

# **Indonesian Accreditation Agency for Higher Education in Health (IAAHEH)**



## **HANDBOOK FOR ASSESSORS**

**PHD PROGRAM**

**IN MEDICINE AND HEALTH SCIENCES**

## FOREWORD

Thanks to God Almighty, who has given us the strength that this handbook entitled: “PhD Program in Medicine and Health Sciences Accreditation – Handbook for Assessors” could be finalized. The main reason for writing this handbook is to support the assessor team in assessing the PhD programs that are willing to be accredited by the Indonesian Accreditation Agency for Higher Education in Health (IAAHEH).

The handbook was arranged to be simple and easy to read, so every assessor who reviews a PhD Program will have the same perception as his/her colleague assessors in understanding and interpreting each criterion and to what extent he/she perceives the level of compliance of PhD Program to each standard/criterion. The handbook is expected to give the assessor team stronger self-confidence in describing his/her expert judgment.

The WFME, ORPHEUS, and AMSE Standards for PhD Education in Biomedicine and Health Sciences in Europe are the main references for this book to maintain its international standard for PhD Programs.

This book is written by a team of medical education experts who come from several well-known universities. I thank them for their hard work in writing and finishing the book. I am pretty sure the writers expect that after understanding the handbook, the assessor team will be highly motivated to review the PhD Program's education process to facilitate continuous quality improvement.

Jakarta, August 5<sup>th</sup>, 2024

Prof. Usman Chatib Warsa, MD., PhD  
The Chairman of IAAHEH

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## Chapter 1. Accreditation Criteria

### Criteria 1. Mission and Values

#### 1.1 Stating the mission: The PhD program has a public statement that sets its values, priorities, and goals.

Consider the role, audiences, and uses of the mission statement. Briefly and concisely describe the PhD program's purpose, values, educational goals, research functions, and relationships with the healthcare service and communities.

Key Questions	Criteria for Compliance
1.1.1. How is the mission statement specially tailored to the PhD program?	<ul style="list-style-type: none"><li>• PhD program mission statement accommodates the research roadmap of the graduate school.</li><li>• The mission statement includes health problems at the national and international levels.</li></ul>
1.1.2. How does it fit with the regulatory standards of the IAAHEH and with relevant national governmental requirements, if any?	<ul style="list-style-type: none"><li>• PhD program translates the relevant national/international regulations and standards into its own regulations and standards concordantly.</li><li>• PhD program considers the local circumstances and uniqueness in implementing the national regulations and standards.</li></ul>
1.1.3. How is it publicised?	<ul style="list-style-type: none"><li>• PhD program uses various media for publication of its mission and programs.</li></ul>

#### **Guidance for Assessor**

The PhD program has formulated its mission statement based on identifying health problems using a sound and scientific methodological approach. The PhD program also considers the vision and mission of the university.

The PhD program concordantly translates the relevant national/international regulations and standards into PhD program standards and regulations. The PhD program considers the graduate school research roadmap, national strategies, policies, or educational directives that may exist, the local circumstances, and uniqueness in implementing the national/international regulations and standards.

The graduate school has selected media to publish its mission and programs based on available resources and capacity.

#### **Supporting documents, may include, but not limited to the following:**

- Research roadmap documents.
- Media use to publish vision, mission, aims, and strategies.
- Mission statements written in the curriculum book

## Criteria 2. Curriculum

### 2.1 Intended Outcomes: The PhD program has defined the graduate learning outcomes that PhD candidates should have achieved by graduation and the intended learning outcomes for each part of the course as partial fulfilment.

Outcomes clearly describe what is intended regarding values, behaviours, skills, knowledge, and preparedness for being a PhD. Consider whether the defined outcomes align with the research's roadmap. Analyse whether the specified learning outcomes address the knowledge, skills, and behaviours each part of the course intends its PhD candidates to attain. Consider how the outcomes can be used as the basis for the design and delivery of content, the assessment of research and PhD candidate progress and evaluation of the course.

Key Questions	Criteria for Compliance
2.1.1 How were the intended outcomes for the PhD program and for each part of the course designed and developed?	<ul style="list-style-type: none"><li>• PhD program uses its mission and research roadmap in the formulation of intended graduate outcomes</li></ul>
2.1.2 What are the graduate outcomes of the PhD program?	<ul style="list-style-type: none"><li>• After completing PhD program, graduates are capable to:<ul style="list-style-type: none"><li>▪ provide candidates with competencies that enable them to become an independent researcher, capable of conducting responsible, original, and independent research according to principles of good research practice.</li><li>▪ develop new knowledge, technology, and/or art in their expertise or professional practice through research, thus producing creative, original, and tested works.</li><li>▪ pursue careers inside and outside of academia. Transferable skills, including but not limited to critical thinking, problem-solving, leadership, teaching, communication, and project management skills, should be supported as part of a candidate's PhD training program.</li><li>▪ solve scientific, technological, and/or artistic problems in their field through interdisciplinary, multi-disciplinary, and transdisciplinary approaches.</li><li>▪ manage, lead, and develop research and development that is beneficial for the advancement of science and the welfare of humanity, as well as capable of gaining national and international recognition.</li></ul></li></ul>

#### **Guidance for Assessor**

The PhD program formulates intended graduate outcomes based on the mission and research roadmap. The course outcomes are consistently derived from the intended graduate outcomes. The PhD program has proper procedures in curriculum development, consisting of planning and

design, implementation, and evaluation guided by the PhD program's mission and research roadmap.

The graduate outcomes of PhD program may include the following competencies:

- Carry out an accountable, autonomous research, based on the principles and guidelines for good research practice.
- Solve difficult problems using critical appraisal and evaluation, transfer new knowledge and technology as well as develop new concepts.
- Implement an appropriate knowledge and skill of a specific research area and technology.
- Plan and conduct study in an honest manner that potential to be published internationally.
- Conceive, design, implement and adapt a substantial process of original research, with scholarly integrity, at a level that merits refereed publication or demonstrable impact, such as technological, social or cultural advancement in a knowledge-based society.
- Disseminate their finding to their community of practice in a scientific forum.
- Demonstrate a strong leadership in managing a research team and able to transfer their knowledge and skill to others.

The formalised courses would include:

- courses in ethics, health and safety, animal experimentation (if applicable), research methodology and statistics, and elective discipline-specific components to support PhD candidates in their scientific research.
- courses in transferable skills could include training of PhD candidates in presentation of their research (oral/poster/papers) to academic and non-academic audiences, in university teaching, in linguistic skills, in project management, in grant application, in critical evaluation of scientific literature, in supervision of technicians and research PhD candidates, and in career development and networking.
- Courses in transferable skills are important for those who may be expected to continue in research, in either public or private institutions and for those who continue towards careers in other fields.

Studies for a medical qualification may be combined with a PhD program to form a structured MB/PhD or MD/PhD program. The nomenclature will depend on national traditions/institutional regulations.

**2.2 Curriculum Organisation and Structure:** The PhD program consists of courses related to ethics, health, and safety, animal experimentation (if applicable), research methodology and statistics, and elective discipline-specific components to support PhD candidates in their scientific research, research activities, and PhD thesis.

Key Questions	Criteria for Compliance
2.2.1 What are the essential requirements of the PhD program?	<ul style="list-style-type: none"><li>• PhD training programs should be based on original research, courses, and other activities, including analytical and critical thinking.</li><li>• PhD programs should be performed under supervision.</li></ul>

Key Questions	Criteria for Compliance
	<ul style="list-style-type: none"> <li>• PhD programs should ensure that PhD candidates have substantial training in the rules concerning ethics and responsible conduct in research.</li> <li>• PhD programs should be structured with a clear time limit. Part-time PhD programs and extension of the time frame should be possible but limited and exceptional. The time frame should be extended in connection with parental leave and sick leave.</li> </ul>
2.2.2 What is the structure of the PhD program?	<ul style="list-style-type: none"> <li>• The program should include formalised courses in line with national regulations, parallel with the PhD project. A substantial part of the course program should be concerned with training in transferable skills.</li> <li>• There should be arrangements to allow PhD candidates, if relevant, to perform part of their PhD program at another institution, including those in other countries.</li> <li>• PhD programs performed in parallel with clinical or other professional training should have equal time for research and course work as any other PhD program.</li> <li>• The training program should include documented learning and professional development activities (e.g. courses, journal clubs, participation in conferences, seminars and workshops, teaching, demonstrating). A substantial part of these training activities should be transferable skills.</li> </ul>
2.2.3 What are the requirements of PhD Thesis?	<ul style="list-style-type: none"> <li>• The benchmark for the PhD thesis should be the outcome to be expected from research at the international level. This is equivalent to papers published in internationally recognized, peer-reviewed journals in medicine and health sciences or similar scientific output including patent, policy brief, etc.</li> <li>• In addition to the papers presented, the PhD thesis should include a full review of the literature relevant to the themes in the papers and a full account of the research aims, methodological considerations, results, discussion, conclusions, and further perspectives of the PhD project.</li> <li>• If the PhD thesis is presented in other formats, such as a single monograph; the assessment</li> </ul>



Key Questions	Criteria for Compliance
	<p>committee should ensure that the contribution is at least equivalent to the above benchmark.</p> <ul style="list-style-type: none"> <li>• A PhD thesis in clinical medicine should meet the same standards as other PhD theses.</li> <li>• To encourage international recognition, the thesis should be written and optimally defended in English unless national regulations stipulate otherwise or where this is not possible or desirable. An abstract of the PhD thesis should be published in English.</li> <li>• PhD theses should be published on the graduate school's home page, preferably in extenso. If patent or copyright legislation or other reasons prevent this, at least abstracts of the theses should be publicly accessible.</li> <li>• There should be a lay summary of the thesis in the local language.</li> <li>• The PhD candidate should be able to take full intellectual responsibility for all parts of the thesis. In considering these requirements, the assessment committee should take into account the provisos listed in the Annotations at the end of this section.</li> <li>• The PhD thesis should include a full review of the literature relevant to the themes in the papers or manuscript, a full account of the research aims, methodological considerations, results, discussion, conclusions, and further perspectives of the PhD project</li> </ul>

#### **Guidance for Assessor**

A full-time limit for the PhD program has several purposes:

- It guarantees that there is an upper limit to the amount of scientific work, which can be expected to be included in a PhD thesis and is an effective way to avoid the requirements for a PhD degree escalating over time.
- It encourages the PhD candidate to devote concentrated time to the scientific problem, and to ensure that the program is based on original research.
- It allows graduate schools to develop structures for handling a steady stream of PhD candidate.
- It encourages the PhD candidate to focus on their research question
- Prior to submission of PhD thesis, the PhD program may organize a series of formative assessment as part of the supervision of the research process.
- The PhD thesis should be the basis for evaluating whether the PhD candidate has acquired the skills to carry out independent, original, and scientifically significant research and to critically evaluate work done by others.

By internationally recognized journals is meant good quality journals in the field concerned that are included in PubMed, Science Citation Index, or similar medicine and health science literature databases. The quality of the PhD thesis will often be judged by the impact factor of the journals.

It is generally understood that the PhD candidate has made a major contribution to each of the individual studies in the thesis and for publications, is the first author of at least some of the papers in the thesis.

By equivalent scientific papers is meant that some of the papers may be manuscripts having the same level as a published paper. Some institutions require that at least one paper is published (sometimes with the additional requirement of impact factors above a certain level). Some institutions allow that a patent, or policy brief, be accepted instead of a paper. In such cases the scientific content should be similar to that of a published paper.

The recommendation of English as best practice relates to this language being the language most widely used in the medicine and health sciences literature, and thus the language best suited to encouraging internationalisation. If English as the language of publication is not feasible, then any other UN recognised international languages could be used provided an abstract in English is available.

**Supporting documents, may include, but not limited to the following:**

- Curriculum book
- Instructional design book
- PhD candidates' guideline book

## 2.3 Research Environment.

Key Questions	Criteria for Compliance
2.3.1 How is the research environment in your institution?	<ul style="list-style-type: none"> <li>• Strong research environment can be reflected by identifying the following matters: <ul style="list-style-type: none"> <li>▪ Research strength of the available research group, department, and the PhD program, national and international networking with high-quality/recognized research institutions.</li> <li>▪ It can be measured by: <ul style="list-style-type: none"> <li>○ Faculty Expertise,</li> <li>○ Research Facilities,</li> <li>○ Funding Opportunities,</li> <li>○ Collaborative Opportunities,</li> <li>○ Research Culture,</li> <li>○ Professional Development,</li> <li>○ Supportive Infrastructure,</li> <li>○ Ethical Guidelines</li> </ul> </li> </ul> </li> </ul>

### **Guidance for Assessor**

**Faculty Expertise:** A strong Ph.D. program will have faculty members who are experts in their respective fields. These faculty members provide mentorship, guidance, and expertise to Ph.D. candidates throughout their research journey.

**Research Facilities:** Access to state-of-the-art research facilities, laboratories, equipment, and resources is crucial for conducting high-quality research. This may include specialized labs, research centres, libraries, computing resources, and archives.

