

# Quality Management System for a University

**TLQAA+ (Towards the Lebanese Quality Assurance Agency +)**



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# Content

1. Context
2. AUDIT Programme
3. The Case of University of Extremadura
4. Conclusions
5. Discussion General Guidelines

# Content

## 1. Context

2. AUDIT Programme

3. The Case at the University of Extremadura

4. Conclusions

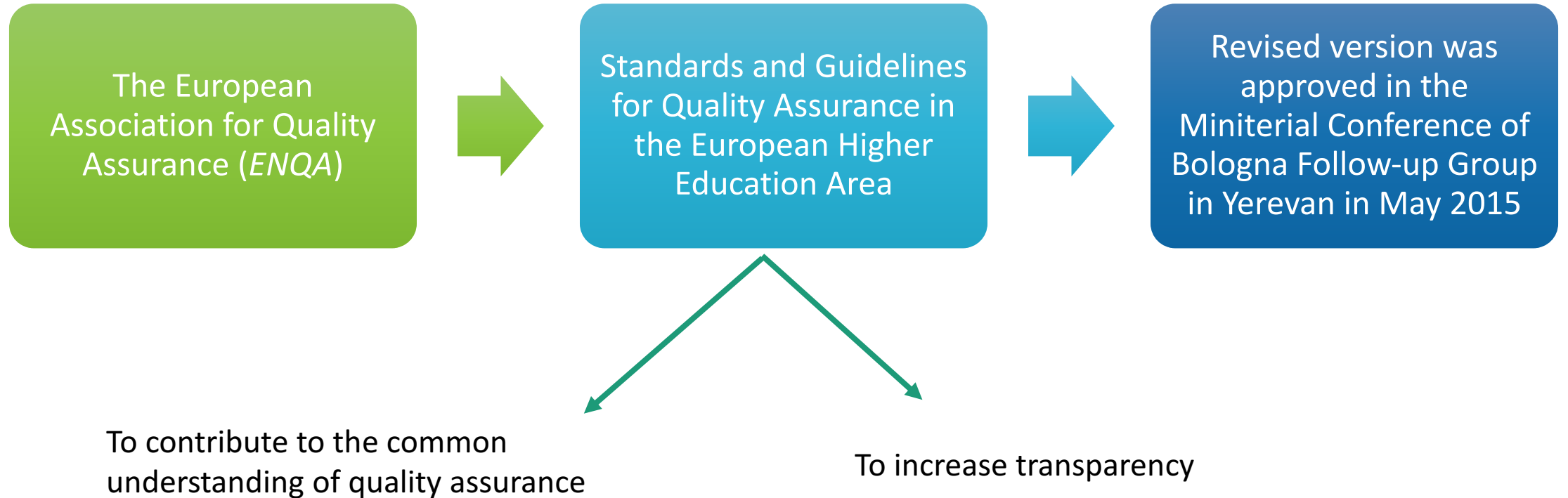
5. Discussion General Guidelines

# 1. Context

Organic Law 4/2007 , dated 12 April, which amended Organic Law 6/2001 , 21 December, on Universities (Spanish Universities Act), established a **new structure for university degree programmes in Spain in line with the aims set for building the European Higher Education Area.**

Royal Decree 1393/2007 , dated 29 October, and Royal Decree 861/2010 which amended the previous have led autonomy to the universities to design new degree programmes at Bachelor, Master and Doctorate levels.

# 1. Context



# 1. Context

The standards for quality assurance have been divided into three parts:

Internal quality assurance

External quality assurance

Quality assurance agencies

## Standards for internal quality assurance

- 1.1 Policy for quality assurance
- 1.2 Design and approval of programmes
- 1.3 Student-centred learning, teaching and assessment
- 1.4 Student admission, progression, recognition and certification
- 1.5 Teaching staff
- 1.6 Learning resources and student support
- 1.7 Information management
- 1.8 Public information
- 1.9 On-going monitoring and periodic review of programmes
- 1.10 Cyclical external quality assurance



## Standards for external quality assurance

- 2.1 Consideration of internal quality assurance
- 2.2 Designing methodologies fit for purpose
- 2.3 Implementing processes
- 2.4 Peer-review experts
- 2.5 Criteria for outcomes
- 2.6 Reporting
- 2.7 Complaints and appeals

AUDIT PROGRAMME

# Content

1. Context

**2. AUDIT Programme**

3. The Case at the University of Extremadura

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# What is AUDIT?

The aim of this programme is to development and implementation of **Internal Quality Assurance Systems** in all center (schools and faculties) that offer university education in Spain. Another objective is to create a procedure for the acknowledgement of this systems.

