

Der folgende Text wird über DuEPublico, den Dokumenten- und Publikationsserver der Universität Duisburg-Essen, zur Verfügung gestellt.

Diese auf DuEPublico veröffentlichte Version der E-Publikation kann von einer eventuell ebenfalls veröffentlichten Verlagsversion abweichen.

Randhahn, Solveig; Ganseuer, Christian:

Quality Management and its Linkages to Higher Education Management - Training on Internal Quality Assurance Series | Module 5

In: Training on Internal Quality Assurance Series

DOI: <http://dx.doi.org/10.17185/duepublico/43226>

URN: <urn:nbn:de:hbz:464-20170215-102827-1>

Link: <http://duepublico.uni-duisburg-essen.de/servlets/DocumentServlet?id=43226>

Lizenz:



Dieses Werk kann unter einer [Creative Commons Namensnennung - Nicht kommerziell - Keine Bearbeitungen 4.0 International](https://creativecommons.org/licenses/by-nc-nd/4.0/) Lizenz genutzt werden.



Christian Ganseuer and Solveig Randhahn

Quality Management and its Linkages to Higher Education Management

Training on Internal Quality Assurance Series | Module 5

Solveig Randhahn and Frank Niedermeier (Eds.)

With financial support from the



Federal Ministry
for Economic Cooperation
and Development

Imprint

This e-publication is part of the Training on Internal Quality Assurance Series which is also published as paperback (ISBN: 978-3-7345-7692-8) and distributed in book shops worldwide. More information is available at <http://www.trainiqa.org>

Authors: Christian Ganseuer and Solveig Randhahn

Editors: Solveig Randhahn and Frank Niedermeier

Reviewers: Frank Niedermeier, Evelyn Funk

Edition: First edition

Layout: Nikolaj Sokolowski, Randi Ramme

Publisher: DuEPublico, Duisburg/Essen, Germany

DOI: 10.17185/duepublico/43226



Copyright © 2017 Christian Ganseuer and Solveig Randhahn

This book is licensed under the Creative Commons Attribution-NonCommercial-NoDerivatives 4.0 International License (CC BY-NC-ND 4.0).
<https://creativecommons.org/licenses/by-nc-nd/4.0/>

This e-publication is part of a series which can be freely accessed under www.trainiqa.org. The book has also been published as paperback (ISBN: 978-3-7345-7692-8) and is distributed in book shops worldwide.

Please cite the use of our course book series in presentations, trainings, papers etc. according to scientific standards. You can cite this book as:

Ganseuer, C. & Randahn, S. (2017). Quality Management and its Linkages to Higher Education Management. Module 5. In Randhahn, S. & Niedermeier, F. (Eds.) *Training on Internal Quality Assurance Series*. Duisburg/Essen: DuEPublico. Retrieved from: <http://dx.doi.org/10.17185/duepublico/43226>

Acknowledgment

Our modules and books have been prepared and written in a joint effort of the University of Duisburg-Essen and the University of Potsdam under the DIES (Dialogue on Innovative Higher Education Strategies) Programme conducted by the German Academic Exchange Service (DAAD) and the German Rectors' Conference (HRK) with funds from the Federal Ministry for Economic Cooperation and Development (BMZ). We take this opportunity to thank the DIES Programme and all the partners from Africa, Europe and Southeast Asia who were involved in the development process and express our deepest gratitude for the received support, without which the modules and course books would not have been possible to realise.

We want to further express our sincere gratitude for the most valuable support and contributions from the involved partners

- Autorité Nationale d'Assurance Qualité de l'Enseignement Supérieur (ANAQ-Sup), Sénégal,
- ASEAN Quality Assurance Network (AQAN),
- ASEAN University Network (AUN),
- Association of African Universities (AAU),
- Conseil Africain et Malgache pour l'Enseignement Supérieur (CAMES),
- European Association for Quality Assurance in Higher Education (ENQA),
- National Accreditation Board (NAB), Ghana,
- National Council for Tertiary Education (NCTE), Ghana,
- National Universities Commission (NUC), Nigeria,
- Southeast Asian Ministers of Education Organization Regional Centre for Higher Education and Development (SEAMEO RIHED),
- United Nations Educational, Scientific and Culutral Organization (UNESCO),
- University of Professional Studies Accra (UPSA), Ghana