**Funding Opportunities:** Ph.D. students often require funding to support their research, travel to conferences, and other academic activities. A supportive research environment will offer various funding opportunities such as fellowships, grants, scholarships, and research assistantships.

**Collaborative Opportunities:** Collaboration with other researchers, both within and outside the institution, can enrich the research experiences and facilitate interdisciplinary approaches to solving complex problems. A vibrant research environment fosters collaboration through seminars, workshops, conferences, and research projects. There should be arrangements to allow PhD candidates, if relevant, to perform part of their PhD program at collaborative institutions, nationally or internationally.

**Collaborative Degree:** The possibility of collaborative degrees could be explored to promote cooperation between doctoral schools. Collaborative degrees range from joint degrees (by which candidates receive a single joint PhD degree conferred by two institutions based on a joint PhD study program) to dual degrees (by which candidates receive two degrees from collaborating institutions on the background of a joint PhD study program), as well as cotutelle agreements (typically with joint supervision, joint enrolment).

**Research Culture:** A positive research culture that values curiosity, innovation, and scholarly rigor is essential for fostering intellectual growth and creativity. This may include regular research seminars, journal clubs, colloquia, and other academic events that promote scholarly exchange and discussion.

**Professional Development:** Ph.D. programs should offer opportunities for professional development to help PhD candidates develop essential skills for their academic and professional careers. This may include workshops on research methodologies, academic writing, presentation skills, teaching experience, and career planning.

**Supportive Infrastructure:** Adequate administrative support and infrastructure are necessary for managing various aspects of the Ph.D. program, including admissions, enrolment, progress tracking, and thesis/dissertation submission.

**Ethical Guidelines:** A strong research environment upholds high ethical standards and promotes integrity in research practices. This includes adherence to ethical guidelines for conducting research involving human subjects, animal subjects, and other ethical considerations relevant to the field of study.

**Supporting documents, may include, but not limited to the following:**

- Faculty profile
- MoU/contract/grants – research collaboration
- List of inventories
- Ethical guidelines
- Standard operating procedures
- Faculty development program
- Academic activities
- Publication of scientific articles in reputable journals by faculty
- Research roadmaps.

## **2.4 Research and Publication Ethics**

<b>Key Questions</b>	<b>Criteria for Compliance</b>
2.4.1 Research Ethics. Is there any ethical committee/institutional review board (IRB)? Position of the ethical committee/IRB? What are their roles? What is the procedure to obtain research ethical clearance? Is it in line with the international ethical standard? Who are the ethical committee members?	<ul style="list-style-type: none"><li>• There is an ethical committee/IRB, which could be at the university or faculty levels. The workload of the ethical committee/IRB should be considered in deciding the committee's position.</li><li>• The committee's role is to review and decide on research proposals.</li><li>• Availability of mechanisms in applying for ethical clearance</li><li>• Conformity with International Ethical Standards such as Helsinki Declaration II (clinical), EU Directive 2010/63/EU (animal), and Oviedo Convention (bioethics).</li><li>• The ethical members consist of staff who are experts and competent in the medical/biomedical/health research field.</li></ul>
2.4.2 Publication ethics	<ul style="list-style-type: none"><li>• The PhD program should provide an application system and mechanism for avoiding plagiarism.</li><li>• The PhD program should provide regulations concerning authorship.</li></ul>

### **Guidance for Assessor**

The process of obtaining research ethical clearance typically involves the following steps:

**Submission of Ethical Application:** Researchers submit a detailed ethical application or protocol describing the research study, including its objectives, methodology, participant recruitment procedures, data collection methods, and plans for informed consent and confidentiality.

**Ethical Review:** The ethical application is reviewed by an IRB or ethics committee composed of experts in relevant fields and community representatives. The review assesses the ethical

implications of the research and evaluates whether the proposed study meets ethical standards and regulatory requirements.

**Ethical Approval:** If the research is deemed ethically acceptable, the IRB or ethics committee grants ethical approval, often with specific conditions or recommendations that the researcher should address before the study can proceed.

**Ongoing Monitoring:** In some cases, researchers should provide progress reports or seek additional approval to modify the research protocol. The IRB or ethics committee may also conduct periodic reviews to ensure ongoing compliance with ethical standards.

Ethical clearance is essential for protecting the rights and welfare of research participants, maintaining public trust in research, and ensuring the integrity and credibility of research findings. Researchers have a professional and ethical responsibility to conduct their research following established ethical principles and to obtain the necessary ethical clearance before commencing their study.

It is generally understood that the PhD candidate has made a major contribution to each of the individual studies in the thesis and is the first author of at least some of the papers.

Where the articles or manuscripts are joint publications, co-author statements should document that the PhD student has made a substantial and independent contribution to these. Ownership of results from PhD studies should be clearly stated. This will usually preclude the same publication in more than one thesis.

**Supporting documents, may include, but not limited to the following:**

- Ethical guidelines
- Publication regulation

### Criteria 3. Assessment

#### 3.1. Assessment of Learning

Key Questions	Criteria for Compliance
3.1.1 How does the PhD program decide the candidate meets the expected learning outcome?	<ul style="list-style-type: none"><li>• There should be a continuous, structured assessment of the progress of PhD candidates throughout their PhD program by the school and supervisor.</li><li>• Merit should be given for relevant coursework taken elsewhere or other relevant experience obtained</li><li>• Acceptance of a PhD thesis should include acceptance of both the written thesis and a subsequent oral defense in accordance with institutional regulation.</li><li>• The institution should award PhD degrees based on a recommendation from an Assessment Committee that has evaluated the thesis and the oral defense concerning the standards.</li><li>• The Assessment Committee should consist of established and active scientists without connection to the milieu where the PhD was performed and without conflict of interest. At least there should be examiners from other institutions following institutional regulations.</li><li>• To avoid conflict of interest, the supervisor should not be an assessment committee member. However, some universities allow supervisors to act as assessment committee members, but they should not have a vote in the final decision.</li><li>• In the case of a negative assessment of the written PhD thesis, the PhD candidate should normally be allowed to rewrite the thesis. Where there is a negative assessment of the oral defense, the candidate should normally be allowed an additional defense. In exceptional cases, The Assessment Committee can reject a thesis without an offer to reconsider.</li><li>• The oral examination should include a presentation by the candidate of the research conducted for the PhD award. The examination itself should be detailed enough to ensure that the thesis is the candidate's own work, that the research carried out is original, that the candidate has expertise in the specific area of work and also a broad understanding of the discipline, and that elements of the work have</li></ul>

Key Questions	Criteria for Compliance
	<p>been published, or are publishable, in whole or in part.</p> <ul style="list-style-type: none"> <li>• The oral defense or viva voce should normally be open to the public or the faculty. Where national norms preclude this, PhD candidates should present to faculty before the oral defense takes place</li> <li>• To promote internationalisation, it is advisable that The Assessment Committee includes at least one member from another country.</li> <li>• Apart from the thesis, the institution should ensure sufficient transferable skills are acquired during the PhD program.</li> <li>• Graduate schools should consider having a thesis committee for each PhD candidate that monitors the progress of the PhD candidate through meetings with the PhD candidate and the supervisors.</li> <li>• The competencies developed during the PhD program could be documented in a portfolio or equivalent. The principal supervisor (and advisory or thesis committee) should oversee the development and record of transferable skills throughout the doctoral program.</li> </ul>

### **Guidance for Assessor**

The form of Assessment Committee varies between institutions. It is here to describe the independent persons who advise concerning the acceptability of the PhD thesis and oral defense.

The Assessment Committee is not to be confused with an advisory or thesis committee which supports the ongoing progress of the doctorate.

To allow PhD candidates to find employment as soon as possible after submitting the thesis, the time between submission and defense should be as short as possible and consistent with critical assessment.

Institutions should explore the use of information technologies to allow some members of The Assessment Committee to participate in the thesis evaluation and defense at a distance to achieve an independent, competent, and more affordable international examination.

### **Supporting documents, may include, but not limited to the following:**

- Assessment Committee role and function
- Thesis evaluation and defense procedure

### 3.2. Assessment in Support of Learning:

- a) The graduate school has in place a system of assessment that regularly offers PhD candidates actionable feedback that identifies their strengths and weaknesses and helps them consolidate their learning.
- b) These formative assessments are tied to educational interventions to ensure that all PhD candidates could achieve their potential.
- c) Feedback is one of the biggest drivers of educational achievement. PhD candidates need to be assessed early and regularly in courses for the purpose of providing feedback that guides their learning. This includes early identification of underperforming PhD candidates and the offer of remediation.

Key Questions	Criteria for Compliance
3.2.1 How are PhD candidates assessed to support their learning?	<ul style="list-style-type: none"><li>• PhD candidates are assessed based on their performance in conducting research by giving feedback regularly.</li><li>• There should be continuous assessments of the progress of PhD candidates throughout their PhD program.</li></ul>
3.2.2 How are PhD candidates assessed to determine those who need additional help?	<ul style="list-style-type: none"><li>• PhD candidates' performance should be assessed regularly/continuously by the supervisors to identify the need for additional support.</li></ul>
3.2.3 What support systems are offered to those PhD candidates with identified needs?	<ul style="list-style-type: none"><li>• Graduate school provides a PhD candidate support system that enables the candidates to access whenever needed. The system includes a mechanism where PhD candidates can consult their problems with supervisors to a higher level of education management, including psychologists/psychiatrists.</li></ul>

#### **Guidance for Assessor**

The graduate school provides feedback for summative and formative assessments. A narrative assessment such as a portfolio or logbook could be included where there is direct feedback from the supervisor to the candidate in a timely manner. During the study, the graduate school designs a system to guarantee that all candidates have the opportunity to obtain learning and research experiences and direct feedback from the supervisor.

Every candidate has an academic counselor/supervisor who evaluates and monitors the candidate's learning progress, such as PhD candidate's achievement, GPA, and portfolio. Available data is used to identify candidates who need support. Graduate school provides a PhD candidate support system assigned to fulfill candidates' needs in academic and non-academic issues.



**Supporting documents, may include, but not limited to the following:**

- Logbook
- Portfolio
- Learning Management System (including candidate's progress/achievement)

**3.3. Assessment in Support of Decision-Making: a) The graduate school has in place a system of assessment that informs decisions on progression and graduation. b) These summative assessments are appropriate for measuring course outcomes. c) Assessments are well-designed, producing reliable and valid judgment**

Assessment for decision-making is essential to institutional accountability. These assessments should be fair to PhD candidates, and they should attest to all aspects of competencies as a group.

Key Questions	Criteria for Compliance
3.3.1 How are thresholds set on summative assessments?	<ul style="list-style-type: none"> <li>• The decisions on progression and graduation of PhD candidates across all expected graduate outcomes are made by conducting a regular meeting of the thesis team.</li> <li>• The PhD program makes decisions on progression and graduation across all expected graduate outcomes.</li> </ul>
3.3.2 What appeal mechanisms regarding assessment results are in place for PhD candidates?	<ul style="list-style-type: none"> <li>• There should be an appeal mechanism allowing PhD candidate to dispute decisions concerning their programs and assessment of their theses.</li> <li>• The graduate school provides the policy on appeal mechanisms for the assessment results.</li> <li>• The candidates are well-informed about the appeal mechanisms.</li> <li>• The graduate school, PhD program, and thesis team have been involved in implementing appeal mechanisms.</li> <li>• If there are disputes between the candidates and the school regarding the candidate's appeal, the graduate school should consult the authorities at the university level.</li> </ul>
3.3.3 How are assessments used to guide and determine PhD candidates' progression?	<ul style="list-style-type: none"> <li>• In deciding on PhD candidate's progression, the thesis team uses available candidate assessment data across all expected graduate learning outcomes.</li> <li>• The thesis team collects and compiles available data from the candidate's formative and summative assessments across all expected graduate outcomes.</li> </ul>

### **Guidance for Assessor**

The assessment system should include decisions on progression and graduation at all educational levels and across all expected graduate outcomes. The assessment standards and procedures should be clearly stated, shared with candidates, and applied consistently.

The graduate school has developed a policy/system regarding assessment appeal, which is clear, distributed to all candidates, and implemented continuously. The system includes faculty members who are responsible for reviewing and solving these issues. If an agreement is not reached among all the parties involved, it will be reported to a higher authority.

The supervisors regularly evaluate and monitor the candidates' progress in learning outcomes. The candidate's progress is then informed to the candidate, and their supervisor can also monitor the visor. The supervisor should provide feedback to improve candidates' achievement.

### **Supporting documents, may include, but not limited to the following:**

- Standard operational procedure for assessment
- Appeal mechanism
- Document of Quality Assurance system: planning and implementation

### **3.4. Quality control: a) The graduate school has mechanisms to ensure the quality of its assessments. b) Assessment data are used to improve the performance of academic staff, courses, and the institution**

It is important for the graduate school and PhD program to review its individual assessments regularly, as well as the whole assessment system. It is also important to use data and feedback from the assessments, for continuous quality improvement of the assessments, the assessment system, the course, and the institution.

