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## RECOMMENDATIONS

# for establishing internal QA system in HEIs

Implementation of Education Quality Assurance system via  
cooperation of University-Business-Government in HEIs  
586109-EPP-1-2017-1-RO-EPPKA2-CBHE-SP-EDUQAS



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### **About the project ERASMUS+ EDUQAS “Implementation of Education Quality Assurance System via Cooperation of University- Business-Government in HEIs”**

The wider objective of the project is to improve education quality assurance systems through development of efficient internal quality standards leading to better employability of students in Partner Countries Universities. The internal QA system is based on analysis of needs and capacities in Kazakh and Ukrainian HEIs, experiences and best practices from the successful quality assurance action line of the Bologna Process.

#### **Main goals:**

- to promote the creation of quality culture at various levels through motivation, trust, responsibility of students, institutional leadership, individual staff members;
- to elaborate proposals for the design of programmes on Bachelor and Master levels with the involvement of all stakeholders;
- to develop technologies of assessment quality of Bachelor and Master programmes; designed programmes should meet the objectives including learning outcomes;
- to conduct training for the QA specialist and academic staff;
- to improve affiliate network university-business-government, collaboration with the EU universities;
- to enhance internal university information systems of quality evaluation;
- to develop a corporate QA infrastructure based on ICT, on-line, mobile technologies.

## **Partnership:**

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- P15 - MINISTRY OF EDUCATION AND SCIENCE OF UKRAINE, Kyiv, Ukraine
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# introduction

Before starting to read this document it is important to understand the place of ESGs in the European context of higher education. Indeed, these constitute a common basis for the appropriation of quality assurance by higher education stakeholders.

For this reason, these ESGs will be referred to regularly throughout this document.

The ESG should not be considered as a normative carcan that would bind the universities but on the contrary be considered as a tool for strategic thinking.

Another element to be taken into account for a proper understanding of this document is the fact that the primary responsibility for quality assurance lies with each institution itself, as stated in September 2003 in the Berlin Communiqué.

It is on this foundation that we have decided to build this document.

This document will attempt to provide a roadmap for implementing the three pillars of internal quality assurance in our establishments, namely :

- what about the institution's quality system
- what about the quality assurance unit
- what about support for continuous improvement and programme evaluation in regard of the ESG?

We have organized each of these three parts in the form of questions that can be asked on these subjects.

In order to answer them, we have gone into more detail on some theoretical elements, the main questions to ask ourselves before launching this project, and finally we have looked for some examples to illustrate our point.

# 1. chapter

## Institution's QA System guidelines

### a. Why set up a QA System in a higher education institution?

#### i. Explanation

Wider access to higher education, the increased internationalization of higher education and the need to respond to new expectations in terms of higher education have all led to profound changes in education.

Higher education has undergone profound changes throughout Europe in recent years. These changes are still having an impact on all the continent's education systems.

Among the major stages in the construction of the integrated European Higher Education Area (EHEA) which have had an impact on European quality policy, the following should be noted:

- The Recommendation of the Council of the European Union of 24 September 1998 on European cooperation in quality assurance in higher education (1998 - 98/561/EC) invited Member States to set up "transparent quality assurance systems".
- In June 1999, 29 Ministers of Higher Education signed the Bologna Declaration committing themselves to the creation of an integrated European Higher Education Area (EHEA). This implied, among other things, the establishment of a system of readable and comparable degrees and the organisation of studies in three cycles (bachelor, master and doctorate).
- In September 2003 the Berlin Communiqué stated that the **primary responsibility for quality assurance lies with each institution itself**. It recommended the evaluation of educational programmes and institutions but also of evaluation agencies. It also identified the four main European quality actors: ENQA, EUA, EURASHE and ESU.
- In 2005, in the Bergen Communiqué, the ministers adopted the References and Guidelines for Quality Assurance in the European Higher Education Area (ESG). **By adopting this text, the ministers agreed that the evaluation of higher education should be based on three inseparable phases: self-evaluation, external peer review and publication of results**. A new version of the ESG, reworked to improve its clarity, applicability and usefulness, was approved in Yerevan in 2015. These ESGs are the basis for the quality processes organised in European higher education.

The role of quality assurance has therefore become essential in helping higher education systems and institutions to cope with these changes while ensuring that the training provided and the qualifications obtained by students remain at the forefront of the institutions' missions.

This is why nowadays the implementation of a quality system in our universities is a necessity.

Two main purposes of QA can be identified: demonstrating accountability and enhancing quality. In addition, the importance of contributing to transparency and provision of information on higher education is also recognised as one key task of QA processes

However, it is important to keep in mind that QA is only a tool and not an end in itself. There is no “one size fits all” QA for all HEIs and every study programme, it is important to choose the own proper concept of quality and adapt the QA to it <sup>1</sup>.

A successful quality culture engages leaders and the grassroots (academic and administrative staff and students) as well as external stakeholders. The leadership role is crucial. If management does not believe in the importance of quality assurance, it will not penetrate. The President communicates the importance of quality assurance to the deans. It is then up to them to discuss it in their faculties. One of the most important aspects of quality assurance

## **ii. Early warning questions**

Peter Williams, author of the first ESG, formulates questions that should be asked when designing QA, a kind of checklist <sup>2</sup>:

**What are you trying to achieve ?**

**Why are you doing it ?**

**How are you doing it ?**

**Why is that the best way to do it ?**

**How do you know it works ?**

**How can you improve it ?**

**PURPOSES**

**REASON**

**METHOD**

**OPTIMISATION**

**EFFECTIVENESS**

**IMPROVEMENT**

1. L BOLLAERT, A manual for internal Quality Assurance in Higher Education, Brussels, 2014

2. WILLIAMS, P, Quality Assurance and Leadership, in, Journal of the EHEA, n°2012/4, Berlin, 2012,p. 12



Even if there is no one size fits all for setting up a quality assurance system, it can be interesting to explore existing models or instruments such as EFQM and CAF. However, it is still necessary to adapt them to the specific needs of your institution, which you will have defined beforehand.

<http://www.efqm.org>

<https://www.eipa.eu/portfolio/european-caf-resource-centre/>

### iii. Examples

Quality management has been one of **ULiège's** explicit challenges since at least 1998, with the first request for institutional evaluation by the European Association of Universities of which it is a member. Since then, many initiatives have been undertaken to improve teaching, research and the administrative functioning of the institution.

The challenge of the institution's quality management is to develop a culture of quality, which it defines by two key phrases, "fitness for purpose" (the critical evaluation of the adequacy between objectives and means) and "capacity for change" (the ability to adjust). They include the evaluation of achievements (analytical dimension) and the definition of new objectives (prospective dimension). This is mainly reflected in the implementation and support of evaluations of training, research and administrative entities and the definition of action plans by these same entities.

## b. What are the constituent elements of a QA System?

### i. Explanation

The main words <sup>3</sup> are : **Strategy - Policy - Process - Partnership**

It is **essential to link quality assurance to institutional strategic management**. This element is explicitly mentioned in ESG's Standard 1.1. It underlines the need for a strategic approach to quality assurance. Thus the standard covers two aspects:

- a policy underpinning the individual QA processes;
- and the need for this policy to be linked to the institution's overall strategy.

3. Policy, Process and partnership will be more explicit in the following questions.

Generally speaking, "quality systems" are systems in tension between the objectives of control ("accountability", reporting) and those of continuous improvement of learning programs, which are more part of a formative evaluation approach.

*"Institutions should have a policy for quality assurance that is made public and **forms part of their strategic management**. Internal stakeholders should develop and implement this policy through appropriate structures and processes, while involving external stakeholders <sup>4</sup>."*

Furthermore, the standard stresses the need to engage all stakeholders, creating a broad ownership for quality and thereby fostering a quality culture.

A QA policy can be implemented at different levels: institutional and/or faculty level, but always with strong links between these different levels.

