Translation Version

Higher Education Quality Evaluation of Macao

Guidelines for External Quality Assurance Agencies

Higher Education Bureau

Government of Macao Special Administrative Region

EQAAG 2020 April

Table of Contents

List of Abbreviations

ADRI	Approach-Deployment-Results-Improvement
EQAA	external quality assurance agency
DSES	Higher Education Bureau
Guidelines for EQAAs	*Guidelines for External Quality Assurance Agencies*
HEI	higher education institution
IA	Institutional Accreditation
IQA	Institutional Quality Audit
Macao	Macao Special Administrative Region
Panel	external evaluation panel
PA	Program Accreditation
PR	Program Review
QA	quality assurance
SFP	external evaluation panel self-formed by higher education institutions
Statement	Statement Confirming Fulfillment of Condition(s)

Preamble

1. This set of guidelines lays down the roles and responsibilities as well as the terms of service of the external quality assurance agencies (EQAAs)/external evaluation panels self-formed by higher education institutions (SFPs) and highlights important issues for their reference when EQAAs/SFPs execute evaluation in Macao Special Administrative Region (Macao). Evaluation in Macao is categorized into two levels: Institutional Evaluation and Program Evaluation, each of which is further classified into two types, namely Institutional Accreditation (IA) and Program Accreditation (PA), Institutional Quality Audit (IQA) and Program Review (PR) respectively. The areas, standards/requirements, criteria, possible sources of evidence and process, etc. of the aforementioned four types of evaluation are detailed in respective sets of evaluation guidelines. When executing an evaluation exercise, EQAAs/SFPs must act and make judgment on the basis of the terms and arrangements set forth in this set of guidelines and the relevant evaluation guidelines.

2. Evaluation services in Macao must be provided by EQAAs approved by the Higher Education Bureau (DSES) while IQA exercises can be conducted either by EQAAs or SFPs subject to approval by DSES. Section A of this set of guidelines specifies the roles and responsibilities as well as the terms of service of EQAAs in the aforementioned four types of evaluation while Section B highlights points to note by higher education institutions (HEIs) when SFPs are engaged to conduct IQA exercises. Unless specified in Section B, SFPs execute IQA in the same manner as specified in Section A. In other words, HEIs intending to engage SFPs must read both Section A and Section B. IQA executed by SFPs is not applicable to the first evaluation cycle.

3. The scope of evaluation service of IA, PA and IQA covers a site visit, whereas PR is, in general, conducted using a paper-based review. Meetings or interviews between the external evaluation panel (Panel) and program leader(s) and/or relevant stakeholders can be arranged by EQAAs for HEIs concerned to make further clarification upon request or based on the practical needs of the programs being reviewed; whether a site visit is necessary depends on the Panel's decision-making by taking into consideration the institutional quality level/the quality level of the programs reflected in the documents provided by the HEIs concerned, the quality level of the evaluation at Program Evaluation level that HEIs concerned have ever conducted (if applicable), teaching and other facilities and equipment that are required to meet the specialities of the programs being reviewed, etc.

4. 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.

5. Annexes (including the tables) in this set of guidelines labeled with "For Reference Only" are subject to modification by EQAAs based on practical needs for flexibility in the course of evaluation.

6. DSES has the right to supplement the terms and conditions in this set of guidelines.

Section A: Evaluation Executed by External Quality Assurance Agencies

1. External Quality Assurance Agencies

1.1 The requirements for EQAAs to be approved by DSES for the provision of higher education evaluation in Macao include but are not limited to the following :

1.1.1 They must be evaluation bodies recognized by the government and/or competent authorities of the place of registration of their legal entities while relevant legal entities must meet the legal requirements of their place of registration.

1.1.2 Their primary business is provision of evaluation services;

1.1.3 They have sound track records and reputation in relevant types of evaluation;

1.1.4 They are familiar with the higher education of Macao and the quality assurance (QA) system of Macao;

1.1.5 They should have documents concerning the registration and the establishment of their legal entities or any other related documents indicating their authorization to provide evaluation services in regions beyond their place of registration, including Macao when providing evaluation services in Macao, or present other documentary proof of the approval from relevant competent authorities for their provision of evaluation services in Macao;

1.1.6 They should establish mechanisms to conduct regular review of their own governance, management and evaluation services to provide evidence of their effectiveness and continuous enhancement;

1.1.7 They must adopt internationally accepted evaluation principles and good practices when executing their duties in the course of evaluation;

1.1.8 They should be full members of international/regional QA networks/organizations;

1.2 Regarding IA and PA, in addition to the requirements of paragraph 1.1, EQAAs should be the designated evaluation agency of the local government / or the national competent authority in the local higher education quality assurance mechanism, or the evaluation outcomes of EQAAs shall have the similar effect as the above evaluation categories (IA and PA) locally, for example, the relevant

evaluation outcomes can lead to the local HEIs to be allocated or subsidized funds, conferred authority, etc. in the field of local higher education.

1.3 As far as the approval of EQAAs is concerned, DSES can consult relevant organizations or committees for advice on whether the EQAAs concerned meet the requirements specified in this set of guidelines.

1.4 EQAAs should provide relevant HEIs with the aforementioned information as well as the considersations in the course of evaluation to facilitate HEIs' preparation of their evaluation proposals for approval by DSES. If HEIs intend to have a cluster of programs reviewed in one single PR exercise, EQAAs should explore the feasibility with HEIs and advise on possible implementation ideas for HEIs' preparation of the evaluation proposals.

1.5 Evaluation services must be provided in accordance with the specifications in this set of guidelines and relevant evaluation guidelines. It is only under exceptional circumstances that EQAAs, in consultation with the HEIs concerned, may be unable to fully comply with this set of Guidelines on the evaluation areas, standards/requirements, criteria and/or process set forth in relevant evaluation guidelines; in such cases, the HEIs concerned must detail the reason(s) for change(s) (including expansion, reduction, modification), the proposed change(s) as well as their implications in their evaluation proposals. Nonetheless, the proposed change(s) should not substantially diverge from relevant evaluation guidelines.

1.6 The EQAA and the evaluated HEI shall have a mechanism to assure mutual independence, so as to ensure that the neutrality of the evaluation outcomes can be trusted and accepted by the administration.

1.7 In case of queries, EQAAs may seek clarification with DSES via relevant HEIs.

2. Roles and Responsibilities of EQAAs

2.1 In their capacity as a service provider, EQAAs execute evaluation in accordance with the laws and regulations related to higher education of Macao, the relevant industry/profession practice requirements, the evaluation requirements as detailed in relevant evaluation guidelines, the terms of the signed evaluation service agreement and the specified roles and responsibilities of EQAAs in this set of guidelines. The evaluation outcome is for confirmation by DSES only, unless under special circumstances stipulated in the evaluation service agreement.

2.2 EQAAs are bound by relevant laws and regulations of Macao and must abide by the terms and conditions concerning declaration of conflict of interest as well as confidentiality. They must ensure that their employees, members of the external evaluation panel (Panel) and other related persons comply with relevant laws and regulations, as well as terms and conditions when fulfilling the evaluation service agreement.

2.3 EQAAs must define their appeal/review mechanisms and include arbitration and litigation clauses, etc. in the evalution service agreement. When aggrieved at the evaluation outcomes on justifiable grounds, the HEIs concerned may approach EQAAs for appropriate follow-up action. (This paragraph does not apply to SFPs.)

2.4 EQAAs must assign a suitable staff member[1] to be case officer of each individual evaluation exercise to handle all matters relating to the assigned evaluation exercise. For the "Roles and Responsibilities of Case Officers (For Reference Only)", see **Annex 1**.

2.5 EQAAs must provide the Panel with professional, secretarial and administrative support to ensure that the Panel can have the evaluation completed in accordance with the schedule and the scope of evaluation service set forth in the signed evaluation service agreement as well as the relevant evaluation guidelines. Duties, such as providing professional, secretarial and administrative support, can be undetaken by the case officer or shared among a team, depending on the manpower deployment of EQAAs. When submitting the panel membership list to DSES, EQAAs should state clearly the division of labor and contact means of the responsible staff. For the "Sample Checklist of Documents to be Sent to DSES by EQAA (For Refernce Only)", see **Annex 6.2**.

[1] In cases where SFPs are engaged to execute IQA, a qualified person must be assigned to be the case officer of each IQA exercise. However, staff of HEIs being evaluated shall not play the role of case officer. Refer to paragraph 3 of **Section B** in this set of guidelines.

2.6 EQAAs must form the Panel based on the requirements specified in this set of guidelines (see **Chapter 4**). Generally, staff of EQAAs must not assume the role of panel member unless the staff members concerned are qualified panel members of relevant evaluation types.

2.7 SFPs play the same roles and bear the same responsibilities as those of EQAAs. SFPs must either assign member(s) or appoint appropriate personnel to take up the roles of case officer and secretary. Nonetheless, SFPs may resort to HEIs for administrative support. Refer to paragraph 3 of **Section B**.

3. Evaluation Service Agreement

3.1 To protect the rights of both parties, the EQAA to be engaged should sign an evaluation service agreement with the relevant HEI.

3.2 The evaluation service agreement should be subject to the laws of Macao. The agreement must cover the evaluation type, the scope of evaluation service, the applicable evaluation guidelines and this set of guidelines (i.e. the version of the evaluation guidelines approved for use as indicated in DSES's notification letter), the roles and responsibilities of both parties, the budget for evaluation expenses, the completion schedule, the working language in the course of evaluation, the terms of confidentiality, the terms of breach of contract, the appeal or review, arbitration and litigation clauses, etc.

3.3 The evaluation service agreed by both parties and the information of the evaluation subject (i.e. the HEI or the program) must be clearly specified in the *Scope and Terms of Evaluation Service* of the evaluation service agreement (Refer to **Annex 2.1 to Annex 2.4**).

3.4 The contractual terms and details are determined by the EQAA and the HEI in consultation. Evaluation expenses are borne by the HEI.

3.5 The version of the applicable evaluation guidelines (i.e. this set of guidelines and the relevant evaluation guidelines) specified in DSES's notification letter must be attached to the evaluation service agreement to form the basis for the evaluation exercise.

3.6 If the proposed modifications of the evaluation areas, standards/requirements, criteria and/or process, etc. of the evaluation exercise (see paragraph 1.4) have gained written approval from DSES, the approved modifications (including the reason(s) failing to fully comply with the *Guidelines for EQAAs* to execute the evaluation, the change(s) as well as their implications) must be attached to the evaluation service agreement in the form of annexes to form the basis for the evaluation exercise which must be conducted according to the specifications in the notification letter from DSES and the evaluation proposal approved by DSES.

3.7 Entering into an evaluation service agreement is a business activity between an EQAA and an HEI. Other organizations (e.g. DSES) may be mentioned in the evaluation service agreement merely because of their roles in the higher education quality evaluation system of Macao. Due to the fact that they are not parties involved in the evaluation service agreement, these organizations shall not be bound by the contractual terms.

4. Formation of External Evaluation Panels

4.1 Peer Review

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 experiences relevant to the evaluation exercises in hand, especially:

4.1.1 institutional leaders with governance and management experience, and scholars leading relevant academic development and/or instructors of relevant programs/courses; and

4.1.2 academic experts who understand Macao's education and cultural contexts, etc., and professionals from relevant industries.

For details, refer to the "Principles of Panel Formation" in paragraph 4.2.

4.2 Principles of Panel Formation

The external evaluation panel (Panel) is formed according to the following principles and the formation is subject to the terms of evaluation and the relevant laws and regulations of Macao.

4.2.1 Competencies of Panel Members

A panel member must possess relevant qualifications, experiences, attitudes and competencies to execute the evaluation. For the "Requisite Competencies for the Panel", see Table 1 and Table 2 in **Annex 3.1**; for the "Checklist of Panel Competencies (For Reference Only)", refer to **Annex 3.2**.

4.2.2 Panel Size

- The size of the Panel is proportional to the scope and the scale of operation of the HEI or to the complexity of the program being evaluated (e.g. the number of specializations or majors of the program and their coverage) and the required support for the related discipline[2] (e.g. internship/practicum).
- In general, the Panel should be composed of no fewer than three members, including the Panel Chair. When necessary, the EQAA may adjust the size of the Panel at its discretion.

[2] 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/.

- Where an HEI intends to obtain the status to self-regulate and offer new programs for multiple disciplines/academic units, the size of the Panel for IA should be adjusted upward as appropriate based on the size prescribed above. This is to ensure that the number and the experiences of the Panel members will be adequate to cover the accreditation area(s) and the scope of the aforesaid status.

4.2.3 **Panel Composition**

Panel members should primarily come from the higher education sector. When necessary, the EQAA may engage professional and/or industry experts who are conversant with the labor market and professional training requirements in Macao. The EQAA should ensure that panel member(s) from the same sector have sufficiently diverse experiences to complement one another. Experts from different sectors should have experiences as follows:

Panel Composition	**Requsite Experiences**	
	Institutional Evaluation	**Program Evaluation**
HEIs and Higher Education Sector	- Experience in institutional governance, management and operation* - Experience in academic development* - Experience in institutional quality assurance	- Experience in the management of relevant academic units - Experience in the development and delivery of programs in relevant disciplines* - Experience in quality assurance of relevant programs
Industry/ Professional Sector in Macao	- Leadership experience in industries/professions - Work experience in industries/professions - Experience in industry/ professional training	- Leadership experience in relevant industries/professions - Work experience in relevant industries/professions - Experience in relevant industry/professional training

* In general, it is advisable to have no fewer than two panel members with experience of the same type to ensure sufficient checks and balances in the Panel leading to reliable, impartial and reasonable evaluation judgment.

4.2.4 **Panel Members' Knowledge of Different Mainstream Education and Articulation Systems**

Panel members should be conversant with different mainstream education systems that Macao students undertake to further studies so as to ensure that the higher education level of Macao is comparable to those of relevant mainstream education systems. Since a considerable number of Macao students further their studies in regions such as Mainland China, Hong Kong, Macao and Taiwan, at least one panel member should be conversant with the higher education and articulation systems of the Greater China Region.

4.2.5 **Language and Communication Ability**

The language adopted in the course of evaluation (written and spoken) is generally the working language of the HEI or the medium of instruction of the program being evaluated. To facilitate communication in the course of evaluation, at least more than half of the panel members should be proficient in the working language of the HEI being evaluated (applicable to Institutional Evalutation) or the medium of instruction of the program being evaluated (applicable to Program Evaluation). When necessary, the EQAA should arrange appropriate translation and/or simultaneous interpretation services to enhance the Panel's understanding of the HEI/the program being evaluated and to enable the Panel to communicate effectively with the HEI during the site visit.

4.2.6 **Experience in Evaluation**

To ensure panel members' efficiency and professionalism in the execution of evaluation exercises, they should have been trained in external evaluation and have maintained good track records as well-performed panel members. If the EQAA has to engage an untrained/inexperienced panel member under exceptional circumstances, the EQAA must state the rationale for the engagement and its capacity-building plan for that particular panel member when submitting the Panel membership list to DSES (see paragraph 4.3.2). If feasible, each Panel should comprise no more than one aforementioned untrained/inexperienced member.

The above principles of Panel composition ensure the formation of a representative panel of experts with sufficient, relevant experiences to make reliable, impartial and reasonable evaluation judgment.

4.3 Formal Engagement of Panel Members

4.3.1 The engagement of panel members (including the Panel Chair) must comply with the requirements and the terms stated in this set of guidelines.

