

## Track 4 – Effectiveness of Quality Assurance

# Is it Possible? Investigating the Influence of External Quality Audit on University Performance

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# Introduction

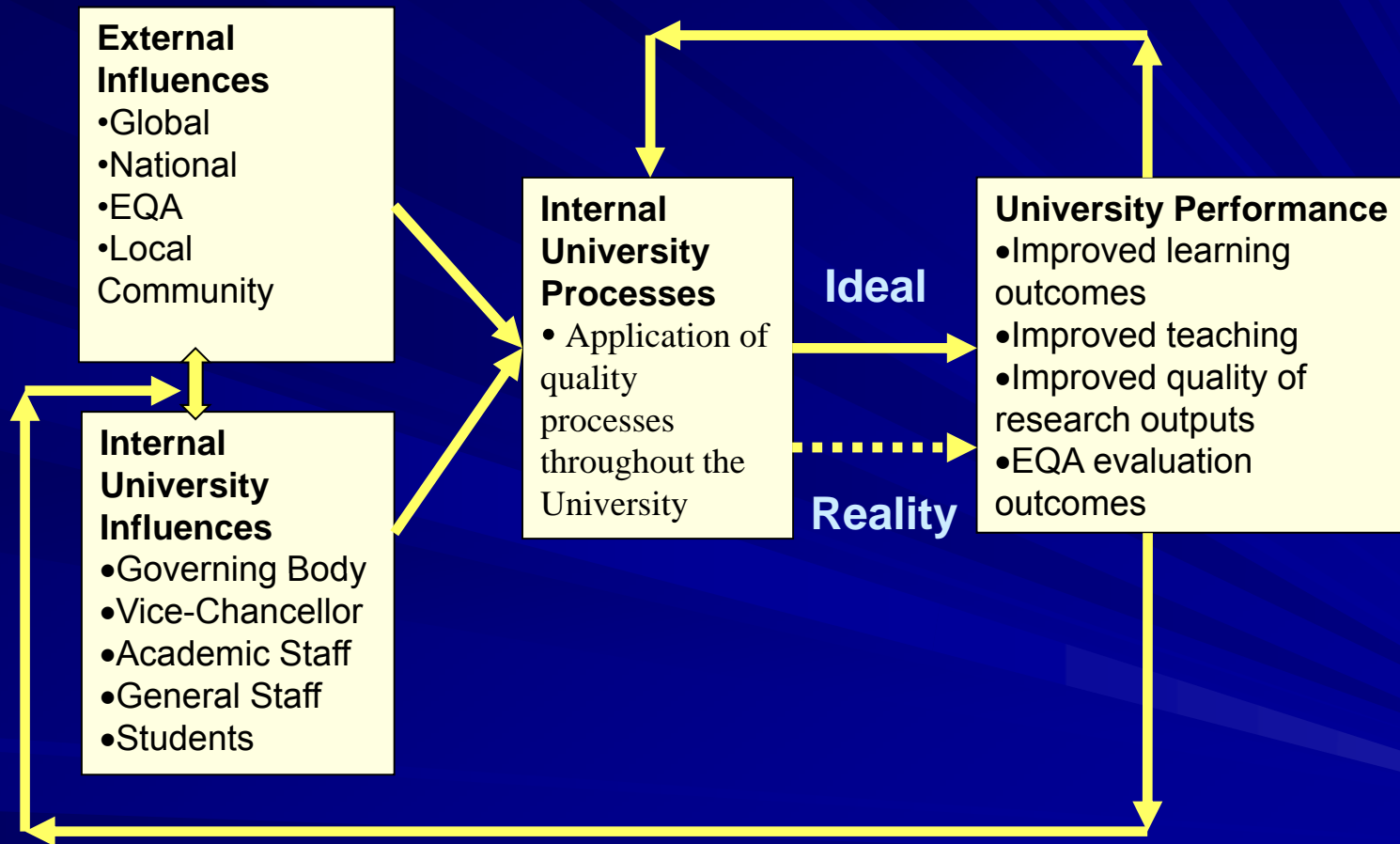
- Seek to identify the impact EQAs have had on one institution over 10 years
- Use of a variety of performance indicators to determine quality trends and the influences for those trends
- Is there value in the use of research-led evidence-based approach?

# Education Criteria for Performance Excellence

(Adapted from Baldrige National Quality Programme 2004)

- Leadership
- Strategic Planning
- Student, Stakeholder and Market Focus
- Measurement, Analysis and Knowledge Management
- Academic and General Staff Focus:
  - Education, training and development
  - Wellbeing and satisfaction
  - Communication and consultation
- Quality of Process, Product and Service:
  - Quality Systems
  - Teaching, learning and assessment
  - Research and postgraduate study
  - Community Service
  - Support processes
- Higher Education Institution Performance Success