# **Important aspects in the definition of Internal Quality Assurance Systems:**

- a) Objectives and action principles**
- b) Stakeholders**
- c) Scope**
- d) Stage**
- e) Procedures**
- f) Organization, structure and resources**

# MILESTONES OF THE AUDIT PROGRAMME

## Agencies

- ✓ On the basis of the given documentation if verifies the fulfillment of the IAQS requirements
- ✓ Design verification report

## Schools, Faculties/ Universities

- ✓ Participation in the verification
- ✓ Improvement and implementation

1. To orientate in the design of the Internal Quality Assurance Systems (IQAS) at University faculties

2. Verification of the design of the IQAS

3. Certification of the Implemented Systems

## Agencies

Design guidelines

## Schools, Faculties/ Universities

- ✓ Compromise
- ✓ Planning
- ✓ Diagnosis
- ✓ Definition and documentation

## Agencies

Visit to the faculty /university

IAQS certification report

## Schools, Faculties/ Universities

Implementation of IAQS

## **2. AUDIT Programme. To orientate in the design of the Internal Quality Assurance Systems (IQAS) at University faculties**

**STAGE 1: COMMITMENT**

**STAGE 2: PLANNING**

**STAGE 3: DIAGNOSIS**

**STAGE 4: DEFINITION AND DOCUMENTATION**

# STAGE IN THE DESIGN OF INTERNAL QUALITY ASSURANCE SYSTEMS

## STAGE 1. COMMITMENT

### PREREQUISITES

- Signing of the agreement

### Responsibility

- Faculty/University

### Resources

- Necessary human and material resources

# STAGE IN THE DESIGN OF INTERNAL QUALITY ASSURANCE SYSTEMS

## STAGE 1. COMMITMENT

The level of participation by the faculty/school and the university's governing body in quality assurance systems.

A statement that reflects the commitment to quality and willingness to take the role of leadership of the institution's governing and administrative bodies, and that guarantees the allocation of resources for development of the project.

The body, unit or group in charge of leading the system design process.



# STAGE IN THE DESIGN OF INTERNAL QUALITY ASSURANCE SYSTEMS

## STAGE 2. PLANNING

### PREREQUISITES

- Commitment of key person in the institution/University to quality assurance

### Responsibility

- Governing and administrative bodies
- Delegate committees
- Technical units
- Other bodies

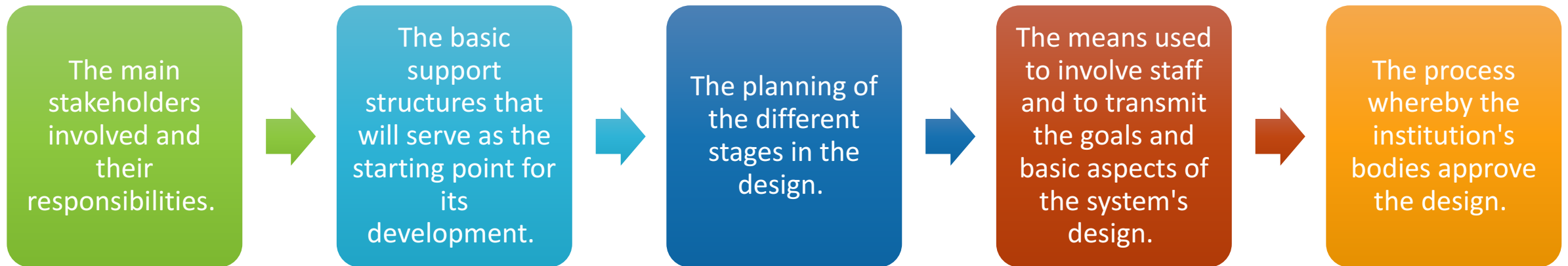
### Resources

- Regulations, rules, procedure manuals and aids

# STAGE IN THE DESIGN OF INTERNAL QUALITY ASSURANCE SYSTEMS

## STAGE 2. PLANNING

IN THIS STAGE, THE HEI SHOULD DEFINE



# STAGE IN THE DESIGN OF INTERNAL QUALITY ASSURANCE SYSTEMS

## STAGE 3. DIAGNOSIS

### PREREQUISITES

- Support structure for IQAS diagnosis

### Responsability

- Designated unit of team
- Governing board of institution/University
- Representatives/sectors

### Resources

- Tools to diagnose the institution's IQAS

Identify the main elements to be taken into account in the diagnosis

1. Laws, regulations, rules and standards that regulate higher education.

2. Organisational structure that supports the design and development of university education.

3. Procedures and mechanisms associated with the enhancement of university education.



Establish the procedure to gather data on aspects included in the Guide associated with the prospective internal quality assurance system, and sources of information to be consulted.

