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Internal Quality Assurance procedures for agencies: The CINTAS Proyect

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The need of IQAS:

- GGP: INQAAHE

- ESG: EHEA

AUDIT Programme: a forerunner

The internal QA system of the agencies: The CINTAS Project

Why do agencies need internal quality assurance?

Common *internal* purposes:

- Provide information about the degree to which they fulfil their mission and goals
- Support the improvement of their own performance
- Ensure follow-up on internal and external feed-back and recommendations for improvement

Common external purposes:

- Demonstrate to stakeholders that agencies are serious in wishing to improve their own performance
- Investigate the impact of the agency

INQAAHE „Guidelines of Good Practice"

Quality Assurance of the External Quality Assurance Agency, EQAA

- The **EQAA has a system of continuous quality assurance** of its own activities that **emphasises flexibility in response** to the changing nature of higher education, the effectiveness of its operations, and its contribution towards the achievement of its objectives.

- The EQAA conducts internal self-review of its own activities, including consideration of its own effects and value. The review includes data and analysis.

- The EQAA is subject to **external reviews at regular intervals**. There is evidence that any required actions are implemented and disclosed.

Examples of Sources of Evidence:

- Quality assurance policy/system/activities/plan
- Internal feedback (e.g. by staff supervisors or decision-making body)
- Self reviews
- Examples of ongoing internal processes for continuous quality assurance
- External feedback from institutions or other stakeholders
- Reports from external reviews
- Use of feedback from reviews for improvement

The European Standards and Guidelines

- ## Standard 3.8 (accountability procedures):

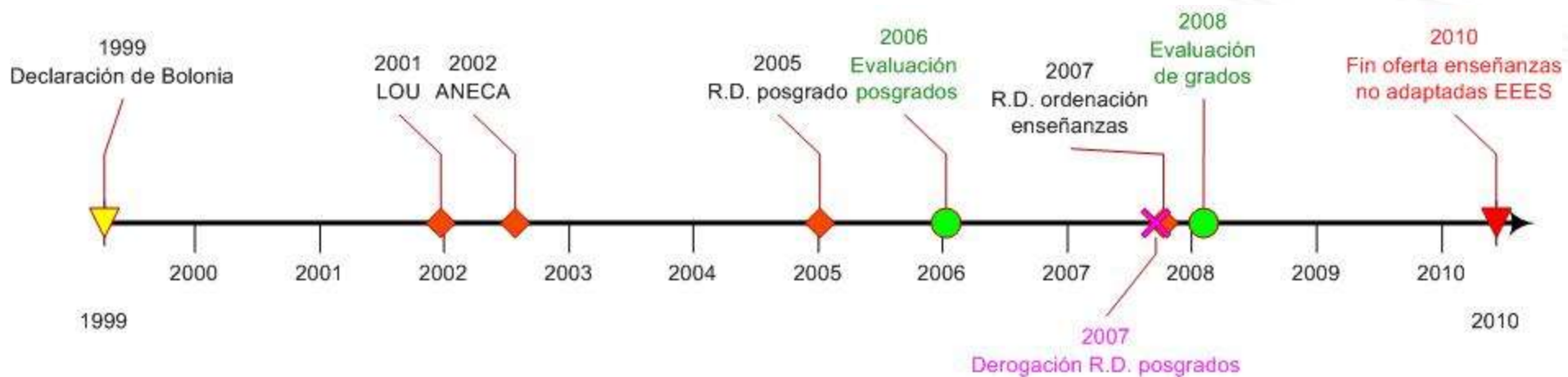Agencies should have in place procedures for their own accountability.

- ## Guidelines:

These procedures are expected to include the following:

1. A published policy for the assurance of the quality of the agency itself, made available on its website;

2. Documentation which demonstrates that:

- the agency's processes and results reflect its mission and goals of quality assurance;

- the agency has in place, and enforces, a no-conflict-of-interest mechanism in the work of its external experts;

The European Standards and Guidelines (2)

- the agency has reliable mechanisms that ensure the quality of any activities and material produced by subcontractors, if some or all of the elements in its quality assurance procedure are subcontracted to other parties;

- the agency has in place internal quality assurance procedures which include an internal feedback mechanism (i.e. means to collect feedback from its own staff and council/board); an internal reflection mechanism (i.e. means to react to internal and external recommendations for improvement); and an external feedback mechanism (i.e. means to collect feedback from experts and reviewed institutions for future development) in order to inform and underpin its own development and improvement.

