of Asian University Network, each Member University has its own system(s) for independent verification of their quality standards and own measure of the effectiveness of their quality assurance system(s). In developing the Guidelines, extensive guidance is sought from a wide range of knowledgeable practitioners.

Each section of the Guidelines is structured into a series of precepts (quality criteria). An accompanying outline guides and assist Member Universities in maintaining and enhancing the quality of teaching and learning for students and other stakeholders. This Guidelines is not meant to be either prescriptive or exhaustive. Its purpose is to offer a framework for maintaining and enhancing the quality of teaching and learning which each Member University can use, elaborate and adapt according to their own needs, traditions, cultures and decision making processes.

Concepts and Principles

This Guidelines relates to the maintenance and enhancement of the quality of teaching and learning at AUN Member Universities. It is based on the Kuala Lumpur AUN-QA Criteria on Teaching and Learning which consist of:

1. Course curriculum
2. Academic staff
3. Student assessment
4. Learning process
5. Environment health and safety standards
6. Learning resources

Given the diversity of the system and the absence of an acceptable, single definition of quality, it is up to each university to define quality in its own way – to set objectives for their programs according to their independent missions and the nature of the outcomes they seek that are compatible with the purpose and goals of their national system.

The essence of higher education is transforming students, empowering and enhancing them by developing their higher order intellectual capacities. This allows them to become autonomous, critical, reflective, communicative, articulate and able to critique their own experiences and themselves. This requires a vision of a teacher as facilitator and the student as active and committed participant in the learning process. Consequently, the learning process shifts from being dominated by a transmission-of-information model to one which attempts to facilitate meaningful learning, foster deep approach to learning and develop transferable skills.

The Guidelines do not attempt to change the existing fundamental values and ethos of higher education. It is realized that the aims of higher education are achieved by the students.

It is assumed that this Guidelines will be applied in conjunction with other Guidelines, i.e. Guidelines for Research and Services, Guidelines for Ethics, and Guidelines for HRD.

No. 1 Course Curriculum

Course curriculum should be developed to promote learning, learning how to learn and to instill in students a commitment of lifelong learning (e.g., a commitment to critical inquiry, development of study and information-processing skills, a willingness to experiment with new ideas and practices).

The curriculum should be developed as a group to ensure the representation from the faculty Quality Committee, the faculty Teaching and Learning Committee, the program team, students and stakeholders from industry, government and professional organizations.

The Course Curriculum should be designed so that it will cover the following:

- 1.1. The curriculum should take into account or reflect the vision, mission, aims and objectives of the institution. The vision, mission, aims and objectives are explicit and are known to staff and students.
- 1.2. The curriculum should be relevant with the demands and needs of stakeholders.
- 1.3. The curriculum should show a balance between specialist contents, general knowledge and skills. The curriculum is designed in such a way that it will be interesting to students, so that it will attract many applicants.
- 1.4. The curriculum should be designed so that the subject matter is integrated and strengthens other courses in the curriculum.
- 1.5. The curriculum should show the competences of the graduate. Each course should clearly be designed to show the outcomes of the course competencies. To obtain this, a curriculum map should be constructed.
- 1.6. The curriculum should be structured to show range, depth, coherence and organization of the courses.
- 1.7. The curriculum structure should show clearly the basic courses, the intermediate courses, the specialist courses and the final thesis or dissertation.
- 1.8. The curriculum should be periodically reviewed and evaluated as to its effectiveness. Adjustments should be made after reasonable time periods.
- 1.9. The curriculum should offer to graduates the ability to do advanced studies, to develop their own personality, to have an academic attitude and to be competent in their field of study. The graduates should also have transferable

skills, leadership skills, and should be oriented to the job market and be able to develop their careers.

- 1.10. Universities are recommended to publish, for each program they offer, a *program specification* which identifies potential stopping off points and gives the intended outcomes of the programs in terms of:
 - a. The knowledge and understanding that the students will have upon completion
 - b. Key skills: communication, numeracy, the use of information technology and learning how to learn
 - c. Cognitive skills, such as an understanding of methodologies or ability in critical analysis
 - d. Subject specific skills, such as laboratory skills, clinical skills, etc.
- 1.11. Program specification is a concise description of the intended outcomes of learning from a higher education program, and the means by which these outcomes can be achieved and demonstrated.
- 1.12. Program specification should make explicit the intended outcomes in terms of knowledge, understanding, skills and other attributes. They should help students to understand the teaching and learning method that enables the outcome to be achieved; the assessment method that enable achievement to be demonstrated; and the relationship of the program and its study elements to the qualification frameworks in each member country and to any subsequent professional qualification or career path.
- 1.13. Program specification should be used:
 - a. As a source of information for students and potential students seeking an understanding of a program.
 - b. As a source of information for employers, particularly about the skills and other transferable intellectual abilities developed by the program.
 - c. By professional and statutory regulatory bodies, who accredit higher education programs that can lead to entry to a profession or other regulated occupations. Program specifications should identify those aspects of the program that are designed to meet the requirements of the relevant bodies.
 - d. By institutional and teaching teams, to promote discussion and reflection on new and existing programs, and to ensure that there is common understanding about the aims and intended learning outcomes for the programs. Program specifications should enable institutions to satisfy themselves that the designers of the programs are clear about their intended outcomes, and that these outcomes can be achieved and demonstrated. Program specifications can serve as a reference point for internal review and monitoring of the performance of a program.
 - e. As a source of information for academic reviewers and external examiners who need to understand the aim and intended outcomes of a program.
 - f. As a basis for gaining feedback from students or recent graduates on the extent to which they perceived that the opportunities for learning were successful in promoting the intended outcomes.

1.14. The following information should normally be included in the program specification:

- a. Awarding body/institution
- b. Teaching institution (if different)
- c. Details of the accreditation by a professional or statutory body
- d. Name of the final award
- e. Program title
- f. Aims of the program
- g. Relevant subject benchmark statements and other external and internal referent points used to inform of program outcomes
- h. Program outcomes such as knowledge and understanding, skills and other attributes
- i. Teaching, learning and assessment strategies to enable outcomes to be achieved and demonstrated
- j. Programs structures and requirements, levels, modules, credits
- k. Date at which the program specification was written or revised.

In addition, institutions might wish to include:

- a. Criteria for admission to the program
- b. Information about assessment regulations
- c. Indicators of quality
- d. Particular support for learning
- e. Methods for evaluating and improving the quality and standards of learning

1.15. Universities are encouraged to have a built-in regular curriculum evaluation and course appraisal, involving all stakeholders (decision makers, employers, students, alumni, etc).