and especially from Prof. Dr. Shahrir Abdullah, Richard Adjei, Prof. Dr. Goski Bortiorok Alabi, Prof. Dr. Bassey Antia, Prof. Dr. Arnulfo Azcarraga, Gudrun Chazotte, Assoc. Prof. Dr. Tan Kay Chuan, Kwame Dattey, Prof. Dr. Ong Duu Sheng, Prof. Zita Mohd. Fahmi, Mae Fastner, Assoc. Prof. Dr. Nantana Gajaseni, Robina Geupel, Josep Grifoll, Juliane Hauschulz, Dr. Pascal Hoba, Dato' Syed Hussein, Benjamin Jung, Prof. Abdel Karim Koumare, Dr. Vipat Kuruchittham, Prof. Dr. Chiedu Mafiana, Prof. Dr. Duwiejua Mahama, Barbara Michalk, Prof. Dr. Le Quang Minh, Nguyen My Ngoc, Johnson Ong Chee Bin, Concepcion V. Pijano, Prof. Dr. Philipp Pohlentz, Sonja Pohlmann, Dr. Suleiman Ramon-Yusuf, Dr. Sylvia Ruschin, Dr. Chantavit Sujatanond, Dr. Oliver Vettori and Marc Wilde.

The authors

Dr. Christian Ganseuer

Project Management Agency (DLR-PT)

Federal Ministry of Education and Research,
Germany

Christian.Ganseuer@dlr.de

<http://www.dlr.de/pt/en/>



Dr. Christian Ganseuer is the Head of Division 'Education' at the Project Management Agency (DLR-PT) of the Federal Ministry of Education and Research, Germany. He is counseling federal ministries, regional governments and foundations in the framework of innovation programs in all educational sectors ranging from early childhood education over secondary, vocational till higher education and lifelong learning. Together with his team of approx. 150 scientific and administrative personnel he is executing national research and innovation strategies in education. Before that he served as the Director of the Centre for Higher Education Development and Quality Enhancement (CHEDQE) at Duisburg-Essen University, dealing with quality management, development of teaching and learning as well as the integration of nontraditional students. He studied German Literature and Social Sciences at the University of Siegen as well as Higher Education Management at the Danube-University Krems. Dr. Ganseuer has led teams and projects for national and international contractors. He consults educational institutions and national authorities in strategic issues and supports development projects in Asia, Africa, the MENA-region and Eastern Europe. His research interests encompass international quality assurance systems, widening participation, transcultural identities and strategic development in higher education institutions.

Dr. Solveig Randhahn

Faculty of Social Sciences

University of Duisburg-Essen, Germany

solveig.randhahn@uni-due.de

<https://www.uni-due.de/gesellschaftswissenschaften/>



Dr. Solveig Randhahn is Managing Director of the Faculty of Social Sciences at the University of Duisburg-Essen (UDE) in Germany. She studied Political Science, Spanish Philology and Economic Policies at the University of Münster. She received her PhD in Political Science, doing research on education and social policy in Germany. Furthermore, she is a certified expert in Education and Science Management.

Dr. Solveig Randhahn shows a wide range of work experience in the field of quality management at higher education institutions. She was responsible for the Service and Information Centre at the Institute of Political Science and worked at the Department of Quality Development in Teaching and Learning at the University of Münster. Afterwards, she was employed at the University of Applied Sciences in Aachen, coordinating the accreditation processes of the University and advising the University leadership in terms of higher education policies in teaching and learning. In January 2014 Dr. Randhahn took over the responsibility as manager of the TrainIQA project (Training on Internal Quality Assurance in West Africa), coordinated by the Centre for Higher Education Development and Quality Enhancement (CHEDQE) at UDE. The project aimed at developing capacity in the field of internal quality assurance (IQA) in higher education institutions by providing hands-on workshops for quality assurance officers from higher education institutions in the West African region. In March 2016, Dr. Randhahn switched to the Faculty of Social Sciences as Managing Director. In addition, she was elected as Vice-Dean for teaching and learning at the faculty.

List of Abbreviations

AIR	Association for Institutional Research
CB	Course Book
CHEDQE	Centre for Higher Education Development and Quality Enhancement
HE	Higher Education
HEI	Higher Education Institutions
IR	Institutional Research
IQA	Internal Quality Assurance
PDCA	Plan-Do-Check-Act or Plan-Do-Check-Adjust
PhD	Doctor of Philosophy XXCommonwealth of Learning
SMART	Specific, Measureable, Assignable, Reaslistic and Time-related
SWOT	Strengths, Weaknesses, Opportunities and Threats
TPA	Target and Performance Agreements
TQM	Total Quality Management
UKPSF	UK Professional Standards Framework
QA	Quality Assurance
QMS	Quality Management Systems