One element that needs to be considered is the value for institutions to design systems that are specific to their own institutional context and therefore more relevant to their purpose, serving the goals they set for their internal QA rather than focusing solely on meeting external QA requirements.

The quality system must therefore respond above all to a need specific to the institution.

## **ii. Early warning questions**

Certain considerations must be taken into account in order to set up an optimal quality system:

It should add value; it should not be a 'box-ticking' exercise.

It should be reflective and evaluative.

It should be enhancement-focused, with the aim of improving the student experience.

It works best in a collegial and supportive environment.

Steps to follow:

1. Define what the main objectives of the quality system are and how they are set.
2. Define the distribution of responsibilities related to the quality system. Describe the responsibilities themselves.
  - 2.1. When dividing responsibilities, ensure clarity, appropriateness, workload, level of competence and commitment of those responsible for quality management.
3. Define the modalities for the production of information and its documentation
4. Linking the quality system to strategic planning, management and operations management
5. Establish the links between the different levels of application of the quality system

### iii. Examples

Such a system can take many forms, for example

At **KU Leuven**, where the system provides for internal review at three levels: programme, faculty and university during the academic year. Each level conducted discussions with stakeholders and produced reports containing reflections, good practices and possible actions, which fed into the discussions at the next level <sup>5</sup>.

At the **Vienna University of Economics and Business (WU)** in Austria ownership of and responsibility for the quality of programmes is fostered through programme evaluation workshops, which are held every four years for each programme as part of the process for evaluating and developing curricula. The workshops bring together a range of stakeholders including the programme director, the programme quality manager, employer representatives, students, alumni and a director of another programme. The workshops are an opportunity to review recent activities, results and feedback, and

5. Enhancing quality from policy to practice by Tia Loukkola and Anna Glover For EQUIP  
(<https://eua.eu/downloads/publications/enhancing%20quality%20from%20policy%20to%20practice%20equip%20publication%20final.pdf>)

discuss ideas for future development, taking into account a variety of perspectives. The results of the workshop feed into a four-year action plan for the further development of the programme <sup>8</sup>.

#### QA system at **Uppsala University**

Uppsala University's model for review of study programmes is based on the following principles.

The model:

- is decentralised and based on continuous quality enhancement work;
- is based on an exploratory approach to evaluations in which external peer review and collegial work forms are natural components;
- promotes quality and includes student/doctoral student participation;
- is stringent, i.e. able to identify and remedy deficiencies;
- **is as simple and cost-efficient as possible.**

## **c. How to define its quality policy?**

### **i. Explanation**

The Quality Policy is the first document of the Quality Management System. It provides a framework for the quality approach and communicates its foundations. It must first express the commitment of the Management to develop and support the quality approach.

if we ask the ESGs, they tell us that:

“Quality assurance policies are most effective when they reflect the relationship between research and learning & teaching and take account of both the national context in which the institution operates, the institutional context and its strategic approach. Such a policy supports

6. Id in Enhancing quality from policy to practice

- the organisation of the quality assurance system;
- departments, schools, faculties and other organisational units as well as those of institutional leadership, individual staff members and students to take on their responsibilities in quality assurance;
- academic integrity and freedom and is vigilant against academic fraud;
- guarding against intolerance of any kind or discrimination against the students or staff;
- the involvement of external stakeholders in quality assurance.

The policy translates into practice through a variety of internal quality assurance processes that allow participation across the institution. How the policy is implemented, monitored and revised is the institution's decision. The quality assurance policy also covers any elements of an institution's activities that are subcontracted to or carried out by other parties."

## ii. Early warning questions

In concrete terms, the quality policy of a university is a text by which it communicates to all its partners the quality system in place, its objectives, its responsibilities and the roles that each has to play.

In order to facilitate the drafting of this document, it is advisable to carry out an in-depth reflection beforehand. The few elements that follow are as many ideas to help you see clearly

**Start with the question**

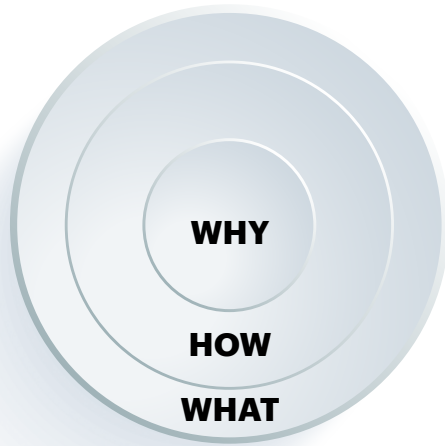
**Then ask**

**Finally ask**

**"WHY?"**

**"HOW?"**

**"WHAT?"** <sup>7</sup>



“Again, a WHY is just a belief. HOWs are the actions we take to realize that belief, and WHATs are the results of those actions. When all three are in balance, trust is built and value is perceived <sup>8</sup>.”

There may appear to be a certain apprehension on the part of university actors with regard to the terms of quality policy and evaluation, which is why it may prove useful to integrate all the stakeholders in the reflection, or even its drafting. This type of approach can also have the advantage of broadening reflection, developing new creativity in the face of quality processes and obtaining the support of the entire community, which remains a crucial element for the success of the quality approach as a whole.

### iii. Examples

At **ULiège**, quality management is based on **values** that have been defined by the SMAQ since its creation:

**Critical reflection**  
**Active participation**  
**Consultation**  
**Transparency**  
**Planning for change**

These values, which guide the SMAQ in its action, are described in a document available on the website entitled "The SMAQ, building on the values of the institution <sup>9</sup>".

8. Ibidem p84.85.

9. [https://www.uliege.be/upload/docs/application/pdf/2017-07/valeurs\\_smaq.pdf](https://www.uliege.be/upload/docs/application/pdf/2017-07/valeurs_smaq.pdf)

## d. What are the types of procedures useful for the implementation of a QA System ?

### i. Explanation

ESG are a useful source of inspiration for defining the procedures and processes to be put in place.

As specified in the ESG 1.9 :

*“Institutions should monitor and periodically review their programmes to ensure that they achieve the objectives set for them and respond to the needs of students and society. These reviews should lead to continuous improvement of the programme. Any action planned or taken as a result should be communicated to all those concerned”*

### ii. Early warning questions

#### **First step :**

*It would be a good idea to start by mapping and evaluating all the processes that exist within the institution: do these processes respond to a real need and do they bring about an improvement? The two elements of this issue are both essential “Do they meet a real need and if so, do they bring about a real improvement?”*

#### **Second step :**

*What new procedures could be put in place?  
What tools do I have at my disposal to implement them?  
What new tools would I need to implement them?*

It should be kept in mind that the desire to put in place quality procedures is to ensure that the provision of training remains appropriate and thus create a favourable and effective learning environment for all students.

Large families of processes need to be defined, which may go beyond the strict framework of programme quality.

These include processes related to the decision-making framework, the student life cycle, and the teacher life cycle. Sometimes it is interesting to start from these major transversal processes to reflect on the quality procedures to be put in place.

Various types of procedures can be envisaged and for some of them one or more monitoring can be set up :

- Decision-making process: who decides what when.
- Procedure for defining the program's KLOs and updating them
- Procedure for updating the content of the program
- Procedure for updating the needs of stakeholders and society
- Procedure for monitoring student success (verification of ECTS and student progress)
- Procedure for the evaluation of teaching by students

## **e. How to involve stakeholders in the quality approach (internal and external parties)?**

### **i. Explanation**

Stakeholders are defined as individuals, groups, or formal organisations that have an interest in and/or responsibility towards improving Higher education. They include students, parents, academic staff, university leaders, local authorities, social partners, employer organisations, researchers, non-governmental organisations, and others.

This includes parents, teachers, students and staff, and can be extended to include employers.

