

THE MINISTRY OF EDUCATION
AND TRAINING OF VIETNAM
QUALITY CONTROL
DEPARTMENT OF VIETNAM

THE SOCIALIST REPUBLIC OF VIETNAM
Independence – Freedom – Happiness

No: 2085/QLCL-KĐCLGD
*On guidance on self-assessment
and external assessment of
training programs*

Hanoi, December 31, 2020

- To:**
- Higher education institutions;
 - Colleges providing teacher training;
 - Education quality accreditation organizations (EQAOs).

To implement self-assessment and external assessment of training programs of higher education institutions and colleges providing teacher training according to current regulations[1], the Quality Control Department - Ministry of Education and Training (MOET) provides guidance on the implementation of self-assessment and external assessment of training programs as follows:

Part I

SELF-ASSESSMENT OF TRAINING PROGRAMS

I. ROLES AND REQUIREMENTS OF SELF-ASSESSMENT

1. The role of self-assessment of training programs

- a) Be the first important step in ensuring the quality of training programs of educational institutions. Help educational institutions providing training programs to self-review, consider, and assess the current status of training programs; correctly identify the strengths and weaknesses of training programs, thereby developing appropriate and feasible quality improvement plans (action plans) and implementing action plans to improve and enhance the quality of training programs;
- b) Be a necessary condition for educational institutions to register for external assessment and request recognition of quality standards of training programs with an EQAO;
- c) Demonstrates the autonomy and self-responsibility of educational institutions in all training activities, scientific research, and community service within jurisdiction and aligned with the set mission and objectives.

2. The requirements of self-assessment of training programs

- a) During the self-assessment process of the training program, based on each standard and criterion, the educational institution must focus on the following tasks:
 - Describe and clarify the current status of the training program;
 - Analyze, explain, compare, contrast and make statements; point out strengths, weaknesses and remedial measures;
 - Make an action plan to improve and enhance the quality of the training program.

b) Self-assessment of the training program is a continuous process, requiring a lot of effort, time and the participation of many individuals of the unit providing the training program as well as the cooperation of other individuals and units in the educational institution.

c) The self-assessment of the training program requires objectivity, honesty, openness and transparency. Explanations, statements and conclusions made during the self-assessment must be based on specific and clear evidence, ensuring reliability. All criteria in the set of standards for assessing the quality of training programs issued by the Ministry of Education and Training must be fully assessed.

II. SELF-ASSESSMENT PROCESS

Self-assessment of training programs is regulated from Article 6 to Article 13 according to Circular No. 38/2013/TT-BGDDT dated November 29, 2013 of the Minister of Education and Training promulgating the Regulations on process and frequency of quality accreditation of training programs of universities, colleges and specialized colleges (hereinafter referred to as "Circular No. 38/2013/TT-BGDDT"). To be specific:

1. Self-assessment Council

The number, composition and operating principles of the Council for Self-assessment of Training Programs shall be implemented according to Article 7 of Circular No. 38/2013/TT-BGDDT. The sample Decision on establishing the Self-assessment Council is specified in Appendix 1.

The functions and tasks of the Self-assessment Council shall be implemented according to Article 8 of Circular No. 38/2013/TT-BGDDT. Relevant units in educational institutions shall cooperate and support the Council's working groups to implement the self-assessment.

2. Preparation of self-assessment plans

Self-assessment Council shall develop a self-assessment plan to effectively use time and resources from educational institutions to ensure the objectives of each self-assessment. Plan for self-assessment of training programs must include the contents specified in clause 2 of Article 9 of Circular No 38/2013/TT-BGDDT. Plan for self-assessment of training programs can be found in Appendix 2.

3. Collecting, analyzing and processing information and evidence

a) Information and evidence

Information, evidence means documents, papers, records, books, tapes, discs, items, etc. that the school had and is having that are in accordance with the content (requirements) of the criteria for assessing the quality of training programs. Information and evidence are used to prove the statements and conclusions in the "Description of current status" section of each criterion of the self-assessment report, including evidence and information associated with the criteria to determine the level of achievement of the criteria.

Information and evidence can be collected from the archives of schools, relevant agencies; from the results of surveys, investigations, interviews, and observations of school activities. Evidence must have a clear origin and be accurate.