3. **A mandatory cyclical external review of the agency's activities at least once every five years**

El modelo español

EHEA

- European Standards and Guidelines for quality assurance

New Spanish Legislation

- Ley orgánica de universidades (2001) y su Modificación (abril 2007).
- Real Decreto 1044/2003, 1 Agosto, Suplemento Europeo al Título
- Real Decreto 1125/2003, 5 Septiembre, Sistema Europeo de Créditos
- Real Decreto 1393/2007, 29 Octubre, Nueva Ordenación de Enseñanzas
- Real Decreto 900/2006, 9 julio, MECES (Spanish QF-HE)

Legislative Changes

Considerable Changes for HEIs

Spanish Higher Education System

Jurisdiction over higher education in Spain is designated almost totally to

Universities

77 Universities in Spain
(50 public – 27 private Academic year 2008/09)

Education in Spain follows a decentralised model.
In the case of higher education, jurisdiction is distributed between:
1. the State,
2. the Autonomous Communities and
3. the universities.

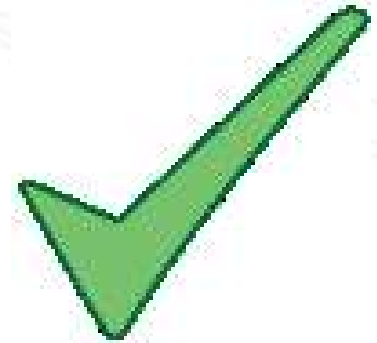# QUALITY ASSURANCE AGENCIES

■ National level

■ Regional level

■ In Spain:

Accreditation of programmes ✓

Accreditation of institutions ✗

R.D. 1393/2007 por el que se establece la ordenación de las enseñanzas universitarias oficiales

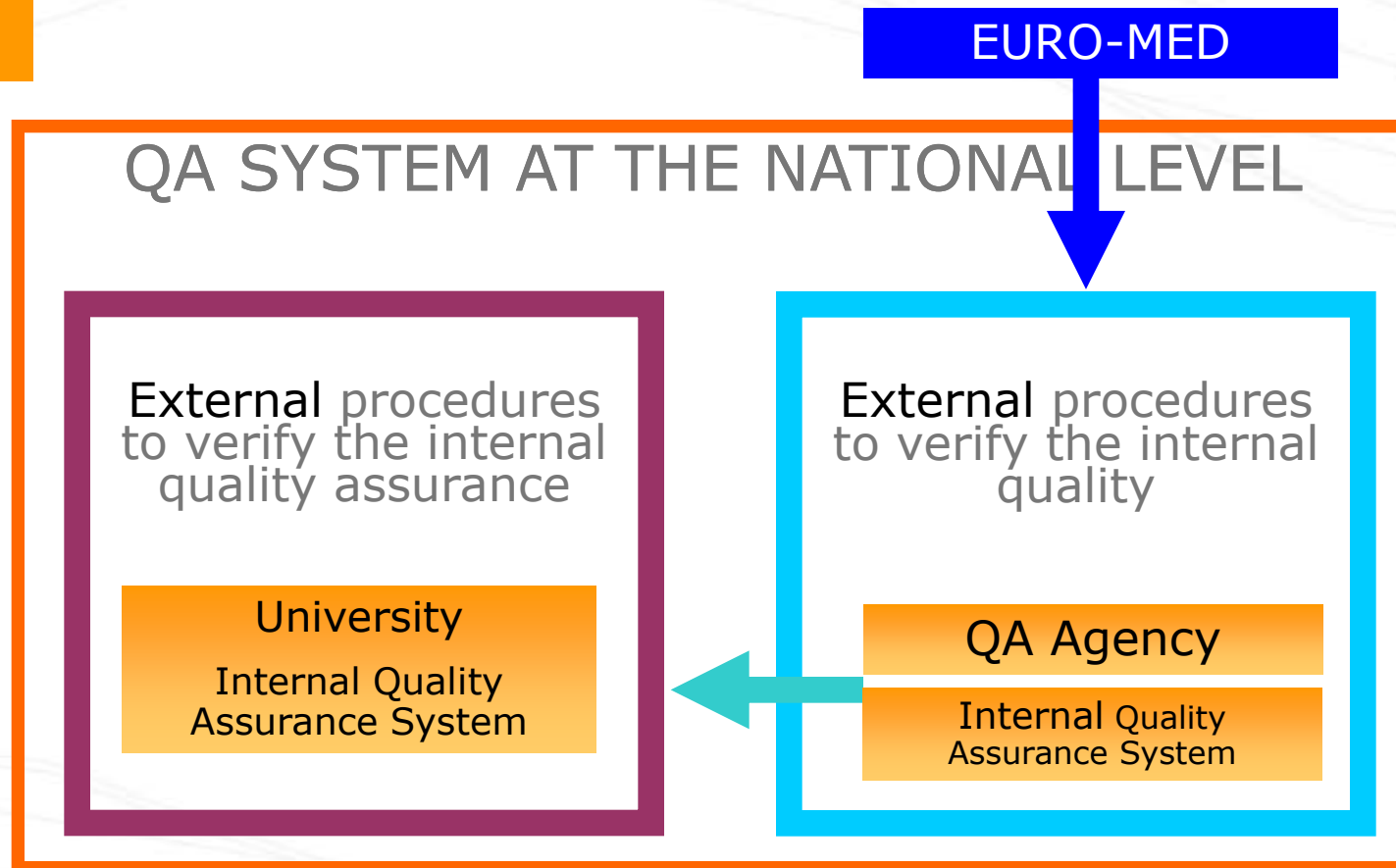**Elementos de la memoria para la solicitud de títulos:**