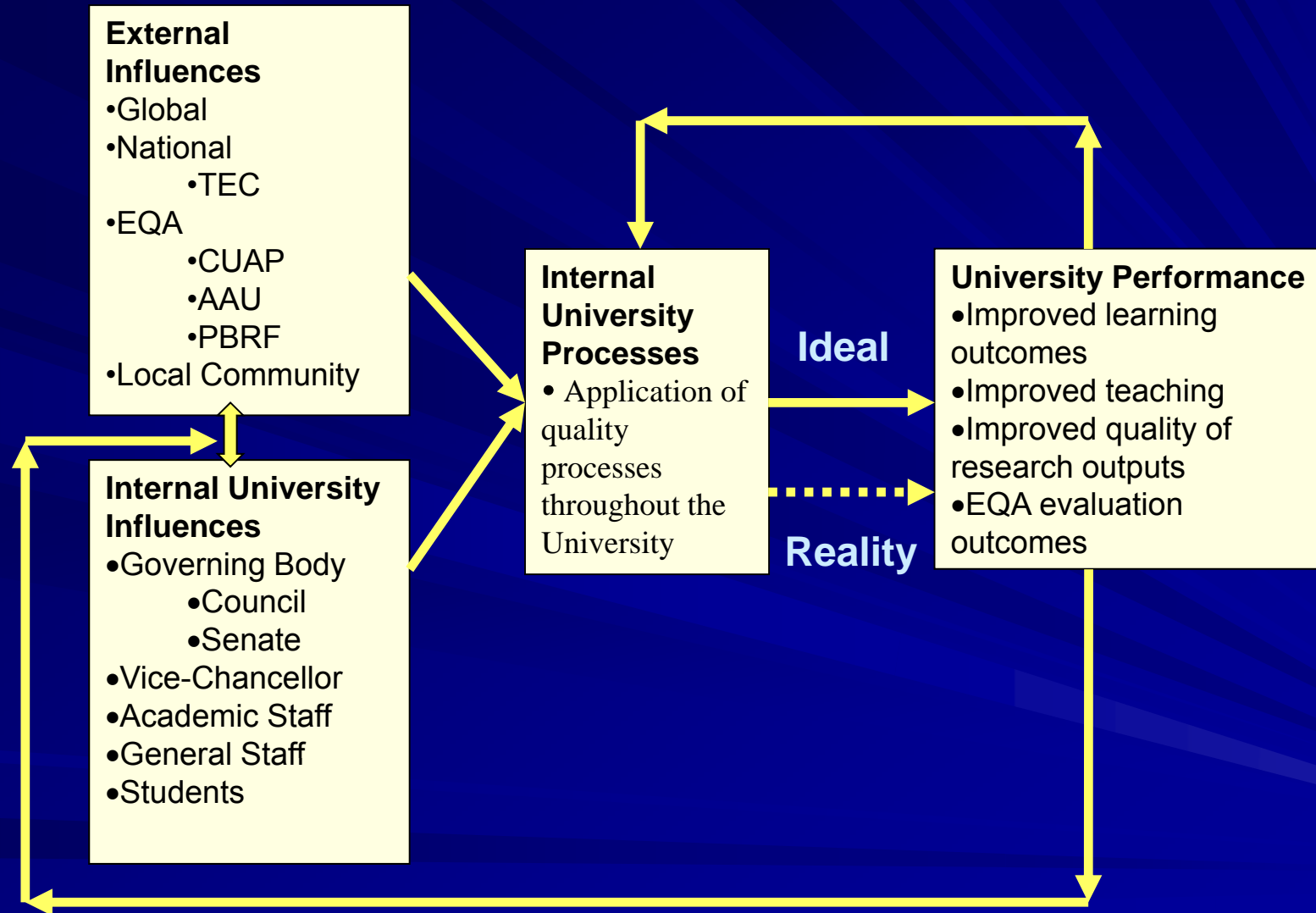
# Determining the Influences on University Performance



## A Frequency Count of Reference to Characteristics of Quality Processes in Quality Audit Recommendations

Quality Processes: Characteristics	Otago	Queensland	Massey
Leadership	27	15	22
Strategic Planning	6	1	1
Student, Stakeholder & Market Focus	14	1	3
Measurement, Analysis, & Knowledge Management	1	0	2
Academic & General Staff Focus	18	4	7
Quality of Process, Product & Service:			
• Quality Systems	7	6	4
• Teaching, learning & assessment	2	5	12
• Research & postgraduate study	3	2	1
• Community Service	0	0	0
• Support processes	5	1	1
HEI Performance Success	0	0	1
<b>TOTAL</b>	<b>83</b>	<b>35</b>	<b>54</b>

# Application of the Model to the University of Otago



# Application of the Model to the University of Otago

- Performance Indicators
- Otago in 1994 & 2004
- Changes in Internal Processes and University Performance and their relationship to External and Internal Influences

# The Development of a Personnel Infrastructure Supporting Academic Management and Quality Processes 1

Positions	1994	2004
<b>Leadership</b>		
Vice-Chancellor	✓	✓
4 Assistant Vice-Chancellors	✓	✓
Deputy Vice-Chancellor (Academic)		✓
Deputy Vice-Chancellor (Research & International)		✓
Māori Affairs Adviser		✓
<b>Strategic Planning</b>		
Head, Planning, Support and Funding		✓
<b>Student, Stakeholder and Market Focus</b>		
Director, External Relations	✓	
Director, Marketing & Communications		✓
Director, Employer Relations		✓
<b>Measurement, Analysis and Knowledge Management</b>		
Surveys Co-ordinator		✓
<b>Academic and General Staff Focus</b>		
Equal Employment Opportunities Co-ordinator	✓	
Mediator		✓
Health and Safety Manager		✓

# The Development of a Personnel Infrastructure Supporting Academic Management and Quality Processes 2

Positions	1994	2004
<b>Quality Process, Product and Service</b>		
<b>Quality Systems</b>		
Manager, Quality Advancement		✓
<b>Teaching Learning and Assessment</b>		
Director, Summer School & Continuing Education		✓
<b>Research and Postgraduate Study</b>		
Director, Research, Higher Degrees and Scholarships		✓
<b>Community Service</b>		
Director, Employer Relations		✓
<b>Support Services</b>		
Accommodation Officer	✓	
Director, Accommodation Services		✓
Director, Student Services	✓	✓
Proctor	✓	✓
Manager, Māori Centre	✓	✓
Manager, Pacific Islands Centre		✓
Manager, Disability Information and Support	✓	✓
Māori Counsellor		✓

# The Development of a Committee Infrastructure Supporting Academic Management and Quality Processes 1

COMMITTEES	1994	2004
<b>Leadership</b> Deputy Vice-Chancellor/ Assistant Vice-Chancellors Group		✓
Māori and Pacific Island Special Supplementary Grants Funding Advisory Committee		✓
<b>Strategic Planning</b> Risk Management Committee		✓
<b>Student, Stakeholder and Market Focus</b> Employer Relations Board		✓
<b>Measurement, Analysis and Knowledge Management</b> IT Policy Committee Corporate Systems Steering Group		✓
<b>Academic and General Staff Focus</b> Staffing Advisory Committee Research Development Advisory Committee	Targeted ✓	✓ ✓
Health and Safety Committee		✓

