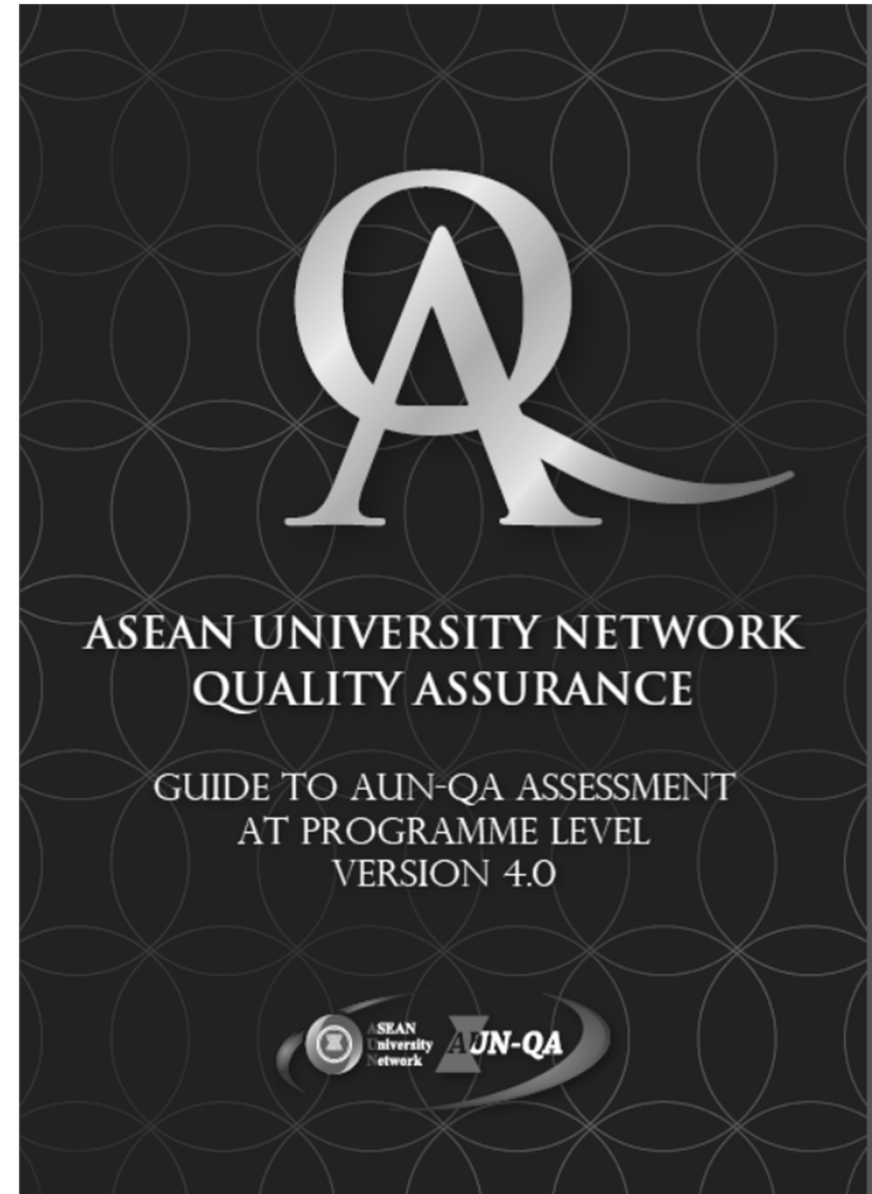


Overview of AUN-QA at Programme Level Version 4.0

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Principle References:
Guide to AUN-QA Assessment at Programme Level Version 4.0



Features of AUN-QA Model for Higher Education QA @ Programme Level

- ▶ **Principle-based QA model**
- ▶ **Design based on Outcome-based Education framework**
- ▶ **PDCA approach to quality**
- ▶ **Designed for continuous improvement to good/best practice**
- ▶ **Focus on Stakeholders' needs**