4.3.2 When making a shortlist of potential panel members, the EQAA should evaluate panel members' competencies and analyze the composition. On confirmation of the shortlist, the case officer of the EQAA should submit to DSES the panel membership list with their curricula vitae, the "Checklist of Panel Competencies (For Reference Only)" (refer to **Annex 3.2**) and the "Panel Composition Analysis Checklist" (see **Annex 3.3** and **Annex 3.4**) for record. For the "Sample Checklist of Documents to be Sent to DSES by EQAA (For Reference Only)", refer to **Annex 6.2**.

4.3.3 Panel members to be engaged must be cleared of conflict of interest. Should there be exceptional circumstances, the EQAA must obtain a letter of consent from the relevant HEI and gain approval from DSES via the HEI before engaging those panel members with known conflict of interest. Refer to **Annex 4.2** for the "Potential Situations of Conflict of Interest".

4.3.4 Panel members' term of office begins with the official engagement until the evaluation exercise ends. After the submission of the final evaluation report to the HEI, the EQAA, based on its own mechanism, makes decision on the end date of its panel members' term of office by taking into consideration whether these panel members have accomplished all the tasks related to the evaluation exercise, including but not limited to the following circumstances:

If panel members are required to confirm: (1) action plans formulated by HEIs being evaluated to address the recommendations stated in the IQA or PR reports, and (2) documents presented by HEIs being accredited to prove fulfillment of the conditions specified in the accreditation reports.

4.4 The Panel's Roles and Responsibilities, Obligations, and Protection

The roles and responsibilities, obligations of the Panel Chair and the panel members, as well as their protection are detailed in **Annex 4.**

5. Evaluation Areas, Standards/Requirements, Criteria, Evidence and Process

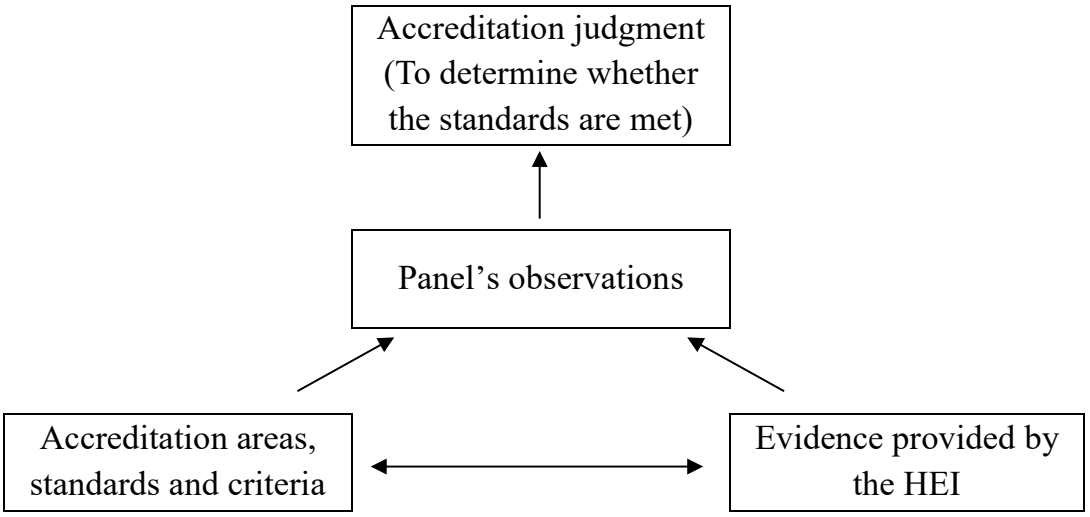
The evaluation areas, standards/requirements, criteria, possible sources of evidence and process which are detailed in respective evaluation guidelines form the basis for judgment in individual evaluation exercises.

6. Evidence Review and Judgment Principles

HEIs in Macao must conduct evaluation based on the guiding principles stipulated in relevant evaluation guidelines.

6.1 Accreditation

6.1.1 Under the "evidence-based" guiding principle of accreditation, the Panel must review the evidence provided by the HEI and make reasonable judgments on whether the HEI/the program being accredited meets the accreditation standards.



6.1.2 **Judgment Principles of Accreditation**

Accreditation judgment is the Panel's professional judgment on the accreditation subject (i.e. the HEI/program being accredited) by reasonable inference of the HEI's capacity to provide higher education/to deliver quality programs after the Panel has reviewed all evidence and made holistic observations of the accreditation subject. The Panel must take into consideration practical circumstances and the overall performance of the HEI/the program before determining an accreditation outcome.

6.1.3 **Principles of Making Judgments on Accreditation Outcomes**

Possible accreditation outcomes are "Meeting Accreditation Standards", "Meeting Accreditation Standards with Condition(s)" and "Not Meeting Accreditation Standards" with respective decisions (see **Annex 5**). For cases granted "Meeting Accreditation Standards" or "Meeting Accreditation Standards with Condition(s)", the Panel must provide

recommendation(s) for improvement and/or set condition(s) based on the nature and seriousness of the identified gap(s) or deficiencies in individual accreditation area(s), if any, and make commendations for the good practices of evaluation subjects (HEIs or programs).

i. If the Panel considers that the overall quality of the HEI/the program being accredited meets the required standards, the accreditation outcome should be "Meeting Accreditation Standards". If there are still gaps identified in individual accreditation area(s), and these gaps neither make a threat to the holistic performance of the HEI/the program nor cause an immediate and serious impact on the students concerned, the Panel can make recommendations for improvement so that the HEI can review and then follow up on the recommendations. The HEI is required to report progress of the follow-up action in its annual report to DSES.

   When necessary, the EQAA can set restrictions [3] on the discipline(s)/academic unit(s), and academic level(s) that have met the accreditation standards. (Applicable to IA)

ii. If deficiencies in individual accreditation area(s) have a relatively far-reaching impact on the operation of the HEI/the program being accredited, and thus remedial action within a specified time frame is a must to ensure that the operation of the HEI/the delivery of the program has no immediate and serious impact on the students concerned, the Panel must set condition(s), the standards for fulfillment of the condition(s) and deadline(s) for fulfillment in the final accreditation report so that the HEI can follow up. The accreditation outcome of such cases should be "Meeting Accreditation Standards with Condition(s)".

   When necessary, the Panel can include recommendations for improvement so that the HEI concerned can review and then follow up on the recommendations in cases where identified gaps in any accreditation area(s) neither make a threat to the holistic performance of the HEI/the program nor cause an immediate and serious impact on the students concerned. The HEI is required to report progress of the follow-up action in its annual report to DSES.

[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).

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). (Applicable to IA)

iii. If substandard gaps in any accreditation area(s) have a far-reaching impact on the effectiveness and standards of the HEI/the program being accredited as a whole, and thus these gaps cannot be remedied within a reasonable time frame to meet the requirements of relevant evaluation guidelines, the accreditation outcome should be "Not Meeting Accreditation Standards", and the Panel must provide practicable remedial actions[4] for the HEI concerned for reference.

6.1.4 **Support Provided for the Panel by the EQAA**

To facilitate the Panel to make in-depth observations, reasonable judgments and recommendations when executing its accreditation duties, the EQAA may consider providing samples of relevant accreditation tools at different stages. These samples of accreditation tools are available in **Annexes 8.1 – 8.6** for reference. The EQAA, based on its professional experiences and judgments, should provide the Panel with appropriate support.

6.2 Institutional Quality Audit (IQA)

6.2.1 Under the "evidence-based" guiding principle of IQA and with the Approach-Deployment-Results-Improvement (ADRI) model that sustains quality enhancement as the evaluation framework, the Panel makes reasonable inference on the evidence, presented by the HEI, which forms the basis for IQA judgments, in accordance with the specifications in the *Guidelines on Institutional Quality Audit* and this set of guidelines, to determine whether the HEI has the appropriate institutional structure, mechanisms, resources as well as a robust and proven internal QA mechanism, etc. to ensure that the HEI's academic and/or scientific research activities are both effective and student-centered enough to cultivate graduates with requisite competencies to meet the intended higher education level. The Panel also determines whether the HEI is able to make continuous enhancement and keeps itself abreast of related academic and/or scientific research endeavors.

[4] For cases granted "Not Meeting Accreditation Standards", the EQAA must explicitly state the justifications and provide feasible recommendations so that the HEIs concerned can achieve betterment to meet the basic standards for relevant accreditation.

6.2.2 **Judgment Principles of IQA**

- **Valid**

  Whether the HEI can demonstrate that it has set up its internal QA mechanism, formulated implementation strategies and approaches, and adopted performance indicators and academic levels, based on sound and valid justifications in line with Law No. 10/2017 on *Higher Education Regime* and related administrative regulations of Macao, with reference to the good practices of HEIs of similar nature, as well as international practices[5], etc.

- **Consistent**

  Whether the HEI's internal QA mechanism, its governance and management are implemented in a consistent manner to ensure fairness; whether there are sound justifications for any variation or deviation from established policies as well as practices, and whether such considerations are well documented for record and review purposes.

- **Prudent**

  Whether the HEI's decision-making is based on reasonable judgment on strong evidence; whether the HEI can demonstrate its triangulation, checks and balances, accountability and consensus through external benchmarking, and prove its due diligence with concrete examples.

- **Transparent**

  Whether information gathered by the HEI (such as suggestions and feedback from academic peers and industry experts, external benchmarking, that is, comparability study of HEIs of similar nature/disciplines/academic units/programs, and any other useful information that may have an impact on academic levels and institutional performance) is properly recorded for internal and external evaluation and for development, review and improvement purposes; whether there are sound justifications for all decisions, including any variation or deviation from practices and whether such considerations are well documented for record and review purposes;

[5] 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.

and whether the HEI has a policy on disclosure of information and an open platform to collect ideas and encourage participation in school management so as to enable stakeholders (i.e. the governing board, management level, staff, students and other related external parties, etc.) to reach a consensus through their understanding of and their support for the institutional development policies and implementation.

- **Learning Organization**

  Whether the HEI being audited is a learning organization possessing self-reflection, critical thinking, a high level of autonomy, perseverance to strive for the best performance, professionalism and academic leadership.

- **Student-centered**

  Education is by nature student-centered. Whether the HEI adopts student-centeredness as its core philosophy of education and provides favorable and quality learning environment and learning experience for students to attain the intended learning outcomes upon completion of the programs under reasonable circumstances.

6.2.3 **Principles of Making Judgments on IQA Outcomes**

The principles of determining IQA outcomes are as follows:

- Commendations: Good practices that can be for reference by other HEIs.
- Affirmations: In the self-evaluation document (SED), the HEI must identify areas where there are gaps and propose a practicable improvement plan with a timetable. During the IQA exercise, the Panel analyses that proposal and produces an affirmation, which may contain proposals for changes.
- Recommendations: The Panel may identify additional gaps not listed in the SED and propose remedial actions.

6.3 Program Review (PR)

6.3.1 PR ensures that the program/the cluster of programs being reviewed is delivered under the "student-centered" guiding principle with the primary objective of providing students with favorable and quality learning experience as well as learning environment so that they can attain the intended learning outcomes upon completion of the program(s)

under reasonable circumstances. In addition, PR determines whether the program/the cluster of programs keeps abreast of the latest development.

6.3.2 Judgment Principles of PR

Under the "evidence-based" guiding principle of PR and with the Approach-Deployment-Results-Improvement (ADRI) model that sustains quality enhancemnet as the evaluation framework, the Panel makes reasonable inference on the evidence, presented by the HEI, which forms the basis for PR judgments, in accordance with the specifications in the *Guidelines on Program Review* and this set of guidelines, to determine whether the program/the cluster of programs being reviewed can meet the prescribed objectives and enable students to achieve the intended learning outcomes.

6.3.3 Principles of Making Judgments on PR Outcomes

The principles of determining PR outcomes are as follows:

- Commendations: Good practices that can be for reference by other similar programs offered by the HEI
- Affirmations: In the SED, the HEI identifies areas where there are gaps and proposes a practicable improvement plan with a timetable. During the PR exercise, the Panel analyses that proposal and produces an affirmation, which may contain proposals for changes.
- Recommendations: The Panel may identify additional gaps not listed in the SED and propose remedial actions.

7. Evaluation Report and Follow-up Action

7.1 Accreditation

7.1.1 Accreditation Report

- The EQAA must forward a copy of the minutes of the "Exit Meeting" (refer to **Annexes 9.1** and **9.2**) to the HEI (normally within 1 week after the site visit). The minuts should cover the key observations of the Panel shared with the HEI during the "Exit Meeting", including but not limited to indicative accreditation outcome and respective decisions, such as meeting accreditation standards or not, conditions for fulfillment and/or recommendations.
- The EQAA must prepare and send a draft accreditation report verified by the Panel to the HEI according to the timeline specified in the evaluation service agreement (normally within 12 weeks after the site visit). The HEI's comments on the factual accuracy of the draft report should normally reach the EQAA within 2 weeks.
- The EQAA must submit the final accreditation report to the HEI before the deadline specified in the evaluation service agreement (normally within 2 weeks upon receipt of the HEI's comments on the factual accuracy of the draft report).
- The accreditation report shall cover the accreditation outcome and respective decisions, as well as the evidence based on which the Panel makes its observations, judgments and recommendations under each of the accreditation areas.
    i. For cases granted "Meeting Accreditation Standards" as the accreditation outcome, the accreditation report may include recommendations for improvement in areas where gaps are identified. If there are good practices, commendations should be included in the the accreditation report as well.
    ii. For cases granted "Meeting Accreditation Standards with Condition(s)" as the accreditation outcome, the accreditation report must include the condition(s), the standards for fulfillment of the condition(s) and deadline(s) for fulfillment. The accreditation report may also include recommendations for improvement and commendations for good practices as appropriate.

iii. If the accreditation outcome is "Not Meeting Accreditation Standards", the accreditation report must include remedial actions for the HEI for reference so that the HEI can make betterment. For the essential coverage of the IA report and the PA report, see the templates in **Annexes 10.1** and **10.2** respectively**.**

7.1.2 **"Statement Confirming Fulfillment of Condition(s)"**

The EQAA must issue a "Statement Confirming Fulfillment of Condition(s)" (Statement) to the HEI that has successfully fulfilled the condition(s) stated in the accreditation report. Refer to **Annexes 11.1** and **11.2** for the templates of the Statement.

7.1.3 **Follow-up Service**

The EQAA must provide follow-up service after the issuance of the accreditation report to the HEI, in accordance with the terms and conditions stipulated in the relevant accreditation guidelines. This may include but is not limited to evaluating whether the HEI has fulfilled the specified condition(s), issuing a Statement to the HEI that is accredited with condition(s) and that has successfully fulfilled the specified condition(s), etc. so that the HEI can submit to DSES the final accreditation report and the Statement (applicable to HEIs meeting accreditation standards with condition(s)) for confirmation of the accreditation outcome and for record respectively.

7.2 Institutional Quality Audit (IQA) and Program Review (PR)

7.2.1 **Evaluation Reports**

- The EQAA must forward a copy of the minutes of the "Exit Meeting" (see **Annex 9.3)** to the HEI before the deadline specified in the evaluation service agreement (normally within one week after the site visit*). The minutes should cover the key observations of the Panel shared with the HEI at the "Exit Meeting", including but not limited to indicative IQA/PR outcomes (namely commendations, affirmations and recommendations), etc.

* The scope of evaluation service of IQA covers a site visit, whereas PR is, in general, conducted using a paper-based review. Whether a site visit is necessary depends on the Panel's decision-making by taking into consideration the institutional quality level/the quality level of the programs reflected in the documents provided by the HEIs concerned, the quality level of the evaluation at Program Evaluation Level that HEIs concerned have ever conducted (if applicable), teaching and other facilities and equipment that are required to meet the specialities of the programs being reviewed, etc.