NO. 2 Academic Staff

Staff establishment:

- 2.1 The teaching staff establishment is sufficient to deliver the curriculum and suitable in terms of the mix of qualifications, experience, aptitudes, age, etc.
- 2.2 There is adequate support in term of staffing at the libraries, laboratories, administration and student services.

Staff management:

- 2.3 Recruitment and promotion of academic staff are based on merit system which includes teaching, research and services.
- 2.4 Roles and relationship of staff members are well defined and understood.
- 2.5 Duties allocated are appropriate to qualifications, experience, and aptitude.
- 2.6 Time management and incentive system are directed to support quality of teaching and learning.
- 2.7 Staff development needs are systematically identified, in relation to individual aspirations, the curriculum and institutional requirements.
- 2.8 Academic and supporting staff should undertake appropriate staff development programs related to identified needs.

- 2.9 All staff are accountable to the Owner of the University (e.g. the Government, Board of Trustees, or the Foundation) through the Rector and to the stakeholders, taking into account their academic freedom.
- 2.10 There are provisions for review, consultation, and redeployment.
- 2.11 Termination, retirement and social benefits are planned and well implemented.
- 2.12 There should be a well-planned staff appraisal based on fair and objective measures in the spirit of enhancement which are carried out regularly

Staff in Action

- 2.13 Competent university teachers are able to:
 - a. design and deliver a coherent teaching and learning program
 - b. apply a range of teaching and learning methods and select methods most appropriate to desired learning outcomes
 - c. develop and use a variety of instructional media
 - d. employ a range of techniques to assess students' work and match these to intended learning outcomes
 - e. monitor and evaluate their own teaching performance and evaluate programs they deliver
 - f. reflect upon their own teaching practices
 - g. identify needs and develop plans for continual development.
- 2.14 Staff are encouraged to employ action learning. Action learning is a continuous process of learning and reflection, supported by peers, with the intention of achieving quality student learning. Through action learning, university teachers learn with and from each other by working on real problems and reflecting on their own experiences. A program of facilitated action learning is aimed at the improvement of student learning and the environment in which it occurs.

NO. 3 Student Assessment

- 3.1 In line with principle of adult learning, adults prefer to be assessed by criterion-referenced methods and by a combination of peer, self- and teacher assessment.
- 3.2 In fostering open, flexible, reflective and outcome-based assessment, the teachers should provide a variety of assessments of students' learning, through self-, peer and teacher assessment where the criteria are made explicit following negotiation with the course members. The assessment strategies adopted should be congruent with clearly defined learning outcomes.
- 3.3 Assessment arrangements correspond to all the aims and aspects of the curriculum as taught.
- 3.4 A range of assessment methods is used in a planned manner to serve diagnostic, formative, and summative purposes.
- 3.5 The scope and weighting of assessment schemes are clear and known to all concerned.
- 3.6 Standards applied in assessment schemes are explicit and consistent across the curriculum.
- 3.7 Procedures are regularly applied to ensure that, as far as possible, assessment schemes are valid, reliable and fairly administered.
- 3.8 Student progress is systematically recorded and monitored, fed back to students and corrective actions are made where necessary.

- 3.9 Students have ready access to reasonable appeal procedures.
- 3.10 The reliability and validity of assessment methods should be documented and regularly evaluated and new assessment methods are developed and tested.

Assessment covers:

- a. New student entrance by means of input competency
- b. Student's study progress by means of matrix/map/portfolio of the competency and outcome-based curriculum
- c. Final/ Exit test of the graduates by means of Graduate Competency Check-List or comprehensive and integrated assessment

No. 4 Learning Process

- 4.1 Quality learning is understood as involving the active construction of meaning by the student, and not just something that is imparted by the teacher. It is a deep approach of learning that seeks to make meaning and achieve understanding. Hence, the conception of teaching is the facilitation of learning.
- 4.2 It is the students who achieve the aims of higher education. Quality learning is largely dependent on the approach that the learner takes when learning. This in turn is dependent on the concepts that the learner holds of learning, what he or she knows about his or her own learning, and the strategies she or he chooses to use.
- 4.3 Quality learning embraces the principles of adult learning. Adults learn best in a relaxed, supportive, cooperative and informal learning environment. Deep learning is likely to take place in environments which foster collaborative learning.
- 4.4 In line with the overarching purpose of higher education to foster higher order intellectual capacities in students, the following are the characteristics of quality learning:
 - a. Being *able to discover knowledge for oneself*. The learner has research skills and the ability to analyze and synthesize the material she or he gathers. The learner understands different learning strategies and can choose the most appropriate for the task at hand.
 - b. *Long-term retention of the knowledge*. An approach to learning emphasizing understanding rather than memorization results in greater retention.
 - c. Being *able to perceive relations between old knowledge and new*. Quality learning is always trying to put the information from various resources together.
 - d. Being *able to create new understanding*. The quality learner discovers what others have learned and documented, perceiving the relations between that knowledge and one's own experiences and previous learning to develop new insights.
 - e. Being *able to apply one's knowledge to solving problems*.
 - f. Being *able to communicate one's knowledge to others*. The quality learner forms and substantiates independent thought and action in a coherent and articulate fashion.
 - g. One's *eagerness to know more*. Quality learners become lifelong learners.

- 4.5 Conditions necessary for quality learning.
- a. *Quality* learning occurs when the learner is ready – cognitively and emotionally – to meet the demands of the learning task
 - b. *Quality* learning occurs when the learner has a reason for learning
 - c. *Quality* learning occurs when the learner explicitly relates previous knowledge to new
 - d. *Quality* learning occurs when the learner is active during the learning process
 - e. *Quality* learning occurs when the learning environment offers adequate support for the learner
- 4.6 In enhancing student qualities necessary to the achievement of quality learning, the teachers should:
- a. encourage learners to be self-reliant and to develop independent modes of learning
 - b. develop students’ personal qualities
 - c. enable the most socially useful type of learning to occur – that is, learning how to learn, where lifelong learning is the goal.
- 4.7 In using student experience as a learning resource, teachers should:
- a. consciously use students’ experiences as a valuable learning resource
 - b. establish learning contexts where learners feel that objectives match their own purposes and level of prior achievements and accomplishments
 - c. ensure that learning tasks and activities are relevant to learners’ personal and professional development.
- 4.8 In encouraging active and cooperative learning, teachers should:
- a. strive to provide a supportive and cooperative learning environment
 - b. make sure that learners are active during learning sessions, that they reflect upon their experience and relate this experience to theoretical models and explanations.
- 4.9 In promoting responsibility in learning, teachers should:
- a. create a teaching-learning environment that enables individuals to participate responsibly in the learning process
 - b. provide curricula that are flexible and enable learners to make meaningful choices in terms of subject content, program routes, approaches to assessment and modes and duration of study (see Section 2).
- 4.10 In engaging with feelings and values as well as intellectual development, teachers should provide learning opportunities and encounters which involve the whole person, feelings as well as intellect.

