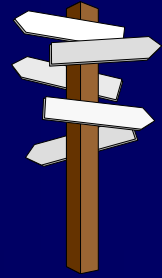


Internal Quality Assurance at Higher Education Institutions

Tibor Szanto
CARDS 2003

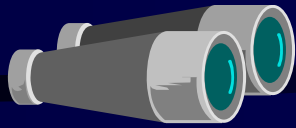
In-house seminar for AZVO, Zagreb, 26 October 2006

Guiding remarks to ALL the seminars



- Vast amount of information available
- Various approaches and practices
- Differing views
- Concise overview aimed at
- Theoretical and practical elements
- Involvement of all, dialogue
- Questions, perspectives instead of recipes

Help each other, let's find out together!



In this seminar

- I. Concepts, terms
- II. The international context (ESG)
- III. Context, framework in Croatia
- IV. Possible solutions for internal QA at HEIs
- V. Actual cases in Croatia

I. Concepts, terms

Quality (in general)

- Fitness for use
- Conformance to requirements
- Uniformity and reliability
- Meeting (exceeding) customer expectations
- Fitness for purpose (HE)

Any other interpretation?

I. Concepts, terms cnt'd

Quality management

Quality policy

Quality goals

Quality planning

Quality control

Quality assurance

Quality improvement

Quality assurance – an all embracing term in HE

I. Concepts, terms cnt'd

Quality (in HE, Harvey – Green*)

- Exceptional
- Perfection
- Fitness for purpose
- Value for money
- Transformation

Glossary (HE):

www.qualityresearchinternational.com/glossary/



*“Defining quality” *Assessment and Evaluation in Higher Education*, 18(1993):9-34

I. Concepts, terms cnt'd



Glossary (HE, Lee Harvey 2004-6):

www.qualityresearchinternational.com/glossary/

Quality is

1. (n) the embodiment of the essential **nature** of a person, collective, object, action, process or organisation.
2. (adj) means high grade or high status (as in a quality performance).
3. a shorthand, in higher education, for quality evaluation processes.

I. Concepts, terms cnt'd

Glossary (HE):

www.qualityresearchinternational.com/glossary/

Evaluation (of quality or standards) is the process of examining and passing a judgment on the appropriateness or level of quality or standards.


Standards

(work in progress...)

I. Concepts, terms cnt'd

Quality (in HE in Croatia)

Is there an agreed definition?

- Law?
- Ordinance?
- Rectors' conference(s)?
- Council(s)?
- AZVO?
- Other? 



Tempus QUASYS (2002-4)

Quality – *the totality of an entity's properties which make it capable of satisfying an expressed or hypothetical need, that is, acceptability or suitability for a given purpose.*

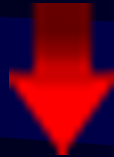
Your views?



I. Concepts, terms cnt'd

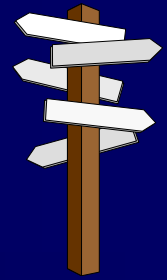
Definition of “quality”

- Philosophical or everyday?
- Absolute or (and?) relative?



Consequences for QA design and impl.

- Approach (Minimum? Better than? Excellence?)
- Method (Accreditation? Benchmarking?)
- Criteria (Absolute? Goals of HEI?)



Remember,

no recepies...



II. The international context

59.3 million hits on the internet... (Oct. 2006)

Internal units at HEIs

National agencies

Regional networks

Worldwide organisation

Agreed standards, guidelines

Europe: ESG www.enqa.eu/files/ENQA%20Bergen%20Report.pdf

World: GGP www.inqaahe.org/docs/GGP%20for%20printing.doc

II. The international context cnt'd

QA in HE: How it all started?

End of 19th century, USA

„massification” of HE, proliferation of HEIs
the „guild” – and the others
standards (of admission)
progr. and inst. accreditation (1906, 1909)

Interesting parallel

F.W. Taylor, scientific management

II. The international context cnt'd

QA in HE in Europe

Beginning in the eighties

National agencies

East and West

Council recommendation, 1998 (2006)

The Bologna process

ESG, 2005

The European Standards and Guidelines (ESG)

Principles

- Generic standards and guidelines (What?)
- Actual procedures (How?):
national, institutional implementation
- Central values
diversity, subsidiarity, autonomy

First step – further work needed!