- The EQAA must prepare a draft IQA/PR report affirmed by the Panel and send it to the HEI according to the timeline specified in the evaluation service agreement (i. normally within 12 weeks after the site visit* (applicable to IQA exercises as well as PR exercises with a site visit) / ii. within 12 weeks upon receipt of all the relevant information or interviews (applicable to PR exercises without a site visit). The HEI's comments on the factual accuracy of the draft report should normally reach the EQAA within 2 weeks.
- The EQAA must submit the final evaluation report to the HEI before the deadline specified in the evaluation service agreement (normally within 2 weeks upon receipt of the HEI's comments on factual accuracy of the draft report) so that the HEI can submit the final report to DSES for confirmation of the IQA/PR outcome.
- The final IQA/PR report must cover the IQA/PR outcome, as well as the evidence based on which the Panel makes its observations, judgments and recommendations under each of the IQA/PR areas. For the essential coverage of the IQA and PR reports, refer to the templates in **Annex 10.3 and Annex 10.4 resectively**.

7.2.2 **Follow-up Service**

The EQAA must provide follow-up service after the issuance of the IQA/PR report to the HEI, in accordance with the terms and conditions specified in the *Guidelines on Institutional Quality Audit*/the *Guidelines on Program Review*. This may include but is not limited to requiring for the HEI to submit an action plan in response to the affirmations and recommendations in the final IQA/PR report within 12 weeks upon issuance of the report. The HEI must forward the action plan agreed by the EQAA to DSES for record. DSES may comment on the action plan.

* The scope of evaluation service of IQA covers a site visit, whereas PR is, in general, conducted using a paper-based review. Whether a site visit is necessary depends on the Panel's decision-making by taking into consideration the institutional quality level/the quality level of the programs reflected in the documents provided by the HEIs concerned, the quality level of the evaluation at Program Evaluation Level that HEIs concerned have ever conducted (if applicable), teaching and other facilities and equipment that are required to meet the specialities of the programs being reviewed, etc.

Section B: Institutional Quality Audit Executed by External Evaluation Panels Self-formed by Higher Education Institutions

1. Section B highlights points to note by HEIs when engaging SFPs to conduct IQA. Unless specified in Section B, SFPs conduct IQA in the same manner as specified in Section A. Therefore, HEIs intending to engage SFPs must read both Sections A and B.

2. For HEIs intending to engage SFPs to conduct IQA, they must inlcude the following as well when submitting their IQA proposals to DSES for consideration: the composition of the SFPs, the roles played by respective Panel members, their qualifications, experiences and areas of expertise as well as their declaration of conflict of interest, etc. Points to note when forming Panels are available in **Chapter 4 of Section A** in this set of guidelines.

3. SFPs play the same roles and bear the same responsibilities as EQAAs (see **Chapter 2 of Section A**). SFPs must either assign their own panel members to take up the roles of case officer and secretary or appoint appropriate personnel to do so. However, staff of HEIs being audited shall not play the roles of case officer and secretary of SFPs. The case officer shall also shoulder the duties of EQAAs. HEIs should reach an agreement with the case officer of SFPs concerning provision of administrative/logistical support and professional support (including translation and/or interpretation services), etc.

4. HEIs should enter into an appointment contract with SFP members, explicitly listing details of the IQA service to be provided by SFPs, the version of version of Guidelines specified in DSES's notification letter as the basis for evaluation, as well as SFPs' roles and responsibilities, etc. Refer to **Annex 2.3** for the indicative content of the appointment contract.

5. DSES shall only confirm the outcomes of IQA exercises executed by SFPs approved by DSES.

6. IQA executed by SFPs is not applicable to the first evaluation cycle.

Section C: Points to Note

1. EQAAs/SFPs must keep all information collected in the course of and arising from evaluation exercises as well as their corresponding evaluation outcomes confidential. It is the duty of EQAAs to ensure that all employees and Panel members engaged in the evaluation service abide by the terms of confidentiality (see **Annex 4.4**), except that the information has been disclosed by DSES to the public according to the relevant laws and regulations.
2. If EQAAs collect feedback on the evaluation service from Panels and HEIs, a copy of the feedback reports shall be passed to DSES for reference.
3. DSES may send observer(s) at its discretion to sit in meetings relevant to the evaluation exercise and the site visit for the purposes of observing the evaluation process and identifying room for improvement in the flow and arrangements of the evaluation exercise. 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" and must carry out their duties. Refer to the relevant sets of evaluation guidelines for details.

For Reference Only

Annex 1

Roles and Responsibilities of Case Officers

1. The EQAA/SFP[#] must assign a suitable staff member/a qualified person to be the case officer of each individual evaluation exercise to handle all matters relating to the assigned evaluation exercise. Staff of the HEI being evaluated must not play the role of case officer.

2. The case officer, in his/her capacity as the representative of the EQAA/SFP, acts as the contact point between the HEI being evaluated and the Panel.

   2.1 When necessary, the case officer has to liaise closely with the HEI to ensure the following: the HEI's understanding of the requirements for and the requisite evidence for the evaluation exercise, the HEI's timely submission of the evaluation documents, and the HEI's clarification/provision of supplementary information in response to the Panel's inquiries.

   2.2 It is the responsibility of the case officer to communicate in an accurate, concise and complete manner in compliance with the personal data privacy protection requirements, relevant laws as well as code of conduct. The case officer must ensure that consolidated views of the Panel, agreed upon and affirmed by the Panel members, are coherent and representative before transmission to the HEI.

3. To accomplish the evaluation exercise, the case officer must ensure that no conflict will arise between the Panel's duties and the Panel members' interests, and no benefits are solicited and/or accepted between the Panel and the HEI being evaluated. For potential situations of conflict of interest, see **Annex 4.2**. For any conflict of interest that arises after the commencement of the evaluation exercise (see paragraphs 3.2 and 3.3 of **Annex 4**), the case officer must report to DSES the situation of the conflict of interest and the follow-up action taken by the EQAA engaged.

4. The case officer must arrange the following support to Panel members:

   4.1 <u>Professional Support</u>

      4.1.1 Provision of background information as follows:

      - Up-to-date information on Macao's laws and regulations regarding higher education, requirements for industry/professional practice and evaluation requirements, with the assistance of DSES;

[#] SFPs are not applicable to the first evaluation cycle.

- The evaluation areas, standards/requirements, criteria and process (including any revisions approved by DSES), and judgment principles; and
- Background information of the HEI/the program(s) being evaluated, with track records of the HEI's quality assurance effectiveness (if applicable).
- For the "Sample Checklist of Documents to be Provided for Panel Members Before Site Visit", see **Annex 7.1**.

4.1.2 Training and briefing for Panel members:

- To enable Panel members understand their own roles, duties and code of conduct through various channels for the purposes of getting well-prepared for and contributing to the evaluation;
- To arrange meetings for the Panel to cultivate team spirit and to reach a consensus on issues of concern. These meetings can take place in various forms, such as virtual meeting, video-conferencing, etc, among which at least one must be the "Pre-visit Meeting" to be held in Macao, normally one day prior to the site visit*. The sample agenda for the "Pre-visit Meeting" is available in **Annex 7.2**. For IQA exercises, there must be the "Panel's Meeting with HEI's Senior Management" within 4 to 6 weeks upon receipt of the SED from the HEI to map out the strategies for the site visit. Refer to **Annex 4** of the *Guidelines on Institutional Quality Audit* for the sample agenda for the "Panel's Meeting with HEI's Senior Management" exclusively for IQA.
- To provide guidance on effective questioning in order to collect sufficient evidence for making evaluation judgments;
- To advise on how to make evidence-based judgments to ensure that the evaluation outcome and respective decisions are fair, well-justified and consistent.

4.1.3 Translation and/or simultaneous interpretation services:

- To arrange translation and/or simultaneous interpretation services for panel member(s) not proficient in the working language of the HEI being evaluated or the medium of instruction of the program(s) being evaluated.

* The scope of evaluation service of IA, PA and IQA covers a site visit, whereas PR is, in general, conducted using a paper-based review. Whether a site visit is necessary depends on the Panel's decision-making by taking into consideration the institutional quality level/the quality level of the programs reflected in the documents provided by the HEIs concerned, the quality level of the evaluation at Program Evaluation Level that HEIs concerned have ever conducted (if applicable), teaching and other facilities and equipment that are required to meet the specialities of the programs being reviewed, etc.

4.2 Administrative/Logistical Support

To ensure the timely arrival of non-local panel members for the site visit* in Macao via administrative/logistical support, including arrangments of air tickets, accommodation, local transportation, etc.

4.3 Secretarial Support

4.3.1 Before the Site Visit*

- To conduct a preliminary check of the HEI's evaluation document upon receipt to ensure that the document contains the requisite information for evaluation before passing it on to the Panel for review;
- In response to the content of the evaluation document mentioned above, individual panel members may make a request for clarification and/or supplementary information from the HEI. The case officer is to collect and consolidate comments from panel members. With the consent of the Panel, the case officer is then to send the consolidated views to the HEI for comments;
- To forward the HEI's written responses and supplementary information to the Panel and the observer(s) upon receipt;
- To draft the site visit program and relevant implementation details for consideration by the Panel Chair, in accordance with the scope and terms of evaluation service set forth in the service agreement as well as the operational situation of the HEI. Implementation details, which are drafted in consultation with the HEI, include sampling approach for selecting the HEI's representatives to attend interviews, arrangements for split interview sessions, documents to be tabled for review, facilities and activities to be viewed during campus tour, etc.;
- To ensure proper administrative/logistical arrangements for the site visit, including equipment setup and seating arrangement in meeting rooms and for split interview sessions, room setup for reviewing tabled documents, refreshment and meal arrangements, other logistical and on-site support, transportation arrangement for visiting facilities during campus

* The scope of evaluation service of IA, PA and IQA covers a site visit, whereas PR is, in general, conducted using a paper-based review. Whether a site visit is necessary depends on the Panel's decision-making by taking into consideration the institutional quality level/the quality level of the programs reflected in the documents provided by the HEIs concerned, the quality level of the evaluation at Program Evaluation Level that HEIs concerned have ever conducted (if applicable), teaching and other facilities and equipment that are required to meet the specialities of the programs being reviewed, etc.

tour (if multiple campuses are involved), etc.;

- To hold the pre-visit meeting the day before the site visit with background information, other relevant data and materials of the evaluation subject ready for the Panel, and have an initial analysis of the above information as instructed by the Panel.

4.3.2 During the Site Visit*

- To document the evidence collected by panel members, their observations, discussion and judgments which will form the basis for the evaluation report, and to follow up on the Panel's requests for evidence on the spot;
- To ensure that the site visit is conducted according to the planned program for the purpose of evidence collection;
- To affirm with the Panel Chair that the Panel has fully deliberated on all pertinent issues concerning the evaluation to make a conclusive judgment before concluding the site visit;
- To ensure that the Panel makes reasonable judgment by consensus after taking into consideration all pertinent issues. If the Panel cannot reach a consensus on the evaluation outcome, the case officer is to document all views and justifications of the panel members and assist the Panel Chair to put the matter to the vote by following a valid procedure. To document the records properly for future reference to the evaluation outcome when and if necessary (e.g. in case the HEI lodges an appeal).

4.3.3 After the Site Visit*

- To prepare the minutes of the "Exit Meeting" covering the key observations shared by the Panel with the HEI at the meeting, and deliver to the HEI the minutes affirmed by the Panel as accurate by the deadline set forth in the evaluation service agreement (normally within 1 week after the site visit);
- To draft the evaluation report, or to collate the draft report prepared by panel members, according to the requirements in this set of guidelines, the consensus by and comments from the Panel after the site visit, and the preferred practice of the execution party (the EQAA/the SFP);

* The scope of evaluation service of IA, PA and IQA covers a site visit, whereas PR is, in general, conducted using a paper-based review. Whether a site visit is necessary depends on the Panel's decision-making by taking into consideration the institutional quality level/the quality level of the programs reflected in the documents provided by the HEIs concerned, the quality level of the evaluation at Program Evaluation Level that HEIs concerned have ever conducted (if applicable), teaching and other facilities and equipment that are required to meet the specialities of the programs being reviewed, etc.

- To send the draft report affirmed by the Panel to the HEI by the deadline set forth in the evaluation service agreement (normally within 12 weeks after the site visit) for the HEI's comments on factual accuracy;
- To follow up with the HEI on the factual accuracy of the draft report by the specified deadline (normally within 2 weeks after the delivery of the draft report to the HEI), and send the final evaluation report to the HEI according to the requirements specified in the service agreement with notification to the Panel;

5. Follow-up Action

5.1 Accreditation

5.1.1 For condition(s) stated in the final accreditation report, to follow up with the HEI on the fulfillment of condition(s) by the specified deadline(s). When necessary, the Panel Chair and/or panel members should be consulted to affirm whether the HEI has fulfilled the condition(s).

5.1.2 To send the Statement to the HEI within 2 weeks upon its successful fulfillment of condition(s).

5.2 Institutional Quality Audit (IQA) and Program Review (PR)

To request the HEI to submit to the EQAA/the SFP (only applicable to IQA) its action plan in response to the affirmation(s) and/or recommendation(s), if any, stated in the final evaluation report for comments on the appropriateness of the action plan within 12 weeks upon issuance of the final evaluation report.

For Reference Only

Annex 2.1

Institutional Accreditation – Scope and Terms of Evaluation Service

A. Accreditation Service

1. [Name of EQAA] is commissioned by [Name of HEI] to provide **Institutional Accreditation** service (see Part B) in accordance with the *Guidelines on Institutional Accreditation* and the *Guidelines for External Quality Assurance Agencies* (please state the applicable versions of the Guidelines, see Attachment x) under the higher education quality evaluation system of Macao, and shall abide by the specifications in the notification letter from DSES and the evaluation proposal approved by DSES when executing the aforementioned evaluation exercise.

2. The Institutional Accreditation exercise will be conducted according to the following schedule and procedure, and this will form part of the contractual terms.

Date (DD/MM/YYYY)	Procedure
On or before [Date]	[Name of HEI] to submit accreditation document to [Name of EQAA] for review
Date of Site Visit	[Name of EQAA] to arrange Panel to conduct Site Visit in [Name of HEI]
On or before [Date] (normally 1 week after Site Visit)	[Name of EQAA] to send minutes of "Exit Meeting" to [Name of HEI]
On or before [Date] (normally 12 weeks after Site Visit)	[Name of EQAA] to send Draft Report to [Name of HEI]
Within x weeks upon issuance of Draft Report (normally 2 weeks)	[Name of HEI] to comment on factual accuracy of Draft Report
Within x weeks upon receipt of comments from HEI on factual accuracy of Draft Report (normally 2 weeks)	[Name of EQAA] to follow up on comments from [Name of HEI] on factual accuracy of Draft Report and then to send Final Report to [Name of HEI]

Date (DD/MM/YYYY)	Procedure
By the specified deadline(s) for fulfillment of condition(s), for HEI accredited with condition(s)	[Name of EQAA] to evaluate whether [Name of HEI] has fulfilled specified condition(s) based on evidence submitted by [Name of HEI] [Name of EQAA] to issue *Statement Confirming Fulfillment of Condition(s)* to [Name of HEI] upon successful fulfillment of specified condition(s)

3. State the relevant terms, the start-up mechanism, the start-up principle and arrangements when encountering force majeure factors (such as typhoon) during the site visit.

4. Location of Site Visit (including campus, practicum location (if applicable)): _____

5. Working Language in the Course of Evaluation: _____

6. Applicable Clauses: (Please see Attachment xx for details)

   ☐ Appeal
   ☐ Review
   ☐ Arbitration
   ☐ Litigation
   ☐ Others (Please specify: _____)

   (Please insert "×" in appropriate checkboxes.)