No. 5 Environmental Health and Safety Standards

- 5.1 In establishing a learning environment to support the achievement of quality student learning, teachers should do all in their power to provide not only a physical and material environment which is supportive of learning and which is appropriate for the activities involved, but also a social or psychological one.
- 5.2 Environmental Health and Safety Standards should meet the local requirements in all aspects.

No. 6 Learning Resources

- 6.1 The physical resources to deliver the curriculum, including equipment, materials and information technology should be sufficient
- 6.2 Equipment should be up-to-date, readily available and effectively deployed
- 6.3 The main learning resources consists of books, brochure, magazines, journals, poster, information sheet, internet and intranet, CD-ROM, maps, aerial photographs, satellite imagery and others
- 6.4 Learning resources should be selected, filtered, and synchronized with the objectives of the study
- 6.5 A digital library should be set up in keeping with progress in information and communication technology
- 6.6 The library management should acquire electronic versions of research and reference materials in the form of full-text databases in CD-ROM
- 6.7 Information technology systems should be set up or upgraded
- 6.8 University computer centres should continuously provide a highly accessible computer and network infrastructure that enables the campus community to fully exploit information technology for teaching, research and development, services and administration.

Evaluation Teaching and Learning

A prime condition for constantly improving teaching and learning is a planned and regular process of evaluation. In this regard, teachers should foster a climate which values student involvement in the evaluation of teaching and the assessment of learning outcomes.

Criteria 3 and 4: Research and Services

There are many definitions of research. These include the systematic search for new knowledge or for new understandings of what is already known, systematic search for new uses for what is already known or understood, systematic search for new techniques for application in the use of any knowledge or understanding, and a study of some matter with the objective of conforming or obtaining knowledge. In this guideline, research is defined as a disciplined inquiry, including research development, testing, and evaluation, for the advancement of knowledge, with or without a specific application in view.

Research must be distinguished from a wide range of related activities. Not all data gathering or experimentation is necessarily research. For example, education and training are not research although research by postgraduate students carried out at the universities could be included as research activities. Also, scientific and technical information services are not research unless they exclusively form part of the direct support for a research project. The difference is on the primary goal. Any activity classified as research is characterized by originality and it should have inquiry as a primary objective. Further, it should have the potential to produce results that will contribute to the extension of knowledge.

These systematic inquiries include pure basic research, strategic basic research, applied research, and experimental development. Pure research is defined as experimental and theoretical work undertaken to acquire new knowledge without looking for long-term benefits other than the advancement of knowledge. On the other hand, applied research is defined as original work undertaken primarily to acquire new knowledge with specific application in view. Experimental development is defined as a systematic work, drawing on existing knowledge gained from research and/or practical experience, that is directed to producing new materials, products and devices; to installing new processes, systems and services; or to improving substantially those already produced or installed which will lead to an extension of knowledge.

Researchers come from many disciplines, embrace several competing theoretical framework, and use a variety of research methodologies. It is a basic assumption of institutions conducting research that their researchers are committed to high standards of professional conduct. Researchers have a duty to ensure that their work enhances the good name of their institutions and the profession to which they belong. All universities should be committed to the use and perpetuation of high international standard in research to fulfil its responsibility as stated in its vision and mission.

The university should also provide framework for development of a research culture for quantitative and qualitative improvement in research performance and output as well as for responsible research practice and conduct. The broad principles that guide research have been long established. Central to these are the maintenance of high ethical standards, and validity and reliability in the collection and reporting of data. The responsibility of the research community to the public and to itself is acknowledged. It is of paramount importance that researchers respect the rights, privacy, dignity, and sensitivities of their research populations and also the integrity of the institutions within which the research occurs.

Governance and Organization

The university should establish, implement, and ensure uniform compliance with university-wide research policies to maintain the integrity of the university, protect the safety and welfare of employees and experimental subjects and ensure compliance with all other regulations governing the research process. The organization of research and development activities is usually based on the research governance comprising at least the following entities:

The University Research Council

The University research council oversees the university research policy. The main function of the council is:

- (i) to set out the direction of research policy
- (ii) to review policy in the management of research
- (iii) to monitor progress of research
- (iv) to promote research in strategic and critical fields
- (v) to develop strategy for expansion of research activities

The University Research Management Unit

The University Research Management Unit promotes, monitors, and assesses research and development activities in the university. It also provides support for commercialization of research products as well as consultancy.

The University Research Fund

The University Research Fund provides financial support for quality research. The fund manages internal and external funding, endowment, revenue generated from investment and commercialization of research products.

Guiding Principle

Universities should design policies and guidelines as guiding principle to conduct research and development activities. The policies and guideline set out the obligations on all researchers to be aware of good conduct in research and comply with institutional and regulatory requirements. The university should support scholarly, research and creative activities, which contribute to the mission of the university and ultimately provide intellectual, social and economic benefits to society. The university should be committed to the highest professional standards of scholarly research and research ethics. It is the responsibility of researchers to familiarize themselves with the contents of research policies and procedures. Misconduct in conducting or reporting research is considered to be a serious breach of academic responsibilities.

The University Research Policy

The University Research Policy sets the direction of research in the University. It specifies objectives of research in the university, research strategies, code of conduct for research, and responsibility of research management unit including research fund, research infrastructure, policies, procedures, standards and ethical practices of the university. In general, the University Research Policy covers the following:

- (i) Mission statement
- (ii) Guiding principles
- (iii) Research governance – membership and terms of reference
- (iv) Academic policies, academic freedom, and research
- (v) Objectivity in research policy
- (vi) Research approval process
- (vii) Research ethics
- (viii) Sponsored projects and sponsored research services
- (ix) Policy regarding consulting
- (x) Policy regarding undergraduate and graduate research
- (xi) Policy on integrity in research
- (xii) Research supervision and research risk compliance
- (xiii) Data handling, retention, and access
- (xiv) Publications and authorship
- (xv) Conflicts of interest, conflict of commitment, and research misconduct
- (xvi) Technology transfer and intellectual property
- (xvii) Policy on environmental health and safety
- (xviii) Research collaboration and memoranda of understanding
- (xix) Research Development Fund Policy
- (xx) Policy on protection of human subjects in research
- (xxi) Policy on the use of animals in research
- (xxii) Non-faculty research appointments
- (xxiii) Campus support services and facilities
- (xxiv) Research quality and research assessment

The University Intellectual Property Right Policy

Intellectual property is a broad term for the various rights which the law gives for the protection of creative effort, and especially for the protection of economic investment in creative effort. It includes copyright, patents, designs, trade marks, circuit layouts, and confidential information. The University Intellectual Property Right Policy has the following objectives:

- (i) Establish a framework for the encouragement of research, innovation, invention, creative works and technology transfer.
- (ii) Set out policies in relation to Intellectual Property arising from research, innovation, invention and creature output, and the management, commercialization and exploitation of such rights.