II. The international context cnt'd

The ESG (Bergen, 2005)

Three parts

- I. Internal QA of HEIs
- II. External QA of HE
- III. QA of agencies

ESG Part I. Standards for HEIs

- 1.1 QA policy, strategy, procedures
- 1.2 Programme approval, monitoring, and review
- 1.3 Assessment of students (consistency!)
- 1.4 QA of teaching staff (internal mechanisms!)
- 1.5 Learning resources and student support
- 1.6 Internal information system
- 1.7 Public information on programmes and awards

www.enqa.eu/files/ENQA%20Bergen%20Report.pdf

III. Context, framework in Croatia

The Act on HE

Article 15. 3) - indirect reference to QAS at HEIs!

“The Agency performs technical and administrative tasks:

(...)

- 4. in the procedure of assessment of **systems for quality promotion and assurance** at higher education institutions”*

Ordinance on eval. of HEIs and programmes - Article 4.

7. Internal mechanisms for QA at HEIs

- self-evaluation
- development of indicators of quality
- student surveys
- examination of successfulness of study and causes for low quality, inefficient and lengthy duration of actual study
- examination of the competency of teaching staff
- professional training of university teachers (life-long learning)
- proofs on the improvement of teaching
- involvement in programs of e-learning
- quality of the final product
- introduction of **ISO standard** in the **administrative part** of the university components
- publishing activities

IV. Possible solutions for internal QA at HEIs

Some historical background (general QA)

Self control

Quality control

Ex post: check the product → separate substandard

Ex ante: process, sampling → prevent substandard

Quality assurance, system approach

Total Quality Management (TQM)

Post TQM

– E.g. Six Sigma (3.4 DPMO)

www.businessballs.com/sixsigma.htm

Quality prizes

Deming, Japan 1951

www.deming.org/demingprize/index.html

Baldrige, USA 1987

www.quality.nist.gov

EFQM, Europe 1992 (see below on slides 31-32)

www.efqm.org/Default.aspx?tabid=154

ISO

International Organisation for Standardisation

www.iso.org/iso/en/ISOOnline.frontpage

Founded in London, 1946

Network of national standards institutes

Name: *isos* (Greek) = equal

Standards: > 15000, voluntary!

Most widely known standards:

- ISO 9000 family of standards (QM)
- ISO 14000 family of standards (environment)

ISO 9000 family

First related standards in 1987

Revised in 1994, 2000

Three primary standards:

- ISO 9000 – Fundamentals and vocabulary
- ISO 9001 – Requirements (→ certification)
- ISO 9004 – Guidelines for perf. improvements

Emphasis on process control

Elements of the ISO 9000 QM system:

Internal and external expectations

Requirements of operation and results

Goals, quality policy, handbook

Identification of processes

Allocation of resources

Documentation

ISO 9000 principles

1. Customer focus
2. Leadership
3. Involvement of people
4. Process approach
5. System approach to management
6. Continual improvement
7. Factual approach to decision making
8. Mutually beneficial supplier relationships

<http://www.iso.org/iso/en/iso9000-14000/understand/qmp.html>

ISO 9000 - certification

Certification, registration

- subject: QM system of the organisation,
- by certification (auditing) agency

Accreditation

- subject: auditing agency
- by (national) accreditation body

TQM – Total Quality Management

Beginnings: 70's, management theories

Essence: „philosophy”, rather than method

Include all activities

Involve everyone

Prevent defects

Continuous improvement

Three letters - thousand interpretations...

TQM elements

Processes

People (commitment)