V3.0

1.0 Expected Learning Outcomes

2.0 Programme Specification

3.0 Programme Structure and Content

4.0 Teaching and Learning Approach

5.0 Student Assessment

6.0 Academic Staff Quality

7.0 Support Staff Quality

8.0 Student Quality and Support

9.0 Facilities and Infrastructure

10.0 Quality Enhancement

11.0 Output

V4.0

1.0 Expected Learning Outcomes

2.0 Programme Structure and Content

3.0 Teaching and Learning Approach

4.0 Student Assessment

5.0 Academic Staff

6.0 Student Support Services

7.0 Facilities and Infrastructure

Integrated into the other criteria

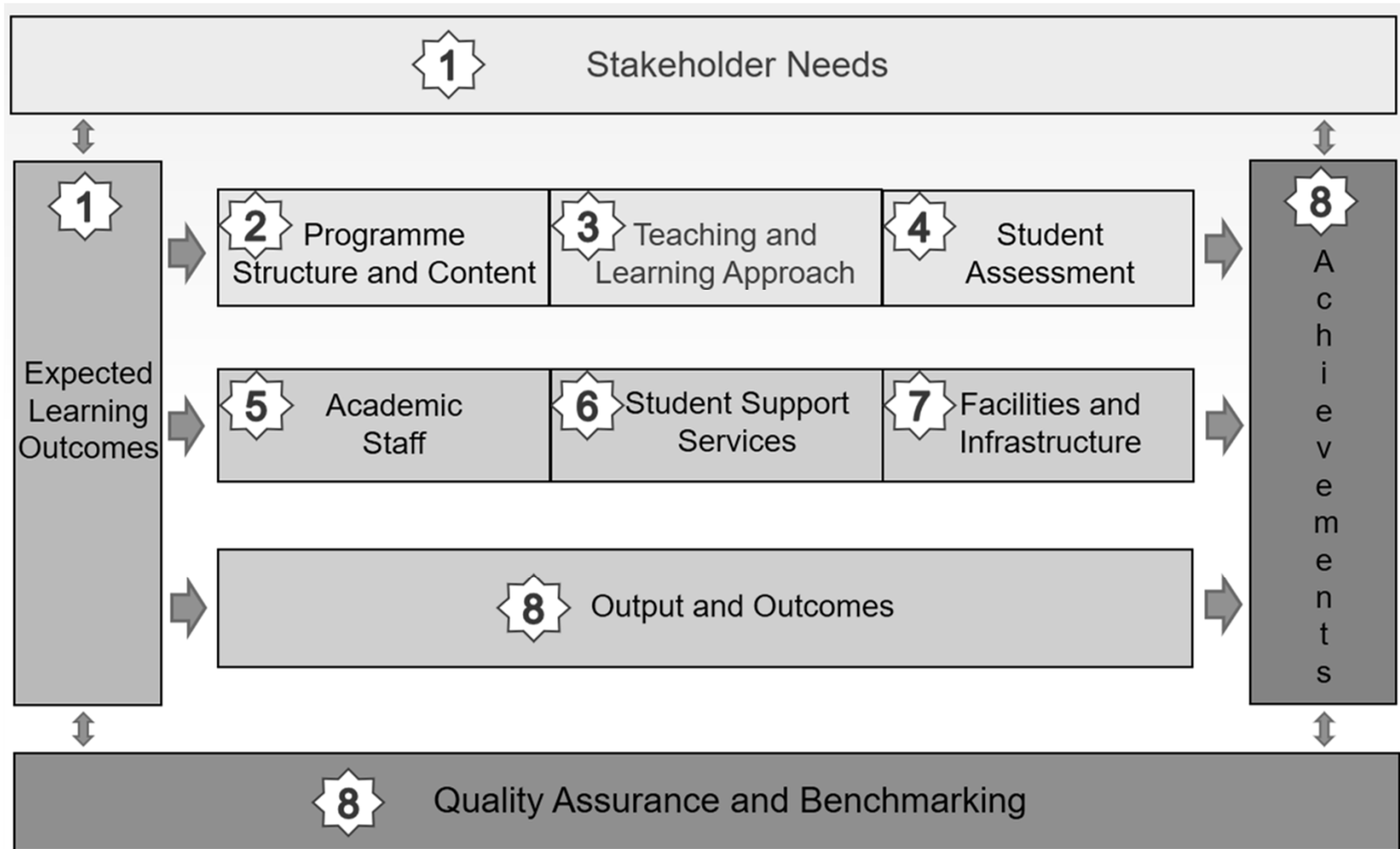
8.0 Output and Outcomes

Version 3.0: Criterion 10 Quality Enhancement

----- Integrated into the other Criteria-----

- 2.3. The design of the curriculum is shown to include feedback from stakeholders, especially external stakeholders. **(10.1)**
- 2.7. The programme to show that its curriculum is reviewed periodically following an established procedure and that it remains up-to-date and relevant to industry. **(10.2)**
- 3.6. The teaching and learning processes are shown to be continuously improved to ensure their relevance to the needs of industry and are aligned to the expected learning outcomes. **(10.3)**
- 4.7. The student assessment and its processes are shown to be continuously reviewed and improved to ensure their relevance to the needs of industry and alignment to the expected learning outcomes. **(10.3)**
- 8.3 Research and creative work output and activities carried out by the academic staff and students, are shown to be established, monitored, and benchmarked for improvement. **(10.4)**
- 6.6 Student support services are shown to be subjected to evaluation, benchmarking, and enhancement. **(10.5)**
- 7.9 The quality of the facilities (library, laboratory, IT, and student services) are shown to be subjected to evaluation and enhancement. **(10.5)**
- 1.4. The programme to show that the requirements of the stakeholders, especially the external stakeholders, are gathered, and that these are reflected in the expected learning outcomes. **(10.6)**

Version 4.0



Changes from V3.0 to V4.0

V3.0

Requirements

1. The programme to show that the expected learning outcomes are appropriately formulated in accordance with an established learning taxonomy, are aligned to the vision and mission of the university and are known to all stakeholders.
2. The programme to show that the expected learning outcomes for all courses are appropriately formulated and are aligned to the expected learning.....

Checklist Items

Criterion	1	2	3	4	5	6	7
sub-criterion 1 [1,2]							
sub-criterion 2 [3,4,5]							
Overall opinion							

**Criteria, sub-criteria,
requirements, checklist items**

Changes from V3.0 to V4.0

V4.0

Requirements

	Criterion	1	2	3	4	5	6	7
	Requirement 1							
	Requirement 2							
	Overall opinion							

Criteria

Requirements

= sub-criteria

= checklist items

AUN-QA Criteria

2.1 AUN-QA Criterion 1 – Expected Learning Outcomes

Requirements

- 1.1. *The programme to show that the expected learning outcomes are appropriately formulated in accordance with an established learning taxonomy, are aligned to the vision and mission of the university, and are known to all stakeholders.*
- 1.2. *The programme to show that the expected learning outcomes for all courses are appropriately formulated and are aligned to the expected learning outcomes of the programme.*
- 1.3. *The programme to show that the expected learning outcomes consist of both generic outcomes (related to written and oral communication, problem-solving, information technology, teambuilding skills, etc) and subject specific outcomes (related to knowledge and skills of the study discipline).*
- 1.4. *The programme to show that the requirements of the stakeholders, especially the external stakeholders, are gathered, and that these are reflected in the expected learning outcomes.*
- 1.5. *The programme to show that the expected learning outcomes are achieved by the students by the time they graduate.*

Explanation

An outcome-based education (OBE) can be described as a way in which a curriculum is defined, organised, and directed based on all the things that learners would learn and demonstrate successfully when they complete a study programme. The focus of OBE is on the results of learning, where the knowledge, skills, and attitudes that learners are expected to master, are clearly identified and expressed as expected learning outcomes.

