

STATE BANK OF VIETNAM
HO CHI MINH UNIVERSITY OF BANKING



QUALITY HANDBOOK
HO CHI MINH UNIVERSITY OF BANKING

HO CHI MINH CITY – 2025
(For internal circulation only)

FOREWORD

Amidst profound international integration and globalization, coupled with remarkable advances in science and technology, many countries worldwide have identified innovation and international integration in education—especially higher education—as pivotal elements in the sustainable development strategies of their national education systems. Contemporary higher education institutions not only face escalating competitive pressures but must also demonstrate high accountability for educational quality. In this context, the establishment and operation of a robust and effective quality assurance (QA) system has become a top priority for higher education institutions. In Vietnam, although the QA and accreditation system for higher education emerged later than in many other nations and regions, it has been continuously refined and developed to meet the imperatives of quality enhancement during this era of integration.

Profoundly assimilating the Party's and the Government's guidelines and resolutions on the fundamental and comprehensive reform of education and training, and strictly complying with the regulations of the Ministry of Education and Training (MOET) pertaining to QA and accreditation, Ho Chi Minh University of Banking has designated internal quality assurance as a core task. This is executed systematically, continuously, and comprehensively across all facets of the University's operations. The University has formulated a comprehensive QA roadmap and plan, ensuring all necessary conditions for evaluation and accreditation at various levels. Over recent years, the institution has achieved significant milestones, contributing to the comprehensive improvement of all activities, in strict alignment with the vision, mission, and strategic development trajectory of the University.

Since 2017, HUB has been certified under the Quality Management System standard ISO 9001:2015. Commencing the academic year 2024–2025, the University officially adopted the latest standard iteration – ISO 21001:2018 – designed specifically for educational organizations. Ho Chi Minh University of Banking has been granted the Certificate of Accreditation for Educational Quality at the institutional level (Cycle II) pursuant to MOET standards and is preparing for institutional assessment under the international AUN-QA standards. Currently, HUB boasts 14 training programs accredited and recognized as meeting quality standards under both national (MOET) and international (AUN-QA) frameworks. As of now, 100% of HUB's undergraduate and master's programs have been evaluated and certified as meeting quality standards.

With a commitment to continuously improving and enhancing the internal QA system, the Quality Handbook of Ho Chi Minh University of Banking has been compiled to provide information, guidance, and support for individuals and units throughout the University to implement QA activities in a consistent, effective, and unified manner.

The Editorial Board of the Quality Handbook **earnestly** looks forward to receiving constructive feedback from individuals and units inside and outside the University to further **refine** the content of this Handbook. All contributions related to the content and format of the Handbook may be sent to: phongktdbcl@hub.edu.vn

Yours sincerely,

Ho Chi Minh City, April 2025

The Editorial Board

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LIST OF ABBREVIATIONS

Abbreviation	Meaning
MOET	Ministry of Education and Training
BOR	Board of Rectors
QP	Quality Policy
QMR	Quality Management Representative
QA	Quality Assurance
FM	Faculty Member
HD	Guideline
QO	Quality Objectives
SR	Scientific Research
ISO	ISO 21001:2018 Standard
HEQA	Higher Education Quality Assessment
QM	Quality Management

CHAPTER 1.

GENERAL INTRODUCTION TO THE QUALITY HANDBOOK

1.1. General Overview

The Quality Handbook of Ho Chi Minh University of Banking is a compilation of quality documented information and policies, systematized in the form of procedures and guidelines to ensure the effective operation of the University's Quality Management System (QMS) in accordance with ISO 21001:2018 standards and the quality assurance standards of the Ministry of Education and Training (MOET). At the same time, it makes reference to the AUN-QA standards for quality assessment at both program and institutional levels.

The Quality Handbook of Ho Chi Minh University of Banking (HUB) serves not only as a management tool but also as a guiding compass for all management and training activities of HUB. It meticulously delineates the quality management system and establishes methodologies to assure and maintain quality in strict compliance with ISO 21001:2018.

Furthermore, this Handbook embodies the unwavering commitment of the University's leadership to deploying systematic, rigorous, and scientific management practices aimed at perpetually elevating the quality and efficacy of administration and education. Concurrently, it ensures that all institutional activities are executed

consistently, in perfect alignment with the quality policy, and fulfill the expectations of all interested parties.

1.2. Structure of the Quality Handbook

The Quality Handbook consists of 8 chapters corresponding to the 8 parts of ISO 21001:2018, including:

Chapter 1. General Introduction to the Quality Handbook

Chapter 2. Introduction to Ho Chi Minh University of Banking (HUB)

Chapter 3. General Introduction to the Quality Management System of Ho Chi Minh University of Banking

Chapter 4. Context of the Organization

Chapter 5. Leadership

Chapter 6. Support

Chapter 7. Operation

Chapter 8. Performance Evaluation and Improvement

Appendix

1.3. Quality Handbook Management

1.3.1. Responsibilities for Compilation and Revision

The Quality Management Representative is entrusted with the responsibility of delegating the compilation and scrutinizing the Quality Handbook. The Representative is also tasked with directing its management, revision, and timely updates to ensure its enduring alignment with the actual conditions of the University in each period.

1.3.2. Intended Users

The designated users of this Handbook encompass the University Council, the Board of Rectors, the Quality Management Representative, Heads of faculties, centers, institutes, and relevant departments, as well as all faculty and staff members of the University.

The distribution of the Quality Handbook to clients, certification bodies, competent authorities, or any external entities shall exclusively proceed upon the explicit authorization of the Rector or the Quality Management Representative.

1.3.4. Quality Handbook Management

The Quality Handbook is meticulously controlled and managed based on the following parameters: document title, code, issue number, date of issue, and page count. Before being distributed to relevant units within the University, the Handbook must be signed for confirmation. However, such approval signatures are exempt when distributed to certification bodies.

The Testing and Quality Assurance Department is responsible for monitoring, controlling, and distributing the Quality Handbook as well as its subsequent revisions and modifications. When there are changes in the University's organizational structure or operations, the Quality Handbook shall be updated and redistributed in accordance with the documented information control procedure.

The duplication of the Quality Handbook must be approved by the QMR, authorized by the Rector, and carried out only from the

original copy.

1.4. Abbreviations and Definitions

Quality Policy: The overall strategic direction formally articulated by the Rector.

Quality Objective: The specific targets established by the University and its subordinate units across research, management, teaching, learning, and operations; these objectives must be measurable and comparable.

Procedure: The specified way to carry out an activity or a process.

Guideline: Specific directives detailing the methodology for executing a task.

Quality Management System: The management system that establishes and controls quality-related activities within the University

Process: A set of interrelated or interacting activities that transform inputs into outputs.

Corrective Action: Action to eliminate the cause of a nonconformity and to prevent recurrence.

Preventive Action: Action to eliminate the cause of a potential nonconformity or other undesirable potential situation.

Document: Documented information dictating the procedure for performing a task or activity.

Record: Documented information stating results achieved or providing evidence of activities performed.

Customer: Learners (undergraduates, postgraduates, doctoral candidates) and other beneficiaries (e.g., employers).

Regulation: A document stipulating the functions, duties, authorities, and delegation of responsibilities for departments, faculties, and individuals.

Legal Documents: External statutory and regulatory documents retained and applied by the University to ensure institutional compliance with national laws and relevant state mandates.

CHAPTER 2.
INTRODUCTION TO HO CHI MINH UNIVERSITY
OF BANKING

2.1. Overview of the University

- **University Name:**

- In Vietnamese: Trường Đại học Ngân hàng Thành phố Hồ Chí Minh
- In English: Ho Chi Minh University of Banking

- **Governing Body:** State Bank of Vietnam.

- **Address:**

- **Headquarter – District 1:** 36 Ton That Dạm Street, Saigon Ward, Ho Chi Minh City.
- **Ham Nghi Campus:** 39 Ham Nghi Street, Saigon Ward, Ho Chi Minh City.
- **Thu Duc Campus:** 56 Hoang Dieu 2 Street, Thu Duc Ward, Ho Chi Minh City.

Phone: (028) 38 291901 Fax: (028)38 212584

Website: www.hub.edu.vn E-mail: dhnhtp HCM@hub.edu.vn

- **Type of Institution:** Public University

- **Milestones in Development:**

Ho Chi Minh University of Banking (HUB) originated from the Banking Professional School – Campus II, Ho Chi Minh City, established under Decision No. 1229/NH-TCCB dated December 16, 1976, of the State Bank of Vietnam. Throughout various stages of

development, with changes in name, organizational structure, functions, and tasks, the University officially adopted its current name—Ho Chi Minh University of Banking—on August 20, 2003, under Decision No. 174/2003/QĐ-TTg of the Prime Minister, following its separation from the Banking Academy.

Since its recognition as an institution affiliated with the State Bank of Vietnam, bearing the mission of cultivating high-caliber human resources in finance and banking, HUB has continuously evolved and solidified its standing as a premier multidisciplinary higher education institution. The University plays a pivotal role in education, scientific research, and knowledge transfer across the disciplines of economics, finance–banking, business, and management.

Currently, HUB accommodates an enrollment of over 16,000 learners across 16 undergraduate, 6 master’s, and 3 doctoral programs. The University concurrently offers professional development and certification programs in Finance–Banking, as well as foreign language and information technology certificates. HUB has been implementing undergraduate and postgraduate joint training programs with international partners such as the University of Bolton (UK), University of Toulon (France), University of Lincoln (New Zealand), EM Normandie Business School (France), Griffith University (Australia), and the University of Adelaide (Australia).

In nearly 50 years of development, HUB has continuously enhanced its training quality, strengthened scientific research, and expanded cooperation with the business community and international partners, affirming its role as a center for high-quality human resource training in economics, international business, business administration, and finance–banking in Southern Vietnam.

HUB has been honored with numerous prestigious awards by the Party, the State, and the Government due to its continuous efforts throughout the process of establishment and development. The University has conferred on the First, Second, and Third-Class Labor Orders, as well as the Second and Third-Class Independence Orders. In addition, HUB has received the Government’s Emulation Flag, the State Bank of Vietnam’s Emulation Flag, and multiple Certificates of Merit from the Governor of the State Bank of Vietnam, the Minister of Education and Training, and the People’s Committees of provinces and cities. These achievements testify to the University’s sustainable and meaningful contributions to education and training, scientific research, and community service.