Research conducted by or on behalf of, or supported by the university, is required to comply with the intellectual property policy established by the university. In general, the University Intellectual Property Policy covers the following:

- Policy on copyright ownership
- Administrative procedure for implementation of the copyright policy
- Policy and guidelines on the reproduction of copyrighted materials for teaching and research
- Policy and guidelines on rights to results of extramural projects or programs
- Policy to permit the use of the university' s name
- Policy on patent

Guideline for Consultancy

Consultancies involve a broad range of activities. In general, the term consultancy covers the provision of professional advice or services to an external party for a fee or other non-monetary consideration. Among other thing, guidelines for consultancy cover the following:

- (i) Policy objective
- (ii) Policy:
 - Key policy principles
 - Compliance
 - Accountability framework
 - Legal and financial protection
 - Conflicts of interest
- (iii) Procedures for community service activities
- (iv) Procedures for university consultancies
- (v) Procedures for private consultancies

Code of Conduct for Research

All universities should be committed to the highest standard of accountability and integrity in research practices. Research and development activities should therefore be guided by code of conduct for research which prescribes standards of work performance and ethical conduct of researchers. The following elements should be considered:

Code of Ethics for Research

Ethics is concerned with the conduct of human beings. All scientific research are conducted with the participation of human beings or have an impact on human beings. Therefore, it is essential that researchers understand ethical issues and the implications of their works and act accordingly. Ethics serve to identify good, desirable or acceptable conduct and provide reasons for those conclusions. Research conducted by or on behalf of, or supported by the university, is required to comply with the ethical standards established by the university. Among other things, the code of ethics for research involves the following:

- (i) Principles of ethical conduct for research
 - Integrity, respect for persons, beneficence and justice
 - Consent
 - Research merit and safety
 - Ethical review and conduct of research
- (ii) Rights and responsibilities of researchers and institutions
 - Relationships between researchers and institutions
 - Protection and promotion of integrity in research
 - Relationships among researchers
 - Data sharing
 - Reporting and publication of research
- (iii) Rights of participants
 - Relationship with the participants
 - Informed consent
 - Privacy, anonymity, and confidentiality

- (iv) Rights and responsibilities of peer reviewers and referees
- (v) Rights and responsibilities of editors and publishers
- (vi) Rights and responsibilities of funders and sponsors
- (vii) Organizational mechanism for ethics

Research Ethics Committees

Research Ethics Committees are set up to consider applications to conduct research. The committees convened to provide the independent advice to participants, researchers, funders, sponsors, employers, organizations, and professionals on the extent to which proposals for research studies comply with recognized ethical standards. The objectives of Research Ethics Committees are to maintain ethical standards of practice in research, to protect subjects of research and research workers from harm or exploitation, to preserve the subject's rights, and to provide reassurance to the public that this is being done. Among other things, the Research Ethics Committees deal with the following:

- (i) Research involving human subjects
- (ii) Research involving animal experimentation
- (iii) Administration of biohazards
- (iv) Research misconduct
- (v) Conflicts of interest
- (vi) Secret and classified research
- (vii) Management of research data and records

Glossary of Definitions

The definitions provided within this Glossary apply as they are used in the Guidelines for Research and Services. They are intended to direct university members in their interpretation of this document.

Confidentiality: To ensure that information is accessible only to those authorised to have access. Or communication between two parties deemed to be confidential, and may not be transmitted to a third party.

Conflict of Interest: This defines a situation where an individual is in a position to exploit a professional or official capacity in some way for his/her personal benefit.

Consent: A condition where a person agrees to or gives permission for an act to occur.

Data: Information compiled for use in any kind of report

Ethics: The study of morals and values, that is, the study of right and wrong, justice and injustice, virtue and vice, good and bad, and related concepts and principles.

Ethical/unethical: Right or morally acceptable/wrong or morally unacceptable

Human subjects: Living individuals about whom an investigator conducting research obtains data through intervention or interaction with the individual, or identifiable private information.

Intellectual property: Creations of intellect such as inventions, literary and artistic Works and symbols, names and images in commerce. There are two types of intellectual property: patents (patent or inventions, industrial designs, trademarks) and copyright.

Misconduct: Fabrication, falsification, plagiarism, or other practices that seriously deviate from those that are commonly accepted within the scientific community for proposing, conducting, or reporting research.

Patent: An exclusive right granted for an invention, which is a production or process that provides a new technology or a new way of doing something.

Participant: A person willingly takes part in a research project

Principal investigator: Team leader of a research project

Research: Disciplined inquiry to establish facts, principles, and knowledge

Research contract: An agreement defining a research project between two parties (usually between a university professor and the university) that spell out the obligations and deliverables of both parties.

Research grant: Aid (e.g., money, equipment, manpower) provided to support research.

Research proposal: A document prepared by a researcher in accordance with university policy which describes the aims and methodology of the research

Researcher: A scientist or individual who takes a systematic process of inquiry in order to discover facts, events, behaviours, or theories.

Sponsor: To support an event, activity, person, or organization by providing money or other resources in exchange for something (e.g., patent rights).

Technology transfer: The practical application of the results of scientific research.

Voluntary: Free of coercion, duress or undue inducement

Criteria 5 and 6: Human Resource Development and Ethics

Human Resource Development

- **Training and Development of Faculty Members and Supporting Personnel**

An organization shall develop and retain high-quality faculty members and supporting personnel by clearly defining their responsibility, and by evaluating their performance on a regular basis.

An organization shall develop the body of knowledge possessed by its faculty members and supporting personnel to keep paces with changes in each academic discipline.