Diagnostic Questions

- What is the purpose of the study programme?
- What are the expected learning outcomes?
- How are the expected learning outcomes formulated?
- Do the expected learning outcomes reflect the vision and mission of the university, the faculty, and the department?
- Does the labour market set specific requirements for the graduates to meet?
- To what extent is the content of the programme tuned to the needs of the labour market?

Sources of Evidence

- Programme and course specifications
- Course brochure, prospectus, bulletin
- Skills matrix
- Stakeholder input
- University and faculty websites
- Curriculum review minutes and documents
- Accreditation and benchmarking reports.

Criterion 1 - Expected Learning Outcomes

Requirements

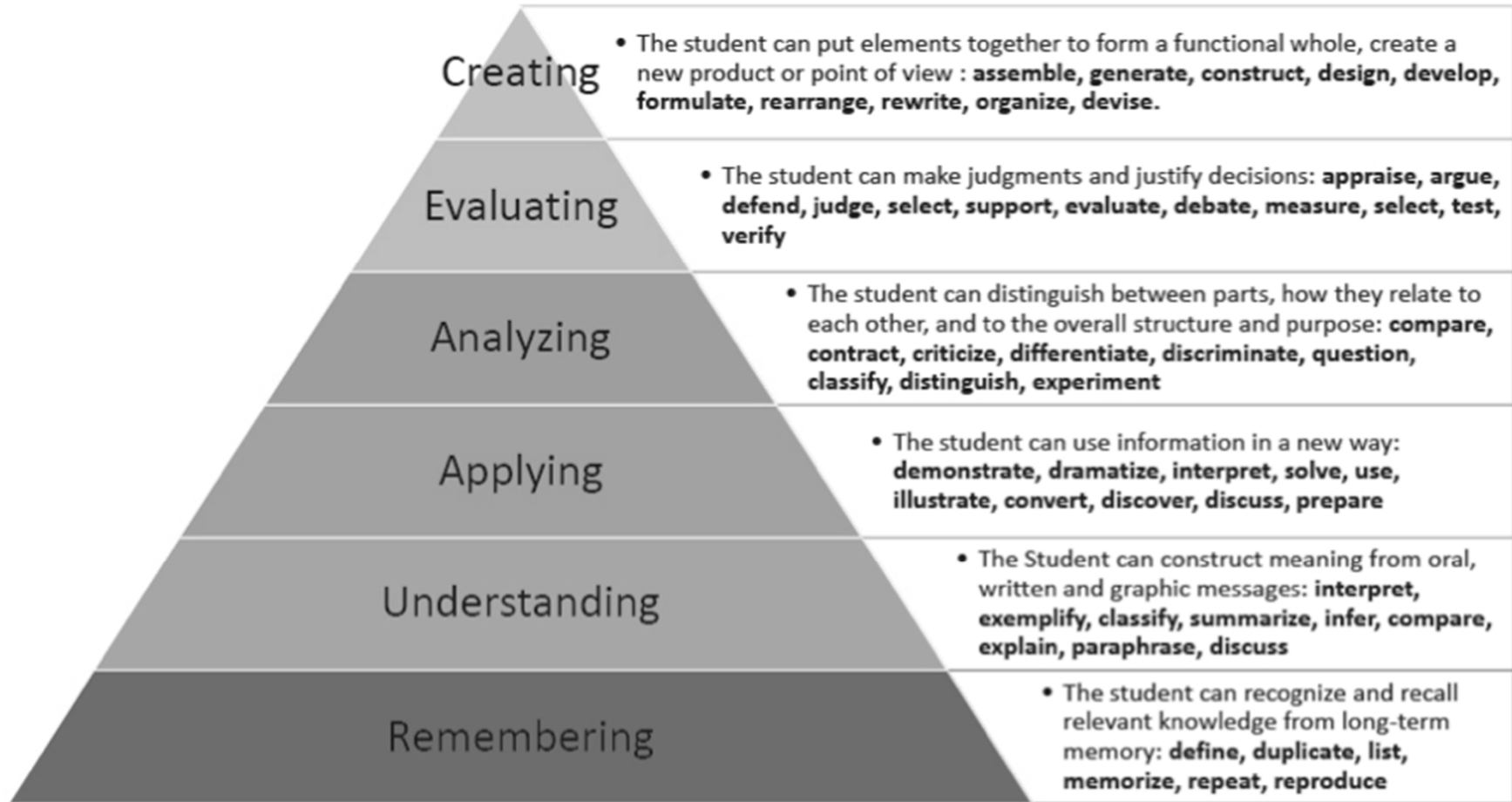
- 1.1 The programme to show that the expected learning outcomes^a are appropriately formulated in accordance with an established learning taxonomy, are aligned to the vision and mission of the university, and are known to all stakeholders.
- 1.2 The programme to show that the expected learning outcomes for all courses are appropriately formulated and are aligned to the expected learning outcomes of the programme.
- 1.3 The programme to show that the expected learning outcomes^a consist of both generic outcomes (related to written and oral communication, problem-solving, information technology, teambuilding skills, etc.) and subject specific outcomes (related to knowledge and skills of the study discipline).
- 1.4 The programme to show that the requirements of the stakeholders, especially the external stakeholders, are gathered, and that these are reflected in the expected learning outcomes.
- 1.5 The programme to show that the expected learning outcomes are achieved by the students by the time they graduate^b.

