



# Nâng cao năng lực phát triển Hệ thống bảo đảm chất lượng giáo dục đại học

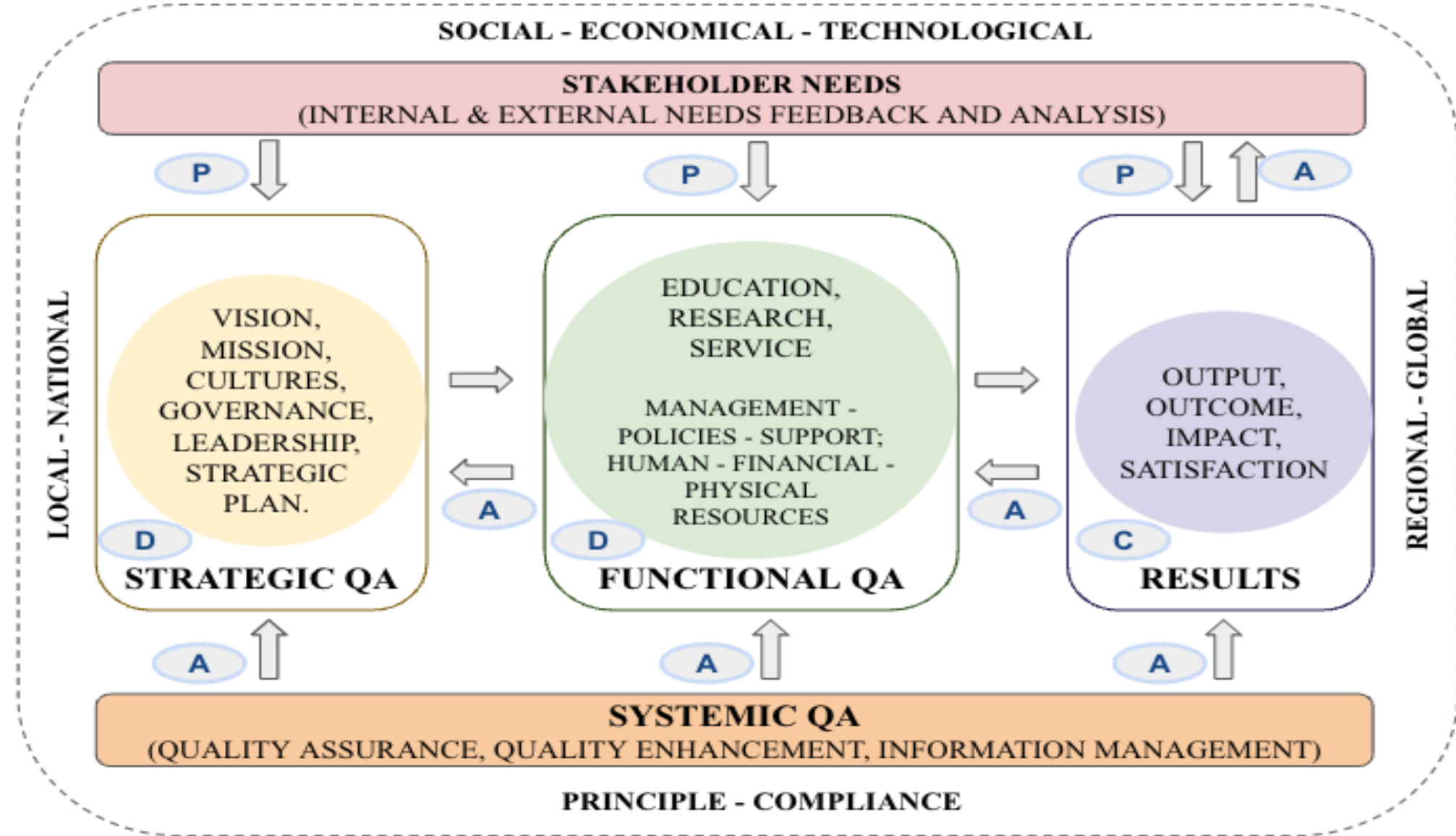
Capacity building for a quality assurance system in higher education