The information and evidence collected are not only used for the purpose of assessing the achievement levels of each criterion, but also to describe the current status of training program activities so that readers can better understand, thereby increasing the persuasiveness of the self-assessment report.

b) Determination of comprehension, analysis of the criteria to find evidence

To correctly and fully determine the comprehension of each criterion, it is necessary to note that: (i) Criteria often have important words and phrases that have meanings such as "keywords"; (ii) The comprehension of each criterion has one or several requirements; (iii) It is necessary to determine the comprehension of each criterion in comparison with related regulations and with the practice of educational institutions in the educational quality accreditation (EQA) cycle; (iv) Compare the "Specific objectives" of the school that are related to the comprehension of the criteria.

On the basis of correctly and fully determining the comprehension of the criteria, the working group or individual will analyze the criteria to find the information and evidence that need to be collected, the place of collection, and record it in the Form of criteria analysis, information and evidence collection (refer to Appendix 3).

To evaluate the current status of each requirement of the criteria, the school may ask and answer (in accordance with the requirements) questions such as: Does the school have a plan to implement the requirements? Has the school implemented and achieved the requirements? How are the requirements archived by the school compared to the requirements prescribed by the general regulations? How are they comparing to other schools with similar conditions (economic - social, cultural, etc.)? How has the school "exceeded" the requirements? How has the school reviewed and checked the implementation of the requirements, what improvements have been made? Evidence to confirm that the school has made a plan, implemented requirements, reviewed and checked the implementation of requirements, etc.

By answering the above questions, the school can analyze the criteria, orient the collection of information, evidence and prepare for the next steps of the self-assessment process.

c) Collection of information, evidence

Based on the *Form of criteria analysis, information and evidence collection*, the assigned working group or individual will collect information, evidence, and arrange evidence in order of the criteria's comprehension.

In case information or evidence cannot be found for a certain criterion (due to fire, natural disaster or no records in previous years, etc.), the Self-assessment Council must clarify the reason and record it in the Criteria Assessment Form (refer to Appendix 4a and Appendix 4b).

When collecting information and evidence, the Self-assessment Council needs to check the reliability, authenticity, and appropriateness related to the criteria. The Self-assessment Council must always ask questions about the information collected: If someone else collected that information, would they have obtained similar results? Will that information provide new, clear, and accurate insights into the current status of the activities of the Training Program?

In the process of collecting information and evidence, their origins must be clearly indicated. Information and evidence, including documents related to the origin of the information and evidence obtained shall be stored and protected.

Note: In the process of collecting information and evidence, the school should have the following databases to have sufficient information and evidence to serve the writing of report on self-assessment of training programs: (i) Annual report on learners' assessment of the training quality of the training program before graduation; including the process, tools, data and results of the assessment; (ii) Annual report on the results of the survey on the employment situation of learners after graduation; including the process, tools, data and results of the assessment; (3) Annual survey report on the level of response of libraries, laboratories, information technology systems, facilities and other services compared to the requirements of lecturers, staff and learners; including assessment processes, tools, data and results. The database on quality accreditation of training programs is specified in Appendix 7.

d) Processing, analysis of information, evidence

The Self-assessment Council shall discuss the evidence for each criterion collected by the working group or individual. When the evidence is used, the Self-assessment Council shall establish an Evidence List (refer to Appendix 9).

In practice, some information may be used immediately as evidence, but other information must be processed, analyzed, and synthesized before it can be used as evidence for the statements and conclusions made in the "Current Status Description" section of the self-assessment report. For example, most of the information collected after the results of surveys, interviews, and observations must be processed into aggregated data before it can be used as evidence in the "Current Status Description" section of the self-assessment report. The collected information should be processed to avoid affecting the units or individuals providing the information.

Evidence that is consistent with the criteria will be used in the "Current Status Description" section of the Criteria Assessment Form. These evidences, before being used, must be encrypted for the purpose of being concise and easy to look up. For the encryption of evidences, refer to Appendix 8.

In case the school does not keep the evidences in separate boxes (folders) but still keeps them in the school's archives, the specific location (URL) of the evidence placed in the school's archives must be clearly stated in the Evidence List (refer to Appendix 9).

dd) Use of evidence

Each evidence is only encrypted once. Evidence used for multiple criteria in a standard or multiple standards carries the evidence code of the criterion, the standard used for the first time.

Criteria assessment form (refer to Appendix 4a and 4b), includes: Description of current status, strengths, weaknesses, action and self-assessment plan. The criteria assessment form is made by a working group or individual and is consulted by the Self-assessment Council. Each criterion is assessed by each Criteria Assessment Form.

