African Standards and Guidelines for Quality Assurance (ASG-QA) in Higher Education and Users' Guide

Presented at

BRIEFING HAQAA3 TRAINING COURSE:

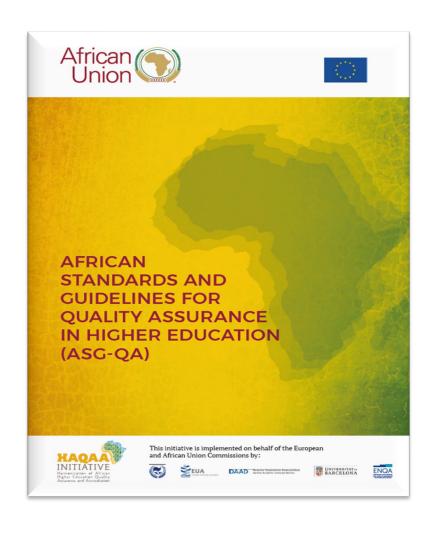
EXTERNAL QUALITY ASSURANCE (EQA)

28 January 2025

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What are the ASG-QA?



- A set of <u>non-prescriptive</u>, but <u>flexible</u> standards and guidelines for IQA and EQA in higher education in Africa.
- Provide an <u>overarching framework</u> for QA in higher education in Africa.
- Standards common minimum requirements.
- Guidelines more specific terms to advise HEIs and QAAs on the best way to address each standard and allow for the collection of evidence in support of their status of quality.

The ASG-QA were launched in December 2018 and are available in the four languages of the African Union, i.e. English, French, Portuguese and Arabic.

Development of the ASG-QA (1/3) (Drafting)



 Drafted by a Technical Working Group between September 2016 and March 2018 as part of the Pan-African Quality Assurance and Accreditation Framework (PAQAF).

Africa Union (Regional Representation)	European Union (Benchmark)
1. Prof. Abdle Karim Koumare – Institut Africain de Formation en Pedagogie. Recherche et Evaluation en Sciences de a Sante, Mali (French)	1. Ms Caty Duykaerts – Vice- President, ENQA Board, Brussels (French & English)
2. Prof. Eid Youhansen – President, NAQAAE,Egypt (Arabic & English)	 Ms Paula Ranne (Coordinator) – Deputy Director, ENQA Secretariat (French & English)
3. Dr Jeffy Mukora – QA Director, CNAQ, Mozambique (Portuguese & English)	
4. Mr Mocks Shivute – Executive Director, NCHE, Namibia (English)	
5. Ms Anneley Willemse – QA Director, Namibia University of Science and Technology (English)	
6. Dr Noel Saliu – Director of Accreditation, NUC, Nigeria (English)	
7. Dr Rispa Odongo (Chair) – QA Expert & Consultant, former Senior Staff of CUE, Kenya (English)	

Dr Violet Makuku – Member of the Advisory Board of HAAQA1 - Provided regular advice and support.

Development of the ASG-QA (2/3) (Benchmarking)



- Existing standards and guidelines for QA in higher education already in use in African countries (high level of similarities).
- Regional QA networks or associations such as:
 - The Inter University Council of East Africa (IUCEA),
 - The Arab Network for Quality Assurance in Higher Education (ANQAHE), and
 - The African and Malagache Councile for Higher Education (CAMES) in Francophone.
- Standards and Guidelines for Quality Assurance in the European Higher Education Area (ESG 2015) and other international standards and guidelines.
- Wide consultation at various platforms.



Development of the ASG-QA (3/3) (Consultation process)

AU Advisory Board – May 2017, Accra Ghana

Vice-Chancellors Forum – 14th AAU General Conference, 5-8 June 2017, Accra, Ghana Online Consultation (Draft 1) – HEIs, QAAs, student organisations, ministries and governing bodies of HE in Africa (310 respondents -40 countries)

Participants of HAQAA
Training Course –
representing QA bodies
from 41 African countries

9th International Conference and Workshops on QA in HE in Africa (ICQAHEA) – 18-22 September 2017, Accra, Ghana

Final Stakeholder Consultation
Workshop – 16-17 November 2017,
Addis Ababa, Ethiopia (HEIs, QAAs,
Ministries, Regional QA Associations,
University Associations, TUNNING
Africa, UNESCO, Africa Student
Associations and sample of national
student unions, regional and
continental governments (AUC, SADC,
ECOWAS, EAC, ECCAS)