B. Information about the HEI Being Accredited

7. Scope of Accreditation Service: (Please insert "×" in appropriate checkboxes.)

☐ Whole Institution OR

☐ Individual Academic Unit(s) / Dsicipline(s), and Academic Level(s)

Name of Academic Unit(s) / Dsicipline(s) / Academic Level(s)	(Please specify)	(Please specify)	(Please Specify)
Bachelor	☐	☐	☐
Master	☐	☐	☐
Doctor	☐	☐	☐

8. Other Campus(es) (if different from location of site visit)：

_____

For Reference Only

Annex 2.2

Program Accreditation – Scope and Terms of Evaluation Service

A. Accreditation Service

1. [Name of EQAA] is commissioned by [Name of HEI] to provide **Program Accreditation** service (see Part B) in accordance with the *Guidelines on Program Accreditation* and the *Guidelines for External Quality Assurance Agencies* (please state the applicable versions of the Guidelines, see Attachment x) under the higher education quality evaluation system of Macao, and shall abide by the specifications in the notification letter from DSES and the evaluation proposal approved by DSES when executing the aforementioned evaluation exercise.

2. The Program Accreditation exercise will be conducted according to the following schedule and procedure, and this will form part of the contractual terms.

Date (DD/MM/YYYY)	Procedure
On or before [Date]	[Name of HEI] to submit accreditation document to [Name of EQAA] for review
Date of Site Visit	[Name of EQAA] to arrange Panel to conduct Site Visit in [Name of HEI]
On or before [Date] (normally 1 week after Site Visit)	[Name of EQAA] to send minutes of "Exit Meeting" to [Name of HEI]
On or before [Date] (normally 12 weeks after Site Visit)	[Name of EQAA] to send Draft Report to [Name of HEI]
Within x weeks upon issuance of Draft Report (normally 2 weeks)	[Name of HEI] to comment on factual accuracy of Draft Report
Within x weeks upon receipt of comments from HEI on factual accuracy of Draft Report (normally 2 weeks)	[Name of EQAA] to follow up on comments from [Name of HEI] on factual accuracy of Draft Report and then to send Final Report to [Name of HEI]

Date (DD/MM/YYYY)	Procedure
By the specified deadline(s) for fulfillment of condition(s), for HEI accredited with condition(s)	[Name of EQAA] to evaluate whether [Name of HEI] has fulfilled specified condition(s) based on evidence submitted by [Name of HEI] [Name of EQAA] to issue *Statement Confirming Fulfillment of Condition(s)* to [Name of HEI] upon successful fulfillment of specified condition(s)

3. State the relevant terms, the start-up mechanism, the start-up principle and arrangements when encountering force majeure factors (such as typhoon) during the site visit.

4. Location for Site Visit: _____

5. Working Language in the Course of Evaluation: _____

6. Applicable Clauses: (Please see Attachment xx for details)

   ☐ Appeal
   ☐ Review
   ☐ Arbitration
   ☐ Litigation
   ☐ Others (Please specify: _____)

   (Please insert "×" in appropriate checkboxes.)

B. Information about the Program Being Accredited

Name of Program	
Academic Level	☐ Bachelor ☐ Master ☐ Doctor
Discipline	
Specialization/Major and/or Minor (if applicable)	
Academic Unit	
Study Regime	☐ Full-time (Day Program/Evening Program) ☐ Part-time
Mode of Delivery	☐ Lecturing ☐ Online learning ☐ Distance learning ☐ Others (Please specify: _____)
Medium of Instruction	☐ Chinese ☐ Portuguese ☐ English ☐ Others (Please specify: _____)
Duration	years
Credit (if applicable)	
Commencing Year	
Maximum Intake	
Campus Address	
Teaching Venue (if outside campus)	
Practicum Location (if applicable) (if outside campus)	
Partner Organization (only applicable to programs that need partner organizations to provide teaching and/or research and/or practicum support)	

(Please insert "✕" in appropriate checkboxes.)

For Reference Only

Annex 2.3

Institutional Quality Audit – Scope and Terms of Evaluation Service

A. Institutional Quality Audit Service

1. [Name of EQAA/SFP] is commissioned by [Name of HEI] to provide **Institutional Quality Audit** service in accordance with the *Guidelines on Institutional Quality Audit* and the *Guidelines for External Quality Assurance Agencies* (Guidelines) (please state the applicable versions of the Guidelines, see Attachment x) under the higher education quality evaluation system of Macao, and shall abide by the specifications in the notification letter from DSES and the evaluation proposal approved by DSES when executing the aforementioned evaluation exercise.

2. The Institutional Quality Audit exercise will be conducted according to the following schedule and procedure, and this will form part of the contractual terms.

Date (DD/MM/YYYY)	Procedure
On or before [Date]	[Name of HEI] to submit SED to [Name of EQAA/SFP] for review
Date of "Panel's Meeting with HEI's Senior Management" (normally 4 to 6 weeks after HEI's submission of SED)	[Name of EQAA/SFP] to arrange Panel to meet senior management of [Name of HEI] through [form of meeting]
Date of Site Visit (normally 6 to 8 weeks after "Panel's Meeting with HEI's Senior Management")	[Name of EQAA/SFP] to arrange Panel to conduct Site Visit in [Name of HEI]
On or before [Date] (normally 1 week after Site Visit)	[Name of EQAA/SFP] to send minutes of "Exit Meeting" to [Name of HEI]
On or before [Date] (normally 12 weeks after Site Visit)	[Name of EQAA/SFP] to send Draft Report to [Name of HEI]
Within x weeks upon issuance of Draft Report (normally 2 weeks)	[Name of HEI] to comment on factual accuracy of Draft Report
Within x weeks upon receipt of comments from HEI on factual accuracy of Draft Report (normally 2 weeks)	[Name of EQAA] to follow up on comments from [Name of HEI] on factual accuracy of Draft Report and then to send Final Report to [Name of HEI]

Date (DD/MM/YYYY)	Procedure
Within 12 weeks upon receipt of Final Report by HEI if it contains recommendation(s)	[Name of HEI] to submit Action Plan in response to recommendations stated in Final Report to [Name of EQAA/SFP] for comments on appropriateness [Name of HEI] to forward Action Plan agreed by [Name of EQAA/SFP] to DSES for record

3. State the relevant terms, the start-up mechanism, the start-up principle and arrangements when encountering force majeure factors (such as typhoon) during the site visit.

4. Location for Site Visit (including campus, practicum location (if applicable)):

   _____

5. Working Language in the Course of Evaluation: _____

6. Applicable Clauses **to EQAA** only: (Please see Attachment xx for details)

   ☐ Appeal
   ☐ Review
   ☐ Arbitration
   ☐ Litigation
   ☐ Others (Please specify: _____)

   (Please insert "×" in appropriate checkboxes.)

B. Information about the HEI Being Evaluated

7. Scope of Institutional Quality Audit Service: (Please insert "×" in appropriate checkboxes.)

Name of Indicative Discipline(s) / Academic Unit(s) / Program(s) to be examined in detail* / Academic Level(s)	(Please specify)	(Please specify)	(Please Specify)
Bachelor	☐	☐	☐
Master	☐	☐	☐
Doctor	☐	☐	☐

* The final decision depends on the conclusion that the Panel and the HEI's senior management come up with during the "Panel's Meeting with HEI's Senior Management".

8. Other Campus(es) (if different from location of site visit)：

_____

For Reference Only

Annex 2.4

Program Review –
Scope and Terms of Evaluation Service

A. Program Review

1. [Name of EQAA] is commissioned by [Name of HEI] to provide **Program Review** service in accordance with the *Guidelines on Program Review* and the *Guidelines for External Quality Assurance Agencies* (Guidelines) (please state the applicable versions of the Guidelines, see Attachment x) under the higher education quality evaluation system of Macao, and shall abide by the specifications in the notification letter from DSES and the evaluation proposal approved by DSES when executing the aforementioned evaluation exercise.

2. The Program Review exercise will be conducted according to the following schedule and procedure, and this will form part of the contractual terms.

Date (DD/MM/YYYY)	Procedure
On or before [Date]	[Name of HEI] to submit SED to [EQAA] for review
On or before [Date] (normally 2 weeks after HEI's submission of SED)	[Name of EQAA] to arrange case officer to have preliminary check of SED submitted by [Name of HEI]
Date of "Program Review Meeting" (normally 4 to 6 weeks upon receipt of SED checked by case officer)	[Name of EQAA] to arrange Panel to hold "Program Review Meeting" to review SED provided by HEI and subsequently make PR judgments, including whether the following follow-up actions are necessary: 1. a request for clarification and/or supplementary information from HEI; and/or 2. meetings/interviews with Program Leader(s) and/or relevant Stakeholders; and/or 3. Site Visit.
If Follow-up Action 1 is necessary: On or before [Date] (normally 2 weeks after "Program Review Meeting")	[Name of HEI] to provide Panel with additional documents

Date (DD/MM/YYYY)	Procedure
If Follow-up Action 2 is necessary: [Date] (for meetings/ interviews with Program Leader(s) and/or relevant Stakeholders)	[Name of EQAA] to arrange Panel to meet Program Leader(s) and/or relevant Stakeholders through [form of meeting]
If Follow-up Action 3 is necessary: [Date] (for Site visit)	[Name of EQAA] to arrange Panel to conduct Site Visit in [Name of HEI]
If Follow-up Actions 1 and/or 2 and/or 3 are necessary: On or before [Date] (normally 12 weeks upon receipt of all requisite documents from HEI or after relevant meetings/interviews (applicable to PR exercises without Site Visit) / normally 12 weeks after Site Visit) *If no Follow-up Action is necessary:* On or before [Date] (normally 12 weeks after "Program Review Meeting"	[Name of EQAA] to send Draft Report to [Name of HEI]
Within x weeks upon issuance of Draft Report (normally 2 weeks)	[Name of HEI] to comment on factual accuracy of Draft Report
Within x weeks upon receipt of comments from HEI on factual accuracy of Draft Report (normally 2 weeks)	[Name of EQAA] to follow up on comments from [Name of HEI] on factual accuracy of Draft Report and then to send Final Report to [Name of HEI]

Date (DD/MM/YYYY)	Procedure
Within 12 weeks upon receipt of Final Report by HEI if it contains recommendation(s)	[Name of HEI] to submit Action Plan in response to recommendations stated in Final Report to [Name of EQAA] for comments on appropriateness [Name of HEI] to forward Action Plan agreed by [Name of EQAA] to DSES for record

3. State the relevant terms, the start-up mechanism, the start-up principle and arrangements when encountering force majeure factors (such as typhoon) during meetings/interviews with program leader(s) and/or relevant stakeholders or during the site visit.

4. Location for Site Visit (if any): _____

5. Working Language in the Course of Evaluation: _____

6. Applicable Clauses: (Please see Attachment xx for details)

   ☐ Appeal
   ☐ Review
   ☐ Arbitration
   ☐ Litigation
   ☐ Others (Please specify: _____)

   (Please insert "×" in appropriate checkboxes.)

B. Information about the Program Being Reviewed

Name of Program	
Academic Level	☐ Bachelor ☐ Master ☐ Doctor
Discipline	
Specialization/Major and/or Minor (if applicable)	
Academic Unit	
Study Regime	☐ Full-time (Day Program/Evening Program) ☐ Part-time
Mode of Delivery	☐ Lecturing ☐ Online learning ☐ Distance learning ☐ Others (Please specify: _____)
Medium of Instruction	☐ Chinese ☐ Portuguese ☐ English ☐ Others (Please specify: _____)
Duration	years
Credit (if applicable)	
Commencing Year	
Maximum Intake	
Campus Address	
Teaching Venue (if outside campus)	
Practicum Location (if applicable) (if outside campus)	
Partner Organization (only applicable to programs that need partner organizations to provide teaching and/or research and/or practicum support)	

(Please insert "✕" in appropriate checkboxes.)

Annex 3.1

Requisite Competencies for the Panel

Table 1: Requisite Competencies for Panel Chair

To be capable of:
1. identifying the focus of evaluation;
2. leading the Panel in individual evaluation exercises based on relevant evaluation guidelines and evaluation requirements;
3. directing flow of discussion;
4. assessing arguments put forth by different parties;
5. managing the team; and
6. providing conclusive summary for evaluation exercises in order to achieve relevant evaluation objectives.

For the “Requisite Competencies for Panel Members”, see Table 2.

Table 2: Requisite Competencies for Panel Members

Teamwork	Generic Skills and Values	Application of QA Principles	Professional Judgments
1. Abide by the roles and responsibilities of the Panel and the code of conduct for the Panel. Execute evaluation based on relevant evaluation guidelines in order to achieve intended evaluation effectiveness. 2. Be punctual and follow the site visit program 3. Listen to others' opinions with respect and empathy. 4. Adopt a sincere and unbiased attitude towards opinion sharing for idea collection. 5. Assume collective responsibility for the Panel's consolidated views and decisions.	<u>Generic Skills</u> 1. Identify pertinent issues to be discussed. 2. Work according to priority of tasks. 3. Interpret and synthesize large amount of information in order to comprehend and analyze the evaluation subject (the HEI/the program) and for further research purpose. 4. Distinguish causal relationship and related matters. 5. Ask for clarification and affirmation as appropriate when presented with conflicting evidence. 6. Assess the reliability, accuracy and authenticity of information based on the different sources of information. 7. Communicate with all	1. Identify different quality cultures. 2. Identity important quality indicators. 3. Explain the evaluation areas, standards/requirements, criteria, possible sources of evidence and process of relevant types of evaluation. 4. Evaluate the performance of the HEI/the effectiveness and level of the program under the "fit-for-purpose" guiding principle. 5. Apply relevant evaluation guidelines and professional practice or registration requirements (if applicable) of Macao to evaluate whether the quality of the HEI/the program meets the required standards/requirements. 6. Identify evidence required for follow-up purpose. 7. Identify good practices and areas for improvement for the	Exercise professional judgments according to the "evidence-based" guiding principle as follows: <u>At Institutional Evaluation Level</u> 1. For accreditation, determine whether the HEI's operation and its programs have met the QA requirements of Macao. 2. For IQA, determine whether the HEI has proper systems, institutional structure, resources and operations to meet the performance and effectiveness of its stated purposes and goals under the auspices of a robust internal QA mechanism. <u>At Program Evaluation Level</u> 3. From the perspectives of the design and delivery of "outcome-based" programs, evaluate and determine

	parties effectively both in speech and in writing. 8. Employ appropriate questioning techniques during the site visit to collect evidence from multiple sources for triangulation. 9. Collect essential evidence appropriately for making reasonable judgments. 10. Effective and proper participation in different meetings. <u>Values</u> 11. Stay impartial. 12. Be well-prepared. 13. Respect academic autonomy. 14. Adopt an open and supportive attitude.	evaluation subject (the HEI/the program). 8. Make recommendation(s) on identified areas for improvement.	whether the program can cultivate students with the intended competencies and attributes to reflect institutional performance. 4. Under the "student-centered" principle, evaluate and determine whether the HEI concerned is able to provide appropriate learning support for its students so that they can attain the intended learning outcomes. 5. Evaluate and determine whether new programs (intended to be launched) can meet their stated program objectives and the QA requirements of Macao.

