MAIN STANDARDS FOR INTERNAL AND EXTERNAL QUALITY
ASSURANCE IN THE EUROPEAN HIGHER EDUCATION AREA

Yulia Stukalina

Faculty of Management and Economics, Transport and Telecommunication Institute,
1 Lomonosova street, Riga, Latvia
E-mail: Stukalina.Y@tsi.lv

Abstract. The purpose of this paper is to provide a synthesis of the official documents that regulate quality assurance activities in a modern university. The principal objectives of the paper are to discuss the main standards for quality assurance in the European Higher Education Area, and examine the basic criteria applied for international institutional accreditation. The research method used in the paper includes the review of official EU and OECD documents on quality assurance in higher education. The analysis conducted in the paper has allowed the author to identify and summarize key internal and external standards for quality assurance, which education managers should consider in the agenda of the all-inclusive management of an academia.

Keywords: university, educational management, quality assurance, institutional accreditation, international standards.

JEL Classification: I29, M19.

1. Introduction

Nowadays, quality is supposed to be integrated into all aspects of a successful organization (Charantimath, 2011); it is aimed at achieving organizational excellence (D. Besterfield, Besterfield-Michna, G. Besterfield, Besterfield-Sacre, H. Urdhwareshe, & R. Urdhwareshe, 2012). Quality management is closely related to strategic planning executed by top managers (Naagarazan & Arivalagar, 2005); it involves identifying and administering the activities planned for accomplishing the quality objectives of an institution. Quality management includes quality control, quality assurance and quality improvement (Charantimath, 2011). The need for quality assurance with appropriate control at every stage is constantly increasing, quality management being a continuous process (Jain, 2001).

With the pressure for change and quality in education being critical, total quality management is now utilized both as a philosophy and a methodology for managing this change and associated processes (Sallis, 2002). Total quality management in education incorporate and extends quality assurance; predetermined quality standards are regarded as a very important part of the quality assurance system (ibid.). The significance of quality assurance in higher education is determined by role, which it plays in ensuring high quality standards and in facilitating the comparability of qualifications throughout Europe (EURASHE, 2001). It is vital in the context of promoting the attractiveness of the European Higher Education Area (EACEA, 2009). Quality assurance in higher education is also critical in the context of creating the European Higher Education Area (EHEA) (Bologna Declaration, 1999; ENQA, 2005; London Communiqué, 2007; EHEA, 2012; ec.europa.eu, 2013). Quality assurance activities empower higher education institutions to contribute better to the formation and development of a knowledge-based society (QAHECA, 2009).

The purpose of this paper is to provide a synthesis of the official documents that regulate quality assurance activities in a modern university. The principal objectives of the paper are to discuss the main standards for quality assurance in the European Higher Education Area, and examine the basic criteria applied for the accreditation of a modern university. The research method used in the paper is qualitative: the review of official EU and OECD documents on quality assurance in higher education. The analysis conducted in the paper has allowed the author to identify and summarize key internal and external standards for quality assurance, which education managers must consider in the agenda of the all-inclusive management of an academia.

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2. Quality assurance in European higher education

2.1. Improving the quality of European higher education in the agenda of “smart growth”

Quality of education is one of the most significant and persistent concerns for the development of a national higher education system (Matei & Iwinska, 2016). The quality of higher education and research is also regarded as an important factor influencing Europe’s international competitiveness (EURASHE, 2001). To direct the EU efforts and progress towards smart growth (that is “developing an economy based on knowledge and innovation”), a number of specific targets were proposed by the European Commission for 2020 (Eur-lex, 2010). Smart growth requires, among other things, improving educational outcomes and the quality and outputs of education institutions, increasing research performance, and stimulating innovation and knowledge transfer across the EU (ibid.).