An organization shall provide for:

- A. establishment of a system to consider the ability, potential and need to enhance the knowledge possessed by its faculty and supporting staff in their conducting of activities that have a direct influence on the quality of teaching-learning. This should include the formulation of a concrete personnel development plan;
- B. provision of training to develop the potential of faculty members and supporting personnel in accordance with the plan;
- C. evaluation of the effectiveness of the provided training such as to ensure that its faculty members and supporting staff comprehend both the importance of and the relationship between the duties and activities that fall within their responsibility. This will affect the way the organization attains its quality goals.
- D. compilation of records of education, experience, training, and other essential qualifications required of lecturers and supporting staff.

- **Evaluation of Faculty Members and Supporting Personnel**

An organization shall set up a system of evaluation by committee to be conducted according to a set timetable at least twice a year prior to pay salary increments or promotions, or to the imposition of penalties.

Activities to Enhance Professional Ethics

An organization shall establish an activity plan and evaluate activities to encourage students, faculty members and other personnel to be conscientious in their thought, speech, and behaviour, to be kind, compassionate and honest, to possess equanimity, to be circumspect, logically-minded and far-sighted, to be responsible and willing to make sacrifices for the good of society.

An organization shall enhance the professional ethics of its students, faculty members and other personnel.

Work to be assess (Assessment Indicator)

- **HRD Assessment Indicator**
 - H1: Ratio of Professor: Associate Professor: Assistant Professor
 - H2: Training Day/Year/Supporting personnel
 - H3: Documentation pertaining to the university' s framework, guidelines, and processes to uphold high standards of professional ethics
 - H4: Documentation of activities to advocate and maintain high standards of professional ethics

- **Code of Ethics assessment Indicator**
 - E1: percent of achievement for code of ethics

AUN-QA Assessment

The Bangkok Accord affirms that “ individual members may invite and facilitate auditing, assessment and review by other Member Universities as well as by external bodies” . This is further reiterated in the AUN-QA Common Policies wherein AUN member institutions “ welcome cross-external audits using commonly agreed upon auditing instruments” and using quality criteria of the core activities of member universities as the foundation of any audit instruments formulated by AUN.

Considering the range of internal procedures and practices of each member institution, it was agreed upon during the 4th Workshop of AUN-QA that AUN assessment shall be program based. Furthermore, participation in AUN program assessment shall be strictly voluntary.

Rationale for Undertaking Program Assessment

Assessment is a process of self- and peer evaluation for the improvement and assurance of academic quality. It delivers confidence to stakeholders and provides evidence of quality to the public by implementing accepted standards agreed upon by AUN member institutions. At the same time, it provides mechanisms for continuous quality improvement for the sustainability and development of the program, and buffers against pressures to lower quality standards.

The assessment process aims to promote the recognition and acceptance of AUN programs which have demonstrated their competence and quality according to standards set by the field or profession leading towards the harmonization of higher education in ASEAN. Graduates of these programs are likewise recognized for their competent training and employability. External assessment also provides opportunities for access to funding for research and instruction.

The assessment process to be undertaken by AUN Member Universities is a collegial endeavour that draws from best practices and builds on the experiences of other members. It fosters a culture of quality in institutions.

Assessors

Successful peer evaluation requires professional and ethical responsibility as well as knowledge of standards and accepted practices. Objectivity and transparency must be exercised throughout the process. The AUN assessors will be respected and competent professionals in the field or profession with accepted academic credentials and known integrity and credibility. They are volunteers committed to devoting time and effort to conduct AUN-QA program assessment. From the pool of experts, the AUN will select the assessment team for a particular program assessment.

The AUN assessors must have attended training workshops and seminars for educational program assessment.

Overview of the Assessment Process

The assessment of an academic program involves the following major activities:

- Self-assessment

The faculty, students, administrators involved in the program conduct a self-study using the framework set of criteria approved by the AUN-QA as their guide.

- Peer Assessment

A team of assessors selected by AUN from among experts in the field conduct an on-site review and validation of the evidence. The assessors interview faculty, students, and administrators, observe processes such as lectures and laboratory classes. They prepare the assessment report including their recommendations to the AUN.

- Action and Feedback

The AUN reviews the evidence and recommendations, prepares its decision, and communicates the Assessment Team's report and AUN decision to the institution.

- Monitoring and Oversight

The quality of the program needs to be monitored and maintained. Assessment is periodic and is repeated over cycles of every few years.

Criteria for Assessment

The assessment will focus on the following aspects:

- Criterion 1: Existence of QA System
- Criterion 2: Teaching and Learning
 1. Course Curriculum
 2. Academic Staff
 3. Student Assessment
 4. Learning Process
 5. Environmental Health and Safety
 6. Learning Resources
- Criterion 3: Research
 1. Funding and Facilities
 2. Research Output
- Criterion 4: Services
- Criterion 5: Ethics
- Criterion 6: HRD

The AUN-QA Common Criteria and indicators are shown in Table 1.

Table 1: AUN-QA Common Criteria and Indicators*

AUN-QA Common Criteria	Indicators	Value (1-7)
Criteria 1: Existence of QA System		
Level 1: Existence of documentation and continuously evaluated QA system	Record of all QA documentation (Level 1)	
	Record of all QA system evaluation (Level 1)	
Level 2: The QA system be subjected to external audit	Record of all external auditing (Level 2)	
Criteria 2: Teaching and Learning		
1. Course curriculum		
Level 1: Course curricula shall undergo periodic review.	Statement of curricula philosophy/framework/objectives (Level 1)	
	Record of individual course documentation (Level 1)	
	Articulation of desired competencies (show proportion also of both minor and major competencies (Level 1)	
	Record of individual course review (Level 1)	
Level 2: Course curricula shall undergo major review every 3 to 5 years.	Plan/Schedule for course curricula change (Level 2)	
	Documentation of curricula review framework (Level 2)	
	Use of external and/or international benchmarks in curricula review (Level 2)	
	Outputs of curricula revision are aligned with results of review (Level 2)	
	Stakeholder needs as far as competencies are concerned (Level 2)	

AUN-QA Common Criteria	Indicators	Value (1-7)
2. Academic Staff		
Level 1: Tenured/tenure-track academic staff should have a minimum of a Master degree or equivalent.	Record of teaching staff qualification (e.g., PhD, MS, etc) (Level 1)	
	Record of specialized qualification of teaching staff (Level 1)	
	Documentation of teaching staff development program (Level 1)	
	Documentation of merit-based incentives and benefits for teaching staff (Level 1)	
Level 2: Attainment of tenured/tenure-track academic staff of a qualification higher than a Master degree.	Plan/schedule to increase the number of teaching staff holding doctoral degrees (Level 2)	
	Majority of teaching staff hold doctoral degrees (Level 2)	
	Teaching staff have active research programs (Level 2)	
	Teaching staff have track record of publications in referred journals (Level 2)	
	Teaching staff have track record of bringing in revenue through research and/or service projects (Level 2)	
	Documentation of review and revision of merit-based incentive system for teaching staff (Level 2)	
	Record of academic staff who hold certification in teaching in higher education (Level 2)	
3. Student Assessment		
Level 1: The university shall have a clear set of student assessment criteria.	Proper documentation of student assessment (e.g., exam grade, project work, etc) (Level 1)	
	Student assessment is aligned with curricula objectives leading to desired competencies (Level 1)	
	Methods and quality levels for student assessment are clearly	