Criteria of the Accreditation Procedure in Spain

1. Descripción del título
2. Justificación
3. **Objectives**
4. Acceso y admisión de estudiantes
5. **Planning of the programme**

6. Personal académico
7. Recursos materiales y servicios
8. **Outcomes of the programme**
9. **Internal Quality Assurance system**
10. Calendario de implantación

Quality Assurance System

EURO-MED

QA SYSTEM AT THE NATIONAL LEVEL

External procedures to verify the internal quality assurance

University

Internal Quality Assurance System

External procedures to verify the internal quality

QA Agency

Internal Quality Assurance System

Ex-ante certification

Of the design

Ex-post Evaluation

Of the implementation

Certification of the IQAS of HEIs

University

ANECA

✓ Design of the IQAS

Support to the design

✓ Evaluation of the design

▪ Certification of the Design

✓ Implementation of the IQAS

✓ Evaluation of the implementation

▪Certification of the implementsation

Certification of the implementation

Recognition of the effort made to the implementation of the IQA by the HEIs

IQAS of QAAs: the DNA for mutual trust
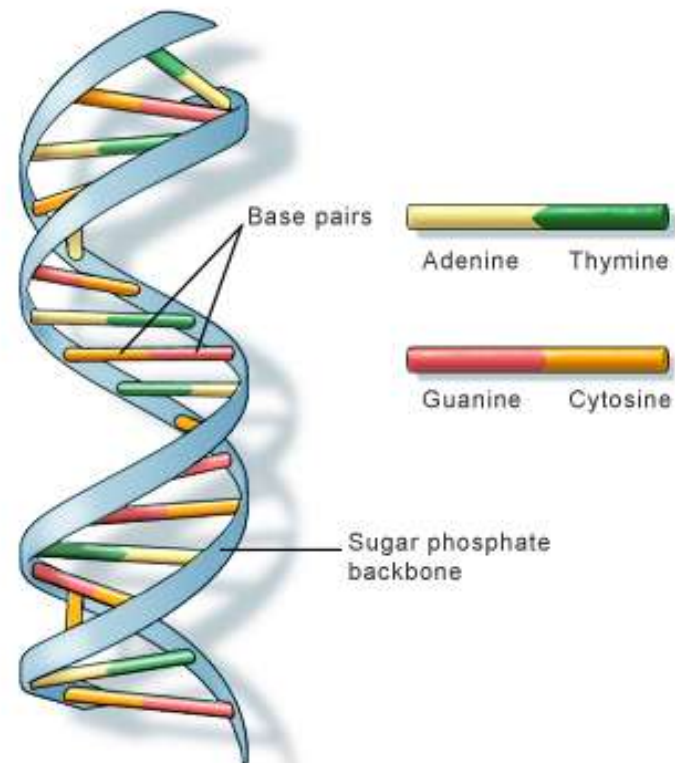
U.S. National Library of Medicine

"La Garantía de Calidad Interna de

las Agencias de Evaluación" Proyecto

CINTAS

Internal Quality Assurance Systems

of the Agencies

CINTAS Project

Project to support the development of Internal Quality Assurance Systems regardless their particular approach and nature.