The implementation of Europe’s 2020 strategy needs enhanced quality and performance on the part of the EU universities in the context of modernisation of higher education, the reforms being aimed at 1) increasing the amount of higher education graduates at all levels; 2) improving the quality and significance of human capital development in higher education; 3) strengthening knowledge transfer between education, research and business; 4) supporting the growing internationalisation of higher education; 5) developing efficient management and funding mechanisms (Benneworth, de Boer, File, Jongbloed, & Westerheijden, 2012). Thus, improving the quality and relevance of higher education includes, among many other issues, adjusting quality assurance and funding instruments to “reward success” in preparing students for the modern labour market (Eur-lex, 2010). Quality assurance customized to an institution’s vision and priorities is supposed to inspire its greater diversity and specialisation, encourage wider engagement of its stakeholders, support strategic decision-making (European Commission, 2014).

Quality assurance mechanisms aim at establishing healthy and autonomous higher education institutions that have mature quality cultures, which promote creativity and innovation (QAHECA, 2009).

2.2. The standards and guidelines for quality assurance in the European Higher Education Area (ESG)

The European System of Quality Assurance un the frame of the Bologna Process includes standards, guidelines and a peer review system for quality assurance agencies (Hendriks, 2008).

In the Berlin Communiqué (2003), the Ministers of the Bologna Process signatory countries requested the European Network for Quality Assurance in Higher Education (ENQA) to create “an agreed set of standards, procedures and guidelines on quality assurance”. In response to this mandate, the Standards and Guidelines for Quality Assurance in the European Higher Education Area (ESG) were adopted in 2005, which contains basic European standards for quality assurance in higher education in terms of internal and external quality assurance (ENQA, 2005). The ESG provide the general framework for setting standards for reliable national higher education quality assurance systems (González de la Rosa, 2008). The ESG latest version were adopted in 2015 by the Ministers in charge of higher education in the EHEA succeeding significant progress that has been made in the quality assurance area and in other Bologna action areas, and reflecting the consensus among the participants of the process (ENQA, 2015). The ESG focus on the quality assurance activities associated with learning and teaching including the learning environment and applicable links to both research and innovation (ENQA, 2015).

In 2007, the European University Association (EUA) together with the Certification and Quality Assurance Institute (ACQUIN), the Higher Education Academy (HEA) and the National University of Ireland in Maynooth set up a project called “Quality Assurance for the Higher Education Change Agenda (QAHECA)” as a response to fast progress on the way to creating the European Higher Education and Research Areas. The consortium partners have developed a few recommendations, which can guide both higher education institutions and external quality assurance agencies in their current practices for improving quality assurance processes (QAHECA, 2009):

- Quality assurance has to be individualised so that different characteristics of academic disciplines, numerous organisational cultures, the historical background of the educational organization and the
national context should be taken into consideration.

- External and internal quality assurance procedures ought to focus on increasing the institutions’ ability for change in the agenda of accomplishing strategic goals.
- The main success factor for an efficient quality assurance is supposed to be the involvement of the entire academic community in the process; it presupposes that strategic planning, educational and staff development is an important part of quality assurance processes.
- It is vital to ensure the engagement of all stakeholders in quality assurance processes including students.
- A prerequisite for an effective quality assurance is establishing a partnership between educational organizations and independent quality assurance agencies.
- Quality assurance processes should allow taking risks and failure that are necessary for generating new knowledge.
- Sharing experiences in quality assurance is crucial for the future improvement and enhancement of quality assurance practices.

3. Internal and external quality assurance in higher education

The standards for quality assurance can be categorized into external quality assurance, internal quality assurance and quality assurance agencies, all three parts being interconnected and forming the basis for a European quality assurance framework (ENQA, 2015).

Internal quality assurance includes various practices and guidelines, which an academia uses to observe and enhance the quality of their educational services; external quality assurance involves policies and practices that are beyond the authority of academic institutions as universities always work within a “national policy framework” developed by the state for guaranteeing certain academic standards (Dill, 2010).

3.1. Internal quality assurance standards

The internal quality systems are intended for assisting the organizations to a) control their quality-related central activities; b) organise the processes, planning, documentation and use of available resources for meeting the quality objectives and ensuring non-stop enhancement of the educational services; c) get objective information for decision making (González de la Rosa, 2008). The quality assurance system embraces all operational processes and supports internal communication and knowledge transfer.