AUN-QA Common Criteria	Indicators	Value (1-7)
	specified (Level 1)	
	Existence of manual/guidelines of writing final work/thesis/dissertation report (Level 1)	
Level 2: The university is able to accept and provide credit exemption/transfer between member universities.	Range of student assessment uses a wide variety of assessment approaches (Level 2)	
	Forms and quality levels of student assessment are comparable with high standards of other AUN member universities or international benchmarks (Level 2)	
	Regulation concerning credit exemption / transfer and matriculation between / among AUN member universities (Level 2)	
4. Learning process		
Level 1: The university shall be able to show effectiveness of delivery of the learning process.	Record of student evaluation of courses taught (i.e., record of quality teaching delivery) (Level 1)	
	Record of student grades (Level 1)	
	Documentation of course evaluation procedures by students, peers, and academic administrators (Level 1)	
	Use of technology and a variety of teaching-learning activities, environments, and delivery systems (Level 1)	
	Alignment of teaching-learning processes with curricula objectives (Level 1)	
	Implementation and improvement of selected learning methods (e.g., case-based learning) in study programs (Level 1)	
Level 2: The university's academic staff to student ratio should be lower than 1:30.	Record of academic staff to student ratio (Level 2)	
	Record that student feedback is used to improve teaching quality	

AUN-QA Common Criteria	Indicators	Value (1-7)
	and learning processes (Level 2)	
	Record of average number of hours allocated for teaching and supervising students (Level 2)	
5. Environmental Health and safety standards		
Level 1: The university's infrastructure shall be able to meet environmental health and safety standards.	Documentation on environmental health and safety standards and protocol to handle problems related to environmental health and safety (Level 1)	
	Record of maintenance on environmental health and safety (Level 1)	
Level 2: The university shall be able to provide a conducive learning environment.	Record of availability and suitability to meet above standards (Level 2)	
	Record of student complaints concerning the learning environment (Level 2)	
	Documentation of monitoring, review, and revision of environmental health and safety standards (Level 2)	
6. Learning Resources		
Level 1: The university shall be able to provide adequate learning/instructional resources.	Record of inventory of learning resources (e.g., number of computers in total to number of students in total, laboratory equipment) (Level 1)	
	Record of procedure for use of library (Level 1)	
	Documentation of access and use of various learning resources by students and teaching staff (Level 1)	
	Adequacy of collection vis-à-vis curricula needs (Level 1)	
Level 2: The university shall develop a digital library and allow access	Record of development plan to create a digital library (Level 2)	
	Record of developing university-	

AUN-QA Common Criteria	Indicators	Value (1-7)
to member universities.	wide links and networking across library units in all faculties and centers, and allowing easy and cheap access to AUN member universities (Level 2)	
Criteria 3: Research		
1. Funding and Facilities		
Level 1: The university shall provide funds and facilities for research.	Documentation on the amount of research funds and funding schemes for research activities (Level 1)	
	Inventory of research facilities (Level 1)	
	Prioritizing budget and facilities for research in line with the vision and mission of the university (Level 1)	
Level 2: The university' s research allocation shall be no less than 2 to 5% of the annual budget of academic units.	Record of annual budget (Level 2)	
	Number of funded projects (Level 2)	
	Documentation of external sources for research funds (Level 2)	
	Development plans for improvement of research funds and facilities (Level 2)	
2. Research Output		
Level 1: The university shall show evidence of research activity by research output including publication, IPR, commercialization, etc.	Record of research output (e.g., journal publication, patents, copyrighted works, etc) (Level 1)	
	System of monitoring research output and publication among teaching staff (Level 1)	
	Record of research grants generated or obtained from external / international credible donors / research agencies (Level 1)	
Level 2: The university' s annual research output to	Record of number of referred journal publications per academic	

AUN-QA Common Criteria	Indicators	Value (1-7)
tenured academic staff index in refereed journals is 1:5.	staff (Level 2)	
Criteria 4: Services		
Level 1: AUN member universities shall provide or institute programs that could benefit the community.	Documentation of university' s service to the community (Level 1)	
Level 2: AUN member universities shall provide or institute programs that could benefit the regional/ international community.	Documentation of university' s service to the regional/international community (Level 2)	
Criteria 5: Ethics		
Level 1: AUN member universities shall practise a code of ethics.	Documentation of university' s code of ethics (Level 1)	
	Record of malpractices/ grievances/ etc. with regards to code of ethics (Level 1)	
	Documentation pertaining to the university' s framework, guidelines, and processes to uphold high standards of professional ethics (Level 1)	
	Documentation of activities to advocate and maintain high standards of professional ethics (Level 1)	
Level 2: AUN member universities shall develop a common regional code of ethics.	Record of plan to develop one or more codes of ethics that may be used by other member universities (Level 2)	
Criteria 6: HRD		
Level 1: AUN member universities shall develop a systematic HRD programme.	Document of HRD programme (Level 1)	
	Documentation of strategic plans for attaining targets (Level 1)	
Level 2: AUN member universities shall support	Record of AUN member university cooperation (e.g. staff exchange,	

AUN-QA Common Criteria	Indicators	Value (1-7)
and facilitate HRD whenever possible.	staff training and development, etc.) (Level 2)	
	Documentation of implementation of activities consistent with strategic plan (Level 2)	

*Developed during the 5th – 6th AUN-QA Workshops for CQOs

AUN-QA Certificates

There are 7 proposed levels of AUN-QA Certification. The use of the quality ratings (Values 1 through 7) should be standardized to the following descriptions.

- 1 – indicates a very little amount of evidence of documentation of this indicator
- 2 – indicates a little amount of evidence of documentation of this indicator
- 3 – indicates a below average amount of evidence of documentation of this indicator
- 4 – indicates an average amount of evidence of documentation of this indicator
- 5 – indicates an above average amount of evidence of documentation of this indicator
- 6 – indicates a large amount of evidence of documentation of this indicator
- 7 – indicates a very large amount of evidence of documentation of this indicator

Unresolved issues for further discussion

- Development of assessment instrument.
- How will academic programs apply for assessment?
- How will the training workshop for the assessors be conducted? When?
- How will the assessors be selected? Who will select the assessors?
- How will the assessors be compensated?
- What is the assessment fee?
- How long will a site visit take?