Evidence obtained related to each criterion is presented in the "Current status description" section of the Criteria Assessment Form and may include: (i) Description and analysis of the training program's activities related to the criterion; (ii) Comparison with the criteria's requirements (common ground), with the training program itself in previous years or with State regulations to see the current status of the training program; (iii) Making comments on strengths that need to be promoted, pointing out existing issues, explaining the causes; (iv) Identifying issues that need to be improved and proposing improvement measures; (v) Determination of the level of achievement of the criteria. For each criterion, if there is sufficient evidence to meet the requirements of the criteria, such criterion is deemed to have satisfied the requirements according to the corresponding assessment level.

Each statement and conclusion in the "Current status description" section of the Criteria Assessment Form (later used in the self-assessment report) must have accompanying evidence.

From the analysis, statements and conclusions in the "Current status description" section, the strengths and shortcomings of the training program will be pointed out to develop a suitable and feasible action plan. The Criteria Assessment Form is a document recording the work results of each working group according to each criterion and is the basis for synthesizing into a report by each criterion and standard. Therefore, each working group must ensure the accuracy, honesty and consistency of the Criteria Assessment Forms in each standard.

The assessment of the achievement levels of the criteria is written in the self-assessment section of the Criteria Assessment Form (Appendix 4a and 4b).

In order to improve the quality of the contents of the Criteria Assessment Form, the writing process should be carried out in the following order: (i) The working group or individual shall study and analyze the content of the criteria and the evidence used to write the contents of the Criteria Assessment Form; (ii) The working group shall discuss the contents of the Criteria Assessment Form for amending; (iii) The Self-assessment Council shall discuss the contents of each Criteria Assessment Form. In particular, special attention should be paid to the action plan for each criterion which must clearly identify measures, solutions, conditions (human resources, finance), implementation time, completion time and must be feasible; (iv) Based on the opinions of the Self-assessment Council, the working group or individual shall complete the Criteria Evaluation Form and send it to the Self-assessment Council secretary.

Note: (i) In case there is no evidence to prove the level of achievement of that criterion, write "No evidence"; (ii) During the processing and analysis process, if some information and evidence obtained are inconsistent with the research and assessment results inside and outside the educational institution on the training program that have been previously announced, the Self-assessment Council shall re-check that information and evidence, explaining the reasons for the inconsistency.

e) Storage and preservation

Evidence can be collected and arranged in boxes (pairs) in encryption order. Expired evidence shall be replaced by evidence that is still valid and suitable. The replacing evidence is marked with the symbol of the replaced evidence and the date, month, and year of replacement. Evidence serving the management of training activities is stored and preserved in the school's archives, but the specific location (URL) of the evidence must be clearly stated in the Evidence Catalogue for convenience in looking up and searching.

For evidence such as: items; systems of records, books; documents, materials with large quantities and many pages, ... the school can create tables, aggregations, and statistics of data and figures for convenience in use. The information technology is used to digitize evidence to create convenience in storage and comparison when necessary.

Evidence is stored and preserved in accordance with the regulations of the Law on Archives and applicable regulations.

4. Preparation of self-assessment reports

a) Reports on self-assessment of training programs shall comply with Article 11 of Circular No. 38/2013/TT-BGDDT. The results of the self-assessment of training programs are presented in the form of a report with the format and structure according to this Guidance (refer to Appendices 5, 6a, 6b, 7, 8, and 9). The self-assessment report is an important memorandum to commit to improving the quality of training programs.

The assessment of the achievement levels of the criteria is written in the self-assessment section of the Criteria Assessment Form (Appendix 4a and 4b).

c) The assessment results of each criterion are included in the Aggregation of self-assessment results of training programs (refer to Appendix 6a and Appendix 6b).

d) Depending on the development plan and priority strategy of the educational institution and the training program provider, the focus of quality improvement for each stage is determined. In general, the provider must have a plan to overcome all the issues and shortcomings of the training program.

dd) In a self-assessment report, the length of the sections on each standard and criterion does not have to be the same, but should not be too different.

e) The draft of the final self-assessment report must be sent to the information and evidence providers to verify the information and evidence used and the accuracy of the conclusions drawn from it. The working groups shall review the report sections related to the assigned criteria and standards. The members of the Self-assessment Council shall sign the self-assessment report after reading and agreeing with the content of the self-assessment report.

g) The self-assessment report is considered to have satisfied the requirements when: it is presented according to the format, presentation techniques and structure of this Guidance; there are no spelling or grammatical errors; there are no contradictions between the contents in a criterion and between criteria; the evidence must be sufficient, clear and convincing; there must be sufficient evidence to confirm the achievement of the indicators and criteria; and the current status of the training program of the educational institution must be correctly assessed.