For Reference Only

Annex 3.2

[Name of HEI]

[Type of Evaluation]

[Name of Evaluation Exercise]

[Date of Site Visit*]

Checklist of Panel Competencies

Name of Panel Member	Position; Present Employer/HEI; Country/Region	To be Appointed as	(✓denotes possession of relevant competencies)				Remarks
			Teamwork	Generic Skills and Values	Application of QA Principles	Professional Judgments	
		Chair					
		Member					
		Member					
		Member					
		Member					

* The scope of evaluation service of IA, PA and IQA covers a site visit, whereas PR is, in general, conducted using a paper-based review. Whether a site visit is necessary depends on the Panel's decision-making by taking into consideration the institutional quality level/the quality level of the programs reflected in the documents provided by the HEIs concerned, the quality level of the evaluation at Program Evaluation Level that HEIs concerned have ever conducted (if applicable), teaching and other facilities and equipment that are required to meet the specialities of the programs being reviewed, etc.

Applicable to Institutional Evaluation

Annex 3.3

[Name of EQAA]
[Name of HEI]
[Type of Evaluation]
[Date of Site Visit]

Panel Composition Analysis Checklist

Name	Role	Present Employment			Highest Academic Qualification and Specialization					Experience (✓ denotes possession of relevant experience)						Past Evaluation Experience (One relevant external evaluation experience in the past 3 years)				Professional Qualification			Training on External Evaluation			Languages		Overseas /China, Taiwan, Hong Kong and Macao citizenship	Remarks[@]
										Higher Education Sector			Industry/Professional Sector												Written Language	Spoken Language		
		Region	Name of Organization/HEI	Position	Year of Award	Region of Granting Body	Granting Body	Qualification Title	Specialization[#]	Governing, Managing and Operating HEI	Academic Developments	Quality Assurance of HEI	Leading Industry/Professional	Industry/Professional Experience	Industry/Professional Training	Year	Name of HEI and Items Evaluated	Region of HEI	Role in Evaluation Exercise	Year of Award	Granting Body	Qualification	Year	Training Provider	Nature of Training/ Brief Description	Chinese/Portuguese/English/ Others	Cantonese/Putonggua/Portuguese/ English/Others		
e.g. CHAN, Tai Man	**Member**	**Hong Kong**	**University of Hong Kong**	**Vice President**	**1963**	**U.S.**	**Harvard University**	**Doctor**	**Physics**	✓	✓	✓	✓	✓	✓	**2017**	**XX University of Hong Kong Periodic Reviews**	**Hong Kong**	**Chair**	**1971**	**Institute of Physics**	**CPhs**	**2017**	**HKCAAVQ**	**Chairman Worhsop**	**Chinese/ English**	**Cantonese/ English**	**Hong Kong**	
	Chair																												
	Member																												
	Member																												
	Member																												
	Secretary[+]																												

+ Secretary: Please specify if any panel member assumes the role of secretary. (Only applicable to IQA executed by SFPs)
# Specialization: Please list all the specializations of panel members.
@ Remarks: Please give details in the declaration of interest if any conflict of interest and/or issue of concern arise(s) between panel members and the HEI and/or its staff.

Applicable to Program Evaluation

[Name of EQAA]
[Name of HEI]
[Type of Evaluation]
[Date of Site Visit*]

Panel Composition Analysis Checklist

Name	Role	Present Employment			Highest Academic Qualification and Specialization					Experience (✓ denotes possession of relevant experience)							Past Evaluation Experience (One relevant external evaluation experience in the past 3 years)				Professional Qualification			Training on External Evaluation			Language		Overseas/China, Taiwan, Hong Kong and Macao citizenship	Remarks@
										Higher Education Sector				Industry/Professional Sector												Written Language	Spoken Language		
		Region	Name of Organization/HEI	Position	Year of Award	Region of Granting Body	Granting Body	Qualification Title	Specialization#	Department Management Experience	Curriculum Development and Teaching Experience	Curriculum Development and Teaching Experience in the Professional Disciplines	Curriculum Quality Assurance Experience	Leading Industry/Professional	Industry/Professional Experience	Industry/Professional Training	Year	Name of HEI and Items Evaluated	Region of HEI	Role in Evaluation Exercise	Year of Award	Granting Body	Qualification	Year	Training Provider	Nature of Training/ Brief Description	Chinese/Portuguese/ English/Others	Cantonese/Putonggua/Portuguese/ English/Others		
e.g. LEI, Wa	**Member**	**Singapore**	**Faculty of Computing, National University of Singapore**	**Dean**	**1981**	**England**	**University of Manchester**	**Doctor**	**Computer Science**	✓	✓	✓	✓	✓	✓	✓	**2017**	**XX Institute of Hong Kong Program Reviews**	**Hong Kong**	**Member**	**2009**	**IEEE**	**Fellow**	**2017**	**HKCAAVQ**	**Specialist Workshop**	**Chinese/ English**	**Putonggua/ English**	**Overseas**	
	Chair																													
	Member																													
	Member																													
	Member																													
	Secretary																													

* The scope of evaluation service of PA covers the site visit, whereas PR is, in general, conducted using a paper-based review. Whether a site visit is necessary depends on the Panel's decision-making by taking into consideration the institutional quality level/the quality level of the programs reflected in the documents provided by the HEIs concerned, the quality level of the evaluation at Program Evaluation Level that HEIs concerned have ever conducted (if applicable), teaching and other facilities and equipment that are required to meet the specialities of the programs being reviewed, etc..

Specialization: Please list all the specializations of panel members.

@ Remarks: Please give details in the declaration of interest if any conflict of interest and/or issue of concern arise(s) between panel members and the HEI and/or its staff.

Annex 4

External Evaluation Panels' Roles and Responsibilities, Obligations, and Protection

Panels are engaged by EQAAs for provision of professional advice in evaluation exercises. For IQA exercises, self-formed panels (SFPs) can be engaged by HEIs concerned. SFPs are not applicable to the first evaluation cycle.

1. Roles and Responsibilities of Panel Members

1.1 Evaluation should be conducted according to the terms specified in this set of guidelines and relevant evaluation guidelines on higher education of Macao.

1.2 The Panel Chair and panel members assume different roles, hence different responsibilities in the evaluation process as follows:

1.2.1 Panel Chair

- To manage the team and lead the Panel, and execute evaluation according to relevant evaluation guidelines and evaluation requirements;
- To provide comments on the site visit program;
- To make adjustments to the site visit program, depending on the actual on-site situations;
- To chair all panel meetings;
- To direct flow of discussion in all meetings during the site visit and maintain all participants' focus on the issues in hand;
- To evaluate arguments of all parties and provide conclusive summary;
- To provide the Panel with overall guidance for satisfactory completion of the evaluation exercise;
- When unavoidable, to put the matter to the vote;
- To assume the overall responsibility of the accuracy and appropriateness of the evaluation report on behalf of the Panel before submitting the draft report to the HEI via the EQAA; and
- To perform all other duties of panel members.

1.2.2 Panel Members

- To master the evaluation areas, standards/requirements,

criteria, possible sources of evidence and process of relevant types of evaluation on higher education of Macao;

- To be well-prepared for evaluation exercises concerned and attend all relevant training (if applicable) and meetings, etc. so as to conduct evaluation effectively;
- To examine evaluation documents submitted by HEIs concerned against the evaluation requirements on higher education of Macao, identify unclear and irrelevant areas, and seek clarification/further information;
- To collect evidence from multiple sources for triangulation by using appropriate questioning techniques. When presented with conflicting evidence, ask for clarification and affirmation as appropriate;
- To share observations and findings with other panel members in the course of evaluation, including but not limited to the "Panel's Meeting with HEI's Senior Management" (applicable to IQA) and the "Program Review Meeting" (applicable to PR), the "Pre-visit Meeting", the site visit, Panel's internal meetings and post-visit review meetings, so as to make evaluation judgments after deliberating fully on facts and evidence collected;
- To analyze written responses from HEIs to the Panel's comments and identify pertinent issues to be further explored by the Panel;
- To identify good practices and areas for improvement for HEIs/programs being evaluated;
- To make recommendation(s) on identified areas for improvement;
- To advise on the fulfillment of condition(s) as and when necessary for accreditation cases, or advise on the appropriateness of the action plan submitted by HEIs concerned in response to the recommendations specified in the final IQA and PR reports;
- To adopt an open attitude during discussion and reach a consensus on evaluation outcomes, recommendations and observations to be documented in evaluation reports;
- To review draft evaluation reports intended to be sent to HEIs concerned, and subsequently provide comments, and affirm final evaluation reports for delivery to HEIs concerned.

1.3 The Panel must provide HEIs concerned with adequate opportunities to respond to the Panel's comments/concerns to ensure that the evaluation process and judgments made are reasonable and transparent.

1.4 The Panel works collectively, and makes judgments and recommendations by consensus.

1.5 When consensus cannot be reached, the Panel Chair may decide to put the matter to the vote. In case the votes are tied, the Chair shall have a casting vote. The secretary does not have a voting right.

1.6 Panel members can share their views on the evaluation type, process and support, etc. with the Panel Chair and the case officer.

2. Code of Conduct

2.1 All panel members participate in evaluation activities voluntarily and must abide by the "Code of Conduct for Panel Members" (see **Annex 4.1**) and the "Terms of Confidentiality" (see **Annex 4.4**).

2.2 Upon agreement to take part in an evaluation exercise, panel members are required to attend all meetings, especially the sessions during the site visit. Absence, late arrival or early departure is not allowed. In case of an emergency where an absence or early departure is inevitable, any panel member involved must notify the case officer of the EQAA/the Panel Chair of the SFP in the first instance. S/he must also state his/her observations, judgments and recommendation(s) to the full Panel for reference purpose, and abide by whatever final decisions that the remaining panel members come up with in his/her absence.

3. Declaration of Interest

3.1 To ensure that panel members have no conflict of interest, the EQAA/the HEI planning to form the SFP must invite potential panel members to declare conflict of interest and properly document the declaration of conflict of interest by all the potential and engaged panel members for record purpose. When necessary, DSES may request such records at its discretion via the HEI. See the "Declaration Form for Conflict of Interest" in **Annex 4.3**.

3.2 If conflict of interest arises (refer to **Annex 4.2** for "Potential Situations of Conflict of Interest") in the course of an evaluation exercise, the panel member concerned must report to the case officer of the EQAA/the Panel Chair of the SFP in the first instance and ask for advice. Depending on

the actual situation of the conflict of interest, the panel member concerned may be required to totally withdraw from the evaluation exercise or abstain from meetings, discussions or decision-making of a particular issue. If the conflict does not violate the "fairness" principle or if the potential conflict is purely speculative, the panel member concerned may be allowed to continue with the evaluation duties. However, both the declaration and the justifications for making the discretion must be documented.

3.3 If conflict of interest arises only after the conclusion of an evaluation exercise, the panel member concerned should make full disclosure and declaration to the case officer of the EQAA/the Panel Chair of the SFP as soon as possible. In case of doubt, advice should be sought from the case officer/the Panel Chair.

3.4 Owing to the rapid change in the definition of conflict of interest over time, relevant parties are required to make reasonable declaration as and when appropriate in order to ensure fairness of evaluation.

4. Non-disclosure Agreement

4.1 All raw information and/or data furnished by the HEI in connection with the evaluation exercise, and/or information, data or materials derived from and collected through the evaluation shall be treated as confidential information. Such information shall be used solely for the purpose of the evaluation exercise and shall not be disclosed to any other person, and/or for personal use.

4.2 Panel members shall treat all information, data or materials collected and/or provided by the EQAA/SFP, etc. in connection with evaluation activities as confidential information.

4.3 All records and comments made by panel members in the course of evaluation shall only be used for evaluation purpose and shall not be disclosed to any other person.

4.4 The specifications of the evaluation report, the evaluation outcome and respective decisions are all confidential information and shall be sent to the HEI by the EQAA/SFP. Panel members shall not disclose such information to any other person.

4.5 Upon completion of the evaluation exercise, panel members must destroy all information regarding the evaluation exercise, except for the information in the public domain.

4.6 If a panel member engages his/her secretary/administrative assistant in handling the paperwork associated with an evaluation exercise, the panel member is obliged to ensure that the secretary/administrative assistant concerned abides by the above terms of confidentiality and undertakes the duty of confidentiality under the supervision of the panel member. The "Undertaking from Panel Members (For Reference Only)" is attached to **Annex 4.5**.

5. Protection for Panel Members

5.1 Panel members, acting in good faith, shall not be personally liable for any act done or default made by them in an evaluation exercise.

5.2 The EQAA/The HEI intending to form an SFP is required to handle lawfully the personal data of panel members to abide by Law No. 8/2005 of Macao on *Personal Data Protection*.

5.3 Panel members are entitled to privacy protection as provided for under the *Basic Law of the Macao Special Administrative Region of the People's Republic of China* and the basic rights, freedom and protection specified in the existing laws.

Annex 4.1

Code of Conduct for Panel Members

1. Benefits must not be offered to any staff of the EQAA, government departments or the HEI being evaluated for the purpose of engagement as panel members.
2. Panel members must not solicit or accept any benefits and/or hospitality/invitations from the HEI in relation to the evaluation exercise that they are engaged in, especially in the course of, or before the completion of the evaluation exercise.
3. In order to avoid any conflict of interest, panel members should not accept invitations from the HEI, or participate in work for or provide any services for the HEI throughout the period of engagement. To avoid potential/perceived conflict of interest, panel members should communicate with the HEI through the EQAA/the case officer, and must not have direct contact with the HEI.
4. Panel members are engaged in evaluation activities in their personal capacity, not as representatives of their serving HEIs or organizations.
5. Panel members are expected to adopt the following attitudes when conducting evaluation:
    - 5.1 Be impartial;
    - 5.2 Respect academic autonomy;
    - 5.3 Review thoroughly materials from the HEI, including evaluation documents, information and data, etc., to make good preparation for the evaluation exercise that they are engaged in;
    - 5.4 Seek and/or receive further clarifications and information from the HEI through the case officer of the EQAA/the Panel Chair of the SFP in an unbiased manner; information to be required must be kept to a reasonable minimum in order to discharge their roles in the evaluation exercise in a fair and consistent manner without being excessive; request for personal or business information of sensitive nature should be kept to an essential minimum;
    - 5.5 Be punctual and follow the prescribed schedule;
    - 5.6 Adopt an open and supportive attitude to listen to others' opinions with respect and empathy;
    - 5.7 Adopt a sincere and unbiased attitude towards opinion sharing;
    - 5.8 Actively participate in evaluation activities;

5.9 Provide professional advice on the quality of the HEI/the program(s) being evaluated according to relevant evaluation guidelines, this set of guidelines and instructions given by the case officer of the EQAA/the Panel Chair of the SFP and;

5.10 Assume collective responsibility for the Panel's consolidated views and decisions.

Annex 4.2

Potential Situations of Conflict of Interest

1. Below are examples of potential situations of conflict of interest:

   1.1 The panel member is/was serving with/without pay as advisor and/or external examiner of the HEI.

   1.2 The panel member is the current/past member of the governing body (e.g. Council) and/or staff.

   1.3 The panel member is in close association and/or partnership with the HEI, such as being a current/past committee member of the HEI's alumni, engagement in official and/or personal capacity in joint commercial, professional, academic or research activities with the HEI and/or its personnel. HEI personnel in this context generally refer to members of the governing body and/or staff of the HEI.

   1.4 The panel member or his/her immediate family has conflicts with the HEI and/or its personnel in the following matters: pecuniary advantage/benefit/interest, special treatment or hostility, etc.

   1.5 Under generally accepted practices in Macao and worldwide, the panel member with any relatives and/or friends that are in close association with the HEI must warrant declaration to avoid perceived undue influence on the panel member's evaluation judgment on the HEI.

2. When invited to take part in an evaluation exercise, a potential panel member must decline the invitation if s/he knows that there is actual/potential conflict of interest with the HEI, such as intended application for a position in the HEI, or exploration of collaboration opportunities by his/her serving organization with the HEI.

3. The panel member having a close relationship or animosity with the HEI and/or its personnel is another potential situation of conflict of interest.

