Procedure for Self-Assessment and Internal Evaluation at the Institutional Level of the University of Information Technology

Issued under the authority of Decision No. 294/QĐ-ĐHCNTT, dated May,22nd 2019, by the President of the University of Information Technology

I. Purpose of Self-Assessment and Internal Evaluation

1. Self-assessment (SA) and internal evaluation (IE) are crucial steps in ensuring quality (EQ) and building a quality culture within the university.

2. They help the university to self-examine, review, and evaluate the current situation; develop and implement action plans to improve and enhance the quality of education; and thereby adjust goals for the next phase to a higher level.

3. They demonstrate the university's autonomy and accountability in all training activities, scientific research, and community service, according to its assigned functions and tasks, in line with the university's mission and goals.

4. The results of self-assessment and internal evaluation are a prerequisite for the university to register for external evaluation and request recognition of quality standards with a quality assurance organization.

II. Scope and Applicability

This regulation governs the self-assessment and internal evaluation processes at the institutional level of the University of Information Technology, VNU-HCM. It applies to all departments, faculties, divisions, associations, and individuals within the university.

III. References

The regulation references the AUN-QA institutional level standards and the Vietnamese Ministry of Education and Training's Circular No. 12/2017/TT-BGDĐT for guidance on institutional level evaluation.

IV. Definition of Terms

- **Self-assessment** is a systematic process by which an institution reviews its educational programs, research, and support services against established quality standards.

- **Internal evaluation** is an independent review of the self-assessment findings to verify the accuracy and completeness of the self-assessment report.

- **Quality assessment standards** define the criteria that institutions must meet to demonstrate their commitment to quality.

- **Self-assessment report** is a comprehensive document that summarizes the institution's self-evaluation findings and outlines its improvement plans.
- **Stakeholders** include all members of the university community, including students, faculty, staff, and administrators.
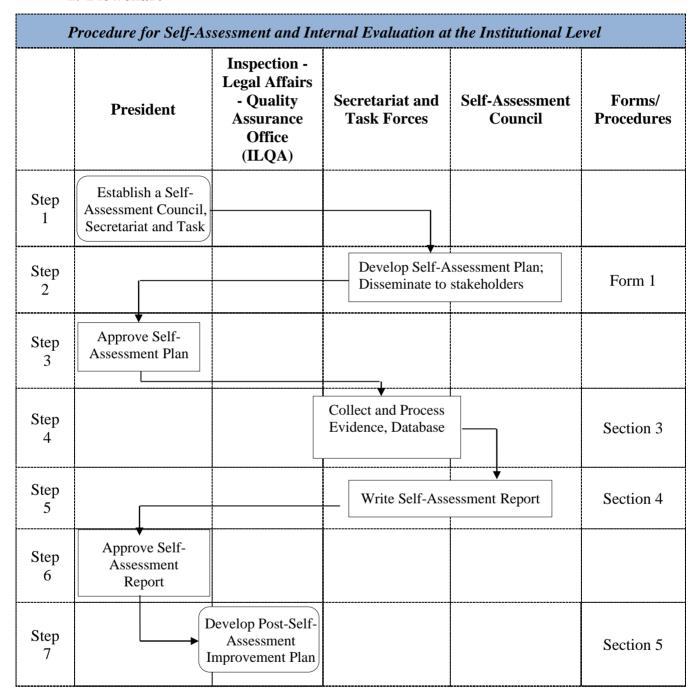
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V. *Procedure for Self-Assessment and Internal Evaluation at the Institutional Level*

1. Flowchart

Procedure for Self-Assessment and Internal Evaluation at the Institutional Level					
	President	**Inspection - Legal Affairs - Quality Assurance Office (ILQA)**	**Secretariat and Task Forces**	**Self-Assessment Council**	**Forms/ Procedures**
Step 1	Establish a Self-Assessment Council, Secretariat and Task				
Step 2			Develop Self-Assessment Plan; Disseminate to stakeholders		Form 1
Step 3	Approve Self-Assessment Plan				
Step 4			Collect and Process Evidence, Database		Section 3
Step 5			Write Self-Assessment Report		Section 4
Step 6	Approve Self-Assessment Report				
Step 7		Develop Post-Self-Assessment Improvement Plan			Section 5