Criterion 1 - Expected Learning Outcomes

Addendum

- a Formulation of the “expected learning outcomes” shall consider the national, regional and global points of reference of a postgraduate programme. As such, elements related to original research, novelty, emerging theories and practice in solving real-world problems, etc., in the graduate profile should be assessed and benchmarked.
- b The phrase “achieved by the students by the time they graduate” may include student’s contribution after graduation in applying their doctorate-level and other employability skills, that may be triangulated with the referred qualification descriptors and/or the requirements of stakeholders for the degree.

Bloom's Taxonomy (Revised): Cognition



Affective domain

Action Verbs

5. Characterisation

4. Organisation

3. Valuing

2. Responding

1. Receiving

act, adhere, appreciate, ask, accept, answer, assist, attempt, challenge, combine, complete, conform, cooperate, defend, demonstrate (a belief in), differentiate, discuss, display, dispute, embrace, follow, hold, initiate, integrate, justify, listen, order, organise, participate, practice, join, share, judge, praise, question, relate, report, resolve, share, support, synthesise, value

“Writing and Using Learning Outcomes: a Practical Guide” by Declan Kennedy, Aine Hyland, and Norma Ryan

Psychomotor domain

(Dave, 1970)

5. Naturalisation

4. Articulation

3. Precision

2. Manipulation

1. Imitation

Adapt, adjust, administer, alter, arrange, assemble, balance, bend, build, calibrate, choreograph, combine, construct, copy, design, deliver, detect, demonstrate, differentiate (by touch), dismantle, display, dissect, drive, estimate, examine, execute, fix, grasp, grind, handle, heat, manipulate, identify, measure, mend, mime, mimic, mix, operate, organise, perform (skilfully), present, record, refine, sketch, react, use.

Criterion 2 - Programme Structure and Content

Requirements

- 2.1 The specifications of the programme and all its courses^c are shown to be comprehensive, up-to-date, and made available and communicated to all stakeholders.
- 2.2 The design of the curriculum is shown to be constructively aligned^d with achieving the expected learning outcomes.
- 2.3 The design of the curriculum is shown to include feedback from stakeholders, especially external stakeholders.
- 2.4 The contribution made by each course^c in achieving the expected learning outcomes is shown to be clear.
- 2.5 The curriculum to show that all its courses^c are logically structured, properly sequenced (progression from basic to intermediate to specialised courses), and are integrated.
- 2.6 The curriculum to have option(s) for students to pursue major and/or minor specialisations.
- 2.7 The programme to show that its curriculum is reviewed periodically following an established procedure and that it remains up-to-date and relevant to industry.

The information in the programme specifications include the below:

- ▶ **Awarding body/institution**
- ▶ **Teaching institution (if different)**
- ▶ **Details of accreditation by professional or statutory bodies**
- ▶ **Name of the final award**
- ▶ **Programme title**
- ▶ **Expected learning outcomes of the programme**
- ▶ **Admission criteria or requirements**
- ▶ **Relevant benchmark reports, external and internal reference points, that may be used to provide information on programme learning outcomes**
- ▶ **Programme structure and requirements including levels, courses, credits, etc**
- ▶ **The date of writing the programme specifications.**



The information to be included in the courses specifications include the below:

- ▶ **Course title**
- ▶ **Course requirements such as pre-requisites, credits, etc**
- ▶ **Expected learning outcomes of the course in terms of knowledge, skills, and attitude**
- ▶ **Teaching, learning, and assessment methods that enable the expected learning outcomes to be achieved**
- ▶ **Course description, outline, or syllabus**
- ▶ **Details of student assessment**
- ▶ **Date on which the course specification was written or revised.**

(P.20)

Criterion 2 - Programme Structure and Content

Addendum

- c In the context of planning and delivering the programme research component that is aligned to the expected learning outcomes, the term “course” or “courses” should be referred to programme activities or/and assessment tasks related to monitoring progression and reviewing academic performance of a postgraduate student.
- d Consequently, the term “constructive alignment” for the programme research component could be shown or demonstrated by mapping between the expected learning outcomes of the programme with activities or/and assessment tasks related to progress and performance reviews of a doctorate candidate/student.

Criterion 3 - Teaching and Learning Approach

Requirements

- 3.1 The educational philosophy is shown to be articulated and communicated to all stakeholders. It is also shown to be reflected in the teaching and learning activities^e.
- 3.2 The teaching and learning activities^e are shown to allow students to participate responsibly in the learning process.
- 3.3 The teaching and learning activities^e are shown to involve active learning by the students.
- 3.4 The teaching and learning activities^e are shown to promote learning, learning how to learn, and instilling in students a commitment for life-long learning (e.g., commitment to critical inquiry, information-processing skills, and a willingness to experiment with new ideas and practices).
- 3.5 The teaching and learning activities^e are shown to inculcate in students, new ideas, creative thought, innovation, and an entrepreneurial mindset.
- 3.6 The teaching and learning processes are shown to be continuously improved to ensure their relevance to the needs of industry and are aligned to the expected learning outcomes.