The format and structure of the self-assessment report (refer to Appendix 19).

5. Storage and use of self-assessment reports

Storage and use of self-assessment reports shall comply with Article 12 of Circular No. 38/2013/TT-BGDDT.

6. Implementation of activities after completing the self-assessment report

Implementation of activities after completing the self-assessment report shall comply with Article 13 of Circular No. 38/2013/TT-BGDDT. Schools that have their training programs assessed shall organize implementation in accordance with Article 29 of Circular No. 38/2013/TT-BGDDT. Regarding reporting to direct supervisory authorities and the Ministry of Education and Training:

a) Educational institutions shall send the data on self-assessment and quality improvement after assessment to the management system of the MOET according to specific instructions (in the coming time).

b) After completing the self-assessment report, educational institutions shall send the report on self-assessment of training programs to the direct supervisory authorities (if any) with an official dispatch requesting the direct supervisory authorities to pay attention and support in the process of improving training programs according to the action plans stated in the self-assessment report.

c) Educational institutions shall send official dispatches and self-assessment reports (e-copies) to the Department of Quality Control, MOET via e-mail: phongkdcldg@moet.gov.vn. To be specific:

- Official dispatch notifying the completion of the self-assessment report (word and pdf file), clearly stating: Assessment phase; Time for conducting self-assessment; The self-assessment was conducted in accordance with the correct process and the self-assessment report was prepared in accordance with the instructions of the MOET; Assessment results; Expected time for external assessment.

- Self-assessment report (word and pdf file).

d) Files (word and pdf) are named consistently as follows (for example: higher education institution X, completing the report Y on self-assessment of training program in 2020):

- - Official dispatch file name (no accents): tentruong_ctdt_cv_namhoanthanh (for example: dhX_ctdt_cv_2020);

- - Self-assessment report file name (no accents): tentruong_bctdgct..._namhoanthanh (for example: dhX_bctdgctY_2020).

d) Within 10 working days from the date the educational institution sends the email, the Department of Quality Control shall send an email with feedback to the educational institution on the structure, presentation, etc., of the report on self-assessment of the training program. After 15 working days, if there is no response from the Department of Quality Control, the report on self-assessment of the training program will proceed to the next step. After receiving feedback from the Department of Quality Control, the training program provider shall review and amend the report on self-assessment of the training program according to the request of the Department of Quality Control or explain (if the opinion remains the same) and send it back to the Department of Quality Control. If the report on self-assessment of the training program satisfies the regulations, the Department of Quality Control shall update the name of the educational institution and the training program to the list of educational institutions that have completed the report on self-assessment of the training program and post it on the Website of the MOET (www.moet.gov.vn).

For training programs of educational institutions of the Ministry of Public Security and the Ministry of National Defense, after completing the report on self-assessment of the training program, the report shall be sent to the direct supervisory authority for appraisal before external assessment. The specialized agencies of the Ministry of Public Security and the Ministry of National Defense shall inform the Department of Quality Control about training programs that have completed the report on self-assessment of the training program for general monitoring.

e) The self-assessment report is the ground for implementing annual plans for improvement of the quality of training programs. In case an educational institution registers for external assessment to be recognized as meeting educational quality standards, immediately after signing an external assessment contract with an EQAO, the educational institution shall send to the Department of Quality Control a Word file informing the conclusion of the external assessment contract, attached with a Word file and a PDF file of the self-assessment report (which has been appraised by the EQAO and prepared for external assessment). The educational institution shall only register for external assessment of training programs that have been updated in the list of training programs that have completed self-assessment reports posted on the website of the MOET.

III. ARCHIVES

1. Dossiers that are stored include:

- a) Decisions on establishing the Self-assessment Council.
- b) Self-assessment plans;
- c) Criteria Assessment Forms;
- b) Self-assessment reports;
- d) Information and evidence (can be stored separately or stored and preserved in the school's current archives, but must ensure convenience in looking up and using);
- e) Relevant documents (if any).

2. Duration of preservation, storage and use of dossiers

The duration of preservation, storage and use shall comply with the Law on Archives and applicable regulations.