4. Owing to the rapid change in the definition of conflict of interest over time, the above list is for reference only and not meant to be exhaustive. When determining whether there is an actual or potential situation of conflict of interest, one must exercise reasonable judgment with reference to the prevailing views and practices. For any queries, one should consult DSES via the HEI.

Annex 4.3

To: xxxx (Name of EQAA/Name of HEI forming SFP)

Declaration Form for Conflict of Interest

([Name of HEI] and [Name of Evaluation Exercise])

I have read the annex on "Potential Situations of Conflict of Interest" in the *Guidelines for External Quality Assurance Agencies*. Regarding the aforementioned evaluation exercise, I hereby declare as follows: (Please insert "×" in appropriate checkbox.)

Before the commencement of the evaluation exercise:

☐ I have no actual or potential conflict of interest with the HEI.

☐ I have actual or potential conflict of interest with the HEI and therefore cannot participate in the evaluation exercise.

After the commencement of the evaluation exercise:

☐ There was no actual or potential conflict of interest upon my engagement as external evaluation panel member in the evaluation exercise. However, after the commencement of the evaluation exercise, I noticed the emergence of the following situation that may constitute conflict of interest, and would like to make the following declaration:

_____

_____

_____

_____

_____

_____

_____

_____ _____

Signature by Panel Member Name of Panel Member
(in Block Letters)

_____

Date

Annex 4.4

Terms of Confidentiality

1. All raw information and/or data furnished by the HEI in connection with the evaluation exercise, and/or information, data or materials derived and collected through the evaluation shall be treated as confidential information. Such information shall be used solely for the purpose of the evaluation exercise concerned and shall not be disclosed to any other person, and/or for personal use.
2. The EQAA/SFP, its employees and panel members shall treat all information, data or materials collected from and provided by the HEI for the conduct of the evaluation as confidential information.
3. All records kept and comments made by the EQAA/SFP, its employees and panel members in the course of evaluation shall only be used for the evaluation purpose and shall not be disclosed to any other person.
4. Upon completion of the evaluation exercise, the EQAA/SFP, its employees and panel members must destroy all information relevant to the evaluation exercise, except for the information in the public domain.
5. If a panel member engages his/her secretary/administrative assistant in handling the paperwork associated with an evaluation exercise, the Panel member is obliged to ensure that the secretary/administrative assistant concerned abides by the above terms of confidentiality and undertakes the duty of confidentiality under the supervision of the panel member. The "Undertaking from Panel Members (For Reference Only)" is attached to **Annex 4.5**.

For Reference Only

Annex 4.5

To: xxxx (Name of EQAA/Case Officer and Panel Chair of SFP)

Undertaking from Panel Members

([Name of HEI] and [Name of Evaluation Exercise])

Declaration

I have read the annexes on "External Evaluation Panels' Roles and Responsibilities, Obligations, and Protection" and "Code of Conduct for Panel Members" in the *Guidelines for External Quality Assurance Agencies*. I hereby agree to abide by the terms and details specified therein. Regarding the paperwork involved in the aforementioned evaluation exercise, I hereby declare as follows: (Please insert "×" in appropriate checkbox)

☐ All the paperwork for the aforementioned evaluation exercise shall be handled by myself.

☐ My secretary/administrative assistant* (name:_____) will handle the paperwork of the aforementioned evaluation exercise. S/he has reviewed the annex on "Terms of Confidentiality" in the *Guidelines for External Quality Assurance Agencies*, and agreed to abide by the terms and details specified therein and to undertake the duty of confidentiality under my supervision.

_____	_____
Signature by Panel Member	Signature by Secretary/Administrativ Assistant*
_____	_____
Name in Block Letters	Name in Block Letters
_____	_____
Date	Date

* Please delete as appropriate

Annex 5

Reference for Making Accreditation Judgments and Setting Conditions

1. Accreditation judgments and decisions should be made on the basis of the Panel's holistic observations of the HEI/the program being accredited to make reasonable inferences about the HEI's competence in its operation/delivery of quality programs.
2. For the principles of making judgments on accreditation outcomesm, see **Diagram 1**.

Diagram 1：Principles of Making Judgments on Accreditation Outcomes

Accreditation Outcomes	Meeting accreditation standards as a whole and in individual accreditation areas	Meeting accreditation standards as a whole while not meeting required standards in some criteria of individual accreditation area(s) and the Panel has confidence that the HEI can make remedy within a reasonable timeframe		Identified gaps that are significantly sub-standard	Remedial Actions
		Recommendation(s)	Condition(s)		
Meeting Accreditation Standards	☑	☑ (if applicable)			
Meeting Accreditation Standards with Condition(s)		☑ (if applicable)	☑		
Not Meeting Accreditation Standards		☑		☑	☑

2.1 If the Panel considers that the overall quality of the HEI/the program being accredited meets the required standards, the accreditation outcome granted must be "Meeting Accreditation Standards". If there are still gaps identified in individual accreditation area(s), and these gaps neither make a threat to the holistic performance of the HEI/the program nor cause an immediate and serious impact on the students concerned, the Panel can make recommendations for improvement so that the HEI can review and then follow up on the recommendations. The HEI is required to report progress of the follow-up action in its annual report to DSES.

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

2.2 If deficiencies in individual accreditation area(s) have a relatively far-reaching impact on the operation of the HEI being accredited/the delivery of the program being accredited, and thus remedial action within a specified time frame is a must to ensure that the operation of the HEI/the delivery of the program has no immediate and serious impact on the students concerned, the Panel must set condition(s), the standards for fulfillment of the condition(s) and deadline(s) for fulfillment in the final accreditation report so that the HEI can follow up. The accreditation outcome of such cases should be "Meeting Accreditation Standards with Condition(s)".

When necessary, the Panel can include recommendations for improvement so that the HEI concerned can review and then follow up on the recommendations in cases where identified gaps in any accreditation area(s) neither make a threat to the holistic performance of the HEI/the program nor cause an immediate and serious impact on the students concerned. The HEI is required to report progress of the follow-up action in its annual report to DSES.

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). (Applicable to IA)

2.3 If substandard gaps in any accreditation area(s) have a far-reaching impact on the effectiveness and standards of the HEI/the program being accredited as a whole, and thus these gaps cannot be remedied within a reasonable time frame to meet the requirements of relevant evaluation guidelines, the accreditation outcome should be "Not Meeting Accreditation Standards", and the Panel must provide practicable remedial actions[6] for the HEI concerned for reference.

3. The following are possible situations where conditions or recommendations for improvement are set to individual accreditation areas for IA/PA cases that are determined as "Meeting Accreditation Standards with Condition(s)".

---

[6] For cases granted "Not Meeting Accreditation Standards", the EQAA must explicitly state the justifications and provide feasible recommendations so that the HEIs concerned can achieve betterment to meet the basic standards for relevant accreditation.

* 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).

For Reference Only

Institutional Accreditation

AccreditationAreas	Criteria	Observations	Recommended accreditation decisions (1. conditions; 2. recommendations for improvement)
Institutional Governance and Management	Educational Philosophy and Purposes	Not stating educational philosophy and purposes clearly	**2**
		Different from the mission of the educational entity	**1**
	Governance Structure, Roles and Responsibilities of Various Ranks	Not meeting the required standards	
	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		
Academic Planning, Development, Management and Monitoring	Academic Leadership	Not meeting the required standards	**1**
	Planning and Development, Management and Monitoring of Existing Programs		
	Student Performance		
Financial Management and Resources Deployment	Financial Condition and Budgeting	Not having viable financial condition to ensure the sustainable operation of the HEI and its programs	**1**
		Other financial issues not meeting the required standards	**2**
	Campus Facilities and Equipment	Not meeting the required standards	**1**
	Teaching and/or Research and Practicum Facilities sd well as Support		
	Student Support		
Staffing and Staff Development	Staffing	Not meeting the required standards	**1**
	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)		

Other Accredition Areas and/or Criteria	Not meeting the required standards	**2**
Others (to be specified by Panel members)	To be determined by EQAA	

Program Accreditation

Accreditation Areas	**Not meeting required standards in some criteria of individual accreditation area(s) and the Panel has condifence that the HEI can make remedy within a reasonable timeframe**	
	With Condition(s)	**With Recommendation(s)**
Program	☑	☐
Resources and Support	☑	☐
Quality Assurance of Program	☐	☑

4. The EQAA may take into account the seriousness of the identified gaps or deficiencies, as well as their impact on the students concerned when making accreditation judgments.
5. Commendations should be made in areas where there are good practices, notwithstanding whether the accreditation outcome is "Meeting Accreditation Standards" or "Meeting Accreditation Standards with Condition(s)".
6. For cases granted "Not Meeting Accreditation Standards", the EQAA must explicitly state the justifications and provide the HEI concerned with practicable remedial actions for reference so that the HEIs concerned can achieve betterment to meet the basic standards for relevant accreditation.
7. Refer to the relevant accreditation guidelines for required standards.

For Reference Only

Annex 6.1

Sample Checklist of Documents to be Sent to Observer(s) by EQAA

Serial No.	Documents	Deadline for delivery of documents to Observer(s)	Denoted by ✓
1.	Namelists of Panel, case officer, secretary and staff providing administrative/logistical support	Within 1 week on receipt of the confirmed namelist of observer(s) from DSES	
2.	Evaluation documents prepared by HEI	On sending the documents to the Panel	
3.	Documents showing Panel's request from HEI for further clarification and/or supplementary information	On sending the documents to the HEI	
4.	HEI's written responses and/or supplementary information to Panel	On sending the documents to the Panel	
5.	All requisite documents to be reviewed by Panel during "Panel's Meeting with HEI's Senior Management" (applicable to IQA), "Program Review Meeting" (applicable to PR) and/or site visit* (applicable to accreditation and IQA)	On sending the documents to the Panel	
6.	Minutes of "Exit Meeting" (refer to **Annexes 9.1 – 9.3**)	Within 1 week after the site visit	

* The scope of evaluation service of IA, PA and IQA covers a site visit, whereas PR is, in general, conducted using a paper-based review. Whether a site visit is necessary depends on the Panel's decision-making by taking into consideration the institutional quality level/the quality level of the programs reflected in the documents provided by the HEIs concerned, the quality level of the evaluation at Program Evaluation Level that HEIs concerned have ever conducted (if applicable), teaching and other facilities and equipment that are required to meet the specialities of the programs being reviewed, etc.

For Reference Only

Annex 6.2

Sample Checklist of Documents to be Sent to DSES by EQAA

Serial No.	Documents	Deadline for delivery of documents to DSES	Denoted by ✓
1.	Namelists of case officer, secretary and staff providing administrative/logistical support, their division of labor as well as contact means	Within 1 week on receipt of the confirmed namelist of observer(s) from DSES	
2.	Panel's curricula vitae, "Checklist of Panel Competencies (For Reference Only)" (refer to **Annex 3.2**) and "Panel Composition Analysis Checklist" (see **Annex 3.3** and **Annex 3.4**)	Within 1 week after the confirmation of the panel membership list	

For Reference Only

Annex 7.1

Sample Checklist of Documents to be Provided for Panel Members Before Site Visit

Serial No.	Documents	Denoted by ✓
1.	Relevant set(s) of evaluation guidelines	
2.	Evaluation documents prepared by HEI	
3.	Reference information on HEI's evaluation experiences (if applicable)	
4.	Panel's collective comments to HEI and HEI's written responses	
5.	Initial analysis of information and background information (see paragraph 4.1.1 of **Annex 1**)	
6.	Site visit program and agenda issues	
7.	Agenda for "Pre-visit Meeting" (refer to **Annex 7.2**)	
8.	Others (please specify)	

For Reference Only

Annex 7.2

XXXX (Name of Evaluation Exercise) –
Sample Agenda for "Pre-visit Meeting"

Date：_____ (DD/MM/YYYY)

Time：_____ to _____

Venue：_____

1. Background information on evaluation and brief notes on the evaluation exercise in hand, including the background information of the HEI/the program being evaluated and the performance outcomes of the HEI's past quality assurance activities
2. Laws and regulations related to higher education of Macao, requirements for industry/professional practices, and evaluation requirements
3. Introduction to the type of evaluation, relevant evaluation areas, standards/requirements, criteria, process (including revisions approved by DSES, if applicable) and judgment principles
4. Roles and responsibilities of panel members
5. Stocktaking of documents for panel members:
   - 5.1 Evaluation document prepared by the HEI
   - 5.2 Panel's collective comments to the HEI and the HEI's written responses
   - 5.3 Initial analysis of information
6. Panel's discussion on the evaluation document, written responses and/or supplementary information presented by the HEI
7. Site visit arrangements and program
8. Agendas for meetings during the site visit and division of labor during the site visit
9. Arrangement of translation and/or simultaneous interpretation services (if applicable)
10. Any other business (if any)

For Reference Only

Annex 8.1

Institutional Accreditation –
for Comments on Accreditation Document by Panel Members

Panel members' comments will be consolidated into the Panel's collective comments/views for passing on to the HEI for its response.

Type of Accreditation: **Institutional Accreditation**

Name of HEI: (to be completed by EQAA)

Scope of Accreditation Service: (Please insert "×" in appropriate checkboxes.)

☐ Whole Institution OR

☐ Individual Academic Unit(s) / Dsicipline(s), and Academic Level(s)

Name of Academic Unit(s) / Dsicipline(s) / Academic Level(s)	(Please specify)	(Please specify)	(Please Specify)
Bachelor	☐	☐	☐
Master	☐	☐	☐
Doctor	☐	☐	☐

Accreditation Areas	For completion by Panel members (Please mark "N/A" where further clarification/information is deemed unnecessary)		
	Source of information (e.g. Section x on Page x of Accreditation Document)	**Areas for clarification**	**Further information required**
I – 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			
II – 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			
III – 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			

Accreditation Areas	For completion by panel members (Please mark "N/A" where further clarification/information is deemed unnecessary)		
	Source of information (e.g. Section x on Page x of Accreditation Document)	**Areas for clarification**	**Further information required**
IV – 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)			
V – Quality Assurance			
Quality Management Mechanism and Performance Indicators			
Communication and Implementation Mechanism			
Others (to be specified by Panel members)			

_____ _____

Signature by Panel Member

Name of Panel Member
（in Block Letters）

_____

Date (DD/MM/YYYY)

For Reference Only

Annex 8.2

Program Accreditation –
for Comments on Accreditation Document by Panel Members

Panel members' comments will be consolidated into the Panel's collective comments/views for passing on to the HEI for its response.

Type of Accreditation:	**Program Accreditation**
Name of HEI:	(to be completed by EQAA)
Academic Unit(s):	(to be completed by EQAA)
Name of Program:	(to be completed by EQAA)
Specialization/Major and/or Minor (if applicable):	(to be completed by EQAA)
Study Regime:	(to be completed by EQAA)
Mode of Delivery:	(to be completed by EQAA)
Medium of Instruction:	(to be completed by EQAA)
Duration:	(to be completed by EQAA)
Number of Credits:	(to be completed by EQAA)
Commencing Year:	(to be completed by EQAA)
Maximum Intake:	(to be completed by EQAA)

Accreditation Areas	For completion by Panel members (Please mark "N/A" where further clarification/information is deemed unnecessary)		
	Source of information (e.g. Section x on Page x of Accreditation Document)	**Areas for clarification**	**Further information required**
I – Program			
Program Objectives and Intended Learning Outcomes			
Admission Requirements and Selection Process			
Program Structure and Content			
Teaching and Learning			
Assessment			
II – Resources and Support			
Academic Leadership, and Teaching and/or Research Team			
Learning Environment, Resources and Support			
III – Quality Assurance of Program			
Program Development, Management, Monitoring and Review			
Partner Selection, Management, Monitoring and Review (if applicable)			
Others (to be specified by Panel members)			

_____ _____

Signature by Panel Member

Name of Panel Member
(in Block Letters)

_____

Date (DD/MM/YYYY)

For Reference Only **Annex 8.3**

Institutional Accreditation –
for Site Visit Observations by Panel Members

Panel members' comments will be consolidated into the Panel's collective comments/views for a report write-up.