Key Questions	Criteria for Compliance
3.4.1 Who is responsible for planning a quality assurance system for assessment?	<ul style="list-style-type: none"><li>• Graduate school provides an academic quality assurance unit (name may vary), responsible for developing a quality assurance system for assessment.</li></ul>
3.4.2 Who is responsible for implementing a quality assurance system for assessment?	<ul style="list-style-type: none"><li>• Graduate school plans and implements the quality assurance system for assessments.</li></ul>
3.4.3 How is data from assessments used to evaluate supervision and the curriculum in practice?	<ul style="list-style-type: none"><li>• The PhD program collects comments and experiences about the assessment systems from candidates and supervisors through focus group discussions/by fill-in questionnaires.</li><li>• To ensure that those comments and experiences are trustworthy, the PhD program observes the assessment process of the candidates and collects objective data regarding candidates' performance.</li></ul>

Key Questions	Criteria for Compliance
3.4.4 How is data from assessments used to evaluate supervision and the curriculum in practice?	<ul style="list-style-type: none"> <li>Data from assessment results are used to evaluate the supervision and the curriculum in practice by monitoring candidates' progress in achieving expected learning outcomes via information gathered from the supervisors/thesis team and by examining research reports and activities written in the logbook.</li> <li>The assurance and quality team is involved in individual and program assessment quality assurance.</li> </ul>
3.4.5 How are the assessment system and individual assessments regularly reviewed and revised?	<ul style="list-style-type: none"> <li>The assessment system and individual assessment are reviewed at least every semester and revised every five years.</li> </ul>

#### **Guidance for Assessor**

The graduate school assigns a quality assurance and quality team who is responsible for assuring the quality of individual as well as the program assessment. The team includes experts in assessment who plan and implement quality assurance consistently.

Data obtained is then distributed to improve the performance of candidates, supervisors, course organisers, and institutions.

The graduate school develops a system to collect information regarding assessment from the candidates and supervisors (e.g., distributing a questionnaire or google form, focus group discussion).

The quality assurance team collects, reviews and analysis data from course organisers for each assessment regularly. Data collected included portfolio or logbook based on predetermined standards of competencies, and discussions process with rubrics.

Data from assessments are shared with staff to be considered as a basis to improve the supervision and learning process.

The graduate school designates a quality assurance team, medical education unit, or assessment centre to regularly review and revise the assessment system and individual assessments.

#### **Supporting document, may include, but not limited to the following:**

- Standard operational procedure on assessment
- PhD candidate's logbook, assessment as candidates' (evaluation and monitoring candidates' progress) and staff feedback
- Procedures for remediation and counselling
- Support system algorithm.
- Procedure of appeal mechanism
- Document of Quality Assurance system: planning and implementation

## Criteria 4. PhD Candidates

### 4.1. Selection and Admission Policy: The graduate school has a publicly available policy that sets out the aims, principles, criteria, and processes for the selection and admission of PhD candidates.

Where selection and admissions procedures are governed by national policy, it is helpful to indicate how these rules are applied locally. Where the graduate school sets aspects of its own selection and admission policy and process, clarify the relationship of these to the mission statement, relevant regulatory requirements, and the local context. The following admissions issues are important in developing the policy: the relationship between the size of PhD candidate intake (including any international PhD candidates' intake) and the resources, capacity, and infrastructure available to educate them adequately; equality and diversity issues; policies for re-application, deferred entry, and transfer from other schools or courses.

The rights, roles, responsibilities and duties of PhD candidates should be made apparent to all PhD candidates and supervisor.

Key questions:	Criteria for Compliance
4.1.1 How is the selection and admission policy for PhD program developed by the graduate school?	<ul style="list-style-type: none"><li>• The graduate school develops the selection and admission policy by involving a team of academic and administrative staff appointed according to their qualifications.</li><li>• The policy is derived from the university policy and graduate school. The selection and admission policy are aligned with the PhD program research roadmap.</li></ul>
4.1.2 What is the principle of the selection process?	<ul style="list-style-type: none"><li>• The principles of the selection process are: Transparent and equity (accept candidates from other institutions).</li></ul>
4.1.3 What are the requirements to be fulfilled by the PhD candidates?	<ul style="list-style-type: none"><li>• Requirements to be fulfilled by the PhD candidates could be as follows:<ul style="list-style-type: none"><li>• Hold a master's or medical doctorate following institutional or national regulation.</li><li>• The selection process was publicised before PhD students' enrolment</li></ul></li></ul>
4.1.4 How is the selection and admission policy publicised?	<ul style="list-style-type: none"><li>• The selection and admission policy are disseminated to internal and external stakeholders via social media, flyers, open houses, and the university/PhD program website.</li></ul>
4.1.5 How is the selection and admission system regularly reviewed and revised?	<ul style="list-style-type: none"><li>• The selection and admission system are reviewed yearly and revised every 5 years.</li><li>• These procedures involve an appointed team responsible for the selection admission system.</li></ul>

### **Guidance for Assessor**

Before the decision of PhD candidate acceptance, PhD program has to examine:

- The quality of the proposed research project
- The feasibility of the study to be conducted and appropriate for a thesis.
- The possibility of completing the project regarding the time allocated by the PhD program.
- The possibility of the project developing novelty and invention.
- The availability of competent supervisors
- The availability of resources includes research funding, stipend, tuition fee, and participation in an internal scientific meeting.
- Proposed research projects should be assessed for quality and suitability, either by an external assessment of the written project description or by presenting the project to a panel of independent experts.
- Candidates' academic performance and research experiences supported by documents such as publication, candidates' prior achievement, or clinical experiences (medical candidates)
- Where the candidate is obliged to obtain extra income, it should be ensured that the candidate has the necessary time to complete the program.
- The possibility for approving the project and supervisors after enrolment may include a model whereby candidates spend a limited time on project selection and project development, often combined with some course work, before starting the research project. This should not reduce the 3-4 years allocated to the project following registration.
- Criteria for admission should include documentation of proven research competence through, for example, predoctoral research programs, published papers, and presentations. For medical candidates - clinical experience would be relevant.
- The resources (internal or external) include appropriate stipends/scholarships to support PhD candidates, suitable infrastructure, adequate running costs, conference attendance costs, experienced supervisors, digital facilities, etc.

If candidates have spent a limited time on a research project and taken some courses, their project and supervisors will be approved after enrolment.

### **Supporting documents, may include, but not limited to the following:**

- Regulation on selection and admission policy graduate schools: research proposal is aligned with the graduate school research roadmap.
- Research guidelines
- List of resources and other learning support available

## **4.2. Rights and Liability**

Key Questions	Criteria for Compliance
4.2.1 What is the right and liability of PhD candidates related to their contribution to a research project?	<ul style="list-style-type: none"><li>• PhD candidates have both rights and liability as researchers and PhD candidates. By upholding high ethical and academic standards and actively engaging in their research and scholarly activities, Ph.D. candidates can contribute to advancing knowledge in their field and prepare for successful careers in academia, industry, or other sectors.</li></ul>

Key Questions	Criteria for Compliance
	<ul style="list-style-type: none"> <li>PhD candidates should be familiar with all policies and processes pertaining to the successful execution of their doctorate (including conflict resolution, bullying and harassment, equality diversity and inclusion). Rights: Academic Freedom, Access to Resources, Supervision and Mentorship, Intellectual Property, Privacy and Confidentiality Liabilities: Academic Integrity, Compliance with Regulations, Timely Progress, Responsible Conduct, Financial Responsibilities.</li> </ul>
4.2.2 What are the requirements to be fulfilled by the candidates before conducting their research project?	<ul style="list-style-type: none"> <li>PhD candidates present their research projects and are assessed by external examiners.</li> </ul>

#### **Guidance for Assessor**

- Candidates have rights and liabilities according to their contribution to the research project.
- In case PhD candidates need to earn money from other resources, the institution should enable PhD candidates to allocate time for extracurricular work.
- For Ph.D. clinicians to perform, a leave of absence from clinical duties should be provided.

#### **Rights:**

Academic Freedom: Ph.D. candidates can pursue their research interests and academic goals without undue interference. This includes the freedom to choose their research topic, explore new ideas, and engage in scholarly debate.

Access to Resources: Ph.D. candidates can access the resources and facilities necessary for their research and study. This may include library resources, laboratory facilities, computing resources, and funding opportunities.

Supervision and Mentorship: Ph.D. candidates can receive guidance and support from their academic supervisors or advisors. This includes regular meetings, feedback on their work, and assistance navigating academic and professional challenges.

Intellectual Property: Ph.D. candidates typically retain the intellectual property rights to their research findings unless otherwise specified by an agreement with their institution or funding agency. This may include rights to publications, patents, and other forms of intellectual property.

Privacy and Confidentiality: Ph.D. candidates have the right to privacy and confidentiality in their research and academic activities. This includes protection of personal data and sensitive information related to their research participants or subjects.

**Liabilities:**

Academic Integrity: Ph.D. candidates are expected to maintain high standards of academic integrity in their research and scholarly activities. This includes avoiding plagiarism, fabrication, falsification, and other forms of academic misconduct.

Compliance with Regulations: Ph.D. candidates should comply with relevant institutional policies, regulations, and ethical guidelines governing research conduct. This may include obtaining ethical clearance for research involving human subjects, adhering to safety protocols in laboratory research, and following data protection regulations.

Timely Progress: Ph.D. candidates are responsible for making satisfactory progress toward completing their degree requirements within the specified time frame. This includes meeting milestones, deadlines, and academic requirements set by their program and institution.

Responsible Conduct: Ph.D. candidates are expected to conduct themselves professionally and responsibly in interacting with colleagues, research participants, and the broader academic community. This includes respectful communication, collaboration, and ethical behavior.

Financial Responsibilities: Ph.D. candidates may have financial responsibilities related to tuition fees, research expenses, and other academic costs. They are responsible for managing their finances and complying with financial obligations to their institution or funding sources.

**Supporting documents, may include, but not limited to the following:**

- PhD candidates' guidelines: right and liability
- Logbooks
- Portfolios

**4.3. PhD Candidates Counselling and Support: The graduate school provides candidates with accessible and confidential academic, social, psychological, and financial support services, as well as career guidance.**

Candidates might require support in developing academic skills, managing disabilities, physical and mental health, personal welfare, finances, and career planning. Consider what emergency support services are available during personal trauma or crisis. Specify a process to identify candidates needing academic or personal counseling and support. Consider how such services will be published, offered, and accessed confidentially. Consider how to develop support services in consultation with candidates' representatives.

Key Questions	Criteria for Compliance
4.3.1 In what ways are the academic and personal support and counselling services consistent with the needs of PhD candidates?	<ul style="list-style-type: none"> <li>• The graduate school provides an appropriate package of support that meets the academic and pastoral needs of candidates, such as academic and career advisor, financial assistance/education financial management counselling, health and</li> </ul>

Key Questions	Criteria for Compliance
	<p>disability insurance, counselling/personal welfare program, candidates access to health care services, a candidates' interest, and talent development, etc.</p> <ul style="list-style-type: none"> <li>• The graduate school offers confidential PhD candidates counselling concerning the PhD program, supervision, etc., and personal matters.</li> </ul>
4.3.2 How are these services recommended and communicated to candidates and supervisors?	<ul style="list-style-type: none"> <li>• Graduate school disseminates guidelines consisting of information on candidates' support services easily accessed by supervisors and PhD candidates, e.g., via a website or Learning Management System.</li> <li>• The graduate school monitors and evaluates the utilization of support services to ensure that candidates and supervisors know the availability.</li> </ul>
4.3.3 How is the services' feasibility judged regarding human, financial, and physical resources?	<ul style="list-style-type: none"> <li>• Graduate school monitors and evaluates the effectiveness of the support service regularly by distributing satisfaction surveys to ensure that these services are feasible in terms of human, financial, and physical resources.</li> </ul>
4.3.4 How are the services regularly reviewed with PhD candidates' representatives to ensure relevance, accessibility, and confidentiality?	<ul style="list-style-type: none"> <li>• Graduate schools evaluate the effectiveness of these services through a range of methods, e.g., surveys, complaints, and representative groups. From monitoring and evaluating the effectiveness of the support service regularly, the graduate school has a chance to improve the performance of their service by changing something where appropriate.</li> </ul>
4.3.5 What is the function of the representative of PhD candidates?	<ul style="list-style-type: none"> <li>• Representatives of the PhD candidates have a chance to interact with the leadership of the graduate school regarding the design, management, and evaluation of PhD programs through a clear implementation procedure provided by the graduate school, PhD candidates' and student organisations are encouraged and facilitated to involve with the development, and enhancement of the quality of the PhD programs at the institution.</li> </ul>



### **Guidance for Assessor**

The graduate school provides effective services to all PhD candidates to assist them in achieving graduate outcomes. All PhD candidates have equal rights and receive comparable services, such as academic and career advisor, financial assistance/education, financial management counseling, health and disability insurance, counseling/personal welfare programs, access to health care services, interest and talent development, etc.

The graduate school has service guidelines that are disseminated to PhD candidates and supervisors and can be accessed easily.