# The Development of a Committee Infrastructure Supporting Academic Management and Quality Processes 2

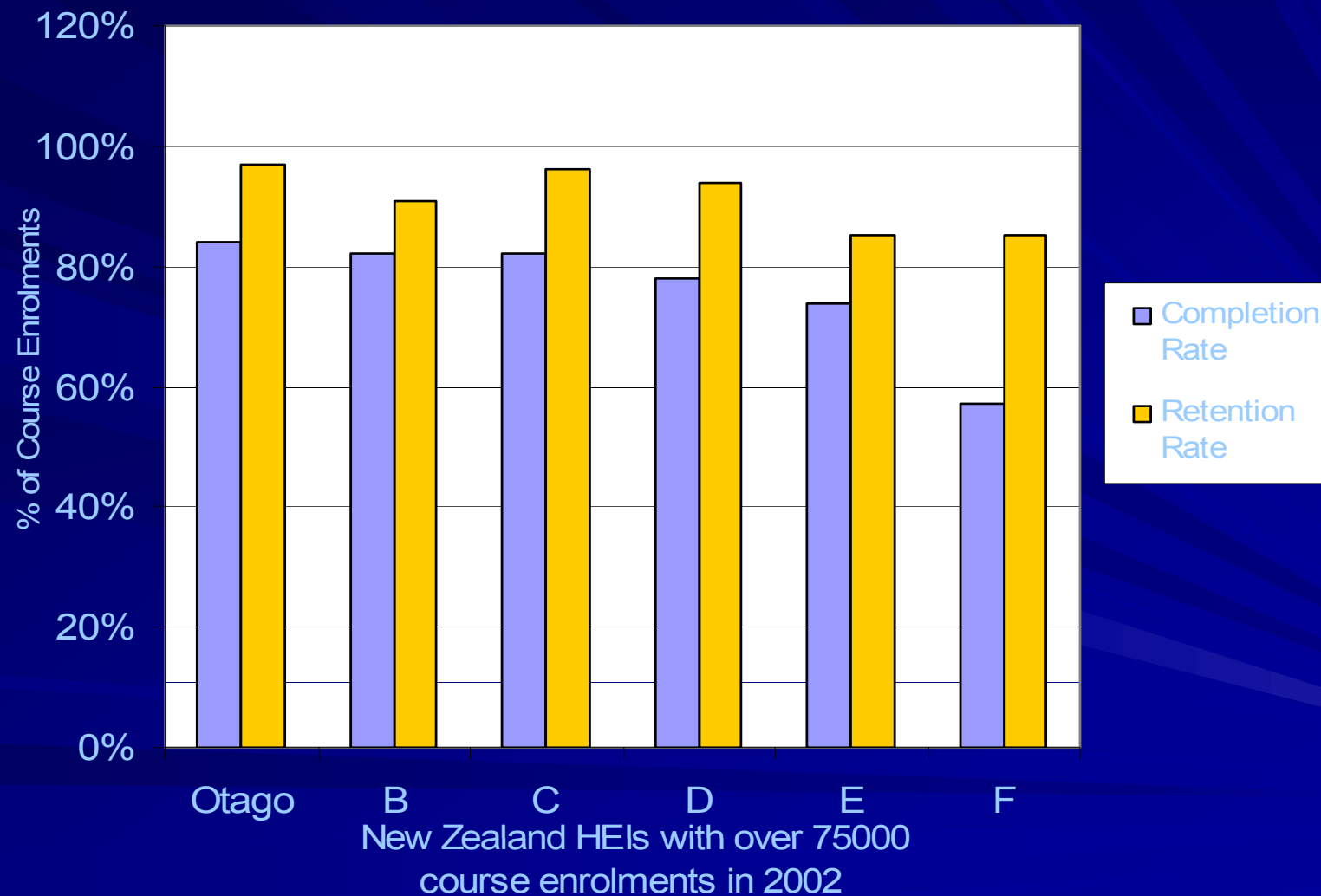
COMMITTEES	1994	2004
<b>Quality Process, Product and Service Quality Systems</b>		
Quality Advancement Committee		✓
<b>Teaching Learning and Assessment</b>		
Committee for the Advancement of Learning and Teaching		✓
Internationalisation Committee		✓
<b>Research and Postgraduate Study</b>		
Research Committee	✓	✓
Ethics Committee	✓	✓
<b>Community Service</b>		
Summer School and Continuing Education Board		✓
Divisional Boards	✓	✓
<b>Support Services</b>		
Student Affairs Committee	✓	
Student Support Services Committee		✓

