

Translation
Version

Higher Education Quality Evaluation of Macao

Guidelines on Institutional Accreditation

Higher Education Bureau

Government of Macao Special Administrative Region

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List of Abbreviations

| | |
|-----------------------------|---|
| EQAA | external quality assurance agency |
| DSES | Higher Education Bureau |
| <i>Guidelines for EQAAs</i> | <i>Guidelines for External Quality Assurance Agencies</i> |
| HEI | higher education institution |
| IA | Institutional Accreditation |
| Macao | Macao Special Administrative Region |
| Panel | accreditation panel |
| QA | quality assurance |
| Statement | Statement Confirming Fulfillment of Condition(s) |

Preamble

1. This set of guidelines elaborates Institutional Accreditation (IA) areas, standards, criteria and process to enable higher education institutions (HEIs) in Macao Special Administrative Region (Macao) to make preparation for IA. This set of guidelines also serves as the basis for external quality assurance agencies (EQAAs) to execute IA.
2. The roles and responsibilities of EQAAs and the terms of service are specified in the *Guidelines for External Quality Assurance Agencies (Guidelines for EQAAs)*.
3. Refer to relevant laws and regulations as well as government announcements for details of the higher education quality evaluation system of Macao, financial support and follow-up action, etc.
4. DSES reserves the right to supplement the terms and conditions in this set of guidelines.

1. Introduction

- 1.1 IA is a means of evaluating education quality to determine whether the operation of institutional management and the programs offered by HEIs meet the quality assurance (QA) requirements of Macao.
- 1.2 IA is a voluntary QA process conducted by HEIs in Macao.
- 1.3 To undertake IA, HEIs should, based on their own needs, engage EQAAs with relevant evaluation experience and sound track records. For the principles of engaging EQAAs and the terms of evaluation service, refer to the *Guidelines for EQAAs*.
- 1.4 HEIs must seek DSES's approval before engaging EQAAs. Upon completion of an IA exercise, HEIs must submit to DSES the final accreditation report for confirmation of the IA outcome and the "Statement Confirming Fulfillment of Condition(s)" (Statement) (applicable to HEIs meeting accreditation standards with condition(s)) for follow-up within 45 days upon receipt of the final IA report
- 1.5 HEIs may opt for accreditation of the entire institution at one go or accreditation by discipline¹/academic unit, and academic level by phases, depending on their own development strategic plans and readiness, etc.
- 1.6 Accredited HEIs can submit application to DSES to grant a status to self-regulate and offer new program(s) in the approved scope (i.e. discipline(s)/academic unit(s), and academic level(s)). For the approved scope and duration, refer to the *Official Gazette of the Macao Special Administrative Region* in the form of an order of the Secretary supervising the higher education sector.
- 1.7 HEIs are required to submit their latest IA outcome with the Statement (applicable to HEIs granted "Meeting Accreditation Standards with Condition(s)" as the IA outcome) before their status to self-regulate and offer new program(s) in the approved scope expires if they intend to apply for the renewal of the status.

¹ This refers to the grouping of programs based on the definition of "narrow field" in *International Standard Classification of Education (2013)* by the United Nations Educational, Scientific and Cultural Organization (UNESCO) at <http://www.uis.unesco.org/>.

2. Guiding Principles of Institutional Accreditation

HEIs in Macao must conduct IA based on the following guiding principles:

2.1 Student-centered

Education is by nature student-centered. Under this core philosophy of education, the primary objective of IA is to ensure that HEIs can provide favorable and quality learning environment as well as learning experience so that they can attain the intended learning outcomes upon completion of the programs under reasonable circumstances.

2.2 Fit-for-purpose

HEIs differ in scale, mode of operation and educational philosophy, etc. As such, IA should be conducted on the basis of HEIs' stated educational goals to evaluate whether HEIs have adequate institutional systems, resources and operation to meet their stated goals and achieve corresponding standards sustainably.

2.3 Evidence-based

Judgment is made on the basis of evidence to ensure objectivity, fairness and consistency of IA outcomes. Evidence includes the accreditation document prepared by HEIs for IA, and the solid empirical data collected by engaged EQAAs as well as the observations made by the Panel during the site visit. HEIs should be entitled to express their views and present evidence throughout the IA process.

2.4 Open and Transparent

2.4.1 IA is conducted in an open and transparent manner. Information concerning accreditation areas, standards, criteria, possible sources of evidence and process, etc. is detailed in this set of guidelines.

2.4.2 DSES reserves the right to disclose the whole or part of the evaluation report.

3. Institutional Accreditation Areas, Standards, Criteria and Evidence

- 3.1 To meet the IA objectives, HEIs are required to present documentary evidence of their educational performance to ensure that the operation of their institutional management and their programs meet the requirements specified in this set of guidelines. Educational performance of their academic provision is based on learning outcomes, with a focus on outputs. Evidence provided by HEIs can be in the form of objective and quantitative data, self-evaluation on their actual governance, management and operation with records of follow-up action.
- 3.2 IA reviews the following five areas of operation of HEIs as well as their respective criteria to determine their educational performance:
- 3.2.1 Institutional Governance and Management
- Educational Philosophy and Purposes
 - Educational Experience
 - Development Strategies and Risk Management
 - Governance Structure, Roles and Responsibilities of Various Ranks
 - Decision-making Process, Checks and Balances, and Delegation of Authority
 - Management Effectiveness, Performance Indicators and Engagement of Staff
 - Transparency in Procedures and Disclosure of Information
- 3.2.2 Academic Planning, Development, Management and Monitoring
- Academic Leadership
 - Planning and Development, Management and Monitoring of Existing Programs
 - Mid- to Long-term Strategies for Academic Development
 - Development in Research, Consultancy and Other Professional Services, Cultural Inheritance and Innovation (if applicable)
 - Student Performance
- 3.2.3 Financial Management and Resources Deployment
- Financial Condition and Budgeting
 - Campus Facilities and Equipment
 - Teaching and/or Research and Practicum Facilities as well

as Support

- Student Support

3.2.4 Staffing and Staff Development

- Staffing
- Appointment Criteria and Selection Mechanism
- Teaching Load and Allocation of Other Duties
- Performance Appraisal and Teaching Effectiveness
- Support for Staff Development
- Engagement in Research, Consultancy and Professional Services (if applicable)

3.2.5 Quality Assurance

- Quality Management Mechanism and Performance Indicators
- Communication and Implementation Mechanism

3.3 The IA areas, standards, criteria and possible sources of evidence are in **Annex 1**. Accreditation documents are to be prepared by HEIs in a self-evaluative manner and submitted to engaged EQAAs for review. HEIs must elaborate their educational performance by making reference to the accreditation areas as well as their respective criteria, and support the elaboration with relevant documents and data. Refer to **Annex 2** and **Annex 2.1** for “Points to Note on Preparation of Accreditation Documents” and “Outline of Accreditation Document (For Reference Only)” respectively.

3.4 For HEIs running programs in one single discipline/academic unit, the academic levels of the discipline/academic unit concerned serve as evidence to illustrate whether these HEIs meet the IA standards. If HEIs intend to involve various disciplines/academic units in one single IA exercise, they must present documentary evidence of their educational performance on the disciplines/academic units concerned for the Panel to review.

4. Accreditation Model

- 4.1 Peer review is the execution principle of the higher education quality evaluation system of Macao. Under this principle, evaluation must be conducted by peer experts with experience relevant to IA. Peer experts include institutional leaders with governance and management experience as well as academic leaders of relevant disciplines/academic units (See paragraph 1.5), academic experts who understand the education and cultural contexts of Macao, etc., and professionals from relevant industries.
- 4.2 The composition, the roles and responsibilities, as well as the code of conduct of the accreditation panel (Panel), etc. are outlined in Chapter 4 of Section A and related annexes in the *Guidelines for EQAAs*. In particular, the number and the experiences of the Panel members should be adequate to cover the accreditation area(s), as well as the scope (i.e. discipline(s)/academic unit(s)) in which the HEI intends to obtain the status to self-regulate and offer new program(s).

5. Application for Institutional Accreditation

- 5.1 The HEI intending to apply for IA must submit an IA proposal to DSES. The evaluation proposal should include details of the accreditation exercise, explanation of the engaged EQAA's compliance with relevant requirements (see paragraph 5.2) (attached with supporting documents), as well as reasons for selecting the EQAA, the budget for accreditation expenses, the schedule, the working language in the course of evaluation and the scale of accreditation (i.e. entire institution or discipline(s)/academic unit(s), and academic level(s) to be accredited) (see paragraph 1.5), etc.
- 5.2 When selecting an appropriate EQAA, the HEI should take account of its relevant evaluation experience, track records and reputation, etc. At the same time, it is also necessary to consider and select the principles and requirements of the EQAA according to the actual needs of the HEI. Further details about the engagement of EQAAs are in Chapter 1 of Section A of the *Guidelines for EQAAs*.
- 5.3 To ensure fairness and consistency, IA has to be conducted on the basis of this set of guidelines. It is only under exceptional circumstances that the HEI may be unable to fully comply with this set of guidelines on the IA areas, standards, criteria and/or process; in such cases, the reason(s) for failing to comply with this set of guidelines (including expansion, reduction, modification), the proposed change(s) as well as their implications must be detailed in the accreditation proposal. Nonetheless, the proposed change(s) should not substantially diverge from this set of guidelines.
- 5.4 The HEI will be informed of the outcome of its IA application by DSES through a notification letter.
- 5.5 Upon receipt of DSES's approval of the IA application, the HEI should enter into a service agreement with its engaged EQAA, and must conduct the IA exercise in hand according to the specifications in the notification letter from DSES and the evaluation proposal approved by DSES. Details of the service agreement are outlined in Chapter 3 of Section A of the *Guidelines for EQAAs*.
- 5.6 The results for the IA application will generally be decided within 90 days.

5.7 If DSES deems it necessary, the applicant institution may be required to provide explanations, present evidence and supplementary information. Or, DSES will obtain technical support services in accordance with the provisions of the higher education quality evaluation system of Macao. Or, DSES will obtain opinions from other professional, academic entities or individuals, including consulting the Panel; in such cases, the calculation of the above period (paragraph 5.6) shall be suspended.

6. Institutional Accreditation Procedure

- 6.1 Upon signing the service agreement, the EQAA must recruit members for the Panel and execute the service agreement according to the terms set forth in the service agreement and in Chapter 4 of Section A of the *Guidelines for EQAAs*. The EQAA can appoint the Panel only upon clearance of conflict of interest by the HEI and must then send the confirmed panel membership list to DSES for record. The terms of service of the EQAA, and the roles and responsibilities as well as the code of conduct of the Panel are detailed in the *Guidelines for EQAAs*.
- 6.2 Upon commencement of an IA exercise, the HEI should designate a dedicated contact person to communicate with the case officer of the EQAA. To avoid conflict of interest, the HEI cannot contact the panel members directly.
- 6.3 The HEI is to submit the accreditation document to the EQAA according to the schedule set forth in the service agreement; and the language of the IA document is preferred to be the same as the HEI's working language.
- 6.4 The case officer of the EQAA has a preliminary review of the accreditation document to ensure adequacy of information before sending it to the Panel for study.
- 6.5 The Panel is to review the educational performance of the HEI stated in the accreditation document according to this set of guidelines. The Panel may request for clarification and/or supplementary information from the HEI via the EQAA as and when necessary.
- 6.6 The HEI has to provide written responses and/or supplementary information according to the schedule set by the EQAA.
- 6.7 The Panel is to pay a site visit to the HEI on the scheduled dates as set forth in the service agreement to grasp a thorough understanding of the HEI's operation. During the site visit, the Panel is to meet different stakeholders (including the governing body, management staff, staff, students, alumni, external advisors, partner organisations, employers of alumni and other related external parties, etc.), (the language adopted during interviews should be the same as the HEI's working language), visit relevant equipment and facilities, and examine records and other supporting documents. For the "Site Visit Program and Arrangements"

and the “Sample of Two-day Site Visit Program (For Reference Only)”, refer to **Annex 3** and **Annex 3.1** respectively.

