

# Governance and quality assurance

Improving higher education quality through knowledge generation, training and policy dialogue



## What is quality assurance?

Quality assurance is the ongoing, continuous process of evaluating, monitoring and improving the quality of a higher education system, institution, or programme.

Many higher education systems make a distinction between *internal quality assurance* – whereby practices to improve quality take place within the university – and *external quality assurance*, which takes place outside of the university structure.



## HIGHER EDUCATION AND SOCIAL TRANSFORMATION

How does the management of higher education impact its ability to promote development and well-being in society?

Across the world, higher education institutions have become potent agents for transformation. While such institutions play a critical role in a country's economic, social and cultural development, the governance and management of this sector can vastly impact its success as a catalyst for social change.

Over the past 25 years, the UNESCO International Institute for Educational Planning (IIEP-UNESCO) has worked extensively on issues related to the institutional management of higher education, governance reforms and quality assurance at the national level. IIEP's work has illustrated how a national governance framework can enable institutions to manage their own affairs internally, while also engaging with the broader community.

IIEP's approach involves...

**Generating new knowledge** to influence good practices and effective solutions in governance to boost system and institutional effectiveness.

**Training to strengthen national and institutional capacities** for improved sector and institutional governance and management.

**Contributing to policy dialogue** at both the national and international level on strategies to enhance the governance, management and quality assurance in higher education.

**Establishing partnerships** at the global and regional level to broaden the impact of all activities in the area of governance and quality assurance.



## Generating new knowledge for policy advice and capacity development

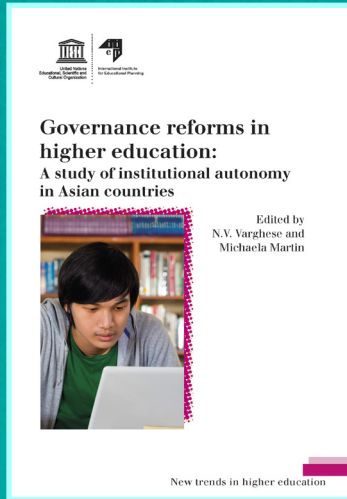
What are the most promising reforms and strategies today to manage higher education institutions? What policies can help higher education institutions realise their full potential? How can quality assurance adapt to different contexts – such as highly populated countries or small states?

Over the past 25 years, IIEP has pursued a number of in-depth research projects around these important questions. Today, this involves research on specific reforms that could improve higher education governance. As part of this research, a major research area is how effective quality assurance mechanisms can be developed at the institutional and national level so that both quality standards are ensured and the value and relevance of higher education is enhanced.

In particular IIEP has also recently led an international study on internal quality assurance to identify innovative practices and factors that contribute to the enhancement of quality, employability and management effectiveness. It involved eight public and private universities in South Africa, Germany, Austria, Bahrain, Bangladesh, Chile, China and Kenya.

## Governance reforms in higher education: A study of institutional autonomy in Asian countries

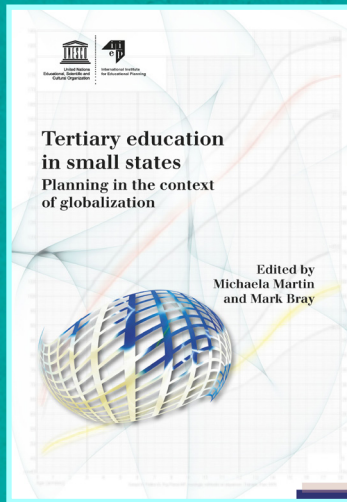
Edited by N.V. Varghese and Michaela Martin • IIEP/UNESCO Publishing, 2014, 143 p.  
ISBN: 978-92-803-1373-4



Many governments in Asia have granted greater autonomy to institutions of higher education in recent decades. It was expected that this autonomy would lead to new governance structures and enhance the operational efficiency of institutions. Has autonomy led to improved efficiency at the institutional level and overall effectiveness at the system level? This was the central question addressed by the IIEP research studies included in this volume. Based on studies in Cambodia, China, Indonesia, Japan, and Viet Nam, the book shows that autonomy has made institutions more independent, exercising freedom to prepare plans, appoint staff, mobilize resources, introduce new study programmes, establish new structures of governance, and introduce substantial changes in the academic and administrative decision-making process. However, autonomy also injected an element of financial uncertainty, due to the smaller role of the state in the management of institutions, and resulted in the reduced authority and collective bargaining power of the professoriate in the institutional decision-making process.