Annex 1: AUN-QA Assessment Exercise

AUN-QA ASSESSMENT EXERCISE

Institution/University:

Date:

Scope of Assessment:

Assessor:

Criteria 1 on Existence of QA System

Level 1: Existence of documentation and continuously evaluated QA system

Level 2: The QA system be subjected to external audit

Indicator	Value (1 - 7)*
Level 1 1. Record of all QA documentation 2. Record of all QA system evaluation	
Level 2 1. Record of all external auditing	

*To include comments below under “ Observations” if felt necessary by assessor.

Observations:

Strengths:

Proposed suggestions for the indicators (e.g., evidence of input on curriculum review from industry or alumni):

AUN-QA ASSESSMENT EXERCISE

Institution/University:
 Date:
 Scope of Assessment:
 Assessor:

Criteria 2 on Teaching/Learning

No. 1: Course Curriculum

Level 1: Course curricula shall undergo periodic review.

Level 2: Course curricula shall undergo major reviews every 3 to 5 years.

Indicator	Value (1 - 7)*
Level 1 1. Statement of curriculum philosophy/framework/objectives 2. Record of individual course documentation 3. Articulation of desired competencies (show proportion also of both minor and major competencies) 4. Record of individual course review	
Level 2 1. Plan/Schedule for course curricula change 2. Documentation of curricula review framework 3. Use of external and/or international benchmarks in curricula review 4. Outputs of curricula revision are aligned with results of review 5. Stakeholder needs as far as competencies are concerned	

*To include comments below under “ Observations” if felt necessary by assessor.

Observations:

Strengths:

Proposed suggestions for the indicators (e.g., evidence of input on curriculum review from industry or alumni):

AUN-QA ASSESSMENT EXERCISE

Institution/University:

Date:

Scope of Assessment:

Assessor:

Criteria 2 on Teaching/Learning

No. 2: Academic Staff

Level 1: Tenured/tenure-track academic staff should have a minimum of a Master degree or equivalent.

Level 2: Attainment of tenured/tenure-track academic staff of a higher qualification than a Master degree.

Indicator	Value (1 - 7)*
Level 1 1. Record of teaching staff qualification (e.g., PhD, MS, etc) 2. Record of specialized qualifications of teaching staff 3. Documentation of teaching staff development program 4. Documentation of merit-based incentives and benefits for teaching staff	
Level 2 1. Plan/Schedule to increase the number of teaching staff holding doctoral degrees 2. Majority of teaching staff hold doctoral degrees 3. Teaching staff have active research programs 4. Teaching staff have track record of publications in referred journals 5. Teaching staff have track record of bringing in revenue through research and/or service projects 6. Documentation of review and revision of merit-based incentive system for teaching staff 7. Record of academic staff who hold certification in teaching in higher education	

*To include comments below under “ Observations” if felt necessary by assessor.

Observations:

Strengths:

Proposed suggestions for the indicators (e.g., to achieve a target tenure/non-tenure staff ratio within a specific time period):

AUN-QA ASSESSMENT EXERCISE

Institution/University:

Date:

Scope of Assessment:

Assessor:

Criteria 2 on Teaching/Learning

No. 3: Student Assessment

Level 1: The university shall have a clear set of student assessment criteria.

Level 2: The university is able to accept and provide credit exemption/transfer between member universities.

Indicator	Value (1-7)*
Level 1 1. Proper documentation of student assessment (e.g., exam grade, project work, etc) 2. Student assessment is aligned with curricula objectives leading to desired competencies 3. Methods and quality levels for student assessment are clearly specified 4. Existence of manual/guidelines of writing final work/thesis/dissertation report	
Level 2 1. Range of student assessment uses a wide variety of assessment approaches 2. Forms and quality levels of student assessment are comparable with high standards of other AUN member universities or international benchmarks 3. Regulation concerning credit exemption/transfer and matriculation between/among AUN member universities	

*To include comments below under “ Observations” if felt necessary by assessor.

Observations:

Strengths:

Proposed suggestions for the indicators:

AUN-QA ASSESSMENT EXERCISE

Institution/University:

Date:

Scope of Assessment:

Assessor:

Criteria 2 on Teaching/Learning

No. 4: Learning Processes

Level 1: The university shall be able to show effectiveness of delivery of the learning process.

Level 2: The university's academic staff to student ratio should be lower than 1:30.

Indicator	Value (1-7)*
Level 1 1. Record of student evaluation of courses taught (i.e., record of quality teaching delivery) 2. Record of student grades 3. Documentation of course evaluation procedures by students, peers, and academic administrators 4. Use of technology and a variety of teaching-learning activities, environments, and delivery systems 5. Alignment of teaching-learning processes with curricula objectives 6. Implementation and improvement of selected learning methods (e.g., case-based learning) in study programs	
Level 2 1. Record of academic staff to student ratio 2. Record that student feedback is used to improve teaching quality and learning processes 3. Record of average number of hours allocated for teaching and supervising students	

*To include comments below under " Observations" if felt necessary by assessor.

Observations:

Strengths:

Proposed suggestions for the indicators (e.g., evidence that student: feedback is used to improve teaching quality and learning processes):

AUN-QA ASSESSMENT EXERCISE

Institution/University:

Date:

Scope of Assessment:

Assessor:

Criteria 2 on Teaching/Learning

No. 5: Environmental Health and Safety Standards

Level 1: The university' s infrastructure shall be able to meet environmental health and safety standards.

Level 2 The university shall be able to provide a conducive learning environment.

Indicator	Value (1-7)*
Level 1 1. Documentation on environmental health and safety standards and protocol to handle problems related to environmental health and safety 2. Record of maintenance on environmental health and safety	
Level 2 1. Record of availability and suitability to meet above standards 2. Record of student complaints concerning the learning environment 3. Documentation of monitoring, review, and revision of environmental health and safety standards	

*To include comments below under “ Observations” if felt necessary by assessor.

Observations:

Strengths:

Proposed suggestions for the indicators (e.g., record of on-campus accidents):

AUN-QA ASSESSMENT EXERCISE

Institution/University:

Date:

Scope of Assessment:

Assessor:

Criteria 2 on Teaching/Learning

No. 6: Learning Resources

Level 1: The university shall be able to provide adequate learning/instructional resources.