This definition emphasizes that engagement must be deliberate and systematic, and stakeholders could have an influence throughout the decision making process, not just at the end.



Stakeholders engagement moves through four phases:

1. **Planning:** determining what decisions will be affected, identifying who the participants are, establishing the background and settling on the right questions to ask
2. **Participation:** gathering input and ideas, learning from each other and setting priorities. This can be done in the form of an annual meeting, an online survey, focus group techniques, or a variety of interviews
3. **Analysis:** consolidating all the input in order to establish a relevant course of action.
4. **Sharing:** Ensure that processes are in place to distribute information to the appropriate parties.

### **Benefits of Stakeholder Engagement:**

- Better insight into stakeholders' views and opinions
  - The ability to make big decisions more quickly and at reduced cost
  - Greater buy-in from stakeholders, who played a larger role throughout the decision making process
  - Stronger likelihood of positive outcome thanks to access to more ideas and broader awareness of the decision made
  - Greater trust for education leaders among stakeholders.

As stakeholders, students are expected to be involved in course evaluation and participate in internal quality assurance through decision-making and quality management processes in higher education institutions whether as equal partners or not as defined by legislation.

Students as internal stakeholders are represented at all levels of institutional decision making or action, from the general representative body such as the senate or university council to faculty boards, review committees, program committees, academic ethics committees and disciplinary curriculum review boards. In addition, they may be involved in assessments and

revisions of program learning outcomes and involved in self-evaluations of programs of study at various levels.

Student representatives are mostly young full-time students and do not include adult, part-time, international or disabled students.

## **ii. Early warning questions**

Why involve students?

Relying on student satisfaction to measure the quality of a program is probably more "valid" than relying on prejudice or hearsay. However, the reasons for their satisfaction/dissatisfaction need to be examined and cross-referenced with other sources of information. It is therefore necessary to consider a procedure that allows for this cross-checking of opinions.

It is useful to provide training for students who will be involved in an evaluation procedure and to define with them the objectives of their mission and the expectations of each other.

Integrating students allows them to have a good understanding of the system and helps them to realize their different rights and duties.

Most subjects are relevant but it is important to recognize the subjects on which the students' expertise cannot be extended at the risk of discrediting them.

How to involve them?

With what tools?

What to think about beforehand?

– The timing is important and must be chosen according to the information desired: at the beginning of the course (expectations of new students), before or after exams, before or after graduation,...

– The format used must meet several criteria: the type of information sought (qualitative, quantitative), ease of organization, cost, etc...

Thus there are online or paper surveys, the choice depends on the mail sending capacities and the management of the encoding of the answers.

The need for a high response rate or not is also an element to be taken into consideration for face-to-face or remote questionnaires.

The type of open-ended, half-open-ended, multiple-choice questionnaires also depends on the information processing capabilities.

– The choice to use interviews and focus groups must also be analyzed and is more suitable for collecting qualitative data to help, for example, in the implementation of corrective actions. The students are then solicited according to a targeted objective. The choice of the representative panel or not is then important.

It is essential to define the type of information required beforehand: obtaining a satisfaction rate does not require the same approach as collecting work leads.

In short, the definition of the objectives linked to student participation must be established beforehand.

### iii. Examples

European project on stakeholders involvement **ESQA**

In **Belgium (French Community)**, the Platform for Educational Resources (PREN) is an initiative of the Digital Strategy for Education approved in October 2018. It aims to provide the entire educational community of the French Community in

Belgium with an interface for consultation, and ultimately for sharing, validated resources that can be used to carry out or design learning activities, as well as to enrich knowledge and/or practices. A first version of the Platform was put online in April 2019. It offers an interface for consulting various resource banks: publications, tools and research produced or coordinated by the General Administration of Education, resources identified and evaluated by the scientific community, and contextualised audio-visual content. A second version of the Platform, planned for 2021 will be constructed in a collaborative way with shared contents by and for the educational community. From 2022 e-learning modules for teachers will become part of the Platform. It is a numeric platform for consulting and sharing validated educational resources, which will support and create learning activities. Stakeholders will be actively involved to propose or further develop tools.

The **Portalegre Polytechnic (IPP)** in Portugal involves employers in its QA system at three different levels: programme planning; programme evaluation and review; and evaluation of the performance of graduates and their readiness for the labour market.

Across these levels a variety of approaches are used. For example, for the process of programme planning, IPP engages with employers through discussion forums, which are supported by the institution's Governing Council. These Forums focus on reviewing proposals for new programmes to ensure that they meet the needs of the labour market, and particularly that they take into account the specific needs of the region in which the institution is based. This is then followed up by involving employer representatives in periodic programme reviews and by sending surveys to employers regarding the performance of graduates .

In the **Scottish higher education sector**, the visibility of the student role in enhancing quality is raised by sparqs (student partnerships in quality Scotland), a publicly funded organisation which works with students, student unions, institutions and other bodies in the Scottish higher education sector to facilitate meaningful student involvement in developing their educational experience. Their work includes offering training, information and events in order to make quality more accessible for students, and giving support to institutions on how to improve student engagement (sparqs website) .

At Université de Lorraine, Students are involved in developpements councils which role and missions

- analyses student's orientation, academic results and professional integration;
- produces action plans to improve the study programmes quality ;
- could contribute of training offer orientation.

Also these councils involved internal stakeholders as teachers, reseachers and administrative staff and external stakeholders (representatives of working life and former students representatives) and are presided by an external figure.

Stakeholder's involvement is considered as being one of the strength of Hcéres:

- It is enshrined in its organizational structure through Board membership. The members are appointed by the French Minister of Higher Education and Research. Most of them are put forward by evaluation stakeholders. And the Board also includes two students, two elected officials and three representatives from European quality assurance agencies. This is all organised in a way that ensures regular and unfettered communication with institutional stakeholders and bodies involved in the various evaluations;

- Stakeholders are also regularly consulted in defining and updating methodologies;

- They take part in all evaluation processes (program, research unit or institutional evaluations)

But in the meantime, in Hcéres external evaluation review report dated 2017, one of the recommendation stated "The panel encourages HCERES to open up to external stakeholders by systematically involving them into the assessment and design of its methodologies through various working groups and committees", which shows that providing evidence of stakeholder's involvement is not an easy task.

In addition to that, and within Hcéres, the observation was also made that it is very challenging:

- To attract stakeholders and to encourage them to take part in the quality assurance processes (internal and external), because it is often difficult to get

them really involved

- To train them to the ESG quality culture
- To make sure that they would not only take part in the panel, but really offer an added-value with their own perspectives
- To respond to the stakeholders needs and expectations

## **f. What tools can help me to go further in my considerations?**

### **i. Explanation**

As specified in the ESG 1.7, institutions should ensure that they collect, analyse and use relevant information for the effective management of their programmes and other activities.

“Reliable data is crucial for informed decision-making and for knowing what is working well and what needs attention. Effective processes to collect and analyse information about study programmes and other activities feed into the internal quality assurance system. The information gathered depends, to some extent, on the type and mission of the institution.

The following are of interest:

- Key performance indicators;
- Profile of the student population;
- Student progression, success and drop-out rates;
- Students’ satisfaction with their programmes;
- Learning resources and student support available;
- Career paths of graduates.

Various methods of collecting information may be used. It is important that students and staff are involved in providing and analysing information and planning follow-up activities. <sup>12</sup> ”

12. ESG 1.7

## ii. Early warning questions

### The development of standards, indicators and dashboards

It has become clear that in QA measuring is one of the most important necessities, yet not its essence <sup>13</sup>. Rather than imposing generic standards <sup>14</sup> and indicators or a ready-made recipe, it is necessary to define which ones are appropriate for the institution according to its objectives.

Similarly, it is not the multiplicity of these indicators that counts but their adequacy and efficiency. Let's keep in mind that too many indicators can kill information: keeping the information as readable as possible must take precedence.