## Tertiary education in small states: Planning in the context of globalization

Edited by Michaela Martin & Mark Bray • IIEP/UNESCO Publishing 2011, 287 p.  
ISBN: 978-92-803-1358-1 • Price: 12 €

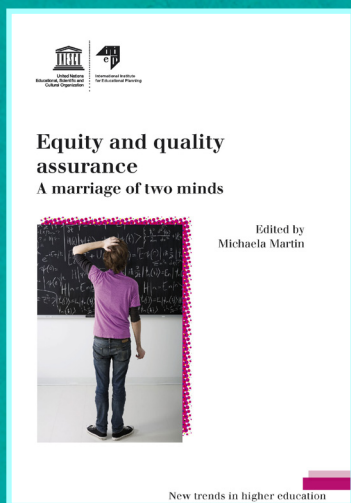


Small states have in common a number of challenges and opportunities, including in the domain of tertiary education. They face particular constraints in the organization of tertiary education because of their limited pools of highly qualified human resources and the difficulties in achieving economies of scale in administration and management. In many small states, the tertiary sector has undergone considerable change. Enrolments have grown rapidly, the institutional fabric has been diversified, and technology-based and networked models have been developed. Small states have also been part of expanded cross border provision, much of it positive but some involving degree mills and other challenges. This publication takes stock of recent reforms in the tertiary education of selected small states. It presents regional and national experiences from

different development contexts. The book concludes with a discussion of policy issues, including sustainable funding and technological solutions to overcome the constraints of small states. It notes some ways in which the challenges facing small states can be turned into opportunities.

## Equity and quality assurance: A marriage of two minds

Edited by Michaela Martin • New trends in higher education series 2010,  
220 p. ISBN: 92-803-1347-5 • Price: €12



Policy-makers in higher education need to formulate coherent and effective overall policies for higher education. They are thus looking for opportunities to create synergies and a stronger consistency in their policy-making. Equity and quality are two long standing but separate strands in higher education policy agendas in terms of policy targets and implementation mechanisms. Equity is the older, yet persistent policy issue. Quality has recently moved up on policy agendas and finds itself materialized through the creation of numerous quality assurance schemes worldwide. This publication explores whether there is scope for equity and quality to come together on higher education policy agendas and under what conditions they can do so. Authors from countries as diverse as Australia, Brazil, India, and South Africa discuss the relationships between equity policies and the quality assurance systems. Their analysis focuses on: (1) the equity problematic in their respective countries from a historical and sociological perspective; (2) the current policy framework for equity in higher education; (3) how the national quality assurance systems reflects equity (including main mechanisms for quality assessment, equity concerns expressed in the quality model and equity friendly process elements); and (4) the presumed impact that the quality assurance system has had on equity in higher education in terms of institutional policies and practices.



## Training: Strengthening capacities in governance and quality assurance

As a capacity building institute, IIEP's research is designed to feed into the development of training tools. Governance and quality assurance for higher education is no exception.

IIEP currently offers training on both external quality assurance (available in English, French, Chinese and Armenian) and indicators for the monitoring of higher education policy objectives (available in English and French) – available either at a distance, face-to-face or as a blended training offer. Since 2006, 528 national officials from around the world have been trained in external quality assurance in higher education. The distance education course on indicators for the monitoring of higher education policies was offered in 2014 for the Arab region.

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“The course was very well structured and the modules were highly relevant to my professional experience. We intend to use the course to develop an indicator report for policy monitoring in higher education”.

-Dr. Ahmed Jammal, Director General of Higher Education in Lebanon and participant in the course.

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At the request of countries, IIEP advises on national quality assurance systems and on indicator systems for the monitoring of higher education policy objectives. IIEP is also a partner in the Enhanced West-African Quality Assurance Structures in Higher Education and in the TEMPUS project 'Promoting quality and recognition of transnational education in Armenia and Georgia'.