29 March 2023

# Framework of Institutional Quality Assurance (IQA)

- The goal is to establish a generic Institutional Quality Assurance (IQA) framework to inculcate 'Quality Culture' within the institution and program.
- This framework would be based around an internal system seeking to provide quality assurance (QA) and continuous quality improvement (CQI)
- The framework is based on a holistic approach engaging different stakeholders through strategic QA, systemic QA, functional QA and results
- The findings from the international survey on IQA have clearly demonstrated that IQA is a multi-faceted reality in terms of orientation (pillars), areas, systems (structures), processes, tools, and models (shared practices) [UNESCO].
- The purposes underlying IQA in HEIs:
  - i) Externally driven purposes included compliance and accountability to the requests of national authorities or external stakeholders;
  - ii) Internally driven purposes comprised performance assessment, institutional learning, governance and management improvement, and were intended to improve internal processes and strengthen institutional self-regulation [UNESCO].

# Framework of Institutional Quality Assurance (IQA)



# Strategic QA - Overview

## **IQA at strategic level means:**

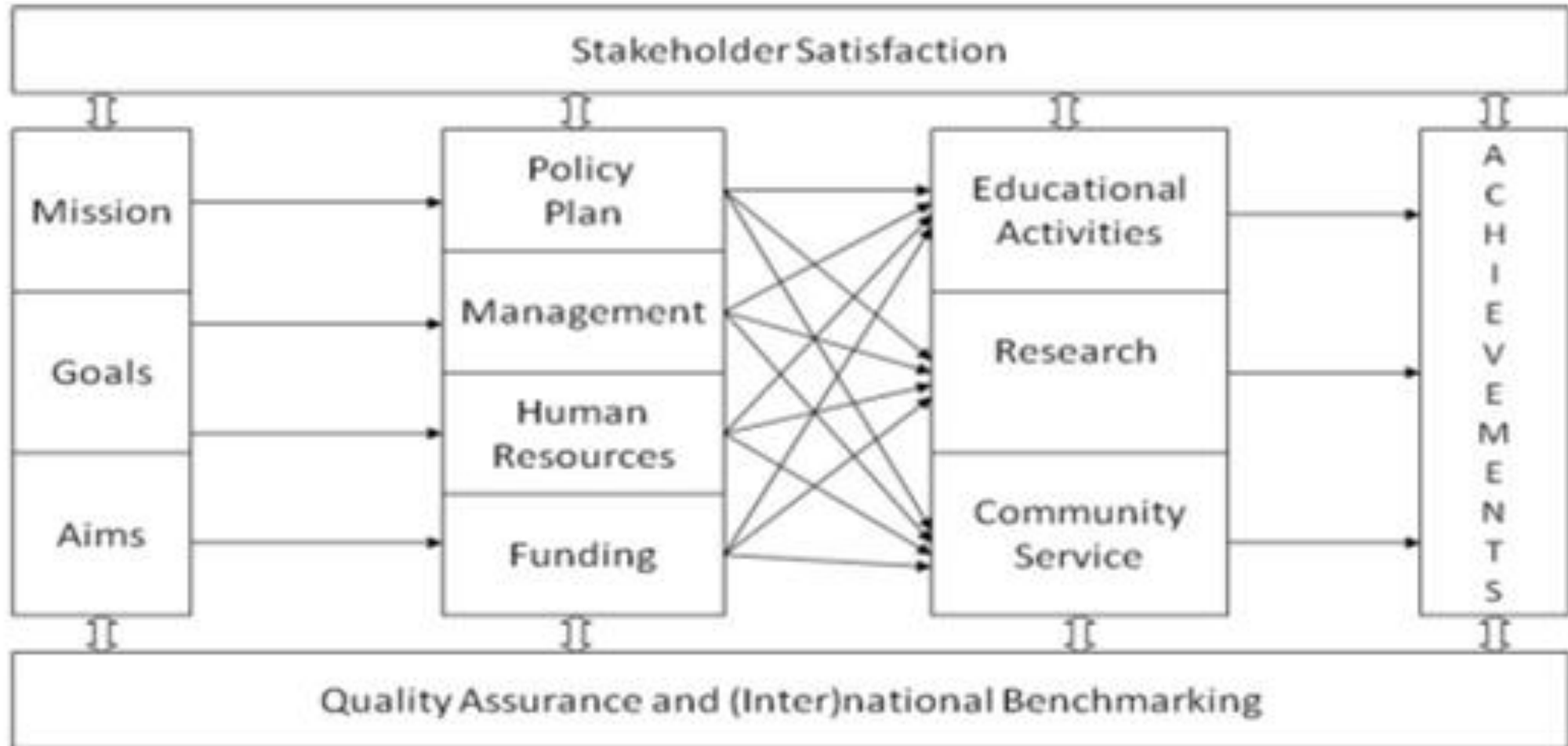
- An important set of activities which should be directly led and managed by top management of an HEI which also requires commitment, resources, and coordination from top management since its activities impact an HEI as a whole.
- The term “strategic” also means making choices among many growth options to create sustainable competitive advantages for an HEI given its context (strengths, weaknesses, opportunities, and threats)