2. Explanation

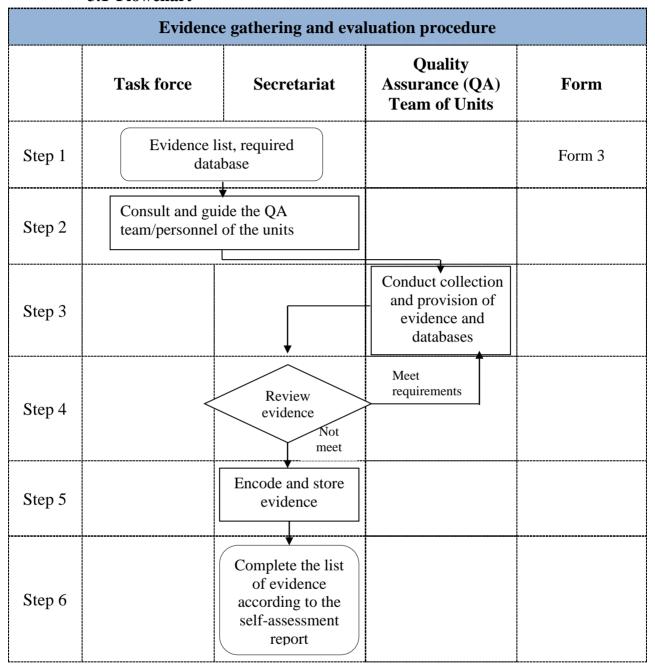| Step	Implementation Content	Responsible Unit/Individual	Time
1	Establish Self-Assessment Council, supporting secretariat and specialized working groups with the number and composition according to current regulations of the Ministry of Education and Training.	President	1 week
2	- Develop and disseminate a comprehensive self-assessment plan to all relevant stakeholders upon approval. - Conduct thorough document research and organize or participate in targeted training sessions to ensure successful implementation.	Self-Assessment Council Secretariat Task force	2 weeks
3	Approve self-assessment plan	President	1 day
4	- Collect evidence and related database according to the requirements of the set of standards. - Review and check the reliability, authenticity of evidence and the level of relevance, related to standards/criteria.	Secretariat	According to self-assessment plan
5	Write and complete self-assessment report.	Task force	According to self-assessment plan
6	Approve self-assessment report.	President	2 weeks
7	- Disseminate Self-Assessment Report to relevant parties within the School. - Store records and evidence of Self-Assessment. - Plan for improvement after evaluation.	Inspection - Legal Affairs - Quality Assurance Office	Within 30 days

3. Evidence gathering and evaluation procedure

3.1 Flowchart

Evidence gathering and evaluation procedure			
	Task force	**Secretariat**	**Quality Assurance (QA) Team of Units**	**Form**
Step 1	Evidence list, required database			Form 3
Step 2	Consult and guide the QA team/personnel of the units			
Step 3			Conduct collection and provision of evidence and databases	
Step 4		Review evidence — Meet requirements / Not meet		
Step 5		Encode and store evidence		
Step 6		Complete the list of evidence according to the self-assessment report		