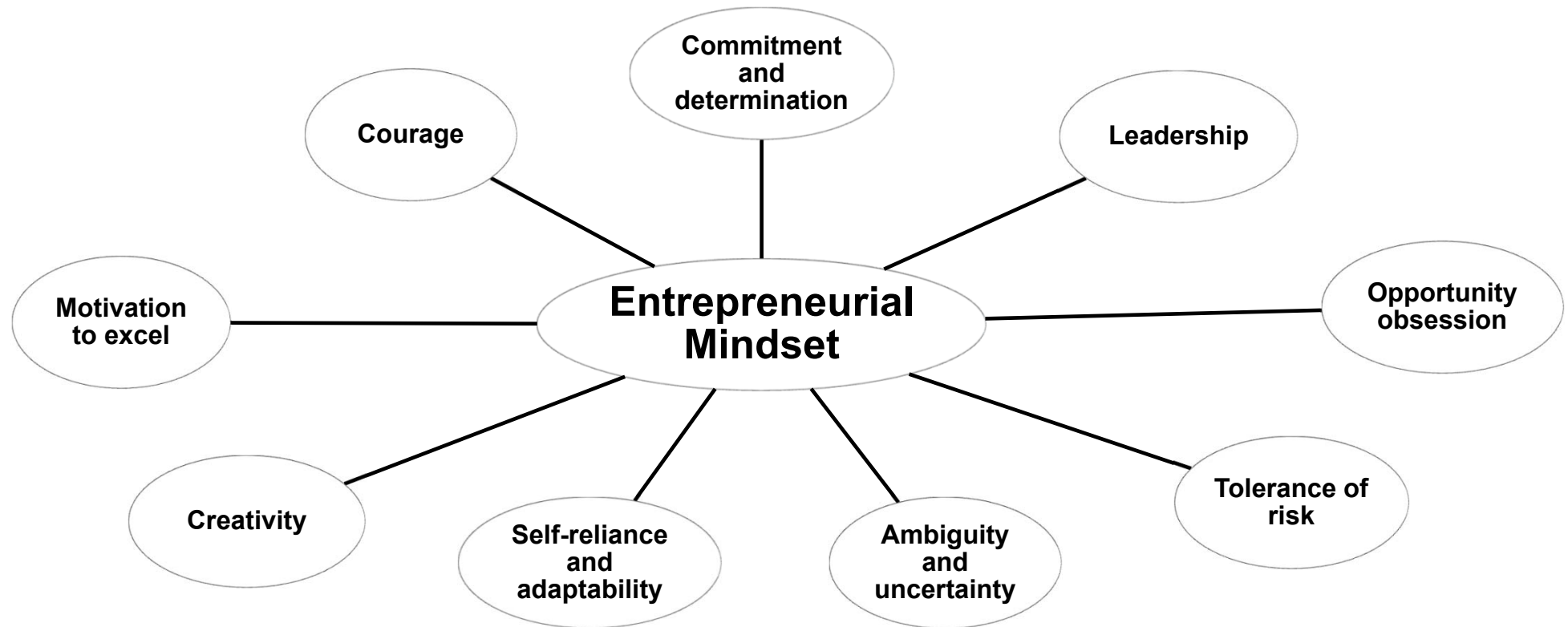
Criterion 3 - Teaching and Learning Approach

Addendum

e The term “teaching and learning activities” for the programme research component may include discussion and consultation with the supervisors as well as programme activities and assessment tasks that are related to progress monitoring and performance reviews of a postgraduate student.

Entrepreneurial Mindset

A set of core attributes that are central to entrepreneurial behavior (Timmons, 2007):



Source: Timmons, J., & Spinelli, S. (2007). *New Venture Creation*. Boston: McGraw Hill.

Criterion 4 - Student Assessment

Requirements

- 4.1 A variety of assessment methods^f are shown to be used and are shown to be constructively aligned to achieving the expected learning outcomes and the teaching and learning objectives.
- 4.2 The assessment and assessment-appeal policies are shown to be explicit, communicated to students, and applied consistently.
- 4.3 The assessment standards and procedures for student progression and degree completion, are shown to be explicit, communicated to students, and applied consistently.
- 4.4 The assessments methods^f are shown to include rubrics, marking schemes, timelines, and regulations, and these are shown to ensure validity, reliability, and fairness in assessment.
- 4.5 The assessment methods^f are shown to measure the achievement of the expected learning outcomes of the programme and its courses.
- 4.6 Feedback of student assessment is shown to be provided in a timely manner.
- 4.7 The student assessment and its processes are shown to be continuously reviewed and improved to ensure their relevance to the needs of industry and alignment to the expected learning outcomes.

Criterion 4 - Student Assessment

Addendum

f The term “assessment methods” for the programme research component may include semester-based and/or annual progress monitoring and reviews of student’s academic performance, as well as the final assessment of the thesis or dissertation leading to award of the postgraduate degree. The final assessment of the thesis or dissertation may also be referred to as viva-voce or thesis/dissertation defence.