Type of Accreditation: **Institutional Accreditation**

Name of HEI: (to be completed by EQAA)

Scope of Accreditation Service: (Please insert "×" in appropriate checkboxes.)

☐ Whole Institution OR

☐ Individual Academic Unit(s) / Dsicipline(s), and Academic Level(s)

Name of Academic Unit(s) / Dsicipline(s) / Academic Level(s)	(Please specify)	(Please specify)	(Please Specify)
Bachelor	☐	☐	☐
Master	☐	☐	☐
Doctor	☐	☐	☐

Accreditation Areas	Observations	Judgments			Sources of evidence
		Gaps/Areas not meeting standards	Recommendations for improvement	Good Practices	
I – 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					
II – 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					
III – 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					

Accreditation Areas	Observations	Judgments			Sources of evidence
		Gaps/Areas not meeting standards	Recommendations for improvement	Good practices	
IV – 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)					
V – Quality Assurance					
Quality Management Mechanism and Performance Indicators					
Communication and Implementation Mechanism					
Others (to be specified by Panel members)					

_____ _____

Signature by Panel Member

Name of Panel Member
(in Block Letters)

_____

Date (DD/MM/YYYY)

For Reference Only

Annex 8.4

Program Accreditation – for Site Visit Observations by Panel Members

Panel members' comments will be consolidated into the Panel's collective comments/views for a report write-up.

Type of Accreditation:	**Program Accreditation**
Name of HEI:	(to be completed by EQAA)
Academic Unit(s):	(to be completed by EQAA)
Name of Program:	(to be completed by EQAA)
Specialization/Major and/or Minor (if applicable):	(to be completed by EQAA)
Study Regime:	(to be completed by EQAA)
Mode of Delivery:	(to be completed by EQAA)
Medium of Instruction:	(to be completed by EQAA)
Duration:	(to be completed by EQAA)
Number of Credits:	(to be completed by EQAA)
Commencing Year:	(to be completed by EQAA)
Maximum Intake:	(to be completed by EQAA)

Accreditation Areas	Observations	Judgments			Sources of evidence
		Gaps/Areas not meeting standards	Recommendations for improvement	Good practices	
I – Program					
Program Objectives and Intended Learning Outcomes					
Admission Requirements and Selection Process					
Program Structure and Content					
Teaching and Learning					
Assessment					
II – Resources and Support					
Academic Leadership, and Teaching and/or Research Team					
Learning Environment, Resources and Support					
III – Quality Assurance of Program					
Program Development, Management, Monitoring and Review					
Partner Selection, Management, Monitoring and Review (if applicable)					
Others (to be specified by Panel members)					

_____ _____

Signature by Panel Member

Name of Panel Member
(in Block Letters)

_____

Date (DD/MM/YYYY)

For Reference Only

Annex 8.5

Institutional Accreditation – Consolidated Observations by Panel for Preparation of "Exit Meeting"

Type of Accreditation: **Institutional Accreditation**

Name of HEI: (to be completed by EQAA)

Scope of Accreditation Service: (Please insert "×" in appropriate checkboxes.)

☐ Whole Institution OR

☐ Individual Academic Unit(s) / Dsicipline(s), and Academic Level(s)

Name of Academic Unit(s) / Dsicipline(s) / Academic Level(s)	(Please specify)	(Please specify)	(Please Specify)
Bachelor	☐	☐	☐
Master	☐	☐	☐
Doctor	☐	☐	☐

Accreditation Outcome:

☐ **Meeting Accreditation Standards**

☐ **Meeting Accreditation Standards with Condition(s)**

☐ **Not Meeting Accreditation Standards**

Accreditation Areas	Overall Observations of Panel	Overall Judgments of Panel			Sources of evidence	Conditions (for cases meeting accreditation standards with condition(s))	Conflicting views of Panel members as follows
		Gaps/Areas not meeting standards	Recommendations for improvement	Good practices			
I – 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							
II – 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							
III – 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							

Accreditation Areas	Overall Observations of Panel	Overall Judgments of Panel			Sources of evidence	Conditions (for cases meeting accreditation standards with condition(s))	Conflicting views of panel members as follows
		Gaps/Areas not meeting standards	Recommendations for improvement	Good practices			
IV – 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)							
V – Quality Assurance							
Quality Management Mechanism and Performance Indicators							
Communication and Implementation Mechanism							
Others (to be specified by Panel members)							

For Reference Only

Annex 8.6

Program Accreditation – Consolidated Observations by Panel for Preparation of "Exit Meeting"

Type of Accreditation:	**Program Accreditation**
Name of HEI:	(to be completed by EQAA)
Academic Unit(s):	(to be completed by EQAA)
Name of Program:	(to be completed by EQAA)
Specialization/Major and/or Minor (if applicable):	(to be completed by EQAA)
Study Regime:	(to be completed by EQAA)
Mode of Delivery:	(to be completed by EQAA)
Medium of Instruction:	(to be completed by EQAA)
Duration:	(to be completed by EQAA)
Number of Credits:	(to be completed by EQAA)
Commencing Year:	(to be completed by EQAA)
Maximum Intake:	(to be completed by EQAA)

Accreditation Outcome:

☐ **Meeting Accreditation Standards**

☐ **Meeting Accreditation Standards with Condition(s)**

☐ **Not Meeting Accreditation Standards**

Accreditation Areas	Overall Observations of Panel	Overall Judgments of Panel			Sources of evidence	Conditions (for cases meeting accreditation standards with condition(s))	Conflicting views of Panel members as follows
		Gaps/Areas not meeting standards	Recommendations for improvement	Good practices			
I – Program							
Program Objectives and Intended Learning Outcomes							
Admission Requirements and Selection Process							
Program Structure and Content							
Teaching and Learning							
Assessment							
II – Resources and Support							
Academic Leadership, and Teaching and/or Research Team							
Learning Environment, Resources and Support							
III – Quality Assurance of Program							
Program Development, Management, Monitoring and Review							
Partner Selection, Management, Monitoring and Review (if applicable)							
Others (to be specified by Panel members)							

For Reference Only

Annex 9.1

Institutional Accreditation – Outline of "Exit Meeting"

1. Acknowledgments from the EQAA to the HEI being evaluated and the participants of the meeting

2. A conclusive summary of the Panel's key observations and the IA outcomes given by a representative from the EQAA (normally the Panel Chair)

   2.1 Accreditation areas (discipline(s)/academic unit(s), and academic level(s))

   2.2 IA outcomes and justifications

IA Outcomes (Choose 1 out of 3)	**IA Decisions**	**Justifications and Overall Observations**
Meeting Accreditation Standards	- Applicable discipline(s)/academic unit(s), and academic level(s); and/or restrictions* (if applicable)	- good practices - identified gaps
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)	- good practices - deficiencies
Not Meeting Accreditation Standards	- Not applicable	- substandard gaps with redemial actions for reference

   2.3 Other key observations

* 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).

3. A summary of follow-up actions taken by the Panel and the HEI

3.1 Indicative date for the dispatch of the minutes of the "Exit Meeting" to the HEI

3.2 Coverage of the accredition report: accreditation outcome and respective decisions with evidence to demonstrate the Panel's observations, judgments and recommendations

3.3 Indicative date for the dispatch of the draft IA report to the HEI and indicative deadline for the HEI's comments on the draft report

3.4 Indicative deadline for the HEI's presentation of evidence for its fulfillment of condition(s) in cases where the HEI is accredited with condition(s)

Note: The EQAA may consider inviting the HEI to make closing remarks.

For Reference Only

Annex 9.2

Program Accreditation – Outline of "Exit Meeting"

1. Acknowledgments from the EQAA to the HEI being evaluated and the participants of the meeting

2. A conclusive summary of the Panel's key observations and the PA outcomes given by a representative from the EQAA (normally the Panel Chair)

   2.1 PA outcomes and justifications

PA Outcomes (Choose 1 out of 3)	**PA Decisions**	**Justifications and Overall Observations**
Meeting Accreditation Standards	- Name of Program - Discipline - Host Academic Unit (if applicable) - Specialization or Major and/or Minor (if applicable) - Maximum Intake - Study Regime (e.g. full-time, part-time) - Mode of Delivery (e.g. lecturing, online learning, distance learning) - Number of Credits (if applicable)	- good practices - identified gaps
Meeting Accreditation Standards with Condition(s)	- Condition(s), Standards for Fulfillment of Condition(s) and Deadline(s) for Fulfillment (normally not more than 12 months) - Name of Program - Discipline - Host Academic Unit (if applicable) - Specialization or Major and/or Minor (if applicable) - Maximum Intake - Study Regime (e.g.	- good practices - deficiencies

	full-time, part-time) - Mode of Delivery (e.g. lecturing, online learning, distance learning) - Number of Credits (if applicable)	
Not Meeting Accreditation Standards	- Not Applicable	- substandard gaps with redemial actions for reference

2.2 Other key observations

3. A summary of follow-up actions taken by the Panel and the HEI

3.1 Indicative date for the dispatch of the minutes of the "Exit Meeting" to the HEI

3.2 Coverage of the accredition report: accreditation outcome and respective decisions with evidence to demonstrate the Panel's observations, judgments and recommendations

3.3 Indicative date for the dispatch of the draft PA report to the HEI and indicative deadline for the HEI's comments on the draft report

3.4 Indicative deadline for the HEI's presentation of evidence for its fulfillment of condition(s) in cases where the program is accredited with condition(s)

Note: The EQAA may consider inviting the HEI to make closing remarks.

For Reference Only

Annex 9.3

Institutional Quality Audit – Outline of "Exit Meeting"

1. Acknowledgments from the EQAA/SFP to the HEI being evaluated and the participants of the meeting
2. A conclusive summary of the Panel's key observations and the IQA outcomes given by a representative from the EQAA/SFP (normally the Panel Chair)
   - 2.1 IQA outcomes and justifications
     - 2.1.1 Commendations: Good practices that can be for reference by other HEIs
     - 2.1.2 Affirmations: In the self-evaluation document (SED), the HEI identifies areas where there are gaps and proposes a practicable improvement plan with a timetable. During the IQA exercise, the Panel analyses that proposal and produces an affirmation, which may contain proposals for changes.
     - 2.1.3 Recommendations: The Panel may identify additional gaps not listed in the SED and propose remedial actions.
   - 2.2 Other key observations
3. A summary of follow-up actions taken by the Panel and the HEI
   - 3.1 Indicative date for the dispatch of the minutes of the "Exit Meeting" to the HEI
   - 3.2 Indicative date for the dispatch of the draft IQA report to the HEI and indicative deadline for the HEI's comments on the draft report
   - 3.3 Indicative deadline for the HEI's formulation of an action plan to address the recommendation(s) on the final IQA report

Note:

1. The EQAA may consider inviting the HEI to make closing remarks.
2. This annex is applicable to PR exercises with the site visit.

Annex 10.1

Institutional Accreditation Report Template

Cover Page

- Name of HEI
- **Institutional Accreditation**
- Date for Site Visit (Year and Month)
- Name of EQAA
- Issue Date of Document

Content

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

Executive Summary

1. Institutional Accreditation
2. Approach (including panel members engaged and date for site visit)
3. Special circumstances (e.g. whether approval has been given by DSES for changes to be made to areas, standards, criteria and process, etc. of the accreditation exercise)
4. Accreditation outcome and respective decisions
5. Good practices
6. Recommendations for improvement
7. Panel's professional advice on the approved scope(s) for the HEI granted the status to self-regulate and offer new programs (i.e. discipline(s), academic unit(s) and academic level(s))

Main Text of Document

For each of the accreditation areas, provide information in the following order:

Heading: Each IA area (e.g. Institutional Governance and Management)

- Standards
  - Criterion 1 (e.g. Educational Philosophy and Purposes)
    - ☐ Overall observations and judgment made by the Panel (including areas that have fallen below the required standards, recommendations for improvement and good practices) and sources of evidence
    - ☐ Condition(s) and fulfillment requirements and deadline(s) (if applicable)

- Criterion 2 (e.g. Educational Experience)
  - ☐ Overall observations and judgment made by the Panel (including areas that have fallen below the required standards, recommendations for improvement and good practices) and sources of evidence
  - ☐ Condition(s) and fulfillment requirements and deadline(s) (if applicable)

....

Conclusion

- Overall observations of and judgment on the HEI being accredited made by the Panel/EQAA
- IA outcome and respective decisions

Annex

- Panel membership list
- Date for site visit
- Revised IA areas, standards, criteria, process and judgment principles (only applicable to revisions approved by DSES with reasons stated)
- Others (if any)

Annex 10.2

Program Accreditation Report Template

Cover Page

- Name of HEI
- **Program Accreditation**
- Name of Program
- Date for Site Visit (Year and Month)
- Name of EQAA
- Issue Date of Document

Content

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

Executive Summary

1. Name of Program being accredited
2. Approach (including Panel members engaged and date for site visit)
3. Special circumstances (e.g. whether approval has been given by DSES for changes to be made to areas, standards, criteria and process, etc. of the accreditation)
4. PA outcome and respective decisions
5. Good practices
6. Recommendations for improvement
7. Basic information of the Program
    - Name of HEI
    - Host Academic Unit
    - Name of Program
    - Academic Level
    - Discipline
    - Credit (if applicable)
    - Specialization or Major and/or Minor (if applicable)
    - Major Mode of Delivery
    - Major Medium of Instruction
    - Commencing Year
    - Maximum Intake
    - Campus Address
    - Major Teaching Venue (if outside campus)

- Other Information (if any)

Main Text of Document

For each of the accreditation areas, provide information in the following order:

Heading: Each PA area (e.g. Program)

- Standards
  - Criterion 1 (e.g. Program Objectives and Intended Learning Outcomes)
    - ☐ Overall observations and judgment made by the Panel (including areas that have fallen below the required standards, recommendations for improvement and good practices) and sources of evidence
    - ☐ Condition(s) and fulfillment requirements and deadline(s) (if applicable)
  - Criterion 2 (e.g. Program Structure and Content)
    - ☐ Overall observations and judgment made by the Panel (including areas that have fallen below the required standards, recommendations for improvement and good practices) and sources of evidence
    - ☐ Condition(s) and fulfillment requirements and deadline(s) (if applicable)

....

Conclusion

- Overall observations and judgment of the program being accredited made by the Panel/EQAA
- PA outcome and respective decisions

Annex

- Panel membership list
- Date for site visit
- Revised PA areas, standards, criteria, process and judgment principles (only applicable to revisions approved by DSES with reasons stated)
- Others (if any)

Annex 10.3

Institutional Quality Audit Report Template

Cover Page

- Name of HEI
- **Institutional Quality Audit**
- Date for Site Visit (Year and Month)
- Name of EQAA (State clearly if the executing party is an SFP)
- Issue Date of Document

Content

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

Executive Summary

1. Focus of Institutional Quality Audit
2. Discipline(s)/Academic Unit(s)/Program(s) examined in detail
3. Approach (including whether SFP is formed, Panel members engaged, site visit date, etc.)
4. Special circumstances (e.g. whether approval has been given by DSES to revise the areas, criteria, requirements and process, etc. of the IQA exercise) ***(Not applicable to IQA exercises excuted by SFPs)***
5. Commendations (Good practices)
6. Affirmations (In the SED, the HEI identifies areas where there are gaps and proposes a practicable improvement plan with a timetable for the Panel to affirm during the IQA exercise.)
7. Recommendations (The Panel may identify additional gaps not listed in the SED and propose remedial actions.)