The graduate school has clear implementation procedures for the involvement of PhD candidate's organizations to carry out these services.

There are a variety of complete and appropriate service instructions/guidelines for PhD candidates and supervisors to use according to local culture. Counseling procedures follow counseling principles (mechanism of handling) and are tailored to the local cultures.

The graduate school regularly conducts a user satisfaction survey to evaluate the services in terms of human, financial, and physical resources. The feasibility of the services is judged based on the survey results and complaints.

The graduate school conducted regular reviews with PhD candidate representatives to ensure counseling services' relevance, access, and confidentiality. Procedures for these are available.

### **Supporting documents, may include, but not limited to the following:**

- Policy, regulation, and procedures on PhD candidate's support.
- Policy, regulation, and procedures on PhD candidate's counseling.
- Supporting human resources, facilities, and finances for PhD candidates.
- Monitoring and evaluation of PhD candidates support system implementation.

## Criteria 5. Academic Staff and Supervisor

### 5.1. Academic Staff and Supervisor Establishment Policy: The graduate school has the number and range of qualified academic staff required to put the school's curriculum into practice, given the number of PhD candidates and style of supervising and learning.

Determining academic staff establishment policy involves considering the number, level, and qualifications required to deliver the planned curriculum to the intended number of PhD candidates and the distribution of academic staff by grade and experience.

Key Questions	Criteria for Compliance
5.1.1 How is the supervision of PhD candidates?	<ul style="list-style-type: none"><li>• Each PhD candidate should have a principal supervisor and, when relevant, at least one co-supervisor to cover all aspects of the program. The responsibility of each supervisor should be explicitly stated and documented.</li><li>• The number of PhD candidates per supervisor should be compatible with the supervisor's workload.</li><li>• Supervisors should be academically and scientifically qualified and active scholars in the field.</li><li>• Supervisors should have regular consultations with their PhD candidates.</li><li>• The supervisor-candidates' relationship is the key to a successful PhD program. There should be mutual respect, planned and agreed shared responsibility, and a contribution from both.</li><li>• The responsibility of each supervisor is explicitly defined in the PhD program book.</li><li>• Supervisors should have broad local and international scientific networks to introduce the PhD candidates into the scientific community.</li><li>• Supervisors should be familiar with the structure of the PhD program and associated regulations, policies, and institutional procedures.</li><li>• Supervisors should assist with the career development of PhD candidates starting from enrolment.</li><li>• Institutions should consider having contracts describing the supervision and monitoring process to be signed by the supervisors, PhD candidates, and the head of graduate school.</li><li>• The institution/graduate school should ensure that all supervisors, including potential supervisors, have formal training in international best practices in research supervision.</li></ul>

Key Questions	Criteria for Compliance
	<ul style="list-style-type: none"> <li>Supervisors should, where possible, also act as external examiners for PhD candidates at other graduate schools within the country and internationally.</li> <li>Supervisors should be aware of all policies and processes relating to conflict resolution, bullying and harassment, equality, diversity and inclusion, and research ethics and integrity and share this information with their PhD candidates.</li> <li>Graduate schools should ensure that the candidate's academic progression in the PhD program is overseen by an independent individual or committee (not including the primary supervisor).</li> <li>The Graduate School calculates your academic staff's required number and characteristics.</li> </ul>
5.1.2 How did the graduate school arrive at the required number and characteristics of their academic staff?	<ul style="list-style-type: none"> <li>The Graduate School has considerations in deciding the number and characteristics of the academic staff.</li> <li>The Graduate School monitors and reviews the workload of the academic staff.</li> </ul>

### **Guidance for Assessor**

For the supervisor to be scientifically qualified in the field implies that he or she will normally have a PhD or equivalent degree and is an active scholar with a steady scientific production that contributes to the peer-reviewed literature.

The term “regular consultations” will normally mean several times per month, but the frequency will vary, depending on the requirements of the individual PhD candidate. The consultations should discuss the progress of the PhD project and PhD program, provide general scientific advice, help on project management, help to identify and initiate follow-up projects, thesis writing, and assistance during publication.

Supervisor courses could be arranged for all supervisors to ensure that they know the regulations of the PhD programs as well as their basic duties as supervisors.

The graduate school has procedures on how to analyse the required number and qualification of the academic staff based on the number of the PhD candidates, the burden of research activities, training programs, alignment of discipline mix, and managerial responsibilities. The graduate school analyses and decides the optimal academic staff to PhD candidate ratio and evaluates it regularly. The workload of the academic staff is monitored and reviewed systematically. The methods to monitor and review the workload are known to all academic staff. The graduate

school has a manpower plan for academic and supporting staff based on those analyses, implementing the plan, evaluating the progress, and reviewing it regularly.

**5.2. Continuing Professional Development for Academic Staff: The graduate school implements a stated policy on the continuing professional development of its academic staff.**

Develop and publicise a clear description of how the graduate school supports and manages each staff member's academic and professional development.

Key Questions	Criteria for Compliance
5.2.1 How does the graduate school take administrative responsibility for implementing the staff's continuing professional development (CPD) policy?	<ul style="list-style-type: none"> <li>• The graduate school monitors, evaluates, and reviews the CPD program of the academic staff</li> <li>• The graduate school appraises and rewards the academic staff related to CPD.</li> </ul>
5.2.2 What protected funds and time does the graduate school provide to support its academic staff's continuing professional development (CPD)?	<ul style="list-style-type: none"> <li>• The graduate school supports its academic staff in CPD.</li> <li>• The graduate school has policies for supporting the CPD of each academic staff.</li> <li>• The graduate school disseminates the policy and procedure of CPD to the academic staff.</li> </ul>

**Guidance for Assessor**

The graduate school has policies and programs to support its academic staff in continuing professional development (CPD). The academic staff clearly understands the policy and procedure of the support. The dissemination of CPD policies and procedures can be through internal communication, a staff handbook, a website, and a mailing list.

The graduate school provides information on grants, permits, and facilities for continuing professional development. The graduate school monitors, evaluates and reviews the continuing professional development program of the academic staff. The school has a system of appraisal and rewards for academic staff related to their continuing professional development.

**Supporting documents, may include, but not limited to the following:**

- Policy and procedures for staff development
- Minutes of meetings and list of attendance during the development of the manpower plan
- Form for monitoring and evaluating academic staff performance, sampled a filled-in form from several academic staff, the result of performance appraisal each semester.
- Summary of the professional development of the academic staff

## Criteria 6. Educational Resources

### 6.1. Physical Facilities for Research and Training: The graduate school has sufficient physical facilities to ensure the research is carried out as planned.

Physical facilities include the physical spaces and equipment available to implement the planned research activities for the given number of PhD candidates and academic staff.

The doctoral school should have sufficient resources for the proper conduct of PhD programs. This includes the resources appropriate to support the admission of PhD candidates, implementation of the PhD programs, stipends for the PhD candidates, assessment of PhD theses, and awarding of PhD degrees.

Key Questions	Criteria for Compliance
6.1.1 How do you describe your institution's facilities for PhD candidates?	<ul style="list-style-type: none"><li>• The University provides access for PhD candidates to standardized laboratories needed to conduct the research.</li><li>• The research laboratory should meet the standard requirements aligned with the research project.</li><li>• The PhD program manages and regulates research laboratories' operational hours.</li><li>• PhD program provides working rooms for candidates equipped with necessary amenities such as tables, chairs, bookshelves, pantries, prayer spaces, copy machines, printers, scanners, and computers. These working rooms have sufficient space and are accessible as needed.</li></ul>
6.1.2 What are the PhD candidates' support centres/systems?	<ul style="list-style-type: none"><li>• PhD program provides health and sports facilities that can maintain PhD candidate's health and well-being.</li><li>• The University ensures the PhD candidates' safety and security systems are in place at all locations.</li></ul>

#### **Guidance for Assessor**

Graduate school provides an adequate number of up-to-date laboratories and equipment in good condition, compliance with biosafety regulations, readily available, calibrated regularly, and effectively deployed to support the research activities. The laboratories and equipment could be owned by other institutions in the country or abroad and accessible to candidates. If the research needs experimental animals, adequate animal facilities that attend to the animal's well-being are available and can be accessed.

The University provides digital and physical library resources, including adequate access to up-to-date and well-maintained books, journals, proceedings, repositories, software, and IT

applications that are relevant to the research. The University will facilitate library access to other institutions if needed.

Library services are supervised by professional staff. There is a policy and facility for access for people with special needs. The physical, social, and psychological environment supports the research and training programs. The number and competencies of the support staff are shown to be sufficient.

When PhD candidates are required to participate in late-night or overnight learning experiences, they have good access to a call room. All locations have adequate security systems to ensure PhD candidates' safety, including emergency and disaster preparedness.

The University provides working rooms for PhD candidates with sufficient space and could be accessed as needed. equipped with a table, chair, bookshelf, copy machine, printer, scanner, computer and internet. Access to the pantry and prayer space should also be provided.

PhD candidate's support services are subject to monitoring, evaluation, and enhancement. The budget is sufficiently provided for facilities and infrastructure development, maintenance, and enhancement.

**Supporting documents, may include, but not limited to the following:**

- Link to electronic library
- Policy on access for people with special needs
- Policy on equipment maintenance and calibration
- Policy on the use of experimental animal handling
- Policy on safety procedures
- Standard operating procedures in using laboratory equipment.

## Criteria 7. Quality Assurance

### 7.1. The Quality Assurance System: The graduate school has implemented a quality assurance system that addresses the research and training components

- Consider the purposes, role, design, and management of the graduate school's quality assurance system, including what the graduate school considers appropriate quality in its planning and implementation practices. Design and apply a decision-making and change management structure and process as part of quality assurance. Prepare a written document that sets out the quality assurance system.

Key Questions	Criteria for Compliance
7.1.1 How are the graduate school's purposes, quality assurance methods, and subsequent actions defined and described?	<ul style="list-style-type: none"><li>There should be procedures for regularly reviewing the structure, function, and quality of PhD programs. This will normally include both supervisor and candidate feedback.</li><li>The graduate school determines and applies the criteria and methods (including monitoring, measurement, and related performance indicators) necessary to ensure these processes' effective operation and control.</li><li>The graduate school determines the resources required for this process and ensures their availability.</li><li>The graduate school assigns responsibilities and authorities for these processes.</li><li>The graduate school addresses risks and opportunities.</li><li>The graduate school evaluates these processes and implements any necessary changes to ensure that these processes achieve the desired result.</li></ul>
7.1.2 How are resources allocated to quality assurance at graduate school?	<ul style="list-style-type: none"><li>The graduate school identifies resources needed to implement, maintain, and continuously improve the quality assurance system.</li><li>The graduate school justifies that the allocated resources are sufficient.</li></ul>

#### Guidance for Assessor

The University has policies, standards, and procedures for the internal quality assurance system. The university establishes organization structures needed to coordinate the implementation of the system, such as QA office or QA unit.

The graduate school explains how planning, implementation, monitoring and evaluation, and continuous improvement are carried out. The graduate school develops a documentation system of the IQA system. The graduate school identifies and selects opportunities for improvement and implements any necessary actions to meet the candidate's needs and satisfaction.

**Supporting documents, may include, but not limited to the following:**

- Organisation chart of the internal quality assurance system
- Policy, standards, and procedures of quality assurance of the graduate school and quality standard
- Reports on the internal quality audit, evaluation results, and tracer studies
- Resources allocated to implement the IQA system.
- Follow-up documents on the results of quality improvement.



## Criteria 8. Governance and Administration

### 8.1. Governance: The graduate school has a defined governance structure in relation to research, training, and resource allocation.

Relevant internal stakeholders in doctoral education include the PhD candidates, supervisors, head of school, professional staff, and other relevant bodies within the university. Relevant external stakeholders include funders, employers, research agencies, policymakers, alumni associations, and others. The PhD programs are organised, managed and delivered depending on the structure of each institution, national guidelines and standards. This section highlights important aspects of PhD management in a graduate school structure while recognising that other models of the organisation also exist.

Key Questions	Criteria for Compliance
8.1.1 How and by which bodies are decisions made about the institution's functioning?	<ul style="list-style-type: none"><li>• The University has policies related to the functioning of the graduate school.</li></ul>
8.1.2 By what processes and committee structures are training and research governed in the institution?	<ul style="list-style-type: none"><li>• The graduate school organizes training and research activities.</li></ul>
8.1.3 What governance arrangements are there to review the performance of the graduate school?	<ul style="list-style-type: none"><li>• The University assigns the IQA structure for reviewing the graduate school performance.</li></ul>
8.1.4 How are risks identified and mitigated?	<ul style="list-style-type: none"><li>• The graduate school identifies and mitigates all risks that may occur during training, research, and budget allocation.</li></ul>

#### **Guidance for Assessor**

The graduate school has an appropriate organisational structure of governing board, graduate school administrator, and faculty members that describe their function related to training, research, and resource allocation. This structure is transparent and can be accessed by all stakeholders. The graduate school provides policies, procedures, and regulations to prevent conflict of interest at the level of governing administration and faculty members.