Student Assessment

An example of a assessment rubric – criterion-referenced

Criteria	Skill Domains	Fail	Pass	Credit	Distinction	Higher Distinction
Introduction	5	0 – 49% (0 < 2.5)	50 – 59% (2.5 - <3)	60 – 69% (3 - <3.5)	70 – 79% (3.5 - <4)	80 – 100% (4 – 5)
	Knowledge and Understanding of Research Topic	Neither implicit nor explicit reference is made to the topic that is to be examined.	The topic that is to be examined is introduced.	The topic is introduced, and the direction of the report is clear.	The topic is well introduced, and the direction of the report is clear.	The topic is well introduced, and the direction of the report is very clear.
Findings	10	0 – 49% (<5)	50 – 59% (5 – <6)	60 – 69% (6 - <7)	70 – 79% (7 - <8)	80 – 100% (8 – 10)
	Thinking and Inquiry Skills	Insufficient and/or inappropriate research sources Ineffective organisation Material is interpreted with limited accuracy	Research sources are sufficient and appropriate Organisation of material is somehow effective Material is interpreted with some accuracy	Research sources are sufficient and appropriate Organisation of material is effective Material is interpreted with accuracy	Research sources are abundant and appropriate Organisation of material is highly effective Material is interpreted with high accuracy	Research sources are abundant and completely appropriate Organisation of material is highly effective Material is interpreted with very high accuracy

Performance Levels

Criteria

Descriptors

Criterion 5 - Academic Staff

Requirements

- 5.1 The programme to show that academic staff planning (including succession, promotion, re-deployment, termination, and retirement plans) is carried out to ensure that the quality and quantity of the academic staff fulfil the needs for education, research, and service.
- 5.2 The programme to show that staff workload is measured and monitored to improve the quality of education, re search, and service.
- 5.3 The programme to show that the competences⁹ of the academic staff are determined, evaluated, and communicated.
- 5.4 The programme to show that the duties allocated to the academic staff are appropriate to qualifications, experience, and aptitude.



Explanation

A competent academic staff is able to:

- Design and deliver a coherent teaching and learning curriculum.
- Apply a range of teaching and learning methods and select the most appropriate assessment methods to achieve the expected learning outcomes.
- Develop and use a variety of instructional media.
- Monitor and evaluate their own teaching performance and evaluate courses that they deliver.
- Reflect upon their own teaching practices.
- Conduct research and provide services to benefit stakeholders.

Criterion 5 - Academic Staff

Requirements

- 5.5 The programme to show that promotion of the academic staff is based on a merit system which accounts for teaching, research, and service.
- 5.6 The programme to show that the rights and privileges, benefits, roles and relationships, and accountability of the academic staff, taking into account professional ethics and their academic freedom, are well defined and understood.
- 5.7 The programme to show that the training and developmental needs^h of the academic staff are systematically identified, and that appropriate training and development activities are implemented to fulfil the identified needs.
- 5.8 The programme to show that performance management including reward and recognition is implemented to assess academic staff teaching and research quality.

Criterion 5 - Academic Staff

Addendum

- g The term “competences” of academic staff appointed to be a supervisor for a master’s or doctorate candidate or student should include competence to provide an effective supervision for a master’s or doctorate level project. This may include skills in providing guidance for the students to carry out their research works based on their study plan and monitor the student’s progression as according to the plan in order to ensure that they can finish their project as planned.
- h As such, the phrase “training and developmental needs” of the academic staff may include training on how to be an effective supervisor for a master’s or doctorate candidate or student.

Number of Academic Staff (specify reference date and method of calculation used for FTE of academic staff)

Category	M	F	Total		Percentage of PhD
			Headcount	FTE	
Professors					
Associate/Assistant Professors					
Full-time Lecturers					
Part-time Lecturers					
Visiting Professors/Lecturers					
Total					

Criterion 6 - Student Support Services

Requirements

- 6.1 The student intake policy, admission criteria, and admission procedures to the programme are shown to be clearly defined, communicated, published, and up-to-date.
- 6.2 Both short-term and long-term planning of academic and non-academic support services are shown to be carried out to ensure sufficiency and quality of support services for teaching, research, and community service.
- 6.3 An adequate system is shown to exist for student progress, academic performance, and workload monitoring. Student progress, academic performance, and workload are shown to be systematically recorded and monitored. Feedback to students and corrective actions are made where necessary.

Criterion 6 - Student Support Services

Requirements

- 6.4 Co-curricular activities, student competition, and other student support services are shown to be available to improve learning experience and employability.
- 6.5 The competences of the support staff rendering student services are shown to be identified for recruitment and deployment. These competences are shown to be evaluated to ensure their continued relevance to stakeholders needs. Roles and relationships are shown to be well-defined to ensure smooth delivery of the services.
- 6.6 Student support services are shown to be subjected to evaluation, benchmarking, and enhancement.

Number of Support Staff (specify reference date)

Support Staff	Highest Educational Attainment				Total
	High School	Bachelor	Master	Doctoral	
Student Services Personnel (enumerate the services)					
Total					

Intake of First-year Students (last five academic years)

Academic Year	Applicants		
	No. Applied	No. Offered	No. Admitted/Enrolled

(P.33)