## Strategic QA components:

1. Vision - Mission
2. Culture - Core Values
3. Governance - Leadership
4. IQA Principles
5. Objectives - Strategic Plan
6. Policies
7. Institution

(Source: Group 1's work)

# Model for Institutional Level (AUN-QA)



# Strategic QA - Systems

## Governance, Risk management framework and stakeholder management

### Governance

- Internal Audit that includes assurance of compliance and academic standards
- Delegation framework - balancing efficiency with accountability
- Governance, Risk and Compliance Frameworks – consider the intersects between them and IQA
- Supervision of processes
- Compliance performance monitoring – data and information, internal and external
- Core values
- Decision making process
- Resource allocation


# Strategic QA - Processes

## Governance:

- Election of students to governing and academic boards
- Academic Board oversight of academic policies and procedures
- Streamlined approval process for policies and procedures
- Feedback procedures – up and down
- Policy and procedures review
- Compliance training and support
- Compliance mapping against internal and external standards and expectations
- Decision making process, empowerment process
- Change management
- PDCA
- Benchmarking

# Strategic QA - Tools

## Governance

- Policies and Procedures
  - Compliance and implementation checklists
  - Operational and performance metrics
  - Risk Appetite Statement – applied to Compliance Framework
  - Clearly defined roles and responsibilities
- 



# Strategic QA - Models/Practices

## Governance:

- Devolved quality assurance with monitoring at various levels through governance structures
- Apply QA cycle (Plan/ Implement/ Monitor/ Review/ Improve) to all aspects of the institution
- Integrated compliance management governance, including committees and boards, and IQA
- Principles-based and risk-based approach to policies and procedures – enables prioritisation
- Four Line Model of Defence (to oversee and drive quality approach/culture):
  - Individual
  - Managers
  - Units and Functions (both central and specialist)
  - Independent audit (including internal and external)

# Systemic QA - Overview

1. QA system		
Systems	Processes	Tools
QA Regulations	<ul style="list-style-type: none"> <li>- QA regulation development process</li> <li>- Cyclic review of QA regulations and implementation</li> </ul>	<ul style="list-style-type: none"> <li>- List of systems and processes/ procedures to be reviewed and evaluated</li> <li>- Review guidelines</li> </ul>
QA Strategic Plan	<ul style="list-style-type: none"> <li>- Procedure to develop the strategic plan, annual action plan</li> <li>- Report; Resource planning</li> </ul>	<ul style="list-style-type: none"> <li>- SWOT analysis</li> <li>- KPIs</li> </ul>
Quality Objectives	<ul style="list-style-type: none"> <li>- The process/procedures of setting quality goals</li> </ul>	<ul style="list-style-type: none"> <li>- Specific purpose plans</li> <li>- Report template</li> </ul>
Quality Policies	<ul style="list-style-type: none"> <li>- The process/procedures of setting quality goals</li> </ul>	
QA Plan	<ul style="list-style-type: none"> <li>- The process/procedures of setting QA action plan</li> </ul>	<ul style="list-style-type: none"> <li>- Form/Sample of QA action plan</li> </ul>

# Systemic QA - Systems

## 2. Information management system

- What type of data to be collected
- Develop the system for data collection
- Establish processes for collecting, analyzing, reporting and utilizing data.
- Develop tools to support the processes