# Policy Development Supporting Academic Management and Quality Processes at the University of Otago

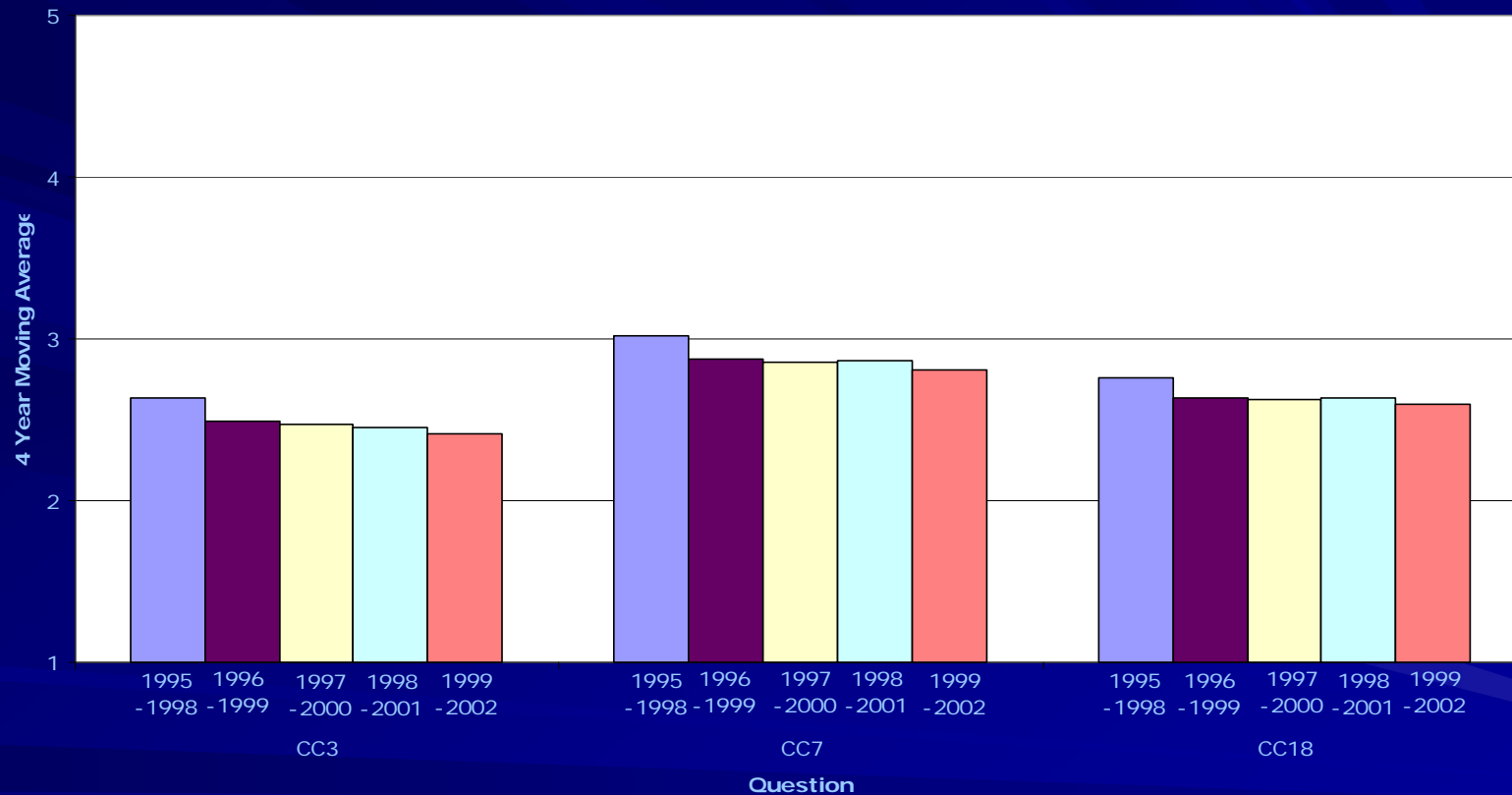
Education Criteria for Performance Excellence	Number of Policies (1994)	Number of Policies (2004)
Leadership	0	2
Strategic Planning	1	30
Student, Stakeholder and Market Focus	2	11
Measurement, Analysis and Knowledge Management	0	11
Academic and General Staff Focus:	0	12
• Education, training and development	0	38
• Wellbeing and satisfaction	0	14
• Communication and consultation		
Quality Process, Produce and Service:	6	33
• Quality Systems	2	19
• Teaching, learning and assessment	1	9
• Research and postgraduate study	2	7
• Community Service	2	3
• Support Processes		
Organisational Performance Results	0	0
<b>Total</b>	<b>16</b>	<b>189</b>

# Completion and Retention Rates

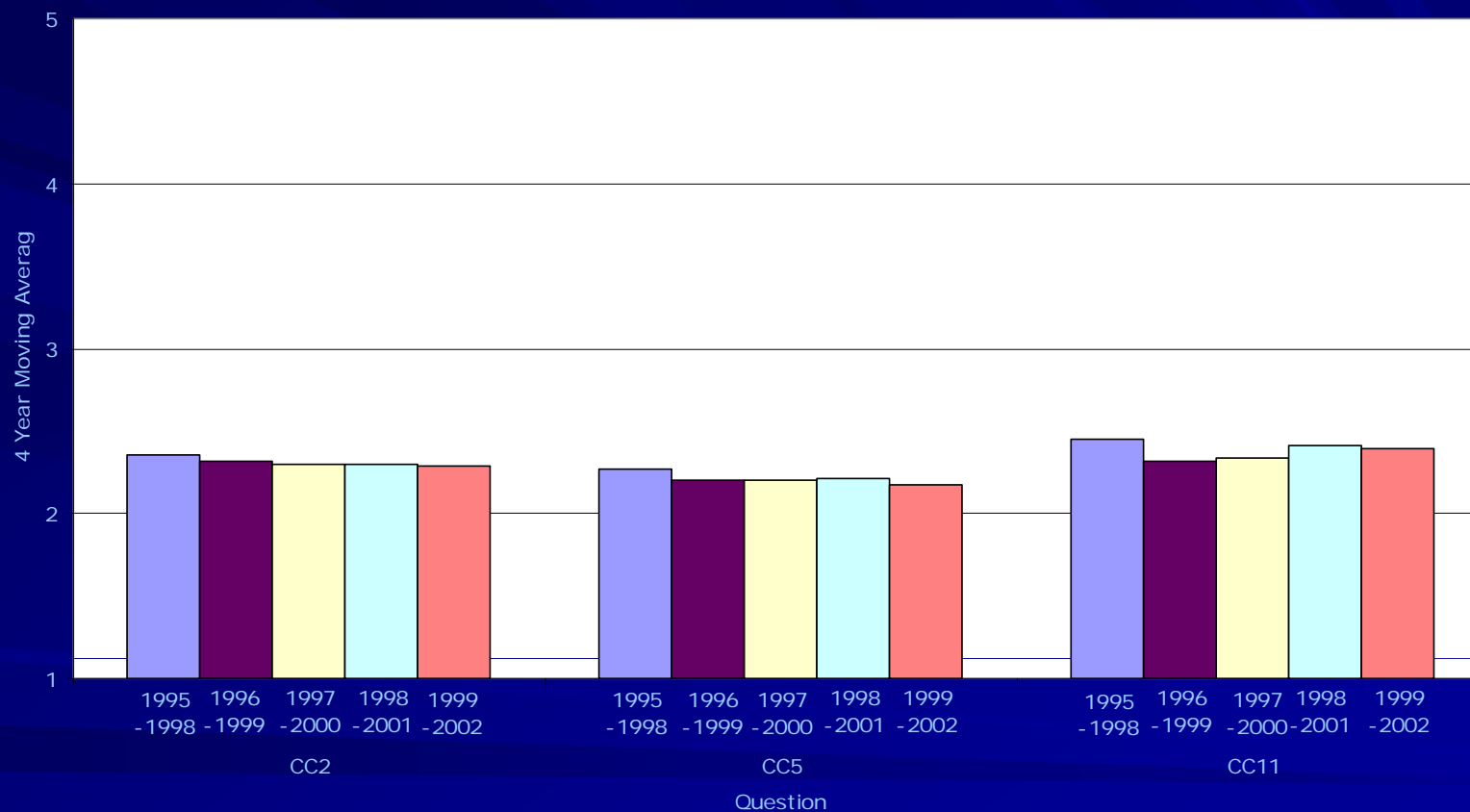
(as a percentage of course enrolments in 2002 for NZ HEIs with over 75000 course enrolments)