Part II

EXTERNAL ASSESSMENT OF TRAINING PROGRAMS

I. EXTERNAL ASSESSMENT TEAM

1. Establishment of external assessment team

The Director of the EQAO shall decide to establish an external assessment (EA) team with the number and qualifications of members meeting the regulations of Article 16 of Circular No. 38/2013/TT-BGDDT.

The EQAO shall select a reasonable structure of members of the EA team, taking into account the EA experience of each member; encourage the arrangement of additional observers (those who have completed the training program for accreditors or have an accreditor's card) to gradually improve the quality of the accreditor workforce of the entire system; and not send people who have guided and advised educational institutions during the implementation and completion of the EA report to participate in the EA team.

The EQAO may arrange supervisors to supervise the EA. Supervisors shall promptly report to the EQAO on the operation of the EA team to ensure compliance with the regulations of the MOET and the EQAO.

Members of the EA team, observers, and supervisors must comply with the EQA principles; voluntarily participate in EQA, not for profit; at the same time, have a written commitment or agreement with the EQAO on professional ethics, and be responsible for keeping confidential information related to EQA in accordance with Point c of Clause 5 of Article 17 of Circular No. 38/2013/TT-BGDDT; respect the interviewees, members of the educational institution, and other members of the team.

Observers and supervisors may participate in all stages of the assessment process, working sessions of the EA team with the educational institution, and providing feedback to the EA team, but may not provide feedback on the achievement of the criteria. Observers may also be assigned by the EA team leader to perform some tasks to support the team.

2. Roles and responsibilities of EA team members

a) Team leader

The team leader shall manage the team's operations; take primary responsibility for planning work, assigning tasks to team members; ensure the implementation of the survey plan at the educational institution and manage the team's operations; on behalf of the team, inform and discuss with the educational institution about the survey results, the team's statements and proposals for the training program of the educational institution; take primary responsibility for developing a report on the results of the study of the EA dossiers, report the results of the survey at the educational institution and the team's assessment report; collect all dossiers and documents related to the team's operations and transfer them to the EQA for storage after the end of the assessment; prepare dossiers and documents to serve the explanation of complaints or questions related to the team's operations.

b) Secretary

The secretary shall assist the head of the team in preparing plans, implementing activities and preparing reports of the delegation, participating in activities according to the general plan of the team and

performing tasks assigned by the team leader. To be specific: planning, collecting dossiers and documents of the team to serve the preparation of reports, recording the content of the general discussions of the team, participating in the preparation of reports, and completing the official report, performing other tasks as assigned by the team leader.

c) Members

The team members shall participate in activities according to the general plan of the team and performing tasks assigned by the team leader, participate in completing the official report of the team.

3. Working principles of the EA team

The EA team shall work according to the principles of democratic centralism and consensus of opinions within the team.

For matters that do not reach consensus among at least 2/3 of the members of the EA team, the team leader shall organize a meeting to discuss directly and make a final decision.

II. EXTERNAL ASSESSMENT PROCEDURE

Before an educational institution registers for self-assessment of training program with an EQAO, that training program must be updated by the MOET in the list of training programmed completed self-assessment reports and posted on the website of the MOET. The EQAO shall only assess training programs in the list of training programs that have completed reports, which are posted on the website of the MOET.

1. Step 1: Preparation

a) The preparation for self-assessment of training programs is officially carried out after the educational institution and the EQAO have conducted the appraisal of the report on self-assessment of the training program and concluded the EA contract as prescribed in Article 15 of Circular No. 38/2013/TT-BGDDT; the educational institution has sent the self-assessment report files (which have been appraised by the EQAO) along with a document notifying the Department of Quality Control of the contract conclusion.

b) Before establishing the EA team, the EQAO shall inform the educational institution of the list of the EA teams. Within 10 working days from the date of receipt of the notification of the list of EA teams from the EQAO, the educational institution has the right to request the EQAO to change one or more team members if there is evidence that this member has had a conflict of interest with the educational institution but is not allowed to suggest or propose other individuals to participate in the EA team. After the above deadline, if the educational institution has no comments, it is considered to have agreed with the list provided by the EQAO.

c) The EQAO shall establish the EA team, then send the training program self-assessment dossier and relevant documents to the EA team, including: (i) Report on self-assessment of training program (including appendix with list of attached evidence); (ii) Decision on establishment of EA team (with attached CVs of the evaluation team members); (iii) Relevant documents: Regulations on the process and cycle of quality accreditation of training programs; Regulations on standards for assessment of training program quality; Guidance on self-assessment and EA of training programs.

