

## **Audits of internal quality assurance systems at HEIs by AZVO**

### Possible structure of a Handbook

The basic idea of the proposed structure of the Handbook is that it should contain **all the relevant information** pertaining to the audits by AZVO **in one document**. Thus, after the introduction, there could be **three central chapters** of the document presenting general information on audits, specific information on the expected activities and responsibilities of HEIs, and specific information on the expected activities and responsibilities of auditors, respectively. By uniting these three aspects in one document all the organisations and persons involved could get a **full picture** of the audit rules and procedures.

The document should be **concise and focussed**. Too detailed checklists e.g. can be counterproductive (and will probably be not followed, anyway). The proposed structure of the document follows.

- 1. Introduction**, by Head of the Agency  
about the idea of introducing audit activities by AZVO, the pilot character of the planned first audits, brief mentioning of other AZVO activities including institutional accreditation – as it is planned to be performed
- 2. General information on audits**
  - 2.1. International context (ESG, examples of other countries)
  - 2.2. Croatian context (the national QA system, relevant legal regulation)
  - 2.3. Audit of QAS at HEIs
    - 2.3.1. Purpose and scope
    - 2.3.2. The audit process (the four phases – briefly, in general only, detailed presentation follows in the relevant sections below)
- 3. What higher education institutions are expected to do**
  - 3.1. The internal QAS at HEIs
    - 3.1.1. Principles, „philosophy“
    - 3.1.2. Planning and design of the QAS
    - 3.1.3. Possible systems, solutions (ISO, TQM – EFQM, other; pros and cons, all this briefly, with reference to the ESG!)
    - 3.1.4. Necessary elements of the QAS (quality document, implementation, monitoring and feedback, acting on findings [PDCA])
  - 3.2. Internal audit by HEI (as a possibility)
  - 3.3. Documents for the external audit by AZVO
    - 3.3.1. Aims, focus of the audit (+ brief reference to the process, see above in 2.3.2)
    - 3.3.2. The audit (self-evaluation) documentation (in detail, what and how to prepare)
  - 3.4. External audit by another organisation (as a possibility) [This can be an additional audit any time, but not instead of the one by AZVO!]

#### **4. What auditors are expected to do**

- 4.1. The audit panel (composition, selection and appointment, roles and responsibilities, ethical guidelines, remuneration) [Important: Agency staff members are to be regarded as full, equal members of the audit panel!]
- 4.2. Auditor training
- 4.3. The audit
  - 4.3.1. Preparation (studying the audit documentation in detail, preparatory meeting)
  - 4.3.2. The audit visit
  - 4.3.3. The audit report
  - 4.3.4. The audit decision
- 4.4. Publication of results

#### **5. Feedback to be collected**

- 5.1. Feedback from HEI (questionnaire)
- 5.2. Feedback from audit panel members (questionnaire)
- 5.3. Acting upon the feedback

#### **6. Follow-up**

- 6.1. What the HEI should do
- 6.2. What the Agency should do

#### **7. Glossary**

Zagreb, 21 December 2006

Dr. Tibor Szanto, KE1