MODULE 1C

IQAF 2025 Edition

Thematic Audit for Area 5: Before and During Audit

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Standard Writer — IQAF 2025

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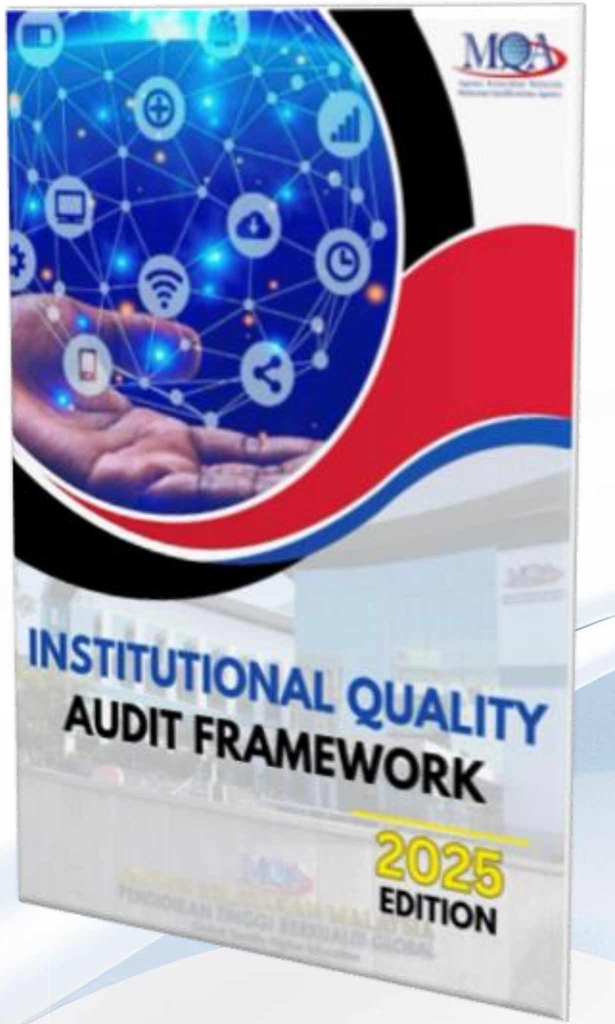
Structure of IQAF 2025 Document

Section	Content
Section 1	Introduction to Institutional Audit for Malaysian Higher Education
Section 2	Criteria and Standards for Higher Education Providers
Section 3	Submission for Institutional Audit
Section 4	Institutional Audit
Section 5	Panel of Auditors
Section 6	Guidelines for Preparing Institutional Audit Report
Appendix A	Flowchart for the Institutional Audit Process
Appendix B	Mapping of Section 2, Section 3 and Section 6



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Before and During the Audit Visit

Panel of Auditors (POA)

- For a typical institutional audit for self-accreditation (SA) status:
  a) Chairperson
  b) Secretary
  c) Members of POA – typically, 3 persons
  d) MQA-BAI officer(s)/secretariat

  - In a 5-member POA team inclusive of the chairperson and the secretary, one POA member, will be in-charged of one area of evaluation.

- Composition of POA for the Thematic Audit for IQAF Area 5:
  a) Chairperson (the same chairperson for the SA renewal audit)
  b) One panel member
  c) An MQA officer as subject-matter expert (SME)
  d) MQA-BAI officer/secretariat

Audit Schedules (Processes involving POA only)

POA coordination meeting

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Preparatory meeting

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DURING VISIT (3 DAYS)

Day 1	Opening Meeting		
Day 1	Meeting with Head of the HEP (Vice-Chancellor/President)		
Day 1	Other senior management (in parallel sessions)		
Day 1	Governing Board	Senate	
Day 1	Strategic & info management units	Human resource & finance units	Academic development & management units
Day 1	Site visit to common facilities (HEP level)		
Day 2	Faculty deans	Directors of research units	Heads of academic units
Day 2	Programme heads (Science, Tech. & Med.)	Programme heads (Social Sciences)	Heads of non-academic units
Day 2	Academic staff (Science, Tech. & Med.)	Academic staff (Social Sciences)	Staff associations/ representatives
Day 2	Undergraduate students	Postgraduate students	Student representatives
Day 2	Alumni (Undergraduates)	Alumni (Postgraduates)	Employers/Industry stakeholders
Day 2	Site visit to faculty facilities (selected faculties)		
Day 3	Meeting with IQA unit or units supporting the HEP's IQA system		
Day 3	Programme assessors (internal/external)	HEP's Accreditation committee	
Day 3	Document verification — self-accreditation processes		
Day 3	POA internal meeting		
Day 3	Exit Meeting		

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Audit report review meeting(s)

Proposed schedule for Area 5 Thematic Audit:

POA coordination meeting

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Preparatory meeting

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VISIT DAY

09:00	Opening Meeting	
10:00	Meeting with IQA unit (or units supporting the HEP's IQA system)	
11:15	Programme heads (Science, Tech. & Med.)	Programme heads (Social Sciences)
12:15	Programme assessors (internal/external)	HEP's Accreditation committee
14:00	Document verification — self-accreditation processes	
15:00	POA internal meeting	
16:00	Exit Meeting	

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Audit report review meeting(s)

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Formulating Interview Questions

- Use IQAF 2005 Appendix B as guidance:

Section 2: Criteria and Standards for Higher Education Providers	Section 3: Submission for Institutional Quality Audit — The Required Documentation Part B: Information on Standards	Section 6: Guidelines for Preparing Institutional Quality Audit Report: Evaluation of Standards
5.1 Internal Quality Assurance System		
5.1.1 The HEP **must** have an independent department or equivalent unit dedicated to, and responsible for, the internal quality assurance system, led by a competent person with a direct line of reporting to the head of institution or the governing board.	5.1.1 (a) Based on an organisation chart or equivalent diagram showing lines of authority and reporting, explain the structure and position of the department (or equivalent unit) within the HEP that is responsible for the internal quality assurance (IQA) system, as well as the qualifications and competencies of its head. (b) Describe the terms of reference and resource capacity (including HR) of the department or unit responsible for the HEP's IQA system and its reporting lines. Explain how independent and prominent it is in implementing the system within the HEP. (*Note: An IQA system may form part of the HEP's overall Quality Management System or operate in coordination with it.*)	5.1.1 Evaluate the current status of the department, or its equivalent unit, dedicated to and responsible for the HEP's IQA system. The evaluation should consider: • its capacity, independence and prominence within the institution; • the qualifications and competencies of its head; and • whether he or she has a direct line of reporting to the head of institution, the governing board or other relevant authorities.
Notes/Interview Questions:		**Remarks/Evidence:**

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Formulating Interview Questions

- Tips in formulating audit questions:
  - Employ Effective Questioning Techniques
    - **Use a Funnel Approach** — Combine both open-ended and closed questions by starting with broad inquiries and gradually narrowing down to confirm specific impressions and facts;
    - **Focus on Major/Systemic Issues** — Frame questions around significant issues and the achievement of educational/institutional goals rather than dwelling on minor procedural details;
    - **Triangulate Information** — Develop questions that can be asked across different groups (e.g., senior management, staff and students) to cross-check and verify consistency in information.

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Formulating Interview Questions

- Tips in formulating audit questions:
  - Employ Effective Questioning Techniques
    - **Avoid:**
      - Asking multiple questions at once,
      - Using long preambles,
      - Sharing personal anecdotes or institutional experiences, and
      - Offering advice or suggestions for improvement.

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Formulating Interview Questions

- Tips in formulating audit questions:
  - Formulate critical pre-audit questions based on the HEP's Self-Review Portfolio (SRP) at both an information and evaluation level to generate strategic questions.
  - The questions should be able to answer key structural questions of the audit, such as
    - *How comprehensive, insightful and perceptive is the SRP?* Parts A & B of SRP
    - *Does it demonstrate a robust, ongoing self-review process?* Part C of SRP
    - *Does the documentation clearly identify institutional strengths and weaknesses?* Part C of SRP
    - *Are the proposed improvement actions appropriate, and do they accurately reflect the HEP's capacity and capability?*

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Formulating Interview Questions

- Tips in formulating audit questions:
  - To thoroughly evaluate a university, questions should not only assess the expected achievements (AL 3), but strategically probe for good/best or exemplary practices (AL 5) across all areas of evaluation, with focus on:
    - **Data Analytics and Predictive Systems** — How does the institution utilise integrated data analytics and technology?
    - **Benchmarking and External Recognition** — Are these practices recognised as exemplary models for other institutions?
    - **Innovation and Future-Readiness** — How does academic development integrate future-ready delivery models?
    - **Stakeholder Impact and Validation** — How is their feedback triangulated and externally validated to exceed expectations, drive curriculum reform and produce measurable societal impact and high graduate employability?
    - **Transformative Outcomes** — Frame questions to measure the ultimate impact of the institution's policies.

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Group Works

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Formulating Interview Questions: Group Works

- Develop interview questions using file: IQAF Area 5 Audit Notes.docx

<table>
<tr><th>Section 2: Criteria and Standards for Higher Education Providers</th><th>Section 3: Submission for Institutional Quality Audit — The Required Documentation Part B: Information on Standards</th><th>Section 6: Guidelines for Preparing Institutional Quality Audit Report: Evaluation of Standards</th></tr>
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• whether he or she has a direct line of reporting to the head of institution, the governing board or other relevant authorities.</td></tr>
<tr><td colspan="2">Notes/Interview Questions:

Stage 1: General Verification (Assessing the Baseline – AL 3)
▪ Could you describe the current organizational structure of the department responsible for the internal quality assurance (IQA) system?
▪ How is the independence of this unit maintained within the institution's overall management structure?
Stage 2: Operational Effectiveness (Confirming AL 3 or AL 4)
▪ In what ways is the IQA unit's authority recognised by other academic and non-academic departments?
▪ How are IQA processes integrated across the various levels of the institution?
Stage 3: Strategic Probing (Probing for Exemplary Practice – AL 5)
▪ How are data and insights generated by the IQA system used to drive strategic institutional decision-making?
▪ Could you provide examples of how your IQA system utilizes digital tools to perform predictive quality analysis?</td><td>Remarks/Evidence:

❑ Organisational chart showing the internal quality assurance system's independence.
❑ Manuals, standard operating procedures and review schedules of the internal quality assurance system.
❑ Records of quality assurance audits and review cycles.
❑ Reporting lines to the vice-chancellor or the governing board.
❑ Documentation of improvement actions resulting from quality assurance audits.</td></tr>
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THANK YOU

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TERIMA KASIH

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