3.2 Explanation

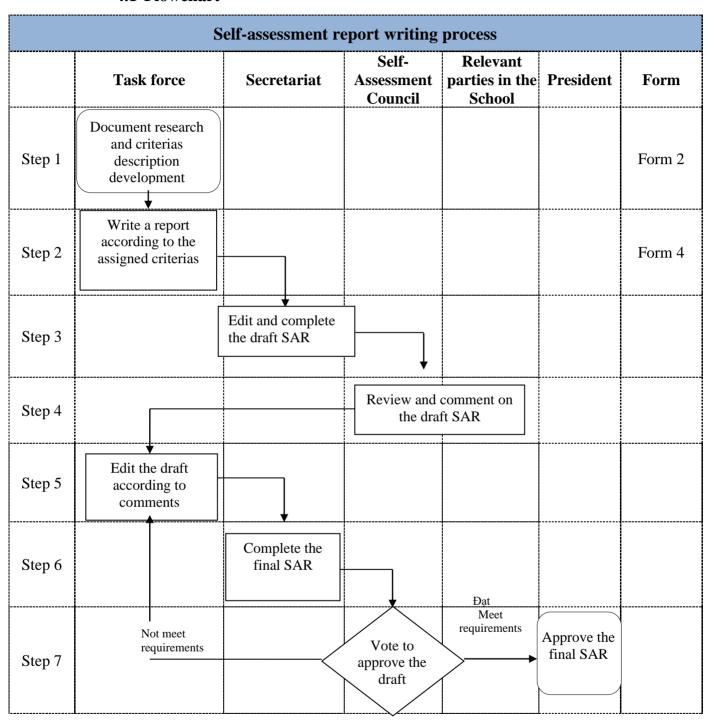| Step	Implementation Content	Responsible Unit/Individual	Time
1	Create a list of evidence and databases to be provided (for each unit) based on the requirements of the set of standards.	Secretariat Task force	According to self-assessment plan
2	Create a list of evidence and databases to be provided (for each unit) based on the requirements of the set of standards.	Secretariat Task force	According to self-assessment plan
3	- Create a list of evidence and databases to be provided (for each unit) based on the requirements of the set of standards. - Consult and guide the QA team/personnel of the units on how to collect and provide evidence. Collect, process and classify evidence and databases - Transfer evidence and databases to the Secretariat (at the ILQA) in 2 forms: • For paper evidence: hand over to the ILQA through the handover minutes; • For electronic evidence: upload evidence to the School's online evidence system at: www.dbcl.uit.edu.vn/qlminhchung.	QA Team of Units, Inspection - Legal Affairs - Quality Assurance Office	According to self-assessment plan
4	Review and check the reliability, authenticity of the evidence and the level of suitability, related to the standards/criteria: • If the evidence is not complete or needs to be processed into secondary evidence, request the QA team/personnel of the units to continue to supplement (return to step 3); • If the evidence meets the requirements, move to step 5.	Secreteriat, QA Team of Units	According to self-assessment plan
5	Provide information and evidence status to specialized groups to write the self-assessment report. - Encode evidence. - Store and arrange evidence according to each standard/criteria	Secretariat	According to self-assessment plan
6	Complete the list of evidence used for the self-assessment report.	Secretariat	According to self-assessment plan

4. Self-assessment report writing process

4.1 Flowchart

Self-assessment report writing process						
	Task force	**Secretariat**	**Self-Assessment Council**	**Relevant parties in the School**	**President**	**Form**
Step 1	Document research and criterias description development					Form 2
Step 2	Write a report according to the assigned criterias					Form 4
Step 3		Edit and complete the draft SAR				
Step 4				Review and comment on the draft SAR		
Step 5	Edit the draft according to comments					
Step 6		Complete the final SAR				
Step 7	Not meet requirements		Vote to approve the draft	Đat Meet requirements	Approve the final SAR	