A comprehensive quality assurance policy and processes are the fundamental blocks of of a comprehensive institutional quality assurance system (ENQA, 2015). An internal quality assurance system must be developed and maintained on the basis of the standards and guidelines for internal quality assurance (Table 1).

<table>
<thead>
<tr>
<th>Standard</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>Policy and procedures for quality assurance</td>
<td>– Institutional quality assurance policy (QAP) should include techniques for the assurance of the quality of study programmes and awarded qualifications – The organizational culture should recognize the significance of quality assurance – The institution must develop a strategy for the non-stop quality improvement – The strategy, policy and procedures ought to have a formal status and available to the public – The strategy, policy and procedures should involve all stakeholders including students</td>
</tr>
<tr>
<td>Approval, monitoring and periodic review of programmes/awards</td>
<td>There must be prearranged mechanisms for the approval, recurrent assessment and monitoring of programmes/awards</td>
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<tr>
<td>Assessment of students</td>
<td>Students should be evaluated on the basis of clear standards (criteria), regulations and procedures</td>
</tr>
<tr>
<td>Quality assurance of teaching staff</td>
<td>Institutions should carry out external reviews for making sure that academic staff is qualified and competent</td>
</tr>
<tr>
<td>Learning resources and student support</td>
<td>Institutions should provide adequate and appropriate resources available for supporting the learning process in the frame of each programme that is offered by an institution</td>
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</table>
Institutions should support the collection, analysis and utilization of pertinent information to effectively manage the study programmes and the related educational activities.

An academia should recurrently publish current and objective quantitative and qualitative information about their study programmes and awarded qualifications.

An efficient quality assurance policy that is necessary for supporting the organisation of the quality assurance system, academic integrity and freedom and institutional leadership, should reflect a) the relationships between teaching/learning and research; b) both national and institutional contexts; c) the university’s strategic approach (ENQA, 2015). Key success factors for an efficient internal quality assurance system are as follows: strategic planning, suitable administrative structures supporting quality assurance, commitment of the institution’s top management, involvement of the staff and students, as well as external stakeholders, properly planned data collection and its analysis (EUA, 2006).

### 3.2. External quality assurance standards

Lately, there has been a growing emphasis on the development of clear criteria and procedures for quality assurance intended for external examination; the greater part of the Bologna process members have independent quality assurance bodies, which can use an assortment of common and collectively used principles for quality assurance (Ecahe, 2005).

The traditional national frameworks for external quality assurance include the following forms: 1) the “European model of central control of quality assurance” utilized by by educational ministries of a certain country; 2) the “US model of decentralized quality assurance” that is characterized by limited state control, 3) the “British model, in which the state grants accountability for quality assurance to “self-accrediting” universities (Dill, 1992). However, such procedures as deliberate academic accreditation in the United States and external inspection in the UK have certain restrictions compared to all-inclusive program accreditation practices being conducted in Europe, which help guarantee the accomplishment of threshold academic requirements (Dill, 2010). European standards for external quality assurance within higher education institutions are summarized in Table 2.

<table>
<thead>
<tr>
<th>Standard</th>
<th>Description</th>
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<tbody>
<tr>
<td>Use of internal quality assurance procedures</td>
<td>The effectiveness of the internal quality assurance processes should be taken into consideration when conducting the external quality assurance measures</td>
</tr>
<tr>
<td>Development of external quality assurance processes</td>
<td>The goals of quality assurance processes should be created before the external quality assurance process are developed</td>
</tr>
<tr>
<td>Criteria for decisions</td>
<td>Any official decisions taken as a result of an external quality assurance procedure must be grounded in clear published and regularly used criteria</td>
</tr>
<tr>
<td>Processes fit for purpose</td>
<td>External quality assurance procedures should be created to guarantee their suitability for achieving the defined goals</td>
</tr>
<tr>
<td>Reporting</td>
<td>Reports should be published and written in a clear and readily accessible style</td>
</tr>
<tr>
<td>Follow-up procedures</td>
<td>Quality assurance processes containing any recommendations ought to have a predetermined follow-up technique that is implemented regularly</td>
</tr>
<tr>
<td>Periodic reviews</td>
<td>External quality assurance of institutions should be performed on a regular basis</td>
</tr>
<tr>
<td>System-wide analyses</td>
<td>Quality assurance agencies must periodically generate summary reports containing and analysis of their findings (examinations, assessments, etc.)</td>
</tr>
</tbody>
</table>