- 6.8 Under normal circumstances, information collection ends upon completion of the site visit.
- 6.9 Before the site visit comes to an end, the Panel is to conduct the “Exit Meeting” with the senior management of the HEI to share its key observations about the accreditation exercise, including but not limited to the intended accreditation outcomes and respective decisions, such as meeting/not meeting accreditation standards, and conditions with/without recommendations (refer to paragraphs 7.2 and 7.3). The minutes of the “Exit Meeting” are to be sent to the HEI by the EQAA for record normally within 1 week after the site visit.
- 6.10 The EQAA is to send the draft of the IA report to the HEI normally within 12 weeks after the site visit; the HEI is to comment on the factual accuracy normally within 2 weeks on receipt of the draft report. (Refer to paragraph 7.3.2.)
- 6.11 The EQAA is to send the final IA report to the HEI normally within 2 weeks upon receipt of the HEI’s comments on the factual accuracy of the draft report. If the accreditation outcome is “Meeting Accreditation Standards with Condition(s)”, the EQAA is to issue the Statement to the HEI within 2 weeks after confirming that the HEI has successfully fulfilled the condition(s). (Refer to paragraphs 7.3.3 and 8.1.)
- 6.12 The HEI has to submit to DSES the final accreditation report for confirmation of the IA outcome and the Statement (applicable to HEIs meeting accreditation standards with condition(s)) for follow-up within 45 days upon receipt of the IA report. (Refer to paragraphs 7.3.3 and 8.1.)
- 6.13 The confirmation procedure of the IA results will generally be decided within 90 days.
- 6.14 If DSES deems it necessary, the applicant institution may be required to provide explanations, present evidence and supplementary information. Or, DSES will obtain technical support services in accordance with the provisions of the higher education quality evaluation system of Macao. Or, DSES will obtain opinions from other professional, academic entities or individuals, including consulting the Panel; in such cases, the calculation of the above period (paragraph 6.13) shall be suspended.

6.15 The workflow for IA is in **Annex 5**.

7. Institutional Accreditation Standards, Outcomes and Report

7.1 Institutional Accreditation Standards

For the details of IA standards, see **Annex 1** and **Annex 1.1**. When necessary, the Panel may make reference to relevant international practices². If the programs offered by HEIs are expected to meet the requirements for industry/professional practice in Macao, these relevant requirements must be taken into consideration as well when IA is being undertaken.

7.2 Institutional Accreditation Outcomes

7.2.1 Possible IA outcomes are “Meeting Accreditation Standards”, “Meeting Accreditation Standards with Condition(s)” and “Not Meeting Accreditation Standards” with respective decisions as follows:

| IA Outcomes | IA Decisions |
|---|--|
| Meeting Accreditation Standards | - Applicable discipline(s)/academic unit(s), and academic level(s); and/or restrictions (if applicable) |
| Meeting Accreditation Standards with Condition(s) | - Condition(s), standards for fulfillment of condition(s) and deadline(s) for fulfillment - Applicable discipline(s)/academic unit(s), and academic level(s); and/or restrictions (if applicable) |
| Not Meeting Accreditation Standards | - Not applicable |

7.2.2 The Panel, based on the evidence provided by the HEI being

² According to international practices, academic and/or professional standards of individual courses and specifications are subject to change, depending on institutional goals and/or program objectives. For example, if an HEI adopts the internationally recognized qualifications of Washington Accord as the graduation requirements of its engineering degree programs, the relevant requirements will be used as the requirements for the effectiveness of the program design and as the sound and valid standards for self-evaluation.

accredited, the solid empirical data collected as well as the observations made during the site visit, makes judgments through triangulation and comes up with the following decisions:

- i. Applicable discipline(s)/academic unit(s), and academic level(s);
- ii. For HEIs meeting accreditation standards with condition(s), the Panel may set applicable condition(s) on the relevant accreditation areas as the term(s) of meeting the accreditation standards.
- iii. For HEIs meeting accreditation standards with or without condition(s), the Panel may set restrictions³ on the discipline(s)/academic unit(s), and academic level(s) concerned. For details, see paragraph 7.3.1.

7.3 **Institutional Accreditation Report and “Statement Confirming Fulfillment of Condition(s)”**

7.3.1 The final IA report covers the engaged EQAA’s observations, judgments and justifications on different accreditation areas which lead to the concluding accreditation outcome and decisions.

- i. For HEIs meeting accreditation standards, the IA report should include recommendations for improvement so that the HEI being accredited can review and follow up on the accreditation area(s) where gaps are identified, yet the gaps in any accreditation area(s), as a rule, neither make a threat to the HEI’s operation nor cause an immediate and serious impact on the students concerned.

The report should also include the EQAA’s commendations for the HEI’s good practices.

When necessary, the EQAA can set restrictions on the discipline(s)/academic unit(s), and academic level(s) that have met the accreditation standards.

³ The Panel, after reviewing the evidence of the HEI’s existing resources (such as its scope of operation, financial status, experience in leadership and teachers’ qualifications), future planning and track records, etc., may set restrictions on the areas that have met the accreditation standards, i.e. the discipline(s)/academic unit(s) and academic level(s).

- ii. For HEIs meeting accreditation standards with condition(s), the report should include the condition(s), the standards for fulfillment of the condition(s) and deadline(s) for fulfillment. The HEI being accredited must do the follow-up and fulfill these conditions within the time frame set forth in the report. Conditions normally apply to accreditation area(s) with deficiencies that have a relatively far-reaching impact on the HEI's operation, yet there will be no immediate and serious impact on the students concerned when these conditions are fulfilled.

When necessary, the EQAA can include recommendations for improvement so that the HEI being accredited can review and follow up on the accreditation area(s) where gaps are identified, yet the gaps in any accreditation area(s), as a rule, neither make a threat to the HEI's operation nor cause an immediate and serious impact on the students concerned.

The report should also include the EQAA's commendations for the HEI's good practices.

When necessary, the EQAA can set restrictions on the discipline(s)/academic unit(s), and academic level(s) that have met the accreditation standards with condition(s).

- iii. For HEIs not meeting accreditation standards, the report should include the Panel's observations, together with justification, of the substandard gaps in any accreditation area(s) that have a far-reaching impact on the HEI's educational performance as a whole, thus discouraging the HEI from fulfilling the requirements of this set of guidelines within a reasonable time frame;

In the report for HEIs not meeting accreditation standards, the EQAA must provide the HEI being accredited with practicable remedial actions for reference so that the HEI can achieve betterment to meet the basic standards for IA.

- 7.3.2 Under normal circumstances, the EQAA is to prepare a draft accreditation report according to the schedule set forth in the service agreement (normally within 12 weeks after the site visit) for an accuracy check by the HEI being accredited. The HEI's

comments on the factual accuracy of the draft report normally reach the EQAA within 2 weeks.

- 7.3.3 The EQAA is to send the final report to the HEI according to the schedule set forth in the service agreement (normally within 2 weeks upon receipt of the HEI's comments on the factual accuracy of the draft report) and issue the Statement to the HEI within 2 weeks upon the HEI's fulfillment of the condition(s).

The HEI must submit to DSES the final accreditation report for confirmation of the IA outcome and the Statement (applicable to HEIs meeting accreditation standards with condition(s)) for follow-up within 45 days upon receipt of the IA report.

8. Follow-up Action

- 8.1 HEIs with meeting accreditation standards with condition(s) as their IA outcome have to take follow-up action according to the condition(s) set forth in the accreditation report. Upon fulfillment of the condition(s), these HEIs are to receive the Statement issued by their engaged EQAAs, which must then be sent to DSES for follow-up.
- 8.2 If their IA reports contain recommendation(s) for improvement (see items (i) and (ii) of paragraph 7.3.1), the HEIs must include the progress of the follow-up action in their annual reports submitted to DSES.
- 8.3 If HEIs meeting accreditation standards intend to make substantial changes⁴ to their operation, they have to report to DSES. DSES will then consider whether the scale, scope, details and implications of these changes, etc. affect the sustainability of the requisite conditions for the accreditation and the status to self-regulate and offer new programs.
- 8.4 HEIs with “Not Meeting Accreditation Standards” as their IA outcome may submit another IA proposal to DSES, normally 1 year after the issuance of the final accreditation report, with supporting evidence to demonstrate their betterment in response to the remedial actions suggested by their respective EQAAs in the IA reports (see item (iii) of paragraph 7.3.1).

⁴ Substantial changes primarily refer to changes that have a major impact on the operation, management and academic development of an HEI. Changes in the following areas may be considered substantial: the HEI’s educational purposes, goals, overall management structure, resources deployment policy or directional change in academic development, etc. These merely serve as examples for reference and are by no means exhaustive.

9. Observers

- 9.1 DSES may send observer(s) at its discretion to sit in meetings relevant to the IA exercise (including the “Pre-visit Meeting” held one day prior to the site visit) and the site visit for the purposes of observing the accreditation process and identifying room for improvement in the flow and arrangements of the accreditation exercise, etc. Observer(s) must abide by the code of conduct as well as the terms of confidentiality applicable to the Panel. If the EQAA/the HEI raises a valid evidence-based objection to the presence of observer(s) on the basis of conflict of interest, the observer(s) concerned must not sit in the relevant meetings and the site visit. However, DSES can assign other observer(s) as replacement(s). Observer(s) are bound by the terms specified in the *Guidelines for Observers (Annex 4)* and must carry out their duties.
- 9.2 DSES is to send the name list of observer(s) to the HEI and the EQAA so that the case officer of the EQAA can deliver relevant documents and information, etc. to observer(s) as well.

**Institutional Accreditation Areas, Standards, Criteria and
Possible Sources of Evidence**

1. Given that HEIs in Macao differ in scale and mode of operation, with a focus on different academic disciplines, they may have different institutional structures. Nonetheless, HEIs' legal entities must comply with the legal provisions of Macao and the HEIs to be established must be recognized by Macao Government. These are the prerequisites for undertaking IA. HEIs are required to provide their respective EQAAs with the brief introduction of their legal entities as well as relevant applicable provisions for reference.
2. IA aims to evaluate whether the operation of HEIs and the programs offered by these HEIs meet their stated goals and objectives, as well as the QA requirements of Macao, through various aspects of institutional operation (i.e. the IA areas).
3. HEIs must provide a favorable learning environment through appropriate deployment of resources on the basis of their stated educational purposes and educational goals so that students can attain intended learning outcomes under reasonable circumstances. The learning outcomes serve the purposes of facilitating students' personal development and laying a solid foundation for students' further studies and employment.
4. IA standards are the standards set with reference to Law No. 10/2017 on *Higher Education Regime* as well as related administrative regulations of Macao, relevant industry/professional practice requirements (if applicable), and the standards stated in this annex to determine whether the HEI being accredited and its program(s) intended to be offered within relevant discipline(s)/academic unit(s), and academic level(s)) meet the standards.
5. The IA areas covering the different aspects of institutional operation are interrelated and closely linked. While **Annex 1.1** lists the standards and criteria by the IA areas for easy reference, HEIs should keep in mind the inter-dependent nature of these accreditation areas when using **Annex 1.1** so as to facilitate holistic understanding of this set of guidelines.
6. HEIs must provide sufficient and appropriate evidence for accreditation. Since HEIs' nature and mode of operation vary, the nature and the number

of documents required may be different. HEIs should submit relevant supporting documents to reflect their daily operation and may also include evidence other than that stated in **Annex 1.2**, subject to their mode of operation. HEIs may discuss with their engaged EQAAs the means of and the time for delivering supporting documents which are in bulk number (e.g. meeting minutes, teaching materials, student graduation projects, etc.). These supporting materials may be displayed during the site visit, for instance, for the Panel to have a review. Whether HEIs opt for accreditation of the entire institution at one go or accreditation by discipline/academic unit, and academic level by phases, i.e. the scale of accreditation (see paragraphs 1.5 and 5.1), the evidence presented by the HEIs must be tied to the objectives of the IA exercises (see paragraph 3.4). The list of possible sources of evidence in **Annex 1.2** is for reference only and is by no means exhaustive.

7. The accreditation areas, standards and criteria stated in **Annex 1.1** are in general applicable to all HEIs in Macao. However, some criteria may be subject to minor adjustment in accordance with the educational purposes and educational goals of individual HEIs with sound reasons. For instance, a teaching institution may focus on student development while a research institution may invest more resources in scientific research, aside from student development. Likewise, HEIs without any partner organizations need not address the criteria concerning partnership.
8. When planning for IA, HEIs are advised to conduct self-evaluation to assess whether their operation and the programs they offer meet the QA requirements of Macao. Identified gaps should be addressed prior to the application for IA. This is to ensure the smooth running of the accreditation exercise. Overdoing or underperformance may suggest ineffective institutional operation.
9. To understand how the Panel makes judgments on the basis of the accreditation standards stated in this annex, refer to Chapter 6 and Annex 5 in the *Guidelines for EQAAs*.