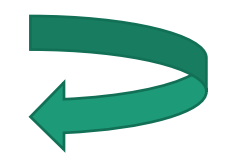
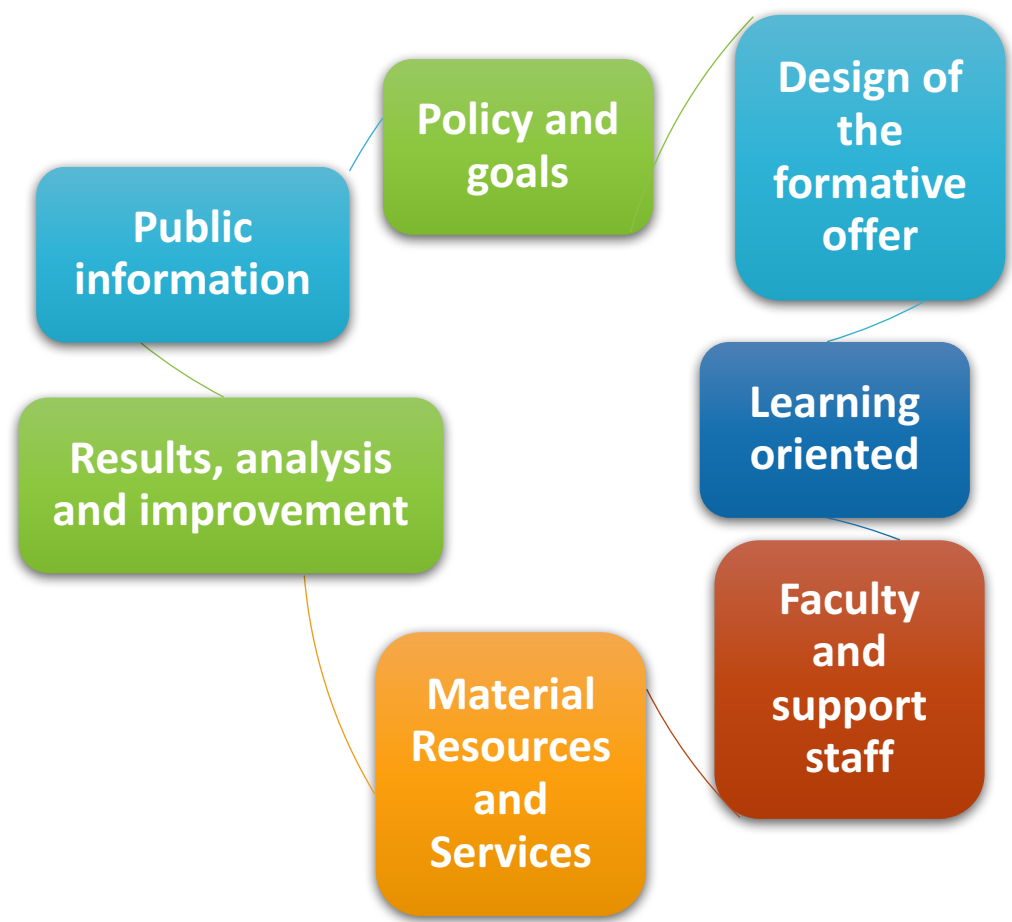


Establish those responsible for the diagnosis, including those in the different units, teams, departments and courses.



Identify and prioritise detected requirements, bearing in mind the HEI's characteristics and their scope and importance.

### GENERAL GUIDELINES



# STAGE IN THE DESIGN OF INTERNAL QUALITY ASSURANCE SYSTEMS

## STAGE 4. DEFINITION AND DOCUMENTATION

### PREREQUISITES

- Diagnosis of institution's IQAS

### Anticipate results

- Quality policy and aims
- IQAS design

### Responsability

- Designated unit of team
- IQAS design

### Resources

- Guides by ANECA and regional QA agencies
- ENQA standards and guidelines
- Normas ISO
- ISO standards
- EFQM models



## ***A suitable and structured* IQAS must include**

- All requisites contained in the document: “Guidelines, definition and documentation of IQAS in a university context”
- An explanation of what, who and how regarding all these processes.



## To have a *measuring system*

- Based on indicators so that to evaluate the performance of the system once it is implemented.
- Control over the real degree of adequacy of processes, procedures, etc to the design .
- Systematic gathering of data that guarantees a enough number of registers in order to justify the fulfillment of the design.



To have a ***continuous improvement system***

- Based on feasible quality ***objectives***
- Response mechanisms in order any ***deviations*** are detected.
- ***Who*** is making the improvement decisions?
- How is the decision ***tracking*** performed?.