Table of Contents

Introduction to the Module	10
Internal Quality Assurance Systems – Ready for Change	12
1 Internal Quality Assurance Systems – Ready for Change	13
1.1 Where Are We and Where Do We Go?	13
1.2 What is a System?	14
1.3 What is an Organisation?	15
1.4 What is an Internal Quality Management System and When Do We Need It? ..	19
Internal Quality Management Systems	22
2 Internal Quality Management Systems	23
2.1 Working on the Big Picture	23
2.2 Learning from Others	24
2.3 Systematisation of a Quality Management System	25
Internal Quality Management Systems as a Part of Strategic Management	34
3 Internal Quality Assurance Systems as a Part of Strategic Management	35
3.1 Definition of Strategic Objectives	36
3.2 Strategic Analysis	37
3.3. Strategic Development	40
3.4 Strategic Implementation	41
3.5 Strategic Control	43

Managing Change at Higher Education Institutions	46
4 Managing Change at Higher Education Institutions	47
4.1 How Does Change Happen? - Models of Change	47
4.2 Functions in Change Processes?	55
4.3 Factors of Success and the Limitations of Change Processes	57
Quality Management and its Linkages to Other Fields of Higher Education Management	62
5 Quality Management and its Linkages to Other Fields of Higher Education Management	63
5.1 Human Resource Development	63
5.2 Organisational Development	68
5.3 Management of Agreements	69
5.4 Management of Teaching and Research	74
Successful Quality Management Systems – When Does a System Live up to its Purpose? Part II	78
6 Successful Quality Management Systems – When Does a System Live up to its Purpose? Part II	79
6.1 What Are the Factors of Success?	79
6.2 How Do Quality Management Systems Develop?	81
6.3 Quality Culture – Basis to Make a System Live up to its Purpose (Part II)	82
References	86
List of Tables	90
List of Figures	91

Preface

Introduction to the Module

Prerequisites for the Module

- Learners have a good understanding of the different issues dealt with in the previous four modules and know how to apply them.

Intentions of the Module

Course book 5 summarises the key elements of the previous modules by discussing the opportunities and limitations of a quality management system in higher education institutions. [Chapter 1](#) takes stock and embeds discussions on quality assurance into the systemic and organisational context of higher education institutions. [Chapter 2](#) follows by systemising and summing up the essentials of a quality management system. Based on this, [Chapter 3](#) widens the perspective on internal quality assurance into a broader organisational context again, analysing the connection between internal quality assurance and strategic management. In the following, [Chapter 4](#) analyses more in detail changes at higher education institutions: why, how and by whom does change happen? What are the succeeding and limiting factors for change processes at higher education institutions?

This is the foundation for [Chapter 5](#) which draws up the linkages of quality management to other higher education management fields such as human resource development, organisation development, management of agreements, and management of teaching and learning.

Finally, [Chapter 6](#) completes the circle by discussing factors of success for a quality management system at higher education institutions. It identifies key elements that are characteristic on the road to establishing quality assurance structures. It finishes with a discussion on the concept of quality culture as a fundamental basis to making a system live up to its purpose.

Course book 5 addresses both quality managers and the top management of higher education institutions. Based on the previous modules, it brings together the different perspectives, targets and functions on quality assurance, linking them to a systematic quality management system in higher education institutions.



On successful completion of the module, you should be able to...

- design and develop concepts to establish systematically internal quality assurance structures at your higher education institution,
- analyse and reflect on your own project and formulate adequate follow-up measures,
- plan and steer communication and implementation strategies for change in your own institution,
- know how to deal with resistance in higher education institutions, how to avoid it and how to overcome it,
- know how to formulate and plan activities to foster and strengthen quality culture at your institution.

Chapter 1

Internal Quality Assurance Systems – Ready for Change

1	Internal Quality Assurance Systems – Ready for Change	13
1.1	Where Are We and Where Do We Go?	13
1.2	What is a System?	14
1.3	What is an Organisation?	15
1.4	What is an Internal Quality Management System and When Do We Need It?..	19



On successful completion of this chapter, you should be able to...

- identify and reflect on the key elements of designing an institutional quality management system at higher education institutions,
- explain the concept of a system and different functions of a system according to Parsons,
- differentiate the particularities of higher education institutions as special forms of organisations.

1 Internal Quality Assurance Systems – Ready for Change

1.1 Where Are We and Where Do We Go?

Teaching and learning is a core competence of higher education institutions (HEI). Therefore, designing, “The whole is greater than the sum of its parts” is a well-known quotation from Aristotle’s metaphysics. With regard to internal quality assurance, modules 1-4 have shown which parts belong to the whole. In the course books, we have defined quality and got a basic understanding of different quality assurance concepts. We have presented approaches towards a quality policy, and we explained how instruments of data collection that are based on social-scientific foundations can be used to generate those valid foundations that we need to make statements in quality assurance. In addition, we introduced evaluation as one of the most important methods for quality assurance. Next, we discussed the most important linkages to external quality assurance, i.e. accreditation systems, and illustrated how quality managers need to generate empirical evidence in the process of curriculum alignment. Finally, we have shown how the abundance of single data can be structured in a systematic information and data management with an effective reporting system in place. All these single parts are parts of the internal quality management system. And still, the system is more than the synopsis of these single parts.