Systems	Processes	Tools
1. Education area	<p>Processes should clearly indicate:</p> <ul style="list-style-type: none"> <li>- Where is the data taken from to ensure reliability</li> <li>- How often is the data collected?</li> <li>- What is the data used for?</li> </ul>	<ul style="list-style-type: none"> <li>- Monitoring table and trends</li> <li>- Survey forms</li> <li>- Focus group discussion</li> <li>- Rubrics</li> <li>- Marking scheme</li> <li>- Charts, figure</li> <li>- Set of questionnaires</li> </ul>
2. Research area	<ul style="list-style-type: none"> <li>- In which form is data collected?</li> <li>- What metrics are used for data analysis</li> </ul>	
3. Services	<ul style="list-style-type: none"> <li>- Who is responsible for reporting?</li> <li>- Whom is the data reported to?</li> </ul>	

# Systemic QA - Systems

## 4. Monitoring, Benchmarking and Continuous Improvement:

### 4.1. Monitoring

Systems	Processes	Tools
<ul style="list-style-type: none"> <li>- Education: HR, program operation process, facilities, output, outcomes, impact...</li> </ul>	<ul style="list-style-type: none"> <li>- The monitoring process should clearly indicate:</li> <li>- What is the purpose of monitoring?</li> <li>- Which type of data/information should be used for monitoring?</li> <li>- What are the criteria to collect the monitoring partners?</li> <li>- Where is the data information collected from?</li> <li>- Who is responsible for data/information collection?</li> <li>- Who is responsible for data analysis?</li> <li>- Whom is the monitoring result reported?</li> <li>- What is the monitoring result used for?</li> </ul>	<ul style="list-style-type: none"> <li>- Guideline for monitoring</li> <li>- Trends and monitoring reports</li> <li>- An internal planning and reporting system</li> </ul>
<ul style="list-style-type: none"> <li>- Research: research operation, research budget, research income, research quality and quantities ... for both faculty and students</li> </ul>		
<ul style="list-style-type: none"> <li>- Service: student services (academic consultancy, soft skills development, career support...), community service,</li> </ul>		

# Systemic QA - Systems

## 4. Monitoring, Benchmarking and Continuous Improvement:

### 4.2. Benchmarking

Systems	Processes	Tools
<ul style="list-style-type: none"><li>- Education: human resources, program, input, output, outcomes, v.v</li></ul>	<ul style="list-style-type: none"><li>- What is the purpose of benchmarking?</li><li>- Which type of data/ information should be used for benchmarking?</li><li>- What are the criteria to collect the benchmarking partners?</li><li>- Where is the data information collected from?</li><li>- Who is responsible for data collection?</li><li>- Who is responsible for data analysis?</li><li>- Whom is the benchmarking result reported?</li><li>- What is the benchmarking result used for?</li></ul>	<ul style="list-style-type: none"><li>- Best practice from other universities</li><li>- Guideline for benchmarking</li><li>- Trends and benchmarking reports</li></ul>
<ul style="list-style-type: none"><li>- Research: research budget, research income, research quality and quantities, input ... for both faculty and students</li></ul>		
<ul style="list-style-type: none"><li>- Service: input, output, outcomes, impact...</li></ul>		

# Systemic QA - Systems


## 4. Monitoring, Benchmarking and Continuous Improvement:

### 4.3. Continuous improvement

Systems	Processes	Tools
Mechanism to ensure the PDCA process implemented	<ul style="list-style-type: none"><li>- Procedure/regulation of continuous improvement</li><li>- Critical reflection process using data analytics from the IQA information system, internal assessment report, and monitoring and benchmarking process</li><li>- Development, implementation, monitoring and report of feasible improvement plans</li></ul>	<ul style="list-style-type: none"><li>- Information Management System and any available information may be used to assist in the continuous improvement of the university and programs</li><li>- Program learning outcomes assessment</li><li>- Self-reflection report</li><li>- Observation and comment</li><li>- A set of measures for assessing the performance and a baseline from which to measure improvements</li></ul>


