Survey on the new approaches to quality assurance in ASEM countries

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DG non-compulsory education and scientific research
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20 participating countries (N = 27)

- Austria
- Belgium (Flanders)
- Belgium (FW-B)
- Denmark
- France
- Germany (2)
- Latvia
- Lithuania
- Norway
- Portugal
- Slovenia

- Australia
- Brunei
- China (3)
- Indonesia
- Japan (2)
- Malaysia
- New Zealand
- Philippines
- Russia (3)
- Thailand

Please indicate the type of organisation you are representing/working for?
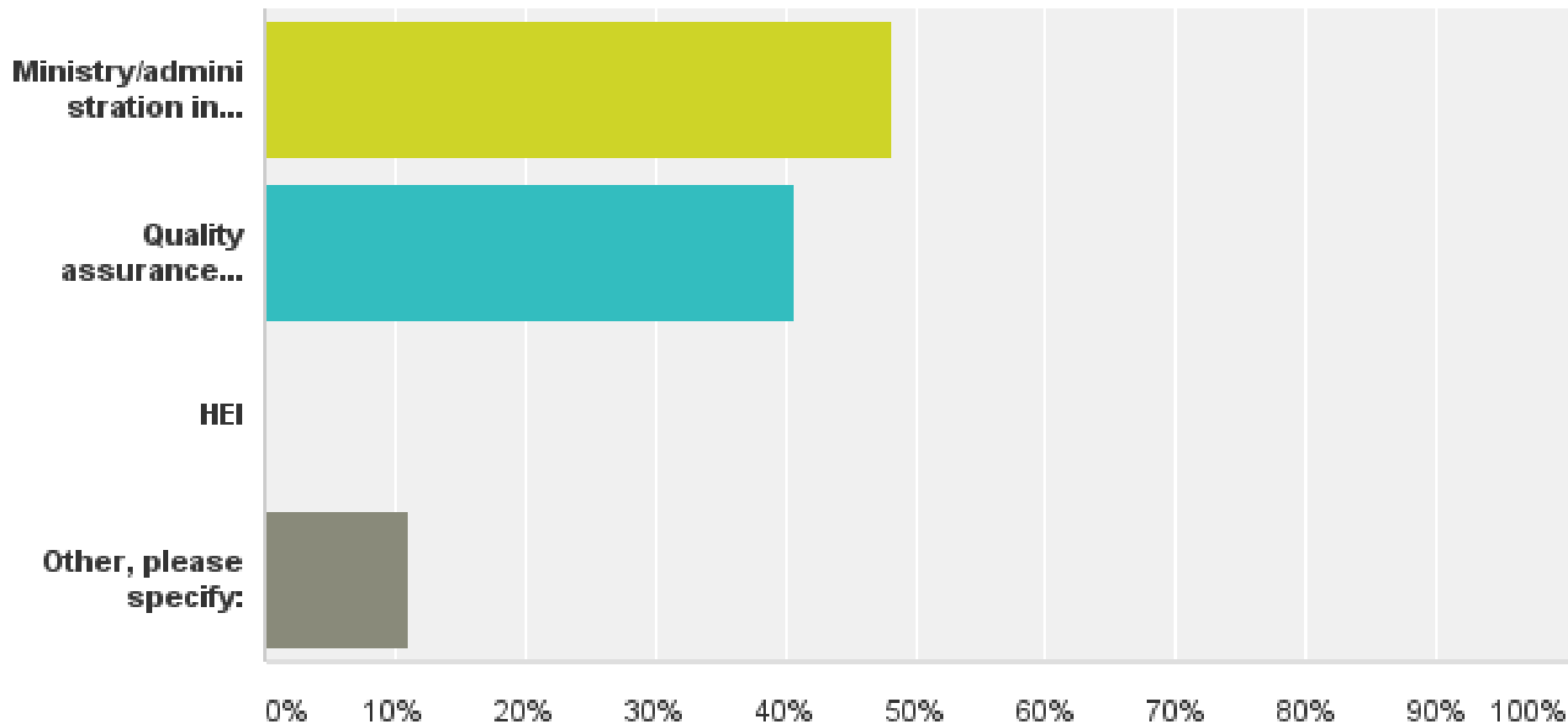
••• Which situation applies in your country with regard to external QA system?

| Choix de réponses	Réponses	
A single independent national agency for quality assurance has been established	40,74%	11
Several full-fledged independent agencies operate legitimately	29,63%	8
Several independent agencies operate legitimately but they are only allowed to evaluate particular type(s) of HEIs	3,70%	1
Government-dependent agency or ministry responsibility for quality assurance	22,22%	6
I am not sure/I have no information	0,00%	0
Other (please specifiy):	3,70%	1
Total		27

- « In China, generally speaking, there are two Government-dependent agencies in charge of the external quality assurance, which are the Higher Education Evaluation Center of the Ministry of Education and the **China Academic Degrees and Graduate Education Development Center**. The former is responsible for the external quality assurance of the undergraduate programmes while the latter, for the postgraduate programmes. » (China)

- « There are 2 quality assurance bodies in New Zealand - Universities New Zealand for universities and the New Zealand Qualifications Authority for **all non-university tertiary education organisations**. NZQA sets the rules for the quality assurance of qualifications and the tertiary education bodies that provide them. » (New Zealand)

What is the main outcome of the external QA review?

Choix de réponses	Réponses	
A decision granting permission for the institution or programme to operate, or that is a pre-requisite for the institution or programme to operate	74,07%	20
Formative advice on strengthening and enhancing quality	14,81%	4
I am not sure/I have no information	0,00%	0
Other (please specify):	11,11%	3
Total		27

Does the outcome of an the external QA review have an impact on the funding of the institution or programme?
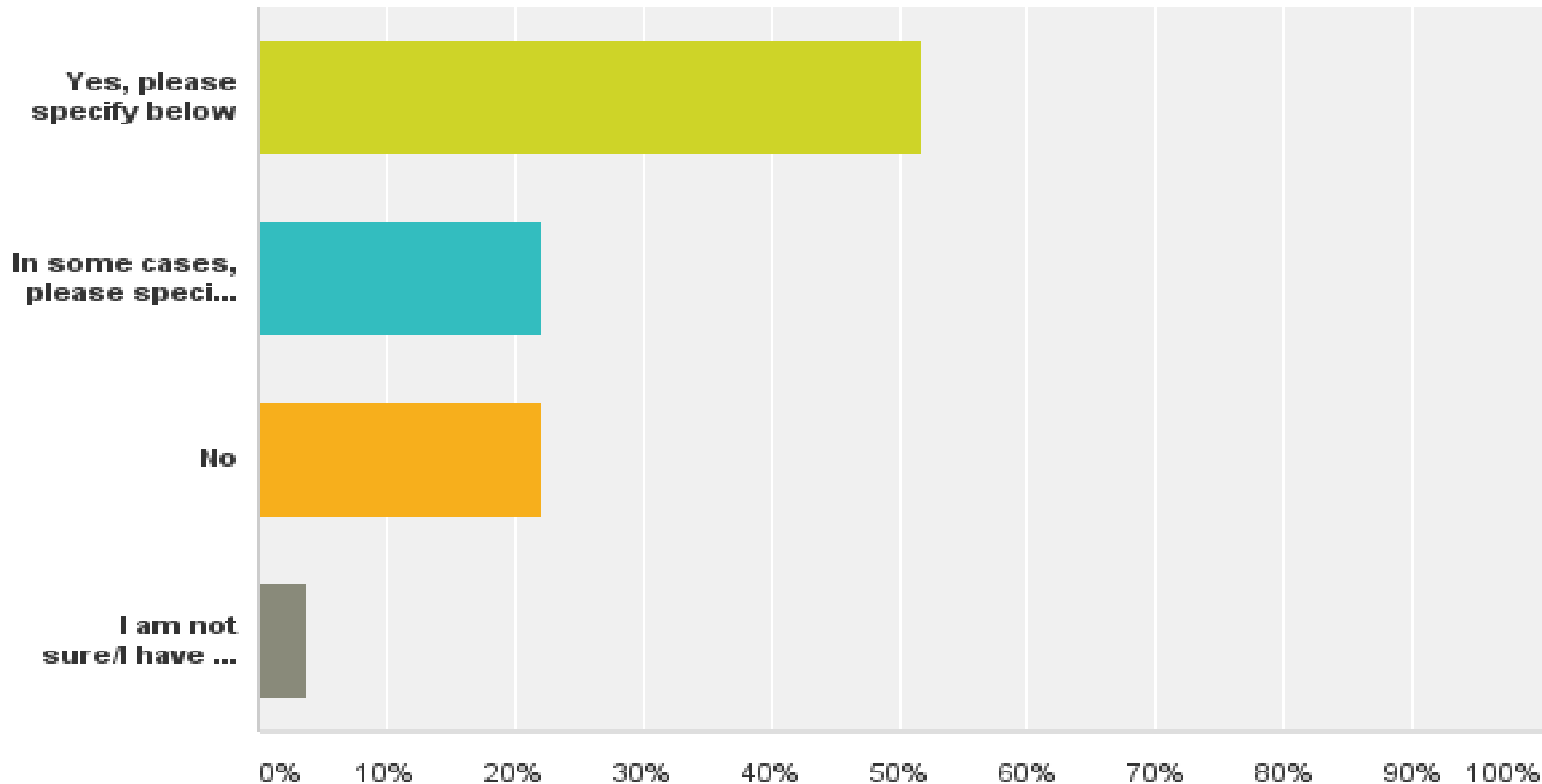
••• Does the outcome of an the external QA review have an impact on the funding of the institution or programme?