Institutional Accreditation Areas, Standards and Criteria

The IA areas, standards and criteria included in this annex are in general applicable to the accreditation of the entire institution. **HEIs intending to apply for the status to self-regulate and offer new programs in individual discipline(s)/academic unit(s), and academic level(s) are required to focus on the elaboration of the applicable IA areas that are tied to the accreditation objectives when working on the accreditation document and present relevant evidence as proof of meeting the IA standards.**

| Accreditation Area I: Institutional Governance and Management | |
|--|---|
| Criteria | Standards |
| 1. Educational Philosophy and Purposes | 1.1 HEIs must specify their educational philosophy, purposes and goals, and demonstrate that they align with the missions of their legal entities. |
| 2. Educational Experience | 2.1 HEIs must explicitly indicate their educational experiences, history of development, institutional and program characteristics as well as the strengths and weaknesses in their operation so as to demonstrate how HEIs live up to their educational philosophy and purposes. |
| 3. Development Strategies and Risk Management | <p>3.1 HEIs must formulate development strategies to illustrate how they achieve their educational philosophy and purposes progressively with effective strategies and approaches.</p> <p>3.2 The development strategies must reflect HEIs' vision in higher education, HEIs' local and international positioning, and the performance indicators that they intend to achieve.</p> <p>3.3 The development strategies must align with the mid-to long-term strategies for academic development (refer to Accreditation Area II in this annex for details).</p> <p>3.4 HEIs must formulate comprehensive risk management strategies embracing an effective risk management mechanism that can ensure sustainability in institutional operation in the face of uncertainty and change.</p> |

Accreditation Area I: Institutional Governance and Management

| Criteria | | Standards |
|-----------------|---|---|
| 4. | Governance Structure, Roles and Responsibilities of Various Ranks | <p>4.1 HEIs must establish an appropriate governance and management structure based on the composition requirements of their respective legal entities. The roles and responsibilities of governing and management units have to be explicitly specified. These units are guiding HEIs towards their stated educational goals, intended educational performance and academic levels to meet international standards according to the prescribed principles and operational procedures, and they are also meeting legal, academic/professional and community expectations and requirements.</p> <p>4.2 HEIs must appoint eligible and devoted management and academic leaders to effectively implement the governance objectives and facilitate institutional development.</p> <p>4.3 To meet the intended performance indicators, HEIs must periodically carry out reviews and implement improvement measures on their governance and management effectiveness (at both institutional level and academic unit level).</p> <p>4.4 Performance indicators must be able to reveal the following means of governance and management:</p> <ul style="list-style-type: none"> 4.4.1 appropriate and effective delegation of authority and accountability; 4.4.2 effective checks and balances; 4.4.3 well-reasoned and law-abiding decisions built upon supporting facts together with staff’s engagement; 4.4.4 effective monitoring to ensure proper execution of governance policies; 4.4.5 transparent governance to ensure that stakeholders (staff, students, employers and other related external parties) understand and support HEIs’ development and operation. <p>4.5 HEIs’ operational procedures and information must be transparent and open enough for students to acquire sufficient information about the learning outcomes and graduation requirements, etc. of the programs that they have enrolled in.</p> |
| | Decision-making Process, Checks and Balances, and Delegation of Authority | |
| | Management Effectiveness, Performance Indicators and Engagement of Staff | |
| | Transparency in Procedures and Disclosure of Information | |

Accreditation Area II: Academic Planning, Development, Management and Monitoring

| Criteria | | Standards |
|-----------------|---------------------|---|
| 1. | Academic Leadership | <p>1.1 HEIs’ academic leaders must embrace a global vision and be able to steer HEIs towards continuous development and advancement in relevant discipline(s) in the ever-changing higher education sector.</p> <p>1.2 Academic leaders should be able to formulate specific academic development objectives and cultivate common values among teaching and/or research staff to strive for services, including quality teaching and/or scientific research.</p> <p>1.3 Academic leaders must possess requisite intellectual literacy to determine that institutional academic development meets legal and quality requirements, aligns with both local and international academic development and ties in with students’ developmental needs for the purposes of responding to the manpower demand of society and relevant industry/industries and improving students’ competencies.</p> <p>1.4 Academic leaders should be able to develop corresponding and workable academic development plans according to HEIs’ development objectives, and monitor execution in order to foster advancement in academic development.</p> <p>1.5 Academic leaders must maintain close connection with relevant academic and professional networks both locally and internationally, actively participate in relevant academic and professional development activities and make contributions to upgrade the academic and professional positioning of HEIs and Macao.</p> <p>1.6 Academic leaders and leaders of disciplines/academic units must effectively facilitate collaboration and communication among the teaching and/or research team and improve morale for the purposes of ensuring program quality and achieving the educational performance of relevant disciplines/academic units.</p> |

Accreditation Area II: Academic Planning, Development, Management and Monitoring

| Criteria | | Standards |
|-----------------|--|--|
| 2. | Planning and Development, Management and Monitoring of Existing Programs | <p>2.1 The planning of existing programs must align with HEIs’ educational purposes and goals, and respond to the manpower demand of society and relevant industry/industries.</p> <p>2.2 The planning and development of existing programs must be able to reflect HEIs’ academic positioning, vision as well as their implementation strategies and approaches.</p> <p>2.3 Program planning must be carried out under the “Outcome-based Program Design” principle as well as according to HEIs’ capacity and scale of operation for the purpose of meeting the QA requirements of Macao and international standards.</p> <p>2.4 Program planning and development must be conducted by relevant teaching and/or research staff under the leadership of qualified academic leaders, who together seek fit-for-purpose consultation.</p> <p>2.5 HEIs must specify the roles and responsibilities of various units involved in program planning and development for effective management and monitoring.</p> <p>2.6 HEIs must establish internal program approval procedures to ensure that their programs meet the stated educational goals and the intended learning outcomes.</p> <p>2.7 Planned programs must be launched according to the prescribed policy, operational mechanism and mode; reviews must be conducted periodically to ensure program quality.</p> |

Accreditation Area II: Academic Planning, Development, Management and Monitoring

| Criteria | | Standards |
|-----------------|---|--|
| 3. | Mid- to Long-term Strategies for Academic Development | <p>3.1 Mid- to long-term strategies for academic development is the core part of the institutional development strategic plan and serves as HEIs’ positioning in teaching and/or research as well as a blueprint for HEIs’ mid- to long-term academic development.</p> <p>3.2 Reasonable and appropriate academic development strategies should be built upon objective data and HEIs’ self-evaluation on their own capacity and the practicability of their scale of development. Objective data can be obtained from manpower forecast, research on social development, feasibility study, benchmarking, consultation, etc.</p> <p>3.3 Mid- to long-term strategies for academic development must be formulated in a law-abiding and reasonable manner to meet Macao’s socio-economic development and manpower demand for the purpose of meeting the QA requirements of Macao and international standards.</p> <p>3.4 Institutional development strategic plan as a whole must align with the mid- to long-term strategies for academic development.</p> |

Accreditation Area II: Academic Planning, Development, Management and Monitoring

| Criteria | | Standards |
|-----------------|---|--|
| 4. | Development in Research, Consultancy and Other Professional Services, Cultural Inheritance and Innovation (if applicable) | <p>4.1 HEIs must formulate objectives and strategies for research, consultancy and other professional services so as to achieve their own operational vision and objectives.</p> <p>4.2 HEIs are committed to taking up a leading role in the development of academic disciplines and relevant professions/industries. Through development in research and/or provision of consultancy and other professional services, HEIs foster cultural inheritance and innovation by extending knowledge in both academic and professional fields.</p> <p>4.3 HEIs must be socially responsible by making contributions to relevant fields with the provision of expert opinions.</p> <p>4.4 HEIs must formulate appropriate policies and mechanisms to promote teaching and/or research staff's engagement in research, consultancy and other professional services.</p> <p>4.5 HEIs must establish effective, practicable review mechanisms and indicators to review outputs, outcomes, effectiveness and impacts for follow-up and improvement purposes.</p> <p>4.6 HEIs must establish academic and professional networks with local and international coverage for development in research, consultancy and other professional services.</p> <p>4.7 HEIs must maintain close connection with all relevant stakeholders in order to have a precise understanding of Macao's developmental needs.</p> |

Accreditation Area II: Academic Planning, Development, Management and Monitoring

| Criteria | | Standards |
|-----------------|---------------------|---|
| 5. | Student Performance | <p>5.1 HEIs must formulate appropriate, fair and consistent policies for student admission, and for the assessment and monitoring of students' performance.</p> <p>5.2 HEIs put the policies into practice, and collect objective data as well as facts for regular review of students' performance so as to ensure their attainment of the intended learning outcomes.</p> |

Accreditation Area III: Financial Management and Resources Deployment

| Criteria | | Standards |
|-----------------|-----------------------------------|--|
| 1. | Financial Condition and Budgeting | <p>1.1 HEIs must have stable financial condition to ensure sustainable operation of the institutions themselves, their disciplines/academic units as well as their programs and to achieve HEIs’ operational objectives performance indicators.</p> <p>1.2 HEIs must establish a sound financial management mechanism which embraces the following management means to ensure effective implementation of the financial management policy:</p> <p>1.2.1 effective delegation of authority and accountability;</p> <p>1.2.2 effective checks and balances;</p> <p>1.2.3 effective monitoring.</p> <p>1.3 Financial management must be implemented according to the prescribed policy and mechanism.</p> <p>1.4 HEIs must effectively utilize and deploy resources in accordance with the development objectives of each operational unit to ensure HEIs’ attainment of their own overall operational objectives and performance indicators.</p> |

Accreditation Area III: Financial Management and Resources Deployment

| Criteria | | Standards |
|-----------------|--|--|
| 2. | Campus Facilities and Equipment | <p>2.1 HEIs must have an adequate and appropriate campus, teaching facilities and equipment as well as support to achieve their operational objectives and ensure educational quality.</p> <p>2.2 HEIs must periodically review the campus, facilities and equipment, and deploy resources in a timely manner for the upgrade of existing devices and the purchase of new ones so as to tie in with HEIs' operation and development.</p> <p>2.3 HEIs must effectively utilize and deploy resources in accordance with the development objectives of each operational unit to ensure HEIs' attainment of their own overall operational objectives and performance indicators.</p> <p>2.4 HEIs must provide appropriate and adequate teaching and/or research and practicum facilities as well as support (e.g. laboratories, libraries, online teaching and learning resources, student hostels, recreational amenities, etc.) in order to provide students with appropriate learning experiences in a favorable learning environment, ultimately acquiring the intended learning outcomes.</p> |
| | Teaching and/or Research and Practicum Facilities as well as Support | <p>2.5 If facilities are provided by other organizations for teaching, research and/or practicum purposes, HEIs must formulate effective and practicable policies on partner organizations' approval, partnership agreement, codes and regulations on operation, monitoring and review, etc. to ensure quality.</p> <p>2.6 HEIs must maintain close connection with their partner organizations to ensure that staff of partner organizations have a clear understanding of HEIs' requirements and provide timely, proper and sufficient support for relevant staff and students of the HEIs who can then receive quality teaching, research and practicum resources to attain the intended outcomes.</p> |

Accreditation Area III: Financial Management and Resources Deployment

| Criteria | | Standards |
|-----------------|-----------------|--|
| 3. | Student Support | <p>3.1 HEIs must formulate a student support policy with relevant implementation mechanism and procedures to support student learning to foster students’ holistic development. Student support generally covers the following areas:</p> <p>3.1.1 academic counseling and advisory on major selection;</p> <p>3.1.2 career and employment advisory;</p> <p>3.1.3 advisory on further studies;</p> <p>3.1.4 advisory on personal growth;</p> <p>3.1.5 financial aid (e.g. bursary).</p> <p>3.2 HEIs must formulate an appropriate mechanism for rewards and penalties in order to cultivate learning initiatives and positive attitudes among students.</p> <p>3.3 HEI must formulate an appropriate assessment review and appeal mechanism for the purpose of allowing students with sufficient justification to request assessment review and/or put forth an appeal against unfair assessment in an open and fair manner.</p> <p>3.4 HEI must offer channels for students to acquire sufficient information in a timely manner so that they can have a precise understanding of their own rights and obligations. As a result, they can attain appropriate learning experiences and support to achieve the intended learning outcomes under law-abiding and reasonable circumstances.</p> |