This module is about how the single tools and procedures can be combined to form a whole system and which preconditions are required so that the internal quality assurance structures can contribute to a quality-sensitive and sustainable development of your higher education institution.

However, you should keep in mind that even when some tools are working properly, this does not guarantee that quality assurance as a whole is working effectively and efficiently at your higher education institution. Instruments and procedures of quality assurance are interlinked with other instruments and procedures of higher education development. For instance, what impact can instruments of quality assurance have if they do not match into a system of continuous teaching development and if they are not part of an institution-wide system of steering and development? How can we drive developments in general if we do not continuously develop the higher education institution’s most important resource, its staff?

In other words: Embedding quality assurance in the larger system is a necessary process that must be implemented within an institution when single instruments have already been tested and used. Such instruments can only be used successfully if we reflect on the strategic goals that enable their use and on the questions that they are supposed to answer.

[Chapter 2](#) describes the process of embedding quality assurance in the system in more detail and points out how it can be implemented. The following excursus to systems ([Chapter 1.2](#)) and organisational theory ([Chapter 1.3](#)) serves as an introduction that will enable readers to follow all aspects of the discussion.

1.2 What is a System?

Since the days of the ancient world, the term “system” has referred to the linkages between parts and a greater whole. One of the striking characteristics of this term is that it has always been understood in two ways: First, it may refer to something that is naturally given and second, it refers to something that has been constructed or made. In a nutshell, the history of this concept can be interpreted as an ongoing process of giving up the notion of the “naturally given” in favour of recognising the artificiality and constructedness of systems.

In the mid-20th century, the philosophical concept of a system was put into the centre of the system theory with a somewhat new context. Ludwig von Bertalanffy was the first to define a system as linked interactions that establish a border towards their environment which in turn consists of other linked interactions (Bertalanffy 1950, 143).

What is a system?

Based on this, in dictionaries the system concept is usually described as a sum of structured elements with characteristics that are linked to each other. These linkages are not randomised but they are structured according to a certain order, which can also be defined as the organisation of a system.¹ Systems tend to hold their structures in an equilibrium of continuity and stability. Systems also react to changes in their environment and parts of the system react to changes in other parts of the system. Every system aims at a specific goal to be achieved and with it, it can be distinguished from other systems or its environment that is not part of the system. That means every element of a system has a function to maintain the structure of the system. (Bertalanffy 1968)

Talcott Parsons' general system theory

In this context, the sociologist, Talcott Parsons shaped discussions on system theory fundamentally. He defined actions as constitutive elements of social systems. With his so-called “general system theory”, he tried to explain the stability of a system and with it of societies (Parsons 1951; Shils & Parsons 1951). According to Parsons, there are four different functions that have to be fulfilled to keep a system stable: He summarised these functions in the so-called AGIL model:

- **(A) – Adaption** of a system to its environment is a prerequisite for goal attainment.
- **(G) – Goal** attainment requires that goals are defined and that the required conditions to attain such goals are set.
- **(I) – Integration** of system elements in such a way that the pre-set goals are achieved.
- **(L) – Latent** pattern maintenance to stabilise the system structure to be able to deal with conflicts between or within the acting members of a system.

Coming back to higher education institutions, we can also define them as rather stable systems that have survived (similar to churches) for centuries. That means that they seem to have a rather stable structure of the different elements. The core purpose of higher education institutions could be described as creation and distribution of knowledge.

¹ For more information on higher education institutions as special forms of organisation see [Chapter 1.3](#) below.

² Bertalanffy, L. von. (1968). *General System Theory: Foundations, Development, Applications*. New York: George Braziller.

If we look at the organisation of higher education institutions, we often talk about “HEI as special forms of organisations” because they are characterised by some particular organisational criteria. To be able to explain and discuss such particularities, the following subchapter gives a short introduction to the organisation concept as such.

1.3 What is an Organisation?

In everyday language we can observe that the term “organisation” can have different meanings. An organisation can describe a structure or entity, but also a process. One way to define an organisation is a systematisation in a functional, institutional and procedural organisation concept. (Meisel & Feld 2009, 45 et seq.)

The **functional concept** describes an organisation as a task to be fulfilled to attain the goals of an institution. It is the instrument used by the management to control production processes. Workflows are structured permanently by organisation. According to this, an institution “has” an organisation.