# Functional QA - Overview

## Education function

<b>1. Curriculum development</b>	<b>2. Teaching and Learning activities</b>	<b>3. Evaluation of Teaching and Learning activities</b>	<b>4. Student affairs</b>
1.1. Principle(s)/guides	2.1. Principle(s)/guides	3.1. Student ratings	4.1 Admission
1.2. Stakeholders' Inputs/feedbacks	2.2. Strategies	3.2. Teacher ratings	4.2. Learning process monitoring
1.3. Curriculum design	2.3. Resources	3.3. Student outcome assessment	4.3. Learning support services
1.4. Curriculum review	2.4. Professional development	3.4. Staff appraisal	4.4. Learning recognition
	2.5. Learning skills development	3.5. Staff evaluation	4.5. Satisfaction surveys
	2.6. Stakeholders' collaboration		




# Functional QA - Systems


<b>1. Curriculum development</b>	<b>2. Teaching &amp; Learning</b>	<b>3. Evaluation of T &amp; L</b>	<b>4. Student affairs</b>
1.1. OBE enabling	2.1. Stakeholders participatory	3.1. Policies & regulations (collection and use)	4.1 Regulations & guides, Admission units, roles, networks, communication,
1.2. Policies & practices on stakeholders' feedbacks	2.2. References & Guidelines for best practices	3.2. Policies & regulations (collection and use)	4.2. Regulations & guides, person(s) & unit(s)-in-charge
1.3. Constructive alignment	2.3. Resources and guides to use	3.3. Employer surveys and Student ELO assessments	4.3. Services identified, Regulations & guides, person(s) & unit(s)-in-charge
1.4. Policies & practices and Inputs & feedbacks from stakeholders	2.4. CPD, recognitions and rewards	3.4. Staff involvement, KPIs, recognition and rewards	4.4. Regulations & Guides, person(s) & unit(s)-in-charge
	2.5. Policies, guides and unit(s)-in-charge	3.5. Stakeholders involved, recognition and rewards	4.5. Feedback mechanism, Policies & practices
	2.6. Stakeholders' roles identified and fulfilled		



# Functional QA - Processes

<b>1. Curriculum development</b>	<b>2. Teaching &amp; Learning</b>	<b>3. Evaluation of T &amp; L</b>	<b>4. Student affairs</b>
1.1. Referencing, Aligning, Benchmarking	2.1. Identification of Stakeholders – Involvement	3.1. Surveys – Report – Use of results – Communication	4.1 Roles allocated, units set up, plans, resource allocated, feedbacks collected and used
1.2. Surveys – Data – Report – Use of results	2.2. Drafts – Documents – Revision	3.2. Surveys – Report – Use of results – Communication	4.2. Roles allocated, units set up, documents provided, feedbacks collected and used
1.3. Needs analysis, Target groups, cycle-based	2.3. Organization/Instalment, operation, update and maintenance	3.3. Surveys – Assessment – Report – Use of results – Communication	4.3. Services provided, roles allocated, units set up, documents provided, feedbacks collected and used
1.4. Minor review, major review, periodic review	2.4. Needs survey, training, evaluation	3.4. Design & approval of KPIs, Appraisal, Use of results	4.4. Roles allocated, units set up, plans, resource allocated, feedbacks collected and used
	2.5. Needs survey, training, evaluation	3.5. Surveys – Report – Use of results – Communication	4.5. Plan and procedures applied and evaluated
	2.6. Planning, Networking, Engaging		

# Functional QA - Tools

<b>1. Curriculum development</b>	<b>2. Teaching and Learning</b>	<b>3. Evaluation of T &amp; L</b>	<b>4. Student affairs</b>
1.1. The Laws, MoET documents, CDIO approach, Taxonomies, Statements	2.1. Statements of the university	3.1. Questionnaires, apps, softwares, reports,...	4.1 Handbooks, apps, clips, softwares, websites, infographics, social networks
1.2. Online apps, softwares, Questionnaires, FGDs,...	2.2. Handbooks, LMS, apps, simulated softwares,...	3.2. Questionnaires, apps, softwares, reports, ...	4.2. Websites, LMS, forms, templates, users handbooks, reports, ...
1.3. Project management tools, apps, softwares,...	2.3. Websites, LMS, apps, softwares	3.3. Questionnaires, apps, softwares, tests, item banks, rubrics, reports,...	4.3. Websites, links, posters, templates, users handbooks, reports, ...
1.4. CDIO approach, Taxonomies, AUN-QA Guidelines	2.4. Trainings, domestic & international exchanges, KPIs...	3.4. KPI, BSC, OKR (Objective Key Result)	4.4. Websites, links, templates, forms, users handbooks, reports, ...
	2.5. Materials, trainings, ...	3.5. Questionnaires, apps, softwares, reports,...	4.5. Users handbooks, templates, forms, softwares, reports, ...
	2.6. Regulations, reports,...		