- « As per the Australian Higher Education Support Act 2003, **higher education providers must be approved** before they are able to receive Government funding or their students can receive Government assistance. Higher education providers are subject to quality and accountability requirements which if breached may result in loss of Government funding. A body's approval as a higher education provider may be revoked in circumstances such as breach of a quality and accountability requirement. » (Australia)

- « [Only] In case of **universities of applied sciences** programme accreditation is prerequisite of state funding. » (Austria)

- « For government institutions, none. For **private institutions** operating in Brunei Darussalam, government sponsored students will only be allowed to enroll into the institutions if they are accredited by the Brunei Darussalam National Accreditation Council (BDNAC). The BDNAC's external QA review is conducted twice a year. » (Brunei)

••• Which types of higher education institutions does the external QA system cover in your country?
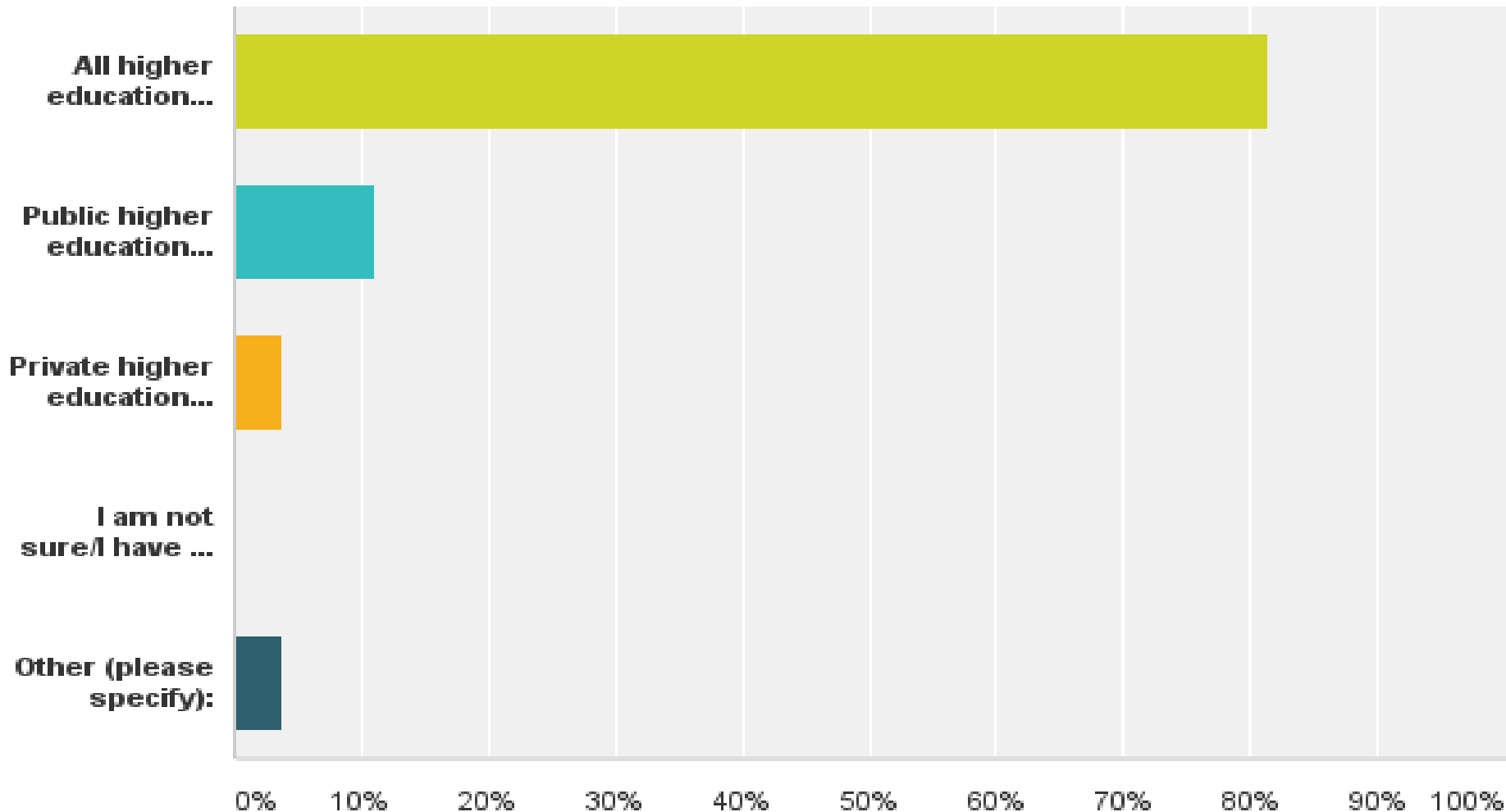
# What is the main focus of the external QA review?
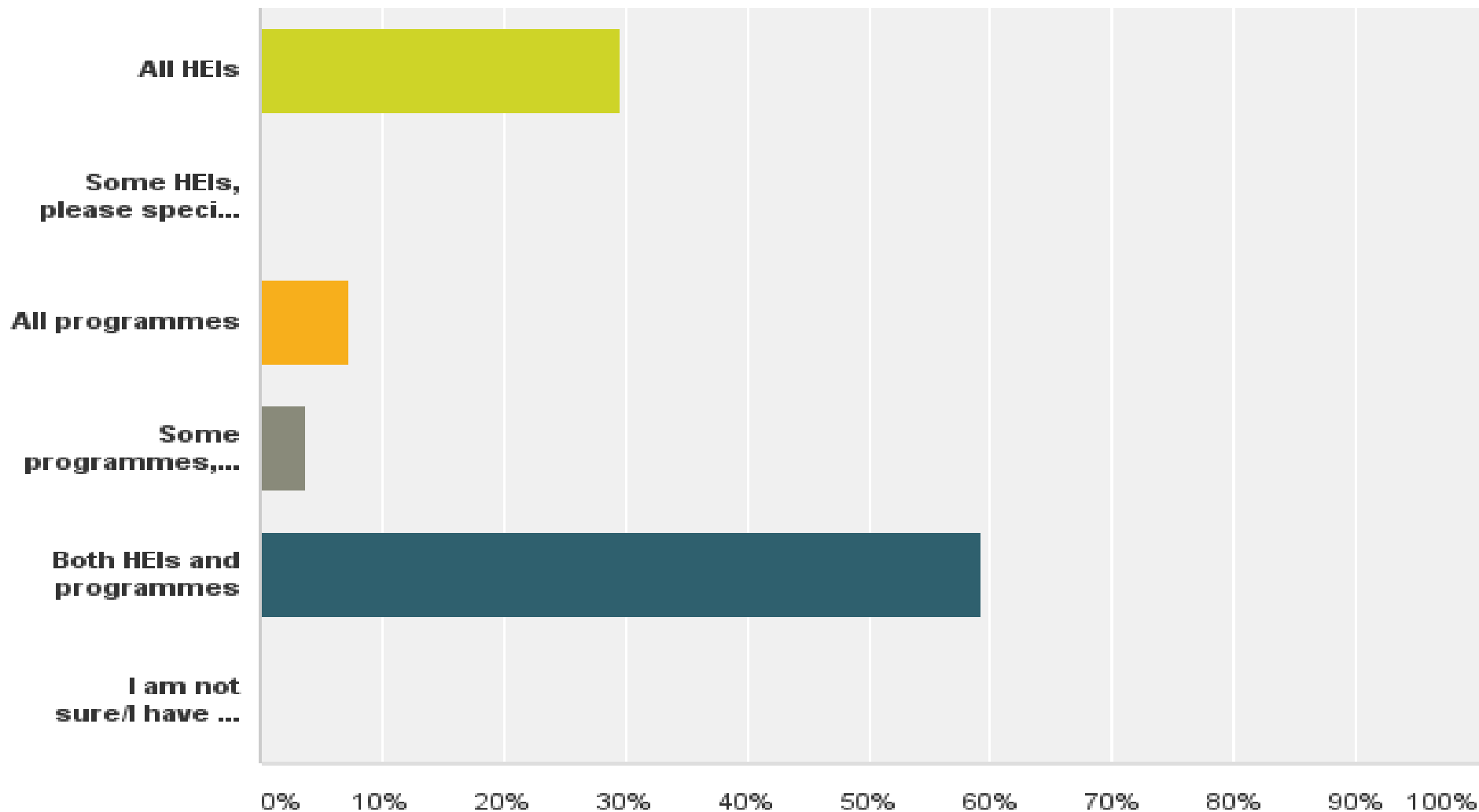
••• What is the main focus of the external QA review?