Functional
organisation
concept

The **institutional concept** defines an institution as a (social) system that pursues goals and has a formal structure. In this case an institution “is” an organisation.

Institutional
organisation
concept

A more activating approach refers to the **procedural concept** that focuses on the processes of organisation, meaning organisational formal and informal regulations inside but also outside an institution that are fundamental to carry out processes in an institution.

Procedural
organisation
concept

Based on this, we can summarise some **key characteristics of an organisation**:

1. An organisation has a specific and intended purpose.
2. An organisation has a formal organisational structure based on proper technical regulations that are divided and linked into different functions and different responsibilities to realise such functions.
3. The membership of an organisation can be manifested in different ways (e.g. under constraint or based on shared values). With it, it contributes to creating a social entity that is open to its environment, but also separated by non-affiliation/membership.
4. The members of an organisation can also be defined as task managers whose activities contribute to attaining pre-set goals.
5. The limits of the organisation are permanent. They create an “inside” and an “outside” of the organisation and with it contribute to stability.

Typical
characteristics
of an
organisation

In reality, such characteristics often cannot be identified in such an explicit way but they are changing or not that transparent due to different influencing factors.

The structuring
of organisa-
tions by
Henry
Mintzberg

Considering these characteristics, the Canadian scientist, **Henry Mintzberg** has differentiated six forms of structuring organisations: simple structure, machine bureaucracy, professional bureaucracy, divisionalised form, adhocracy and missionary. He systemised these configurations according to five fundamental elements of an organisation that can be inherent to varying degrees: **the operational core, the strategic apex, the middle line, technostructure, and support staff.** (Mintzberg 1979) This systemisation helps to describe organisations with regard to their appearance but also behavioural patterns that are inherent to the respective form of organisation.

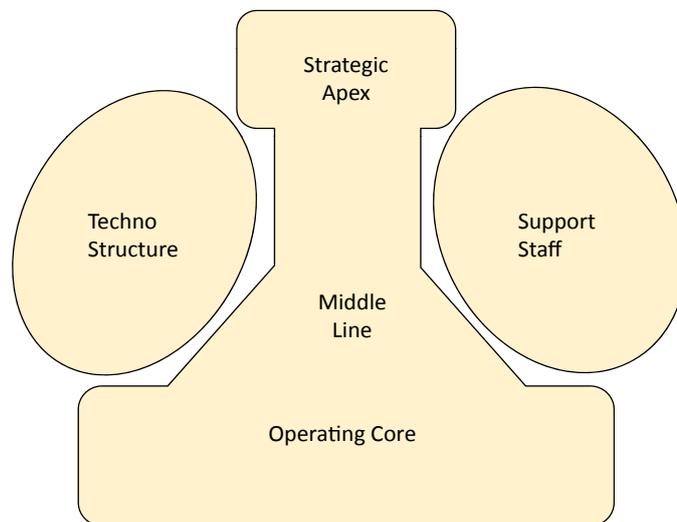


Figure 1 *The Five Parts* (Sherwin 2009)

Based on these categories, Mintzberg attributes higher education as **professional bureaucracies**. What does that mean? According to Mintzberg, in professional bureaucracies the most important part is the operating core with the professionals (professors) working in it. Their knowledge and expertise is essential for the organisational success. The professionals are supported by support staff according to their respective needs. These staff members provide the administrative basis for the operating core, solve conflicts or link the professionals with the external environment. Professionals are in close contact to their clients (students). However, they work more or less independently from their colleagues. That is why the technostructure and middle line are less developed because work in the operational core does not include extensive coordinating needs. The few coordinating needs that exist between professionals are managed through standardisation of qualifications and knowledge as well as through standardisation and categorisation of tasks and processes. This goes hand in hand with a rather decentralised structure without a strong central leadership. Based on this, professionals work rather independently and autonomously. Their autonomy can be seen as a prerequisite for their work (research and teaching). Concluding, we can argue that the more important the knowledge, the more autonomous is the professional.