It is also useful to remember that there are several types of indicators, the latter can be quantitative or qualitative, measures of means of activity or efficiency, etc..

Therefore, how can an efficient reflection be carried out in order to build its indicators and its dashboard?

The indicator system is based in part on the **institution's strategic objectives**.

The dashboards are a collection of indicators, which can be grouped by theme, by mission of the institution or by addressees.

Not everyone needs to have access to all the information, otherwise they may sometimes feel overwhelmed by it.

Indicators are not synonyms to all the data an organisation possesses. The HR department for example owns a lot of data about staff (age, marital status,..) that cannot all be used as quality indicators. Indicators should give information on the organisation's performance as far as quality of its requirements are concerned and help the organisation to improve its performance <sup>15</sup>.

13. L BOLLAERT, A manual for internal Quality Assurance in Higher Education, Brussels, 2014, p.93-103

14. As far as standards are concerned, in the project we are following, we have taken the decision to consider ESGs as a basis for our work.

15. Ibidem p.98

Indicators must meet certain criteria to be of good quality: they must be **SMART** (Specific-Measurable-Achievable-Relevant-Timely)

In brief, the following practical tips can be given concerning standards and indicators <sup>16</sup> :

- Consider the organisational culture before formulating standards and indicators
- Formulate standards that have a link with your own mission, strategy and objectives, as well as with international, national and regional EQA standards > ESG
- Do not limit your system, its standards and indicators to the usual QA checks, but link them all the elements that are crucial for the quality of education in the broadest sense of the word
- Identify indicators in each domain or subjects of your QA (system or management)
- Identify input, process and output in order to embed the three of them in the QA system, standards and indicators
- Mix indicators of aims, processes, output and organisation as a whole
- Formulate standards and indicators in consensus with stakeholders
- Mix quantitative with qualitative standards and indicators
- Be aware of the 3 functions of indicators : signalling, evaluating and communicating

### iii. Examples

**Université de Lorraine** creed relies on power of information and is placed at the service of the entire community with plenty of tools as :

UL Dashboards : TBO

- Activity related to our Decision Support Information System: continuous enrichment of TBO themes (APOGEE, ALISSE, DFOIP business page...)
- Key figures, multiple requests for quantified data
- Economic mapping
- Data production for external evaluation
- Monitoring of contractual indicators (aimed at external authorities / within our university)
- Sustainability and simulation tool
- Evaluating Cost Accounting Data: Cost of Activities
- Structure and function repositories.

16. L BOLLAERT, A manual for internal Quality Assurance in Higher Education, Brussels, 2014, p.103



# 2. chapter

## Advice for the quality assurance unit

In the context of the creation of the quality assurance unit, consideration should be given to :

- include it in a broader strategy that emphasizes cross-functionality,
- Structure it according to the missions that will be assigned to it
- Define the number and profile of the personnel who will be assigned to it according to these missions
- Organize the distribution of required skills among staff members as well as the charges

### **a. Why set up a quality assurance unit?**

#### **i. Explanation**

It appears that an internal program evaluation approach is complementary to an external evaluation/accreditation system, why?

Such an exercise allows :

- identify the strengths but also the areas for improvement to be implemented
- to be carried out by an internal team based on the needs and objectives of the institution in a caring environment that does not give rise to any sanctions/approvals
- enrich an action plan without masking the real difficulties of the program

#### **ii. Early warning questions**

What is the European regulatory framework?

What is the regulatory framework of the country/region?

How do I apply it in my institution?

### iii. Examples

**Université de Lorraine** works with the community upstream external evaluation and accreditation, and demands an higher level of requirement, to anticipate external evaluation and accreditation, for example we ask community to write a full document, with strenghts and improvements on every levels asked for external evaluation, this work improve teams reflexivity on self assesment and continuous improvement.

## b. Who is who in Internal quality (and quality unit) and who does what ?

### i. Explanation

QA offices are ideally located centrally and report directly or indirectly (e.g., through a vice rector/president responsible for quality) to the management team, thereby, for example, avoiding faculty lobbying.

The quality assurance office can perform several functions:

- A support and expertise role: the quality assurance manager regularly visits each faculty and department and is invited by them to provide expertise in the development of their quality assurance processes.
- A coordinating role: especially when the process is devolved to the faculties or when there is an evaluation process organized by the university. For example, the quality assurance manager creates a network of quality assurance officers within faculties and departments. He or she may organize the collection/analysis of institutional data.
- Interpretation role: One of the tasks of the QA manager is to interpret national and European quality assurance requirements in order to adapt them to the institutional context.
- Monitoring role: The office provides instructions, collects information, reports problems, but is not involved in their resolution.
- Administrative role: Organization and preparation of external evaluation visits or processing of institutional questionnaires.

## ii. Early warning questions

What human, material and financial means does the establishment have at its disposal?

What is the role of the cell?

What is the structure of the cell?

What place between the authority and the stakeholders?

## iii. Examples

At **KTH**, it is the Faculty and the Dean of the faculty that are responsible for QA at KTH. The faculty, or the faculty board, overreaches all schools at KTH and is responsible for academic matters including QA. The faculty consists of thirteen members, seven from KTH (with position as professor or lecturer, elected), including the dean and vice-dean, three members are employed outside KTH, three representing the students. Representatives from the unions take part as observers.

It is the faculty that is responsible and leads the QA work at KTH. The QA work consists of two parts. Annual follow up and methodical evaluation.

At **Uppsala University**, it is the faculty boards/disciplinary domains that are responsible for

- compiling and registering a brief evaluation report in accordance with the above and making it available internally at Uppsala University;
- ensuring the evaluation report also contains the board's conclusion, including whether special follow-up is needed;
- making the planned measures and the concluding reviewer report publically available;
- ensuring that measures and improvement actions are initiated and monitored within the framework of annual follow-up;
- ensuring that necessary measures are followed up within one year, and are subsequently followed up until they are completed or until the programme/course is shut down;
- annually compiling and analysing the results and conclusions of the year's reviews of study programmes, including any need for special follow-ups, and

reporting on this to the Vice-Chancellor within the framework of ordinary operational planning and operational follow-ups;

- ensuring the results from the year's completed reviews of study programmes are presented by those in charge of the study programmes in question at the annual conference for reviews of study programmes;
- deciding whether reviews of study programmes in specific subject areas can be replaced by other external accreditation (such as EQUIS) where appropriate. However, reporting and follow-up of results are to take place in accordance with these guidelines.

At the **ULB (Université Libre de Bruxelles, Belgium)** Quality is under the academic authority of a vice-rector and an advisor. The vice-rector for Quality also has gender in her competences, both of these axes being priorities in the current strategic policy of the authorities.

The adviser is attached jointly to the President and the Rector for all Quality initiatives. Since 2007, ULB has had a Quality structure with a permanent coordinator position. The coordinator is placed under the operational responsibility of the Vice-Rector and the advisor and under the administrative responsibility of the Director General. Quality is integrated within the general administration, in the Quality Department.

The Quality Council comprises a series of managers and field actors from the various "fields of competence" concerned with Quality and representatives of all the University's academic, scientific, administrative, technical, management and specialized staff (P.A.T.G.S.) as well as student representatives. It is chaired jointly by the Vice-Rector and the Counsellor. The coordinator is invited on a permanent basis.

Missions of the coordinator :

- Accompaniment of quality procedures in the entities,
- Administrative support to the evaluated entities and the Quality Council,
- Quality information resource management,
- Responsible for quality communication and information at ULB,
- Internal and external self-assessment training,
- Support for quality projects,
- Miscellaneous scientific activities,

- External representation.

**Université de Lorraine**, was funded in 2012 by merger of 4 former universities, at this point was created DAPEQ (Delegation à l'aide au pilotage et à la qualité / delegation for leadership and quality assurance). DAPEQ is a true engineering, consulting and expertise firm made up of executives, promoting a culture of continuous improvement and organizational development based on quality management and process-based management tools.