2.2. Mission, Vision, Educational Philosophy, Core Value, and Quality Policy

Mission

HUB provides the society and the banking sector with high-quality human resources, high - impact research, along with consulting services and community services. HUB creates an

educational ecosystem, provides lifelong learning opportunities; thrives for holistic development for students, with creativity and a spirit of serving.

Vision

HUB is oriented to become a multidisciplinary and interdisciplinary in the group of prestigious universities in Southeast Asia. HUB is a pioneer in the application of digital technology in training, research and solving interdisciplinary problems.

Core Values:

Honesty and Integrity: HUB values integrity and honesty in all action; ensures consistency in our thoughts – words – actions.

Unity: HUB takes the motto of unity for combined power; guarantees the harmonized interests among related parties for mutual development.

Be the Pioneer: HUB is the pioneer in applying scientific and technological achievements to training, research, management and administration activities; creating and leading trends.

Educational Philosophy

“Liberal Education– Interdisciplinary– Experience”

Liberal Education: HUB creates an educational environment to help learners discover their own potential; acquire in-depth specialized knowledge of the discipline on the basis of comprehensive general knowledge; develop intellectual capacity and personal skills; shaping positive individual values; educating students to become self-

reliant, creative and responsible citizens

Interdisciplinary: HUB aims to train learners with interdisciplinary understanding to avoid biases in decision making, increase the ability to connect with experts, and widen their employment opportunities.

Experience: HUB delivers an educational model of "maturity through experience". Through experience, learners will have a deeper understanding of theory and form practical thinking, implementation capacity, thereby adapting and improving the environment.

2.3. Organizational Structure

The organizational structure of HUB consists of:

- **Party Committee of the University:** the Communist Party of Vietnam organization within the University, providing comprehensive leadership over all activities to ensure political orientation and sustainable development.

- **University Council:** the governing body that represents the State Bank of Vietnam and other stakeholders in the University.

- **Board of Rectors:** consisting of the Rector and Vice Rectors, responsible for managing and administering all activities of the University.

- **Scientific and Academic council; Advisory councils:** serving as advisory and decision-making bodies on matters related to the University's fields of activity

- **Functional Departments and Equivalent Units:** responsible for providing support and management in areas such as training, scientific research, international cooperation, student affairs, finance, human resources, facilities management, and other areas in accordance with their assigned functions and duties.

- **Faculties:** Perform tasks related to training and research in specialized fields.

- **Centers:** Provide services supporting training, research, skill development, and the organization of information and documentation systems.

- **Subordinate Units:** responsible for training, training support, research, service provision, and the development of the University's activities.

In addition, the University also has other mass organizations such as the Youth Union, the Student Association, and the Trade Union to support and promote extracurricular, cultural, sports, and social activities for students, staff, and lecturers.

This organizational structure is designed to ensure effective operations and to fulfill the University's objectives in training, research, and community service.

The organizational chart of Ho Chi Minh University of Banking (HUB): see Appendix 1-QH.

2.4. Faculty and Staff Members

As of December 31, 2024, HUB employed more than 500 faculty

and staff members. Among them, 208 lecturers hold academic titles and degrees of Professor, Associate Professor, or Doctor of Philosophy. This number places HUB among the top three universities in the field of economics in Vietnam in terms of highly qualified faculty members. The academic staff of HUB comprise not only subject-matter experts, researchers, and managers with extensive professional experience, but also committed educators who demonstrate strong dedication to support students. Notably, this high-quality workforce is distributed across all training programs and has been developed comprehensively to support the University’s mission. In addition to its recognized strengths in economics and finance, HUB also has leading Professors and Doctors in the fields of Artificial Intelligence (AI), Data Science, and Financial Technology. The diversity and depth of expertise contribute significantly to enhancing the quality of education and training, particularly in the context of the ongoing digital transformation in the economy and the banking sector.

The specific information regarding HUB’s faculty and staff members is as follow:

Total number	Professor	Associate Professors	PhD Holders	Master’s Degree Holders	Bachelor’s Degree Holders	Other
503	2	35	152	236	48	30

Source: Department of Organization and Personnel

2.5. Facilities

HUB currently operates three campuses, including two located in the central District 1 and one modern campus in Thu Duc, with a

total area of more than 11 hectares. All facilities have been developed under the orientation of “Green – Modern – Substantial,” ensuring sustainable development and contributing to the enhancement of comprehensive education quality.

The infrastructure consists of 186 lecture halls and smart classrooms, all equipped with air conditioning and modern teaching aids; practice laboratories; and a combined traditional and digital library system. The University also provides 328 well-furnished dormitory rooms together with high-quality canteen services, ensuring safe and convenient living conditions for students. In addition, HUB has developed a diverse sports ecosystem, including football, volleyball, basketball, tennis, pickleball, table tennis, and badminton courts, as well as a covered swimming pool and an international-standard indoor sports arena. These conditions create a comprehensive educational environment where students can study, enjoy recreational activities, and engage in physical training in a safe, friendly, and supportive atmosphere.

HUB is progressively actualizing the “University-in-a-Park” model (*a campus intricately designed and operated as a green, sustainable park-like environment*) while striving to be a trailblazer in developing and publishing governance reports in strict accordance with ESG standards. These endeavors solidify the University’s vanguard role in championing higher education aligned with sustainable development.

2.6. Quality Assurance

HUB currently has 14 training programs accredited and certified under both national (MOET) and international (AUN-QA) standards. To date, 100% of the University's undergraduate and master's programs have been externally evaluated and recognized as meeting quality standards.

Beyond program-level accreditation, HUB has also been granted the institutional accreditation certificate (Cycle II) under MOET standards. At present, the University is completing the final preparations for the external assessment at the institutional level based on AUN-QA international standards.

In addition, HUB has been certified with the Quality Management System ISO 9001:2015 since 2017. From the academic year 2024–2025, the University officially transitioned to ISO 21001:2018, a standard specifically designed for educational organizations, in order to enhance governance efficiency and strengthen quality assurance across all activities in education, research, and community service.

CHAPTER 3.

GENERAL INTRODUCTION TO THE QUALITY MANAGEMENT SYSTEM OF HO CHI MINH UNIVERSITY OF BANKING

3.1. Scope of the Quality Management System (QMS)

The Quality Management System (QMS) of Ho Chi Minh University of Banking (HUB) is established and operated in accordance with ISO 21001:2018, aiming to ensure educational quality, fulfill the needs and expectations of learners and other interested parties, and drive continual improvement across all institutional activities.

The QMS described in this Quality Handbook applies to all core activities of the University, including training, scientific research, and community service. It is implemented consistently across all units of the University, such as departments, faculties, institutes, and centers. The QMS does not apply to political organizations and mass organizations

3.2. Organizational Structure of the Quality Management System (QMS)

The organizational structure for implementing the QMS of Ho Chi Minh University of Banking is established in a consistent and unified manner from the University level to its subordinate units such as departments, faculties, institutes, and centers (see Figure 3.2). This structure reflects the strong commitment of the Board of Rectors and the University's leadership at all levels to quality assurance and

continuous improvement in all activities of the University.

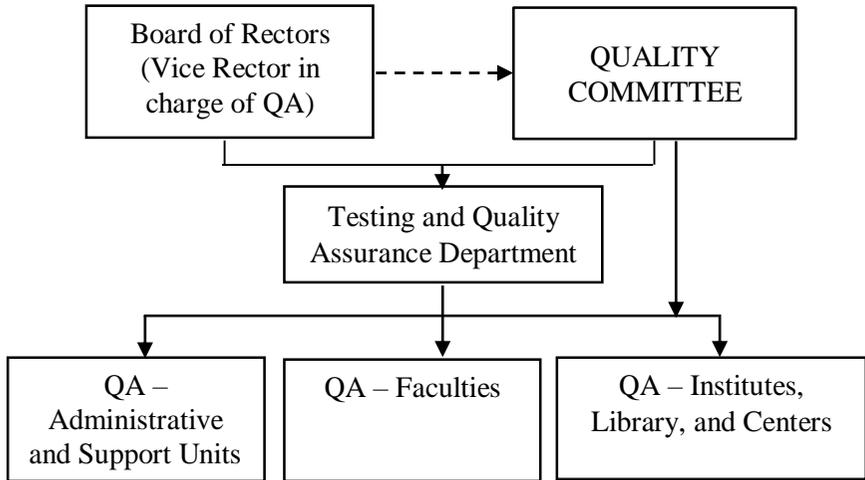


Figure 3.2. Organizational Structure of the Quality Management System of HUB

3.3. Quality Management Documentation System

3.3.1. Overview

The documented information of the University consists of:

- Internal documents: documents issued by the University and applied internally. This group includes the Quality Policy, Quality Handbook, Strategic Plan, Quality Objectives, Organizational Chart, Functions and Duties (of units), Responsibilities and Authorities of staff; as well as relevant Regulations, Rules, Procedures, and Instructions of the University.

- External documents: legal documents of the Government or professional guidelines issued by external agencies and organizations related to the University's training, scientific research, community

service, and management and operation activities.

- Structure of the QMS documentation system at the University:



3.3.2. Management and Use of QMS Documents and Records

- The University's Quality Management System is periodically reviewed by the Board of Rectors to ensure its continued relevance to management and teaching practices, and to implement effective preventive and corrective improvement measures.

- All QMS documents and records carry unique identifiers, such as title, code, revision status, and are distributed to users in a timely manner.

- Documents are distributed and controlled through the quality management representative.

- All QMS documents may be revised to meet the practical needs of management and of subordinate units such as departments, faculties, institutes, and centers. Revised documents are issued and

updated promptly, while obsolete documents are either discarded or marked as “Invalid” in the document list if retained for reference

- Records are controlled by identifiers (record code), storage location, retention period, and disposal procedures when expired

Furthermore, digital documented information of subordinate units is securely archived on institutional servers by designated personnel, with access privileges meticulously configured. Data security and confidentiality are strictly enforced, and the University’s central data system undergoes routine backups to proactively prevent and swiftly recover from any potential data loss triggered by hardware failures, operational errors, or cybersecurity threats.