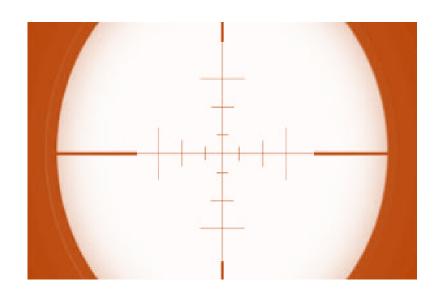
5th HAQAA Advisory Board Meeting – 21-22 March 2018, Maputo, Mozambique

Purpose



- Have a common framework and understanding of QA continentally, regionally and nationally.
- 2. Develop **mutual trust** facilitate recognition and mobility of students and human resources in Africa.
- Ensure quality improvement self-assessment, external peer reviews and continuous M&E.
- 4. Promote **transparency and accountability** provide appropriate information on QA to public.
- 5. Promote **international competitiveness** of Africa's HE system.
- 6. Promote a **sustainable quality culture in HEIs** help to design relevant teaching and learning resources and student assessment mechanisms.

Scope



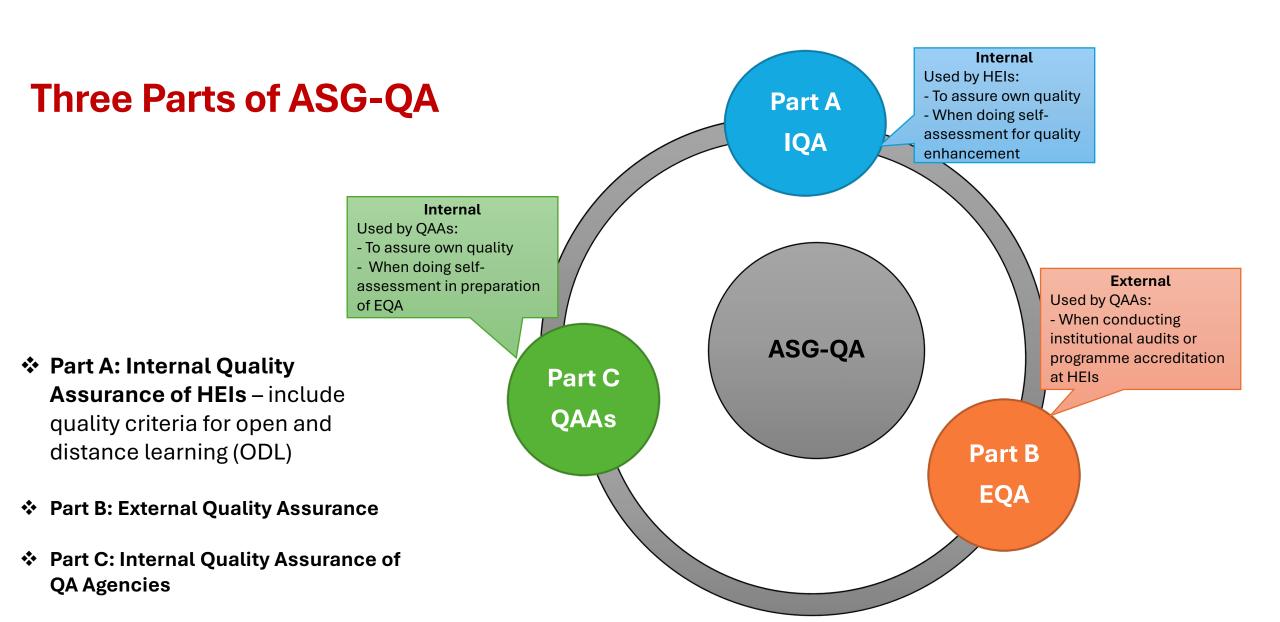
- Apply to QAAs and all types of HEIs in Africa irrespective of the mode of study or place of delivery, including transnational and cross-border delivery.
- Refer always to both undergraduate and postgraduate students, unless otherwise stated.
- Include all staff academic, research, administrative and technical/support staff, unless otherwise stated.
- Should be applied considering existing qualifications frameworks and credit accumulation and transfer systems in operation in the continent.

Principles



- HEIs are the custodians of quality and QA.
- The autonomy, identity and integrity of HEIs are acknowledged and respected.