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- South-west of Spain, bordering **Portugal**
- One of the largest regions in **Europe** (41600 Km2)
- Two provinces: **Badajoz** and **Cáceres**
- Cáceres, Mérida and Guadalupe are **World Heritage Cities** (UNESCO)



# Extremadura

4 Campus:

Badajoz

Cáceres

Mérida

Plasencia



# The University of **Extremadura**

## a glance

- Created in **1973**
  - **20** Faculties and Schools
  - **22135** Students
  - **536** International Students
  - **60** Degrees
    - **8** Double Degrees
  - **40** Official Masters
  - **1821** Teachers

# Our goals / Our QMS goals

**Axis 1.** To make known and share the **Quality Policy** to ensure that it is understood and accepted by the whole university community and make it available to all its members and the public in general.

**Axis 2.** To contribute to the development of a **culture** of excellence, quality, innovation and creativity.

**Axis 3.** To promote and provide excellent, **high quality education** in accordance with the needs and expectations of society.

**Axis 4.** To strengthen the **Quality Assurance System** based on continuous improvement, both in the institution as a whole and in the Centres, Departments and other entities forming it.

**Axis 5.** To establish a systematic and simplified **process management model** to ensure and guarantee the correct application to each context.

**Axis 6.** To achieve a permanent commitment to **continuous improvement** as a guiding principle, as well as to propose and carry out the preventive and corrective actions that might be necessary.

acquisition of the appropriate **continuous training** of educational and research personnel, as well the administrative and service staff, so that they can carry out their activity focused on satisfying the

**Axis 8.** To pursue and achieve a good **positioning** of the University of Extremadura in national and international rankings.”

# UNIVERSITY OF EXTREMADURA INTERNAL QUALITY ASSURANCE SYSTEM

“Mixed” system:

- Processes and procedures that **depend directly on the UEx central services** and which are common and general to all the Centres belonging to the Uex
- Processes and procedures **depend exclusively on Centres**. Centres in the UEx are independent in the management of their own processes and procedures, and are able to propose those that they deem necessary in addition to those that are compulsory.

# THE FUNCTIONS OF THE IQAS AT THE UEX

To define **the structures** for the development of the quality function at the university.

To define the **set of processes and procedures** that will be systematically responsible for attaining continuous improvement at the university.

To **assign responsibilities** in the carrying out of each process and procedure in time and form.

To **propose the collection of indicators, reports, information**, etc. to be reviewed by the university management bodies.

To propose the **systematisation of the drafting and carrying out** of proposals for improvements resulting from the analysis of the information obtained.

To achieve the **necessary monitoring of the performance** of the processes, procedures and their proposals of improvement.

# PROCESS MAP

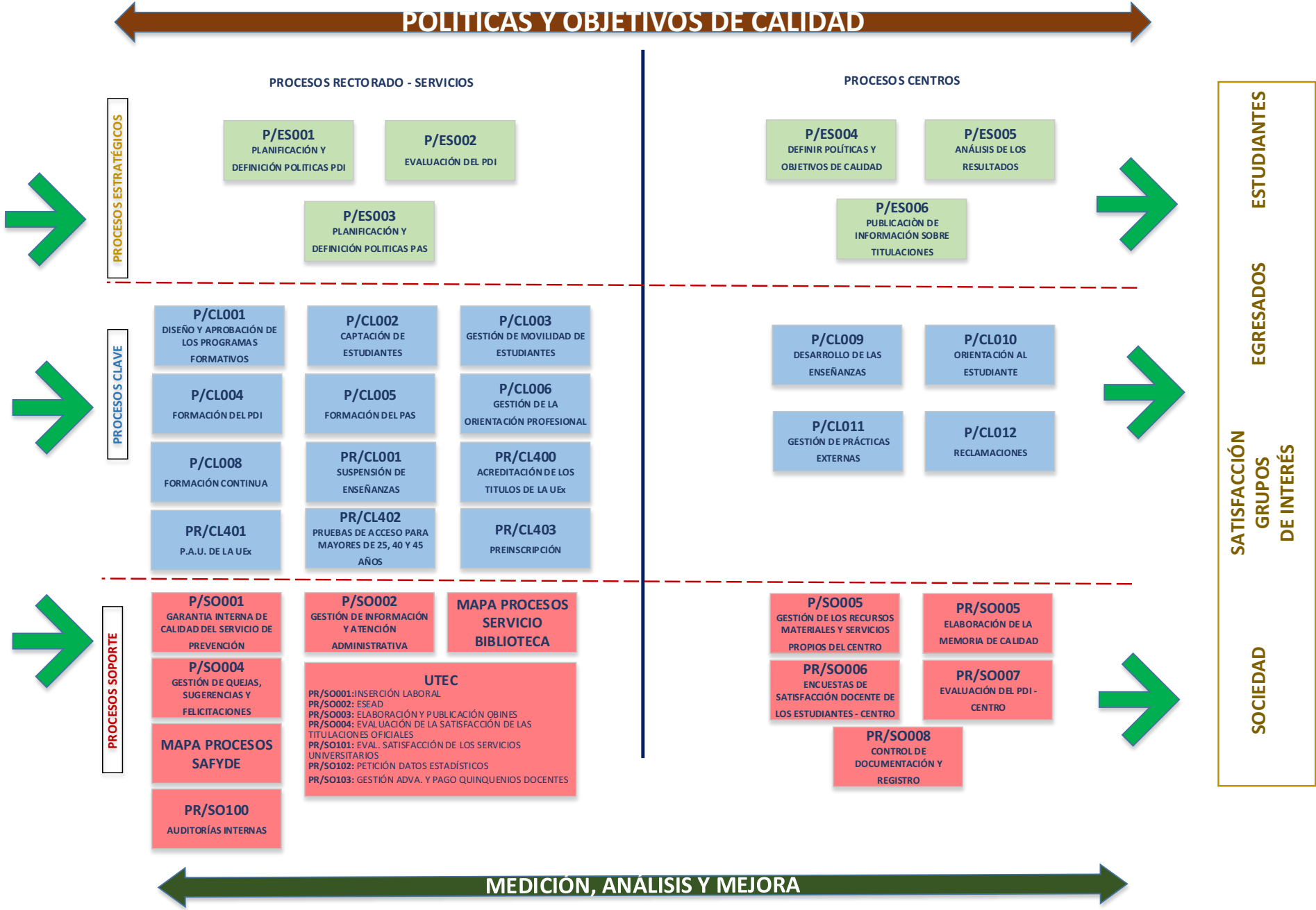
These processes have been divided into three levels:

- **Strategic Processes/Procedures:** those that maintain and develop the policies and strategies. They set out the guidelines and limits of action in the other processes.
- **Key Processes/Procedures:** those that are directly linked to the services that are provided and are directed towards our interest groups.
- **Supporting Processes/Procedures:** those that support the other processes. Without them the key and strategic processes would not be possible. These processes are often vital for the attainment of the objectives that are proposed.

Two groups:

- Rectorship-Services processes/procedures, which are common to the whole University of Extremadura.
- Processes/procedures belonging to the Centres.

# PROGRAMA FORMATIVO



# RECTORSHIP-CENTRAL SERVICES PROCESSES / PROCEDURES

STRATEGIC		
DESCRIPTION	CODE	ANECA GUIDELINE
Process of planning and definition of policies of teaching and research staff	P/ES001	1.3
Process of evaluation of the teaching and research staff	P/ES002	1.3
Process of planning and definition of policies of the administrative and services staff	P/ES003	1.4b

# RECTORSHIP-CENTRAL SERVICES PROCESSES / PROCEDURES

KEY		
Process for the design and approval of training programmes	P/CL001	1.1
Process for attracting students	P/CL002	1.2
Process of student mobility	P/CL003	1.2
Process of teaching and research staff training	P/CL004	1.3
Process of administrative and service staff training	P/CL005	1.4b
Process of the management of professional guidance	P/CL006	1.2
Procedure for the suspension of teaching	PR/CL001	1.1
Procedure for the accreditation of official qualifications	PR/CL400	1.1
UEx entrance examinations	PR/CL401	1.2
Entrance examinations for students older than 25, 40 and 45 years of age	PR/CL402	1.2
Pre-enrolment	PR/CL403	1.2
Process of continuous training	P/CL008	1.2

# RECTORSHIP-CENTRAL SERVICES PROCESSES / PROCEDURES

SUPPORTING		
Process of the internal quality assurance of the prevention service	P/SO001	1.3, 1.4a and 1.4b
Process of the management of administrative information and attention	P/SO002	1.4a
SAFYDE Process Map		
Process of the management of complaints, suggestions and congratulations	P/SO004	1.4a
Procedure of employment provision	PR/SO001	1.5 and 1.6
Procedure for teaching satisfaction surveys for students	PR/SO002	1.5 and 1.6
Procedure for drafting and publishing in the observatory of indicators	PR/SO003	1.5 and 1.6
Procedure for the assessment of the satisfaction of official qualifications	PR/SO004	1.5 and 1.6
Library service process map		1.4
Procedure of internal audits	PR/SO100	-
Procedure for the assessment of satisfaction with university services	PR/SO101	1.4a
Procedure for statistical data requests	PR/SO102	1.5
Procedure for adva management and payment of teaching quinquennials	PR/SO103	1.3

# CENTRE PROCESSES / PROCEDURES

STRATEGIC		
DESCRIPTION	CODE	ANECA GUIDELINE
Process to define the quality policy and goals of the Centre	P/ES004	1.0
Process of the analysis of results	P/ES005	1.5
Process of the publication of information about qualifications	P/ES006	1.6