4.2. Explanation

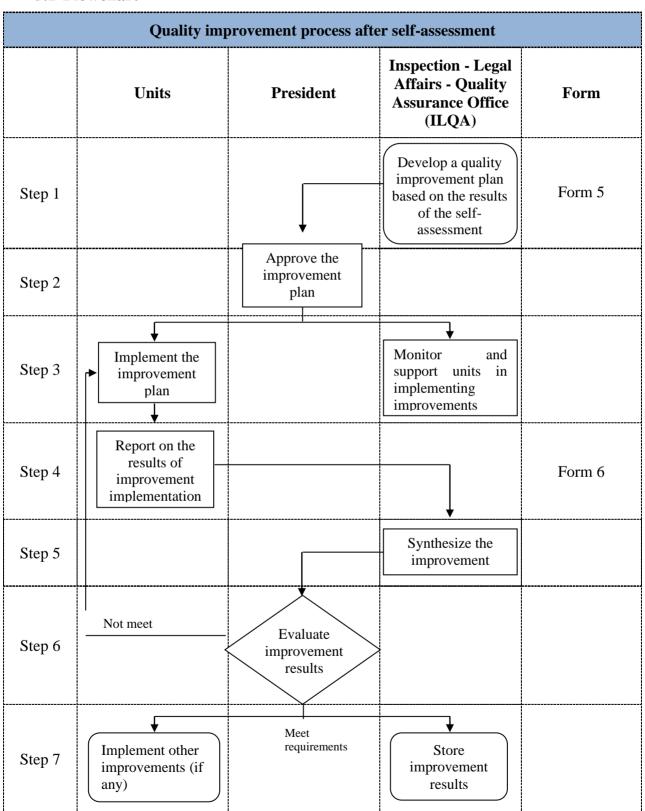| Step	Implementation Content	Responsible Unit/Individual	Time
1	- Research the set of standards and related documents before writing the SAR. - Develop a standard description.	Task force, Secretariat	According to self-assessment plan
2	- Write a report based on the standard description. - Check the level of compliance of the report according to the requirements (can be cross-reviewed between specialized groups).	Task force, Secretariat	According to self-assessment plan
3	Edit and complete the draft of the SAR - Send the draft of the SAR to the Self-Assessment Council and stakeholders in the School for comments.	Secretariat	According to self-assessment plan
4	Review and comment on the draft of the SAR	Self-Assessment Council, Stakeholders in the School	Within 15 working days
5	Revise the draft SAR according to comments.	Secretariat	According to self-assessment plan
6	Complete the final SAR.	Secretariat	According to self-assessment plan
7	7.1. Vote to approve the BCTĐG - If the report is approved, go to step 7.2; - If the report is not approved, revise the report in step 5.	Secretariat	According to self-assessment plan
	7.2. Approve the final SAR.	President	

5. Quality improvement process after self-assessment

5.1 Flowchart

		Quality improvement process after self-assessment		
	Units	**President**	**Inspection - Legal Affairs - Quality Assurance Office (ILQA)**	**Form**
Step 1			Develop a quality improvement plan based on the results of the self-assessment	Form 5
Step 2		Approve the improvement plan		
Step 3	Implement the improvement plan		Monitor and support units in implementing improvements	
Step 4	Report on the results of improvement implementation			Form 6
Step 5			Synthesize the improvement	
Step 6	Not meet	Evaluate improvement results		
Step 7	Implement other improvements (if any)	Meet requirements	Store improvement results	