A team of 16 executives combining a wide range of skills:

- Demography, Psychology, Sociology, Social Policy
- Management Science, Finance, Economics, Accounting
- Technology, IT, Quality
- Administration and Management
- Ability to handle all kinds of Policy, strategy and operations issues.

## **c. Where should the quality assurance unit ideally be located in the general organisation chart of the institution?**

### **i. Explanation**

Some guidelines can be proposed :

Be an integral part of the strategic management of the institution, directly and specifically related to teaching, learning and research, or in support of any activity that the higher education institution offers.

And thus, it is important to make known and disseminate responsibilities, make available the means to achieve objectives, identify internal partners and provide communication means.

It is important to emphasize that the QA system is accepted and owned by the academic community. The QA unit is a support unit to give advice and to facilitate the work with QA. The QA

process and work takes place at the faculties, departments or other academic entities depending on the organisation of the university. This is why the QA unit could be almost “invisible” for an external partner.

### **iii. Examples**

According to **Uppsala University’s** rules of procedure, each disciplinary domain/faculty board is responsible for the quality of its educational offerings, since they are best qualified to assess how to ensure and enhance the quality in their respective fields. Consequently, Uppsala University’s model for review of study programmes (including freestanding courses), allocates responsibility for the design, implementation and follow-up of reviews of study programmes to the relevant disciplinary domain/faculty board. Uppsala University’s model consists of two parts: internal annual systematic follow-up of study programmes, and comprehensive external peer review every six years.

## **d. Which hierarchical attachment ? how define the relationship with the highest authority (Rector, Vice-rector) and the transversal position (teaching - research - support)**

### **i. Early warning questions**

How to develop communication plan between QA unit, authorities and University departments, Faculties, programme working groups.

Establish top-down procedures of the discussion and implementation of necessary changes for the quality of educational programmes improvement, the role and tasks of QA unit on each step of the process

## **e. What type of mission and objectives to assign to Quality system and the cell ?**

## i. Examples

The **UL** (Latvia) defines quality as a measure of excellence, which characterises the ability to meet and exceed the foreseeable and future needs of its stakeholders and to ensure that the processes meet industry regulatory and standard requirements.

In **ULiège**, the mission of the Service de Management et d'Accompagnement de la Qualité (SMAQ), as defined in its statutes, is to promote, coordinate and disseminate within the University of Liège a quality culture based on critical reflection and strategic planning.

In terms of activities, it is translated into five functions :

- **Design** and ensure the proper functioning of an institutional quality system
- **Assist entities** in implementing the quality system as part of their responsibility
- **Identify** in the conclusions of the evaluations conducted in the entities the cross-cutting elements deemed useful for institutional governance and communicate them to the authorities
- **Promote** the culture of quality at the University of Liège by communicating, in a transparent manner, by helping members of the university community to fit into the framework and spirit of the institutional quality system, by initiating reflections and sharing of practices related to evaluation, by proposing, designing, preparing, structuring and accompanying projects aimed at improving the quality of ULiège's activities and operations and by being the driving force behind a community of practices within the institution
- **Contribute** to ULiège's visibility by highlighting its expertise in quality matters

DAPEQ's structure at Université de Lorraine, a 360-degree response capability :

- Management Control and Economic Analysis: Dashboards/Economic Mapping/Management dialog/Indicators/Audit
- Observatory: Student follow-up/Expertise and advice in carrying out statistical surveys and producing statistical information/ Analyses (rankings, etc.)
- Quality management: Support for the institution's strategic project/Quality approach in research and training/Administrative quality approach/External / internal evaluation

# 3. chapter

## Tips to support compliance with ESG

### **b. How and why evaluate compliance with the standard 1.1 ?**

#### **i. Explanation**

*Institutions should have a policy for quality assurance that is made public and forms part of their strategic management. Internal stakeholders should develop and implement this policy through appropriate structures and processes, while involving external stakeholders.*

ESG 1.1 emphasizes the need for a strategic approach to quality assurance. Strategy is about the long-term direction or trajectory of an organization. In this way, institutions are encouraged to integrate their quality assurance policy into their development and make it public. The definition and implementation of this policy requires the involvement of all stakeholders.

We must insist on the fact that quality must not be the concern of a single person, but must involve all the teams, both pedagogical, administrative and technical, and the management. No one in any form of education can deny today that external evaluations conducted within institutions encourage them to question appropriate quality assurance structures and approaches. Establishments are often on the move, expressing their interest in a quality approach and continuous improvement.

#### **ii. Early warning questions**

In order to be in line with standard 1.1, a set of questions must be asked in order to put in place the appropriate structures and approaches. For each of these questions, it is important to ask which structure and process is assigned to it.

The following table can be used not only in the reflection on the setting up of the system (see first part of the document) but also in its evaluation.



Questions	Structure set up to meet them	Process and who in charge ?	How to evaluate and indicator ?
What are the educational objectives and values of the institution and how are these objectives and values articulated with each other? What are the priority objectives ?			
How does the institution's governance affect the organization and management of study programs?			
What external partnerships does the institution/entity rely on to achieve its objectives?			
What are the roles and functioning of the consultation and decision-making bodies?			
What is the role of students in the governance of the institution/entity?			

### iii. Examples

About **ULiège** : In FWB, This first reference is already well established since **the legal framework of the French Community of Belgium imposes it:** Educational institutions are required to monitor and manage quality for all missions they carry out (article 9 of the decree of 31 March 2004). In the Decree of 7 November 2013, the Government of the Community goes even further by obliging the institutions to implement effective internal self-evaluation and its monitoring for all its activities:

*institutions are required to monitor and the quality management of all their activities and to take all measures for effective internal self-evaluation and monitoring.*

## **c. How and why evaluate compliance with the standard 1.2 ?**

### **i. Explanation**

*Institutions should have processes for the design and approval of their programmes. The programmes should be designed so that they meet the objectives set for them, including the intended learning outcomes. The qualification resulting from a programme should be clearly specified and communicated, and refer to the correct level of the national qualifications framework for higher education and, consequently, to the Framework for Qualifications of the European Higher Education Area.*

ESG 1.2 includes a reference to the Qualifications Framework and learning outcomes: It thus combines the tools of the Bologna reform with quality assurance, quality of learning and quality of pedagogical and assessment approaches.

To meet the requirements, higher education institutions develop and implement procedures and mechanisms to develop, manage and revise their programmes. These procedures and mechanisms are intended to be effective, participatory and should contribute to the development of program quality.

These procedures and mechanisms should also ensure that the program complies with the legal provisions of the country and takes into account the needs and expectations of stakeholders. Thus, the program is regularly updated (professional practices, research results, articulation with research, articulation with professional circles, scientific and technical knowledge, etc.) and promotes the socio-professional integration of graduates and/or their integration into a flexible training program.

## ii. Early warning questions

Questions	Structure set up to meet them	Process and who in charge ?	How to evaluate and indicator ?
What governance structures are involved in the management of the program and what are their various roles and linkages?			
How and by whom are program KLOs developed? Are they regularly reviewed? And to whom are the structures in charge of developing them accountable?			
How are the different stakeholders involved in the implementation, piloting and revision of the programs involved?			
How, by whom and when is the student workload (ECTS) calculated? Is it reviewed regularly?			
Are processes in place for the evaluation of teaching by students?			

## d. How and why evaluate compliance with the standard 1.3 ?

### i. Explanation

*Institutions should ensure that the programmes are delivered in a way that encourages students to take an active role in creating the learning process, and that the assessment of students reflects this approach*

The inclusion of a specific standard on student-centred learning (SCL) was the most noticeable and debated change between the ESG 2005 and 2015. It reflects and formalises the ongoing shift of attention towards the role of the student in the learning process and the responsibilities of institutions to review their curriculum design, pedagogical approaches and assessment methods<sup>17</sup>.