Accreditation Area IV: Staffing and Staff Development

| Criteria | Standards |
|--|--|
| <p>1. Staffing</p> <hr/> <p>Appointment Criteria and Selection Mechanism</p> <hr/> <p>Teaching Load and Allocation of Other Duties</p> <hr/> <p>Performance Appraisal and Teaching Effectiveness</p> <hr/> <p>Support for Staff Development</p> <hr/> <p>Engagement in Research, Consultancy and Professional Services (if applicable)</p> | <p>1.1 HEIs must formulate an appropriate and reasonable staffing structure which aligns with their development strategies and operational needs.</p> <p>1.2 HEIs must ensure that there are sufficient staff with requisite qualifications and experiences to facilitate their own effective operation.</p> <p>1.3 The roles and responsibilities, appointment criteria, selection mechanism, promotion, contract renewal, salary review, performance appraisal and evaluation of teaching effectiveness, etc. of staff at various ranks must be defined in a fair manner, and details must be explicitly specified for management purpose.</p> <p>1.4 HEIs must formulate a policy as well as a mechanism on staff development, and deploy resources accordingly to promote staff's active participation. This is to ensure that staff keep pace with the latest development for the provision of quality services in order to achieve HEIs' educational performance.</p> <p>1.5 HEIs must put into practice the above staffing and relevant policies.</p> <p>1.6 HEIs must delegate and assign teaching load and other duties in an appropriate and timely manner.</p> <p>1.7 HEIs must formulate an appropriate appeal mechanism to allow staff with sufficient justification to put forth an appeal against unfair treatment in an open and fair manner.</p> <p>1.8 HEIs must offer channels for staff to acquire sufficient information in a timely manner for a precise understanding of their own rights and obligations so that they can provide quality services to achieve institutional objectives and educational performance under law-abiding and reasonable circumstances.</p> |

Accreditation Area IV: Staffing and Staff Development

| Criteria | | Standards |
|-----------------|--|--|
| | | 1.9 HEIs must formulate an appropriate policy and mechanism to promote active participation of teaching and/or research staff in research, consultancy and other professional services in an open and fair manner. |

Accreditation Area V: Quality Assurance

| Criteria | | Standards |
|-----------------|---|---|
| 1. | Quality Management Mechanism and Performance Indicators | <p>1.1 HEIs must establish a quality management mechanism and performance indicators to periodically monitor and review their own educational performance with effective, practicable and consistent means. This is to sustain the standards of their educational provision and meet the QA requirements of Macao as well as international standards.</p> <p>1.2 Review results must be built upon objective data and facts, and then triangulated (with students, alumni, management level, staff, partner organizations, employers, etc.) for improvement purpose.</p> <p>1.3 HEIs must make good use of both internal and external networks (e.g. academic and industry sectors, external examiners, honorary advisors, etc.) in order to have a comprehensive understanding of their own operational effectiveness as a reference for the formulation of corresponding policies and development blueprint.</p> <p>1.4 The QA mechanism and procedures must cover institutional operation quality and academic quality, and ensure that both meet their corresponding standards.</p> <p>1.5 For requirements for institutional operation quality, refer to “Accreditation Area I: Institutional Governance and Management”, “Accreditation Area III: Financial Management and Resources Deployment” as well as “Accreditation Area IV: Staffing and Staff Development” in this annex.</p> <p>1.6 For requirements for academic quality, refer to “Accreditation Area II: Academic Planning, Development, Management and Monitoring” in this Annex.</p> |

| Accreditation Area V: Quality Assurance | |
|--|---|
| Criteria | Standards |
| | <p>1.7 HEIs must establish an effective monitoring mechanism covering the following areas:</p> <p>1.7.1 targets of feedback collection, corresponding mechanism and follow-up;</p> <p>1.7.2 consultation with external parties (e.g. external examiners, industry and academic sectors, honorary advisors, etc.);</p> <p>1.7.3 external benchmarking;</p> <p>1.7.4 periodic review mechanism and procedures, and follow-up action on relevant review results</p> <p>1.8 HEIs must provide channels for stakeholders (e.g. students, staff, etc.) to give opinions in order to ensure institutional operation quality and program quality.</p> |
| 2. Communication and Implementation Mechanism | <p>2.1 Complaint Mechanism, Appeal Mechanism, Grievance Mechanism and Information Sharing</p> <p>- HEIs must establish an effective communication and implementation mechanism for stakeholders to acquire sufficient information in a timely manner so that they can express their views to HEIs for fair and equitable treatment.</p> |

Possible Sources of Evidence

Accreditation Area I: Institutional Governance and Management

1. Educational Philosophy and Purposes

- Legal documents showing the missions of the legal entities that HEIs belong to, documents or official documents with HEIs' mission statements, educational philosophy and purposes, as well as educational goals, e.g. prospectus, annual report, etc.

2. Educational Experience

- Institutional retrospection report, review documents, annual report and program lists, etc.

3. Development Strategies and Risk Management

3.1 Development Strategic plan, measurement tools of performance indicators and relevant reports, policy documents and guidelines on risk management (strategic development plans are generally classified into short-term, mid-term and long-term ones; the duration of a development strategic plan depends on HEIs' needs. The time frame stated in the plan as evidence for accreditation is normally no less than 5 years so as to provide the Panel with sufficient time to make reasonable judgments)

3.2 Mid- to long-term strategies for academic development are the core part of the strategic development plan (refer to criterion 3 under Accreditation Area II in this annex for details)

4. Others (including 1. Governance Structure, Roles and Responsibilities of Various Ranks; 2. Decision-making Process, Checks and Balances, and Delegation of Authority; 3. Management Effectiveness, Performance Indicators and Engagement of Staff; 4. Transparency in Procedures and Disclosure of Information)

4.1 Documents related to the composition of the legal entities, documents on institutional governance and management structure, including organizational charts, roles and responsibilities of various governing and management units, documents with the background information and qualifications of the important personnel, etc.

- 4.2 Institutional review documents
- 4.3 Meeting procedures, agendas and minutes of various governing units
- 4.4 To illustrate how HEIs achieve their governance objectives through the following means with a recent substantial decision made by the governing board as an example:
 - 4.4.1 appropriate and effective delegation of authority and accountability
 - 4.4.2 effective checks and balances
 - 4.4.3 well-reasoned and law-abiding decision-making built upon supporting facts and engagement of staff
 - 4.4.4 effective monitoring to ensure proper execution of governance policies
 - transparent governance to ensure that stakeholders (staff, students, employers and other related external parties) comprehend HEIs' development and operation
- 4.5 Various policy documents (including those related to academic policies and policies on scientific research), staff handbook, student handbook, program handbook, handbook on QA mechanism, admission prospectus, etc.

Accreditation Area II: Academic Planning, Development, Management and Monitoring

1. Academic Leadership

- 1.1 Academic development plan, documents on implementation policy
- 1.2 Measurement tools of performance indicators and relevant reports, e.g. data concerning alumni, partner organizations, research and consultancy services, etc.
- 1.3 Documents including background information and qualifications of academic leaders, appointment criteria and actual appointment of academic leaders
- 1.4 Records and contribution reports of academic leaders' engagement in local and international academic as well as professional activities (for the development in relevant research, consultancy and other professional services, refer to criterion 4 under Accreditation Area II

in this annex for details)

2. Planning and Development, Management and Monitoring of Existing Programs

- 2.1 Planning and development blueprint, development reports, reports on review and follow-up action, etc. of existing programs
- 2.2 Policy documents on the planning, development, monitoring, etc. of programs designed with the outcome-based approach
- 2.3 Reference information and data for program planning and development, sources of references, criteria for meeting standards, performance indicators, etc.
- 2.4 Program management documents
- 2.5 Roles and responsibilities of each unit being involved in program planning
- 2.6 Internal program approval procedures and reports
- 2.7 Relevant meeting minutes, consultation documents, etc.

3. Mid- to Long-term Strategies for Academic Development

- 3.1 Reference information and data for formulating development strategies, sources of references, criteria for meeting standards, performance indicators, etc.
- 3.2 Academic development plan, implementation policy documents
- 3.3 Institutional development strategic plan

4. Development in Research, Consultancy and Other Professional Services, Cultural Inheritance and Innovation (if applicable)

- 4.1 Documents concerning the strategies, policies, implementation and review mechanisms of research, consultancy and other professional services, as well as relevant performance indicators, etc.
- 4.2 Previous research, consultancy and service activities, including research, publications as well as funding, outputs, outcomes, effectiveness and impacts of service projects, etc.
- 4.3 Reports on review and follow-up action
- 4.4 HEIs' academic and professional networks as well as collaborative

projects

- 4.5 Information and reports on HEIs' liaison activities with relevant local stakeholders

5. Student Performance

- 5.1 Student admission reports and levels of admitted students
- 5.2 Student passing rate, progression and retention rate, attrition rate and graduation rate
- 5.3 Exit survey reports of graduates, reports on student assessment, etc.

Accreditation Area III: Financial Management and Resources Deployment

1. Financial Condition and Budgeting

- 1.1 Policy documents on financial management
- 1.2 Financial and resources budgeting
- 1.3 Audited financial statement with balance sheet
- 1.4 Cash flow
- 1.5 Management accounting report
- 1.6 Relevant guidelines and/or procedures
- 1.7 Number of students intended to admit, total number of students (at different levels: institution, academic unit and/or discipline, program and academic level)

2. Campus Facilities and Equipment, Teaching and/or Research and Practicum Facilities as well as Support

- 2.1 Campus map, facility brief, and the allocation of the campus and facilities to disciplines/academic units as well as the analysis data of their use of the campus and facilities, the data showing the use of the campus and facilities by staff/students, etc.
- 2.2 Approval policies, partnership agreements, codes and regulations on operation, monitoring and review of partner organizations
- 2.3 List of partner organizations
- 2.4 Facilities and resources provided by partner organizations for

teaching, research and practicum

- 2.5 Records concerning approval, monitoring and review of partner organizations
- 2.6 Sample of partnership agreement
- 2.7 Records of communication with partner organizations and relevant meeting minutes

3. Student Support

- 3.1 Policy on student support, relevant implementation mechanism and procedures
- 3.2 Information concerning the mechanism on rewards and penalties, such as documents concerning:
 - 3.2.1 scholarship
 - 3.2.2 funding for extra-curricular activities
 - 3.2.3 disciplinary action on plagiarism
 - 3.2.4 criteria for progression
 - 3.2.5 student assessment criteria
 - 3.2.6 program and graduation requirements
- 3.3 Documents on student assessment review and appeal mechanism
- 3.4 Student handbook
- 3.5 Channels for, means of and frequency of information dissemination

Accreditation Area IV: Staffing and Staff Development

- 1. Documents concerning staffing policy and implementation
- 2. Staff handbook
- 3. Documents concerning the roles and responsibilities, appointment criteria, selection mechanism, promotion, contract renewal, salary review, performance appraisal as well as mechanism, criteria and procedures of evaluating teaching effectiveness, etc. of staff at various ranks
- 4. Number of staff at various ranks and the increase/decrease in the number in the coming year
- 5. Analysis data of the qualifications, experiences etc. of staff at various

ranks

6. Staff development policy, mechanism and resources
7. Actual situation of staff's engagement in development activities/training
8. Teaching load and allocation of other duties
9. Appeal mechanism and communication channels
10. Policies on research, consultancy and other professional services, and engagement of staff at various ranks in relevant policies
11. Teacher to student ratio
12. Staff turnover rate and relevant review reports

Accreditation Area V: Quality Assurance

1. Quality Management Mechanism and Performance Indicators

- 1.1 Internal QA policy documents and relevant implementation guidelines
- 1.2 HEIs' performance indicators
- 1.3 Institutional and academic performance review and follow-up reports
- 1.4 Review information and data
- 1.5 Survey report on feedback from both internal and external stakeholders (e.g. students, alumni, etc.)
- 1.6 Reports from external examiners, honorary advisors, etc. and results of relevant follow-up action
- 1.7 Other analysis data (e.g. external benchmarking)

2. Communication and Implementation Mechanism

- Documents on various mechanisms (Complaint Mechanism, Appeal Mechanism, Grievance Mechanism and Information Sharing) and channels for follow-up

Points to Note on Preparation of Accreditation Documents

1. The accreditation document is the relevant elaboration and written evidence provided by HEIs to substantiate their claim of meeting the accreditation standards, and so it must be adequate and appropriate. Since HEIs diverse in mode of operation, and their programs belong to different disciplines and vary in nature, it is likely that the volume and the type of documentary evidence presented by each HEI may vary. HEIs should submit relevant supporting documents to reflect their daily operation and may also include evidence other than that stated in **Annex 1.2**, subject to their own mode of operation.
2. Prepared in a self-evaluative manner, the accreditation document, supported by objective facts and data (see **Annex 1.2**) that demonstrate HEIs' meeting the standards of the IA areas as listed in **Annex 1.1**, should be a succinct account of HEIs' educational performance. Moreover, follow-up action, monitoring and review of deficiencies, if any, should be elaborated.
3. The IA document is preferred to be written in the HEI's working language to reflect its actual daily operation.
4. For the "Outline of Accreditation Document (For Reference Only)", refer to **Annex 2.1**.