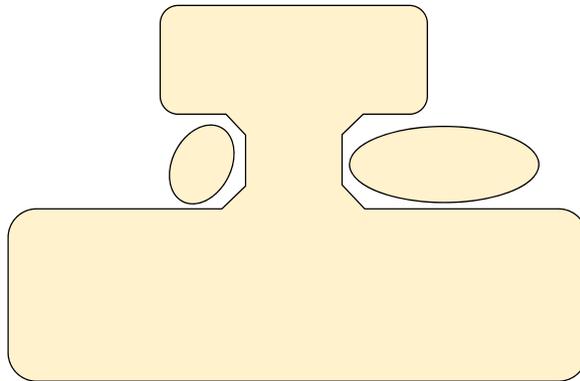


Figure 2 *Personal Bureaucracy (Sherwin 2009)*

Considering this, Mintzberg defines higher education institutions as organisations that follow a fundamental bureaucratic orientation in which professionals influence and design decision-making processes at the same time. Cohen, March and Olsen (1972) also talk about an “organised anarchy”. This concept already indicates different challenges for an organisation as characterised above: Independent and autonomous professors can have different goals that in addition can also differ from the goals of the whole organisation. This can provoke conflicts on how, when and by whom to attain such goals. Furthermore, professors normally feel more responsible to their own profession than to their organisation, since their career paths follow the logic of their respective profession instead of the organisation. According to their understanding, the organisation is only necessary as a frame that helps to achieve resources in terms of books, laboratories, computers etc.

The organisational researcher, Karl E. Weick, considered these conditions and shaped the theoretical discussions on higher education institutions with the concept of “loosely coupled systems” (Weick 1976) that are existing autonomously next to each other, (sometimes) without being connected, but still belonging to the same organisation. This includes, that organisational goals can differ from the individual goals of the members of such loosely coupled systems in a higher education institution. One resulting challenge is to deal with these differing and sometimes contradicting goals, to overcome resistance and with it manage the loosely coupled systems effectively for the organisational but also individual success in a changing environment (also see Module 1).

Based on the aforementioned discussion on the system and the organisation, a quality management system at higher education institutions has to consider “two sides of the coin”. First, we have to find out what are appropriate criteria to define quality in research and teaching. Second, we have to define adequate structures, instruments and procedures to ensure this quality, both internally as well as externally. This means, that a quality management system at higher education institutions is not a “one man (or woman) show”, but (and as we have learned from the previous modules) it is something that involves all members of the organisation, considering their different roles and functions with which they contribute to the system.

What Do We Mean with Loosely Coupled Systems?

We can define loosely coupled elements as incidents that are influencing each other, but are keeping their own identities and particularities at the same time. Loosely coupled systems that are part of a bigger system make that different values and rational criteria can exist next to each other. These can be characterised by different workflows, technical languages or cultural values that are the basis to attain and develop certain objectives.

However, considering the change processes of the last decades, one might assume that such systems are not that loosely coupled anymore. Instead, we can observe increasing structured linkages between the different systems that shall help to succeed in a changing higher education environment and to deal with increasing and more diverse student numbers, recognition of qualifications, academic mobility etc. Such changes go hand in hand with a bigger need for central and/or interdisciplinary collaboration and coordination between and within the core processes of research and teaching. Comprised under the notion of the “third space” (for more information see further reading), higher education management approaches arise to deal with these changes.

One of the challenging factors in this regard is that the knowledge about the effectiveness of defined formal regulations, structures, procedures and instruments is always incomplete. Since we cannot anticipate all consequences, they are always imperfect. That means that the coordination of the different activities within an organisation usually happens without knowing the human beings behind such activities and their respective performance levels. Normally we cannot anticipate or even control the behaviour of the members of an organisation. By consequence, we can observe both, efficient workflows and communication flows, but also tensions and conflicts between the involved stakeholders. Due to this, leadership of an organisation is very important. It can influence human behaviour when organisational means are not sufficient. Considering the particularities of leadership and autonomy within higher education institutions, it is rather difficult to find a good equilibrium between formal regulations as structural frame for the system, an accepted leadership of the whole institution, and leaving enough autonomy and with it freedom for innovation and creativity in knowledge production and knowledge transfer.

Finally, it is the human beings and the way they communicate, interact and work together, which forms the basis for a stable and functioning organisation. That also means that higher education institutions have to develop their individual approaches for a systematic strategic management that fits to the needs of their institution (see [Chapter 3](#)). Such an understanding refers to the organisational approach of higher education institutions as learning organisations (see Module 1, Chapter 2.4.3.).

According to this, we can sum up some key tasks that should be considered when aiming at stable and effective higher education institutions that are able to deal with a changing environment (Curado 2006):

- Finding and working on systematic solutions for existing problems.
- Experimenting to find innovative, creative and new solutions.
- Learning from former experiences.
- Learning from what others have already learned.
- Facilitating transformation (based on higher education management).

1.4 What is an Internal Quality Management System and When Do We Need It?

Based on the described theoretical frame of a system and an organisation as such, we now want to focus on the core definitions of an internal quality management system. In the scientific community, an internal quality management system has yet to be precisely defined, even if models of internal quality assurance (see Module 1) are quite elaborated and widely accepted. Therefore we will focus again on the existing definition of a quality system given by Harvey (2004-2014).

Reflecting on Harvey's definition of a quality system and considering the discussions of the two last chapters, we might admit that this definition is still somehow superficial and does not catch all the important dimensions of a quality management system.