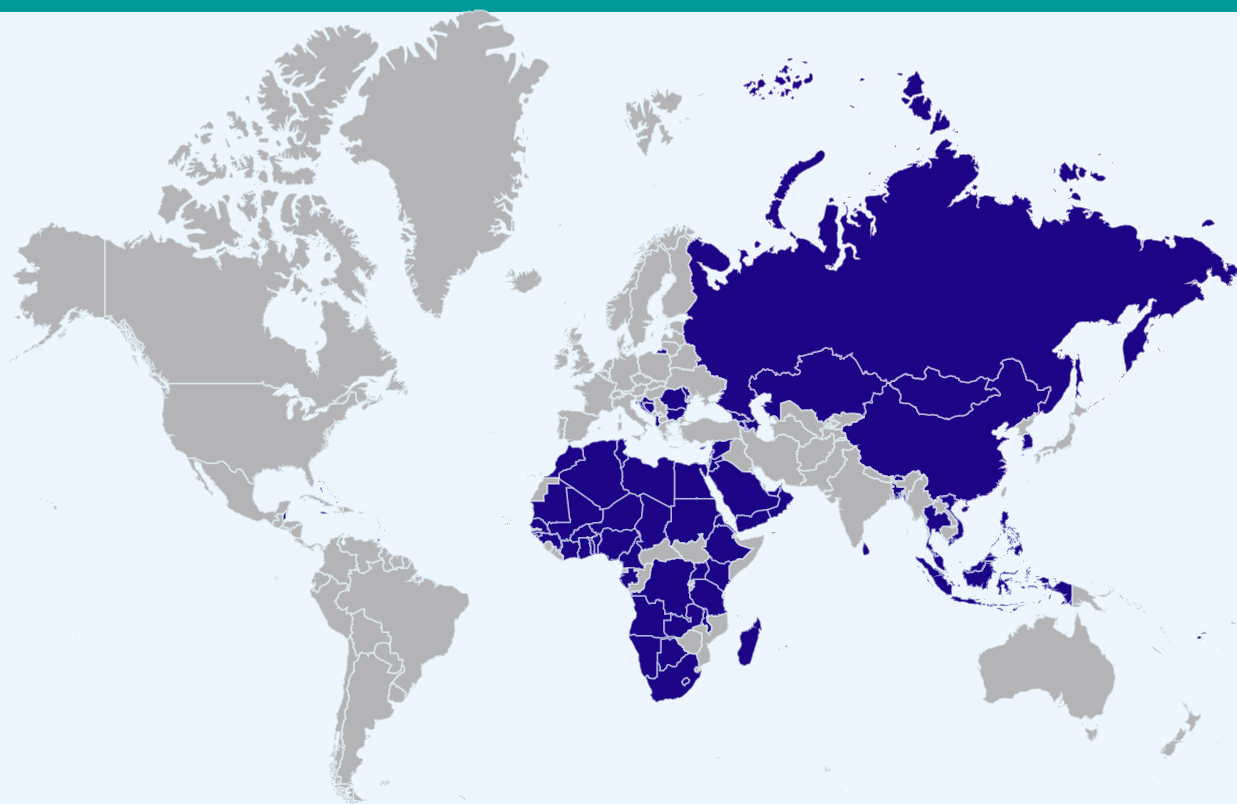
United Nations  
Educational, Scientific and  
Cultural Organization



International Institute  
for Educational Planning

# External Quality Assurance in Higher Education

**528** PEOPLE TRAINED WORLDWIDE SINCE 2006



## PEOPLE TRAINED BY REGION WORLDWIDE

AFRICA

**218**

SMALL STATES

**69**

EASTERN EUROPE &  
CENTRAL ASIA

**64**

ASIA PACIFIC

**60**

MIDDLE EAST  
& NORTH AFRICA

**117**

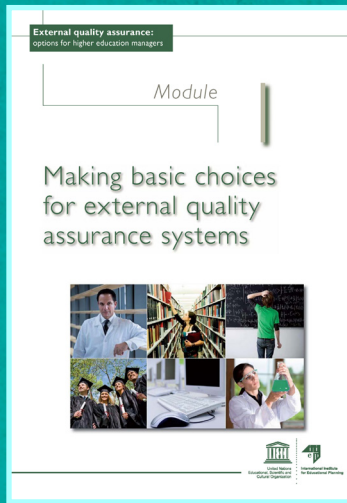


"IIEP's Governance and Quality Assurance programme has profoundly contributed to the development and implementation of quality assurance policies in Francophone Africa including through the training of human resources and by providing the methodological basis for the creation and management of national quality assurance agencies, including in Senegal. Various case studies on university governance reform also inspired some institutions to pilot major reforms and illustrated how training human resources can help steer higher education towards positive reform."