Outline of Accreditation Document

Cover Page

- Name of HEI
- **Institutional Accreditation**
- Discipline(s)/Academic unit(s), and Academic Level(s) being accredited
- Date for Site Visit
- Name of EQAA
- Issue Date of Document

Content

- Table of Contents
- List of Abbreviations (if any)

Preamble

- A brief introduction of the HEI's background and/or its experience of external evaluation

HEI's Basic Information

- Name of HEI
- HEI's legal entity and applicable legal provisions and registration regulations concerning its operation
- HEI's existing discipline(s), academic unit(s), academic level(s), the number of teachers and students (including the number and the ratio, etc. of part-time staff, if any), student sources (e.g. local students, students from Mainland China or other regions), study regimes (e.g. full-time, part-time) and modes of delivery (e.g. lecturing and distance learning), etc.
- Information of new program(s) intended to be launched within the approved scope(s) for HEIs granted the status to self-regulate and offer new program(s) (i.e. discipline(s)/academic unit(s), and academic level(s)) (illustrate in detail in the case of an accreditation exercise for the entire institution)
 - Name of program
 - Commencement date of program (Month/Year)
 - Distribution of teachers and students
 - Student sources

Study regimes
Modes of delivery
Brief description of the facilities allocated for the operation of the new program(s), etc.

- Campus address
- HEI's website
- Other information (if any)

Main Text of Document

- An elaboration of supporting facts and data, presented in the order of the accreditation areas and corresponding criteria listed in **Annex 1.1** and demonstrating with documentary evidence as shown in **Annex 1.2** that the HEI meets the accreditation standards. Here comes a combination of Annex 1.1 and Annex 1.2 which serves as an example for HEIs **for reference** when working on the accreditation document. In the event of discrepancies, Annex 1.1 and Annex 1.2 shall prevail.

Accreditation Area I: Institutional Governance and Management

1. Educational Philosophy and Purposes

- 1.1 The HEI should specify in detail its educational philosophy and purposes, as well as its educational goals and substantiate that they align with the mission of the legal entity that the HEI belongs to.
- 1.2 Supporting documents include prospectus, annual report, etc.

2. Educational Experience

- 2.1 The HEI should explicitly indicate its educational experience, history of development, institutional and program characteristics, and the analysis of the strengths and weaknesses in the HEI's operation so as to demonstrate how the HEI has so far lived up to the educational philosophy and purposes.
- 2.2 Supporting documents include institutional retrospection report, review documents, annual report and program lists, etc.

3. Development Strategies and Risk Management

- 3.1 The HEI should explicitly specify its development strategies, including its vision in higher education, its positioning both locally and internationally, and performance indicators intended to be achieved. The HEI should illustrate with concrete examples how its development strategies guide the HEI progressively towards the achievement of its educational philosophy and purposes, as well as

its educational goals.

3.2 The HEI should define clearly how its development strategic plan aligns with its mid- to long-term strategies for academic development.

3.3 The HEI should also specify its risk management strategies and mechanism, and demonstrate how they ensure sustainability and effectiveness in the HEI's operation.

3.4 Supporting documents include short-, mid- and long-term development strategic plans, measurement tools of performance indicators and relevant reports, policy documents and guidelines on risk management, etc.

4. Governance Structure, Roles and Responsibilities of Various Ranks

4.1 The HEI should present the membership lists of major committees and governing units of different ranks, and elaborate the HEI's governance structure and delegation of roles and responsibilities so as to demonstrate that the composition is in compliance with the specified requirements for the legal entity that the HEI belongs to.

4.2 Supporting documents include organizational charts, roles and responsibilities of all committees and governing units, agendas, arrangements of members' appointment, etc.

5. Decision-making Process, Checks and Balances, and Delegation of Authority

5.1 The HEI should specify its governance and management principles, means and procedures, and illustrate with a substantial decision made by the governing board how the HEI achieves its governance objectives through the following means:

5.1.1 delegation of authority and accountability;

5.1.2 checks and balances;

5.1.3 reference information and data for decision-making;

5.1.4 staff's engagement in institutional policies;

5.1.5 implementation of monitoring and review;

5.1.6 transparency;

5.1.7 stakeholders' understanding of and support for the HEI's development and operation. (Stakeholders here refer to staff, students, employers, and other related external parties, etc.).

5.2 Supporting documents include meeting procedures, decision-making flow chart, records on delegation of authority, meeting minutes concerning substantial decision-making, etc. of governing units at various ranks

6. Management Effectiveness, Performance Indicators, Engagement of Staff

6.1 The HEI should explicitly specify the following of its management level and the head of each academic and administrative unit: appointment criteria, procedures, considerations for approval, performance appraisal and corresponding follow-up to demonstrate that the HEI has engaged appropriate, devoted and capable management and academic leaders who effectively implement governance objectives and facilitate institutional development.

6.2 The HEI should elaborate the formulation procedures, review mechanism, follow-up requirements and monitoring of the performance indicators of its academic units to illustrate how the HEI and its academic units all meet their intended performance indicators.

6.3 Supporting documents include qualifications of functional heads, relevant policy documents, review reports and records on follow-up action, etc.

7. Transparency in Procedures and Disclosure of Information

7.1 The HEI should specify the general approval procedures of its routine work and the channels for its internal communication and exchange, and illustrate their effectiveness.

- Supporting documents include general work manual, staff handbook, handbook on QA mechanism, list of internal regulations, etc.

7.2 The HEI should explicitly state the channels for students to obtain information concerning the HEI and its programs so as to demonstrate that students can acquire sufficient information to comprehend the learning outcomes and the graduation requirements of the programs that they have enrolled in.

- Supporting documents include program handbook, admissions prospectus, student handbook, etc.

Accreditation Area II: Academic Planning, Development, Management and Monitoring

1. Academic Leadership

1.1 The HEI should state in detail the objectives, the blueprint and the implementation plan of its academic development, and illustrate how

the development plan aligns with the pace of local and international development as well as students' developmental needs, responds to the manpower demand of society and relevant industries, and improves students' competencies.

- Supporting documents include academic development plan, implementation policy documents, etc.

1.2 The HEI should specify its academic performance indicators and illustrate with data how the HEI reviews the effectiveness of academic planning, development and implementation.

- Supporting documents include the measurement tools of performance indicators, reports on effectiveness review, survey reports of graduates, relevant data on research and consultancy services, etc.

1.3 The HEI should elaborate the appointment criteria, procedures and considerations for approval, performance appraisal and corresponding follow-up of the academic leadership to illustrate how academic leader(s) lead(s) the teaching and/or research staff in the provision of quality services in teaching and/or scientific research, etc. This is to demonstrate that the academic leadership are capable of guiding the HEI towards continuous development and advancement.

- Supporting documents include background information and qualifications of the academic leadership, appointment criteria and the actual appointment of the academic leadership.

2. Planning and Development, Management and Monitoring of Existing Programs

2.1 The HEI should specify the planning and development blueprint of its existing programs and illustrate how its program planning responds to the manpower demand of society and relevant industries, and aligns with the HEI's academic positioning, vision as well as implementation strategies and approaches.

- Supporting documents include program planning and development blueprint, review reports on follow-up action, references for program planning, intended criteria for meeting the standards and performance indicators.

2.2 The HEI should elaborate the actual situation about the engagement of each unit in program planning and illustrate how program planning is done through effective management and monitoring on the basis of the "Outcome-based Program Design" principle, the HEI's capacity and scale of operation. Indeed, its programs aim to

meet the QA requirements of Macao and international standards.

2.3 The HEI should illustrate with example(s) its program planning and program approval procedures as well as mechanism for routine management and monitoring, and demonstrate that its program(s) meet(s) the HEI's educational goals and the intended learning outcomes.

- Supporting documents include flowchart showing the internal program approval procedures, policy documents on program development and monitoring, program management handbook, reports and minutes or consultation documents concerning relevant program approval, etc.

3. Mid- to Long-term Strategies for Academic Development

3.1 The HEI should specify the references used for formulating its academic development strategies, and how its review strategies (1) align with the HEI's positioning and development in teaching and research and (2) respond to the local socio-economic development and/or the manpower needs of relevant professional sector(s).

- Supporting documents include sources of references, manpower forecast, research on social development, feasibility study, benchmarking, consultation documents, institutional strategic development plan, etc.

3.2 The HEI should elaborate how its development strategies, corresponding implementation plan and mechanism for evaluating the effectiveness of its development strategies, within a specific time frame, respond to the local socio-economic development and/or the manpower needs of relevant professional sector(s), and simultaneously meet the internationally recognized standards.

- Supporting documents include mid- to long-term academic strategic development plan, proposed implementation plan, references, criteria for meeting outcome standards, contingency plan, etc.

4. Development in Research, Consultancy and Other Professional Services, Cultural Inheritance and Innovation (if applicable)

4.1 The HEI should specify its objectives and strategies of developing its research, consultancy and other professional services as well as its cultural inheritance and innovation. In addition, the HEI should elaborate its review of the effectiveness and impact of the outputs, and its follow-up action in order to achieve its operational vision and objectives.

- Supporting documents include relevant policy documents, strategic plan, implementation plan, review mechanism, performance indicators, etc.
- 4.2 The HEI should elaborate its contribution to the development in relevant academic and industry sectors, and illustrate how it expands relevant academic and professional areas to foster cultural inheritance and innovation through development in research and/or consultancy and other professional services.
- 4.3 The HEI should specify how relevant policy and mechanism promote the engagement of teaching and research staff in research, consultancy and other professional services. Furthermore, the HEI should specify its follow-up action on the effectiveness of the above services and subsequently its improvement plan when deficiencies are identified.
- 4.4 The HEI should illustrate how it develops its research, consultancy and other professional services through the establishment of academic and professional networks. Also, the HEI should demonstrate that it is well-versed in the local developmental needs with information and reports concerning its liaison activities with relevant local stakeholders.

5. Student Performance

- 5.1 The HEI should explicitly present its policy on monitoring and assessing student performance and illustrate how it ensures reliability, fairness and consistency as well as proper implementation of the policy for students' attainment of the intended learning outcomes.
- 5.2 Supporting documents include reports on student admission, academic standards of admitted students, reports on student assessment, exit survey reports of graduates, etc.

Accreditation Area III: Financial Management and Resources Deployment

1. Financial Condition and Budgeting

- 1.1 The HEI should elaborate its financial management policy and system and how it ensures the effective implementation of the financial management policy.
- Supporting documents include policy documents on financial

management, relevant guidelines and/or procedures, etc.

1.2 Through the specification of its financial condition, financial and resources budgeting, the HEI should demonstrate the operational sustainability of both the HEI and its program(s), and illustrate the effective utilization and allocation of resources in its development projects and program development planning according to the development objectives of each operational unit so as to achieve the overall operational objectives of the HEI.

- Supporting documents include audited financial statement with balance sheet, cash flow statement, management accounting report, strategic budgeting report, evaluation and analysis reports, etc.

2. Campus Facilities and Equipment

2.1 The HEI should demonstrate its adequate, appropriate campus(es) and public facilities within campus(es) as well as regular review on their utilization to meet the HEI's operation and development for the purposes of achieving its operational objectives and maintaining its educational quality.