Referenced Documents: see Appendix 2 of the QH

3.3.3. System of Management Procedures

The system of procedures and detailed forms of the University is published on the website of the Testing and Quality Assurance Department (<https://phongktdbcl.hub.edu.vn/>) and is specified in Appendix 2 of the QH.

CHAPTER 4.

CONTEXT OF THE UNIVERSITY

4.1. Understanding the University and Its Context

In the process of planning, developing, and implementing the QMS in accordance with ISO 21001:2018, the University has identified and analyzed both external and internal issues (including positive and negative factors) related to its mission, social responsibility, and strategic orientation. These factors directly affect the achievement of the expected outcomes of the educational quality management system.

External issues encompass the regulatory frameworks of the Ministry of Education and Training and the State Bank of Vietnam, the broader socio-economic landscape, the competitive milieu, market trajectories, and other exogenous variables impacting the University's educational operations.

Internal issues comprise the University's mandated functions, duties, infrastructure, human capital, core values, organizational culture, organizational knowledge, and overall operational performance.

Both internal and external issues are reviewed, updated, and documented in such records as Party Committee resolutions, the University's development strategy, and annual activity plans. Evaluation and adjustments are conducted through monthly, quarterly, and annual reviews, or extraordinary sessions when

necessary, to ensure that the QMS operates effectively and adapts to contextual changes

Referenced document: see Appendix 4 of the QH – SWOT Analysis on the University’s Context

4.2. Understanding the Needs and Expectations of Stakeholders

The University regularly monitors, collects, and reviews information regarding stakeholders and their relevant requirements in order to determine their impact or potential impact on the University’s ability to provide educational products and services in a stable and consistent manner. This identification and review process ensures alignment with the needs of learners, related stakeholders, as well as compliance with current legal requirements. The information identified includes:

- Interested parties related to the quality management system;
- The requirements of these interested parties that affect the University’s quality management system.

The evaluation results are reviewed, adjusted, supplemented, and improved by the Board of Rectors and functional units during the development, implementation, maintenance, and continuous improvement of the QMS, with the aim of enhancing the satisfaction of learners and stakeholders.

Referenced document: see Appendix 5 of the QH

4.3. Scope of the Quality Management System

Details are presented in Chapter 3 of the QH.

4.4. The Quality Management System and Its Processes

The University's QMS serves as a tool to provide standards for management and teaching activities, enabling staff and lecturers to perform management, teaching, and control tasks in a consistent, systematic, and effective manner.

The University establishes, implements, maintains, and continually improves its QMS in accordance with the requirements of ISO 21001:2018, aiming to enhance the quality of teaching, learner management, and scientific research

The establishment and implementation of the QMS comprise a series of structured activities to ensure the system's effectiveness and efficiency, specifically:

a. Identifying and applying the necessary processes within the QMS across all University activities:

All activities related to the quality of the University's educational products revolve around three main areas: teaching, learning, and scientific research. Each area consists of multiple interrelated processes, while close interaction also exists among the areas to ensure the unified and effective operation of the system.

The QMS of the University is operated and controlled through the following processes:

- Management processes: including internal audits, management reviews, control of feedback and handling of complaints from interested parties, as well as continuous process and system

improvement.

- Learner-centric processes (educational processes): covering activities directly related to the provision of training services, ensuring responsiveness to the needs and expectations of learners and other beneficiaries.

- Support processes: consisting of logistics, technical services, information technology, library, administration, and other support services, which facilitate the effective implementation of all processes.

- b. Determining the sequence and interaction of processes.

- c. Identifying the standards and methods necessary for effective operational management and process control.

- d. Managing the availability of resources and information needed to support operations and monitor processes.

- e. Monitoring, measuring (where applicable), and analyzing process-related data to assess the degree of requirement fulfillment.

- f. Taking necessary actions to achieve expected results and to ensure continual improvement of processes.

Referenced document: see Appendix 3 of the QH

CHAPTER 5.

LEADERSHIP RESPONSIBILITIES

5.1. Leadership and Commitment

The Board of Rectors of Ho Chi Minh University of Banking is committed to establishing, implementing, and continuously improving the Quality Management System in the most effective manner through the following actions:

- a. Ensuring communication across the University about the importance of fully meeting customer requirements and legal requirements.
- b. Providing general QMS awareness training for all academic and administrative staff.
- c. Providing retraining when necessary or when organizational changes occur;
- d. Disseminating the Quality Policy and Quality Objectives through meetings and University documents.
- e. Organizing internal quality audits to identify nonconformities in the quality system for improvement.
- f. Reviewing the effectiveness and efficiency of the system to ensure continual improvement

5.2. Focus on Learners and other beneficiary

The Board of Rectors ensures that all requirements of the Ministry of Education and Training, learners, and their families are fulfilled through the processes described in this Handbook. By

establishing and implementing policies, quality objectives, and strict control of the processes presented in the Quality Handbook, the University guarantees the necessary conditions to meet learner and other beneficiary requirements. The University continuously collects and addresses feedback, complaints, and satisfaction assessments from learners and other interested parties.

The Board of Rectors ensures that adequate resources and training are provided to facilitate accessibility within the learning environment for learners with special educational needs. Reasonable accommodations are arranged to promote equitable access to facilities and educational resources, including the provision of accessible walkways, elevators, designated restrooms for persons with disabilities, specialized academic support, and assistive devices.

Referenced document: see Appendix 2 of the QH

5.3. Establishing and Maintaining the Quality Policy

The Quality Policy (QP) of Ho Chi Minh University of Banking reflects the commitment of the BOR and all academic and administrative staff to comply with institutional regulations, apply and continuously improve management and educational practices, and enhance the quality of learners.

The QP is disseminated to every lecturer, staff member, and learner, and all are responsible for its effective implementation.

The Policy is reviewed annually by the BOR to ensure alignment with the University's development strategy.

Since 2024, HUB has adopted the following Quality Policy:

- The University leadership is strongly committed to mobilizing all available resources to sustain and enhance the quality of education, research, and community engagement; and to establish long-term quality assurance strategies and policies that are transparent and accessible to all interested parties.

- HUB designs and develops academic programmes with a strong orientation towards digital transformation and interdisciplinarity, in line with the University's liberal, interdisciplinary, and experiential education philosophy, thereby responding to the evolving needs of the labour market. The curricula are periodically reviewed, updated, and improved based on interested parties feedback.

- HUB strengthens a sustainable pool of high-quality human resources, with a particular focus on developing internationally competent faculty across disciplines and training fields, ensuring teaching needs are fully met, while enhancing staff performance and learner satisfaction with support services.

- HUB invests in and maintains modern and well-integrated facilities that support learning, research, extracurricular activities, and sports for both students and faculty; towards building a green, modern, and internationally recognised campus. Gradually, HUB implements digital university governance systems and applies generative AI in teaching and research.

- HUB fosters a learning environment that enables learners to unlock their full potential, enhances the annual on-time graduation rate, and ensures that graduates achieve the programme learning outcomes, with interdisciplinary knowledge, research competence, and the capacity for further academic advancement.

- HUB continuously improves research policies to encourage and maximise faculty and student engagement in research, innovation, and knowledge transfer. Research outcomes are applied to teaching practices, technology transfer, and entrepreneurial initiatives. HUB develops strong research groups with interdisciplinary capacity across multiple fields.

- HUB establishes a rigorous internal quality management system with a clear structure, defined functions, and explicit responsibilities, thereby enhancing individual and unit performance while contributing to the achievement of strategic goals. The institution and its academic programmes are periodically accredited, evaluated, and ranked by reputable national and international organisations, in alignment with the University's strategic roadmap. Internal audit and external accreditation results are utilised to drive continuous quality enhancement.

- HUB revises its policies and procedures to strengthen external relations, networks, and partnerships with industries, professional associations, alumni, governmental and non-governmental organisations, and universities both nationally and

internationally. These collaborations create opportunities for students and faculty to participate in exchange programmes, internships, and international research projects.

- HUB promotes and sustains a culture of ethics and social responsibility across its community. Policies are continuously improved to encourage voluntary activities, environmental protection, community engagement, and social services, thereby contributing to national development and the achievement of the sustainable development goals.

Reference Document: HUB Quality Policy

5.4. Roles, Responsibilities, and Authorities

The responsibilities, authorities, and functions of each unit and individual job position are clearly and appropriately defined. On this basis, the BOR is able to assign suitable personnel to each role, ensuring that no tasks are overlooked, no responsibilities are neglected, and that staff members receive fair compensation commensurate with their performance.

In addition to complying with relevant legal regulations, HUB has developed and promulgated its own regulations, policies, and frameworks for delegation and accountability. These documents specify the roles, responsibilities, and authorities of the University leadership, heads of subordinate units, and individual positions within the institution.

Reference Document: Regulations on Organization and Operation

of HUB; Functions and Responsibilities of HUB Units and Subordinate Units; Job Descriptions.

5.5. Planning

5.5.1. Actions to Address Risks and Opportunities

When planning the quality management system, HUB takes into account its internal context to leverage strengths and overcome limitations, while also analyzing the external environment to identify risks, challenges, and opportunities. Based on this, HUB develops and implements appropriate actions. The University integrates risk control and opportunity management into all QMS processes

On an annual basis, aligned with the academic cycle, HUB identifies risks and opportunities, assesses their potential impacts, determines appropriate control measures, and monitors their implementation. Throughout the cycle, if quality incidents arise or significant changes occur that affect the system, risks and opportunities are re-evaluated to verify the effectiveness of the control measures. This ensures continuous and systematic improvement across all operations.

Referenced Documents: see Appendix 2 of the QH

5.5.2. Quality Objectives and Planning to Achieve Them

The Quality Objectives (QO) of HUB are established by the Rector, reflecting the University's commitment to its development strategy and serving as the basis for the BOR to evaluate performance annually. The QO are implemented through the University's annual

operational plans.

Based on HUB's QO, Heads of Units are required to formulate their own unit-specific QO and action plan, which must be submitted to the BOR for approval. When planning how to achieve their QO, each unit must clearly identify:

- What needs to be accomplished
- The required resources
- The persons in charge
- The timeline for completion
- The criteria for evaluation of outcomes.