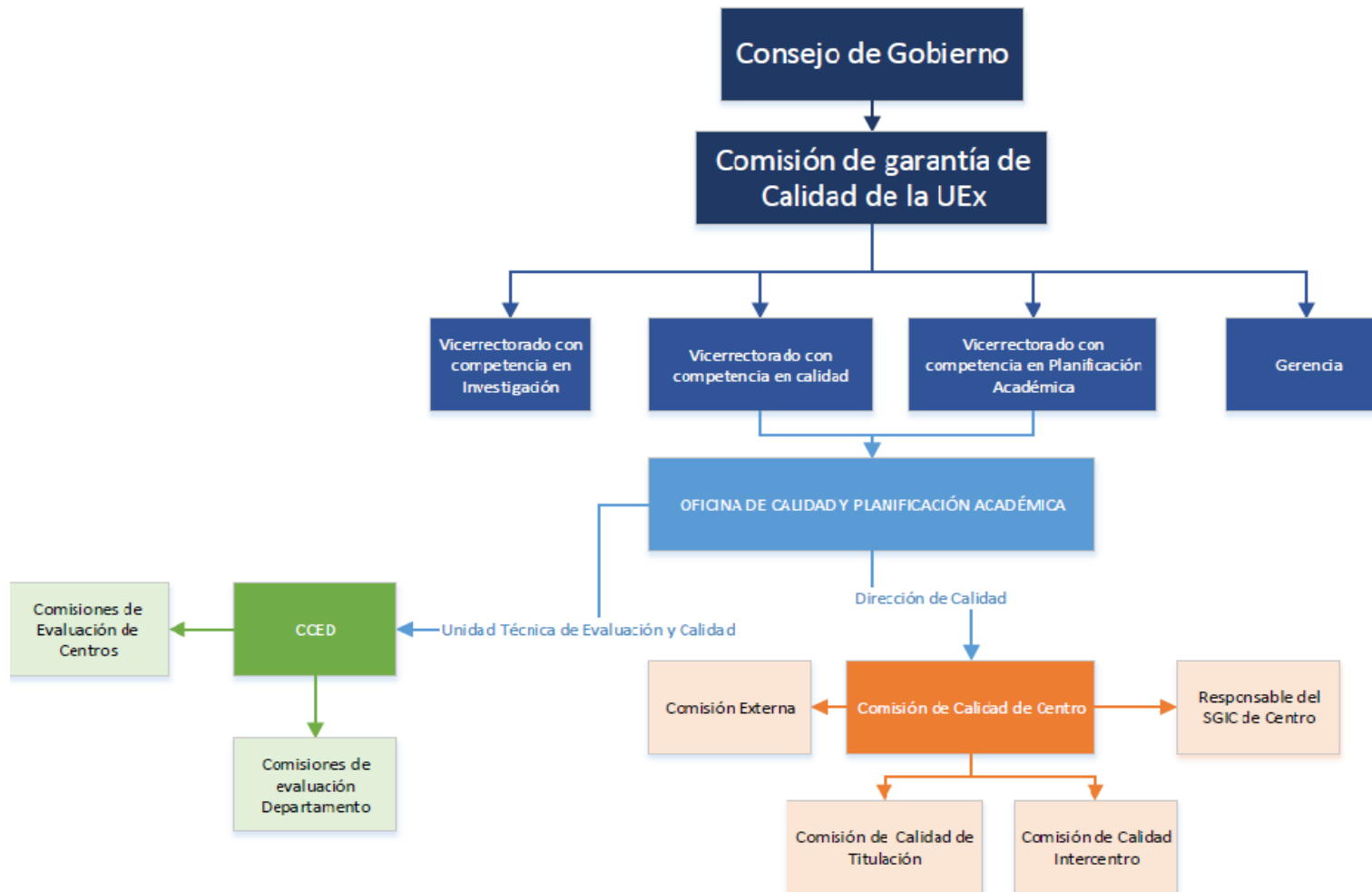
# CENTRE PROCESSES / PROCEDURES

KEY		
Process for the development of teaching	P/CL009	1.1
Process of student guidance	P/CL010	1.2
Process of the management of outside internships	P/CL011	1.1 and 1.2
Process for complaints	P/CL012	1.2

# CENTRE PROCESSES / PROCEDURES

SUPPORTING		
Process for the management of the Centre's own material resources and services	P/SO005	1.4
Procedure for drafting quality reports for the Centre and the qualifications	PR/SO005	1.5
Procedure for teaching satisfaction surveys for the Centre's students	PR/SO006	1.5
Procedure for the assessment of the teaching activity of the Centre's teaching staff	PR/SO007	1.3 and 1.5
Process for the control of Documentation and Registration	PR/SO008	1.0 and 1.6