-Professor Papa Gueye, Secretary General of the Senegalese Quality Assurance agency (ANAQ SUP)

## External quality assurance: Options for higher education management

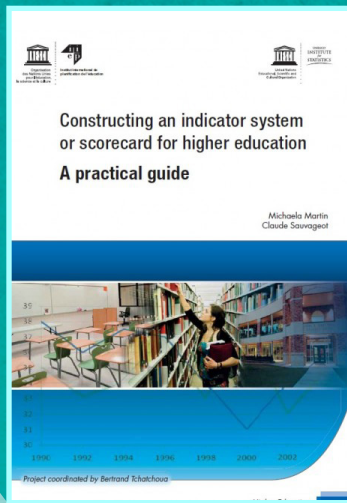
By Michaela Martin • IIEP series on Indicators • Published in English, French and Chinese • 2011, 87 p. ISBN: 978-92-803-1329-1 • Price: 7.00 €



This material was developed for decision-makers and managers in government departments such as ministries of education, buffer organizations of higher education and quality assurance agencies whose task it is to design or develop the national framework for external quality assurance. These modules are intended to provide support for their decisions related to external quality assurance, while discussing those options and their implications which have been successfully tested in a variety of countries. Accessible to all, the modules are designed to be used in various learning situations, from independent study to face-to-face training.

## Constructing an indicator system or scorecard for higher education: A practical guide

By Michaela Martin & Claude Sauvageot • Project coordinated by Bertrand Tchatchoua •  
IIEP series on Indicators • Published in French • 2011, 87 p. ISBN: 978-92-803-1329-1 •  
Price: 7.00 €



In order to respond to growing demand, higher education systems are diversifying and reforming themselves. In exchange for more autonomy, public authorities are requesting these institutions to develop their own policies and engage in strategic planning, and to demonstrate the results achieved. They are therefore obliged to strengthen their management capacity, as well as their information systems and monitoring tools. Within this context, an indicator system is becoming an indispensable management and communication tool. This publication represents a useful methodological guide to help education planners realize an indicator project. It shows how to proceed by methodological steps, by establishing a clear link between the context in which an indicator system is based and its objectives.

# Contributing to policy dialogue at the national and international level

IIEP's research on governance and quality assurance provides a strong foundation for making valuable contributions to evidence-based policy dialogue. Research in this area has influenced decision-making conversations through a variety of avenues including:

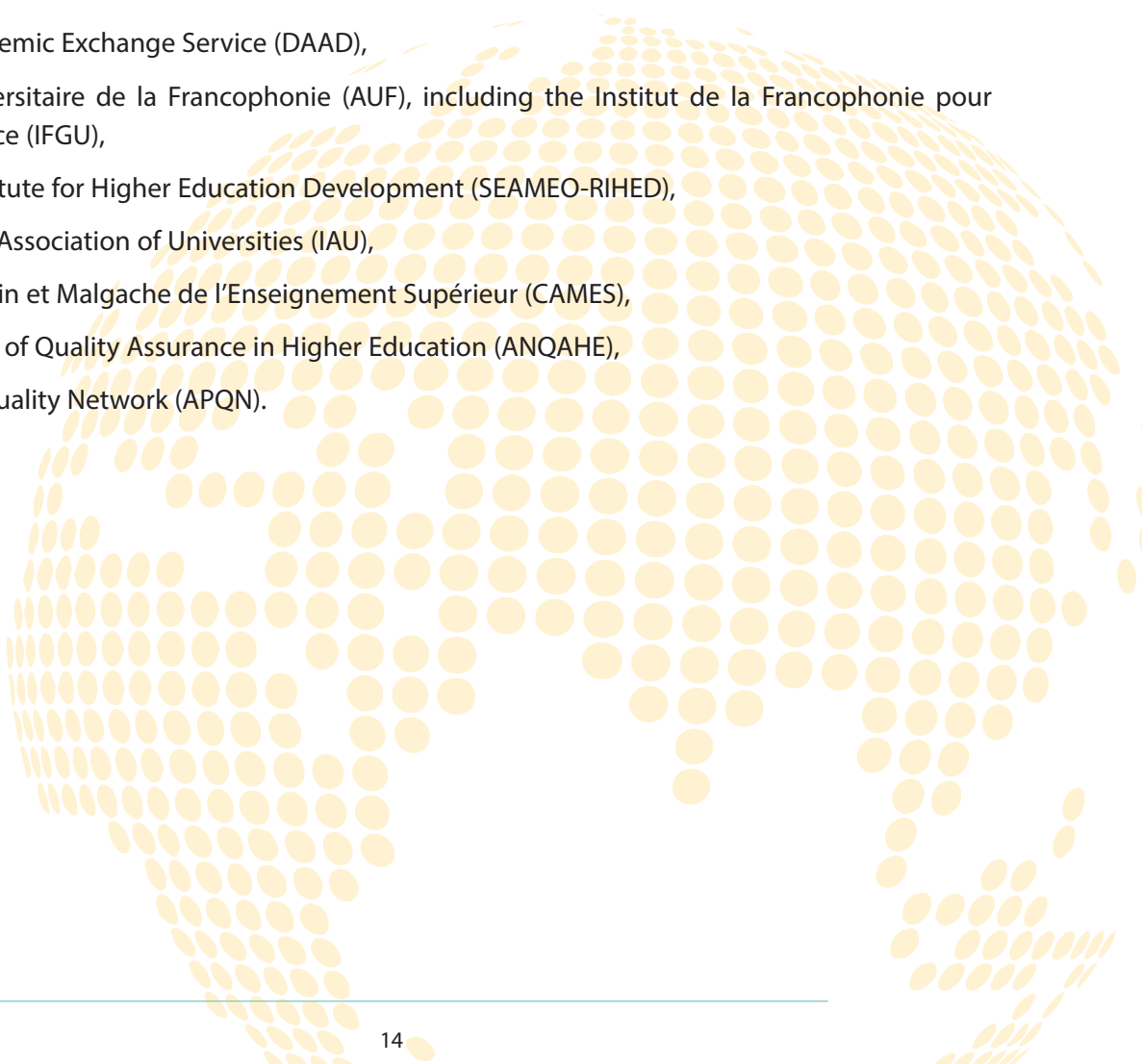
- Policy briefs covering main findings from research studies that are relevant to decision-making,
- Regional policy forums that provide an opportunity to disseminate results from national or regional studies,
- International policy forums designed to stimulate debate between researchers and policy makers on policy relevant issues,
- Online discussion forums that extend to a wider audience at either the regional or international level,
- Participation in international forums convened on governance and quality assurance organized by UNESCO headquarters, the OECD and the World Bank.





## Establishing global and regional partnerships

IIEP's work in the area of governance and quality assurance in higher education benefits from partnerships with the following organizations:

- ▶ German Academic Exchange Service (DAAD),
  - ▶ Agence Universitaire de la Francophonie (AUF), including the Institut de la Francophonie pour la gouvernance (IFGU),
  - ▶ Regional Institute for Higher Education Development (SEAMEO-RIHED),
  - ▶ International Association of Universities (IAU),
  - ▶ Conseil Africain et Malgache de l'Enseignement Supérieur (CAMES),
  - ▶ Arab network of Quality Assurance in Higher Education (ANQAHE),
  - ▶ Asia-Pacific Quality Network (APQN).
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## IIEP PUBLICATIONS

### Towards quality assurance in higher education in Francophone Africa: Recent experiences and outlook

By Michaela Martin • IIEP/UNESCO Publishing 2014, 50 p. • Published only in French • e-publication only



Quality assurance (QA) in Francophone Africa has developed only recently. In a context when some governments have recently taken the decision to create a QA agency, IIEP has organized two blended learning courses with funding from the German Academic Exchange Service (DAAD). The objective was to acquaint national teams consisting of both ministerial and university officials with available options and good practices for the construction of a national quality assurance mechanism. This report presents the conclusions on those options, which were the most favored by the participants, and which represent possible avenues for the development of QA in the region.