Quality System

“A quality system is a set of integrated policies and practices that structure the management, implementation and adaptation of quality assurance processes.”

(Harvey 2004-2014)

To put it more concretely, an **internal quality management system** refers to the procedures, instruments and measures at higher education institutions to fulfil external standards and criteria as well as internal standards and development targets according to the quality of their fields of activity.

Definition
of internal
quality
management
system

Based on this, a quality management system has to respond to rather different stakeholder purposes and needs: a professor is interested in how to ensure the quality of his research and teaching activities. A dean might want to strengthen the focus on how to fulfil external quality standards but also internal quality development targets for the faculties study programmes. The higher education institution top management might think about adequate incentives of recruiting and binding academics to the organisation.

Criteria for a quality management system, based on the above mentioned discussions on systems and organisations:

- a) Make clear and transparent what is or what are the purpose(s) of quality assurance of the higher education institution.
- b) Define appropriate instruments and procedures to attain defined goals and purposes.
- c) Define a formal organisational structure that makes clear the respective functions and responsibilities within the quality management system.
- d) Integrate the different functions and responsibilities in such a way that the pre-set quality assurance purposes are attained.
- e) Develop and enhance coordination and communication flows between the different involved stakeholders.
- f) Carry out latent pattern maintenance to stabilise the system structure in order to be able to deal with

conflicts between or within the acting members of a system. (see Parsons' approach on p. 11 of this course book).

Considering these criteria, we can notice that quality assurance at higher education institutions has become rather complex and comprehensive. Historically, forms of quality assurance of higher education have been mainly practiced by the scientific community itself. Today, quality assurance of the core processes research and teaching has been partially transferred to a large extent to organisational and with it managerial responsibility (Meier2009, 7 et seq.). This means that quality assurance instruments are questioned more critically with regard to their appropriateness and developed respectively. Based on this, the systematisation of the proper scientific quality assurance includes a professional strengthening, as well as a structural externalisation at the same time.

Modules 1-4 have introduced the different aspects of assuring quality at higher education institutions. Based on this, we have discussed the strategic and structural framing of quality assurance at higher education institutions. We have analysed different tools and procedures that are essential to operationalise quality assurance according to the respective goals. We got to take a closer look at quality assurance in teaching and learning, and the role of quality managers with regard to curriculum development and programme evaluation/review. Furthermore, we gained an insight on information management and different possibilities of using data as performance indicators and establishing effective reporting systems.

Based on this, we can summarise that internal quality assurance is not an issue that we can discuss isolated from the higher education system and its different elements. Instead, internal quality assurance is of overarching importance and should be considered with regard to all elements of a system and the system as a whole. An established quality management system may help to close the gaps between (loosely) coupled systems and strengthen linkages and communications between different involved stakeholders. In doing so, a quality management system might facilitate continuous learning and transformation and with it enable a higher education institution not only to survive but also to succeed in a changing environment. This means that an internal quality management system not only focuses on internal purposes, but it is also able to serve external purposes by addressing and meeting requirements, standards and goals set by external stakeholders (such as ministries, accreditation agencies etc.). Regarding the latter, a quality management system often aims at making higher education accountable, e.g. with regard to academic mobility and recognition.

Questions & Assignments

1. To what extent does your HEI correspond to Mintzbergs' category of a professional bureaucracy?
2. If you think of your HEI as a special form of organisation, how does it influence your functions and responsibilities? What can you do to deal with these obstacles?

Further Reading

- Bertalanffy, L. von (1968). *General system theory. Foundations, development, applications*. New York: George Braziller.
- Mintzberg, H. (1979). *The structuring of organizations*. New Jersey: Englewood Cliffs.
- Whitchurch, C. (2006). Who do they think they are? The changing identities of professional administrators and managers in UK higher education. *Journal of Higher Education Policy and Management* 28(2), 159–171.
- Whitchurch, C. (2008). *Professional managers in UK higher education: Preparing for complex futures. Final report*. London: Leadership Foundation for Higher Education.

Chapter 2

Internal Quality Management Systems

2	Internal Quality Management Systems	23
2.1	Working on the Big Picture	23
2.2	Learning from Others	24
2.3	Systematisation of a Quality Management System	25
2.3.1	Quality Circle as a Sign of Constant Development	25
2.3.2	Strategic Planning as a Key Element of Quality Circles	26
2.3.3	Communication – the Key to Get Processes Started	27
2.3.4	Wrap Up: Essentials When Working on the Big Picture of an Internal Quality Management System	31



On successful completion of this chapter, you should be able to...