# Quality Management Structure



# GOOD PRACTICE: Internal Auditing Procedure (PR/SO100)

- Visit auditor group
  - Report
    - Strong points
    - Improvement areas
    - Deficiencies
- Center/Faculty
  - Improvement plan
- Final resolution

# GOOD PRACTICE: INSTITUTIONAL REPOSITORY (*SIGEAA*)

## DOCUMENTATION CONTROL AND REGISTRATION

Establish the systematic for the management of documents and registrations

LEVEL I	QUALITY HANDBOOK	QUALITY POLICY, STRUCTURE, MANAGEMENT OF RESPONSIBILITIES, ETC.
LEVEL II	PROCEDURES	DEVELOPS LEVEL I BY ASSIGNING WHO DOES WHAT AND WHEN, HOW IT IS DONE AND HOW THE ACTIVITIES IN THE PROCESSES ARE DOCUMENTED
LEVEL III	INSTRUCTIONS AND WORK PATTERNS	HOW THE ACTIONS ARE CARRIED OUT
LEVEL IV	REGISTRATION AND FORMATS	CONTAINS THE EVIDENCE AND THE CONTROL MECHANISMS THAT SHOW THE RESULTS AND THE FULFILMENT OF REQUIREMENTS

# GOOD PRACTICE: INSTITUTIONAL REPOSITORY (*SIGEAA*)

**Responsible for processes and/or procedures** can carry out documentary management, as indicated in PR/SO008, in a simple way and additionally they can be monitored and evaluated by the corresponding entities.

**Master document list:** the document that enumerates all the documents making up the IQAS and their current review number, in order to use always their latest version.

SGIC									
	A	B	C	D	E	F	G	H	I
1	<b>LISTA MAESTRA DE DOCUMENTOS DEL SGIC DE LA ESCUELA DE INGENIERÍAS INDUSTRIALES (UNIVERSIDAD DE EXTREMADURA)</b>								
2	<b>Carácter</b>	<b>Código</b>	<b>Documento</b>	<b>Directrices AUDIT</b>	<b>Clasificación</b>	<b>Creación</b>	<b>Revisión</b>	<b>Versión vigente</b>	<b>Documentación</b>
3	SGIC	MC/EII	Manual de calidad de la E.II.II.	1.0 a 1.6	Centro	13/11/2009	23/07/2014	4.0	<a href="#">Acceder</a>
4	Estratégico	P/ES001_UEx	Proceso de planificación y definición de políticas del P.D.I.	1.3	UEx	05/05/2008	15/07/2014	2.0	<a href="https://drive....c&amp;u">https://drive....c&amp;u</a>
5	Estratégico	P/ES002_UEx	Proceso para la evaluación de la actividad docente del profesorado de la UEx	1.3	UEx	05/05/2008	15/07/2014	3.0	<a href="#">Acceder</a>
6	Estratégico	P/ES003_UEx	Proceso de planificación y definición de políticas del P.A.S.	1.3	UEx	05/05/2008	15/07/2014	2.0	<a href="#">Acceder</a>
7	Estratégico	P/ES004_EII	Proceso para definir la política y los objetivos de calidad de la E.II.II.	1.0	Centro	31/03/2009	23/07/2014	2.0	<a href="#">Acceder</a>
8	Estratégico	P/ES005_EII	Proceso de análisis de los resultados en la E.II.II.	1.5	Centro	13/11/2009	23/07/2014	2.0	<a href="#">Acceder</a>
9	Estratégico	P/ES006_EII	Proceso de publicación de la información sobre titulaciones	1.6	Centro	13/11/2009	30/10/2014	2.1	<a href="#">Acceder</a>
10	Clave	P/CL001_UEx	Diseño y aprobación de los programas formativos	1.1	UEx	13/11/2009	15/07/2014	2.0	<a href="#">Acceder</a>
11	Clave	P/CL002_UEx	Proceso de captación de estudiantes	1.2	UEx	13/11/2009	15/07/2014	2.0	<a href="#">Acceder</a>
12	Clave	P/CL003_UEx	Proceso de gestión de movilidad de estudiantes	1.2	UEx	13/11/2009	15/07/2014	2.0	<a href="#">Acceder</a>
13	Clave	P/CL004_UEx	Proceso de formación del PDI	1.3	UEx	05/05/2008	15/07/2014	2.0	<a href="#">Acceder</a>
14	Clave	P/CL005_UEx	Proceso de formación del PAS	1.3	UEx	05/05/2008	15/07/2014	2.0	<a href="#">Acceder</a>
15	Clave	P/CL006_UEx	Proceso de gestión de la orientación profesional	1.2	UEx	05/05/2008	15/07/2014	2.0	<a href="#">Acceder</a>
16	Clave	P/CL007_UEx	Proceso de definición de perfiles y admisión de estudiantes	1.2	UEx	05/05/2008	15/07/2014	2.0	<a href="#">Acceder</a>
17	Clave	P/CL008_UEx	Proceso de formación continua	1.2	UEx	05/05/2008	15/07/2014	2.0	<a href="#">Acceder</a>
18	Clave	P/CL009_EII	Proceso de desarrollo de la enseñanza en la E.II.II.	1.2	Centro	23/10/2009	03/11/2014	2.1	<a href="#">Acceder</a>
19	Clave	P/CL010_EII	Proceso de orientación al estudiante de la E.II.II.	1.2	Centro	13/11/2009	03/11/2014	2.1	<a href="#">Acceder</a>
20	Clave	P/CL011_EII	Proceso de gestión de las prácticas externas en la E.II.II.	1.2	Centro	23/10/2009	05/11/2014	2.1	<a href="#">Acceder</a>
21	Clave	P/CL012_EII	Proceso de reclamaciones en la E.II.II.	1.2	Centro	05/05/2008	23/07/2014	2.0	<a href="#">Acceder</a>
22	Clave	PR/CL001_UEx	Procedimiento de suspensión de enseñanzas	1.1	UEx	05/05/2008	15/07/2014	2.0	<a href="#">Acceder</a>
23	Clave	PR/CL002_EII	Procedimiento de elaboración, entrega y validación de planes docentes en la E.II.II.	1.2	Centro	26/06/2013	06/11/2014	1.1	<a href="#">Acceder</a>
24	Clave	PR/CL003_EII	Procedimiento de coordinación docente en la E.II.II.	1.2	Centro	24/07/2013	23/07/2014	2.0	<a href="#">Acceder</a>
25	Clave	PR/CL004_EII	Procedimiento de evaluación del desarrollo de la enseñanza en la E.II.II.	1.2	Centro	02/12/2013	06/11/2014	1.1	<a href="#">Acceder</a>
26	Clave	PR/CL005_EII	Procedimiento de reconocimiento y transferencia de créditos en la E.II.II.	1.2	Centro	24/07/2013	07/11/2014	1.1	<a href="#">Acceder</a>
27	Clave	PR/CL006_EII	Procedimiento de gestión del trabajo fin de grado y fin de máster en la E.II.II.	1.2	Centro	23/10/2009	23/07/2014	2.0	<a href="#">Acceder</a>
28	Clave	PR/CL007_UEx	Pruebas de acceso para mayores de 25, de 40 y de 45 años	1.2	UEx	--/02/2010	--/08/2014	2.0	<a href="#">Acceder</a>
29	Soporte	MAPA_SB	Proceso de gestión de los Servicios Bibliotecarios	1.4	Mapa propio	05/05/2008	12/09/2013	Mapa propio	<a href="#">Acceder</a>
30	Clave	PR/CL008_UEx	Proceso de garantía interna de calidad del Servicio de	1.2	UEx	05/05/2008	15/07/2014	2.0	<a href="#">Acceder</a>