# Functional QA - Models/Practices

- Application Guidelines (by Hokkaido University)
- Approach to Assessment (by Cambridge University)
- Constructive Alignment by John Biggs
- Programme Specifications (by Imperial College London)
- Programme Standards (by Malaysian Qualifications Agency (MQA))
- SERVQUAL model (Reliability, Assurance, Tangibility, Empathy, Responsiveness)
- Student Experience Survey (SES) by (Australian Quality Indicators for Learning and Teaching (QILT))
- Student Handbook (by Harvard College)
- Student Write Club (by University of Queensland)
- Writing and Using Learning Outcomes: a Practical Guide (by Declan Kennedy)
- ...

● No One Size That Fits All?

● Tailor-made IQAS?

# Results QA - Overview

- HEI not only evaluate the quality of the input and the process, but also measure quality of the output, outcomes and impacts. The academic, research, service, balance sheet, income/expenditure statement, market, reputation results,... should be established, monitored and benchmarked for improvement.
- **Outputs:** The stuff of which a program is made; The way in which it is delivered; The degree to which it is delivered; The person(s) or thing(s) to which it is delivered
- **Outcomes:** the short-term and intermediate changes that occur in learners, program participants, visitors, etc. as a direct result of the environmental education (EE) activity, program, or experience
- **Impacts:** the broader changes that occur within the community, organization, society, or environment as a result of program outcomes

# Results QA - Systems

## 1. Satisfaction

### Systems

- Regulations on quality assurance
- Regulations on survey of stakeholders

### Processes

1. Satisfaction Level of Student on
  - quality of teacher; quality of support services (support staff, infrastructure,...); quality of study program ( ELOs, curriculum, teaching and learning, assessment ...)
2. Satisfaction level of Managers, Lecturers, Support staff on
  - working environment, policy, incentives, recognition and promotion,...; quality of study program ( ELOs, curriculum, teaching and learning, assessment ...); quality of students
3. Satisfaction level of Alumni on
  - quality of study program ( ELOs, curriculum, teaching and learning, assessment,...); relevance of graduate outcomes to the requirements of job positions, working competencies.
4. Satisfaction level of Employers/Professional bodies on
  - graduate outcomes/competencies objecting to job positions; relevance of study program to the needs of human resources and business development

### Tools

- Survey forms (Paper form, Google form)
- Seminar, Conversation, Tracer Studies,....
- Guideline for monitoring
- Trends and monitoring reports
- An internal planning and reporting system

# Results QA - Systems

## 2. Outputs

### Systems

- Regulation on quality accountability (issued by MOET)
- Accreditation standards
- Internal quality assessment
- Regulation on Quality Assurance (stakeholder's feedbacks)

### Processes

- Processes to monitor average scores, accumulated credits
- Processes to monitor graduation quality (pass rates, dropout rates, average time to graduate)
- Processes to monitor and analyze appealing
- Processes to monitor employability of graduates, as well as self-employment, entrepreneurship, and advancement to further studies (right after/ after 6 months/ after 12 months of graduation);
- Processes to monitor research and creative work output and activities, research grants, research publication,... carried out by the academic staff and students

### Tools

- Survey forms (Paper form, Google form)
- Seminar, Conversation, Tracer Studies,....
- Guideline for monitoring
- Trends and monitoring reports
- An internal planning and reporting system



# Results QA - Systems

## 3. Outcomes

### Systems

- Regulation on Training (outcome-based course and program assessment)
- Regulation on Quality Assurance (curriculum design and development following OBE principles)

### Processes

- Process to evaluate achievement of course learning outcomes. program learning outcomes (objective assessment)
- Process to show that the course learning outcomes. program learning outcomes are achieved by the students by the time they pass the course and graduate
- Process to evaluate short-term changes in accredited program, accredited institution
- Process to evaluate medium-term changes in rated, ranked, reputed program and institution

### Tools

- Dashboard, outcome achievement report, ...
- Survey forms (Paper form, Google form)
- Seminar, Conversation, Tracer Studies,....
- Dashboard, outcome achievement report, ...