« The Tertiary Education Quality and Standards Agency (TEQSA) regulates and assures the quality of Australia's higher education sector. TEQSA's focus is:
- to contribute to a high quality higher education sector through streamlined and nationally consistent higher education **regulatory arrangements**;
- **registration** of higher education providers;
- **accreditation** of higher education courses;
- investigation, **quality assurance** and dissemination of higher education standards and performance. » (Australia)

How is the outcome of external QA review made available to the public?
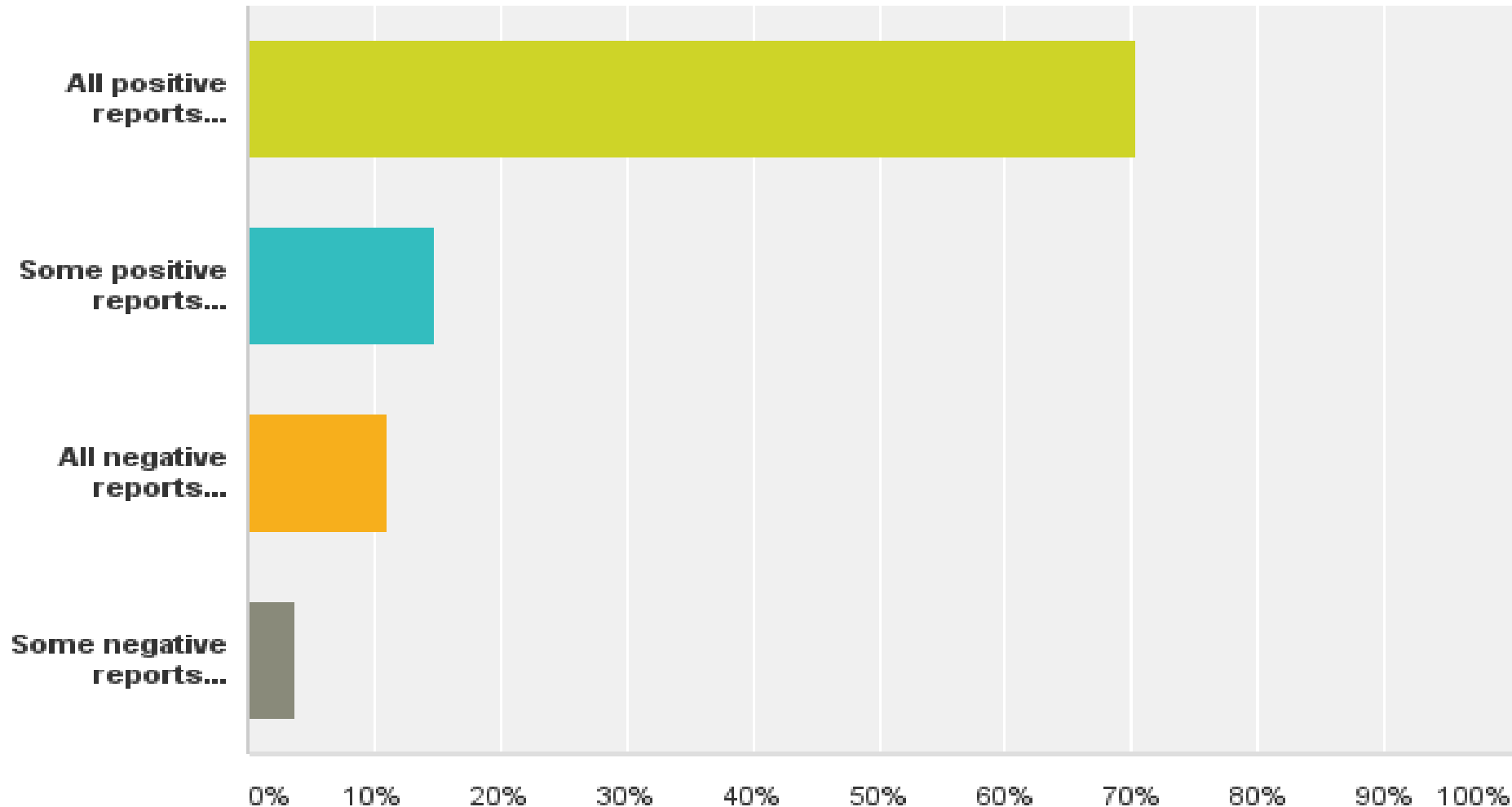
••• How is the outcome of external QA review made available to the public?

« TEQSA publishes reports on all regulatory decisions to provide prospective students, current students and the wider public access to information about providers and the sector and provide transparency of TEQSA's processes, regulatory decisions and reasons for these decisions. » (Australia)

•••• Which of the following issues are typically included in external QA review?

	Yes	No	In some cases, please specify below	I am not sure/I have no information	Total
Internal Quality Assurance/Quality management system	91,30% 21	0,00% 0	4,35% 1	4,35% 1	23
Teaching and learning methods	91,30% 21	4,35% 1	0,00% 0	4,35% 1	23
Research	59,09% 13	13,64% 3	22,73% 5	4,55% 1	22
Use of learning outcomes in curricula development and student assessment	95,65% 22	0,00% 0	0,00% 0	4,35% 1	23
Use of e-learning, MOOCs and Open Educational Resources	45,45% 10	18,18% 4	22,73% 5	13,64% 3	22
Integration of research into teaching & learning	81,82% 18	0,00% 0	13,64% 3	4,55% 1	22
Student support services	90,91% 20	0,00% 0	4,55% 1	4,55% 1	22
Lifelong Learning provision	47,62% 10	4,76% 1	38,10% 8	9,52% 2	21
Admissions processes	72,73% 16	4,55% 1	9,09% 2	13,64% 3	22
Student progression, drop-out and completion	90,48% 19	4,76% 1	0,00% 0	4,76% 1	21
Employability	90,91% 20	4,55% 1	0,00% 0	4,55% 1	22
Internationalisation (incl. student mobility and international degrees)	76,19% 16	0,00% 0	14,29% 3	9,52% 2	21
Recognition policy and practice	66,67% 14	9,52% 2	14,29% 3	9,52% 2	21

Which of the following issues are typically included in external QA review?