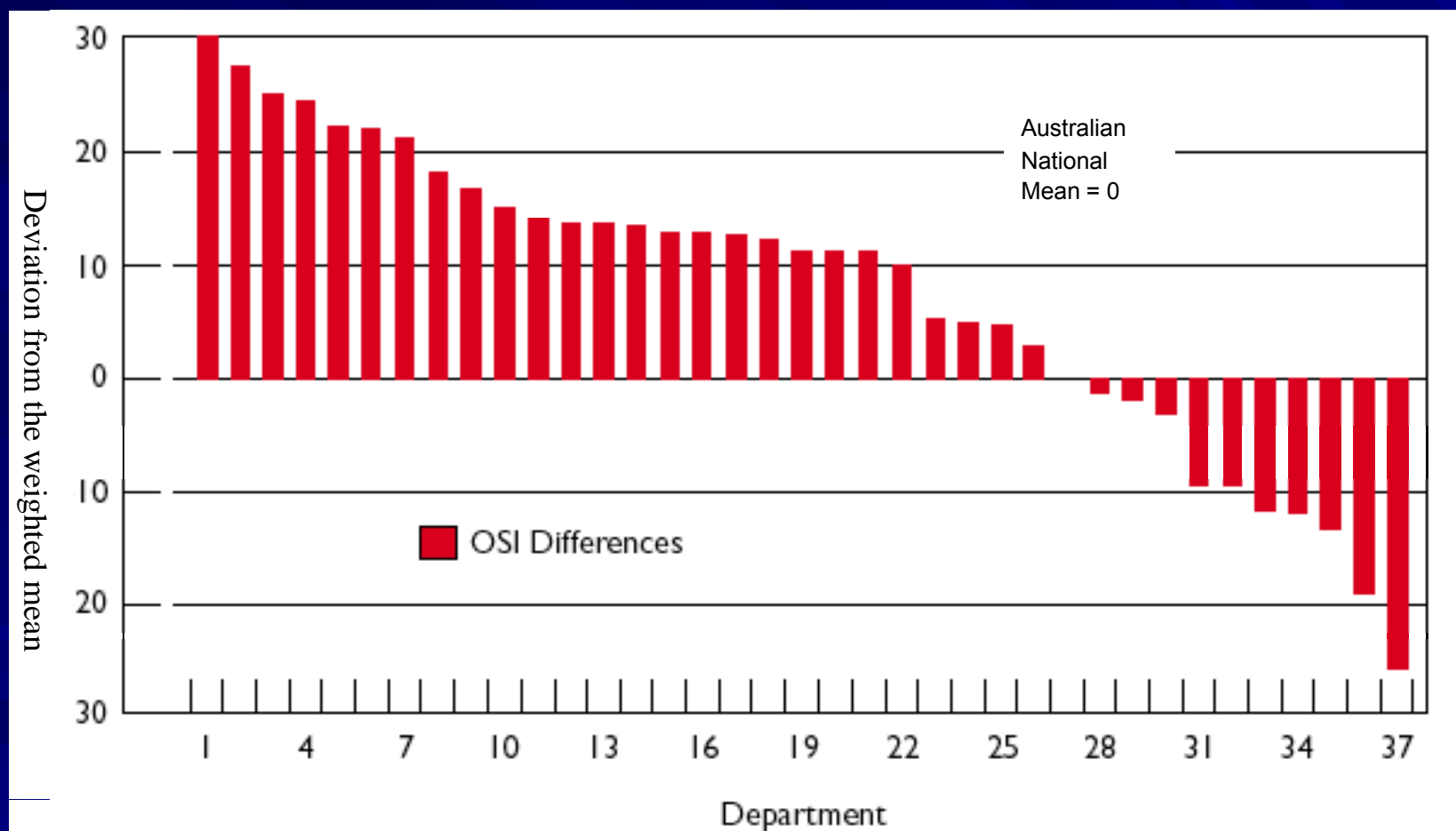
# University of Otago CEQ Good Teaching Scale 1995-2002