The aim of this project is to provide support for the development and implementation of Internal Quality Assurance Systems (IQAS) *within the agencies* or external quality assurance bodies within RIACES framework.

CINTAS Project

ANECA launches this proposal like a joint project between external quality assurance bodies.

Detailed goals

- ✓To set up a common reference framework for quality assurance that could be used at the regional level.

- ✓To support external quality assurance bodies in the development of their IQAS.

- ✓To develop a procedure that facilitates the review of external quality assurance bodies .

ENQA

e·c·a
european consortium for accreditation

INQAAHE
International Network for Quality Assurance

References at the global level

Guidelines for Quality Provision in Trans-border Higher Education

ANECA

International Standards Comparison

Criterios	INQAAHE	ENQA	ECA	OECD-UNESCO	APQN
Declaración de la misión	1	3.3; 3.5	1; 13		1.2
Relación Agencia e institución	2	2.2;2.6	16	20.4	1
Toma de decisiones	3	3.6; 3.7	3; 4		7
Comité externo	4	2.4; 3.6; 3.8	15	20.7	4
Información pública	5	3.7	8; 9	20.4	7
Documentación	6		17	20.7; 20.1	6
Recursos	7	3.4	5		6
Sistemas de apelación	8	3.7	10		
Revisión externa de la Agencia	9	2.8; 3.8	6; 7	20.6	8
Colaboración con otras Agencias	10	x	11	20.2; 20.3	
Estatus y reconocimiento oficial		3; 2	2		1
Elementos de la revisión externa		x			

Chart based on Guy Aelterman´s article "Sets of Standards for External Quality Assurance Agencies: A comparison"

CINTAS Project Rationale

International suggestions and experiences of quality assurance

Existing mechanisms for internal quality assurance at the agencies

Legal framework of each country

Project for Internal Quality Assurance of the Evaluation Agencies
CINTAS

Internal Quality Assurance Systems of the AGENCIES
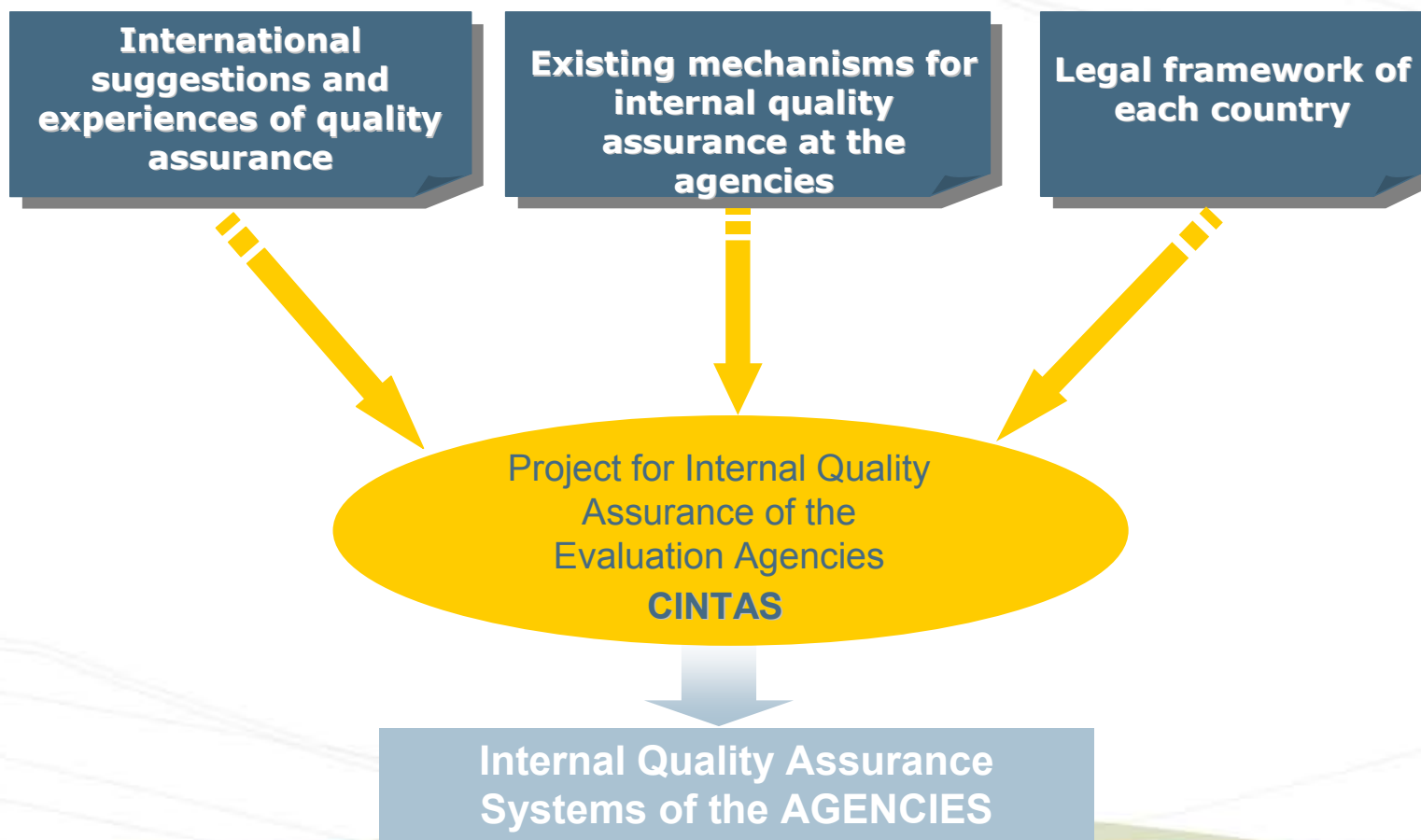
Participants in CINTAS Project