- « **Research** is included in external QA reviews depending on the type of degree programme (e.g. masters and PhD) » (Portugal)

- « **Research** is not covered by programme accreditation, only integration of research into teaching and learning. **LLL** provision is only covered by Quality Audits at universities of applied sciences. In Quality Audits the above mentioned items are dealt with indirectly by way of reviewing the internal Quality Management and its impact on the various items. » (Austria)

- « **Lifelong learning** (LLL) is part of the evaluation when considering adults resuming formal education; but all the provision in LLL is not assessed. » (Belgium FW-B)

- « **Admission processes** are not incuded as such. The panel looks whether the admission requirements are realistic with a view to the intended learning outcomes. » (Belgium Flanders)

••• Which of the following issues are typically included in external QA review?

- « All aspects relevant for the quality of higher education are included in the process of external quality assurance. […] The primary aim is to check that the quality of the programmes is satisfactory. However, the mechanisms have a double function, as NOKUT [National QA Agency] also provides **recommendations** as to how the institution can enhance the quality of its educational provision and quality work » (Norway)

- « TEQSA may review or examine **any aspect** of an entity's operations to assess whether a registered higher education provider continues to meet the Threshold Standards. » (Australia)

••• Are international rankings of HEIs taken into account in the external QA system?

Choix de réponses	Réponses	
Yes taken into account in external QA system	13,04%	3
Yes taken into account in internal QA system of HEIs	0,00%	0
Yes taken into account in both external and internal QA system	4,35%	1
Not taken into account	82,61%	19
I am not sure/I have no information	0,00%	0
Total		23

Is there a specific external QA system for research at national level?
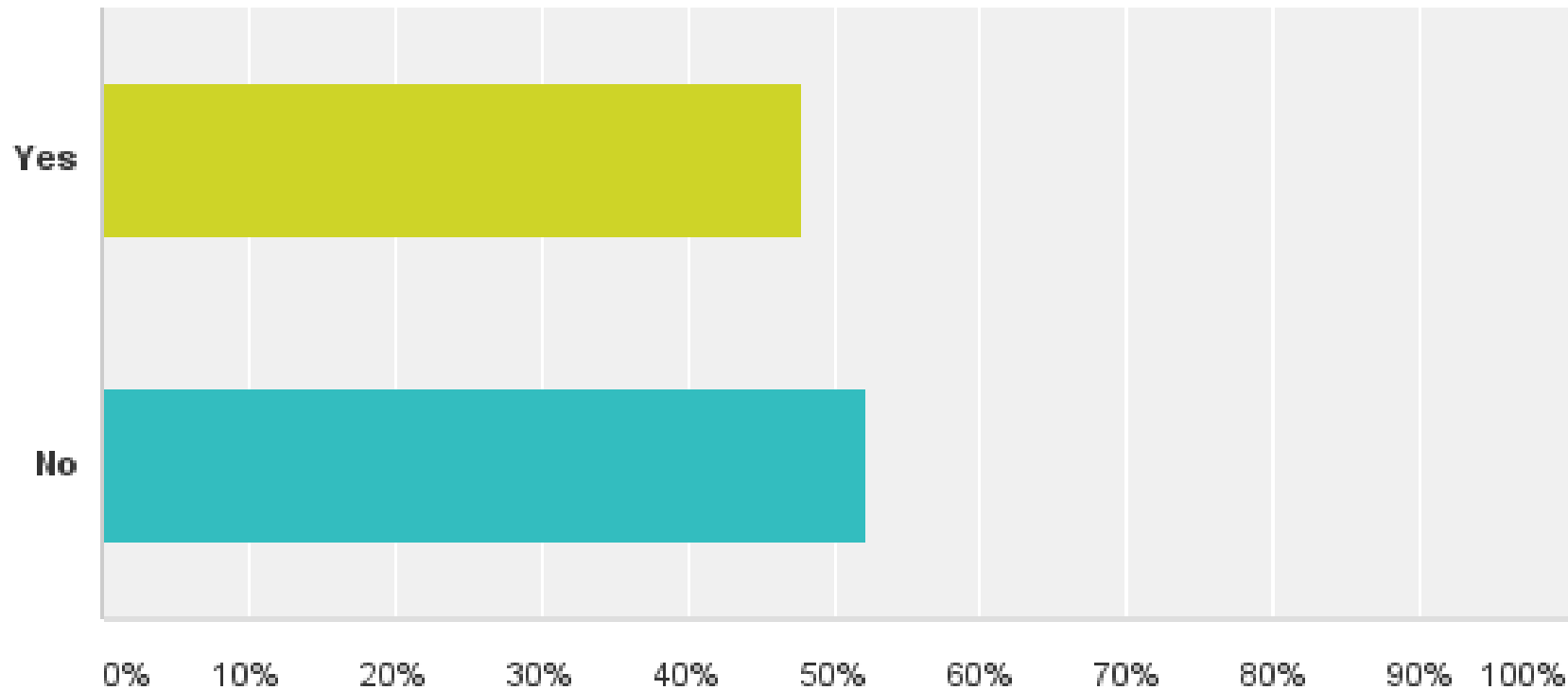
Is there a specific external QA system for research at national level?

- « There is no specific external QA system for research. The funding system takes into account the **number of publications and the number of citations**. The journals are weighed according the quality of the journal. There is a **obligatory external review** of the research policy and management of the universities under the responsibility of the minister of science and innovation. » (Belgium Flanders)

- « **External evaluation of Research** is carried out by the Research Council of Norway. The Research Council's evaluation activities are designed to enhance the quality, efficiency and relevance of the research sector. They carry out both subject-specific evaluations and evaluations of the institutes. » (Norway)

••• Does your national QA system (or legislative framework) allow HEIs to choose a QA agency from outside your country (instead of your national QA agency)?

Choix de réponses	Réponses	
Yes, all institutions are able to choose, and the evaluation outcomes are treated in the same way as an evaluation from a/the national quality assurance agency	30,43%	7
Yes, all institutions are able to choose, but there are differences in the way the evaluation outcomes are treated compared to a/the national quality assurance agency	4,35%	1
Yes, institutions are able to choose, but only for the evaluation of joint or double degree programmes	0,00%	0
Yes, some institutions are able to choose. Please specify below:	13,04%	3
No	52,17%	12
I am not sure/I have no information	0,00%	0
Total		23

Which conditions apply to the choice of a QA agency from another country?

| Choix de réponses	Réponses	
The agency is required to be listed in the European Quality Assurance Agency Register (EQAR)	**21,74%**	5
Other (e.g. the agency must be also a member of ENQA, APQN, ASEAN University Network (AUN)-Quality Assurance Network, INQAAHE, etc.). Please specify below.	**34,78%**	8
I am not sure/I have no information	**47,83%**	11
Nombre total de personnes interrogées : 23		

• • • Which conditions apply to the choice of a QA agency from another country?

- « The use of a foreign agency requires **previous agreement** of the national agency. » (Portugal)

- « Foreign HEIs that intend to offer programmes in Austria need to **comply with certain standards** and be listed by AQ Austria (Agentur für Qualitätssicherung und Akkreditierung Austria). In case they collaborate with Austrian educational institutions these need to be evaluated by AQ Austria. Unversities of applied sciences and Private Universities must seek for accreditation of programmes they intend to offer abroad by AQ Austria. » (Austria)

••• Which conditions apply to the choice of a QA agency from another country?