Training and research are governed by the graduate school and its committee structures. All committee members have responsibilities for planning, implementing, monitoring-evaluating, and reporting all activities.

The graduate school develops a risk management system, including risks in research settings, to identify and mitigate all risks that may occur regarding the activities of training, research, and resource allocation.

**8.2. Administration: The graduate school has appropriate and sufficient administrative support to achieve its goals in training and research**

Develop a policy and review process to ensure adequate and efficient administrative, staff, and budgetary support for all graduate school activities and operations.

Key Questions	Criteria for Compliance
8.2.1 How does the administrative structure support the functioning of the institution?	<ul style="list-style-type: none"><li>• The graduate school designs the administrative structure.</li><li>• The administrative structure's roles in supporting the graduate school's functioning are well-defined.</li></ul>
8.2.2 How does the decision-making process support the functioning of the institution?	<ul style="list-style-type: none"><li>• The roles of the decision-making process regarding the functioning of the graduate school are well-defined.</li></ul>
8.2.3 What is the administration's reporting structure concerning training and research?	<ul style="list-style-type: none"><li>• The graduate school designs the administrative reporting structure on training and research programs/activities.</li></ul>
8.2.4 How does the graduate school disseminate its profile and program?	<ul style="list-style-type: none"><li>• The graduate school utilizes information technology to disseminate its profile and program.</li></ul>

**Guidance for Assessor**

The administrative structure is designed by the graduate school based on its need and function in supporting the PhD program.

There should be procedures for regular review and updating of the structure, function, and quality of PhD programs. This will normally include both supervisor and PhD candidates' feedback.

The graduate school should have a homepage and other information technology systems in the national language and in English, including transparent information about policies concerning:

- Profile of PhD program
- Profile of the graduates of the program
- The structure, duration, and content of the PhD program
- Admission policy including a clear statement on the process of selection of PhD candidates,
- Internal quality assurance system and regular review to achieve quality improvement,
- The methods used for assessments of PhD students,
- The formal framework for following the progress of the individual PhD candidates,
- Supervisor appointment policy outlining supervisors' type, responsibilities, and qualifications.

**Supporting documents, may include, but not limited to the following:**

- Organisation chart of the management and administration of the graduate school
- Standard operating procedure for budget allocation

- Report on the school performance review.
- Document on risk identification and mitigation.
- Reports on PhD candidates and academic staff in decision-making and functioning.  
Minutes of the meeting of the discussion
- Standard operating procedure for the decision-making process in relation to PhD candidates.
- Standard operating procedure for reporting training and research
- Link to the homepage and other information technology systems.

## **Chapter 2. Guidance for Self-Evaluation Report**

This chapter describes how to conduct self-evaluation, writing a self-evaluation report, and identifying supporting documents. The PhD Program needs to read them thoroughly to produce a readable Self-Evaluation report and a well-prepared survey visit.

### **2.1 How to conduct Self-Evaluation Activities**

The purpose of an external quality evaluation is to determine to what extent the PhD Program complies with the IAAHEH quality criteria for PhD education program. The process of external evaluation includes studying the written self-evaluation report of the PhD program.

To conduct an objective and accurate self-evaluation, a series of activities need to be carried out by the PhD Program and coordinated by the accreditation team. The PhD Program will obtain data and information that will be used as tools to evaluate the program. All findings will be analysed and written as a self-evaluation report.

A self-evaluation report needs to represent the real condition of the PhD Program, specifically in the education process and to what extent the PhD Program may maintain compliance with the IAHEH quality criteria. Therefore, a series of steps need to be conducted.

The following steps are carried out:

- Identifying the people whom, they need to communicate with in exploring and gathering the information.
- Collecting all relevant documents such as vision and mission, strategic plan, management system, curriculum implementation, data on PhD candidates, faculty members and their academic performances, and the future expectation related to the vision achievement.
- Studying the vision and mission and the efforts of achieving the vision and mission, the strengths, and weaknesses of the graduate school in managing the education process which could be compared with the strategic plans of the graduate school. A series of interventions to manage the issues is identified as well.
- Scheduling several meetings with internal and external stakeholders to gain accurate information by exploring their perception of how far they perceive on the quality of education offered by the graduate school.
- Identifying and analysing the strengths, weaknesses, opportunities, and threats and how the team uses these data in developing a plan toward a better quality of education. A process of planning/determining, implementation, evaluation, controlling, and improvement of the

education program needs to be reflected in the process of self-evaluation activities and be presented as a Self-Evaluation Report.

## **2.2 Guidance of Writing a Self-Evaluation Report (Preliminary and Final)**

Following the activities of self-evaluation, a written report needs to be designed by the accreditation team. There are two steps of writing a Self-Evaluation Report (SER), namely: writing a preliminary self-evaluation report and a final Self-Evaluation Report. The preliminary SER is THE FIRST DRAFT of SER. The Preliminary SER is subject to change based on the feedback of the trainers. The following is the structure of SER.

### **2.2.1 Introduction**

Self-evaluation is the process of an organisation in collecting comprehensive data about its own activities and achievements without any external assistance or pressure. Self-evaluation is undertaken within the given time limits and for a specific purpose. Self-evaluation is a thoughtful analysis of all components of the PhD program, compared against agreed and accepted criteria. The analysis should draw on the expertise of the PhD program and its local environment. It represents the opportunity to appreciate the PhD program's strengths and identify areas for improvement. This needs to be a formal part of the internal quality assurance that provides the opportunity to record and document changes and improvements in a PhD program.

The purpose of self-evaluation is to elicit the PhD program's description and analysis of itself, and its program in relation to the predetermined criteria. Besides being the basis for the accreditation process, the self-evaluation should be recognised as an important planning instrument to enable the PhD program to achieve insight into its strengths and weaknesses and to identify areas for quality improvement of its program.

An effective self-evaluation is time-consuming as it requires effort and time. However, the gains from a good self-evaluation are invaluable. It gives information and facts about the quality assurance system and provides a platform for stakeholders to discuss issues on the quality of education.

There are many reasons for undertaking a self-evaluation as follows (Banda, et al., 2016):

- a. For improvement:
  - Identifies and specifies problems.
  - Identifies and specifies possible causes and means to change.
  - Identifies avenues for change and improvement.

- Providing information that may not normally be evident (such as localised innovative practices in teaching and learning)
- b. For accountability:
- If there are external criteria set by accreditation bodies, it is important to know how well the criteria are achieved.
  - Or a self-evaluation might be part of the entire review process and required by the external body. In this case, the objectives are to understand, to evaluate, and to improve.
  - To find solutions to a known problem:
    - Where problems have been highlighted or indicated, a self-evaluation can address these and help to understand the context – for example, PhD candidates cannot achieve the education outcomes as expected, or supervisors have raised concerns about PhD programs.
  - Verifying those processes are in place, and whether these are operating effectively.
  - Providing evidence of quality processes in place
  - Enabling self-identification of improvement gaps and development of associated strategies to address these prior to external audit.
- c. As part of the PhD program's managerial process:
- Self-evaluation allows the PhD program to look at their educational program and services.
    - The PhD program should pay attention to the candidates' experience, particularly to their learning, research experience, and performance. The PhD program will be able to assess how well they meet the educational goals and any external criteria which apply to the PhD program.
  - Self-evaluation allows evidence-based educational planning and management.
    - The PhD program will experience the greatest benefit if the self-evaluation process becomes part of their regular planning cycle.
  - Determining whether existing policies and procedures are effective in meeting goals and identifying any gaps.
  - Enhancing the understanding (across staff, PhD candidates and/or other stakeholders) of organisational processes and outcomes
  - Disclosing weaknesses and gaps
  - Promoting honest communication
  - Encouraging benchmarking, internally and/or externally
  - Identifying activities that are misaligned with organisational goals/objectives.

- Promoting an evidence-based culture

Two principles that relate to the self-evaluation process are:

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

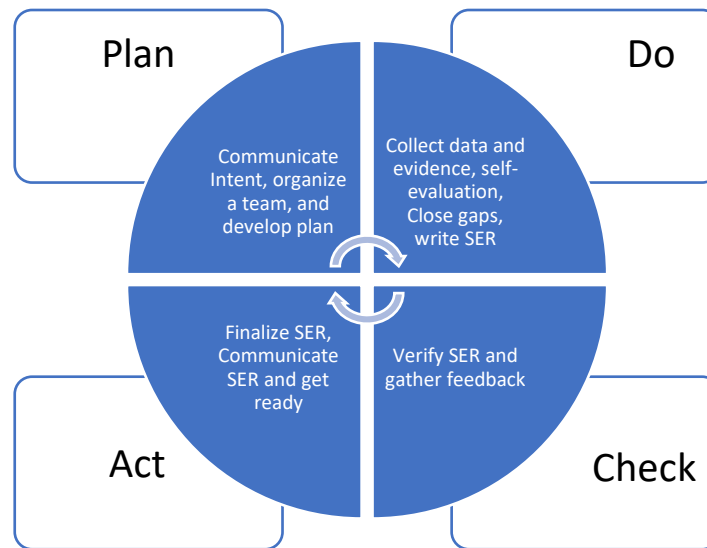
Adherence to these principles is a prerequisite for a reliable and relevant process and outcome. The following considerations should be made before carrying out a self-evaluation:

- Management must fully support the self-evaluation and provide access to relevant information needed for an effective quality assurance system. The self-evaluation acquires structural insight into the operation and performance of the PhD program.
- Gaining management support to carry out a self-evaluation is not enough. The whole organisation must prepare itself for the self-evaluation. Assessing quality is more than evaluating the performance of a program; it is also about developing and shaping the PhD program. Staff members should be responsible for the quality, and all staff should be involved in the self-evaluation.
- Writing a critical self-evaluation of the quality assurance system demands good organisation and coordination. Primarily, someone must lead and coordinate the self-evaluation process. The chosen leader should have good contacts within the PhD program, including key management staff, faculty, and support staff; access to the required information at all levels; and the authority to make appointments with stakeholders.
- It is desirable to install a working group in charge of the self-evaluation. It is important that the group is structured in such a way that the involvement of all sections is assured. The working group should oversee the self-evaluation, gathering and analysing data and drawing conclusions.
- As it is assumed that the PhD program supports self-evaluation, it is important that all staff members should be acquainted with the contents of the SER. The working group might organise a workshop or seminar to discuss or communicate the SER.

### **2.2.2 Conducting Self-Evaluation**

The period of conducting self-evaluation is ten weeks. The SER team has six weeks to write the final SER. The SER team needs to accommodate input and feedback from trainers in the final SER.

Figure 1 illustrates the approach for preparing a self-evaluation that encompasses the Plan-Do-Check-Act (PDCA) cycle of improvement.



*Figure 1. Plan-Do-Check-Act (PDCA) cycle of improvement.*

Details of each step are explained in the following paragraphs:

**a. Plan**

The “Plan” phase starts with the communication of intent for self-evaluation. The PhD program appoints a group responsible for writing the SER. The group should consist of key people. This group should have financial, staff, and other support from the Management. The group could then be divided into subgroups, each assigned to address one or several criteria. As part of the change management process, early engagement with stakeholders is crucial to get their buy-in and commitment before the start of the project. A clear timetable should be set up to develop the SER. Each member in the group should be made responsible for collecting and analysing data and information, and writing the SER. Each member must have a good understanding of the accreditation criteria before proceeding to the next phase. Figure 4 is an example of a timetable that could be developed.



Activity/Week		1	2	3	4	5	6	7	8	9	10	11	12	13	14	15	16	Deadline	Assigned to	Status
P L A N	Communicate Intent																			
	Organizing Team																			
	Development Plan																			
	Understanding IAAHEH Criteria and Process																			
D O	Self-assessment																			
	Collect Data & Evidence																			
	Close Gaps																			
	Write SER																			
	Review SER																			
C H E C K	Verify SER																			
	Gather Feedback																			
A C T	Improve QA																			
	Finalise SER																			
	Communicate SER																			
	Get Ready																			
Change Management																				

Figure 2. Example of a timetable to develop the SER

Note: The plan in this table is conducted during the nurturing and writing of preliminary SER.

In summary, the following are steps that need to be taken during the planning stage, namely (1) to appoint a group/committee with representation of relevant stakeholders, (2) to ensure sufficient financial support, (3) to ensure staffing support, (4) to clarify the task, including the standards to be addressed, (5) to plan timetable (Banda, 2016). IAAHEH provides training and assistance in conducting self-evaluation reports during the application phase.

**b. Do**

The “Do” phase involves identifying the gaps in meeting the accreditation criteria. Data collection is a critical step in this phase as it helps to quantify the existing quality assurance practices as well as to identify what the institution needs to do to meet the accreditation criteria. Solutions to close the gaps should be implemented before proceeding to write and review the SER. In the process of conducting its self-evaluation, a PhD program brings together representatives of the administration, faculty, PhD candidates, and other constituencies to:

1. Collecting and reviewing data about the PhD program and its educational program,
2. Identifying evidence that supports the achievement of accreditation criteria.
3. Identifying gaps between the existing conditions and the accreditation criteria.
4. Defining strategies to ensure that the gaps are closed and any problems are addressed effectively.
5. Write the draft according to the determined structure.
6. Completing the draft with an executive summary and glossary (if required)
7. Sending the draft to the reviewers.