Level 2: The university shall develop a digital library and allow access to member universities.

Indicator	Value (1-7)*
Level 1 1. Record of inventory of learning resources (e.g., number of computers in total to number of students in total, laboratory equipment) 2. Record of procedure for use of library 3. Documentation of access and use of various learning resources by students and teaching staff 4. Adequacy of collection vis-à-vis curricula needs	
Level 2 1. Record of development plan to create a digital library 2. Record of developing university-wide links and networking across library units in all faculties and centers, and allowing easy and cheap access to AUN member universities	

*To include comments below under “ Observations” if felt necessary by assessor.

Observations:

Strengths:

Proposed suggestions for the indicators (e.g., track the availability of computer per student or access to online course content):

AUN-QA ASSESSMENT EXERCISE

Institution/University:

Date:

Scope of Assessment:

Assessor:

Criteria 3 on Research

No. 1: Funding and Facilities

Level 1: The university shall provide funds and facilities for research.

Level 2: The university' s research allocation shall be no less than 2 to 5% of the annual budget of academic units.

Indicator	Value (1-7)*
Level 1 1. Documentation on the amount of research funds and funding schemes for research activities 2. Inventory of research facilities 3. Prioritizing budget and facilities for research in line with the vision and mission of the university	
Level 2 1. Record of annual budget 2. Number of funded projects 3. Documentation of external sources of research funds 4. Development plans fort improvement of research funds and facilities	

*To include comments below under “ Observations” if felt necessary by assessor.

Observations:

Strengths:

Proposed suggestions for the indicators:

AUN-QA ASSESSMENT EXERCISE

Institution/University:

Date:

Scope of Assessment:

Assessor:

Criteria 3 on Research

No. 2: Research Output

Level 1: The university shall show evidence of research activity by research output including publication, IPR, commercialization, etc.

Level 2: The university' s annual research output to tenured academic staff index in refereed journals is 1:5.

Indicator	Value (1-7)*
Level 1 1. Record of research output (e.g., journal publication, patents, copyrighted works, etc) 2. System of monitoring research output and publication among teaching staff 3. Record of research grants generated or obtained from external/international credible donors/research agencies	
Level 2 1. Record of number of referred journal publications per academic staff	

*To include comments below under “ Observations” if felt necessary by assessor.

Observations:

Strengths:

Proposed suggestions for the indicators:

AUN-QA ASSESSMENT EXERCISE

Institution/University:

Date:

Scope of Assessment:

Assessor:

Criteria 4 on Services

Level 1: AUN member universities shall provide or institute programmes that could benefit the community.

Level 2: AUN member universities shall provide or institute programmes that could benefit the regional/ international community

Indicator	Value (1-7)*
Level 1 1. Documentation of university' s service to the community (Level 1)	
Level 2 1. Documentation of university' s service to the regional/international community (Level 2)	

*To include comments below under “ Observations” if felt necessary by assessor.

Observations:

Strengths:

Proposed suggestions for the indicators:

AUN-QA ASSESSMENT EXERCISE

Institution/University:

Date:

Scope of Assessment:

Assessor:

Criteria 5 on Ethics

Level 1: AUN member universities shall practice a code of ethics.

Level 2: AUN member universities shall develop a common regional code of ethics.

Indicator	Value (1-7)*
Level 1 1. Documentation on university' s code of ethics 2. Record of malpractices/ grievances/ etc. with regards to code of ethics	
Level 2 1. Record of plan to develop a common regional code of ethics	

*To include comments below under “ Observations” if felt necessary by assessor.

Observations:

Strengths:

Proposed suggestions for the indicators:

AUN-QA ASSESSMENT EXERCISE

Institution/University:

Date:

Scope of Assessment:

Assessor:

Criteria 6 on HRD

Level 1: AUN member universities shall develop a systematic HRD programme.

Level 2: AUN member universities shall support and facilitate HRD whenever possible.

Indicator	Value (1-7)*
Level 1 1. Document of HRD programme 2. Documentation of strategic plans for attaining targets	
Level 2 1. Record of AUN member university cooperation (e.g. staff exchange, staff training and development, etc) 2. Documentation of implementation of activities consistent with strategic plan	

*To include comments below under “ Observations” if felt necessary by assessor.

Observations:

Strengths:

Proposed suggestions for the indicators:

Notes on the Use of the Assessment Forms

1. Use of the Level 1 and Level 2 assessments should roughly correspond to the following. Level 1 assessment may be used for indicators that specify a university's or program's attempt to systematize the quality assurance processes and elements. Level 2 accreditation can be used for indicators that demonstrate a university's or program's attainment of higher level quality standards (e.g., comparable to international benchmarks).

2. Use of the quality ratings (Values 1 through 7) should be standardized to the following descriptions.
 - a. 1 – indicates a very little amount of evidence of documentation of this indicator
 - b. 2 – indicates a little amount of evidence of documentation of this indicator
 - c. 3 – indicates a below average amount of evidence of documentation of this indicator
 - d. 4 – indicates an average amount of evidence of documentation of this indicator
 - e. 5 – indicates an above average amount of evidence of documentation of this indicator
 - f. 6 – indicates a large amount of evidence of documentation of this indicator
 - g. 7 – indicates a very large amount of evidence of documentation of this indicator

Annex 2: References

Criteria 2

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Annex 4: Working Group for AUN-QA Guidelines

Cover

By Gadjah Mada University

Criteria 1: QA System

Summarised from the Second Workshop on AUN-QA for CQOs

Criteria 2: Teaching and Learning

By Gadjah Mada University and Universitas Indonesia

Criteria 3 and 4: Research and Services

By Universiti Malaya

Criteria 5 and 6: Human Resource Development and Ethics

By Chulalongkorn University and Burapha University

AUN-QA Assessment

By De La Salle University

Annex 5: AUN-QA Events

The Workshop on AUN-QA Alliance, 11 November 2000, Bangkok

The First Workshop on AUN-QA for CQOs, 18-20 April 2001, Kuala Lumpur

The Second Workshop on AUN-QA for CQOs, 18-20 October 2001, Bangkok and Chonburi

The Third Workshop on AUN-QA for CQOs, 28-30 March 2002, Yangon

The Fourth Workshop on AUN-QA for CQOs, 14-16 October 2002, Jakarta and Yogyakarta

The Fifth Workshop on AUN-QA for CQOs, 24-25 March 2003, Bandar Seri Begawan

The Sixth Workshop on AUN-QA for CQOs, 23-25 February 2004, Singapore