### Governance in higher education: Which policies, and to what effect?

Edited by Michaela Martin • IIEP/UNESCO Publishing 2014, 201 p. ISBN 978-92-803-2374-0

• Published only in French • Price: 10 €

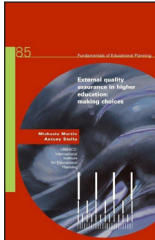


The context of higher education in Francophone African countries in the 1990s and 2000s was marked by social, political and economic crisis. Despite strong demand to expand access to higher education, the available budgets and their allocation structure made it difficult to create new public institutions and develop training and research capacities. Successive global reforms for higher education systems, including in the area of governance, emerged out of this crisis. To extract lessons from these exit strategies, IIEP has evaluated governance reforms in four African countries: Burkina Faso, Cameroon, Morocco and Senegal. Have these reforms achieved their objectives? What are the factors that supported or hindered their implementation? What lessons can be learned to design new governance reforms and what would be the most promising methods to implement them?

## External quality assurance in higher education: making choices

by Michaela Martin and Antony Stella • Fundamentals of educational planning N° 85

2007, 111 p. ISBN: 978-92-803-1304-8 • IIEP/UNESCO Publishing • Price: 15 €



External quality assurance (EQA) has become one of the most important items on the policy agendas of higher education systems across the world. Public authorities are finding themselves compelled to assess whether their traditional structures for quality assurance are still valid, and whether they should create new mechanisms. This publication discusses the different options available and intends to be of practical use for national decision-makers faced with the challenge of designing an EQA system that not only corresponds to international 'good practice', but is also in line with national policy goals.

## In search of the triple helix: Academia-industry-government interaction in China, Poland, and the Republic of Korea

Edited Michaela Martin • IIEP/UNESCO Publishing, 2011, 269 p. ISBN: 978-92-803-1323-9 • Price: 10 €



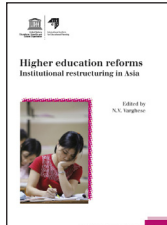
Within the context of knowledge economies, academia-industry partnerships have moved high on the policy agenda of many countries. There is now a clear perception that governments have a strong role to play in the development and support of national innovation systems, of which academia-industry partnerships are a crucial element. Governments can create a friendly environment for interaction and innovation, but the potential for fruitful interaction also largely depends on the individual capabilities of each innovation actor. This IIEP publication explores the roles and modes of government intervention in the enhancement of academia-industry partnerships in three countries - China, Poland, and the Republic of Korea. These countries form contrasting cases along the state-market continuum. They also represent an interesting variety of roles played by governments in the regulation of research and development policies and academia-industry linkages. The book identifies three major approaches used by these countries for the support of academia-industry partnerships - orchestration, planning and substitution.



## Higher education reforms: institutional restructuring in Asia

edited by N.V. Varghese • New trends in higher education series

2009, 205 p. ISBN: 978-92-803-1335-2 • Price: €12



Reforms in higher education have led to the transformation and restructuring of higher education institutions. They have adopted a more managerial and entrepreneurial approach and gained greater independence, introducing new governance and management structures. Based on research carried out in Indonesia, Malaysia, Mongolia, Thailand and Vietnam, this book examines trends in institutional restructuring in countries in the Asian region.

## Trends in diversification of post-secondary education

By N.V. Varghese & Vitus Püttmann • IIEP Research Paper 2011, 33 p. e-publication only



Higher education has traditionally been associated with university education, however, a growing demand has necessitated its diversification and the non-university sector is expanding rapidly. Post-secondary education (PSE) includes a diversified system of institutions, providers, and study programmes offered after the secondary level. Based on a review of several countries, this paper has classified PSE institutions into four categories: (1) universities, (2) colleges/non-university institutions, (3) tertiary short-cycle institutions, and (4) post-secondary non-tertiary institutions. It condones the need to diversity PSE and caters to immediate skills requirements, while emphasizing the importance of continuing to support higher education and its contribution to the long-term goals of economic development and social equity.

## ABOUT IIEP

Founded in 1963, IIEP is a specialized UNESCO institute that supports governments in planning and managing their education systems so that they can achieve both national objectives as well as the education-related Sustainable Development Goal. IIEP believes that strong educational planning lays the foundation for education reform and system transformation, which in turn helps create equal opportunities for all children and youth to receive a quality education.

IIEP develops sustainable educational capacity through training professionals in educational planning and management, evidence-based research and knowledge sharing, and technical assistance to ministries of education and other institutions.

With its headquarters in Paris, France, IIEP has satellite offices in Dakar, Sénégal and Buenos Aires, Argentina.

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