ESG 1.3 invites institutions to create a pedagogical environment that leads the student to play an active role in the learning process. He must become a co-creator of his learning.

It is important to diversify the educational activities and assessments that make sense in relation to the competencies targeted.

The notion of competencies represents a real break with curricula that were traditionally thought in terms of courses and content, the practice of competency repositories is spreading widely. The diversity of pedagogical approaches then becomes a necessity both to respond to the diversity of students' expectations, to enable them to acquire very different skills, but also to make them more active in their training through increased motivation : specific pedagogical activities (such as problem-based learning) that are more relevant to the student's activity, the use of the portfolio as a means of developing reflective practice and supporting skill acquisition.

Student autonomy becomes another important issue in higher education (progressive autonomy of the student in the organization of his/her work, providing regular supervision, elements of practice related to research from the undergraduate level prove to be useful means to introduce future graduates to the reality of the labor market, in particular that of self-employment or contract work, where intellectual autonomy, as well as the ability to build a project and carry it through, are major assets).

It is important to find the right balance between the establishment of flexibility and consistency of pathways with the skills to be acquired, two requirements that may appear to be tense and difficult to manage

17. Enhancing quality from policy to practice by Tia Loukkola and Anna Glover For EQUIP p 35 (<https://eua.eu/downloads/publications/enhancing%20quality%20from%20policy%20to%20practice%20equip%20publication%20final.pdf>)

## ii. Early warning questions

Institutions are recommended to engage internal stakeholders to develop a common institutional understanding of SCL, which can then be used to inform QA processes.

Standard 1.3 reads that, *“Institutions should ensure that the programmes are delivered in a way that encourages students to take an active role in creating the learning process, and that the assessment of students reflects this approach.”* Thus, it identifies the need for students to take responsibility for their own learning, and for an institution and its staff to provide the necessary environment to facilitate this as being at the core of SCL.

At the level of the individual, the provision of feedback to students is a key element contributing to student responsibility.

Institutions are recommended to pay attention to giving sufficient feedback to students about their work and learning, as this provides important input for them in developing and taking responsibility for their own ability to learn. Similarly, students are recommended to take responsibility for their own learning process, while using the support measures offered by the institution <sup>18</sup>.

18. Enhancing quality from policy to practice by Tia Loukkola and Anna Glover For EQUIP p 37  
(<https://eua.eu/downloads/publications/enhancing%20quality%20from%20policy%20to%20practice%20equip%20publication%20final.pdf>)

Questions	Structure set up to meet them	Process and who in charge ?	How to evaluate and indicator ?
How is the notion Student-centred learning considered and questioned within programs?			
How to assess and measure the extent to which an institution has adopted a student-centred approach to teaching and learning?			
What structures help teachers to set up innovative teaching that integrates these notions of Student-centred learning ?			
How is the notion of student autonomy integrated into the curriculum? How do learning methods focus on knowledge mobilization and skills from different disciplines?			
<p>What are the pedagogical practices that are representative of the announced pedagogy? How are they promoted? How is their effectiveness assessed?</p> <p>Is an evaluation of the different teaching methods given to students carried out? Is assistance offered to teachers to help them improve their teaching methods?</p>			
What are the methods of recourse available to students?			

### iii. Examples

The document “Enhancing quality from policy to practice” proposes some tracks :

Focus group participants proposed the following aspects to be considered as part of an institutional QA system aiming at ensuring policies and practices for SCL:

#### Support for learning

- support for students to understand their own learning type
- frameworks for independent learning
- sufficient opportunity for students to give and receive feedback

#### Support for teachers

- pedagogical training, including sharing of good practice
- supporting use of varied teaching methods
- sufficient opportunity for giving and receiving feedback
- supporting use of technology (as a tool, not a goal in itself)
- recognising good teaching

#### Curriculum design and learning paths

- ensuring clear description of course content and intended outcome
- choosing teaching and assessment methods that encourage active learning
- flexible learning path and guidance for student choices
- recognising prior and non-formal learning
- student involvement in curriculum design
- external stakeholder involvements in curriculum design (e.g. alumni and employers)
- governance and decision-making
- genuine student involvement (not just on paper)
- input from academic staff
- embedding SCL into university strategy

## **e. How and why evaluate compliance with the standard 1.4 ?**

### **i. Explanation**

*Institutions should consistently apply pre-defined and published regulations covering all phases of the student "life cycle", e.g. student admission, progression, recognition and certification.*

ESG 1.4 deals with the student's journey through the cycle of study and how institutions implement admission, progression, recognition and certification procedures. The main emphasis is on the completeness of the cycle and the necessarily fair and public nature of these procedures.

In general, national legislation provides for a number of obligations to be respected by institutions in terms of admission, assessment of prior learning (VAE), registration, gateway and certification

When these procedures are revised, it is to require an improvement in their implementation or monitoring, in a lifelong learning context that requires good course management, particularly in terms of flexibility. From this perspective, the obligation to clearly inform students about the studies, but also about the procedures in place in the institution, is unavoidable. Each student must receive quality information that allows him/her to build his/her individual path and progress in the study program.



## ii. Early warning questions

Questions	Structure set up to meet them	Process and who in charge ?	How to evaluate and indicator ?
Which services are involved in the administrative monitoring of students? What procedures are in place and how are they evaluated?			
How is the admission and orientation of students carried out? What are the measures implemented? Are these measures regularly evaluated?			
What arrangements are in place to enable the institution to ensure that students can achieve the intended learning outcomes equitably and can achieve a similar level of competency regardless of their prior learning pathway and their personal, social or economic circumstances?			

## f. How and why evaluate compliance with the standard 1.5 ?

### i. Explanation

*Institutions should assure themselves of the competence of their teachers. They should apply fair and transparent processes for the recruitment and development of the staff*

The guidelines of standard 1.5 acknowledge the changing role of and expectations towards teachers and that there is a resulting need for the ongoing development of staff competences to deal with the changing learning landscape.

## ii. Early warning questions

Questions	Structure set up to meet them	Process and who in charge ?	How to evaluate and indicator ?
What structures and incentives are in place to ensure that education is improved?			
What procedures have been put in place to arbitrate the allocation of human resources, define the workload and evaluate it on a regular basis?			
How is the effectiveness of mechanisms for recruiting, selecting, managing, evaluating and developing the skills of staff ensured? How equitable are these measures?			
How are learning activities sustained by research findings? What steps are taken to ensure that research advances are regularly integrated into teaching, both in terms of methods and outcomes?			

## iii. Examples

The **Irish National Forum for the Enhancement of Teaching and Learning in Higher Education** offers an infrastructure for collaboration and innovation across the Irish higher education, with the ultimate aim of improving standards for students and teachers. It explores key enhancement themes over three-year periods, provides opportunities for sharing and developing good practice, offers continued professional development, rewards achievement through the National Learning Impact Awards and makes available a wide range of resources to support institutions and teaching staff (Forum website).

At the European level, the **EFFECT project** (European Forum for Enhanced Collaboration in Teaching) aims to facilitate the exchange of experience and effective methods for development of academic staff. The project draws on good

practices in teaching enhancement from across Europe to explore their transferability in other disciplinary, institutional and national contexts and define some common principles underpinning successful support for continuous professional development of teaching staff. The activities include examining the challenges faced at strategic and practical levels and identifying potential models for sustainable Europe-wide cooperation and development in response to stakeholder needs. At the end of 2017 the European Principles for Enhancement of Learning and Teaching were published under the auspices of the project (EUA website) <sup>19</sup>.