Management systems

Measurement, feedback

Quality policy

Mission, strategy

Action plans

Implementation

TQM → The EFQM

European Foundation for Quality Management

Founded in 1988 by 14 European enterprises

A membership organisation

EFQM Excellence Model

Framework for self-assessment

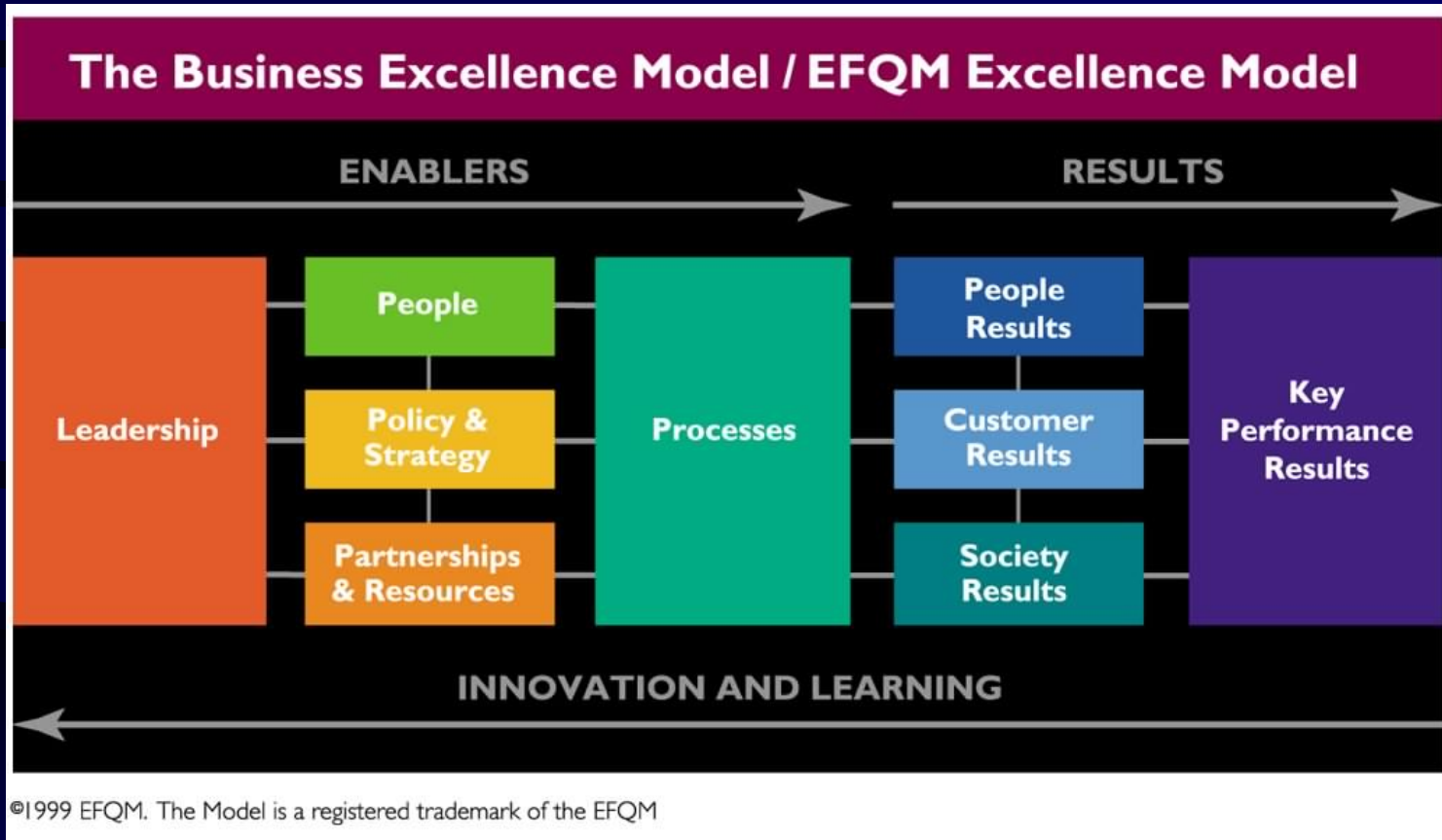
Award of Excellence (until 2005: European Quality Award)

1992: large businesses

1997: small and medium sized enterprises

1998: public sector organisations

The EFQM model



Some more basics

Pareto principle (80/20 effects-causes) → diagram

http://en.wikipedia.org/wiki/Pareto_principle (J. Juran)

PDCA (Deming cycle)

Plan, Do, Check, Act

SWOT analysis

Strengths, Weaknesses, Opportunities, Threats

Benchmarking

What to advise to HEIs? - 1

Approach, philosophy (TQM)

Include (possibly) all (major) activities

Involve (possibly) everyone

Prevent defects (What is a “defect” in HE?)

Continuous improvement

Empasis on actual operation, not on formal arrangements!

What to advise to HEIs? - 2

Principles

- autonomy = responsibility Art. 4. 6) of HEA
- QA embedded in institutional strategy
- QA targets: programmes, outcomes
(instructors, students)
- information, transparency
- the quality loop: feedback, follow-up (e.g. PDCA)
- needs and purposes of the given HEI
- holistic approach, quality culture
(but not necessarily ISO systems)
- commitment and participation (leadership!)

What to advise to HEIs? – 3

Planning and design

- a) create task force(s) – assign responsibilities
QA unit(s)
- b) make a needs analysis (compliance to standards)
- c) define/revise institutional strategy
- d) design QAS (philosophy + principles!)

What to advise to HEIs? – 4

The QAS, orientation for content

Mission, goals, needs of HEI → QAS

Institutional and programme level elements

Reference points (basis):

- International: ESG (slide19), norms of profession
- National: Ordinance (slide 21), AZVO audit plans

Central decision or autonomy of HEIs?

One size fits all or tailor made solutions?

Room for manoeuvre for AZVO / Council?

What would you advise?