As data collection is an important step, it is crucial that data collection is done according to sound methodology. Wherever possible, it is suggested to use the existing data. The same set of data could be used for more than one criterion. If new data is required, data collection methods should be designed to demonstrate achievement of the accreditation criteria.

There might be some barriers during the data collection, such as lack of access to the required documentation, low response rates, scattered information, missing information, or limited access to data. These barriers need to be overcome. All data that has been collected needs to be analysed and presented in simple and understandable formats to answer each key question. Table, charts, graphs, narratives might be used.

Once the data collection is completed, the writing of the SER could be started. Each key question in the Accreditation Criteria needs to be answered according to the existing conditions and supported with evidence.

**c. Check**

To prepare a creditable and objective report, the SER team must verify the evidence gathered. The “Check” phase involves verifying the SER as well as the quality assurance practices and giving feedback to improve them. An independent team should be appointed to review the SER and the existing quality assurance practices against the accreditation criteria. Recommendations to improve the SER and close the gaps in the existing quality assurance practices should be made.

**d. Act**

The “Act” phase involves implementing the recommendations raised in the “Check” phase. The SER is finalised before communicating it to relevant stakeholders and preparing for the subsequent accreditation procedures.

### **2.2.3 Structure and Format of Self-Evaluation Report**

An executive summary is required to provide an overall picture of the program, follows with a glossary to clarify the specific terminologies. A brief description of the PhD program is written at the beginning of a Self-Evaluation Report. Further, the self-evaluation report is developed through a specific design consisting of the structure of the SER, the format used, the dissemination of SER to stakeholders, and the content, as described below.

**a. Structure**

In writing the Self-Evaluation Report (SER), each key question in the Accreditation Criteria needs to be addressed. The evidence supporting each sub-criteria's achievement needs to be referred to, attached, and linked in the designated Google Drive.

*Table 1. The Structure of Self-Evaluation Report*

Executive Summary
Glossary
<b>Chapter I Graduate School Context</b>
<b>Chapter II Self-Evaluation</b>
1.1. The Need for Self-Evaluation
1.2. The Team
1.3. The Process of Self-Evaluation (who is involved and how)

- 1.4. Methods (sample, data collection and analysis)

### **Chapter III Accreditation Criteria**

1. MISSION AND VALUES

- 1.1. Stating the mission.

- 1.2. Recommendation

2. CURRICULUM

- 2.1. Intended outcomes.

- 2.2. Curriculum organisation and structure

- 2.3. Research Environment.

- 2.4. Research and Publication Ethics

- 2.5. Recommendation

3. ASSESSMENT

- 3.1. Assessment of Learning

- 3.2. Assessment in support of learning

- 3.3. Assessment in support of decision-making

- 3.4. Quality control

- 3.5. Recommendation

4. PhD CANDIDATES

- 4.1. Selection and admission policy

- 4.2. Rights and Liability

- 4.3. PhD Candidates Counselling and Support

- 4.4. Recommendation

5. ACADEMIC STAFF AND SUPERVISOR

- 5.1. Academic Staff and Supervisor Establishment Policy

- 5.2. Continuing Professional Development for Academic Staff

- 5.3. Recommendation

6. EDUCATIONAL RESOURCES

- 6.1. Physical facilities for research and training

- 6.2. Recommendation

7. QUALITY ASSURANCE

- 7.1. The quality assurance system

- 7.2. Recommendation

8. GOVERNANCE AND ADMINISTRATION

- 8.1. Governance

- 8.2. Administration

- 8.3. Recommendation

### **Chapter IV Summary of the Overall Results**

### **Chapter V Appendices**

In Chapter IV, the study program summarises the overall results for each sub-criteria and determines whether it is compliance, partial compliance or non-compliance, as shown in the table below:

Table 2. Categories of Summary of the Overall Results

Accreditation Criteria	Compliance	Partial Compliance	Non-Compliance
1.1. Stating the mission			
2.1. Intended outcomes			
2.2. Curriculum organisation and structure			
2.3. Research Environment			
...etc.			

**a. Format**

The SER should be written in size 12 Times New Roman font in A4 paper with single space. The maximum page is 80 pages excluding Executive Summary, Glossary and Appendices.

**b. Dissemination**

The PhD program needs to identify who will receive the full reports and the executive summary, for both internal and external stakeholders. Many have been involved in completing the Self-Evaluation and would need to be informed of the results. A communication strategy needs to be planned. The main point of this entire process should be to facilitate change where change is required. Therefore, the last element that must be addressed is the issue of securing the commitment to act on the findings of the SER.

Table 3. Description of the Term Self-Evaluation Result

<b>Compliance</b>	Almost all components in each sub criterion can be fulfilled
<b>Partial Compliance</b>	Some components in each sub criterion can be fulfilled. But there are components in some sub criteria which cannot be fulfilled. These unfilled components of sub criteria are not systemic and will not affect the education process, will not disrupt the achievement of vision, mission, objectives, and targets of the institutions, and will not hinder the achievement of learning outcomes and competencies.
<b>Non-Compliance</b>	All components in each sub criterion cannot be fulfilled

**c. Content**

IAAHEH has developed 8 (eight) criteria consisting of mission and values, curriculum, assessment, PhD candidates, academic staff, resources, quality assurance, governance and administration as described in Chapter 1.

## Chapter 3. Guidance for Assessment

### 3.1 Desk Evaluation Report

IAAHEH assigns an Assessor Team consisting of 3 (three) people after nurturing process is complete. This team consist of a chairperson, a secretary, and a member. After receiving the Self Evaluation Report as described in Chapter 2, the assessor reviews the SER and conducts a desk evaluation independently for two weeks (online) by filling in the assessment form 1 (Appendix 1) through SIMAk-Int.

The assessors make the summary of findings from the Self Evaluation Report by extracting important data and information that is entered into the Summary of Findings from Self Evaluation Reports columns. Based on the summary of findings, the assessors decide whether each element of the sub criteria is full compliance, partial compliance, or non-compliance that is entered into the Performance in Accreditation Element columns. Each assessor of the Assessor Team then meets online to consolidate the results of the desk evaluation within two weeks before conducting the survey visit and entering the consolidated results into SIMAK-Int.

### 3.2 Survey Visit Guidance

One important step of the accreditation process is the survey visit. The survey visit aims to obtain evidence through interview and observation of all criteria in WFME standards based on the result of Self-Evaluation Report (SER) Review. The targeted sites of the survey visit include building, infrastructure, and facilities to deliver the PhD program. This guidance aims to provide key points for the study program in preparing the survey visit. It consists of an explanation of the assessors, survey visit, and final survey visit report.

#### Principles of the survey visit

The survey visit should focus on:

- The continuous quality improvement, such as PDCA (*plan, do, check, and action*).
- Achievements in education, research, and public services, competition, and internationalisation.
- Compliance with WFME Standards.
- Academic and non-academic achievement, including assessment of input, process, and output.
- Availability of evidence and traceability.
- Management of the PhD program.
- Effectiveness of internal quality assurance system

### 3.3 Administrative Preparation for Survey Visit

The team and the study program achieve an agreement on the schedule during the survey visit, especially schedule for interview with faculty, PhD candidates, and alumni; progress report session, the closing session, and other activities such as post accreditation meeting with dean or administrator, including confirmation of the schedule on observing PhD candidates learning activities, and assessing facilities.

- The date of survey visit is organised by the secretariat of IAAHEH.
- Invitation letter for the Assessor
- Booking accommodation for the Assessor
- Dietary requirements such as vegetarian, halal food, etc.
- Health protocol
- The interviewee cannot be replaced.
- The PhD program provides local transport, airport transfer.
- The PhD program invites graduate school board, senate, academic staff, PhD candidates, alumni, user, supporting staff, and translator.
- The PhD program prepares facilities infrastructure (management office, classroom, laboratory, clinical practice setting, community practice setting, PhD candidates' facilities, PhD candidates counsellor or supervisor office, academic staff room, etc)
- The PhD program prepares documents related to curriculum (curriculum map, module, syllabus, samples of PhD candidates research work, sample of examinations, practical guidance.
- The PhD program prepares documents related to internal quality assurance system (graduate school academic policy, academic regulations, other manual and procedures as required).
- The PhD program prepares information resources system (library, internet connection, IT, application, Learning Management System-LMS, etc).
- The PhD program provides translator if English is not native language and documents are primarily not in English.
- The PhD program provides working room for the assessor (LCD and screen, flipchart, internet connection, printer, paper, whiteboard marker, etc).

### 3.4 The Survey Visit Procedure

The activities of the survey visit would include:

- An introductory meeting with the management of the PhD program and the faculty
- Interview sessions with:
  - Management of the graduate school and the study program



- Internal quality assurance team
- Faculty members from various departments (10-12 faculty members)
- PhD candidates represented from each academic year (10-12 PhD candidates)
- Supporting staff (8-10 staff, including laboratory technicians/analysts, IT, administration, librarians, etc.)
- Alumni who graduated in the last 3 years. (8-10 alumni)
- Employers of the graduates (6-8 employers preferably non-alumni)
- Management of the teaching hospitals and teaching clinics
- Observation and assessment of the teaching and learning processes (in the classroom, practical/ skill laboratory, and the teaching hospitals)
- Visitation and assessment of physical facilities: library, laboratories, simulation centre, teaching hospitals, teaching clinics, PhD candidates services, and other facilities for PhD candidates
- Clarification and validation of documents
- Closing meeting with the graduate school management

If needed, an interpreter from a non-related party should be provided to bridge communication between the assessor team and the local staff.

The typical schedule in **appendix 2** could be rearranged to suit the situation. However, all the agenda should be conducted.

### **3.5 Guidance for Introductory Meeting**

The introductory meeting is aimed to inform both the assessors and the PhD program during the four-day visit concerning each responsibility.

- The leader collaborates with the graduate school in determining the fixed schedule of introductory meeting.
- Assessors introduce themselves as well as their roles on the survey visit.
- The leader gives a summary of the whole survey visit activities including the deliverables that should be completed by the assessors. He or she informs the study program that the team will end up with the recommendation based on the survey visit results and deliver the recommendation to the council.
- The leader informs the study program that the aim of the accreditation is mainly to improve the quality of the study program.
- The assessors and the study program should work collaboratively and support each other according to their responsibilities.

- The leader reminds the team and the PhD program to encourage open and honest discussions.
- Assessors should report their initial findings based on the self-final survey visit report according to his/her responsibility.
- The team and the study program achieve an agreement on the schedule during the survey visit, especially schedule for interview with faculty, PhD candidates, and alumni; progress report session, the closing session, and other activities such as post accreditation meeting with dean or administrator, including confirmation of the schedule on observing PhD candidates learning activities, and assessing facilities.
- The leader reminds the secretariat of IAAHEH to provide form to be fulfilled by the team.
- The leader reminds the procedure of the survey visit, including each member's assignment.
- The leader reminds assessors to take notes during the survey visit and report it by the end of the visit.
- Leader reminds on the prohibition of using laptop or mobile phones during the meeting, interview and observation, or doing other unrelated activities with the PhD program except activities required for accreditation process.
- The leader reminds the team to always consider private data information and the confidential matters of the accreditation process.

**a. Preparation for the Venue**

The PhD program must provide the venue with equipment (LCD, Screen, microphone) that can accommodate all the invitees.

**b. Preparation for the Invitee**

The following are the person or the parties to be invited:

- The Dean
- Vice Dean
- Head of Study Program
- Accreditation Team
- Head of Quality Assurance Unit
- Directors of Teaching Hospitals
- Education Unit
- Research Unit
- Community Service Unit
- Heads of Departments
- Heads of Administrations

- etc.

### c. Graduate school Preparation for the Presentation

The profile of the graduate school will be presented during the first session of the visit.

- The Dean/ Vice Dean will prepare a presentation on the highlight of the graduate school's profile and the graduate school's strategic planning and management, resources available to run the PhD program, human resources and other physical and non-physical resources required for the PhD program, counselling, and PhD candidates support.
- The head of the PhD program will prepare a presentation on the graduate profiles, graduate competencies, curriculum, and assessment system.
- Head of the quality assurance unit to prepare a presentation on internal quality assurance system.

It is advised that the presentations will stress the important points and updated information. It is strongly suggested that the presentations will not repeat all the information that is already in the SER. In total the presentation lasts 30 minutes and Q&A session should last about 30 minutes.