Note: In case of needing EA for training programs under the Ministry of National Defense or the Ministry of Public Security, an EA team shall be established at the request of the Ministry of National Defense or the Ministry of Public Security.

d) The EQAO shall work with the team leader and secretary of the EA team (with or without the presence of other members) to discuss and agree on the expected work plan of the team and assign specific tasks to each member.

dd) The team leader and secretary of the EA team shall draft the EA plan, including the preliminary survey program and the official survey program (refer to Appendix 10), discuss with the members and assign tasks to the members of the EA team.

e) The members of the EA team shall study the EA dossier in the following order:

- Read and review the entire structure of the self-assessment report and study relevant documents;
- Carefully study the content related to the assigned standards and criteria;
- Write comments on the report on self-assessment of the training program (refer to Appendix 11) and send them to the team leader and secretary.

2. Step 2: Study of the self-assessment dossier

After receiving all the members' comments on the self-assessment report, the team leader shall summon the team to focus on working for 1 to 2 days. While focusing on working, the EA team shall perform the following tasks:

a) Studying and discussing the members' comments on the self-assessment report.

b) Discussing to agree on the following contents:

- Assessing the level of conformity between the structure of the self-assessment report and the requirements in the guidance on self-assessment and EA of training programs;
- Commenting on the report on self-assessment of the training program by the following contents: (i) Description of the activities of the training program in comparison with the requirements of the criteria; (ii) Analysis and comparison of strengths, weaknesses, and causes; (iii) Identification of issues that need to be improved in quality and measures to be taken by the training institution; (iv) Use of information and evidence in the self-assessment report; completeness and consistency of information and evidence on the level of achievement of the criteria; (v) Writing style, spelling, argumentation, and explanation in the self-assessment report; (vi) General assessment of the self-assessment report;
- Comments on criteria that have not been assessed or have not been fully analyzed and assessed, leading to a lack of ground to confirm the level of achievement of that criterion;
- List of criteria that need to be checked, appraised, or provided with additional information and evidence;
- List of documents and materials that need to be checked or materials and materials that need to be supplemented;
- Estimated number and composition of subjects that request to be interviewed during the official survey at the educational institution (leaders, managers of educational institutions and training programs; lecturers; researchers; staff; learners; graduates; and employers, ... related to the training program). Interview subjects must be sufficient in number, age structure, and representativeness. Interview subjects are lecturers, learners, graduates and employers, and must ensure a number of 15 to 25 people for each subject; the number of lecturers may be smaller, but must ensure a sufficient structure in terms of age, seniority, and representation of different departments (not holding concurrent leadership and

management positions of the training program provider to avoid overlapping with interview subjects who are leaders and managers); the number of learners must be reasonably distributed according to the student ratio of each school year, while ensuring a reasonable ratio between class leaders and other students; the number of graduates must be reasonably distributed in different years (excluding graduates who are employees of the school); the number of employers must be reasonably distributed between relevant professional fields and the leaders of the units directly employing graduates. Depending on the context and reality of the EA, the EA team may combine face-to-face interviews with online interviews.

- Expected interview subjects and content;
- Expected facilities, equipment, and training program provisions that need to be observed;
- Expected situations that may arise (if any).

c) The secretary shall synthesize the above contents into a Draft Report on the results of studying the training program self-assessment dossier (refer to Appendix 12).

d) The EA team leader shall send the Draft Report on the results of studying the training program self-assessment dossier to the team members. After being approved by at least 2/3 of the team members, the team leader shall send the Report on the results of studying the training program self-assessment dossier to the EQAO; the EQAO shall send an official dispatch informing the educational institution whose training program is being assessed of the working plan of the team.

dd) After reaching an agreement with the educational institution, the EQAO shall send the educational institution a Report on the results of studying the self-assessment dossier for the educational institution to study before the EA team comes to conduct a preliminary survey.