# Results QA - Systems

## 4. Impacts

### Systems

- Governance Design toward organizational Mission, Vision, Goals
- Changes in university performance to strategic goals with OKRs, KPIs
- Changes in workforces (alumni) to meet local, national development
- Changes in reputation, ranking, .... of the university, programs at national, regional and international level

### Processes

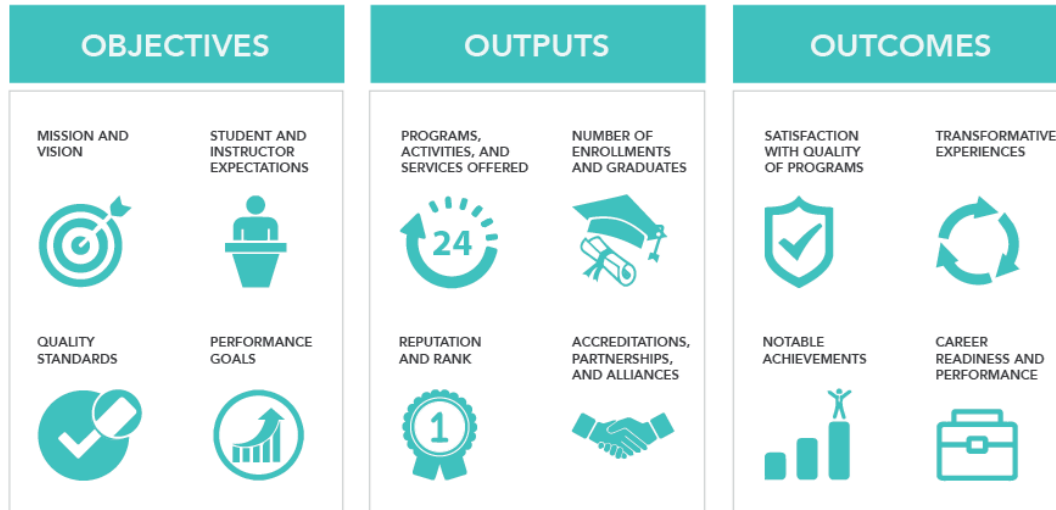
- Process of setting university Goals and Strategic Planning
- Process of delivering expected outputs and outcomes regarding the approved objectives, scope, plans, OKRs and KPIs
- Process of demonstrating effective and efficient performance, governance, risk management and compliance and providing positive assurance on the same
- Process of getting national and international rankings, rating, reputation
- Process of publicizing the annual and strategic achievement reports

### Tools

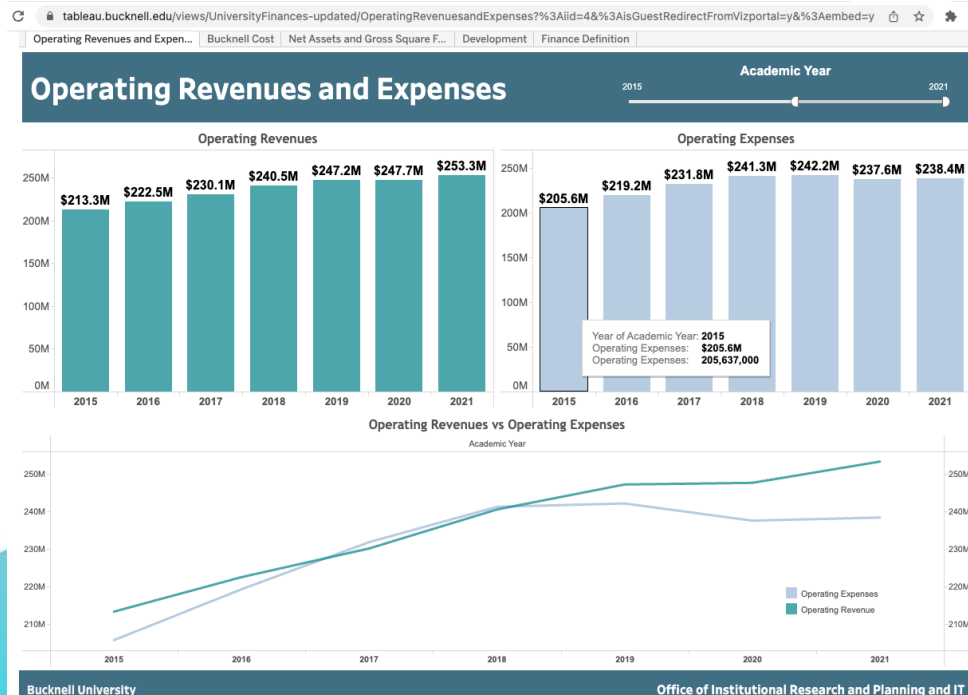
- Dashboards with high level KPIs
- Short-term, medium-term strategic reports
- Public reports  
(commitment to the quality of education training, information about the actual training quality of the educational institution, information about the facilities of the educational institution, information about the permanent teaching staff of the educational institution, information about the financial information of the educational institution ...)