« CSCSE (Chinese Service Center for Scholarly Exchange) pays much attention to the **double quality assurance in cross-border education**, which means the responsibility of quality control should be taken by all shareholders of the cross-border education, usually the providing end and the receiving end. For example, in China, the quality of Sino-foreign joint run education does not only rely on the original awarding body, but is also regulated by Chinese government. » (China)

• • • Is there any current initiative to develop inter-regional pilot schemes, in line with already existing capacity building initiatives (such as the ASEAN-QA project)?
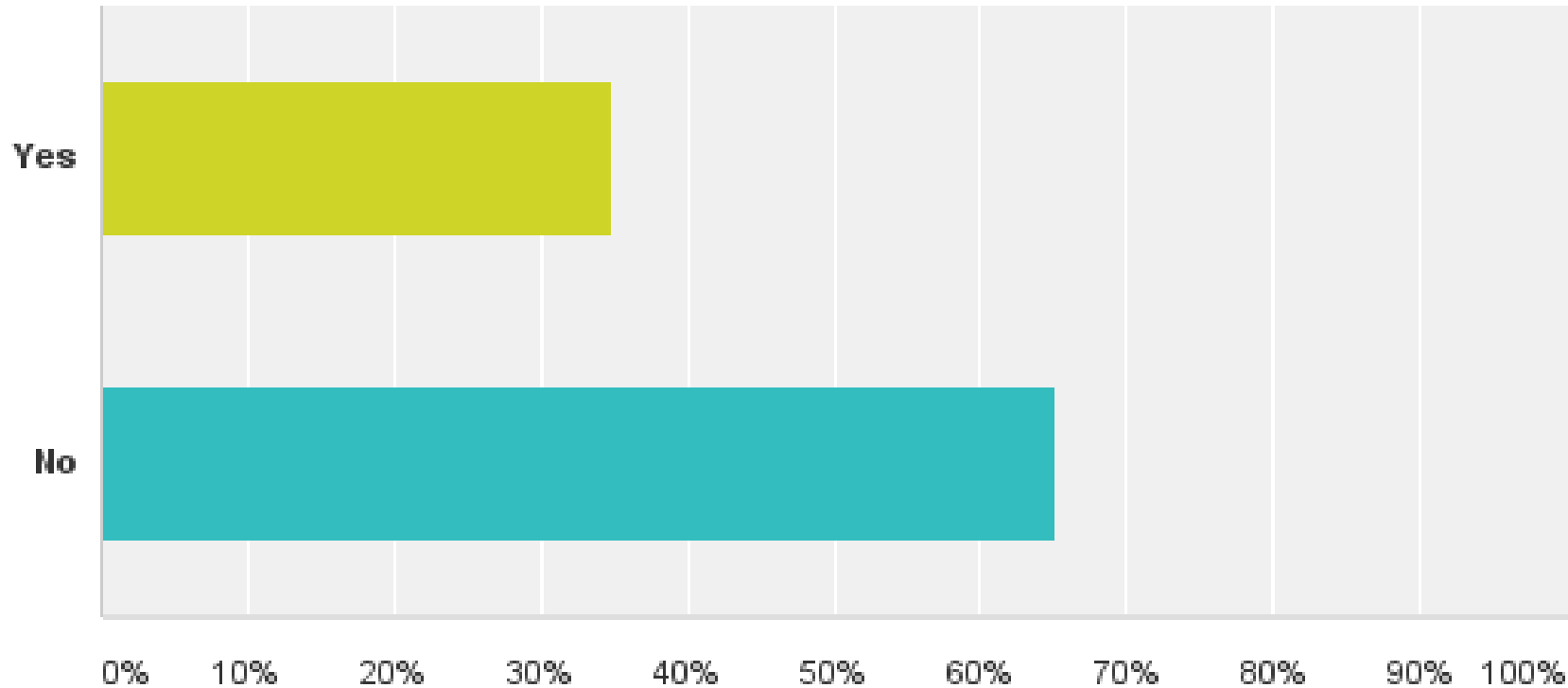
•••• Is there any current initiative to develop inter-regional pilot schemes, in line with already existing capacity building initiatives (such as the ASEAN-QA project)?

- « Norway supports an follows the OECD-UNESCO Guidelines for Quality Assurance of cross-border higher education. Norway also follows the decisions made in the Bologna Process regarding QA. » (Norway)

- « Working Group on Mobility of Higher Education and Ensuring Quality Assurance of Higher Education among ASEAN Plus Three Countries » (Japan)

•••• Is there any current initiative to develop inter-regional pilot schemes, in line with already existing capacity building initiatives (such as the ASEAN-QA project)?

- « The BDNAC (Brunei Darussalam National Accreditation Council) also participated as technical committee member in the Working Group On Implementation the ASEM Recognition Bridging Declaration championed by China. 13 countries were involved (6 from Asian and 7 from Europe). » (Brunei)

- « This is an area of development. A number of referencing projects arise out of free trade agreements and other strategic international relationships. New Zealand has rules for off-shore delivery of qualifications. » (New Zealand)

Has the QA agency been evaluated against the European Standards and Guidelines, "CHIBA principles" or other relevant common standards, guidelines or principles?

Choix de réponses	Réponses	
	52,17%	
Yes, for the purpose of a membership in ENQA/APQN/ASEAN University Network (AUN)-Quality Assurance Network		12
Yes, independently of ENQA/EQAR/APQN/ASEAN University Network (AUN)-Quality Assurance Network	**8,70%**	2
Yes, for an application to EQAR	**13,04%**	3
Such an evaluation is planned but has not yet taken place	**13,04%**	3
No	**26,09%**	6
I am not sure/I have no information	**4,35%**	1
Nombre total de personnes interrogées : 23		

If an evaluation has been conducted, was the application successful?
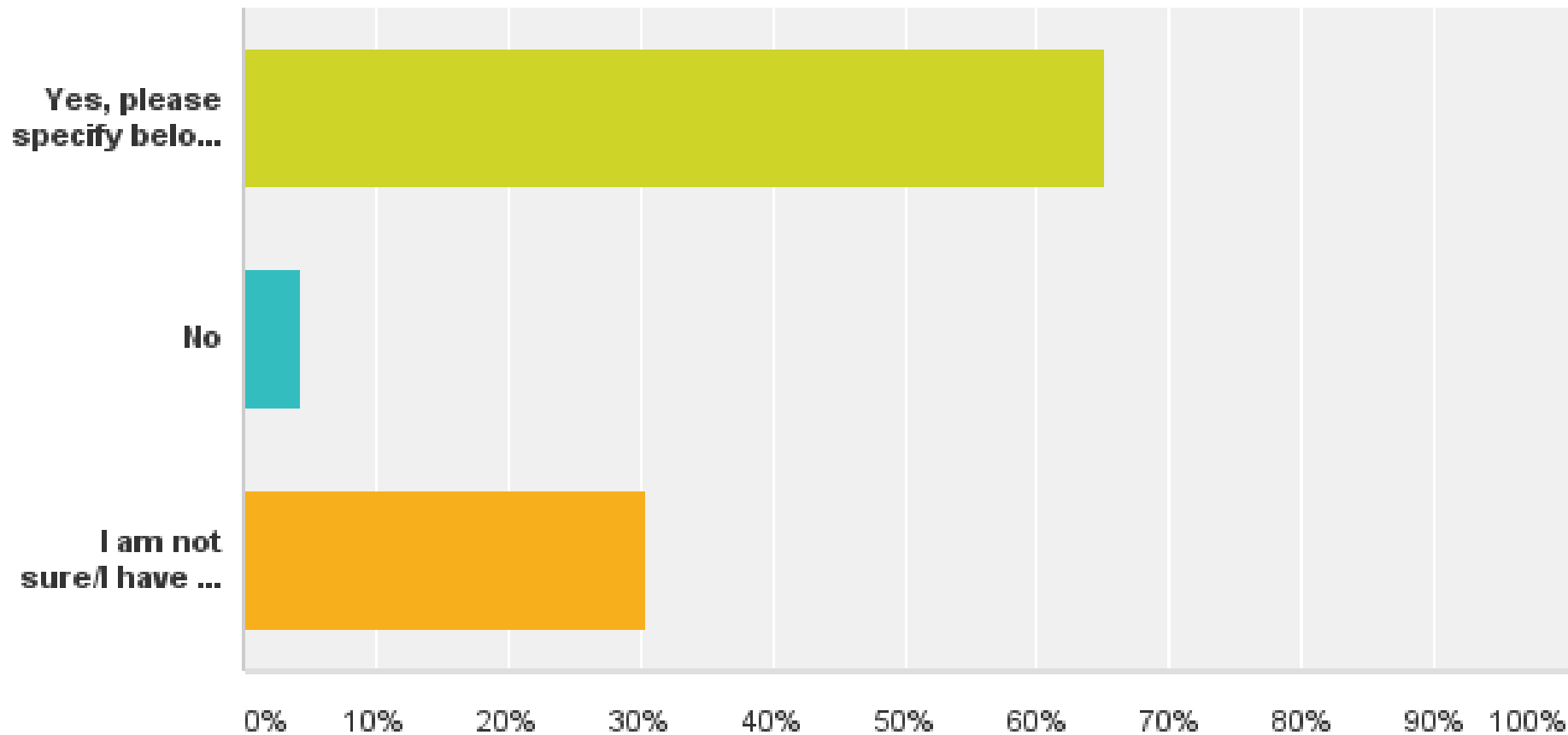
••• Is there a formal requirement that students are involved in any of the following?