3. Step 3: Preliminary survey at the educational institution

Normally, within 15 working days after the study of the self-assessment dossier, the team leader and secretary (with or without other members present) will conduct a preliminary survey at the educational institution. The working contents include:

a) The EA team will inform and discuss with the educational institution about: (i) The results of studying the training program self-assessment dossier; (ii) Discussion and agreement on the official survey plan of the team, including: Time of the official survey, matters that the educational institution needs to prepare for the official survey (materials, supporting dossiers; subjects for interviews; locations to visit and survey; activities to be observed; requirements regarding preparation of facilities, equipment, and logistics for the EA Team);

b) At the end of the working session, the two parties shall sign the Memorandum of Understanding after the preliminary survey (refer to Appendix 13).

c) The leader of the EA team shall send the Memorandum of Understanding after the preliminary survey to the EQAO.

d) At least 7 working days before conducting the official survey, the EQAO shall send the files (word and pdf) of the Decision to establish the EA team, the Memorandum of Understanding after the preliminary survey, and the Official Survey Plan to the Department of Quality Control via email address: phongkdclgd@moet.gov.vn.

4. Step 4: Official survey at the educational institution

- a) Survey time: The EA team shall conduct survey at the educational institution for 2 to 4 days.
- b) The main activities of the EA team during the official survey include: (i) The leader shall introduce the entire EA team to the tasks of each member, working methods, and plans; (ii) The team shall meet with the heads of the educational institution, unit whose training programs are assessed, and the Training Program Self-assessment Council; (iii) The team shall study supporting dossiers and materials provided by the educational institution; (iv) The team shall visit, interview, and discuss at departments and offices; visit and survey libraries, classrooms, laboratories, practice rooms, dormitories, student clubs, etc.; observe main and extracurricular activities; interview managers, lecturers, researchers, staff, learners, graduates, and employers; (v) The team shall write an official survey report on the assessed training program (refer to Appendix 15).
- c) At the end of each working day, the EA team shall meet up and summarize the work of the day and adjust necessary points in the working program of the next day. The main specialized contents to note in the EA team meeting include: (i) Discussing new findings, points to note in the information and data of the survey process; (ii) Discussing the contents of each criterion: strengths and evidence confirming those strengths; shortcomings and proposed solutions; unclear points; achievements in each criterion; (iii) Making a statistical table of the assessment results of the criteria; (iv) Agreeing on the strengths and shortcomings of each criterion, the team's recommendations for the educational institution.
- d) At the end of the survey, the members of the EA team shall complete the Summary of the results of the in-depth study of the assigned criteria (refer to Appendix 14) and submit it to the secretary. The summary of the results of the in-depth study of the criteria must be approved by the EA team for completion.
- dd) The secretary shall collect the Summary of the results of the in-depth study of the criteria of the members and writes the Draft Official Survey Results Report (refer to Appendix 15).
- e) The EA team shall discuss the Draft *Official Survey Results Report*. Special attention should be paid to the discussion to reach a consensus on the main strengths and weaknesses of each standard and criterion on the level of achievement of the criteria where there is a difference in the assessment between the educational institution and the members of the EA team. The report must be approved by at least 2/3 of the members of the EA team.
- g) Before the end of the survey, the EA team shall work with the heads of the educational institution and the unit whose training program is assessed and the Training Program Self-assessment Council to inform them of the work done and the findings during the survey, and the two parties shall sign the Official Survey Completion Records (refer to Appendix 16). After completing the assessment at the educational institution, the team leader shall send the Official Survey Results Report and the Official Survey Completion Records to the EQAO.

5. Step 5: Preparation of the EA report

- a) The Report on EA of the training program specified in Appendix 17 of this Guidance;
- b) Responsibility in preparing the EA report: Each member of the team shall prepare reports by the assigned criteria and send them to the team leader and secretary to compile the Report on EA of the training program of the team; for each criterion, the report must assess and propose recommendations on strengths, weaknesses, quality improvement plans and implementation measures, unclear contents, and criteria assessment results;
- c) Sources of materials for preparing the Report on EA of the training program include: (i) Report on EA of the training program of the educational institution; (ii) Comments on the EA report of each member; (iii) Report on the results of the studying the training program self-assessment dossier; (iv) Synthesis report on in-depth study results of each member; (v) Memorandum of Understanding of the working content of

the preliminary survey; (vi) Minutes of the completion of the official survey; (vii) Report on the official survey results at the educational institution;

d) The team leader and the secretary shall collect, edit and finalize the draft report on EA of the training program;

dd) After completing the first draft of the report on EA of the training program, the secretary shall send it to the members for comments. If the team members do not reach a consensus after revision, they must continue to send the second draft for a second comment. If the second draft still does not receive the consensus of at least 2/3 of the team members, the leader of the EA team must hold a meeting for a final discussion and make the final decision;