All academic and administrative staff are responsible for fulfilling their assigned duties and responsibilities. The BOR evaluates the effectiveness of each unit's work based on the implementation of their approved operational plan.

The implementation of the QO and annual operational plan is reviewed and evaluated in the University's monthly coordination meetings

Reference Document: HUB's Annual Operational Plan

5.5.3. Planning of Changes

The BOR is responsible for planning and providing adequate resources for management, training, and teaching activities as required by the quality management system in order to implement the QP and the QO.

The Board of Rectors judiciously allocates sufficient resources

whenever significant changes arise that may impact teaching quality, learner outcomes, or the integrity of the QMS. Such changes encompass, but are not limited to, organizational restructuring, personnel transitions, curriculum modifications, or the introduction of novel academic disciplines, thereby guaranteeing the enduring suitability and effectiveness of the QMS.

CHAPTER 6.

RESOURCE MANAGEMENT

6.1. Provision of Resources

The BOR ensures the provision of adequate resources for the establishment, implementation, maintenance, and continual improvement of the QMS, with the aim of enhancing both the effectiveness and efficiency of the system, as well as ensuring the engagement and satisfaction of learners, faculty members, staff, and other beneficiaries.

The University identifies and continually monitors internal resources—such as human capital, facilities, and the working environment—while concurrently leveraging external resources, including recruitment channels and financial sponsorships. Throughout this process, the University explicitly incorporates the unique needs and accessibility requirements of learners with special educational needs.

6.2. Human Resources

6.2.1. General Regulations

Each lecturer and staff member of the University must possess adequate competence and experience through appropriate training and sufficient internship or practice. The requirements regarding qualifications, teaching experience, and professional competence of lecturers and staff are clearly specified in the regulations on roles and responsibilities of each position, teaching regulations, management

procedures, as well as the job description schemes of individuals and units.

6.2.2. Competence, Awareness, and Training

The management of lecturers and staff members is regulated and implemented through established procedures, including the Recruitment and Management of Lecturers and Staff, and the Training and Professional Development of Lecturers and Staff. When necessary to enhance the competence of lecturers and staff members, the University applies various forms of training and provides full support to ensure staff participation.

Mỗi cán bộ ở mỗi vị trí công tác khi được giao thực hiện bất cứ nhiệm vụ nào đều được phổ biến để nhận thức được rằng công việc mà họ thực hiện ảnh hưởng đến các MTCL và CSCL của trường đã đề ra. Cán bộ phòng TCCB của trường có trách nhiệm quản lý các hồ sơ về nhân sự, hồ sơ đào tạo, bồi dưỡng cán bộ.

Each staff member, in every assigned position, is informed that the tasks they perform directly contribute to achieving the University's Quality Objective (QO) and fulfilling the Quality Policy (QP). The Organization and Personnel Department is responsible for managing personnel records, as well as training and professional development records

Referenced document: see Appendix 2 of the HQ

6.3.Organizational Knowledge and Learning Resources

To ensure the conformity of its products and services, HUB

identifies, maintains, and makes available the necessary knowledge at appropriate levels. This knowledge is captured and shared to achieve the University's objectives, including

- Internal sources: intellectual property, practical experience, lessons learned from successes and failures, tacit knowledge, and results from process, product, and service improvements
- External sources: standards, conferences, customer feedback, and inputs from external providers.

Learning resources refer to the essential knowledge required for student learning. These resources include printed and electronic documents, supporting software, research and technology transfer outputs, journal articles, and conference proceedings. Such resources are always accessible, regularly updated, and continuously supplemented to meet the needs of learners, lecturers, researchers, and other interested parties, thereby supporting HUB's missions in education, research, and community engagement

Referenced Document: Learning resources (hard copies and digital formats) at the University Library and Faculties;

- Software supporting teaching and research
- Research and technology transfer outputs

6.4. Facilities and Working Environment

The BOR and Heads of Units are responsible for ensuring all necessary conditions for both the overall operations of the University and the specific functions of each unit. HUB prioritizes the provision

of adequate facilities to support teaching and learning, including hardware and software equipment, library resources, office supplies, and information systems, which serve academic, research, and extracurricular activities of both lecturers and students.

The University pays close attention to all aspects that affect the working conditions and morale of students, lecturers, staff, and employees. The University's authorities and socio-political organizations work in close collaboration to create a scientific, disciplined, yet comfortable working, learning, and training environment, thereby fostering a cohesive and united community. To ensure continuous improvement, HUB conducts an annual staff satisfaction survey on the working environment, while the BOR organizes monthly meetings with staff members to collect feedback. These mechanisms are used to adjust policies, improve working conditions, and encourage staff to actively contribute to the sustainable development of the University.

Referenced document: see Appendix 2 of the HQ

6.5. Resources for Monitoring and Measurement

The University develops a set of measurement tools to monitor and evaluate activities in education, research, and community service, ensuring that measurement results are accurate, reliable, and aligned with national and international standards.

The quality assurance system is established in line with the Internal Quality Assurance (IQA) framework of AUN, ISO 21001

standards, and MOET requirements, aiming to supervise, improve, and evaluate quality.

Monitoring tools include: learners' academic progress; graduation and dropout rates; feedback from the labor market and alumni; and research outcomes

The main evaluation tools in the University include: learner evaluation of teaching quality, training courses, and academic programs; feedback from faculty members and learners on support services; and evaluation of research activities.

The quality assurance processes include: learner assessment QA; staff QA; facilities QA; and student support services QA

Specific quality assurance tools include: self-assessment or SWOT analysis; cross-auditing among educational institutions; information systems; and the quality assurance handbook

The process of monitoring and measuring educational, research, and community service activities is documented and stored by the units according to their functions and management responsibilities

Referenced document: see Appendix 2 of the HQ

6.6. Communication

The University establishes an internal and external communication system to ensure effectiveness, timeliness, and alignment with the quality management system.

Internal communication: is disseminated and received to support management, teaching, student administration, and quality

system improvement through the following channels:

- The regular briefing meetings
- The official documents, directives, and written reports.
- The procedures and operational guidelines within the quality management system.
- The information technology systems such as email, e-office, intranet, and online platforms to ensure fast and accurate information transfer.

External communication: Information in relation to higher authorities, relevant agencies, learners, and families is exchanged and received by the University through official correspondence managed by the General Administration Office, Center for Student Affairs and Corporate Relations, Faculty and staff members also receive and deliver information directly from stakeholders, including directives from higher authorities or requests from external units. Additionally, communication can take place via telephone, email, fax, letters, or official documents. Staff members from the General Administration Office, and Center for Student Affairs and Corporate Relations are responsible for receiving and recording information in the monitoring system, submitting it to the leadership for processing, and assigning tasks to relevant units to ensure timely responses. The Board of Rectors receives and decides on important issues, delegating tasks to appropriate units according to their authority. Feedback or complaints from stakeholders are

handled in accordance with the Complaint Management Procedure (TT-QT/01).

Referenced document: see Appendix 2 of the HQ

CHAPTER 7.

OPERATION

7.1 Operation Planning and Control

All necessary processes for the management, teaching, and scientific research activities of the University are identified and specifically planned. Methods to meet quality requirements are stipulated in operational procedures as well as in work instructions of each departments, faculties, institutes, and centers.

Quality requirements are derived from the Ministry of Education and Training, other state management agencies, the governing body, and also from learners ... These requirements serve as standards for management and training activities.

The training process is closely monitored, inspected, and analyzed at appropriate stages to ensure learner quality and compliance with state regulations on education, training, and scientific research.

All activities within the processes must be accompanied by corresponding records to provide evidence of implementation and confirmation that the results comply with specified requirements.

7.2. Requirements for Products and Services

The University ensures the provision of educational services that meet the requirements of relevant units, comply with current legal regulations, and align with its development strategy. Educational programs are designed and implemented based on labor market needs,

supporting learners in developing comprehensive competencies and enhancing international integration.

Admissions activities are conducted in accordance with regulations of the Ministry of Education and Training, ensuring accuracy, confidentiality, transparency, fairness, objectivity, and scientific rigor. Staff members and lecturers are involved in admissions and are responsible for fulfilling their duties in strict compliance with regulations. The admissions process, from determining enrollment quotas to examinations/selection and result announcement, is implemented in accordance with official requirements.

All educational programs publish their learning outcomes, ensuring that graduates are equipped with the knowledge, skills, and attitudes demanded by society.

All relevant written information is periodically updated and improved, documented for monitoring, and publicly announced on the website to ensure transparency and facilitate relevant units access and compliance.

Referenced Documents: see Appendix 2 of the QH

7.3.Design and Development of Educational Products and Services

7.3.1. Planning for the Design and Development of New Majors and Training Programs

The University carries out tasks assigned by the Ministry of Education and Training and the State Bank of Vietnam in accordance

with current regulations. The implementation of new training programs is prepared, studied, and carried out by the University in accordance with the procedure for introducing new majors and courses.

The University establishes a responsibility assignment plan to implement the necessary steps required by this standard, ensuring the highest effectiveness when launching new programs. The plan includes:

- Researching content and quality requirements, including legal requirements
- Assessing economic feasibility
- Evaluating the University's capacity in terms of lecturers and facilities
- Assigning responsibilities for tasks, units, personnel, and deadlines

7.3.2. Inputs for Design and Development

The Board of Rectors determines and approves, or carries out approval procedures, for inputs to new programs before assigning them to faculties for implementation, including:

- Requirements for content, curriculum, textbooks, and lesson plans.
- Quality and progress targets
- Economic targets
- Relevant legal requirements

7.3.3. Design and Development Control

The Rector, Head of Academic Affairs, Deans, and relevant units are responsible for evaluating results of each step against program requirements, feasibility, and implementation schedule to ensure compliance. These activities are described in management procedures within the University's documentation system. When issues arise, they are discussed and solutions are determined collectively.

The verification and approval of design, preparation for implementation, and conformity of results with inputs are carried out by the Rector and Vice Rector in charge of academic affairs, after functional offices have inspected and evaluated performance and quality in accordance with regulations.