Choix de réponses	Réponses	
In governance structures of national QA agency	36,36%	8
As full members in external review teams	45,45%	10
As observers in external review teams	4,55%	1
In the preparation of self evaluation reports	50,00%	11
In the decision making process for external reviews	22,73%	5
In follow-up procedures	22,73%	5
I am not sure/I have no information	22,73%	5
Other, please specify:	9,09%	2
Nombre total de personnes interrogées : 22		

••• Is there a formal requirement that students are involved in any of the following?

« Students are **able to lodge complaints** with the Tertiary Education and Quality Standards Agency but are not involved in any formal assessment of a higher education institution. » (Australia)

Is there a formal requirement that international peers/experts are involved in any of the following?

Choix de réponses	Réponses	
In governance structures of national QA agency	22,73%	5
As full members in external review teams	36,36%	8
As observers in external review teams	0,00%	0
In the preparation of self evaluation reports	4,55%	1
In the decision making process for external reviews	18,18%	4
In follow-up procedures	13,64%	3
I am not sure/I have no information	22,73%	5
Other, please specify:	27,27%	6
Nombre total de personnes interrogées : 22		

••• Is there a formal requirement that academic staff are involved in any of the following?

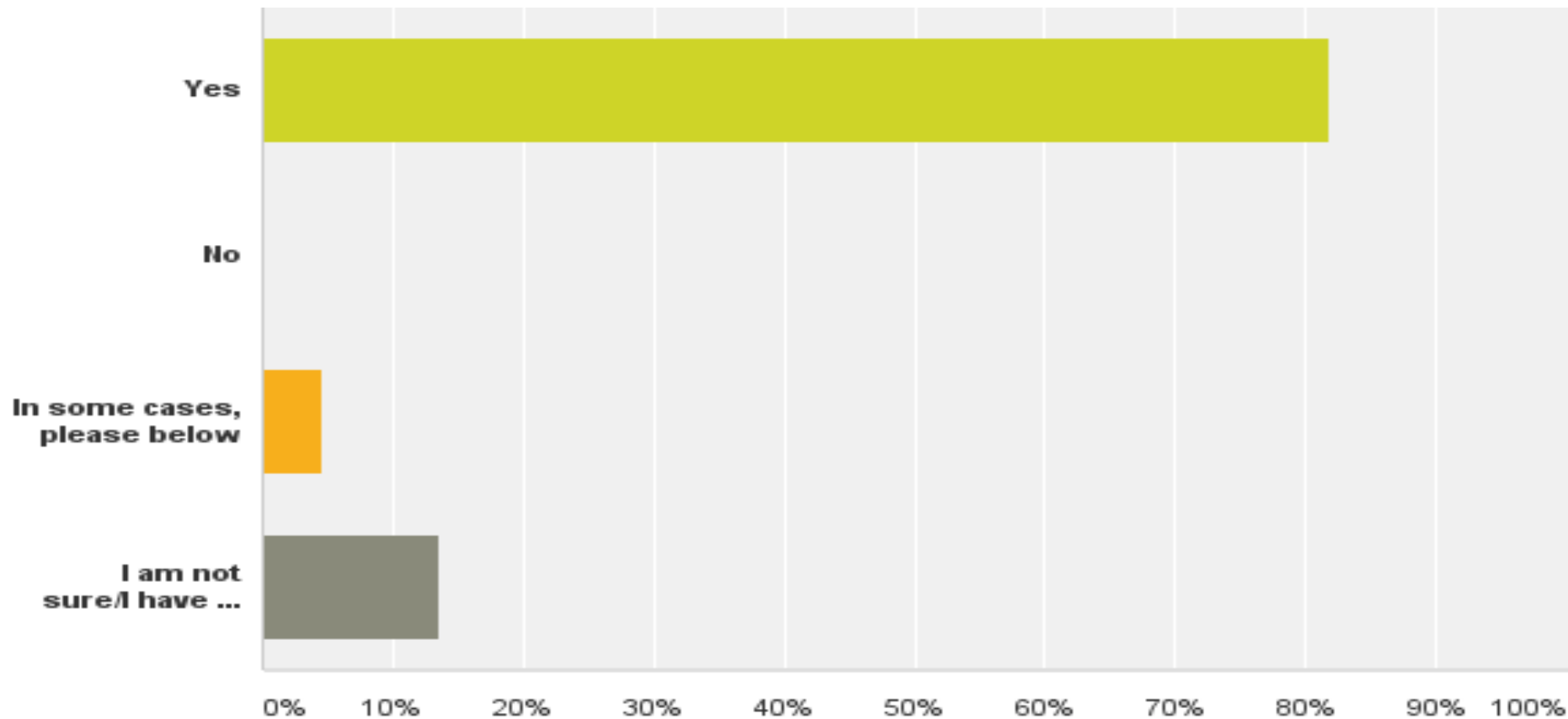| Choix de réponses	Réponses	
In governance structures of national QA agency	31,82%	7
As full members in external review teams	63,64%	14
As observers in external review teams	22,73%	5
In the preparation of self evaluation reports	50,00%	11
In the decision making process for external reviews	31,82%	7
In follow-up procedures	36,36%	8
I am not sure/I have no information	13,64%	3
Other, please specify:	13,64%	3
Nombre total de personnes interrogées : 22		

••• Is there a formal requirement that employers are involved in any of the following?

Choix de réponses	Réponses	
In governance structures of national QA agency	36,36%	8
As full members in external review teams	40,91%	9
As observers in external review teams	4,55%	1
In the preparation of self evaluation reports	22,73%	5
In the decision making process for external reviews	13,64%	3
In follow-up procedures	22,73%	5
I am not sure/I have no information	27,27%	6
Other, please specify:	13,64%	3
Nombre total de personnes interrogées : 22		

••• Comments on the involvement of stakeholders

- « The external evaluation commission is made of academic staff, international experts, students and project coordinator representing the Agency. This commission makes recommendations but final decisions are made by the **executive board of the Agency**. » (Portugal)

- « Information from relevant stakeholders is sought and contributes to all external quality assurance processes. The nature of the involvement is dependent on the quality assurance activity. A strong focus is the value and **relevance of qualifications to employers**. » (New Zealand)

••• Are there formal requirements for higher education institutions to develop internal QA system/processes

••• Who is primarily responsible for deciding the focus of internal QA system/processes?

| Choix de réponses		Réponses	
Higher education institutions		**72,73%**	16
Quality assurance agency		**13,64%**	3
Ministry		**27,27%**	6
I am not sure/I have no information		**4,55%**	1
Other, please specify:		**4,55%**	1
Nombre total de personnes interrogées : 22			

•• • Who is primarily responsible for deciding the focus of internal QA system/processes?