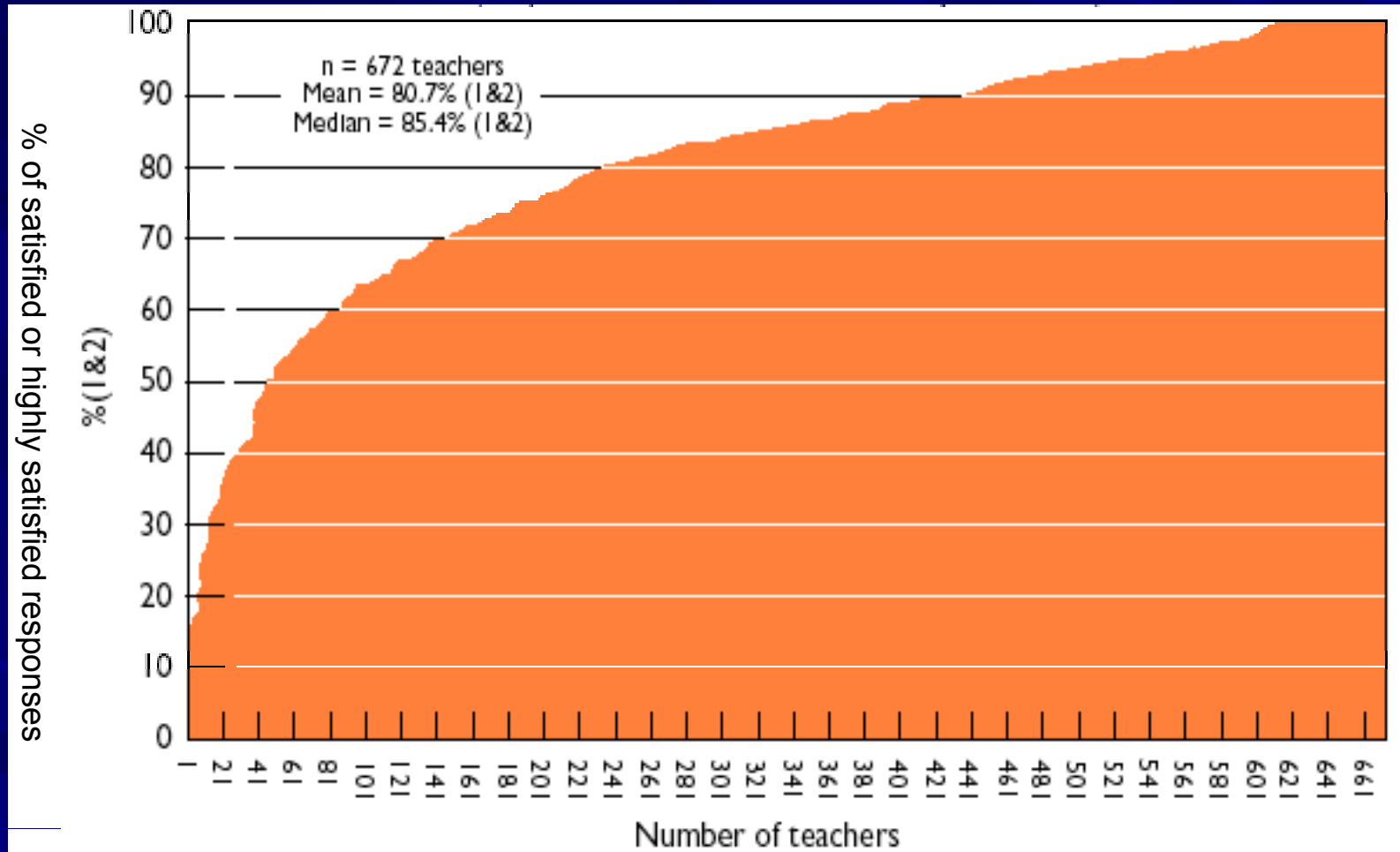
# University of Otago CEQ Generic Competencies Scale 1995-2002



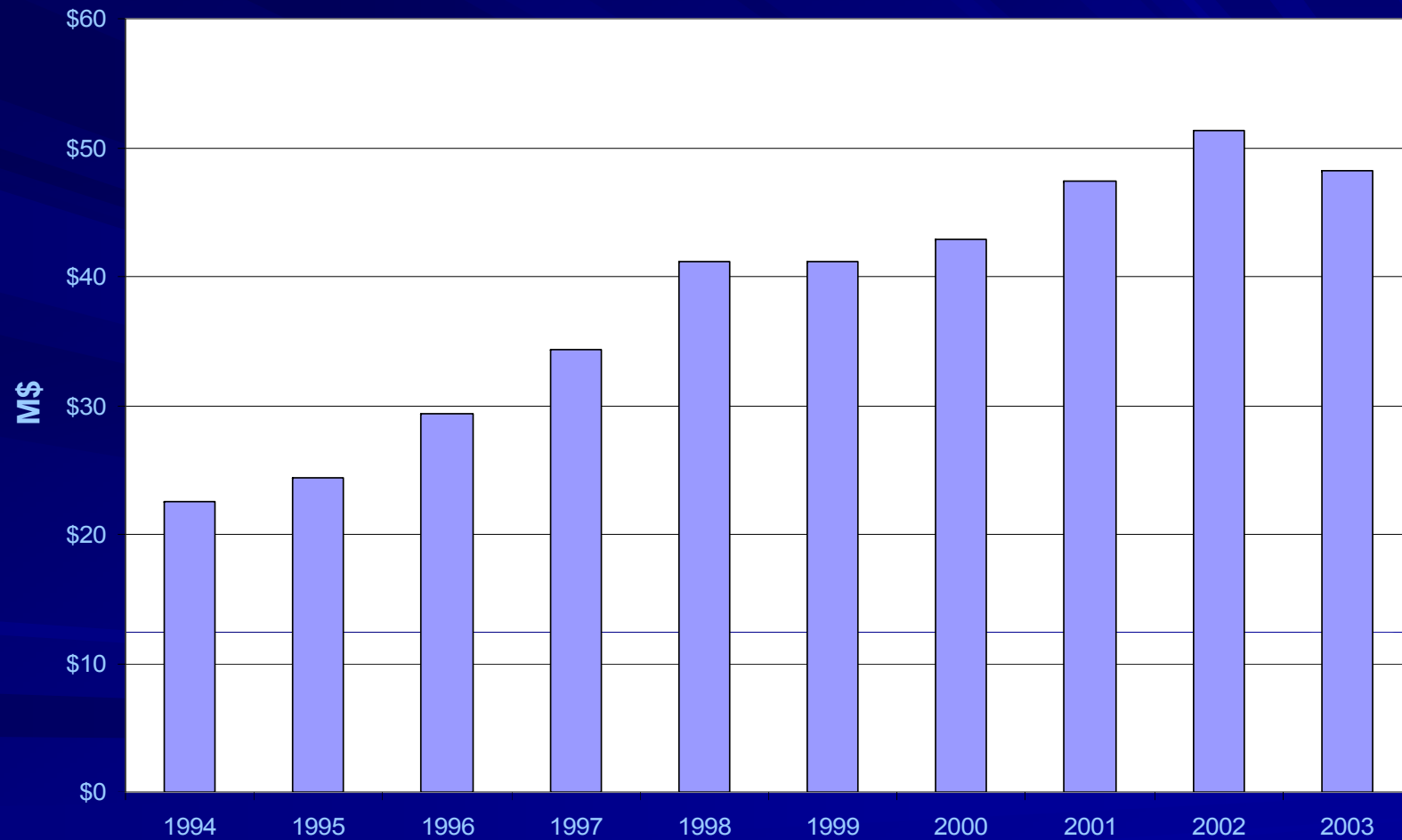
## Comparison of the CEQ overall satisfaction question: Otago mean score and Australian national score