The evaluation and acceptance of the results of each training program are carried out by the University in strict compliance with state regulations on education and training as prescribed by the Ministry of Education and Training, through assessment activities and the organization of examinations in accordance with relevant procedures.

Referenced Documents: see Appendix 2 of the QH

7.3.4 Outputs of Design and Development

Outputs of new programs must meet the following requirements:

- Respond to learners' requirements in terms of cognitive

level, professional knowledge, and skills.

- Provide necessary information for preparation (lecturers, facilities, classrooms, lecture halls, etc.)
- Meet all quality, quantity, and scheduling standards.
- Ensure conditions for effective management of teaching and learner quality.

7.3.5. Control of Changes during Implementation

During teaching and training, any changes requested by relevant units (if any) will be reviewed, evaluated, and decided upon by the BOR, faculties, and relevant units. Adjustments to programs, content, processes, and instructions will be made to ensure suitability and compliance with current regulations

Referenced Documents: see Appendix 2 of the QH

7.4. Control of Externally Provided Processes, Products, and Services

7.4.1. Overview

Procurement of equipment, supplies, and services for teaching, training, and lecturer/student welfare is strictly managed to ensure quality and cost efficiency. Supplier selection and procurement are carried out in accordance with procedures for procurement of assets and management of visiting lecturers. These procedures include:

- Evaluation and selection based on capacity, reputation, experience, performance, or lecturer qualifications and contributions
- Policies for monitoring, managing, and re-evaluating

suppliers.

- Maintaining and updating supplier evaluation records

7.4.2. Types and Levels of Control

The University ensures that externally provided processes, products, and services do not negatively impact its ability to deliver stable and reliable outcomes to relevant units.

Inspection and acceptance during procurement, service contracting, and expert services are conducted in line with contractual terms. The staff is responsible for full compliance with related procedures.

7.4.3. Information for external providers

Procurement and service contracts include complete information according to regulations, such as

- Identification codes, quality standards, quantities, technical documents, drawings, personnel requirements, etc.
- Methods of inspection and acceptance upon delivery.
- Payment terms
- All documents and records related to procurement and service contracting are created and stored by responsible units.

Referenced Documents: see Appendix 2 of the QH

7.5. Management of the Teaching Process

7.5.1. Control of Management and Teaching

The entire process of implementing teaching activities—including planning and teaching; compiling and publishing textbooks

and reference materials; inspecting and monitoring compliance with teaching regulations; supervising and evaluating the training process; organizing examinations and assessing learning outcomes; issuing academic warnings; and conferring degrees and graduation is standardized into procedures to ensure effective management of the University's teaching activities. In addition, the University has several other procedures that support teaching and learning for students and lecturers. All related processes are documented in written form.

Prior to enrollment, the University ensures full, clear, and transparent provision of program information to learners and interested parties. This information is publicly available on the University's official website, high school admissions events, admissions counseling sessions at high schools, fanpages, digital platforms, and other communication channels.

SAfter learners are officially admitted, the University organizes an orientation week to provide essential information, support learners in adapting to the learning environment, and equip them with the necessary knowledge and skills for their academic journey.

Information regarding admission procedures and requirements is publicly announced on the admission portal and communicated directly to each admitted learner. Enrollment records are managed and archived by the academic affairs unit, ensuring integrity, traceability, and clear evidence for every admission decision.

Referenced Documents: see Appendix 2 of the QH

7.5.2. Identification and Traceability

To ensure systematic management of teaching materials, training records, and individual learner files, Ho Chi Minh University of Banking prescribes the use of appropriate codes, year identifiers, and program cohort labels. These are applied for storage, monitoring, and management across functional departments and faculties, enabling easy identification and traceability when required. The processes of locating, identifying, and verifying records are carried out through tracking logs, document receipt registers, and handover records to ensure proper handling and accountability.

7.5.3 Property Belonging to Stakeholders

During the admission process and throughout learners' studies at the University, admission records, academic transcripts, and other related documents under the management of Ho Chi Minh University of Banking are safeguarded to prevent loss or damage. In cases where such property is lost, damaged, or found unsuitable for use, HUB promptly notifies the concerned stakeholders to coordinate solutions and prepares official records for acknowledgment and resolution.

Referenced Documents: see Appendix 2 of the QH

7.5.4. Preservation, Protection, and Transparency of Learner Data

HUB maintains and stores academic records in accordance with established management procedures to ensure data integrity, meeting

the requirements for control and traceability throughout the provision of educational services.

All learner data are safeguarded to ensure transparency and preserved in both hard copy and electronic formats. These data are stored at the respective academic management units. Learners and other interested parties have the right to access their personal data and to request corrections or updates when necessary. The collection, use, and sharing of learner data are carried out only with their explicit consent, in full compliance with regulations on confidentiality and privacy rights.

Referenced Documents: see Appendix 2 of the QH

7.5.5. Control of Monitoring and Measuring Resources

Management and educational support software are developed and periodically improved to facilitate the operation, monitoring, and measurement of the University's activities and learning outcomes. In addition, equipment is regularly calibrated to ensure proper, accurate, and safe operation.

7.6. Approval of Educational Products and Services

The approval of educational products and services for learners and other beneficiaries shall only be conducted after all planned arrangements have been satisfactorily completed; otherwise, it must be authorized by a competent authority and, where applicable, by the learners and other beneficiaries.

Records related to the approval of educational products and

services are maintained by the University. These records include a) evidence of conformity with acceptance standards; b) traceability to the individual authorizing the approval.

The records related to the approval of products and services are retained by the University. These records include evidence of conformity with acceptance standards and traceability to the individual authorized for approval.

CHAPTER 8.

MEASUREMENT, ANALYSIS, AND IMPROVEMENT

8.1. General Regulations

The University regularly identifies, monitors, measures, analyzes, evaluates, and continuously improves its management, teaching, and training processes in order to:

- Ensure that training management and student administration activities are properly implemented and of high quality;
- Ensure the conformity of the QMS;
- Enhance continuously the effectiveness and efficiency of the QMS.

8.2. Monitoring and Measurement

8.1.1. Monitoring and Measuring Customer Satisfaction

The University evaluates the satisfaction of learners, other interested parties, and academic and administrative staff through the receipt and resolution of feedback and complaints. Feedback is collected using various methods such as surveys, suggestion boxes, logbooks for recording and responding to students' inquiries, and indirect channels including email and telephone etc. In addition, HUB and its faculties/units gather input from interested parties via regular meetings, dialogues between the Board of Rectors and students, and events with employers such as workshops, conferences, job fairs, and alumni gatherings. The University uses survey forms and specialized software tools to ensure high reliability in data collection and analysis.

Mid-term evaluation results and related complaints are reviewed and addressed by lecturers before the final examination. Appeals regarding final exam results are handled through the re-marking procedure as regulated. Other types of complaints are resolved following the Complaint Management Procedure (TT-QT/01).

Functional units are responsible for receiving and handling complaints, conducting reviews, and drawing lessons learned periodically after each academic year, training program, and course. Analysis of root causes and proposals for corrective and preventive actions are carried out to continuously enhance the quality of academic programs, teaching effectiveness, and student management.

Referenced Documents: see Appendix 2 of the QH

8.1.2. Monitoring and measuring the Quality of Teaching and Learner Management

All activities and processes within the University's QMS are subject to control. The monitoring and control methods for each specific process are defined in the corresponding procedures of the QMS

The general method for monitoring and measuring processes is based on reviewing the extent to which planned objectives or targets have been achieved. Heads of departments and faculties are responsible for monitoring and evaluating the teaching quality of lecturers under their management.

If planned results are not achieved, the BOR must propose corrective measures, and relevant units are responsible for implementation to ensure the high effectiveness of the QMS.

The quality of teaching, management, and supporting activities of subordinate units is monitored, inspected, and evaluated by the Department of Academic Affairs, Faculty of Postgraduate, Department of Organization and Personnel, Department of Inspectorate, Department of Testing and Quality Assurance, as well as faculties, based on the University's and faculties' annual Quality Objectives. Accordingly, the BOR, heads of offices, and deans will propose continuous improvement measures to meet the requirements of teaching and training tasks.

8.1.3. Analysis and Evaluation

The University identifies, collects, and analyzes data in management and training activities to evaluate the suitability and effectiveness of the QMS and to ensure continuous improvement.

This process supports the following:

- Assessing the level of satisfaction of interested parties
- Determining compliance with the University's operational requirements
- Analyzing trends in improvement and performance results to propose corrective and preventive measures
- Evaluating the effectiveness of external providers.

The results of data analysis regarding teaching quality, student

management, and the QMS are updated, stored, and reported to the Board of Rectors during management review meetings. These results serve as the basis for evaluating, addressing, and proposing corrective, preventive, and improvement measures to enhance the quality of education and management.

8.2 Internal Audit

The University has established a documented procedure regulating the organization of internal quality audits to confirm the conformity of quality activities with the requirements of ISO 21001:2018 as well as with the University's processes and regulations, thereby determining the effectiveness of the QMS.

The University's internal audit activities may be conducted independently or in combination with other regular review processes. In the case of an independent internal audit, the quality management representative is responsible for developing an internal audit plan for submission to the Rector for approval. The plan takes into account the status and significance of the processes and units to be audited, as well as the results of previous quality audits. The selection and assignment of auditors, as well as the conduct of the audit, must always ensure objectivity and impartiality. Auditors are not permitted to audit their own work or the unit where they are employed.

The results of internal quality audits are reported to the Rector and archived in accordance with the regulations on record management.

The heads of departments, faculties, institutes, and centers concerned shall ensure timely application of corrective and preventive measures to eliminate the causes of nonconformities or to prevent recurrence detected during the audit or other operational activities.

The quality management representative or the heads of relevant departments are responsible for directly monitoring or assigning staff to monitor the implementation of corrective and preventive actions and to report on the results

The results of internal audits serve as input for corrective and preventive actions and for the management review of the QMS.