Main Text of Document

For each of the IQA areas, provide information in the following order:

Heading: Each IQA area (e.g. Quality Assurance)

- Criterion 1 (e.g. Efficiency and Effectiveness of Institutional Operation)
  Overall observations and judgment made by the Panel (including commendations, affirmations and/or recommendations) and sources of evidence
- Criterion 2 (e.g. Efficiency and Effectiveness of Academic Planning, Management and Development)
  Overall observations and judgment made by the Panel (including commendations, affirmations and/or recommendations) and sources of evidence

....

Conclusion

- Overall observations of and judgment on the HEI and its specific discipline(s)/academic units(s)/program(s) examined in detail by the Panel
- Commendations
- Recommendations
- Affirmations

Annex

- Panel membership list
- Date for site visit (year and month)
- Revised IQA areas, requirements, criteria and process (only applicable to revisions approved by DSES with reasons stated)
- Others (if any)

Annex 10.4

Program Review Report Template

Cover Page

- Name of HEI
- **Program Review**
- Name of Program
  - If a cluster of programs is involved in one PR exercise, please list out the other programs within the cluster.
- Date for Site Visit (Year and Month) (if applicable)
- Name of EQAA
- Issue Date of Document

Content

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

Executive Summary

1. Name of Program (The EQAA should prepare a separate PR report for each program, except for special circumstances, if the PR is conducted in the form of cluster.)
2. Approach
   2.1 Paper-based review
   2.2 Meetings/interviews with program leader(s) and/or relevant stakeholders (if any)
   2.3 Site visit (if any)
3. Commendations (Good practices)
4. Affirmations (In the SED, the HEI identifies areas where there are gaps and proposes a practicable improvement plan with a timetable for the Panel to affirm during the IQA exercise.)
5. Recommendations (The Panel may identify additional gaps not listed in the SED and propose remedial actions.)
6. Basic information of the Program
   - Name of HEI
   - Host Academic Unit
   - Name of Program
   - Academic Level

- Discipline
- Number of Credits (if applicable)
- Specialization or Major and/or Minor (if applicable)
- Major Mode of Delivery
- Major Medium of Instruction
- Commencing Year
- Maximum Intake
- Campus Address
- Major Teaching Venue (if outside campus)
- Other Information (if any)

Main Text of Document

For each of the PR areas, provide information in the following order:

Heading: Each PR area (e.g. Program)

- Criterion 1 (e.g. Efficiency and Effectiveness of Institutional Operation)
  Overall observations and judgment made by the Panel (including commendations, affirmations and/or recommendations) and sources of evidence
- Criterion 2 (e.g. Efficiency and Effectiveness of Academic Planning, Management and Development)
  Overall observations and judgment made by the Panel (including commendations, affirmations and/or recommendations) and sources of evidence

Conclusion

- Overall observations of and judgment on the program being evaluated by the Panel/EQAA
- Commendations
- Affirmations
- Reccomendations

Annex

- Panel membership list
- Agendas for meetings/interviews with program leader(s) and/or relevant stakeholders (if any)
- Date and arrangements for the site visit (if any)
- Others (if any)

For Reference Only

Annex 11.1

Applicable to IA

Template of
Statement Confirming Fulfillment of Condition(s)

Our organization has been commissioned by [Name of HEI] to conduct **Institutional Accreditation**. Based on the overall judgement made by the Panel, we now confirm information as follows:

<table>
<tr><td>Name of HEI</td><td></td></tr>
<tr><td>Scope of Accreditation Service
(Please insert "×" in appropriate checkboxes.)</td><td>☐ Whole Institution OR
☐ Individual Academic Unit(s)/Dsicipline(s), and Academic Level(s)

<table>
<tr><th>Name of Academic Unit(s)/ Dsicipline(s) / Academic Level(s)</th><th>(Please specify)</th><th>(Please specify)</th><th>(Please Specify)</th></tr>
<tr><td>Bachelor</td><td>☐</td><td>☐</td><td>☐</td></tr>
<tr><td>Master</td><td>☐</td><td>☐</td><td>☐</td></tr>
<tr><td>Doctor</td><td>☐</td><td>☐</td><td>☐</td></tr>
</table>
</td></tr>
<tr><td>Issue Date of Accreditation Report</td><td>_____ (DD/MM/YYYY)</td></tr>
<tr><td>Accreditation Outcome</td><td>Meeting Accreditation Standards with Condition(s)
(Successfully fulfilling condition(s) by <u>Date: DD/MM/YYYY</u>).
See attachments* for details.)</td></tr>
</table>

* Revelant solid empirical data must be attached to this Statement to form the basis of evidence for successful fulfillment of condition(s).

_____ _____

Name of EQAA Stamp of EQAA

_____

Issue Date (DD/MM/YYYY)

For Reference Only

Annex 11.2

Applicable to PA

Template of
Statement Confirming Fulfillment of Condition(s)

Our organization has been commissioned by [Name of HEI] to conduct **Program Accreditation**. Based on the overall judgement made by the Panel, we now confirm information as follows:

Name of HEI	
Name of Program and its Basic Information	Name of Program:_____ Host Academic Unit: _____ Discipline: _____ Academic Level: ☐ Bachelor ☐ Master ☐ Doctor Study Regime: ☐ Full-time (Day Program/Evening Program) ☐ Part-time ☐ Others (Please specify: _____) Mode of Delivery: ☐ Lecturing ☐ Online learning ☐ Distance learning ☐ Others (Please specify: _____) Number of Credits (if applicable): _____
Issue Date of Accreditation Report	_____ (DD/MM/YYYY)
Accreditation Outcome	**Meeting Accreditation Standards with Condition(s)** **(Successfully fulfilling condition(s) by Date: DD/MM/YYYY).** **See attachments* for details.)**

* Revelant solid empirical data must be attached to this Statement to form the basis of evidence for successful fulfillment of condition(s).

_____ _____

Name of EQAA Stamp of EQAA

_____

Issue Date (DD/MM/YYYY)

Glossary

(In alphabetical order)

Academic Unit	It refers to an academic-related unit within a higher education institution, such as Faculty.
Accreditation Document (Application to IA and PA)	It is the document provided by the HEI for review by the EQAA when conducting IA/PA; it is to be prepared in a self-evaluative manner. The IA/PA document must elaborate the HEI's educational outcomes/the intended program effectiveness for new programs or operational effectiveness for existing programs with intended substantial changes 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 outcome is detailed in the accreditation report.
Accreditation Report	It is the final report submitted to the HEI concerned by the EQAA after the site visit of an accredition exercise. The accreditation report covers the EQAA's observations, judgements and respective justifications made on the standards of the HEI/the program being accredited according to the different accreditation areas, leading to the concluding accreditation outcome and respective decisions.
ADRI Model (Applicable to IQA and PR)	The ADRI model applicable to IQA/PR is a model that aims to sustain quality enhancement. It is a comprehensive approach of evaluating management performance and academic levels of HEIs/academic levels and performance of programs. Based on HEIs' educational purposes/program obejctives, this model reviews the following: approach of implementing the stated educational purposes/program objectives (**A**pproach), deployment of the implementation plan (**D**eployment), results of deployment (**R**esults) and action plan for improvement (**I**mprovement).
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 accredited and the Panel. In the case of SFPs, the case officer can be a panel member or any other person appointed by the Panel and must also assume the role of the EQAA.

Consistent	It is one of the judgment principles of IQA to evaluate the performance of the HEI being audited on whether the HEI's internal QA mechanism, and its governance and management are implemented in a consistent manner to ensure fairness. There must be sound justifications for any variation or deviation from established policies as well as practices, and such considerations must be well documented for record and review purposes.
Discipline	A discipline 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).
Evaluation Guidelines	These are documents stipulating the terms for various types of evaluation under the higher education quality evaluation system for use by HEIs and EQAAs/SFPs.
Evaluation Judgment	Evaluation judgments refer to evidence-based inferences made in accordance with the evaluation areas, standards/requirements and criteria specified in respective sets of evaluation guidelines.
Evaluation Service Agreement	It is a legal document signed between the HEI and the EQAA, covering the type of evaluation, scope and terms of evaluation service, evaluation expenses, etc. and detailing roles and responsibilities, and code of conduct of both parties, etc.
Evidence-based	This is one of the guiding principles of the higher education quality evaluation of Macao, under which judgment is made on the basis of evidence (including the evaluation documents provided by HEIs, the solid empirical data collected by engaged EQAAs/SFPs as well as the observations made by the Panel during the site visit) to ensure objectivity, fairness and consistency.
External Evaluation Panel (Panel)	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 respective sets of evaluation guidelines by making judgments and recommendations on the standards of the HEI and/or the academic level of its program(s). The Panel executing IA, PA and PR is formed and supported by the EQAA while the Panel conducting IQA can be either formed by the EQAA or self-formed by the HEI. However, SFPs are not applicable to the first evaluation cycle.

External Quality Assurance Agency (EQAA)	EQAAs are quality assurance bodies/organizations that provide evaluation services for HEIs. Such bodies/organizations must meet the requirements specified in Chapter 1 of Section A in this set of Guidelines and be approved by DSES before providing specified evaluation services for relevant HEIs.
Fit-for-purpose	This is one of the guiding principles of the higher education quality evaluation of Macao. Refer to the respective evaluation guidelines for its definition.
Institutional Quality Audit (IQA) Report	It is the final report sent by the EQAA/SFP to the HEI being audited after the site visit for IQA. The IQA report covers the EQAA's observations, judgments and respective justifications made on the effectiveness of the HEI's fulfillment of its stated educational purposes and goals according to the different IQA areas, leading to the concluding IQA outcome.
Learning Organization	This is one of the judgment principles of IQA to evaluate the performance of the HEI being audited, according to which an HEI possessing self-reflection, critical thinking, a high level of autonomy, perseverance to strive for the best performance, professionalism and academic leadership is a learning organization.
Meetings/Interviews with Program Leader(s) and/or Relevant Stakeholders (Applicable to PR)	During the "Program Review Meeting", the Panel, based on the actual situations of the program/the cluster of programs being reviewed, decides whether it is necessary for them to have meetings or interviews with related program leader(s) and/or relevant stakeholders. If yes, the HEI concerned can arrange the Panel to meet with relevant internal and external stakeholders, including program leader(s), discipline leader(s), staff, students, alumni, employers of alumni, etc. for triangulation. Since panel members may be located in various parts of the world, when making the arrangements of these meetings/interviews, the EQAA and the HEI can take into consideration the most cost-effective means, such as video-conferencing, informal site visits conducted by individual panel members, etc.

Peer Review	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 relevant background and experience for the evaluation exercise in hand. Peer experts include institutional leaders with governance and management experience as well as scholars leading relevant academic development and/or instructors of relevant programs/courses, academic experts who understand the education and cultural contexts of Macao, etc., and professionals from relevant industries.
Panel's Meeting with HEI's Senior Management (Applicable to IQA)	This is the meeting between the Panel and the HEI's senior management within 4 to 6 weeks upon receipt of the self-evaluation document from the HEI. The purpose of this Meeting is to enable the Panel to gain a better understanding of the HEI's educational purposes and goals, its current operation and the proposed discipline(s)/academic unit(s)/program(s) for detailed examination so as to map out the strategies for the site visit according to the guiding principles of IQA and/or to modify the discipline(s)/academic unit(s)/program(s) for detailed examination to be held during the site visit after negotiation with the HEI.
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 evaluation subject (the HEI/the program), 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.
Program Review Meeting (Applicable to PR)	This is the Panel's internal meeting to review the self-evaluation document within 4 to 6 weeks upon receipt of the document from the HEI so that the Panel can gain a better understanding of the program/the cluster of programs being reviewed so as to make PR judgments, including whether the following follow-up actions are necessary: 1. a request for clarification and/or supplementary information from HEI; and/or 2. meetings/interviews with program leader(s) and/or relevant stakeholders; and/or 3. a site visit.

Program Review Report	It is the final report on the program/the cluster of programs being reviewed sent by the EQAA to the HEI concerned. The PR report covers the EQAA's observations, judgments and respective justifications according to the different PR areas, leading to the concluding PR outcome.
Prudent	It is one of the judgment principles of IQA to evaluate the performance of the HEI being audited. When having decision-making, HEIs must adopt the same principle to ensure that they make reasonable judgments on the basis of strong evidence.
Quality Assurance Requirements of Macao	The QA requirements of Macao refer to the compliance with Law No. 10/2017 on *Higher Education Regime* 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.
Scope of Evaluation Service	It is part of the evaluation service agreement, stating explicitly the evaluation service involved and the information of the evaluation subject (refer to **Annexes 2.1 – 2.4**).
Self-evaluation Document (Applicable to IQA and PR)	It is the document provided by the HEI for review by the EQAA/SFP (only applicable to IQA) when conducting IQA/PR; it is to be prepared in a self-evaluative manner. The SED must demonstrate how the HEI, based on the "fit-for-purpose" guiding principle, ensures that its academic and/or scientific research activities meet its educational purposes and goals (applicable to IQA) or how the HEI improves its programs academically and continuously enhances its program quality (applicable to PR), with reference to the differernt IQA/PR areas, and the elaboration must be supported with relevant documentary evidence and data.
Self-formed External Evaluation Panel (SFP)	The SFP is the Panel self-formed by the HEI being audited to conduct IQA. Its composition has to be approved by DSES. However, SFPs are not applicable to the first evaluation cycle.
Site Visit	It is the Panel's visit to the campus of the HEI being evaluated 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/program objectives, as well as their operations and levels.
Staff	This term refers to teachers and other staff of HEIs.

Student-centered	This is one of the guiding principles of the higher education quality evaluation of Macao, as well as one of the judgment principles of IQA to evaluate the performance of the HEI being audited – whether the HEI adopts student-centeredness as its core philosophy of education and provides favorable and quality learning environment and learning experience for students to attain the intended learning outcomes upon completion of the programs under reasonable circumstances.
Terms of Confidentiality	The terms of confidentiality refer to the code of conduct that the EQAA, the Panel and any other personnel involved in the evaluation exercise have to comply with. Details are in **Annex 4.4**.
Transparent	This is one of the judgment principles of IQA to evaluate the performance of the HEI being audited, including considerations for whether information gathered by the HEI (such as suggestions and feedback from academic peers and industry experts, comparability study of HEIs of similar nature/disciplines/academic units/programs, and any other useful information that may have an impact on the academic levels and the institutional performance) is properly recorded for internal and external evaluation and for development, review and improvement purposes; whether there are sound justifications for all decisions, including any variation or deviation from practices and whether such considerations are well documented for record and review purposes; and whether the HEI has a policy on disclosure of information and an open platform to collect ideas and encourage participation in school management to enable stakeholders (i.e. the governing board, management level, staff, students and the society, etc.) to reach a consensus through their understanding of and their support for the institutional development policies and implementation.
Types of Evaluation	There are four types of evaluation under the higher education quality evaluation system of Macao: Institutional Accreditation (IA), Program Accreditation (PA), Institutional Quality Audit (IQA) and Program Review (PR).

Valid	This is one of the judgment principles of IQA to evaluate the performance of HEIs. The HEI being audited must demonstrate that it has set up its internal QA mechanism, formulated implementation strategies and approaches, and adopted performance indicators and academic levels, based on sound and valid justifications in line with Law No. 10/2017 on *Higher Education Regime* and related administrative regulations of Macao, with reference to the good practices of HEIs of similar nature, as well as international practices, etc