« In accreditation procedures it's the agency based on legal stipulations. In Quality Audits the universities can add specific features to the defined areas of review. » (Germany)

••• How many higher education institutions have published a strategy/policy for the continuous enhancement of quality in the past 5 years?
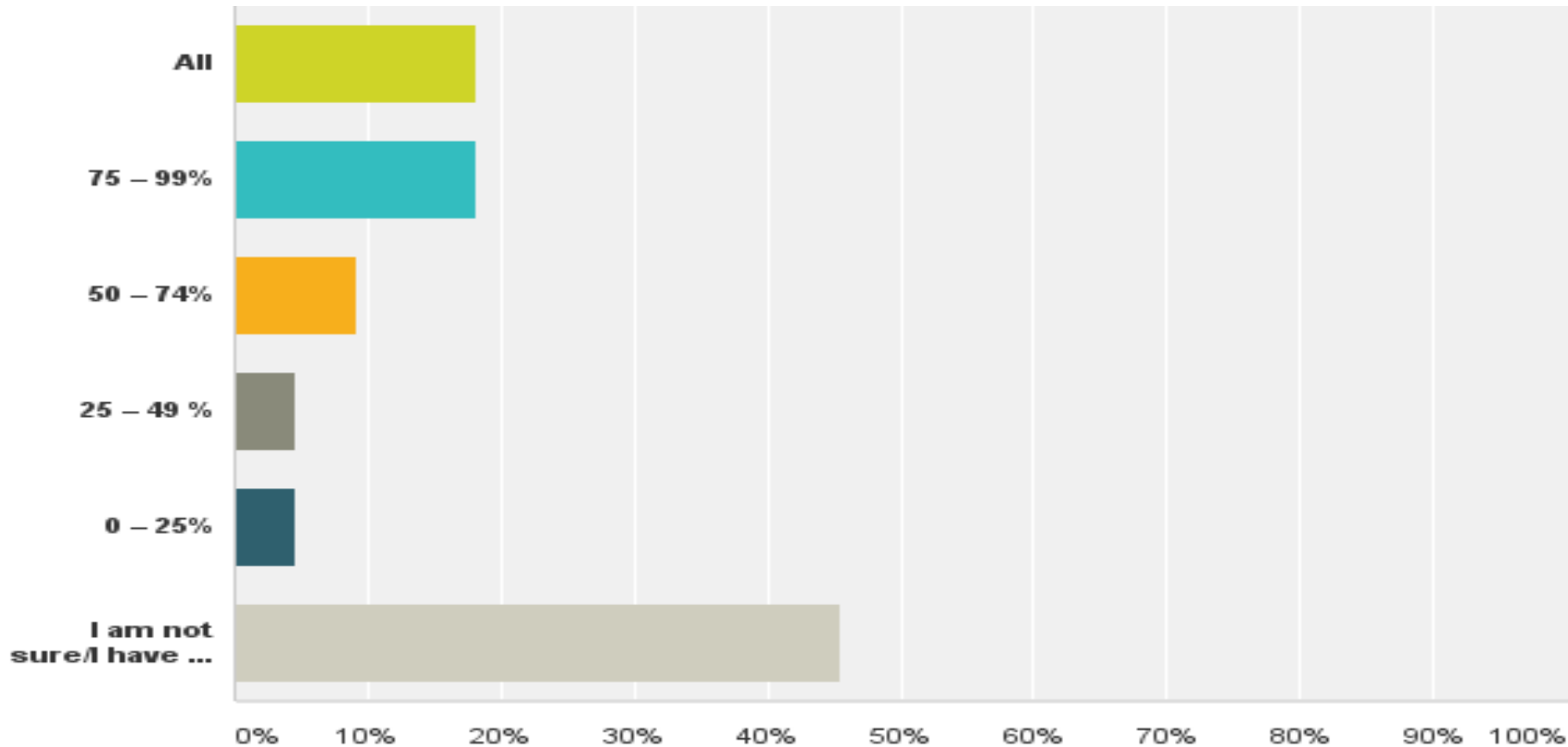
How many higher education institutions have arrangements in place for the internal approval, monitoring and periodic review of programmes?
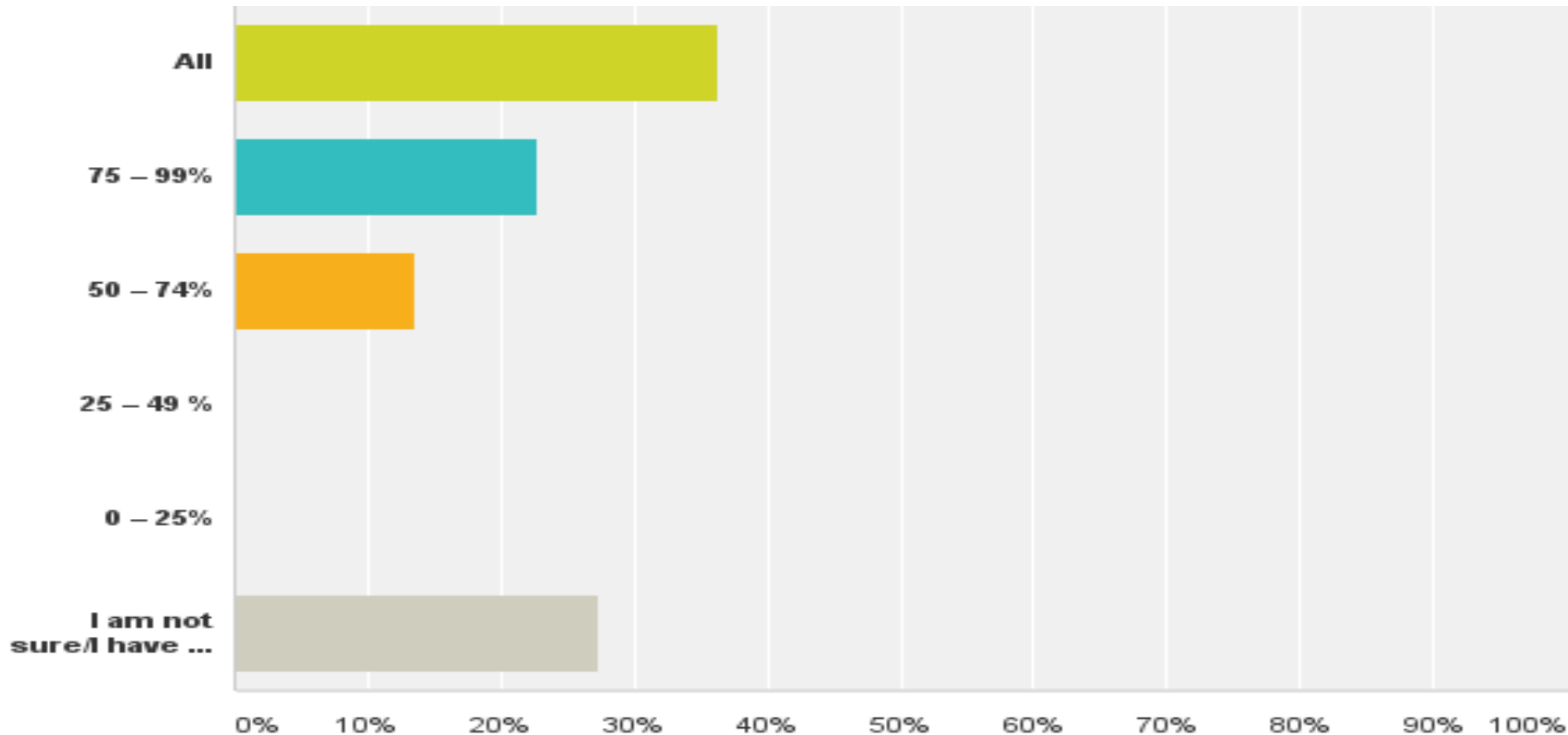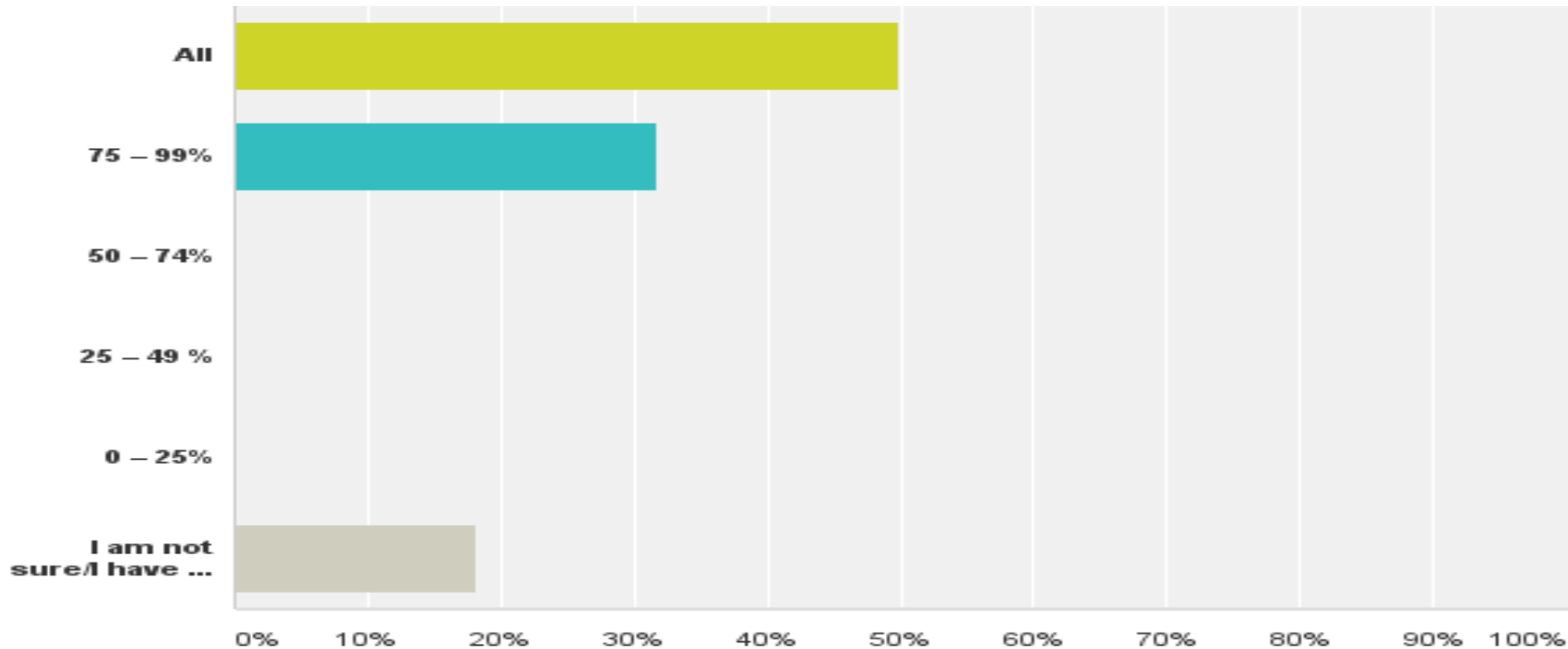
●●● How many higher education institutions have arrangements in place for the internal approval, monitoring and periodic review of programmes?