Referenced Documents: see Appendix 2 of the QH

8.3. Management Review

8.3.1 General

The University organizes periodic or ad-hoc meetings to review, analyze, and evaluate the operation of the Quality Management System, ensuring its appropriateness, adequacy, effectiveness, and continuous improvement. These meetings may cover the entire system or specific parts of it, in compliance with the Management review procedure. The results of the reviews are documented and archived according to regulations. Management reviews are conducted through the following meetings:

- Meetings with the University Council, the Board of Rectors, and the Heads of subordinate units;

- Monthly meetings between the Board of Rectors and

subordinate unit leaders;

- Regular meetings of departments, faculties, institutes, and centers

- Internal audits at the Institutional level or Program level;

- Annual meetings of the Emulation and Commendation Council, etc.

8.3.2. Management Review Inputs

The issues to be reviewed by the Board of Rectors include

- The status of actions from previous management reviews

- Internal and external changes relevant to the QMS

- Information on the performance and effectiveness of the QMS, including

- + Stakeholder satisfaction and feedback.

- + The level of achievement of QO.

- + The implementation of processes and the conformity of educational products and services.

- + Nonconformities and corrective actions.

- + Results of monitoring and measurement, and outcomes of audits.

- + Performance of external providers.

- + Results of process evaluation and overall assessment.

- The adequacy of resources.

- The effectiveness of actions taken to address risks and opportunities.

- Opportunities for continual improvement.

8.3.3. Management Review Outputs

After reviewing the issues mentioned above, the Board of Rectors will make decisions to:

- Improve the effectiveness of processes within the QMS
- Enhance processes in education, scientific research, and community service
- Provide the necessary resources for educational, scientific research, and community service activities.

The outputs of the management review are documented in meeting minutes and the BOR' conclusion notices, and are archived by the relevant functional units.

8.4. Nonconformities and corrective actions

8.4.1. Control of Nonconformities

In the areas of education, scientific research, and community service, Heads of functional units and Deans are responsible for inspecting and reviewing the performance results of faculty and staff in accordance with the relevant procedures. When nonconformities or failures to meet requirements are detected, the Heads or Deans are responsible for requiring faculty or staff to make adjustments or corrective actions in compliance with the regulations. These actions must be re-checked to ensure that requirements are fulfilled before the subsequent steps are implemented. Evidence of inspection and review (including comments and directives from leaders, corrective methods,

and implementation results) must be fully documented and retained by the individuals and units concerned.

Referenced Documents: see Appendix 2 of the QH

8.4.2. Corrective and Preventive Actions

The University has established a documented procedure, as required by the standard, to define a consistent method for implementing corrective and preventive actions, with the aim of eliminating the causes of nonconformities in order to prevent recurrence or to avoid potential nonconformities

- Heads and Deans are primarily responsible for supervising activities within their units. QMR is responsible for monitoring the corrective measures being implemented.

- All faculty and staff members share the responsibility for detecting and addressing nonconformities and any unreasonable issues in their work or within the QMS.

- Upon identification of any nonconformity, the relevant units must investigate and determine the root cause of the problem.

- Corrective actions undertaken must be verified, validated, and supported with documented evidence, with records maintained and managed in accordance with regulations.

- The University consistently encourages activities aimed at identifying potential nonconformities in management and teaching processes in order to prevent their occurrence

The results of corrective and preventive actions are summarized

and reported during management reviews of quality, serving as the basis for the University's continual improvement activities.

Referenced Documents: see Appendix 2 of the QH

8.5.Improvement

8.5.1. Continual Improvement

The University is committed to continual improvement in order to enhance the quality of education, scientific research, and community service. This is achieved through evaluating the effectiveness and relevance of the QP and QO; results of internal quality audits; data analysis; implementation of corrective and preventive actions; and outcomes of management reviews. Improvement initiatives are applied to:

- Enhance the effectiveness of teaching and management activities
- Improve the quality of learners.
- Increase the effectiveness and continual enhancement of QMS processes

8.5.2. Opportunities for Improvement

The University identifies and chooses opportunities for improvement and takes necessary actions to meet the needs of learners and other beneficiaries, while increasing the satisfaction of learners, staff, and other stakeholders, including external providers. Opportunities for improvement include:

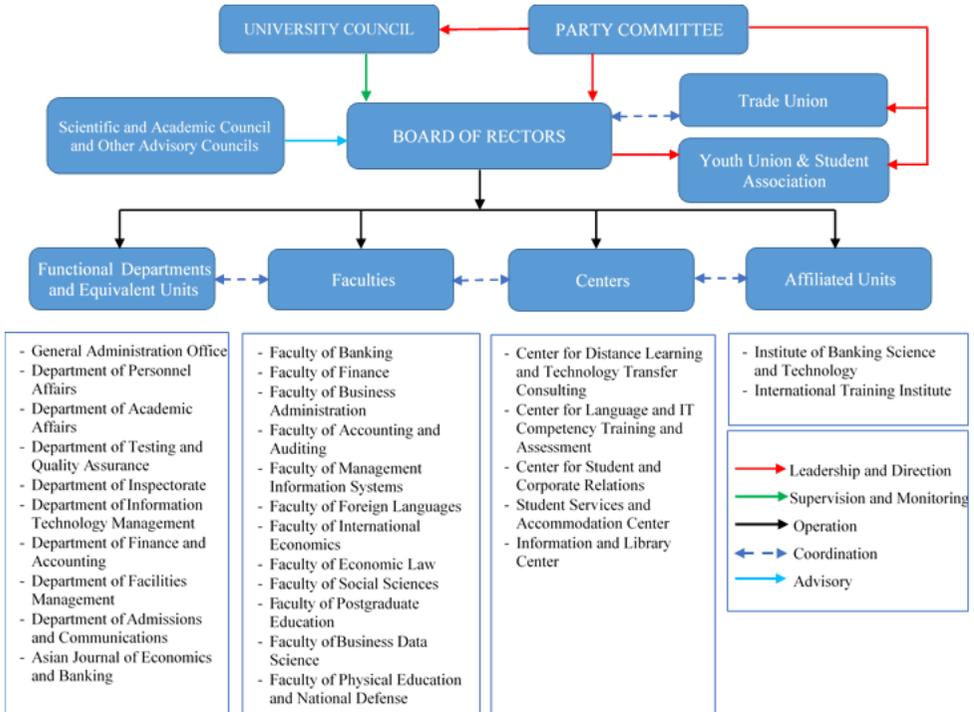
- Improving the quality of educational products and services to

meet current requirements and adapt to future needs and expectations.

- Correcting, preventing, or mitigating undesired effects.
- Enhancing performance results and the effectiveness of the QMS.

APPENDIX

Appendix 1: ORGANIZATIONAL STRUCTURE OF HO CHI MINH UNIVERSITY OF BANKING



**Appendix 2: LIST OF QUALITY MANAGEMENT SYSTEM
DOCUMENTS UNDER TCVN ISO 21001:2018 AT HO CHI
MINH UNIVERSITY OF BANKING**

No	Document Title	Document Code	Responsible Unit	Area of Operation
1.	Procedure for Documented Information Control	VP-QT/01	General Administration Office	Document and Record Control
2.	Procedure for Outgoing Official Dispatch Management	VP-QT/02		
3.	Procedure for Incoming Official Dispatch Management	VP-QT/03		
4.	Guideline for Document Formatting	VP-HD/01		
5.	Recruitment Procedure	TCCB-QT/01	Organization and Personnel Department	Organization and Personnel
6.	Procedure Training and Development	TCCB-QT/02		
7.	Procedure for Attendance Management	TCCB-QT/03		
8.	Procedure for Evaluation and Classification of Civil Servants, Public Employees, and Staff	TCCB-QT/04		
9.	Procedure for Visiting Lecturer Management	TCCB-QT/05		

No	Document Title	Document Code	Responsible Unit	Area of Operation
10.	Procedure for Undergraduate Teaching Organization and Management	ĐT-QT/01	Academic Affairs Department	Undergraduate Education
11.	Procedure for Graduation Review and Degree Issuance	ĐT-QT/02		
12.	Procedure for Curriculum Development, Review, and Adjustment	ĐT-QT/03		
13.	Procedure for Training Plans, Teaching Schedules, and Exam Timetable	ĐT-QT/04		
14.	Procedure for Organizing and Guiding Undergraduate Internships	ĐT-QT/06		
15.	Admission Procedure for the Part-time Undergraduate Program	ĐTTC-QT/01		
16.	Procedure for Organizing and Managing Part-time Undergraduate Training	ĐTTC-QT/02		
17.	Procedure for Managing the Timetable of the Part-	ĐTTC-QT/03		

No	Document Title	Document Code	Responsible Unit	Area of Operation
	time Undergraduate Program			
18.	Procedure for Managing Examinations and Degree Awarding of the Part-time Undergraduate Program	ĐTTC-QT/04		
19.	Examination Question Bank Management Procedure	KTĐB-QT/01	Testing and Quality Assurance Department	
20.	Examination Paper Printing and Packaging Procedure	KTĐB-QT/02		
21.	End-of-Course Examination Administration Procedure	KTĐB-QT/03		
22.	End-of-Course Examination Grading and Result Release Procedure	KTĐB-QT/04		
23.	Final Examination Grading Procedure	KTĐB-QT/05		
24.	End-of-Course Examination Re-grading Procedure	KTĐB-QT/15		
25.	Classroom Observation Management Procedure	KTĐB-QT/16		

No	Document Title	Document Code	Responsible Unit	Area of Operation
26.	Diploma Template Issuance Procedure	KTĐT-QT/18		
27.	Certificate Template Issuance Procedure	KTĐT-QT/19		
28.	Computer-Based University Entrance Examination Administration Procedure	KTĐB-QT/13		
29.	Guideline for Entering End-of-Course Examination Scores	KTĐB-HD/01		
30.	Admission and Enrollment Procedure for Master's Degree Programs	SĐH-QT/01	Postgraduate Faculty	Postgraduate Education
31.	Postgraduate Training Plan Development Procedure	SĐH-QT/02		
32.	Master's Thesis Defense Procedure	SĐH-QT/03		
33.	Admission Procedure for Doctoral Programs	SĐH-QT/04		
34.	Doctoral Preliminary Dissertation and Detailed Proposal Defense Procedure	SĐH-QT/05		