✓ Coordinating body (ANECA)

- To provide counseling and training.

- To take part in the ex–ante evaluation process.

- To follow-up of IQA implementations.

✓ Participating bodies (Costa Rica, Colombia, Uruguay, Cuba, Bolivia, El Salvador, Nicaragua, CCA)

- To design IQAS.

- To submit their IQAS to an evaluation.

- After the evaluation, to implement the IQAS.

CINTAS Project

Principles

- The coordinating and participating bodies are part of the same team.

- The difference between both kind of partners is the background of the coordinating bodies.

- For the participating and coordinating bodies, CINTAS is a chance to learn from good practices developed by other agencies.

- For the coordinating bodies, CINTAS is a chance to rethink their own IQAS while supporting other agencies in solving their problems related to external quality assurance in HEIs. A truly learning experience in two directions.

Approach for training and guidance

✓Participating and coordinating bodies share the same problems related to external review but in different contexts (legal, HEI, quality culture…).

✓Methods for training and guidance sessions:

    ✓ Analysis and discussion of the problems in different contexts.

✓Review of best practices make the solutions easier.

    ✓Best practices from different countries.

✓REgional criteria compliance must be understood in the context of each country (the case of CCA).

Steps for the IQAS design

1. Agency analyses its relationship with their stakeholders and its legal frame

2. Commitment of the Board of the agency to support the road map (planning)

3. Diagnosis: identification of the already existing elements and those missed

4. Definition, design and documentation

ANECA

Stages for the designing of internal quality assurance systems (IQAS)

PREVIOUS REQUIREMENTS	STAGES	EXPECTED RESULTS	RESPONSABILITIES	RESOURCES
Concern to develop the system	**Target group analysis & legal framework**	**- Diagnosis of the target groups´ needs & legal framework requirements**	-Agency Management Team	- Legislation or regulation of application
Commitment of the board of the agency	**PLANNING**	- **Agency support structure.** - **Planning of the various stages.**	- Management team - Person in charge of the processes developed within the agency	- Rules, regulations, procedure manuals, etc.
Support structure for the diagnosis of the Internal Quality Assurance System	**DIAGNOSIS**	**- Internal Quality Assurance System diagnosis: identification of consolidated elements & needs regarding quality assurance.**	- Person responsible for diagnosis - Management team - Person in charge of the processes developed within the agency	- Tool for the diagnosis of the Internal Quality Assurance System of the agency
Diagnosis of the Internal Quality Assurance System of the agency	**DEFINITION & DOCUMENTATION**	**- Quality policy and goals.** **- Internal Quality Assurance System design.**	- Unit or team in charge - Person in charge of the processes developed within the agency	- International Standards & Guidelines - ISO Rules - EFQM Models - Other reference models

Approach for designing IQAS in the participating organisations

✓ IQAS should fit in to the local context: legal, HEIs, background participating bodies…

✓ Step by step process: First assure external review processes (i.e. accreditation) focus on program or institutional evaluation, only then other activities of the organisation that take part in the project can be assured.