# University of Otago teaching evaluations 2002: “How effective was Dr X in teaching this course?”

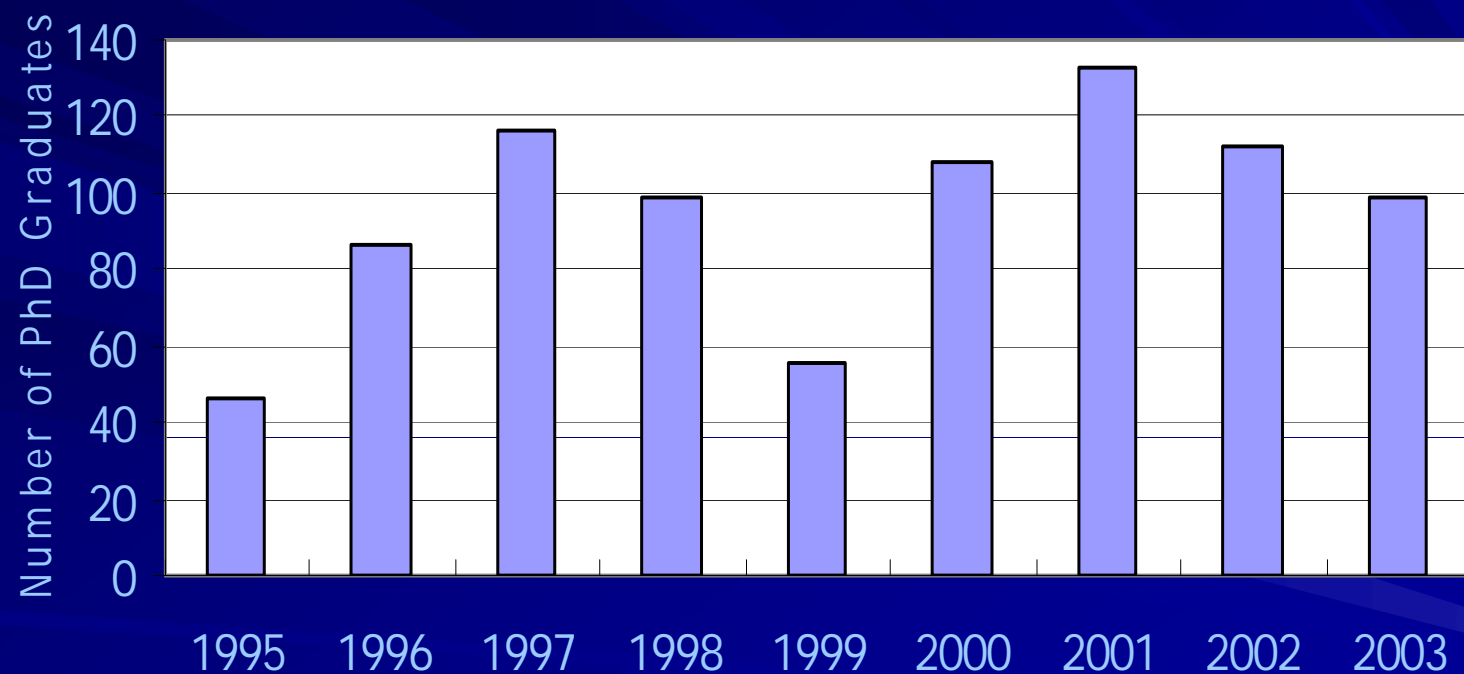


# External research funding at the University of Otago 1994 – 2003

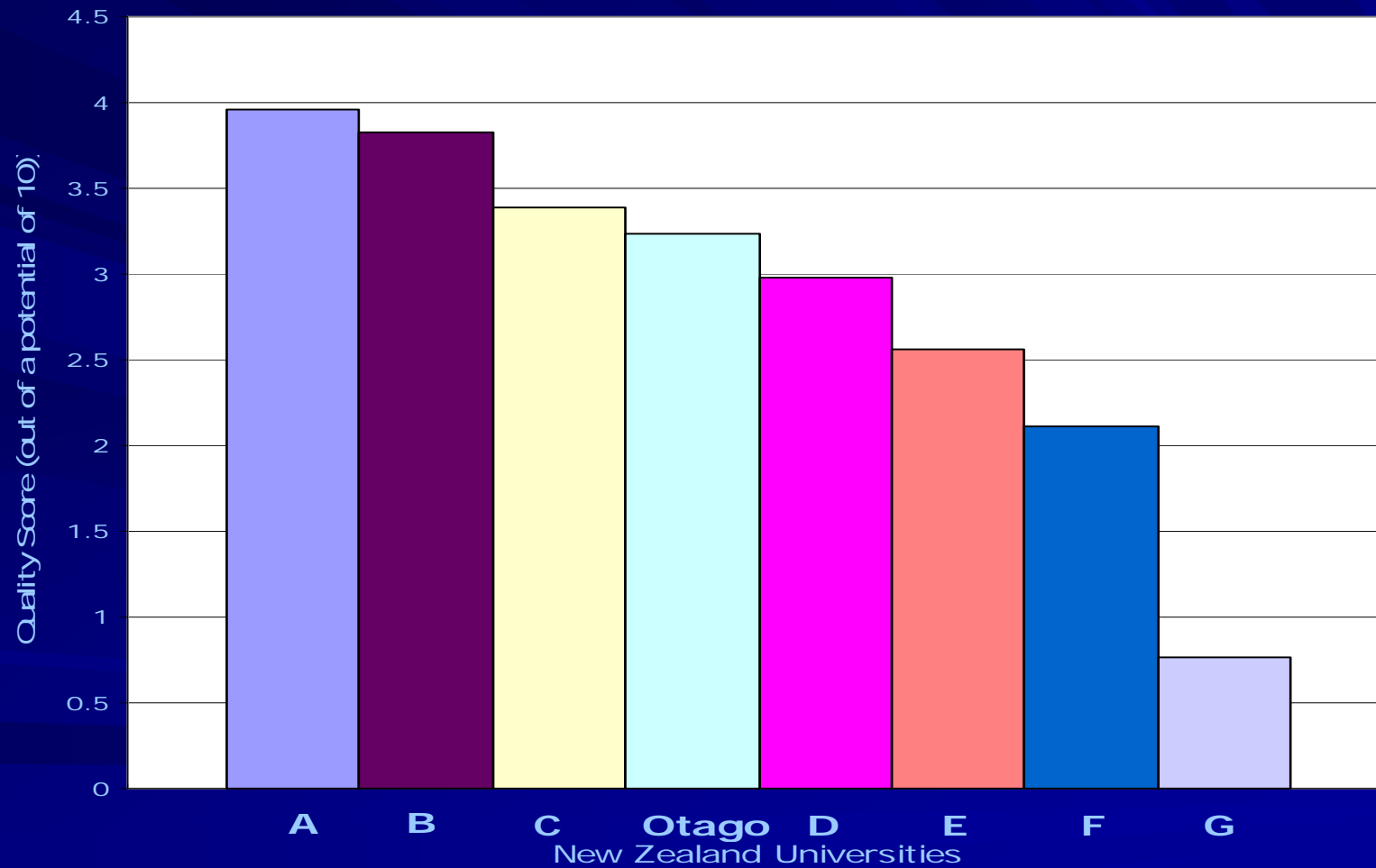


## Number of PhD graduates at the University of Otago 1995 - 2003

*Note – change in way data was recorded in 1999 results in an anomaly during  
that year*



# PBRF quality evaluation score for New Zealand universities 2003



# EQA Evaluation Outcomes

- Significant recommendations for improvement can lead to changes in internal processes to improve performance
- Positive audit report can be seen as validation for what a university is doing

# Evaluation of Performance: University of Otago

- Credible performance in teaching and learning
- Trends in CEQ results in positive direction
- Satisfactory outcomes in completion and retention rates
- Research income and research higher degree completions increase
- Comparatively modest PBRF performance

What were the main drivers for change?