Thus, external quality assurance includes well-defined procedures and unambiguous criteria; better transparency of quality assurance processes is maintained through the use of a broader set of external, and in specific situations international, reference points (Ecahe, 2005).
4. European standards for institutional accreditation

The three main approaches to educational quality are accreditation, assessment and audit; both assessment and accreditation are used to monitor the quality of teaching and learning, whereas audit centres on internal procedures accepted by an academy in order to accomplish the established objectives (Kis, 2005).

Institutional accreditation can be defined as an assessment of whether an educational institution meets a certain standard (Kis, 2005), the result being the awarding of a status of recognition (Vlasceanu, Grünberg, & Parlea, 2007). In case of a higher education institution, the accreditation procedure must identify if its performance in relation to both teaching and research is consistent with some scientific standards (ACQUIN, 2015).

The emphasis of accreditation is put on a comprehensive analysis of the mission, resources, and procedures of an academy (Dill, 2010). So the process of institutional accreditation should be holistic and systematic. The institutional accreditation focuses on a number of issues including decision-making processes and efficiency of strategic management procedures, the analysis of institutional structures, applicability of internal quality management processes, organizational resources, teaching and learning processes, and quality assurance in general (ACQUIN, 2015).

For avoiding the gaps in the quality assurance of modern cross-border higher education, more weight should be put on assessment guidelines and standards; these standards need to be “transparent, consistent and appropriate”; information on the assessment standards and procedures must be accurate and easily accessible (OECD, 2005).

The European Quality Assurance Agency (EQAA) established on the basis of the Standards and Guidelines for Quality Assurance in the European Higher Education Area offers international accreditation to a wide range of educational institutions. EQAA uses standards, which fully comply with the ESG.

In Tables 3 and 4, the common standards used for international accreditation of universities and other HEIs are summarized. The standards described in Table 3 are related to such aspects of organizational activities as strategic management, quality assurance and governance. The standards described in Table 4 are related to different functional areas of an educational organization – (learning and teaching, research, staff), as well as the management of organizational resources and the engagement of community in its operations.

Table 3. Institutional accreditation of universities and other HEIs: basic common standards (1) (source: European Quality Assurance Agency, 2017)

<table>
<thead>
<tr>
<th>Category</th>
<th>Standard</th>
</tr>
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<tbody>
<tr>
<td>Mission and strategy</td>
<td>– Publicly available mission statement is in place</td>
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<td></td>
<td>– All-inclusive strategy is in place</td>
</tr>
<tr>
<td>Quality Assurance</td>
<td>– Systematic review and correction (updating) is performed if necessary</td>
</tr>
<tr>
<td></td>
<td>– An institution assumes responsibility for the quality of its operations</td>
</tr>
<tr>
<td></td>
<td>– The quality assurance system (QAS) is based on the publicly available quality assurance policy</td>
</tr>
<tr>
<td></td>
<td>– An appropriate management structure for implementing the quality assurance policy is in place</td>
</tr>
<tr>
<td></td>
<td>– The quality assurance system embraces all functional areas</td>
</tr>
<tr>
<td></td>
<td>– Systematic review of the QAS is provided</td>
</tr>
<tr>
<td></td>
<td>– Staff and students are involved in the QAS</td>
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<tr>
<td></td>
<td>– Involving external stakeholders in the quality assurance system</td>
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<tr>
<td></td>
<td>– Systematic external quality assurance is conducted</td>
</tr>
<tr>
<td>Governance</td>
<td>– An effective governance system is established</td>
</tr>
<tr>
<td></td>
<td>– Staff and students are involved in the governance process</td>
</tr>
<tr>
<td></td>
<td>– The governance guarantees an appropriate distribution of responsibilities</td>
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<tr>
<td></td>
<td>– The transparency of decision-making processes is provided throughout an organization</td>
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</tbody>
</table>