## 3.6 Guidance for Interview

This guidance is intended for assessors and the PhD program during the visit. The interview session will be held without the presence of school management and accreditation team. The interview will be:

- Interview with the management of the Graduate School about governance, quality assurance, human resource management, curriculum management, finance and asset management, program development, collaboration program, academic environment, description of how research is disseminated and utilised, research rewards and incentives, ethics review board composition and functions.
- The PhD program appoints academic staff that will be interviewed. The interview with academic staff will cover leadership, faculty development program, working atmosphere, relationship with management and colleague, workloads (teaching, research, and community services), learning, teaching and research facilities, job security and satisfaction, relevant academic issues, academic and non-academic support system, ranking and promotion system, faculty orientation program, salary scale, faculty performance evaluation, academic advising and referral system, description of how research is disseminated and utilised, research rewards and incentives

- The Graduate School/PhD program invites support staff representing different function, such as technician (Mechanical and Electrical (ME) and laboratories), librarian, administrative, IT support, finance.
- The interview will cover leadership, supporting staff, development program, working atmosphere, relationship with management and colleague, workloads, staff qualification relevant to the assignment, job security and satisfaction, relevant issues, information technology support system, library acquisition and collection development plan and profile of library staff.
- The Graduate School/PhD program invites PhD candidates that will be interviewed, which represent different academic years and achievement, PhD candidates organisation.
- The interview will cover academic atmosphere, learning, teaching and research facilities, PhD candidates learning and teaching satisfaction, PhD candidates support system, academic advising and referral system, non-academic development program, job and career information.
- The Graduate School/PhD program invites alumni that graduated in the last five years. The interview will cover learning experiences, job preparedness, relevance of the acquired competencies with the current job, alumni feedback and contribution, time to get the first job, involvement in the academic, research, community services of the school, and internship program.
- The Graduate School/PhD program invites employer of the alumni, representing various kind of workplaces (or such as hospitals, health offices, universities, clinics, other health services, companies). Preferably the employer is not alumni. Otherwise, a maximum of 30% of the interviewees are alumni. The interview will cover hard skills and soft skills of the alumni employed, employer feedback to the school.

### **3.7 Guidance for Observation**

Observation is a way of gathering data by watching behaviour, events, process, activities, and physical setting.

- The Graduate School/PhD program prepares research and physical facilities of the university, hospitals, and health centers to be visited by assessors.
- The research facilities of the university observed include equipment and instrument. The observation may include office, bio-medical laboratories.
- The physical facilities include library (library acquisition and collection development plan and profile of library staff), IT, small room for discussion, PhD candidates lounge, PhD candidates' lockers.

- Physical facilities for PhD candidates support, such as clinics, sport facilities, family support, dormitory, classroom size.
- Observation of some activities, such as teaching and learning, small group discussion, laboratory activities. The observations are focused to check consistencies between descriptions in the SER with the curriculum implementation.

### **3.8 Guidance for Document Checking**

If there are any new information/data/documents which had not been included in SER, the graduate school may display during the visit of assessors, otherwise the assessors will not require any additional document. The purposes of the document checking are:

- To verify that the evidence is genuine, valid, and current.
- Sample syllabi, sample examination question, sample of theses/dissertations, capstone projects, sample of academic advising and referral system, schedule of current term, list of thesis/dissertations advisers and number of advisees per adviser. List of co-curricular activities, and sample of minutes of supervisory review and evaluation.
- Research agenda, research manual, faculty research journal/s, graduate research journal, list of faculties and PhD candidates research and publications, research budget and performance report, research contracts with government and private agency and institutions, ethics review board composition and functions.
- Tuition fee schedule, admission and retention policies, enrolment figures per program and year level, statistical data on dropouts, graduation/completion rates, scholarships and grants, support and auxiliary services PhD candidates satisfaction survey visit results, health clearance certificate of canteen personnel, safety and sanitation inspection reports/documents of the canteen/cafeteria, sample minutes of meetings of PhD candidates services offices, tracer and employer satisfaction surveys and exit interviews, list of PhD candidates activities and collaborations.
- Faculty profile, samples of accomplished evaluation forms, list of visiting and/or exchange professors, list of in-services an off campus, monitoring of online campus, sample of minutes of faculty meetings.
- Library staff development program, library fees, library budget and performance reports, instructional/Orientation program for users, list of print, non-print, electronic resources, utilisation report.
- Organisational chart, profile of Board of Trustees and key institutional and program administrators, latest institutional and program strategic plans and program operational plan, contingency plan or emergency and business continuity plan, audited financial statements for the last three years, graduate school budget, data privacy policy,

MOA/MOUs with local and/or international academic, professional, research, private and/or government institutions/organisations, list of chairs, grants, and donations from foundations, minutes of consultation meetings with stakeholders.

- Description of outreach activities/service-learning program, special rooms dedicated for graduate school activities, facilities and laboratory maintenance, sanitation and/or inspection schedule and report, documentation of the following (videos and/or photos): faculty room, consultation rooms including those used for counselling, PhD candidates lounges and PhD candidates organisation rooms, classrooms and laboratories used by the graduate school, co-curricular, extra-curricular, and community service activities.

### **3.9 Guidance for Closing Meeting**

Prior to conducting the closing meeting, the Assessor Team complete the assessment form 1 (Appendix 1) the Summary of Findings from Final Survey Visit Report and Performance in Accreditation Element (Full Compliance, Partial Compliance, or Non-Compliance) through SIMAk-Int. After that the assessor team write an initial report on the Initial Final Survey Visit Report in Assessment Form 2 (**Appendix 3**), which will be report to the study program for input and feedback.

A closing meeting needs to be prepared by the PhD Program to allow the assessor team to present their finding in front of the Graduate School/PhD Program. The Graduate School/PhD Program needs to invite relevant invitees, including their accreditation team. It is usually attended by the management of the Graduate School/ PhD Program. The PhD program also prepares all the needs for the presentation.

The following is the procedure for the Closing Meeting:

- The draft initial final survey visit report will be given to a study program to be read thoroughly.
- The accreditation team of the PhD program discusses each sub-criterion.
- The accreditation team will write comments or criticise the findings if there is any irrelevant description with the real condition.
- In the following morning, the Graduate School/ PhD Program prepares a representative room for discussion with the assessors, required equipment such as audio-visual, LCD, white screen, a printer with sufficient ink, etc.
- The Graduate School/PhD Program invites all relevant invitees from the PhD program including the accreditation team.
- The representative of the PhD program will open the meeting and ask the team of assessor to lead the meeting.

- The head of the assessor team assigns one of the team members to present the final survey visit report.
- Each sub criteria will be read and discussed.
- All invitees will listen carefully and respond to a relevant sub-criterion.
- The PhD program will show related evidence/s to support their assumption on related sub-criteria.
- Each sub-criteria will have a new description based on an agreed statement from the PhD program.
- The PhD program representatives will listen to the recommendation for each sub-criteria after been adjusted with the recent changes.
- After discussing all sub criteria, and both sides agree with the findings, the accreditation team of PhD program will listen to the summary findings, re-describe the commendation and the recommendation.
- The head of the team concludes the summary findings, re-describe the commendation and the recommendation, then allow the assessor team to print.
- While the assessor team prints the documentation, the study program will wait for the next session.
- The head of assessor returns the session to the PhD Program.
- The responsible person of the PhD Program will receive the session and then deliver his/her closing remarks.
- The meeting is dismissed.

### **3.10 Guidance for Final Survey Visit Report**

1. The Assessment Team meets online to prepare the final survey visit report (including conclusions of the survey visit and recommendations) in Assessment Form 3 (Appendix 4).

Format Report:

- a. Written in A4 format, with 1 inch for left and right margin, 1.2 inch for top and bottom margin. Using Times New Roman black font, 12 pt. 1.15 space between each line. The heading and subheading could use a different font size.
- b. The report should be written in British English.
- c. The report consists of:
  - Cover of the report
  - List of pages
  - Identification of the school under survey visit
  - The date of received of the self-evaluation report, desk evaluation of the SER, date of survey visit.

- The assessors' member
- d. Summary of the findings
  - Brief profile of the school
  - Strength of the school
  - Area of concern
  - Area that needs further evidence
- e. Findings of each standard and its sub criteria. This should be written in the following sequence:
  - Findings of sub criteria of the standard
  - Area of strength of the school in the described standard and its sub criteria
  - Area of concern
  - Area that needs further evidence
  - Recommendation for the standards and their sub criteria
- f. List of appendices

Appendices arranged in sequential order as its appearance in the narrative.
- 2. The assessor completes Assessment Form 4 Summary of Compliance (Appendix 5) based on the conclusions of the Self Evaluation Report and Final Survey Visit Report.



## Summary of Accreditation Report

### Criteria 1. Mission and Values

#### 1.1 Stating the mission

Key Questions	Summary of Findings from Self Evaluation Reports	Performance in Accreditation Element	Summary of Findings from Final Survey Visit Reports	Performance in Accreditation Element
1.1.1. How is the mission statement specially tailored to the PhD program?				
1.1.2. How does it fit with the regulatory standards of the IAAHEH and with relevant national governmental requirements, if any?				
1.1.3. How is it publicised?				

### Criteria 2. Curriculum

#### 2.1 Intended Outcomes

<b>Key questions</b>	<b>Summary of Findings from Self-Evaluation Reports</b>	<b>Performance in Accreditation Element</b>	<b>Summary of Findings from Final Survey Visit Reports</b>	<b>Performance in Accreditation Element</b>
2.1.1 How were the intended outcomes for the PhD program and for each part of the course designed and developed?				
2.1.2 What are the graduate outcomes of the PhD program?				

## **2.2 Curriculum organisation and structure**

<b>Key questions</b>	<b>Summary of Findings from Self-Evaluation Reports</b>	<b>Performance in Accreditation Element</b>	<b>Summary of Findings from Final Survey Visit Reports</b>	<b>Performance in Accreditation Element</b>
2.2.1 What are the essential requirements of the PhD program?				
2.2.2 What is the structure of the PhD program?				
2.2.3 What are the requirements of PhD Thesis?				

## **2.3 Research Environment**

<b>Key questions</b>	<b>Summary of Findings from Self-Evaluation Reports</b>	<b>Performance in Accreditation Element</b>	<b>Summary of Findings from Final Survey Visit Reports</b>	<b>Performance in Accreditation Element</b>
2.3.1 How is the research environment in your institution?				

## 2.4 Research and Publication Ethics

<b>Key questions</b>	<b>Summary of Findings from Self-Evaluation Reports</b>	<b>Performance in Accreditation Element</b>	<b>Summary of Findings from Final Survey Visit Reports</b>	<b>Performance in Accreditation Element</b>
2.4.1 Research ethics. Is there any ethical committee? Position of ethical committee? What are their roles? What is the procedure to obtain research ethical clearance? Is it in line with the international ethical standard? Who are the ethical committee members?				

2.4.2 Publication ethics				
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### Criteria 3. Assessment

#### 3.1 Assessment of Learning

Key questions	Summary of Findings from Self-Evaluation Reports	Performance in Accreditation Element	Summary of Findings from Final Survey Visit Reports	Performance in Accreditation Element
3.1.1 How does the PhD program decide the candidate meets the expected learning outcome?				

#### 3.2 Assessment in Support of Learning

Key questions	Summary of Findings from Self-Evaluation Reports	Performance in Accreditation Element	Summary of Findings from Final Survey Visit Reports	Performance in Accreditation Element
3.2.1 How are PhD candidates assessed to support their learning?				
3.2.2 How are PhD candidates assessed to determine those who need additional help?				
3.2.3 What support systems are offered to those PhD candidates with identified needs?				

### 3.3 Assessment in support of decision-making

Key questions	Summary of Findings from Self-Evaluation Reports	Performance in Accreditation Element	Summary of Findings from Final Survey Visit Reports	Performance in Accreditation Element
3.3.1 How are threshold set on summative assessments?				
3.3.2 What appeal mechanisms regarding assessment results are in place for PhD candidates?				
3.3.3 How are assessments used to guide and determine PhD candidates' progression?				

### 3.4 Quality Control

Key questions	Summary of Findings from Self-Evaluation Reports	Performance in Accreditation Element	Summary of Findings from Final Survey Visit Reports	Performance in Accreditation Element
3.4.1 Who is responsible for planning a quality assurance system for assessment?				
3.4.2 Who is responsible for implementing a quality assurance system for assessment?				

3.4.3 How is data from assessments used to evaluate supervision and the curriculum in practice?				
3.4.4 How is data from assessments used to evaluate supervision and the curriculum in practice?				
3.4.5 How are the assessment system and individual assessments regularly reviewed and revised?				

#### **Criteria 4. PhD candidates**

##### **4.1 Selection and Admission Policy**

<b>Key questions</b>	<b>Summary of Findings from Self-Evaluation Reports</b>	<b>Performance in Accreditation Element</b>	<b>Summary of Findings from Final Survey Visit Reports</b>	<b>Performance in Accreditation Element</b>
4.1.1 How is the selection and admission policy for PhD program developed by the graduate school?				
4.1.2 What is the principle of selection process?				

4.1.3 What are the requirements to be fulfilled by the PhD candidates?				
4.1.4 How is the selection and admission policy publicised?				
4.1.5 How is the selection and admission system regularly reviewed and revised?				