2.2 Supporting documents include detailed campus map(s), facility brief, monitoring system and review reports on facility/equipment utilization, equipment development plan, etc.

3. Teaching and Learning and/or Research and Practicum Facilities and Support

3.1 The HEI should explicitly illustrate how resources are effectively utilized and allocated according to the development objectives of each operational unit so as to achieve the HEI's overall operational objectives.

3.2 The HEI should also substantiate that it provides appropriate and adequate teaching and learning and/or research and practicum facilities and support to cultivate a favorable learning environment for students to acquire the intended learning outcomes with appropriate learning experience. If facilities are provided by external parties for teaching and learning, research and practicum purposes, the HEI should specify the policy on partner organizations' approval, partnership agreement, codes and regulations on operation, monitoring and review, means of maintaining a close contact with partner organizations, etc. in order to ensure quality and meet intended outcomes.

3.3 The HEI should elaborate its practicum policy, guidelines and

training for partner organizations to ensure students' attainment of the intended learning experiences through practicum.

- Supporting documents include practicum handbook for students, practicum assessment mechanism, list of partner organizations, training handbook for partner organizations, communication/monitoring mechanism for partner organizations, records on partner organizations' approval and monitoring, sample partnership agreement, minutes with partner organizations, etc.

4. Student Support

4.1 The HEI should illustrate how its existing student support policy, implementation mechanism and procedures support student learning.

- Supporting documents include policy documents on student support, assessment criteria, graduation requirements, appeal mechanism, etc.

4.2 The HEI should also elaborate the channels for and the effectiveness of information dissemination to define how it ensures that students can obtain sufficient information for a good understanding of their own rights and obligations and subsequently attain appropriate learning experiences and support to achieve the intended learning outcomes.

- Supporting documents include relevant pamphlets, review reports, etc.

Accreditation Area IV: Staffing and Staff Development

1. Staffing

1.1 The HEI should specify the policy on the formulation of its staffing structure and relevant implementation procedures, and illustrate how the staffing structure aligns with the HEI's future development.

1.2 Supporting documents include policy and implementation documents on staffing, relevant review reports, etc.

2. Appointment Criteria and Selection Mechanism

- The HEI should explicitly define how its appointment criteria and selection mechanism are formulated and substantiate with evidence that a sufficient number of staff with requisite caliber, qualifications and experiences are available to enhance effective institutional operation.

3. Teaching Load and Allocation of Other Duties

3.1 The HEI should elaborate its teaching load and the assignment of other duties, as well as relevant appeal mechanism based on the principles of transparency and fairness so as to allow staff with sufficient justification to put forth an appeal against unfair treatment.

3.2 The HEI should also indicate explicitly the channels for staff to acquire information and how it ensures staff have a good understanding of their own rights and obligations so that they can provide quality service to facilitate the achievement of the HEI's objectives and educational outcomes.

4. Performance Appraisal and Teaching Effectiveness

4.1 The HEI should elaborate the review mechanism, criteria and procedures of its performance appraisal for staff, and illustrate with concrete example(s) the appeal mechanism for staff and its effectiveness.

- Supporting documents include documents concerning performance appraisal mechanism and procedures, documents concerning the policy on and the procedures of the appeal mechanism for staff, prior data, review report(s), etc.

4.2 The HEI should define how the roles and responsibilities of staff of different ranks, criteria for (a) their promotion, (b) their contract renewal, (c) their salary review, (d) their performance appraisal and (e) the evaluation of their teaching effectiveness, etc. are formulated for management and performance appraisal purposes.

- Supporting documents include documents on relevant mechanism, criteria and procedures.

5. Support for Staff Development

5.1 The HEI should specify its staff's training policy, mechanism and resources, and the measures to promote staff's engagement in research, consultancy and other professional services.

5.2 Supporting documents include policy documents concerning staff development.

6. Engagement in Research, Consultancy and Professional Services (if applicable)

6.1 The HEI should illustrate how relevant policy and mechanism promote teaching and research staff's participation in research, consultancy and other professional services.

6.2 Supporting documents include relevant policy documents and

information such as statistics of actual participation and analysis of effectiveness.

Accreditation Area V: Quality Assurance

1. Quality Management Mechanism and Performance Indicators

- 1.1 The HEI should define its quality management mechanism and performance indicators (covering both institutional operation quality and academic quality) and elaborate how the system facilitates the HEI's educational level to meet the international standards.
- 1.2 The HEI should demonstrate with data and facts how effective its monitoring mechanism is in institutional and program quality assurance.
- 1.3 The HEI should explicitly indicate the channels for collecting feedback from stakeholders and specify the means of obtaining and using the review results for improvement purpose.
- 1.4 The HEI should elaborate the formulation of the policy and development blueprint with both internal and external networking for reference.
- 1.5 Supporting documents include QA policy documents and implementation guidelines, templates for capturing performance indicators, institutional and academic performance review and follow-up reports, survey reports on feedback from internal and external parties, etc.

2. Communication and Implementation Mechanism

- 2.1 Complaint Mechanism, Appeal Mechanism, Grievance Mechanism and Information Sharing
 - 2.1.1 The HEI should elaborate with concrete examples the communication channels with stakeholders and the corresponding implementation mechanism, including appeal mechanism for students and staff and the HEI's follow-up measures, so as to illustrate how stakeholders' acquisition of sufficient information in a timely manner is ensured so that they can express their views to the HEI for a fair and equitable treatment.
 - 2.1.2 Supporting documents include detailed documents on the relevant mechanism, summary reports on prior complaints, appeals and grievances, etc.

Annex

- Annexes are to be listed according to the order of appearance in the main text of the document.

Site Visit Program and Arrangements

1. The site visit is arranged by the EQAA and takes place on the dates set forth in the service agreement.
2. The site visit for IA normally lasts for 2 to 5 days, depending on the HEI's scale of accreditation (i.e. the accreditation of the entire institution or accreditation by discipline/academic unit, and academic level). The site visit program may be adjusted according to the scale of accreditation and the practical situations of individual accreditation exercises to achieve the objectives of the site visit.
3. The site visit activities and the HEI's representatives for interviews must be determined with reference to the terms and conditions related to the scale of accreditation as stipulated in the service agreement.
4. The site visit activities and the HEI's representatives for interviews (the EQAA may make necessary modifications based on practical considerations) are as follows for triangulation:
 - 4.1 Meeting the HEI's representatives⁵:
 - 4.1.1 The governing body of the HEI (e.g. Chancellor, Governing Board, School Affairs Committee);
 - 4.1.2 Leadership of the HEI (e.g. President and Vice President, academic leaders at institutional level);
 - 4.1.3 Staff of the HEI (e.g. teaching and administrative staff in charge of QA, staff in charge of relevant discipline(s)/academic unit(s), and academic level(s), including relevant academic units and/or administrative departments)⁶;
 - 4.1.4 External parties:
 - Stakeholders involved in the QA of the HEI (e.g. advisory committees at both institutional and academic unit levels, honorary advisors, external experts engaged in the internal QA of the HEI);
 - Partner organizations in pedagogical, academic and

⁵ The HEI is required to provide the Panel with the names, the roles and the spoken languages/dialects of its representatives so as to facilitate the interviews during the site visit. For the purpose of triangulation, the HEI's representatives are advised not to take part in interviews at different sessions.

⁶ Sampling should be done in proportion if part-time staff are involved.

- research areas;
 - Service users (e.g. employers, industry practitioners);
 - 4.1.5 Students⁷ and alumni;
 - 4.2 Visiting campus facilities;
 - 4.3 Reviewing documents (specified by the Panel; see paragraph 6 in **Annex 1** for details);
 - 4.4 Conducting the “Exit Meeting” (To conclude the site visit, the Panel is to hold the “Exit Meeting” with the HEI’s senior management to share its key observations, including but not limited to the intended accreditation outcomes, conditions for meeting the accreditation standards (if applicable) and/or recommendations).
5. If the HEI runs programs in one single discipline/academic unit, the academic levels of the discipline/academic unit concerned serve as evidence to illustrate whether the HEI meets the IA standards. If the HEI intends to involve various disciplines/academic units in one single IA exercise, the engaged EQAA must collect necessary evidence on all the disciplines/ academic units concerned.
 6. Before the site visit, the HEI should inform the EQAA of the name list of the participants in the interviews to be held during the site visit, and their roles. The interview language is preferred to be the HEI’s working language. If any of the representatives have a special request for the interview language, please state the spoken languages/dialects of these representatives for interviews. When necessary, the EQAA should arrange appropriate translation and/or simultaneous interpretation services to facilitate the Panel’s comprehensive understanding of the HEI and to enable the Panel to communicate effectively with the HEI during the site visit.
 7. Before the site visit, the HEI should provide the Panel with the timetable and the route for the tour around the campus so that the Panel can make prior arrangements for the strategy for the site visit.
 8. To facilitate the site visit, the HEI must arrange appropriate and adequate representatives to meet with the Panel during the site visit, and provide the

⁷ Sampling of student representatives depends on the scale of accreditation of the HEI being accredited. It should be done in proportion to the student populations of different study regimes (e.g. full-time and part-time), modes of delivery (e.g. lecturing and distance learning), grades, academic levels (bachelor’s degree, master’s degree and doctoral degree), disciplines enrolled in/host academic units, student sources (e.g. local students, students from Mainland China or other regions), etc., resulting in a representative student combination.

Panel with specified tabled documents for onsite review.

9. The HEI should arrange proper meeting facilities and logistical support, including providing meeting rooms for the Panel, computing facilities, photocopying and/or printing services as well as refreshment, etc., in accordance with the site visit program.
10. The Panel may adjust the site visit program on the spot, taking practical considerations into account, to achieve the objectives of the site visit. The HEI is requested to accommodate these changes as and when necessary.
11. The EQAA should get the HEI's agreement before drawing up the site visit program and relevant arrangements in accordance with the terms stipulated in the service agreement.
12. A sample of a two-day site visit program is in **Annex 3.1**. The length (the number of days) of the site visit program depends on the HEI's operation and the scale of accreditation (see paragraph 2 in this annex).

Sample of Two-day Site Visit Program

(Only applicable to HEIs conducting IA with one single discipline/academic unit; EQAAs can make necessary modifications to this sample site visit program according to HEIs' scale of accreditation)

Day One

| Session | Time | Panel Activities | HEI's Representatives [#] |
|---------|-----------------------|--|---|
| 1. | 9:00 am – 10:15 am | Panel arriving at meeting venue to review tabled documents | — |
| 2. | 10:15 am – 11:00 am | Panel's internal meeting | — |
| 3. | 11:00 am – 11:45 am | Meeting with HEI's governing body (To comprehend the HEI's educational philosophy and purposes, educational goals, governance philosophy and strategic plan, institutional positioning, development blueprint, resources and management monitoring, etc.) | Chancellor, Governing Board, School Affairs Committee, etc. |
| 4. | 11:45 am – 12:00 noon | Break | — |
| 5. | 12:00 noon – 1:00 pm | Meeting with HEI's leadership (To comprehend the HEI's development and management strategies, risk management, management efficiency, performance indicators, policies on resources (human resources, financial resources, campus facilities), principles and mechanism of resources deployment, quality management strategies, etc.) | Leadership at institutional and academic unit levels, e.g. President, Vice President, Deans |

[#] The HEI being accredited is required to provide the Panel with the names and the roles of the representatives. The interview language is preferred to be the HEI's working language. If any of the representatives have a special request for the interview language, please state the spoken languages/dialects of these representatives so as to facilitate the interviews during the site visit. For the purpose of triangulation, the HEI's representatives are advised not to take part in interviews at different sessions.

| Session | Time | Panel Activities | HEI's Representatives [#] |
|---------|----------------------|--|---|
| 6. | 1:00 pm – 2:00 pm | Lunch break | — |
| 7. | 2:00 pm – 3:00 pm | Meeting with students (To comprehend students' experiences, observations and comments on institutional development, pedagogic objectives, learning outcomes and communication support, institutional standards, teaching standards, assessment policies, learning support, study load, etc.) | Meeting with designated student representatives [^] by Panel (Sampling criteria are set by the EQAA on the basis of each individual accreditation exercise; split sessions may be arranged by the EQAA as appropriate.) |
| 8. | 3:00 pm – 4:00 pm | Meeting with academic leaders (To comprehend academic planning, development, management and monitoring, including strategies for planning and development, management and monitoring of existing programs, mid- to long-term strategies for academic development, as well as development in research, consultancy and other professional services, cultural inheritance and innovation) | Academic Committee and/or other related academic leaders |
| 9. | 4:00 pm – 4:15 pm | Break | — |

[#] The HEI being accredited is required to provide the Panel with the names and the roles of the representatives. The interview language is preferred to be the HEI's working language. If any of the representatives have a special request for the interview language, please state the spoken languages/dialects of these representatives so as to facilitate the interviews during the site visit. For the purpose of triangulation, the HEI's representatives are advised not to take part in interviews at different sessions.