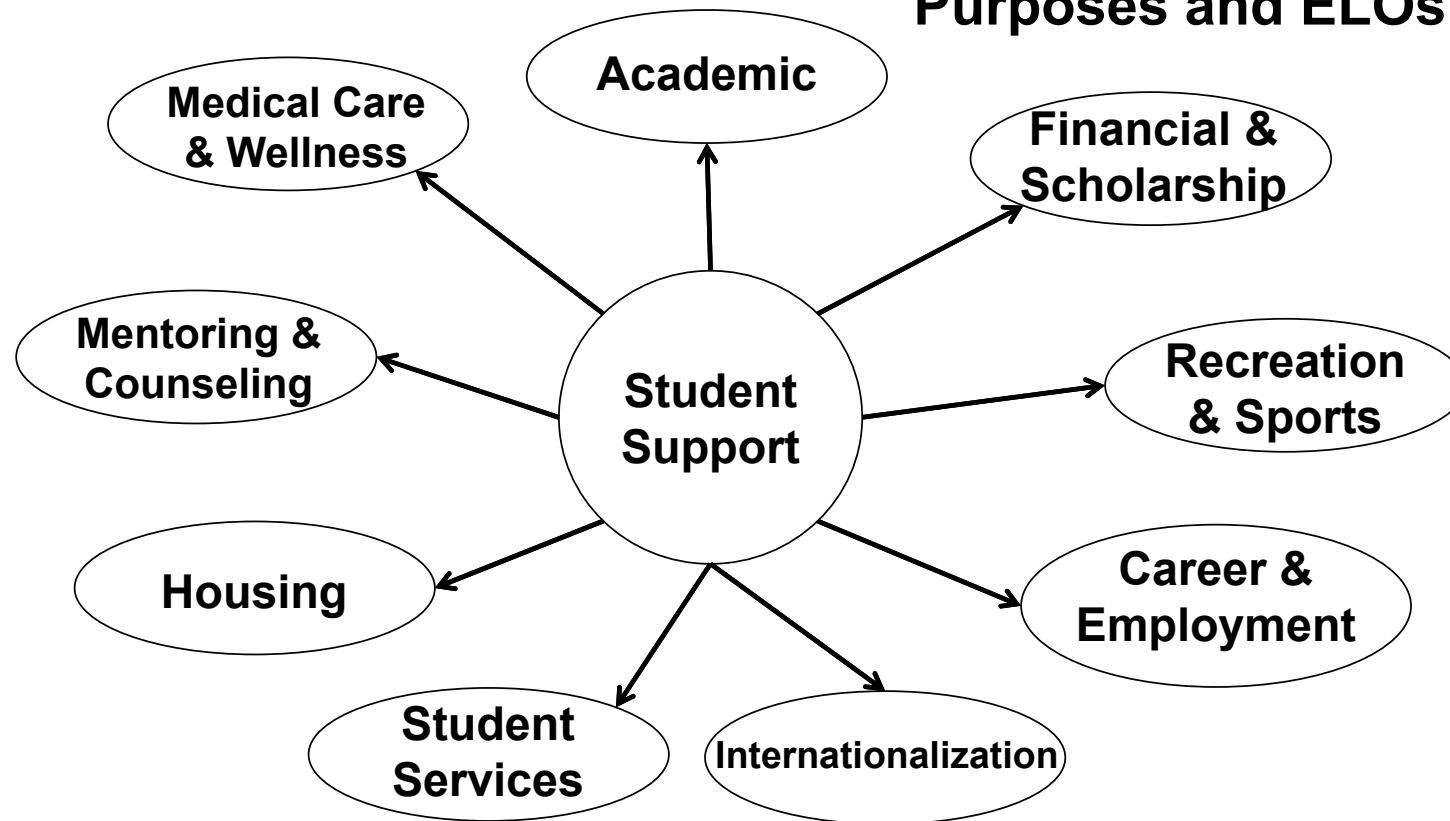
Total Number of Students (last five academic years)

Academic Year	Students					
	1 st Year	2 nd Year	3 rd Year	4 th Year	>4 th Year	Total

(P.33)

Student Support

Must serve Programme Purposes and ELOs



Criterion 7 - Facilities and Infrastructure

Requirements

- 7.1 The physical resources to deliver the curriculum, including equipment, material, and information technology, are shown to be sufficient.
- 7.2 The laboratories and equipment are shown to be up-to-date, readily available, and effectively deployed.
- 7.3 A digital library is shown to be set-up, in keeping with progress in information and communication technology.
- 7.4 The information technology systems are shown to be set up to meet the needs of staff and students.
- 7.5 The university is shown to provide a highly accessible computer and network infrastructure that enables the campus community to fully exploit information technology for teaching, research, service, and administration.