## 4.2 Rights and Liability

Key questions	Summary of Findings from Self-Evaluation Reports	Performance in Accreditation Element	Summary of Findings from Final Survey Visit Reports	Performance in Accreditation Element
4.2.1 What is the right and liability of PhD candidates related to their contribution to a research project?				
4.2.2 What are the requirements to be fulfilled by the candidates before conducting their research project?				



### 4.3 PhD candidates Counselling and Support

Key questions	Summary of Findings from Self-Evaluation Reports	Performance in Accreditation Element	Summary of Findings from Final Survey Visit Reports	Performance in Accreditation Element
4.3.1 In what ways are the academic and personal support and counselling services consistent with the needs of PhD candidates?				
4.3.2 How are these services recommended and communicated to candidates and supervisors?				
4.3.3 How is the services' feasibility judged regarding human, financial, and physical resources??				
4.3.4 How are the services regularly reviewed with PhD candidates' representatives to ensure relevance, accessibility, and confidentiality?				
4.3.5 What is the function of representative of PhD candidates?				

## Criteria 5. Academic Staff and Supervisor

### 5.1 Academic Staff and Supervisor Establishment Policy

Key questions	Summary of Findings from Self-Evaluation Reports	Performance in Accreditation Element	Summary of Findings from Final Survey Visit Reports	Performance in Accreditation Element
5.1.1 How is the supervision of PhD candidates?				
5.1.2 How did the graduate school arrive at the required number and characteristics of their academic staff?				

### 5.2 Continuing Professional Development for Academic Staff

Key questions	Summary of Findings from Self-Evaluation Reports	Performance in Accreditation Element	Summary of Findings from Final Survey Visit Reports	Performance in Accreditation Element
5.2.1 How does the graduate school take administrative responsibility for implementing the staff's continuing professional development (CPD) policy?				

5.2.2 What protected funds and time does the graduate school provide to support its academic staff's continuing professional development (CPD)?				
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## **Criteria 6. Educational Resources**

### **6.1 Physical Facilities for Research and Training**

<b>Key questions</b>	<b>Summary of Findings from Self-Evaluation Reports</b>	<b>Performance in Accreditation Element</b>	<b>Summary of Findings from Final Survey Visit Reports</b>	<b>Performance in Accreditation Element</b>
6.1.1 How do you describe your institution's facilities for PhD candidates?				
6.1.2 What are the PhD candidates' support centres/systems?				

## **Criteria 7. Quality Assurance**

### **7.1 The Quality Assurance System**

<b>Key questions</b>	<b>Summary of Findings from Self-Evaluation Reports</b>	<b>Performance in Accreditation Element</b>	<b>Summary of Findings from Final Survey Visit Reports</b>	<b>Performance in Accreditation Element</b>

7.1.1 How are the graduate school's purposes, quality assurance methods, and subsequent actions defined and described?				
7.1.2 How are resources allocated to quality assurance at graduate school?				

## **Criteria 8. Governance And Administration**

### **8.1 Governance**

<b>Key questions</b>	<b>Summary of Findings from Self-Evaluation Reports</b>	<b>Performance in Accreditation Element</b>	<b>Summary of Findings from Final Survey Visit Reports</b>	<b>Performance in Accreditation Element</b>
8.1.1 How and by which bodies are decisions made about the institution's functioning?				
8.1.2 By what processes and committee structures are training and research governed in the institution?				
8.1.3 What governance arrangements are there to review the performance of the graduate school?				

8.1.4 How are risks identified and mitigated?				
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## 8.2 Administration

Key questions	Summary of Findings from Self-Evaluation Reports	Performance in Accreditation Element	Summary of Findings from Final Survey Visit Reports	Performance in Accreditation Element
8.2.1 How does the administrative structure support the functioning of the institution?				
8.2.2 How does the decision-making process support the functioning of the institution?				
8.2.3 What is the administration's reporting structure concerning training and research?				
8.2.4 How does the graduate school disseminate its profile and program?				

The typical schedule for the survey visit

Day -1		
08.30-09.00	:	Introductory meeting of the management of the study program and assessors
09.00-10.00	:	Presentation of the profile of the study program by the management of the study program (and Q&A session)
10.00-11.30	:	Interview and discussion with PhD supervisors and co-supervisors
11.30-12.30	:	Interview with the internal and external Examiners (hybrid)
12.30-13.30	:	Lunch break
13.30-15.30	:	<ul style="list-style-type: none"> <li>○ Visitation and assessment of the library, laboratories, working room, counselling services, family support, and other facilities in the study program.</li> <li>○ Interview with the supporting staff</li> </ul>
15.30-17.00	:	Interview with PhD candidates from different batches
19.00	:	Internal discussion of the assessors
Day-2		
08.30-10.00	:	Observation of the academic activities
10.00-11.00	:	Discussion with the alumni of the study program
11.00-12.30	:	Interview and discussion with the Internal Quality Assurance team of the study program
12.30-13.00	:	Lunch break
13.00-14.00	:	Discussion with the employers of the graduates and other stakeholders
14.00-15.00	:	Ethical committee and academic committee
15.00-17.00	:	Discussion about research infrastructures and research roadmap with the management of university and faculty
17.00-18.00	:	Document verification: research proposal, official report of research proposal seminar, notes on research progress, draft manuscript for publication.

19.00	:	Internal discussion of the assessors
<b>Day-3</b>		
08.30-10.00	:	Clarification and verification of the findings with the management of the graduates' school and study program
10.00-12.00	:	Internal discussion of the assessors to draft the initial report to be presented in exit meeting
12.00-13.00	:	Lunch break
13.00-15.00	:	Closing meeting and discussion
15.00	:	Closing ceremony



Executive Summary  
Glossary

### **Criteria 1. Missions and Values**

Narrative response:

- The use of vision and mission for planning, quality assurance, and management in the graduate school.
- Alignment with regulatory standards of the local agency and with the relevant governmental requirements
- Alignment of vision, mission, aim and strategy; developed during graduate schools' activities and program planning process.

### **Criteria 2. Curriculum**

Narrative response:

- The graduate's outcomes in line with teacher's teaching and learning planning strategy
- Narrative of curriculum development process (planning, implementation, evaluation): note's meeting, list of attendance, other supporting documents
- Alignment of intended graduate outcome with graduate career role in society derived from institution vision and missions, the education philosophy and need analysis.

### **Criteria 3. Assessment**

Narrative response:

Brief description on assessment policy (centralised system), alignment with its curriculum outcomes, management (frequencies, timing), Standard assessment, criteria, and decision

### **Criteria 4. PhD candidates**

Narrative response:

- Description of the PhD candidates support system (relevance, accessibility, confidentiality)
- PhD candidates support systems: academic and non-academic, communication with PhD candidates.

### **Criteria 5. Academic Staff**

Narrative response:

- Description on academic staff planning (manpower plan) including the number, discipline mix, academic and professional development plan of the academic staff.
- Initial training for academic staff should there is any.
- Performance evaluation and reports of the academic staff.
- Feedback provided to the academic staff.

### **Criteria 6. Resources**

Narrative response:

- Judgement for the graduate school to provide certain physical infrastructures (buildings, classrooms, etc.) based on the curriculum designed and the national or university standard (e.g., room per PhD candidates in class, in laboratory, internet bandwidth per PhD candidates, academic staffs, etc.).

- policies for PhD candidates to learn clinical skills, in a simulated setting, but also in the real setting, with mannequins, simulated patients or real patients.
- Policies on PhD candidates' clinical education, either in the hospital, clinic, or community-based setting
- Policies on study resources provision, library (incl. Books, journals, electronic or hard copies), internet bandwidth, etc.

#### **Criteria 7. Quality Assurance**

Narrative response:

- Policies on quality assurance, its purposes and methods and subsequent action.
- Quality assurance system is embedded in the structure of the organisation, with its allocated resources.
- Involvement of external stakeholders in quality assurance

#### **Criteria 8. Governance and Administration**

Narrative response:

- The organisation chart of the institution and its function and responsibilities
- Budget decision making in the organisation.
- Involvement of PhD candidates and academic staff in decision making and functioning
- Reporting structure for administration in relation to teaching.

<b>Criteria 1: Mission and Values</b>
<p>Narrations findings from the survey visit and judgment assessor: ...</p> <ul style="list-style-type: none"> <li>● Findings of sub criteria of the standard <ul style="list-style-type: none"> <li>○ Area of strength of the school in the described standard and its sub criteria</li> <li>○ Area of concern</li> <li>○ Area that needs further evidence</li> </ul> </li> <li>● Recommendation for the standards and their sub criteria</li> </ul>
<b>Criteria 2: Curriculum</b>
<p>Narrations findings from the survey visit and judgment assessor: ...</p> <ul style="list-style-type: none"> <li>● Findings of sub criteria of the standard <ul style="list-style-type: none"> <li>○ Area of strength of the school in the described standard and its sub criteria</li> <li>○ Area of concern</li> <li>○ Area that needs further evidence</li> </ul> </li> <li>● Recommendation for the standards and their sub criteria</li> </ul>
<b>Criteria 3: Assessment</b>
<p>Narrations findings from the survey visit and judgment assessor: ...</p> <ul style="list-style-type: none"> <li>● Findings of sub criteria of the standard <ul style="list-style-type: none"> <li>○ Area of strength of the school in the described standard and its sub criteria</li> <li>○ Area of concern</li> <li>○ Area that needs further evidence</li> </ul> </li> <li>● Recommendation for the standards and their sub criteria</li> </ul>
<b>Criteria 4: PhD Candidates</b>
<p>Narrations findings from the survey visit and judgment assessor: ...</p> <ul style="list-style-type: none"> <li>● Findings of sub criteria of the standard <ul style="list-style-type: none"> <li>○ Area of strength of the school in the described standard and its sub criteria</li> <li>○ Area of concern</li> <li>○ Area that needs further evidence</li> </ul> </li> <li>● Recommendation for the standards and their sub criteria</li> </ul>
<b>Criteria 5: Academic Staff</b>
<p>Narrations findings from the survey visit and judgment assessor: ...</p> <ul style="list-style-type: none"> <li>● Findings of sub criteria of the standard <ul style="list-style-type: none"> <li>○ Area of strength of the school in the described standard and its sub criteria</li> <li>○ Area of concern</li> <li>○ Area that needs further evidence</li> </ul> </li> <li>● Recommendation for the standards and their sub criteria</li> </ul>
<b>Criteria 6: Educational Resources</b>
<p>Narrations findings from the survey visit and judgment assessor: ...</p> <ul style="list-style-type: none"> <li>● Findings of sub criteria of the standard <ul style="list-style-type: none"> <li>○ Area of strength of the school in the described standard and its sub criteria</li> </ul> </li> </ul>

<ul style="list-style-type: none"> <li>○ Area of concern</li> <li>○ Area that needs further evidence</li> <li>● Recommendation for the standards and their sub criteria</li> </ul>
<b>Criteria 7: Quality Assurance</b>
<p>Narrations findings from the survey visit and judgment assessor: ...</p> <ul style="list-style-type: none"> <li>● Findings of sub criteria of the standard <ul style="list-style-type: none"> <li>○ Area of strength of the school in the described standard and its sub criteria</li> <li>○ Area of concern</li> <li>○ Area that needs further evidence</li> </ul> </li> <li>● Recommendation for the standards and their sub criteria</li> </ul>
<b>Criteria 8: Governance and Administration</b>
<p>Narrations findings from the survey visit and judgment assessor: ...</p> <ul style="list-style-type: none"> <li>● Findings of sub criteria of the standard <ul style="list-style-type: none"> <li>○ Area of strength of the school in the described standard and its sub criteria</li> <li>○ Area of concern</li> <li>○ Area that needs further evidence</li> </ul> </li> <li>● Recommendation for the standards and their sub criteria</li> </ul>

Appendix 5. Summary of Compliance (Assessment Form 4)

<b>Standard</b>	<b>Summary of Self Evaluation Report Conclusion</b>	<b>Summary of Final Survey Visit Report Conclusion</b>
<b>1. MISSION AND VALUES</b>		
1.1 Stating the mission		
<b>2. CURRICULUM</b>		
2.1 Intended outcomes		
2.2 Curriculum organisation and structure		
2.3 Research Environment		
2.4 Research and Publication Ethics		
<b>3. ASSESSMENT</b>		
3.1 Assessment of Learning		
3.2 Assessment in Support of Learning		
3.3 Assessment in Support of Decision-Making		
3.4 Quality Control		
<b>4. PhD CANDIDATES</b>		
4.1 Selection and Admission Policy		
4.2 Rights and Liability		
4.3 PhD Candidates Counselling and Support		
<b>5. ACADEMIC STAFF AND SUPERVISOR</b>		

5.1 Academic Staff and Supervisor Establishment Policy		
5.2 Continuing Professional Development for Academic Staff		
<b>6. EDUCATIONAL RESOURCES</b>		
6.1 Physical Facilities for Research and Training		
<b>7. QUALITY ASSURANCE</b>		
7.1 The Quality Assurance System		
<b>8. GOVERNANCE AND ADMINISTRATION</b>		
8.1 Governance		
8.2 Administration		