5.2 Explanation

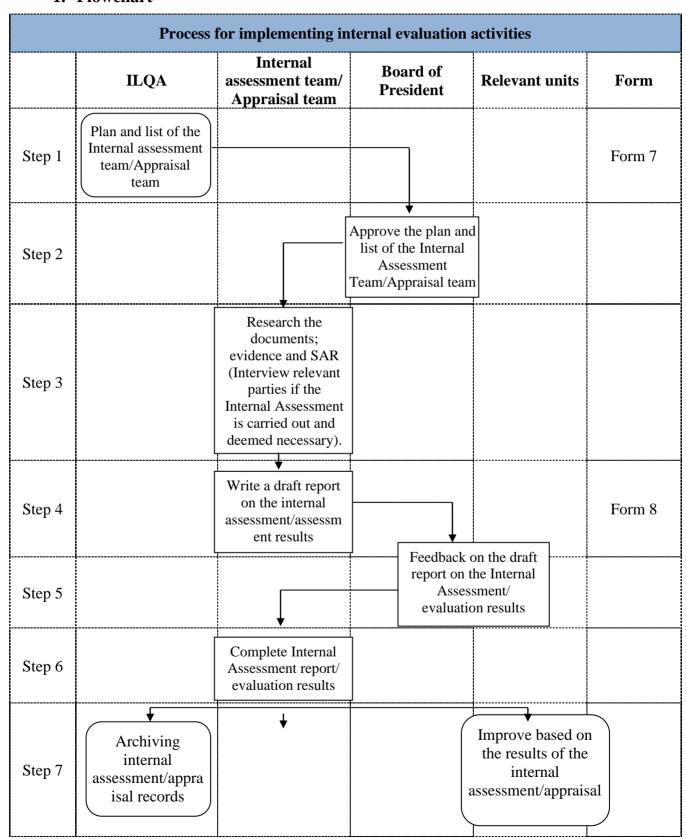| Step	Implementation Content	Responsible Unit/Individual	Time
1	Develop a quality improvement plan for activities based on the recommendations in the SAR.	ILQA	Within 30 days after self-assessment
2	Approve the quality improvement plan.	President	
3	Implement quality improvement according to the plan.	Units	According to the plan
	Monitor progress and support units in the improvement implementation process.	ILQA	
4	Send reports on the implementation status of the plan and improvement results to the ILQA	Units	According to the plan
5	Synthesize and send a report to the Board of Directors on the results of quality improvement for the whole school.	ILQA	According to the plan
6	Evaluate the results of improvement and direct the quality improvement work.	President	According to the plan
7	If the improvement activities meet the requirements, the ILQA stores the improvement results, and the units carry out other improvements.	ILQA Units	As directed
	If the improvement activities need to be adjusted or corrected, return to step 3.	Units	

VI. Internal evaluation process at the Institutional level

Depending on the specific circumstances, internal audits at the Institutional level are carried out either by forming an internal audit team or through document review.

1. Flowchart

	Process for implementing internal evaluation activities				
	ILQA	**Internal assessment team/ Appraisal team**	**Board of President**	**Relevant units**	**Form**
Step 1	Plan and list of the Internal assessment team/Appraisal team				Form 7
Step 2			Approve the plan and list of the Internal Assessment Team/Appraisal team		
Step 3		Research the documents; evidence and SAR (Interview relevant parties if the Internal Assessment is carried out and deemed necessary).			
Step 4		Write a draft report on the internal assessment/assessment results			Form 8
Step 5			Feedback on the draft report on the Internal Assessment/ evaluation results		
Step 6		Complete Internal Assessment report/ evaluation results			
Step 7	Archiving internal assessment/appraisal records			Improve based on the results of the internal assessment/appraisal	

2. Explanation

Step	Implementation Content	Responsible Unit/Individual	Time
1	Prepare a plan and list of the internal assessment team/appraisal team expected; submit to the Board of Directors for approval.	ILQA	After completing the self-assessment report
2	Approve the plan and list of the internal assessment team/appraisal team.	Boads of President	
3	- Study the self-assessment records. - Survey and interview relevant parties if the internal assessment is conducted and deemed necessary	Internal assessment team/appraisal team	According to the internal assessment/evaluation plan
4	- Write a draft internal assessment/appraisal report; - Submit draft internal assessment report /evaluation results to the ILQA.	Internal assessment team/appraisal team	According to the internal assessment /appraisal plan
5	Feedback on draft internal assessment report /evaluation results	Boads of President Relevant units	According to the internal assessment /appraisal plan
6	- Adjust the draft according to feedback (if appropriate) and complete internal assessment report report/evaluation results. - Submit internal assessment report report/evaluation results to the ILQA.	Internal assessment team/appraisal team	According to the internal assessment /appraisal plan
7	Conduct analysis and use of internal assessment report /evaluation results: - Edit self-assessment. - Archive internal assessment report /evaluation records..	ILQA	According to the internal assessment /appraisal plan
	Improve activities based on internal assessment report /evaluation results.	Relevant units	