# GOOD PRACTICE: INSTITUTIONAL REPOSITORY (SIGEAA)

The first screenshot shows a Google Drive interface with a folder list for '01. AUDIT'. The second screenshot shows the contents of the '01. AUDIT' folder, listing documents like '01. Manual de calidad' and '02. Documentos Estratégicos'. The third screenshot shows the contents of the '19. FACULTAD DE VETERINARIA' folder, listing documents like '01. Manual de calidad' and '02. Documentos Estratégicos'.

The first screenshot shows a folder view for '02. Documentos Estratégicos' with documents 'P/ES004', 'P/ES005', and 'P/ES006'. The second screenshot shows the details for document 'P/ES004', listing '01. Evidencias'.

The screenshots show a hierarchical folder structure: '01. Manual de calidad', '02. Documentos Estratégicos', '03. Documentos Clave', and '04. Documentos Soporte'. Red boxes highlight these folder names, and red arrows point from them to the corresponding folder views below, which show document lists for each folder.

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# 4. Conclusions

- Importance of documentation and normative / regulations.
- Clear structure and responsables.
- Stakeholders commitment (with training, information and day by day close work).
- Internal communication tools (web, email, social networks, etc.).
- Continuous improvement orientation.
- Being critical for the improvement (internal AUDIT, etc.).
- Excellent team.

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# 5. Discussion General Guidelines

- a) Objectives and action principles**
- b) Stakeholders**
- c) Scope**
- d) Stage**
- e) Procedures**
- f) Organization, structure and resources**

- 1. How the Centre guarantees the quality of its educational programs.**
- 2. How the Centre orientates its teaching towards the students**
- 3. How the Centre ensures and improves the quality of its academic staff.**
- 4. How the Centre manages and improves its material resources and services.**
- 5. How the Centre analyses the results and takes them into account.**
- 6. How the Centre publishes information about the qualifications.**