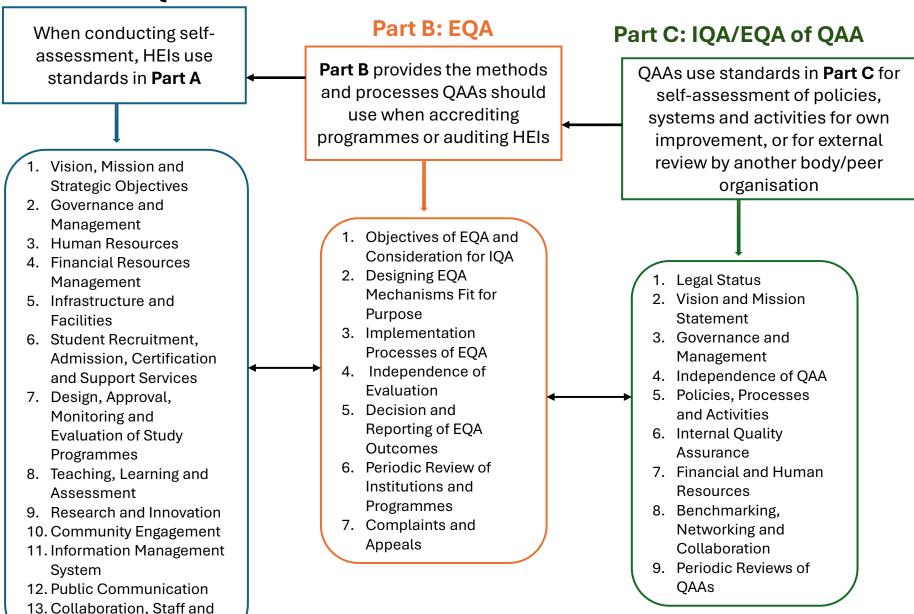
HEIs and QAAs can adapt the standards and guidelines to fit their own systems and contexts based on the evidence they produce.



Part A: IQA

Student Mobility

Standards of Each Part



Users' Guide for the ASG-QA



The **purpose** of the Users' Guide – that was developed in 2022 – is to further support the implementation of the ASG-QA and to provide practical guidance and explanation to HEIs and QAAs, in terms of:

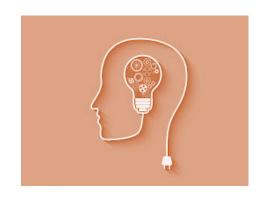
- Clarification for better understanding to provide detailed explanations and clarifications to improve understanding and interpretation of the ASG-QA.
- Guidance for early-stage development recognising the importance of fostering growth, the guide provides expert guidance for HEIs and QAAs in the early stages of their development.
- Demonstrating commitment to facilitate successful internal and external reviews, the guide provides examples of how HEIs and QAAs can effectively demonstrate their compliance with the commitments outlined in the ASG-QA.

The ASG-QA and the Users' Guide, therefore, are tools that embrace different types of HE systems and languages across the continent, in pursuit of a common African higher education space where mobility has become a reality and where systems and regions are now more absorbent than ever before.



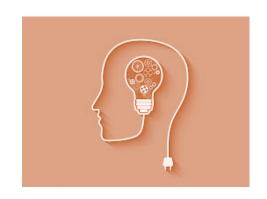
How was the Users' Guide Created? (1/3)

- The Users' Guide was developed during HAQAA2 by the ASG-QA Task Force, comprising QA experts in higher education from Eastern, Western, Northern, Southern and Central Africa, including an expert from the European Higher Education Area who offered some comparative experiences from Europe.
- The drafting process was coordinated by the European Association for Quality Assurance in Higher Education, as part of the HAQAA2 Implementing Team, with support of OBREAL Global.
- The ASG-QA are the main point of reference of the Users' Guide as it essentially informed its development.
- One activity that contributed further to the development of the Guide is a report that assessed the impact of the pilot QA agency reviews against the ASG-QA (tested in HAQAA1) and the fitness-for-purpose of the review methodology used in the pilot agency reviews and consultancy visits conducted during HAQAA1.



How was the Users' Guide Created? (2/3)

- This report was based on:
 - an analysis of the self-assessment reports produced by the agencies and ministries that participated in the pilot reviews and consultancy visits;
 - the review panels' reports on the agency reviews and consultancy visits;
 - collection of feedback from the agencies and ministries that participated in a review or consultancy visit; and
 - collection of feedback from the experts that conducted the agency reviews and consultancy visits.