e) After the EA team has reached a consensus on the content of the draft report on EA of the training program, the team leader shall send this draft report to the EQAO for reporting. After reaching an agreement with the EA team, the EQAO shall send the Draft report on EA of the training program to the educational institution for feedback;

g) Within 15 working days from the date of receiving the Draft report on EA of the training program, the educational institution shall send an official dispatch to the EA team through the EQAO, clearly stating the opinions in agreement or disagreement with the Draft report. The reasons must be clearly stated along with evidence in case of disagreement. If the educational institution does not respond within the above time limit, it shall be deemed to agree with the Draft report;

h) Within 15 working days from the date of receiving feedback from the educational institution or from the date of expiry of the deadline for responding to the educational institution's feedback, through the EQAO, the EA team shall inform the educational institution of the opinions that the EA team has accepted or reserved in writing. In case the Education Quality Assurance Team reserves an opinion, the reason must be clearly stated in the document;

i) The EA Team shall complete the Report on EA of the training program, obtain signatures from all team members and send the Report to the EQAO together with all working dossiers of the team, along with relevant electronic files;

k) At least 07 working days after receiving the Report on EA of the training program, the EQAO shall send this file (word and pdf) to the Department of Quality Control via email address: phongkdcldg@moet.gov.vn. For the Ministry of Public Security and the Ministry of National Defense, after the training program under their management has been assessed, they will send a notification of the assessment results and the implementation of the EA process to the Department of Quality Control, MOET, for general monitoring.

III. LOGISTICS, REPORTING AND STORAGE OF DOSSIERS

1. Logistics

a) The EQAO and the educational institution shall proactively arrange and ensure safe and convenient accommodation, travel and working conditions for the EA team:

- During the survey period at the educational institution, if the EA team must stay there, the accommodation of the EA team shall be outside the premises of the educational institution;

- Each member of the EA team shall be provided with a badge while working at the educational institution. The badge must include the following information: title "Đoàn ĐGN" ("EA Team"), full name, position (team leader, secretary, ...).

b) The educational institution shall

- Provide a separate working room with full equipment (computer, projector, printer, ...), stationery, drinking water during the time the EIA team is officially surveying at the educational institution. There shall be a sign on the entrance of the room stating “Phòng làm việc của Đoàn ĐGN, từ ngày... đến ngày...” (“EA Team Office, from ... to ...”);

- Provide sufficient locations for interviewing relevant subjects;

- Educational institutions need to widely inform managers, lecturers, researchers, staff, and learners about information about the assessment and enable managers, lecturers, researchers, staff, and learners to contact and provide additional information to the EA team (if any).

2. Reporting and storage of dossiers

a) The system of dossiers needs to be scientific and digitized for easy reference for professional work or to meet the inspection requirements of competent authorities;

b) The EQAO shall make reports during the implementation of the EA process specified in this Guidance; and update information into the management system of the MOET according to the guidance (in the coming time).

c) The working results dossiers of the EA team that need to be stored include:

- Decision on establishing the EA team;

- EA plan;

- Comments on the EA report of each member;

- Summary of in-depth study results on the criteria of the members;

- Report on the study results of the EA dossier;

- Memorandum of Understanding after the preliminary survey;

- Report on the official survey results;

- Records of completion of the official survey;

- Official dispatch of the educational institution on accepting or reserving comments of the draft EA report (if any);

- Report on EA of the training program.

d) The period of preservation, storage and use of dossiers at the EQAOs in accordance with the regulations of the Law on Archives and applicable regulations.

The above is a general guidance on self-assessment and EA of the training program. Educational institutions and EQAOs can add other forms to better serve the assessment but must ensure compliance with the procedures prescribed in Circular No. 38/2013/TT-BGDDT. In addition, to save time, human

resources and costs for both parties, educational institutions are encouraged to register for EA of several training programs at the same time with the EQAO.

This document shall replace Official Dispatch No. 1075/KTKDCLGD-KDDH dated June 28, 2016 of the Department of Quality Control on guidance on self-assessment of training programs and Official Dispatch No. 1076/KTKDCLGD-KDDH dated June 28, 2016 of the Department of Quality Control on guidance on external assessment of training programs.

During the implementation process, if there are any problems or suggestions, please contact the Department of EQA, Department of Quality Control, MOET at: 35 Dai Co Viet, Hai Ba Trung, Hanoi; email: phongkdclgd@moet.gov.vn for timely resolution./.

**PP. MINISTER
DEPUTY MINISTER**

Le My Phong