[^] Sampling of student representatives should be done in proportion to the student populations of different study regimes (e.g. full-time and part-time), modes of delivery (e.g. lecturing and distance learning), grades, academic levels (bachelor's degree, master's degree and doctoral degree), disciplines enrolled in/host academic units, student sources (e.g. local students, students from Mainland China or other regions), etc., resulting in a representative student combination.

| Session | Time | Panel Activities | HEI's Representatives [#] |
|---------|---------------------|--|---|
| 10. | 4:15 pm – 4:45 pm * | Visiting campus facilities and teaching equipment | Guided by representative(s) from HEI |
| 11. | 4:45 pm – 5:30 pm | Meeting with external examiners, advisors, partner organizations, industry practitioners/employers (To comprehend comments from external parties on the HEI) | Advisory Committees at both institutional and academic unit levels, external examiners, partner organizations in academic and/or scientific research areas, industry practitioners, employers, etc. (Split sessions may be arranged by the EQAA based on the backgrounds of the participants as appropriate.) |
| 12. | 5:30 pm – 6:00 pm | Meeting with alumni (To comprehend the HEI's standards, development, learning outcomes, as well as the HEI's networking with academic and industry sectors and the HEI's influence among these networks) | Alumni representatives (Sampling criteria are set by the EQAA on the basis of each individual accreditation exercise; split sessions may be arranged by the EQAA based on the backgrounds of the participants as appropriate.) |
| 13. | 6:00 pm – 6:30 pm | Panel's internal meeting | — |

The HEI being accredited is required to provide the Panel with the names and the roles of the representatives. The interview language is preferred to be the HEI's working language. If any of the representatives have a special request for the interview language, please state the spoken languages/dialects of these representatives so as to facilitate the interviews during the site visit. For the purpose of triangulation, the HEI's representatives are advised not to take part in interviews at different sessions.

* The duration here is adjustable, depending on the scale of accreditation.

End of Day One Schedule

Day Two

| Session | Time | Panel Activities | HEI's Representatives [#] |
|---------|---------------------|---|--|
| 14. | 9:00 am – 9:45 am | Panel arriving at meeting venue for internal meeting | — |
| 15. | 9:45 am – 11:00 am | Meeting with teaching and administrative staff in charge of quality management (To comprehend quality management mechanism, relevant culture, performance indicators, communication and implementation mechanism as well as effectiveness, teaching and assessment policies, benchmarking for assessment standards, staff development, student admission policy, etc.) | QA Committee or related organizations, staff, etc. |
| 16. | 11:00 am – 11:15 am | Break | — |
| 17. | 11:15 am – 12:30 pm | Meeting with teachers (To comprehend quality management culture, teachers' engagement in academic planning, development, management and monitoring, teachers' understanding of and commitment to institutional development, pedagogic objectives, learning outcomes, assessment policies and learning support, teachers' induction training, teachers' performance appraisal and promotion mechanism, teachers' engagement in and development support provided for research, consultancy and professional services, working environment, workload and student performance, etc.) | Representatives of full-time teachers (excluding President, Vice President, Deans, academic leaders and other parties already interviewed by the Panel on Day One) (If the teaching team is mainly composed of part-time teachers, include them on the list. The EQAA may adjust sampling methods according to the actual situation of that particular accreditation exercise; split sessions may be arranged by the EQAA based on the backgrounds of the participants as appropriate.) |

[#] The HEI being accredited is required to provide the Panel with the names and the roles of the representatives. The interview language is preferred to be the HEI's working language. If any of the representatives have a special request for the interview language, please state the spoken languages/dialects of these representatives so as to facilitate the interviews during the site visit. For the purpose of triangulation, the HEI's representatives are advised not to take part in interviews at different sessions.

| Session | Time | Panel Activities | HEI's Representatives [#] |
|---------|-----------------------|---|--|
| 18. | 12:30 pm – 1:45 pm | Lunch break | — |
| 19. | 1:45 pm – 2:30 pm | Meeting with staff in charge of finance and resources management (To comprehend development strategies and risk management, governance structure, roles and responsibilities of various ranks, decision-making process, checks and balances, and delegation of authority, financial condition, resources deployment, budgeting procedures, management and development of campus and facilities, policy on and support for staff development, etc.) | Staff in charge of finance , Campus Development and Management Committee, Staff Development Committee and other related organizations and staff |
| 20. | 2:30 pm – 3:15 pm | Meeting with staff responsible for student support (To comprehend student support services, related procedures and information dissemination, implementation effectiveness of various mechanisms (for complaints, appeals and grievances), academic and student assessment policies as well as their implementation effectiveness, etc.) | Curator, Director of Information Technology Department, Student Affairs Officer, Registrar, and other relevant responsible staff and organizations |
| 21. | 3:15 pm – 3:30 pm | Break | — |

The HEI being accredited is required to provide the Panel with the names and the roles of the representatives. The interview language is preferred to be the HEI's working language. If any of the representatives have a special request for the interview language, please state the spoken languages/dialects of these representatives so as to facilitate the interviews during the site visit. For the purpose of triangulation, the HEI's representatives are advised not to take part in interviews at different sessions.

| Session | Time | Panel Activities | HEI's Representatives[#] |
|----------------|----------------------|---|---|
| 22. | 3:30 pm – 4:15 pm | Call back session (The Panel may invite specific HEI representatives to come again to explore a certain issue, if needed.) | Upon confirmation from the Panel (if applicable) |
| 23. | 4:15 pm – 6:00 pm | Panel's internal meeting | — |
| 24. | 6:00 pm – 6:15 pm | “Exit Meeting” (To inform the HEI's senior management of the overall observations made by the Panel) | President, and institutional leaders nominated by President |

The HEI being accredited is required to provide the Panel with the names and the roles of the representatives. The interview language is preferred to be the HEI's working language. If any of the representatives have a special request for the interview language, please state the spoken languages/dialects of these representatives so as to facilitate the interviews during the site visit. For the purpose of triangulation, the HEI's representatives are advised not to take part in interviews at different sessions.

End of Day Two Schedule

Note: The above sample of a two-day site visit program is for reference only. The HEI and the Panel can negotiate and make necessary modifications based on the actual circumstances of each individual IA exercise.

Guidelines for Observers

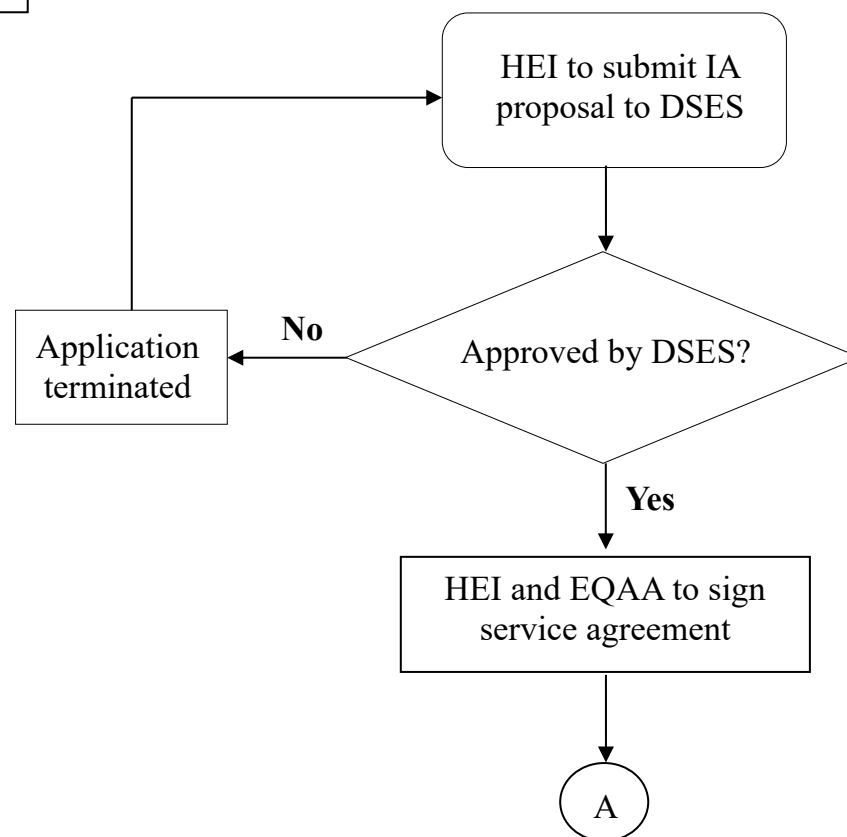
DSES may send observers at its discretion to sit in meetings relevant to the IA exercise (including the “Pre-visit Meeting” held one day prior to the site visit) and the site visit for the purposes of observing the accreditation process and identifying room for improvement in the flow and arrangements of the accreditation exercise, etc. Observers are subject to the code of conduct set forth in this set of guidelines, and must carry out their duties.

1. Code of Conduct for Observers

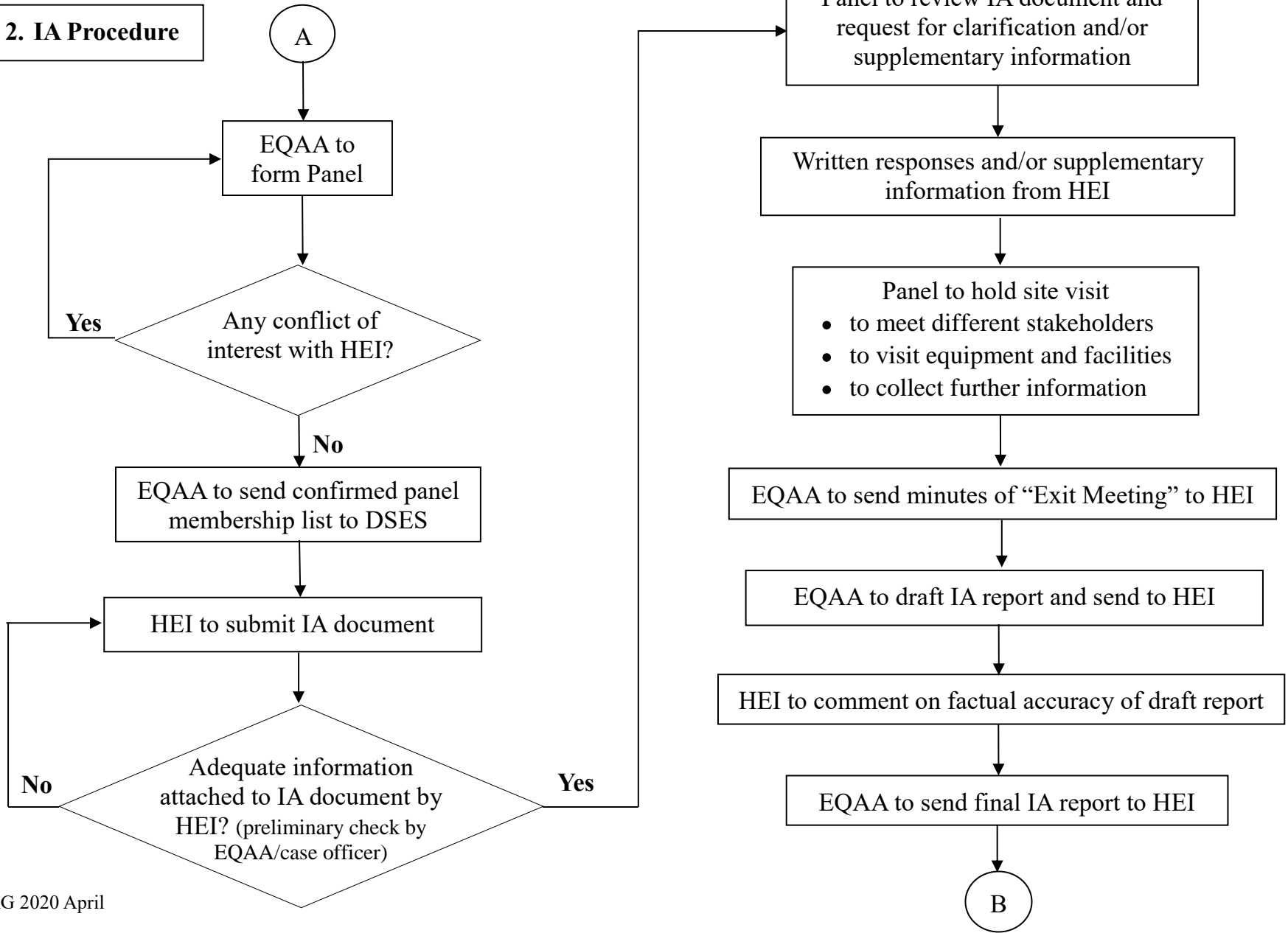
- 1.1 DSES is to provide the HEI being accredited and the EQAA with the name list of observers. If the EQAA/the HEI raises a valid evidence-based objection to the presence of the observers on the basis of conflict of interest, the observers concerned shall not sit in the relevant meetings and the site visit.
- 1.2 Observers must abide by the same code of conduct and terms of confidentiality as the panel members.