How was the Users' Guide Created? (3/3)

- In all cases, virtual focus groups were conducted between April and June 2020 to collect the feedback.
- The key findings were discussed by the Task Force and informed the elaboration in the Users' Guide, where applicable.
- Several modalities were used to further develop the Users' Guide: Two groups were formed in the beginning of 2021; each group having worked respectively on Section 1 (IQA of HEIs) and Section 2 (EQA).
- The initial draft sections were circulated for input amongst the members of the Task Force, followed by a critical discussion and reflection in a series of meetings for further comments, input and strengthening of the Users' Guide.
- Additionally, the draft Users' Guide was shared with a group of 'HAQAA ambassadors' in QA in higher education for further input.
- The final draft Users' Guide was submitted to the African Union Commission for consideration and endorsement before it was published.

Structure of the Users' Guide



- The Guide is presented in a tabular format for ease of reference to the various standards and guidelines, including focus or guiding points, and examples of good practice or evidence. The ASG-QA document remains the main point of reference.
- It comprises two sections, i.e.:
 - Section 1 Standards and Guidelines for IQA (Part A of the ASG-QA); and
 - Section 2 that is in two parts of which the first part is on Standards and Guidelines for EQA (Part B of the ASG-QA), and the second part is on Standards and Guidelines for IQA for External QAAs (Part C of the ASG-QA).
- Section 1 of the Users' Guide is long, because HEIs have to take responsibility of nurturing and maintaining their own quality and, in so doing, have to ensure that IQA is robust enough to prepare themselves for all types of EQA activities such as programme accreditation, institutional accreditation, quality audits, and reviews. This section also includes standards and guidelines for open and distance learning (ODL).

Part B: Objectives of EQA and Consideration for IQA

Standard 1. EQA shall ensure that the HEI has clearly articulated vision and mission statements and shall help the institution ensure the effectiveness of its IQA mechanisms, providing an additional instrument for assessing institutional quality.

Guidelines	Focus Points – Guiding Questions	Examples of good practice / Evidence
EQA complements an effective IQA system and, therefore, assists HEIs to appreciate the link between IQA and EQA.	 How does the Agency consider the quality policy and procedures developed by the evaluated institution? 	 Explain the place of IQA in the Agency's criteria and standards. The HEI undergoing external evaluation describes and analyses its QA mechanisms (to ensure the quality of its activities). These QA mechanisms are aligned with the vision and mission of the institution.
 Assists HEIs to develop and entrench an institutional quality culture by establishing mechanisms for continuous quality improvement. 	 How does the Quality Agency contribute to strengthening the IQA mechanisms of the institutions it evaluates? 	Show monitoring mechanisms and, if possible, results to document the impact of the Agency's methodology in the external evaluation process (e.g., report on the implementation of recommendations).
 Assists HEIs to provide independent evidentiary information to its stakeholders, the public and international community that it is offering quality higher education. 	 How does it ensure that its evaluations serve to improve the performance of the HEI evaluated? 	Follow-up strategies outlined

Part B: Designing EQA Mechanisms Fit for Purpose

Standard 2. Standards, guidelines and processes for EQA shall be designed to be fit for purpose, defined to achieve the intended aims and objectives of EQA, and to strengthen IQA systems at institutions.

Guidelines	Focus Points – Guiding Questions	Examples of good practice / Evidence
 The standards, guidelines and processes developed and implemented by QAAs, and institutions are created in consultation with stakeholders. The standards and guidelines are for: Periodic programme accreditation / audit. Periodic institutional accreditation / audit. 	 How has the agency consulted its stakeholders on the methodology? Is the Agency satisfied with its collaboration with stakeholders? What are the means taken to improve it? 	 Give the periods of validity of evaluation results of HEIs, training programmes and research. Documentation of stakeholder involvement and feedback, such as: national stakeholder conference, stakeholder surveys and consultation, and publication of findings. implementation of a pilot phase and its evaluation.
	 Are clear references and guidelines defined and applied for the evaluation of the different types of institutions and courses in the higher education system, considering the modalities of HEI provision (face-to-face, online, hybrid, dual mode, etc. 	 Present and analyse the methodologies and reference systems used for the various types of evaluation implemented by the EQAA.

Part B: Implementation Processes of EQA

Standard 3. The standards, processes and procedures for EQA shall be pre-defined, reliable, published and consistently implemented for purposes of accountability.