## **g. How and why evaluate compliance with the standard 1.6 ?**

### **i. Explanation**

*Institutions should have appropriate funding for learning and teaching activities and ensure that adequate and readily accessible learning resources and student support are provided.*

Good teaching is certainly central in ensuring student success (as discussed in Standard 1.5) but so is the quality of the general learning environment, as well as the ancillary student services and the support provided to student representative associations. These included bridging courses, academic orientation, academic advice, mentoring/ tutoring, psychological counselling, special support for first-year students, career guidance and events to promote the employment prospects of graduates, etc. Students with special needs should not be forgotten: additional courses are available to reinforce some of their skills <sup>20</sup>.

19. Enhancing quality from policy to practice by Tia Loukkola and Anna Glover For EQUIP p 40

20. Anna GOVER, Tia LOUKKOLA, Andrée SURSOCK, ESG PART 1: Are the universities ready ?, Septembre 2015

## ii. Early warning questions

Questions	Structure set up to meet them	Process and who in charge ?	How to evaluate and indicator ?
What student support structures have been put in place to promote student learning?			
How is it ensured that the provision of physical resources (libraries, study locations, IT infrastructure) are adequate, accessible and regularly evaluated?			
How is it ensured that the provision of human resources (tutoring, advice, coaching for success) are adequate, accessible and regularly evaluated?			
How are the needs of students and teachers defined and monitored?			

## h. How and why evaluate compliance with the standard 1.7 ?

### i. Explanation

*Institutions should ensure that they collect, analyse and use relevant information for the effective management of their programmes and other activities*

An institution's self-knowledge and ability to collect, manage and use data (both quantitative and qualitative) form a core part of its strategic decision-making processes. As such, effective information management is also linked to many other aspects of the ESG. Unsurprisingly, institutions are increasingly investing in

this function and making use of electronic information management systems.

An important consideration for information management is the need for institutions to invest in the development of their research capacity, particularly in light of increased accountability requirements.

Institutions need to develop their capacity to collect and manage information in a variety of forms, they need to ensure that they can respond effectively to the full range of information demands, from feeding into program review and decision-making processes to meeting external accountability requirements.

- Number of international students
- Student satisfaction
- Retention rate and/or dropout rate
- Number of research active staff members
- Time to degree
- Employment rates after graduation
- Teacher/student ratio
- Investments in campus facilities
- Number of international staff
- Access/participation by socioeconomic status
- Size of library collection
- Reputation among employers
- Employer satisfaction

## ii. Early warning questions

Questions	Structure set up to meet them	Process and who in charge ?	How to evaluate and indicator ?
What data are collected, how often, by whom, by what medium (databases, surveys, ...), for what purposes and who is in charge of analyzing them?			
What data is useful for the monitoring of programs, faculties and universities?			
What measures are being taken to make up for the lack of certain data?			
How are data collections optimized so as not to overload users or generate unnecessary information?			

## iii. Examples

**Université de Lorraine** provides Statistical sheets

- Aim: to provide all the statistical information on the recurrent evaluation fields / to promote knowledge of indicators
- Periodicity: once a year
- Service offering: A sheet resume professional integration statistics of graduates, student population characteristics, student flow analysis and academic success rate.

## i. How and why evaluate compliance with the standard 1.8 ?

### i. Explanation

*Institutions should publish information about their activities, including programmes, which is clear, accurate, objective, up-to-date and readily accessible*

The demand for institutions to provide transparent and reliable data on their activities has grown in recent years following increased expectations towards higher education to play an active role in society. This is particularly the case following the financial crisis, which has made policy makers examine carefully the return on investments in higher education. Furthermore, targeted information is also important, notably to prospective students who require specific information to enable them to make informed decisions regarding places of study and to employers who look at other types of information for recruitment purposes <sup>21</sup>.

Institutions provide information about their activities (proposed programs, selection criteria, KLOs) for a more external communication, and information about teaching, learning, evaluation, success rates and job links in terms of internal communication.

### ii. Early warning questions

Questions	Structure set up to meet them	Process and who in charge ?	How to evaluate and indicator ?
How is communication organized? what are the channels? who can use them and under what conditions? are these mechanisms part of an institutional policy?			
How is the adequacy of internal and external communication mechanisms ensured (achievement of aims)?			

21. Anna GOVER, Tia LOUKKOLA, Andrée SURSOCK, ESG PART 1: Are the universities ready ?, Septembre 2015

## **j. How and why evaluate compliance with the standard 1.9 ?**

### **i. Explanation**

*Institutions should monitor and periodically review their programmes to ensure that they achieve the objectives set for them and respond to the needs of students and society. These reviews should lead to continuous improvement of the programme. Any action planned or taken as a result should be communicated to all those concerned*

The issues covered in this standard are at the core of internal QA: ensuring the programmes are fit for purpose.

The regular monitoring and review of programmes and then closing the feedback loop by revising them based on the results of the monitoring, taking into account the principles set out in Standards 1.2 and 1.3, form a critical part of an institution's QA activities <sup>22</sup>.

Where external QA approaches shift the focus from the program level to the institutional level, it is likely to become even more important for higher education institutions to be able to reliably demonstrate their ability to review their own programs.

Periodic program evaluations provide a special opportunity to cross-reference and analyze all available information in a collegial manner. They represent an indispensable opportunity to mobilize existing tools, force reflection and initiate changes. Finally, they make it possible to set the pace for revisions that are more important than the minor adjustments that result from the daily management of the programs.

The themes that can be addressed can be grouped as follows:

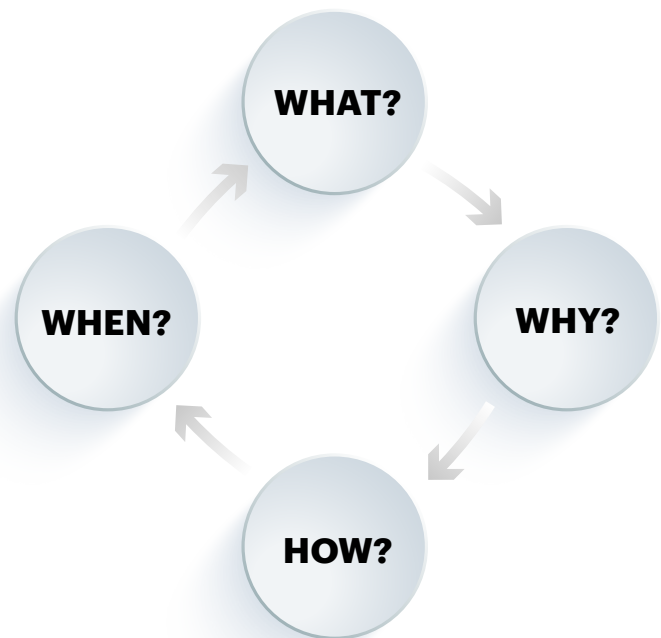
- program content ;
- monitoring linked to the needs of stakeholders and society ;
- student workload;
- support for success;
- resources dedicated to learning and its environment;
- procedures related to student evaluation.

22. Anna GOVER, Tia LOUKKOLA, Andrée SURSOCK, ESG PART 1: Are the universities ready ?, Septembre 2015



## ii. Early warning questions

There are a variety of internal processes and combinations of activities, both formal and informal, which implies that there is no standard model for approaching program evaluation, but there may be objectives to be defined, cross-cutting approaches to be considered and, above all, a long-term vision allied to the Deming Wheel.




## iii. Examples

When The “SMAQ” (Quality Management and Support Service) in ULiège was created in 2009, the quality agency (AEQES) from Frenchspeaking Community in Belgium, organized 10-yearly evaluations of training programs.

In order to reinforce the frequency of these evaluations, ULiège through the SMAQ decided to organize internal evaluations between two AEQES evaluations (at 5 years) on an identical methodology: self-evaluation, external evaluation, action plan, follow-up and closure. The criteria were similar and published in a specific guide that was discussed and widely distributed internally.