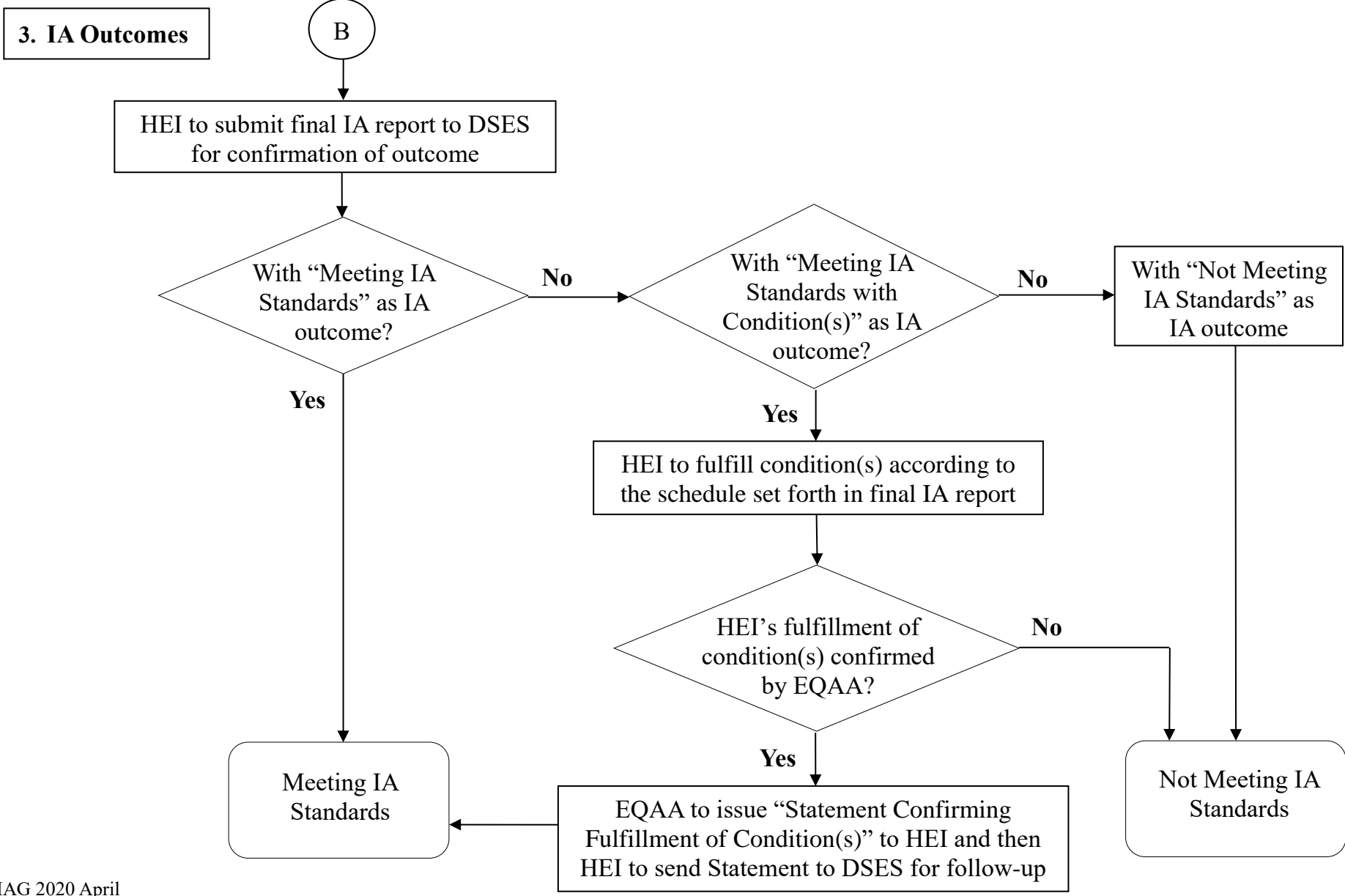
2. Procedures for Observation

- 2.1 Before the site visit, the case officer of the EQAA is to send observers the requisite documents to be reviewed by the Panel (e.g. the accreditation document, the Panel’s collective comments to the HEI and the HEI’s written responses, the site visit program, agenda and documents of the “Pre-visit Meeting”, etc.).
- 2.2 Observers are not to participate in the discussion during the meetings with the Panel and the HEI’s representatives.
- 2.3 Observers shall not record, video-tape or take photos at any time during meetings relevant to the accreditation exercise (such as the “Pre-visit Meeting”) and during the site visit.

Workflow for Institutional Accreditation (IA)**1. Application for IA**

2. IA Procedure





Glossary

(in alphabetical order)

| | |
|--|---|
| Academic Unit | It refers to an academic-related unit within an HEI, such as Faculty. |
| Accreditation Document (Applicable to IA) | It is the document provided by HEIs for review by EQAAs when conducting IA; it is to be prepared in a self-evaluative manner. The IA document must elaborate HEIs' educational performance with reference to the different accreditation areas, and the elaboration must be supported with relevant documentary evidence and data. |
| Accreditation Outcome | The possible outcomes are "Meeting Accreditation Standards", "Meeting Accreditation Standards with Condition(s)" and "Not Meeting Accreditation Standards"; the accreditation outcome is detailed in the accreditation report. |
| Accreditation Panel (Applicable to IA) | This is the Panel formed by the EQAA under the principle of peer review. This Panel must execute external evaluations in accordance with this set of Guidelines and the <i>Guidelines for EQAAs</i> by making judgments and recommendations on the operation of the HEI being accredited and the standards of the programs offered by the HEI. |
| Accreditation Report (Applicable to IA) | It is the final report sent by the EQAA to the HEI being accredited after the site visit for IA. The accreditation report covers the EQAA's observations, judgments and respective justifications made on the standards of the HEI's governance, management and operation according to the different accreditation areas, leading to the concluding accreditation outcome and respective decisions. |
| Case Officer | A case officer, in his/her capacity as the representative of the EQAA, is responsible for handling an evaluation exercise and acts as the contact point between the HEI being evaluated and the Panel. |
| Discipline | A discipline refers to the grouping of programs based on the definition of "narrow field" in <i>International Standard Classification of Education (2013)</i> by the United Nations Educational, Scientific and Cultural Organization (UNESCO). |

| | |
|--|--|
| Evidence-based | This is one of the guiding principles of IA, under which judgment is made on the basis of evidence (including the IA document provided by HEIs, the solid empirical data collected by engaged EQAAs as well as the observations made by the Panel during the site visit) to ensure objectivity, fairness and consistency. |
| External Quality Assurance Agency (EQAA) | EQAAs are quality assurance organizations that provide evaluation services for HEIs. Such organizations must meet the requirements specified in Chapter 1 of Section A in the <i>Guidelines for EQAAs</i> and be approved by DSES before providing specified evaluation services for relevant HEIs. |
| Fit-for-purpose | This is one of the guiding principles of IA, under which engaged EQAAs must evaluate whether institutional systems, resources and operation of HEIs being accredited are adequate enough to achieve corresponding standards based on HEIs' stated goals. |
| Institutional Accreditation (IA) | IA is a type of evaluation under the higher education quality evaluation system of Macao to evaluate whether the governance, management and operation of local HEIs meet the QA requirements of Macao, and to determine whether programs that these HEIs intend to offer within specified disciplines/academic units, and academic levels are within the approved scope(s) for HEIs granted the status to self-regulate and offer new program(s). |
| Institutional Accreditation Areas | IA areas are the various aspects of institutional operation and development categorized into five major areas for specification of the standards and criteria for IA. |
| Institutional Accreditation Standards | IA standards are the standards set with reference to Law No. 10/2017 on <i>Higher Education Regime</i> of Macao as well as related administrative regulations, relevant industry/professional practice requirements (if applicable), and the standards stated in the annex of this set of guidelines to determine whether the HEI being accredited and its program(s) intended to be offered within relevant discipline(s)/academic unit(s), and academic level(s) meet the standards. |

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| Meeting Accreditation Standards with Condition(s) | It is the accreditation outcome for HEIs accredited with condition(s). Such HEIs must take follow-up action according to the condition(s) set forth in the accreditation report. Upon fulfillment of all condition(s), HEIs will be granted the “Statement Confirming Fulfillment of Condition(s)” by their engaged EQAAs. |
| Open and Transparent | This is one of the guiding principles of IA, under which accreditation is conducted in an open and transparent manner. Both HEIs and engaged EQAAs must abide by the same set of accreditation guidelines which details the accreditation areas, standards, criteria, possible sources of evidence and process, etc. when conducting IA. IA outcomes are to be included in final IA reports. |
| Outcome-based Program | It refers to a program with quality determined by learning outcomes, with a focus on the cultivation of graduates with intended competencies and attributes. |
| Peer Review (Applicable to IA) | Peer review is the execution principle of the higher education quality evaluation system of Macao. Under this principle, evaluation must be conducted by peer experts with experience relevant to IA. Peer experts include institutional leaders with governance and management experience as well as academic leaders of relevant disciplines/academic units, academic experts who understand the education and cultural contexts of Macao, etc., and professionals from relevant industries. |
| Pre-visit Meeting | It is the preparatory meeting held by the Panel normally one day prior to the site visit. In the “Pre-visit Meeting”, the case officer, as instructed by the Panel, provides the following information: background information of the HEI being evaluated, analysis data and related documents, etc., and the major questions to be discussed during the site visit. |
| Program | The program here refers to the teaching content, teaching activities and student assessment, etc. arranged according to the program objectives as well as the Program and Curriculum Plan. |

| | |
|---|--|
| Quality Assurance Requirements of Macao | The QA requirements of Macao refer to the compliance with Law No. 10/2017 on <i>Higher Education Regime</i> and related administrative regulations of Macao, particularly the provisions of the higher education quality evaluation system of Macao, as well as the requirements specified in the evaluation guidelines of Macao. |
| Site Visit | It is the Panel's visit to the campus of the HEI being accredited on specified date(s) set forth in the service agreement to meet different stakeholders of the HEI, visit relevant equipment and facilities, and examine records and other supporting documents in order to fully comprehend the HEI's educational purposes, educational goals and operation. |
| Staff | This term refers to teachers and other staff of HEIs. |
| Student-centered | This is one of the guiding principles of IA, under which HEIs provide favorable and quality learning environment as well as learning experience for students so that they can attain the intended learning outcomes upon completion of the programs under reasonable circumstances. |
| Substantial Changes | Substantial changes primarily refer to changes that have a major impact on the operation, management and academic development of an HEI. Changes in the following areas may be considered substantial: the HEI's educational purposes, goals, overall management structure, resources deployment policy or directional change in academic development, etc. These merely serve as examples for reference and are by no means exhaustive. |
| Teaching Facilities | Teaching facilities refer to all facilities and equipment needed by students for learning, including classrooms, laboratories, training rooms, online learning platforms, libraries, study rooms and/or relevant workplace attachment sites, etc. |