Guidelines	Focus Points – Guiding Questions	Examples of good practice / Evidence
 EQA is carried out based on the self-assessment prepared by the institution. The processes for EQA include: Self-assessment by the institution and production of the self-assessment report (SAR). Site visit to the institution and interviews with stakeholders of the institution. External review report. 	 What are the steps/phases in the external evaluation process based on self-evaluation? How are HEIs informed about the objectives and purposes of the EQA processes? Have clear guidelines for drafting the SAR, the EER and the follow-up of recommendations been defined and communicated to HEIs and expert evaluators? 	 Show the existence and accessibility of reference documents: Manual for external evaluation procedures. Accessibility of Agency documents (website, brochures, written and oral communications, etc.) Documents describing the main stages of the external evaluation and follow-up of recommendations Demonstrate consistency between the site visit schedules (which participants for which interviews?) and the guidelines used.

Part B: Independence of Evaluation

Standard 4. EQA shall be carried out by panels of external experts drawn from a wide range of expertise and experience.

Guidelines	Focus Points – Guiding Questions	Examples of good practice / Evidence
 Experts: With appropriate skills and competent to perform their task are carefully selected. Should be adequately inducted into EQA principles and procedures. Are independent in their judgement about the quality of the programme or HEI. Have no conflict of interest with the HEI or programme under review. Sign a declaration of independence and no conflict of interest form. HEIs are given the opportunity to declare no objection on the proposed experts. 	 What criteria are developed for the composition of panels? Is the composition of the teams sufficiently diverse? Does it include academic peers, socio-economic professionals, students and other relevant members? What are the criteria developed by the agency that serve as a basis for the selection of experts? What means are taken by the QAA to ensure transparency and independence of judgements through their engagement and practice? 	 Procedure manuals for the selection and management of experts. Selection criteria. Statistics on the diversity of the experts' profiles; academics, researchers, professionals, QA specialists, students, gender, age, and geographical origin. Documentation on the training of the experts. Documentation on transparency. Signed declaration forms of no conflict of interest. Indicate the opportunity given to the HEI to give a no-objection opinion on the nominated experts.

Part B: Decision and Reporting of EQA Outcomes

Standard 5. Reports and decisions made as a result of EQA shall be clear, based on published standards, processes and procedures, and made accessible, for purposes of accountability.

Guidelines	Focus Points – Guiding Questions	Examples of good practice / Evidence
 External quality assessment decisions are published without undermining the integrity of the review process. The EQA reports are detailed, clear and precise to ensure easy follow-up. 	How does the Agency ensure that its references, processes, procedures and decisions are clear and known?	 Make public documents relating to references, processes and procedures (guides, quality manual, etc.). Make QAA's reports and decisions public and accessible.
The review reports clearly indicate commendations, recommendations and formal decisions.	 How does the Agency ensure that it has the means to produce documented and coherent reports to enable objective and fair decision- making? 	 Conduct a critical analysis of published reports on their clarity, strengths, weaknesses and decisions made.
 The institution is given an opportunity for factual verification to ensure accuracy of the report. 	How does the Agency ensure accuracy and credibility of the report.	 Demonstrate the existence and proven functioning of right of reply mechanism.
 The decisions taken are free from external influence. 	 How does the Agency ensure the consistency and fairness of decisions taken? 	 Demonstrate the existence of codes of ethics to prevent the risk of conflict of interest.

Part B: Periodic Review of Institutions and Programmes

Standard 6. External quality assurance of institutions and programmes shall be undertaken on a cyclical basis.

Guidelines	Focus Points – Guiding Questions	Examples of good practice / Evidence
 The length of the review cycle is clearly defined and published: For academic programmes, the review cycle is consistent with the duration of the programme, or it reflects the defined validity of the accreditation period. Depending on the content of the QA system, for institutions, the cyclical institutional review is carried out preferably every five years. 	How does the Agency ensure that programmes and institutions in its jurisdiction are evaluated on a cyclical basis?	 Demonstrate the existence and accessibility of: Clearly defined and published cycle lengths. Public information on the planning of evaluations (e.g., on the Agency's website).

Part B: Complaints and Appeals

Standard 7. The procedure for lodging complaints and appeals shall be clearly defined and communicated to the institution concerned.