No	Document Title	Document Code	Responsible Unit	Area of Operation
35.	Doctoral Dissertation Seminar Defense Procedure	SDH-QT/06		
36.	Department-level Doctoral Dissertation Defense Procedure	SDH-QT/07		
37.	Independent Reviewer Feedback Procedure	SDH-QT/08		
38.	University-level Doctoral Dissertation Defense Procedure	SDH-QT/09		
39.	Graduation and Degree Conferral Procedure for Master's Students	SDH-QT/10		
40.	Doctoral Degree Conferral Procedure	SDH-QT/11		
41.	Survey Form Development and Update Procedure	KTĐB-QT/06	Testing and Quality Assurance Department	Internal Quality Assurance
42.	Course Survey Procedure	KTĐB-QT/07		
43.	Graduate Survey Procedure	KTĐB-QT/08		
44.	Online Course Quality Survey Procedure	KTĐB-QT/08.1		

No	Document Title	Document Code	Responsible Unit	Area of Operation
45.	Graduate Employment Survey Procedure	KTĐB-QT/09		
46.	Employer Satisfaction Survey Procedure	KTĐB-QT/10		
47.	Student Feedback on Academic Management and Training Services Procedure	KTĐB-QT/11		
48.	Lecturers Feedback on Academic Management, Training Services, and Student Quality Procedure	KTĐB-QT/12		
49.	Nonconforming Output Control Procedure	KTĐB-QT/13		
50.	Internal Audit Procedure for the Quality Management System (ISO 9001:2015)	KTĐB-QT/14		
51.	Risk and Opportunity Management Procedure	KTĐB-QT/17		
52.	Management Review Meeting Procedure	KTĐT-QT/20		

No	Document Title	Document Code	Responsible Unit	Area of Operation
53.	Guideline for Conducting Quality Surveys with Stakeholders	KTĐB-HD/02		
54.	Procedure for Managing and Resolving Complaints	TT-QT/01	Department of Inspectorate	Inspection and Complaint Resolution
55.	Procedure for Managing and Resolving Accusations	TT-QT/02		
56.	Procedure for Thematic Inspection	TT-QT/03		
57.	Procedure for Monitoring the Implementation of Teaching Schedules	TT-QT/04		
58.	Scholarship Awarding Procedure (State Budget)	CTSV-QT/01	Center for Student Affairs and Corporate Relations	Student Services and Support
59.	Academic Advisor Management Procedure	CTSV-QT/02		
60.	Student Conduct Evaluation Procedure	CTSV-QT/03		
61.	Orientation Week Organization Procedure (for New Students)	CTSV-QT/04		
62.	Implementation of Policies and Regulations for Full-time Students Procedure	CTSV-QT/05		

No	Document Title	Document Code	Responsible Unit	Area of Operation
63.	Student Records Management Procedure	CTSV-QT/06		
64.	Student Certification Issuance Procedure	CTSV-QT/07		
65.	Student Rewards and Disciplinary Actions Procedure	CTSV-QT/08		
66.	Scholarship Awarding Procedure (Bank Sponsorship)	CTSV-QT/09		
67.	Student Counseling Support Procedure (via HUB Q&A Platform)	CTSV-QT/10		
68.	Dormitory Admission Procedure	HTSV-QT/02.01	Center for Student Services and Accommodation Management	
69.	Dormitory Extension Procedure	HTSV-QT/03.01		
70.	Dormitory Termination Procedure	HTSV-QT/04.01		
71.	Lab Usage Registration Procedure	CNTT-QT/01	Department of	Information

No	Document Title	Document Code	Responsible Unit	Area of Operation
72.	IT Equipment Maintenance and Repair Procedure	CNTT-QT/02	Information Technology Management	Technology
73.	Business Software Function Modification Procedure	CNTT-QT/03		
74.	New Student Data Entry Procedure	CNTT-QT/04		
75.	Data Backup Procedure	CNTT-QT/05		
76.	Data Recovery Procedure	CNTT-QT/06		
77.	Student ID Card Issuance Procedure	CNTT-QT/07		
78.	Electronic Data Upload/Download Control Procedure	CNTT-QT/08		
79.	Student and Graduate ID Code Regulation	CNTT-QĐ/01		
80.	Lab Management Regulation	CNTT-QĐ/02		
81.	HUB Wi-Fi Usage Regulation	CNTT-QĐ/03		
82.	HUB Website Management Regulation	CNTT-QĐ/04		

No	Document Title	Document Code	Responsible Unit	Area of Operation
83.	Guideline for HUB Email Account Registration, Allocation, and Revocation	CNTT-HD/01		
84.	Procedure for Preparing Budget Estimates	TCKT-QT/01	Finance and Accounting Department	Financial Planning
85.	Procedure for Advance and Payment	TCKT-QT/02		
86.	Procedure for Teaching Hour Payment	TCKT-QT/03		
87.	Procedure for Tuition Fee Collection and Payment	TCKT-QT/04		
88.	Procedure for Asset Management	QTTS-QT/01.01	Facilities Management Department	Facilities and Equipment Development
89.	Procedure for Asset Procurement	QTTS-QT/01.02		
90.	Procedure for Asset Warranty and Maintenance	QTTS-QT/01.03		
91.	Procedure for Asset Repair	QTTS-QT/01.04		
92.	Procedure for Asset Retrieval	QTTS-QT/01.05		
93.	Procedure for Asset Transfer	QTTS-QT/01.06		

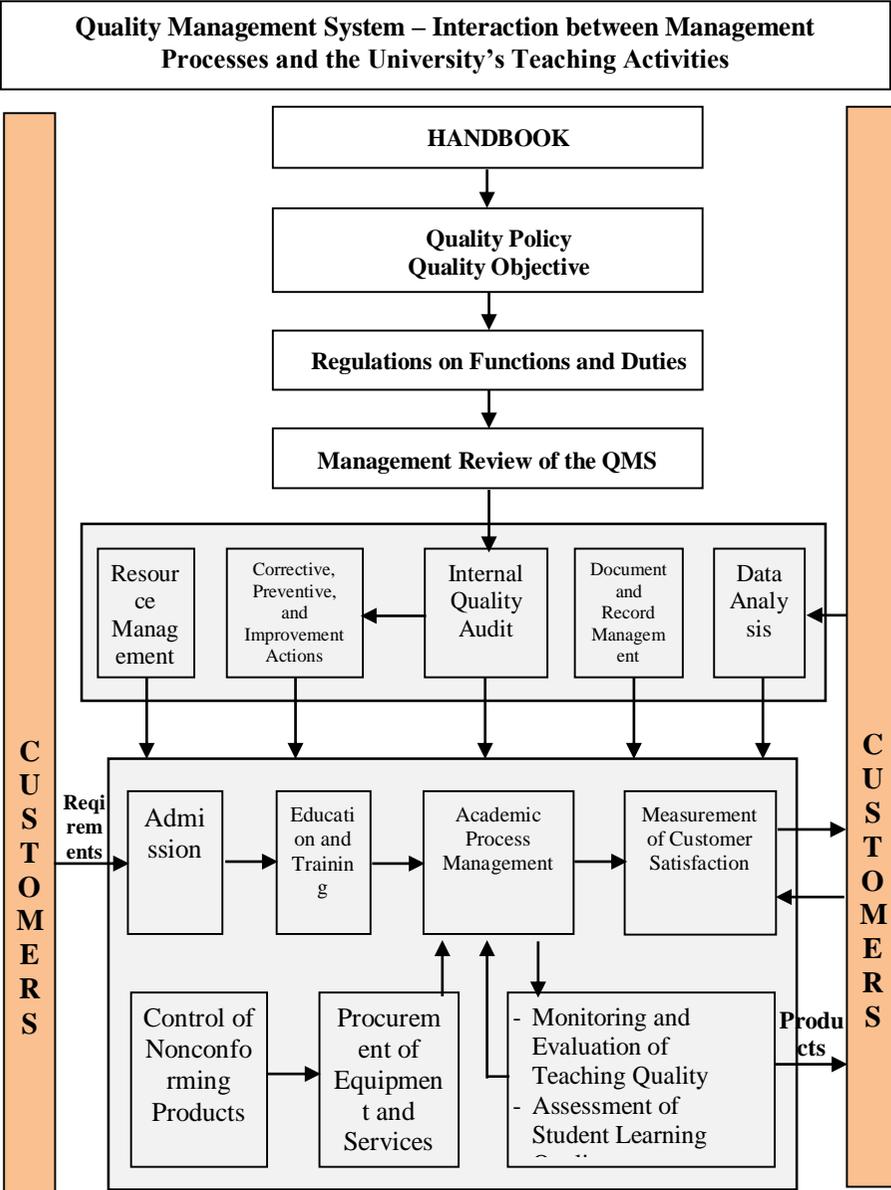
No	Document Title	Document Code	Responsible Unit	Area of Operation		
94.	Procedure for Asset Inventory	QTTS-QT/01.07				
95.	Procedure for Asset Disposal	QTTS-QT/01.08				
96.	Procedure for Construction Investment	QTTS-QT/01.09				
97.	Procedure for Contractor Selection	QTTS-QT/02.10				
98.	Procedure for Equipment Safety Management	QTTS-QT/01.11				
99.	Procedure for Supplier Evaluation	QTTS-QT/01.12				
100.	Procedure for Classroom and Lecture Hall Standards	QTTS-QT/01.13				
101.	Procedure for Asset Auction	QTTS-QT/01.14				
102.	Library Operations Procedure	TV-QT/01			Center for Information and Library Services	Learning Resources
103.	Procedure for Document Acquisition	TV-QT/01				
104.	Procedure for Cataloging Documents	TV-QT/02				

No	Document Title	Document Code	Responsible Unit	Area of Operation
105.	Guideline for Library Card Issuance	TV-HD/01		
106.	Procedure for Managing University-level Research Projects/Programs	VNC-QT/01	Institute of Banking Science and Technology	Science and Technology
107.	Procedure for Managing Reference Materials, Textbooks, and Monographs	VNC-QT/02		
108.	Procedure for Managing Innovations	VNC-QT/03		
109.	Procedure for Managing Research and Technology Tasks Assigned by Ministries or Sectors	VNC-QT/04		
110.	Procedure for Managing Academic Conferences at All Levels	VNC-QT/05		
111.	Procedure for Managing Student Research Projects	VNC-QT/06		
112.	Procedure for Managing the Publication and Distribution of the Asian Journal of Economics and Banking	VNC-QT/07		