- Lesson 1: The Effectiveness Theme is asking the wrong question - its like saying how did one member of a team effect the outcome.
- Lesson 2: On the positive side we were forced out of our comfort zone to develop a methodology to investigate QA impact which we believe is transferable to other settings

- Lesson 3: EQA might benefit from paying much more attention to the interacting influences of the other players - try to get leverage from them - try to divert countervailing influences
- Lesson 4: Policy development is a key precondition (necessary but not sufficient) to QA success

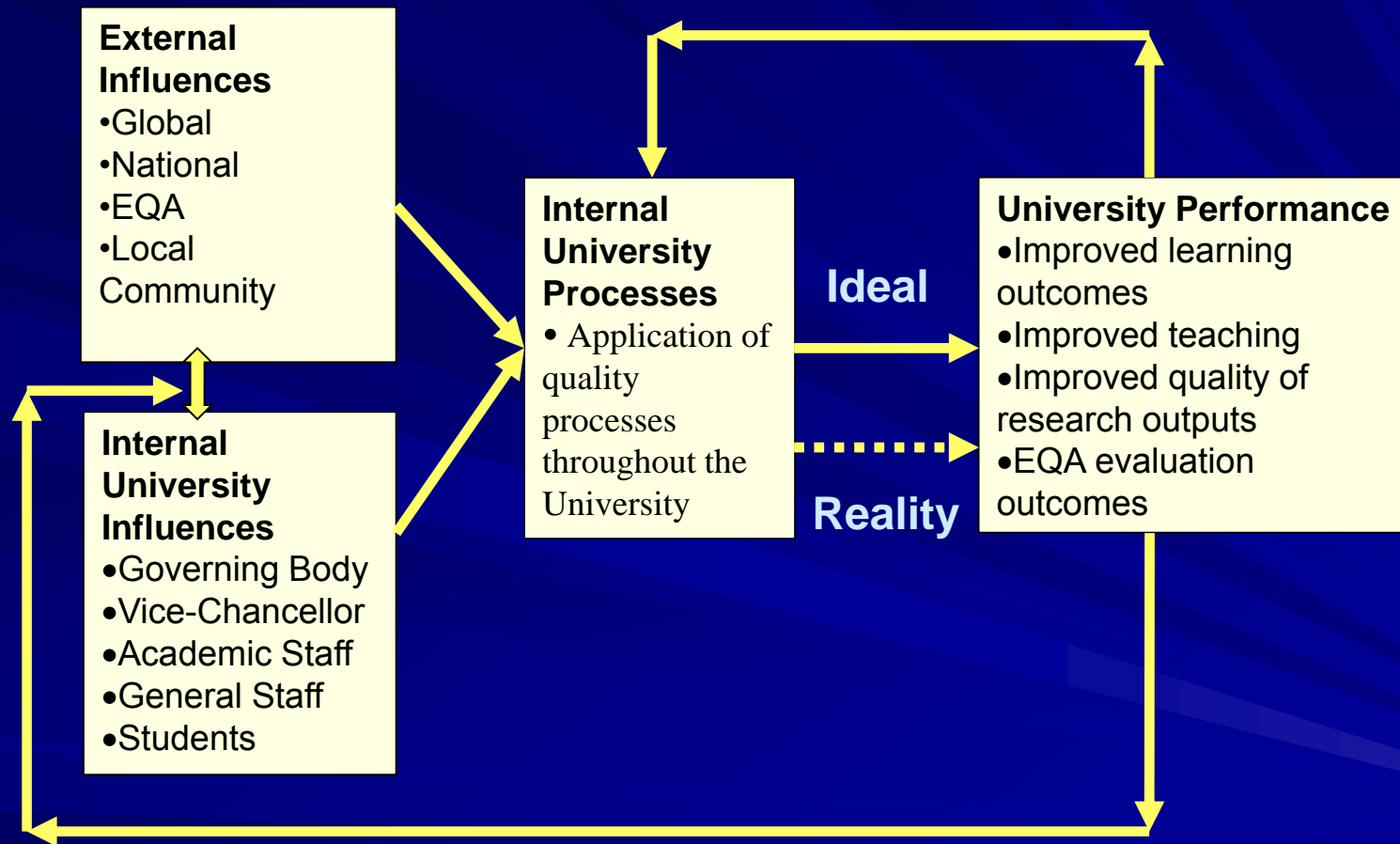
- Lesson 5: The changing role of EQA – initially catalytic influence which becomes more of a validation process for internal policies and processes with maturity

# International Application of Model

Influences in other countries:

- RAE & TQA (UK)
- Bologna Process (Europe)
- Nelson Reforms (Australia)
- Degree Quality Assessment Board (British Columbia, Canada)

# Determining the Influences on University Performance



# Investigating the Influence of External Quality Audit on University Performance - Is it Possible?