« The organisation of the internal quality assurance systems is left to the HEIs themselves to design and decide upon. However, the institutions are **required to document** their work on quality assurance and quality development, as well as to document that their quality assurance systems will uncover instances where quality is at risk. NOKUT has adopted criteria for the evaluation of quality assurance systems, developed in consultation with the HEIs. » (Norway)

••• How many higher education institutions publish up-to-date and fair information about the programmes and qualifications offered?

••• How many higher education institutions publish critical and negative outcome of internal QA reviews?
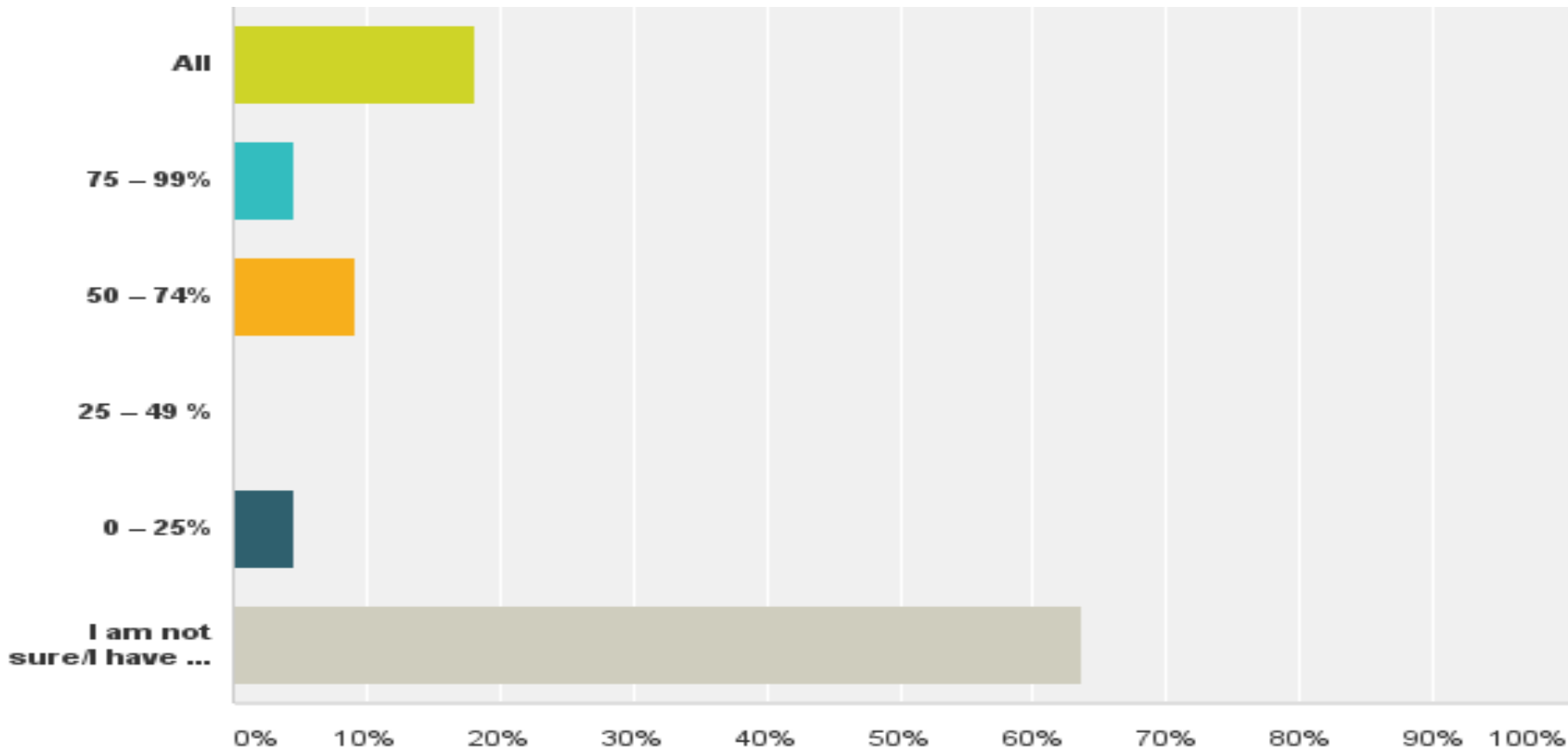
Comments on internal QA

« All higher education institutions are required to have a comprehensive quality management system and to undertake ongoing self-evaluation. A key aspect of the external review is to look at the **effectiveness of the organisation's internal self-evaluation** and the improvements made as a result of it. » (New Zealand)

●●● CONCLUSIONS

- Diversity in QA practices
- But some communalities:
  - Main aspects taken into account in external QA (Internal QA, use of LOs in curricula development and student assessment, student support services, student progression and employability)
  - Main outcome of external QA = permission or prerequisite to operate
  - Academics taken as full members in external review teams
  - QA covering all types of HEIs (and generally: institutions as well as programmes)

CONCLUSIONS (2)

- Diversity in QA practices
- But some communalities:
  - Formal requirements for higher education institutions to develop internal QA system/processes
  - HEIs responsible for focusing internal QA processes
  - Rankings of HEIs not used in QA processes
  - Lack of information on some topics (conditions for the choice of a QAA from abroad, results of application of the QAA, publication of Q policies by HEIs, arrangements by HEIs for internal monitoring of the Q of the programmes, publication by HEIs of critical outcomes coming from internal QA)