Guidelines	Focus Points – Guiding Questions	Examples of good practice / Evidence
 There is an established complaints and appeal system with clearly defined procedures and processes. 	 How does the Agency ensure HEIs that it is assessing the fairness of decisions made as a result of evaluations? 	 Accessible, easy to read documents on complaints and appeals procedures and processes.
 The institution and general public are allowed to raise issues of concern consistent with the complaints and appeals system. Appeals and complaints are handled professionally, within an agreed period of time. 	How does the Agency use the results of the evaluations in a cycle?	 Analysis of complaints and appeals handled, their nature, and the response time taken, documented. Documented measures taken for future improvement on the issues handled.

Part C: Legal Status

Standard 1. The QAA shall be an autonomous legal entity with clearly defined mandate, scope and powers. It will be recognized as a QAA at a national / regional level.

G	uidelines	F	ocus Points – Guiding Questions		xamples of good practice / vidence
•	The QAA is established by a competent authority.	•	Comment on the legal status of your QAA, i.e., if it is established by law, decree or any other.	•	Appropriate legal instrument such as an Act / Decree that established the QAA. Statutes that define the mandate, scope and powers of the QAA.
•	When EQA is for regulatory purposes, there should be security that the outcomes of the process are accepted within the HE system, the stakeholders and the public.	•	Do you consider your QAA to be recognised in your country and region? Explain why.	•	QAA activity reports validated and passed on to the hierarchy.

Part C: Vision and Mission Statement

Standard 2. The QAA shall have a written vision and mission statement or set of objectives taking cognisance of the higher education context.

Guidelines	Focus Points – Guiding Questions	Examples of good practice / Evidence
 The vision, mission and objectives show that: QA is a major activity of the agency. There is a systematic approach to achieving the vision, mission and objectives of the QAA. The objectives are implemented in line with a practical management plan that is linked to the agency's resources. 	 Comment on the vision and mission of your QAA. What activities do you have in place to achieve the QAA's vision, mission and strategic objectives? 	 The QAA has a published vision, mission and objectives which are clearly disseminated to stakeholders and the public. The QAA has a strategic plan, annual plans, and annual reports in accordance with the activities it undertakes in relation to its mandate.

Part C: Governance and Management

Standard 3. The QAA shall have clearly defined structures that ensure sound and ethical governance and management, including good practices of QA that support its mission and legal mandate.

Guidelines	Focus Points – Guiding Questions	Examples of good practice / Evidence
 The QAA has: Qualified and experienced leadership to oversee the development and management of best practices in QA in higher education. Relevant governing bodies such as governing board / council and committees which are well coordinated to ensure efficiency and effectiveness of its vision, mission and strategic objectives. Procedures for the appointment of the governing board and the chief executive. Policies and procedures for financial and management decisions. Clear communication system of its activities for disseminating information for public accountability. 	 Comment and reflect on the governance structure of your organisation, including but not limited to: leadership, governance bodies and policies that are in place to ensure the proper functioning of your QAA according to the guidelines indicated. Provide information in a tabular form showing the number of employees in your QAA in relation to age, gender and academic and professional qualifications. 	 QAA's organisation chart Recruitment policies and procedures for appointment of chief executive, governing board / council, and staff. Availability of existing policies and procedures for financial management Validated reports by board / council on management decisions made on financial matters Existing communication strategy and feedback mechanism

Part C: Independence of QAA

Standard 4. The QAA shall be independent and autonomous in its operations, outcomes, judgements and decisions.

Guidelines	Focus Points – Guiding Questions	Examples of good practice / Evidence
 The QAA makes independent decisions and judgements that are not subject to change by third parties. Independence of an agency includes: Organisational independence – demonstrated by official documentation such as legislative Acts or statutes and instruments of governance. Operational independence – the definitions and operations of the agency's procedures and methods, nomination and appointment of qualified external experts including the provision of no objection. Independence of formal outcomes – the final decision of QA activities remains the responsibility of the QAA. 	 Consider in greater detail how operational and organisational independence is safeguarded in practice. How does the Agency operate independently de facto, especially in terms of defining procedures and methods as well as nomination and appointment of experts? How does the Agency ensure that the outcomes of its QA processes are its independent responsibility? 	 Policy documents on independence Procedures on appointment and nomination of staff and external experts Procedures for the development and validation of QA standards Appeals and complaints system in place, its implementation and feedback mechanisms

Part C: Policies, Processes and Activities

Standard 5. The QAA shall undertake its quality assurance activities in accordance with the standards and guidelines articulated in Part B of the ASG-QA.