# Results QA - Models/Practices



<https://encoura.org/defining-educational-outcomes-measuring-impact/>



## By 2032, UQ will be known as a university that:



Delivers highly sought-after graduates, who are prepared for future success through rich and broad educational experiences



Leads as a premier provider of high-quality postgraduate and lifelong learning opportunities



Leverages the breadth and depth of its research capabilities and vibrant precincts to address the world's most pressing challenges



Is a trusted and agile partner widely regarded as a leader in entrepreneurship, knowledge exchange and commercialisation



Has an extensive global reach in education and research with a strong commitment to capacity building in the Indo-Pacific



Breaks down barriers to education through the targeted and effective Queensland Commitment



Is values-led, deeply committed to delivering for the public good and supporting our people, leading reconciliation, and embracing different life experiences and perspectives

<https://www.uq.edu.au/about/files/11393/UQ%20Strategic%20Plan%202022-2025.pdf>

<https://tableau.bucknell.edu/views/UniversityFinances-updated/OperatingRevenuesandExpenses>

## 2032 Measures of success

---

No. 1 in Queensland for graduate employment outcomes three years after completion

---

Top 5 in Australia for sense of belonging among undergraduate students

---

50 per cent of bachelor's graduates will have completed an entrepreneurship, global, volunteering or leadership experience

---

Double our domestic postgraduate coursework commencements

---

10,000 participants per year completing an executive education or short course offering

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## 2032 Measures of success

---

80 per cent of staff will be willing to recommend UQ as a great place to work

---

85 per cent of staff will agree that UQ demonstrates a genuine commitment to diversity and inclusion

---

50 per cent of senior positions will be held by women

---

The proportion of staff identifying as Aboriginal and/or Torres Strait Islander will reflect the representation of people identifying as Aboriginal and/or Torres Strait Islander in Queensland

---

1 in 3 alumni will actively engage with the University each year

## 2032 Measures of success

---

No. 1 in the national research excellence, impact and engagement assessments

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Top 50 in the Aggregate Ranking of Top Universities

---

Attract at least 10 per cent of national funding for priority-driven research and double industry and philanthropic research funding

---

Top 5 per cent globally for commercialisation of university IP

---

75 per cent of HDR graduates to complete a career development experience or industry placement

---

Lead the development of 10 new research partnerships that provide at least \$10 million of investment per year

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## 2032 Measures of success

---

Achieve an annual EBITDA of 10 per cent and ensure annual revenue exceeds expenditure

---

Grow our endowment fund to \$1.2 billion

---

Be recognised as a beyond carbon neutral university

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## 2032 Measures of success

---

30 per cent of our domestic undergraduate students will come from a low socio-economic or regional/remote background

---

The proportion of domestic students identifying as Aboriginal and/or Torres Strait Islander will reflect the representation of people identifying as Aboriginal and/or Torres Strait Islander in Queensland

---

Achieve a platinum rating in the Sustainability, Tracking, Assessment and Rating System (STARS)

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Be recognised by Reconciliation Australia as an Elevate RAP organisation

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## 2032 Measures of success

---

Deliver on our premier partnerships by growing co-publications, joint PhDs, collaborative teaching efforts and externally-funded research

---

Recruit at least 10 per cent of our international students from each of our top 5 source countries

---

15 per cent of UQ's international students will study offshore

---

Be a leading university in Australia for development impact in the Indo-Pacific