Table 4. Institutional accreditation of universities and other HEIs: basic common standards (2) (source: European Quality Assurance Agency, 2017)

<table>
<thead>
<tr>
<th>Category</th>
<th>Standard</th>
</tr>
</thead>
<tbody>
<tr>
<td>Learning and Teaching</td>
<td>– An effective system for the design, authorization, observing and re-examination of study programmes is in place</td>
</tr>
<tr>
<td></td>
<td>– Information about study programmes is publicly provided</td>
</tr>
<tr>
<td></td>
<td>– The admission policy is based on clear and recurrently used regulations</td>
</tr>
</tbody>
</table>
As seen from Table 4, comprehensive management of a contemporary academia, being based on the holistic approach, takes place in different functional areas. These interconnected and interdependent functional areas support the entire educational process; the activities performed in the frame of this process are all aimed at achieving academic excellence (Stukalina, 2014).

Consequently, senior managers must mainly focus their efforts on all “dimensions” having impact on quality teaching (Henard, 2010). Consequently, achieving academic excellence is in the centre of an all-inclusive organizational strategy (Stukalina, 2017). In turn, quality in terms of attaining academic excellence is viewed as a principal value in higher education (Schwartz & Westerheijden, 2007).

So quality assurance in education is associated with transformation of education towards more effective management; in this context, accreditation is used as a supplementing tool for assessing compliance with the agreed standards and performing regular analysis of the accomplished progress (Cedefop, 2009), which can be regarded as an integral element of the overall institutional strategy.

5. Conclusions

The analysis of research papers and documents on quality assurance in education has enabled the author to draw the following conclusions.

- As higher education managers are now working in fast-changing circumstances and environments, quality remains the most significant issue to be discussed in the context of modernization of European
higher education for supporting “smart growth”. The concern for quality is closely related to continuous innovation and improved knowledge transfer through the EU countries.

- Quality in higher education is associated with quality teaching in the agenda of achieving academic excellence – one of the main strategic goals of a modern university.
- Quality assurance should be in the focus of the comprehensive strategy of modern educational organizations, the strategy implementation being supported by appropriate organizational structures and adequate budget.
- Quality assurance in complex academia settings is maintained in all functional areas and at all organizational levels provided that there are efficient quality assurance mechanisms backed by mature quality culture.
- Quality assurance mechanisms can be customized with due account for the unique characteristics of a HEI including organizational culture, as well as the environment, in which the HEI is operating.
- The standards for quality assurance include external and internal quality assurance, and quality assurance agencies, thus creating the basis for a European quality assurance framework.
- Internal and external quality assurance procedures in higher education complement each other ensuring synergy of these processes for the greatest benefit of all higher education stakeholders.
- The European Standards and Guidelines (ESG), which have been approved by the Bologna countries, are used as a basis for accreditation procedures in the EU countries, accreditation being regarded as one of the most efficient instruments for assessing quality in the context of cross-border education.
- External quality assurance agencies involved in the institutional accreditation assess a university against the agreed international standards. Such analysis provides valuable information about recent trends, useful practices, areas of concern; it can be regarded as an efficient tool for policy development and quality enhancement in a HEI.

The author hopes that managers, who work in the area of higher education and are concerned with the development of the university’s comprehensive strategy, will find interesting the results presented in the paper. The author also hopes that the paper will stimulate further discussions on such quality-related issues as international accreditation of HEIs and their programmes. At the same time, the author is aware of limitations and shortcomings of the study. There is a lack of theoretical research on the given problem; some important documents may not be considered in the study.

Disclosure statement

The author does not have any competing financial, professional, or personal interests from other parties.

References