Guidelines		Focus Points – Guiding Questions	Examples of good practice / Evidence
•	The EQA standards and processes are appropriate for the core activities of an institution or programme, such as teaching and learning, research and community work.	 Describe the standards your QAA applies when carrying out institutional audits / accreditation and programme accreditation / reviews. Were HEIs in your country involved in the design of these standards? 	Existing QAA's standards booklet
•	The QAA conducts institutional audit / accreditation and programme accreditation / reviews on a regular basis and produces in advance the framework to the concerned institution.	 Describe and comment on the stages your QAA undertakes when carrying out institutional evaluation / accreditation and programme accreditation / reviews. 	Manual for carrying out institutional and programme evaluation / accreditation
•	The QAA ensures transparency in its reviews / assessment processes such as in the appointment of external peer reviewers.		 Database for Peer Reviewers Peer Reviewers' Manual with standard operating procedures

Part C: Internal Quality Assurance Criteria and Processes

Standard 6. The QAA shall have in place policies and processes for its own internal quality assurance related to defining, assuring and enhancing the quality and integrity of its activities.

Guidelines	Focus Points – Guiding Questions	Examples of good practice / Evidence
The QAA is accountable to its stakeholders and observes high professional standards and integrity.	 What steps have your QAA put in place to ensure the quality of its activities, e.g., IQA policy of the QAA and its aims and objectives; the professionalism of all persons involved in its activities; feedback mechanisms; participation of HEIs in designing EQA standards and the production of summary reports which describe and analyse the general trends in the findings of external reviews 	IQA policy of the agency
 The EQA standards and processes are predetermined, predefined, published and availed to HEIs well in advance. 	 How does your Agency ensure EQA standards are user-friendly and more accessible to all HEIs, including the ones operating in remote areas, where internet access remains a challenge? 	Feedback mechanism in place and evidence of its implementation
 The QAA policies ensure objectivity and fairness in all its judgements, decisions and conclusions. 		Summary of reports on activities related to the implementation of the agency's IQA system

Part C: Financial and Human Resources

Standard 7. The QAA shall have adequate and appropriate human, financial and material resources to carry out its quality assurance mandate effectively and efficiently.

Guidelines	Focus Points – Guiding Questions	Examples of good practice / Evidence
 The QAA is adequately funded to realise its vision, mission and objectives to: Ensure it has adequate facilities commensurate with its QA activities. Recruit adequate and qualified human resource to carry out its QA activities, cognisant of gender, disadvantaged groups and persons with disabilities. Carry out its external QA mandate professionally, effectively and efficiently. 	 Describe and analyse the human, financial and material resources your QAA has to effectively carry out its functions. Demonstrate how the Agency's financial and human arrangements ensure the sustainability of its activities within the scope and in line with the ASG-QA. 	 Strategic Plan QAA's annual budget Audited financial reports / statements Risk assessment of activities Assets reports Data on staffing segregated according to qualifications, position / cadre, gender, age, etc.

Part C: Benchmarking, Networking and Collaboration

Standard 8. The QAA shall promote and participate in international initiatives, workshops and conferences on quality assurance to exchange and share experiences and best practices.

Guidelines	Focus Points – Guiding Questions	Examples of good practice / Evidence
 The QAA should remain relevant in its activities through: Collaboration with professional bodies. Sharing of information and experiences regionally, continentally and internationally 	 Describe and analyse the QAA's internationalisation policy, its aims, objectives and the activities actually carried out within the scope of the policy. 	 Internationalisation policy Internationalisation structures and reports from HEIs Reports of activities carried out with professional bodies, other QAAs, and relevant international organisations Benchmarking reports

Part C: Periodic Review of QAAs

Standard 9. The QAA shall undergo periodic internal and external reviews in order to demonstrate its compliance with the ASG-QA.

Guidelines	Focus Points – Guiding Questions	Examples of good practice / Evidence
 The QAA: Conducts a comprehensive internal self-assessment of its processes, practices and activities periodically, including data analysis. Subjects itself to periodic external review based on self-assessment, by regional, continental or international QA bodies. Ensures that the required recommendations are disclosed and implemented for improvement. Depending on the context of the QA system, for QAAs, the cyclical review is carried out preferably every five years. 	 How often does your Agency undergo internal and external review? Consider in greater detail how the QAA carries out its internal self-assessment of activities. 	 Internal and external review reports Evaluation procedures Improvement plans and records of their implementation

Question and Reflection



As QAAs, how do you think the Users' Guide can help you understand and implement the ASG-QA?



Thank you very much for your kind attention.