No	Document Title	Document Code	Responsible Unit	Area of Operation
113.	Procedure for Managing Activities of Strong Research Groups	VNC-QT/09		
114.	Procedure for Managing Short-term Training Programs	FBC-QT/01	Center for Distance Training and Technology Transfer.	Short-term and Skills Training
115.	Procedure for Entrance Examination in Foreign Languages and Informatics	TTNNTH-QT/01	Centre for Foreign Languages and Informatics	
116.	Procedure for Enrollment in Foreign Languages and Informatics	NNTH-QT/02	Technology Training and Assessment.	
117.	Procedure for Training in Foreign Languages and Informatics	NNTH-QT/03	Saigon International	
118.	Procedure for Admission Management	HTQT-QT/01	Saigon International	Training and

No	Document Title	Document Code	Responsible Unit	Area of Operation
119.	Procedure for Management of International Master's Programs	HTQT-QT/02	onal School of Business	International cooperation
120.	Procedure for Management of International Bachelor's Programs	HTQT-QT/03		
121.	Procedure for Management of Incoming Delegations	HTQT-QT/04		
122.	Procedure for Management of Outgoing Delegations	HTQT-QT/05		
123.	Procedure for Admission	PTTH-QT/01	Department of Admission and Public Relations	Information - Communication
124.	Procedure for News Posting Management	PTTH-QT/02		
125.	Procedure for Organizing Graduation Ceremony	PTTH-QT/03		

Appendix 3: INTERACTION DIAGRAM OF THE QUALITY MANAGEMENT SYSTEM PROCESSES OF HO CHI MINH UNIVERSITY OF BANKING



**Appendix 4: SWOT ANALYSIS – CONTEXT
IDENTIFICATION OF HUB**

Factors	POSITIVE <i>(Contributing to the achievement of objective)</i>	NEGATIVE <i>(Creating obstacles to the achievement of objectives)</i>
Internal Factors	Strengths (S) To be maintained and further enhanced as leverage	(Weaknesses - W) To be recognized and addressed in order to improve performance
	<ul style="list-style-type: none"> - Established reputation and social standing built on a long history and strong traditions. - Highly qualified and experienced lecturers who are actively engaged in teaching and research. - Modern facilities that effectively support both teaching and research. - Diverse academic programs, regularly updated to align with emerging trends such as FinTech, AI, and E-Business - Extensive international collaboration network with more than 80 reputable partners - A solid foundation in quality assurance and accreditation, with recognition under MOET, 	<ul style="list-style-type: none"> - Intense competition in student recruitment from other institutions offering similar programs. - Digital transformation and the application of technology in teaching and administration remain inconsistent. - Research and consultancy activities are not yet commensurate with HUB’s potential and standing. - The transition to an autonomous university model requires substantial reforms in governance, finance, and human resources.

Factors	POSITIVE <i>(Contributing to the achievement of objective)</i>	NEGATIVE <i>(Creating obstacles to the achievement of objectives)</i>
	<p>AUN-QA, and ISO 9001:2015, contributing to HUB’s prestige and standing in the higher education system.</p> <ul style="list-style-type: none"> - Implementation of ISO 9001:2015 since 2016, currently transitioning to ISO 21001:2018 for education-specific quality management. - Strong financial autonomy supported by the State Bank of Vietnam, with additional investment and support from banks, enterprises, and strategic partners. 	
External Factors	<p>Opportunities - O</p> <p>To be prioritized and leveraged in order to capture emerging opportunities</p>	<p>Threats - T</p> <p>To be incorporated into planning with appropriate strategies for anticipation, mitigation, and effective management.</p>
	<ul style="list-style-type: none"> - International integration creates favorable conditions for expanding cooperation in training, research, and faculty–student exchanges - Accreditation under MOET, AUN-QA, and ISO 	<ul style="list-style-type: none"> - Intense competition from both domestic and international universities in finance, banking, business, and management education. - Rapid technological

Factors	POSITIVE <i>(Contributing to the achievement of objective)</i>	NEGATIVE <i>(Creating obstacles to the achievement of objectives)</i>
	<p>21001:2018 enhances HUB's reputation and competitiveness.</p> <ul style="list-style-type: none"> - Digital technologies open opportunities to develop new academic programs and enrich the learning experience. - Ho Chi Minh City, as a financial and economic hub, generates strong demand for human resources in finance, banking, and business - The policy of financial autonomy enables the optimization of resources and supports sustainable development. 	<p>change places pressure on continuous innovation in curricula and teaching methodologies.</p> <ul style="list-style-type: none"> - Financial autonomy requires effective financial management, diversification of revenue streams, and assurance of long-term sustainability. - Education quality assurance policies and international university ranking systems impose higher demands for ongoing improvement.

Proposed Strategies Based on the SWOT Matrix

<p>S–O Strategies (Leveraging strengths to capitalize on opportunities)</p>	<ul style="list-style-type: none"> - Leverage HUB's reputation, standing, and extensive international network to expand cooperation in training, research, and faculty–student exchanges, thereby enhancing quality and competitiveness. - Utilize the strengths of a highly qualified faculty and a diverse range of academic programs to advance research and develop internationally benchmarked curricula.
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	<ul style="list-style-type: none"> - Pursue accreditation under national, regional, and international frameworks to strengthen HUB’s position and competitiveness in the context of global integration. - Capitalize on modern facilities and the support of the State Bank of Vietnam, enterprises, and partners to develop practice-oriented programs aligned with labor market demands in Ho Chi Minh City and the wider region. - Embrace digital transformation and educational technologies to enrich the learning experience and expand online training models, seizing opportunities from the Fourth Industrial Revolution.
<p style="text-align: center;">S–T Strategies (Leveraging strengths to mitigate threats)</p>	<ul style="list-style-type: none"> - Strengthen HUB’s reputation and standing by enhancing accreditation quality under MOET, AUN-QA, and ISO 21001:2018, thereby maintaining a competitive edge over other universities - Expand international partnerships to attract international students and faculty, increasing competitiveness in the context of global integration. - Develop new academic programs aligned with emerging trends in technology, finance, and banking to adapt to rapid technological and market changes. - Capitalize on modern facilities and a highly qualified faculty to innovate teaching methodologies and enrich the student learning experience.

<p>W–O Strategies (Overcoming weaknesses to capitalize on opportunities)</p>	<ul style="list-style-type: none"> - Enhance research and consultancy capacity by engaging with domestic and international organizations, strengthening collaboration with enterprises, and increasing international publications. - Accelerate digital transformation in teaching and administration to leverage technological advantages and improve consistency in academic operations. - Refine the autonomous university model by optimizing financial and human resource management to better harness development opportunities. - Develop academic programs closely aligned with labor market demands in Ho Chi Minh City to improve competitiveness and attract prospective students.
<p>W–T Strategies (Reducing weaknesses and mitigating risks from threats)</p>	<ul style="list-style-type: none"> - Invest in strengthening research capacity to enhance academic reputation and increase competitiveness with other universities. - Advance digitalization and improve university governance to adapt to modern educational trends and enhance financial management efficiency under the autonomous model. - Improve training quality, diversify delivery modes, and enhance student support services to attract and retain learners. - Refine the financial model to ensure sustainability in the context of financial autonomy policies and increasing

	demands from accreditation and ranking systems.
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Appendix 5: LIST OF INTERESTED PARTIES, THEIR NEEDS AND EXPECTATIONS

No	Interested parties to QMS		Needs and Expectations of Interested Parties	Extent of Organizational Fulfillment
	Internal	External		
1.	Staff and Faculty members		A professional and equitable working environment that enables individuals to maximize their potential; offers opportunities for career development; and ensures proper recognition and fair evaluation of their competencies	The organization establishes a positive working environment, supports staff participation in training and professional development, and provides a clear career development pathway
2.	Lecturers		An appropriate academic environment with opportunities	The university facilitates effective teaching, supports

No	Interested parties to QMS		Needs and Expectations of Interested Parties	Extent of Organizational Fulfillment
	Internal	External		
			for scientific research, recognition of professional achievements, and access to modern teaching resources and methods.	participation in research at various levels, organizes academic conferences, and updates curricula in line with current trends
3.		State Bank of Vietnam (Governing Body)	Fulfillment of strategic targets, plans, and assigned tasks in accordance with functions and responsibilities	The university fully and accurately implements the assigned tasks and plans, submits periodic reports, and ensures effective coordination with the governing body
4.		Ministry of Education and Training (MOET)	Issuance, supervision, and updating of legal documents on education and training;	The university regularly reviews and updates legal documents, and implements training

No	Interested parties to QMS		Needs and Expectations of Interested Parties	Extent of Organizational Fulfillment
	Internal	External		
			ensuring that educational institutions fully comply with current regulations	activities in accordance with MOET's guidelines.
5.		International partners for Education and Research collaboration	Cooperation in joint training and research activities, sharing of resources, promoting international integration, and enhancing the quality of education	Maintain close collaboration with partner such as the University of Bolton (UK), University of Toulon (France), Lincoln University (New Zealand), EM Normandie Business School (France), Griffith University (Australia), and the University of Adelaide (Australia) to implement joint training programs.

No	Interested parties to QMS		Needs and Expectations of Interested Parties	Extent of Organizational Fulfillment
	Internal	External		
6.		Learners (Undergraduates, Graduates, and Doctoral Candidates)	A modern learning environment with access to advanced knowledge, equipped with the knowledge, skills, and attitudes required by society and employers	Training programs are periodically reviewed and adjusted based on feedback from students, alumni, and employers; with strengthened focus on soft skills and professional competencies.
7.		Alumni	Continued connection with the university after graduation, career development support, and opportunities to contribute feedback for curriculum improvement.	Organize alumni association activities, conduct alumni surveys to improve curricula, and strengthen university-enterprise-alumni cooperation.
8.		Employers	Recruitment of graduates with	Conduct regular employer

No	Interested parties to QMS		Needs and Expectations of Interested Parties	Extent of Organizational Fulfillment
	Internal	External		
			solid professional competence, relevant employability skills, and a positive working attitude	surveys, invite employers to provide input in curriculum development, and facilitate internships and graduate recruitment opportunities.