What to advise to HEIs? – 5

The QAS, system elements

1. Qual. document ← (strategy ← SWOT / mapping) **P**
 - Quality goals (What?)
 - Mechanisms, procedures (How? All major activities!*)
 - Roles and responsibilities (Who? Involvement of students!)
2. Implementation **D**
3. Feedback and monitoring **C**
 - Internal (e.g. surveys, self evaluation)
 - Extrenal
4. Acting on findings, enhancement measures **A**

Closing the quality loop.

* ESG, Manual by H. Glanville p.33-34.

What to advise to HEIs? – 6

Implementation of the QAS

- systems thinking – gradual implementation
- don't hurry – people need time to adjust
- use people's potential – make them committed
- learn from failures – modify and persist
- seek for external reference and reflection

And never think it's ready...

V. Actual cases in Croatia

Tempus QUASYS project, 2002-4

Uni Zagreb, Uni Rijeka, Uni Split, Uni Osijek +

Results:

- Zagreb, Rijeka: “advanced systems” implemented
- Split, Osijek: strategy adopted
- Glossary
- Handbook on QAS (hunting for it)
- Zagreb + NVVO: eval. proc. for HEIs (26 steps)
- Proposal for establishing nat. agency (AZVO!)

+ TU Wien, KU Leuven, FINHEEC, VLIR, Uni Barcelona, Uni Erlangen
MZOS

V. Actual cases cnt'd

NZZ funded projects, 2005-6* (Varying project goals)

Uni Rijeka

- University level
- Fac of Arts and Sciences
- Fac of Civil Engineering
- Fac of Engineering

Uni Zagreb

- University level
- Fac of Organisation and Informatics, Varaždin
- Fac of Law

Uni Osijek

Closing workshop (Zagreb) was on 29 September 2006

* http://nzz.hr/en/results_quality.php

V. Actual cases cnt'd

Maritime faculties at

Dubrovnik, Split, Rijeka, Žadar

Each has certified QA system according to
ISO 9001:2000

Reason: to comply with IMO Convention
(norms of profession)

CARDS SCM 2006 Tempus project: QA in University Teaching
(+ Uni East Anglia, Uni Ljubljana, H. Altrichter, MZOS, AZVO)

Does AZVO have detailed information on QAS at HEIs?

- List?
- Data base?
- Contact persons at HEIs?
- Concrete info on actual systems?

How can the CARDS 2003 project help?



CARDS 2003:

Questionnaire on internal QA of HEIs

Sent out to 103 HEIs (faculties etc.) in Sept.

Replied as of 23 Oct.: 19

Results follow (very preliminary!!!)



Who is in charge for QA at HE institutions?

Do you have a unit (committee) or person responsible for the internal quality assurance of the institution/faculty?

yes, there is a unit	yes, there is a committee	yes, there is a person	no, there is none
3	16	3	0

And who does the work?

	as a full time employment	as a side responsibility
Number of people in the unit:	2	6
Number of responsible persons at the institutions:	2	1

QA systems at the Institutions

Do you have a quality assurance system on the institutional/faculty level?		
Yes, in written form	Yes, implemented	No
3	5	11

We plan to establish such a system	We are now working on implementing the system	We do not plan to establish an internal QA system
7	6	0

ISO standard?

If you have an internal QA system, what is it based on?			
ISO	TQM	EFQM	Other
3	0	0	3

	Yes	No
If it is an ISO based system, has it been certified?	2	1

QA systems at the Institutions

	Yes	No
Have you undertaken programme reviews with external reviewers?	9	8

Have you made self-evaluation exercises on the institutional/faculty level?		
Not yet	Yes, once	Yes, more than once
4	8	5

Satisfaction Survey

Have you made any satisfaction survey on the institutional/faculty level?

	No	Yes, once	Yes, more than once
among instructors	8	2	3
among students	4	2	13
among alumni	9	2	2
among stakeholders	8	1	2
other:	3	1	0

IV. Actual cases cnt'd

If the satisfaction surveys have been conducted, what were

The **goal(s)** of the survey(s)?

- Feedback on teaching process (various aspects - communication with the teachers, satisfaction with courses, exam passing rate)
- Working conditions for the teachers

The **results/consequences** of the survey(s):

- Feedback to teachers
- Improvement or reorganization of teaching processes
- Infrastructure and organizational improvements - PC, libraries

IV. Actual cases cnt'd

What kind of **help** do you need most for the establishment / operation of the internal QA system?

Newsletter	0
Written documents	10
Oral information	2
Training, courses and seminars	17
Direct expert advice	10
Web page, Internet platform	7

What is it all about?

(The internal point of view)

To do it better,
to make it conscious...

What is it all about?

(The external point of view)

It is not enough to state that you
are good,
you have to prove it...

Thank you for your
attention!