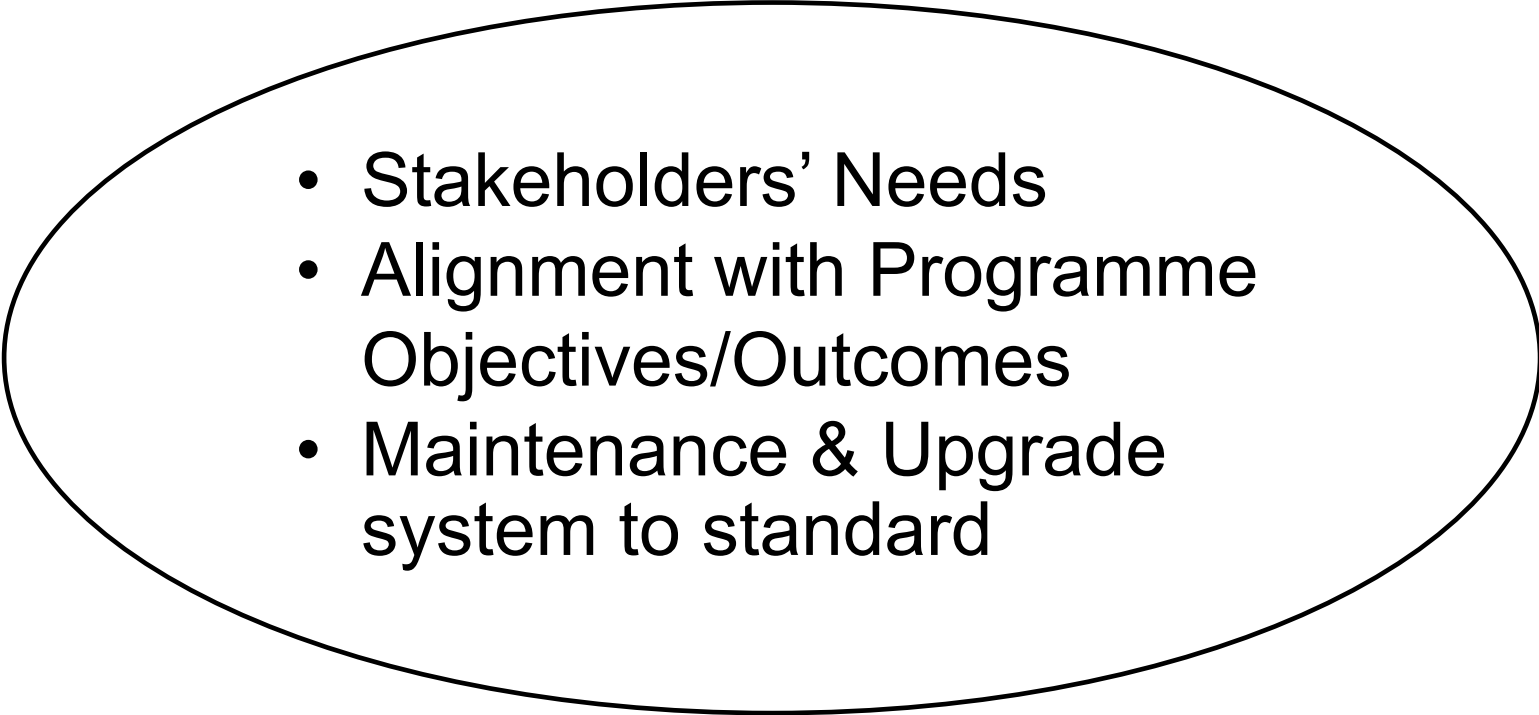
Criterion 7 - Facilities and Infrastructure

Requirements

- 7.6 The environmental, health, and safety standards and access for people with special needs are shown to be defined and implemented.
- 7.7 The university is shown to provide a physical, social, and psychological environment that is conducive for education, research, and personal well-being.
- 7.8 The competences of the support staff rendering services related to facilities are shown to be identified and evaluated to ensure that their skills remain relevant to stakeholder needs.
- 7.9 The quality of the facilities (library, laboratory, IT, and student services) are shown to be subjected to evaluation and enhancement.



Facilities and Infrastructure

- 
- Stakeholders' Needs
 - Alignment with Programme Objectives/Outcomes
 - Maintenance & Upgrade system to standard

Criterion 8 - Output and Outcomes

Requirements

- 8.1 The pass rate, dropout rate, and average time to graduateⁱ are shown to be established, monitored, and benchmarked for improvement.
- 8.2 Employability^j as well as self-employment, entrepreneurship, and advancement to further studies, are shown to be established, monitored, and benchmarked for improvement.
- 8.3 Research and creative work output^k and activities carried out by the academic staff and students, are shown to be established, monitored, and benchmarked for improvement.
- 8.4 Data are provided to show directly the achievement of the programme outcomes, which are established and monitored.
- 8.5 Satisfaction level of the various stakeholders are shown to be established, monitored, and benchmarked for improvement.

Pass Rates and Dropout Rate (last five cohorts)

Academic Year	Cohort Size	% Completed First Degree in			% Dropout During			
		3 Year	4 Year	>4 Year	1 st Year	2 nd Year	3 rd Year	4 th Year & Beyond

(P.37)

Criterion 8 - Output and Outcomes

Addendum

- i The component “average time to graduate” may be or may not be considered based on contexts of the discipline and the country. While average time to graduate could indicate programme efficiency and may still be monitored, if average time to graduate for a postgraduate programme is not considered important in the country’s higher education eco-system of the assessed institution, this component may be omitted in the evaluation process for this requirement. However, the consideration of this component is subject to the judgement by the lead assessor, upon consultation with the chief assessor.

Criterion 8 - Output and Outcomes

Addendum

- j The component “employability” for master’s or doctorate graduates may be or may not be considered in the assessment process based on the country’s contexts. Even though it may be monitored periodically as one of the programme metrics, there may be circumstances that the graduate employability of the programme may not be a norm in the country of the assessed institution or viable indicator for measurement of the programme achievement. In this case, this component or the whole statement in the Requirement 8.2 may be omitted in the evaluation process. Alternatively, other “appropriate measures” may be used to monitor the success of the postgraduate programme. As such, similar to the Requirement 8.1, the consideration of this component or the whole Requirement 8.2 is subject to the judgement by the lead assessor, upon consultation with the chief assessor.

Criterion 8 - Output and Outcomes

Addendum

k The term “research and creative work output” may include any kind of output or deliverables produced by the academic staff and students in conjunction with the research and creative work activities carried out and performed by the academic staff and students involved in the programme. The outputs or deliverables may be in form of publication materials such as journal articles, articles or chapters in books, technical reports, monographs, artefacts, etc.

Types and Number of Research Publication

Academic Year	Types of Publication				Total	No. of Publications per Academic Staff
	In-house Institutional	National	Regional	International		

Rating Scale

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

Rating Scale

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