✓ Making the IQAS real (fit for purpose):

1. Only for the main processes is basic documentation required (simple flowchart).

2. Quality control of the main activities in the main processes (registers and indicators, feedback from the institutions, analysis of S/W, improvement or redesign of the processes,…)

3. Only if these 2 steps have been reached, we can go further with the documentation of the IQAS.

✓ Working for building trust amongst organisations, mutual recognition, etc.

Criteria for designing IQAS

0. How the agency fulfils the quality requirements to carry out evaluation, certification or accreditation at HE level.
The agency is formally recognised by competent authorities as a body with responsibilities for external evaluation, certification and accreditation activities at HE level.

1. How the Agency defines its mission, its policy and objectives
The Agency is able to promote externally and to consolidate internally a quality culture based on a public and accessible mission, policy and quality objectives.

2. How the agencies develops its relationship with HEI and other stakeholders.
The Agency recognize HEI as the main responsible for the quality of their provisions and its assurance and respect their institutional autonomy.

3. How the agency assures its external evaluation processes

Agencies must be provided with public criteria, mechanisms and procedures for evaluation and accreditation, to ensure that these processes are accomplished with the duly safeguards

4. How the agency take its decisions related to evaluation and accreditation processes

Agencies must be provided with procedures to be able to take independent decisions based on the information and the evidences collected and on pre-defined criteria

5. How the agency assures and enhances the quality of its staff.

Agencies must have mechanisms to ensure that the recruitment, management and training of its personnel are carried out with appropriate safeguards in order for them to carry out their corresponding functions.

6. How the agency assures its material and financial resources

Agencies must be provided with mechanisms, so it can design, manage and improve its services, and material resources in order to develop appropriately its assessment and accreditation activities.

7. How the agency analyses and takes into consideration the outcomes of its assessment activities.

Agencies must be provided with procedures to ensure that outcomes are measured, analysed and used for decision-making and to enhance the quality of is assessments.

8. How the agency publishes information on its evaluation activities and have in place accountability procedures for society .

Agencies must be equipped with mechanisms to ensure that updated information on its evaluation activities and has in place procedures for its ownaccountability.

Project development

Madrid meeting (2008)

- Training technicians and board members of external bodies.

- Approach: to discuss about key problems and good practices in IQAS from the point of view of ANECA and other external quality assurance bodies.

  - January 2009: El Salvador y Nicaragua.

  - November 2009: Uruguay, Cuba, Costa Rica and Bolivia.

Project development

- 1st Costa Rica meeting (April 2008)

  - ANECA trained staff of CCA and members of the Costa Rica University focused on:

    - Review of foundations of a IQAS in an external review body.

    - Analysis of relationships between CCA and target groups (HEIs, regional governments).

Project development

- 2nd Costa Rica meeting (October 2009)
  - ANECA reviewed IQAS of The CCA to identify their strength and weakness.
  - CCA and ANECA shared their experiences as external QAA: stakeholders requirements, official status, mission statement, accreditation procedure and other activities, resources, independence, accountability process...
  - ANECA trained members of de board and staff of CCA to improve its IQAS.
  - CCA developed an improvement plan: self- report...

MoU between CSUCA and ANECA to train experts of the universities of Guatemala in the programme AUDIT of ANECA: 2009 - 2010

Training woorkshop to the person in charge of the agency of Guatemala. Madrid, 19–23 April 2010

- ✓ Universidad de San Carlos de Guatemala - USAC
- ✓ Universidad del Valle de Guatemala
- ✓ Universidad del Istmo

Training workshop to the technical staff of the universitites that take part in the project. Guatemala, 30 August–3 September 2010

Thank you for your attention

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