It is important to note that the program evaluations were and remain formative evaluations. The SMAQ does not provide opinions (other than methodological), it



guides and stimulates reflection on issues and themes identified through broad institutional consultation, it supports and ensures that the evaluations are conducted objectively and that they compare the opinions of the various stakeholders and external experts.

In this approach, the entity in charge of the program is solely responsible for defining its mission and the objectives it sets for itself: neither the SMAQ nor the experts can force it to follow others. Neither the SMAQ nor the experts can compel it to follow others. The role of the SMAQ experts is illustrative in this regard: they provide recommendations that the entity may decide to follow. Another important feature of the SMAQ assessment methodology is the strong focus on the action plan. Indeed, the entity in charge of the program has control over the presentation of its action plan to the authorities at the end of the process. This presentation is made during an exchange with the authorities. It is this action plan that forms the basis of the institutional monitoring organized by the SMAQ.

The periodic review of the education at **KTH** is carried out continuously during a six-year period. Directions and instructions for the periodic review is set up by the rector/vice chancellor and by the dean and vice-dean. It is governed by each individual school, which can decide when during the period a program is to be evaluated. The periodic review follows the “traditional pattern” with self-evaluation of education, research, and cooperation with external partners. External reviewers evaluate the activities on the basis of the self-evaluation and interviews with staff and students. The result is presented in a written report where suggestions for improvement are presented. The report is presented to the dean and the faculty, who give a summarized report of the periodic reviews to the rector and the governing body of the university. The result is made public on the Web-site of KTH and is considered for the future planning.

At the **Vienna University of Economics and Business (WU)** in Austria ownership of and responsibility for the quality of programmes is fostered through programme evaluation workshops, which are held every four years for each programme as part of the process for evaluating and developing curricula. The workshops bring together a range of stakeholders including the programme director, the programme quality manager, employer representatives, students, alumni and a director of another programme. The workshops are an opportunity to review recent activities, results and feedback, and discuss ideas for future

development, taking into account a variety of perspectives. The results of the workshop feed into a four-year action plan for the further development of the programme.

At **Université de Lorraine**, quality of programmes are part of our strategic project:

- Aims to develop a quality approach conducive to improvement and innovation « Use the quality approach and the evaluation policy as a steering and training tool for training development. »
- Create a reference system of skills to which our training offer is linked.
- Set up of development councils in the trainings.
- Support the process of courses assessment, generalize it and use its results as a desirable indicator of evolution.
- Train new teachers to these concepts as soon as they arrive, and continue training activities in this direction.

At **Uppsala University**, every review will:

- be designed to generate the knowledge required to ensure and enhance the quality of the study programme;
  - include a comprehensive assessment of the quality of the study programme – its strengths, weaknesses and areas for improvement;
  - contain an external review by at least two colleagues from one or several higher education institutions, and by at least one colleague from another faculty/disciplinary domain at Uppsala University, in accordance with recognised principles of peer review;
  - allow relevant teachers and students/doctoral students to participate in the planning, implementation and follow-up of the evaluation;
  - include a self-evaluation and other relevant documents as the basis for the assessment;
- result in a concluding reviewer report of the study programme's strengths and weaknesses/areas for improvement, together with recommendations;
- result in a brief evaluation report in which those in charge of the study programme summarise the most important conclusions based on self-evaluation and the reviewer report, and present planned measures/improvement actions; the review method should also be described.

## k. How and why evaluate compliance with the standard 1.10 ?

### i. Explanation

*Institutions should undergo external quality assurance in line with the ESG on a cyclical basis.*

While compliance with this standard will not be a problem for institutions, it is clear that in most cases they are not at liberty to choose the manner in which they meet its requirements. However, this standard does invest institutions with the important responsibility of reflecting how external QA processes can provide added value to them. With careful planning and coordination of both internal and external QA processes, an institution can take full advantage of the external processes, in order to stimulate further self-reflection, gain alternative perspectives and improve its activities.

### ii. Examples

The **HE sector** in France is composed of different types of institutions (universités, grandes écoles, BTS, IUT, etc...), thus there are different players in the EQA field :

- Cti is responsible for the accreditation of Engineering Programs
- CEFDG has a mandate for the Business schools
- CCNIUT for the IUT
- Hceres is the national QA agency with a broad mandate : evaluation of programs, research units, institutions, research bodies, clusters etc...

Taking the example of Hceres, Hcéres acts as a partner of the institutions, helping them to progress and achieve their strategic objectives, and its evaluation provides them with a key tool for defining their scientific and educational policy and their continuous improvement processes.

The law also allows institutions to choose their evaluator and therefore to turn to a body other than Hcéres. In this case, the role of the High Council is to verify the quality of these evaluations by validating the procedures of the evaluator.

The evaluation campaigns are run by Hcéres on a five years frequency. In this

way, the adopted schedule is compatible with the requirements of the State's contractual policy, which divides the institutions concerned into five geographical areas referred to as groups A, B, C, D and E.

Used as a tool for dialogue between the State and the institution, the evaluation conducted by Hcéres takes place prior to the signature of the multi-annual contract that defines the institution's strategic orientations and development plans for a five-year period.

Hceres is committed to implement the Bologna process and the ESG. All the guidelines and reports are publicly available on Hceres website [www.hceres.fr](http://www.hceres.fr)

In **French Speaking part of Belgium, AEQES** is an independent public service agency that carries out formative evaluation of higher education programmes organised in the Wallonia-Brussels Federation.

Within the framework of European harmonisation of higher education, the French Speaking Community of Belgium used a decree to establish, on November 14, 2002, an evaluation body: the Evaluation of Quality in Higher Education Agency (AEQES).

The Agency's principal missions are to completely independently chart the procedures for evaluating the quality of Higher Education in the French Speaking Community of Belgium – no matter the institution concerned (Universities, High Schools, Higher Education Institutes for the Arts, Architecture Higher Education Institutes, Social Promotion Schools, etc.) – and to arrange support follow-up for the evaluations carried out. It is not a question of accrediting institutions or curricula, or of establishing a ranking system. The objective is to progressively improve education by foregrounding good practice as well as weaknesses and the problems to be solved, and in generating proposals aimed at political authorities from a perspective of improving the overall quality.

AEQES reports on the quality of higher education and works towards its constant improvement. In doing so, it aims to encourage the development of a quality culture in institutions, the clarification of teaching profiles and training objectives in line with the missions of the institutions, the dissemination of good practice and the development of synergies between higher education stakeholders. The Agency shall be part of a European process by referring to the references and guidelines for quality assurance in the European Higher Education Area (ESG 2015), by collaborating with other external agencies or bodies, and by raising

public awareness of European developments in higher education.

Every 10 years, the AEQES evaluates the training programmes (so-called full or initial evaluation) in each of the higher education institutions of the Wallonia-Brussels Federation. The first follow-up evaluations (5 years after a full evaluation) started in 2013-2014. AEQES is registered in the EQAR register

What does it actually do?

The quality agency defines

- a calendar for programmatic evaluations (every 10 years with a follow-up after 5 years),
- a methodology linked to the external evaluation,
- hires experts and organises visits to the institutions.

The quality agency organizes the external evaluation which will lead to the drafting of an external expert report as well as a cross-cutting report which will take stock of the state of the art of teaching in each programme (across French Speaking part).

The frame of reference is based on **5 criteria** (themselves subdivided into dimensions). These criteria are:

- **Governance and quality management**
- **Relevance:** does the program meet the needs of society, students, the professional world, etc.?
- **Internal coherence:** KLO, LO, teaching method, curriculum organisation and student evaluation
- **Efficiency and equity:** are resources for the program and for students available
- **Reflexivity and continuous improvement**





**Recommendations  
for establishing internal QA  
system in HEIs**

Implementation of Education Quality Assurance system  
via cooperation of University-Business-Government in HEIs  
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