- systemise quality for the different areas of your institution,
- translate manuals, checklists and models of quality assurance according to the own needs and particularities of your institution,
- get a basic understanding of the essential elements on the road to developing and establishing a quality management system,
- facilitate communication and workflows between different involved stakeholder groups (internal/external; central/decentral level),
- distinguish and define necessary responsibilities as a fundamental basis to make a quality management system work.

2 Internal Quality Management Systems

2.1 Working on the Big Picture

Based on the previous modules we have already learned what quality assurance and quality management in higher education institutions are and why it makes sense that higher education institutions take quality assurance approaches and consider them within their organisational systems.

A short reminder:

The main reasons why higher education institutions focus on quality assurance can be summarised with the following aspects:

- As a fundament that facilitates learning and transformation in a changing environment.
- To allow a qualitative classification of research and to teach by comparison to better evaluate and estimate one's own position.
- To know the performance quality in research and to teach to improve controlling and management.
- To deal with a growing (international) competition in research and teaching (e.g. by agreeing on common (international) quality standards as minimum requirement for the implementation of study programmes).

Quality assurance can be understood as a subset of quality management. It includes the implementation of planned, quality-related measures such as evaluations of research and teaching.

Quality management can be taken as an extensive concept of leadership- and organisational development, including a balanced analysis, planning, management, and controlling of all quality-related aspects within an organisation.

Concerning research and teaching this means that quality becomes a result of different, but interlinked activities in these fields, which need to be managed. According to Deming's PDCA cycle this includes especially the strategic integration of quality objectives (planning), the organisation of processes (doing), the control of results and their possible effects (checking) as well as the feedback and follow up of results/effects with regard to the original quality objectives (acting).

"Quality management at higher education institutions takes place in a contrasting context that includes aspects such as self-reflection and external evaluation, but also controlling and self-organisation, as well as individuals and the organisation as a whole. These six aspects do not only complement one another, partially they are also contradicting. This makes the reality of quality management at higher education institutions a rather different venture."

(Nickel 2007, 19)

Talking about the big picture of a functioning internal quality management system, we will discuss what decision makers and quality managers should consider when linking different quality assurance elements in terms of achieving defined strategic objectives effectively and sustainably. This includes the question of responsibilities quality managers have to be given to be able to deal with their tasks and interact with the involved stakeholders.

2.2 Learning from Others

When it comes to the question of implementation and use of adequate instruments, we have already learned that quality assurance approaches cannot simply be copied and transferred one by one (see Module 1, Chapter 1.2). Every higher education institution has to consider different internal and external conditions. Due to the fact of power-sharing structures between the management and the world of academia, higher education institutions consist of a construct of multiple and complex targets, structures and processes. Consequently, action processes seldom seem rational but more as a potpourri of many small and uncoordinated steps.

Based on this, theoretical approaches of quality assurance and good practices for using certain instruments and methods can be a stabilising fundament and offer helpful ideas to structure quality approaches. However, it is up to every higher education institution to deal with such ideas creatively and to adapt and develop them according their own needs. Finally, this is a fundamental prerequisite to develop quality cycles, to find existing gaps and complete the circle, and to continue with a follow-up to establish a holistic and integrated quality management system.

According to this, manuals and checklists, as we have also experienced during our training, offer a helpful complement and basis to structure working processes. However, it should be realised that they cannot be understood as an easy recipe to prepare a delicious meal by simply mixing the ingredients exactly as described. In fact, the organisational connections are far more complex, and systemising strategically practical approaches always includes the consideration of many internal and external context factors. In doing so, we can discover and make transparent different stakeholder needs, interests and objectives, set priorities and decide about adequate action approaches to deal with them.

That means, that quality work especially becomes a creative job which basically consists of communication and – to keep the recipe – metaphor – “adds the salt to the soup” to make the whole system work. Theoretical approaches on quality assurance (see Module 1) offer a supporting frame to establish one’s own quality assurance structures that fit to the special needs and demands of the respective higher education institution.

First of all, we have to find out about the key objectives of quality assurance by using appropriate communication flows. For example, do we want to focus especially on the organisational processes, necessary to manage and enhance teaching and research? Or are we even more interested in different context factors and the interplay between different internal and external stakeholders that influence the strategic objectives and their fulfilment? Or should we rather focus on results and outcomes, and the effective fulfilment of agreed objectives?

As soon as we have determined the objectives of quality assurance, we can decide on (appropriate) instruments and methods to find suitable answers to our questions. This means that a quality manager first of all should analyse critically if instruments such as benchmarking, a balanced scorecard or other concepts fit adequately to his/her own institution and its strategic objectives. Which side effects can already be anticipated and should be considered with regard to the implementation? Are there sufficient resources (in terms of finances, staff and material) to use a specific instrument?

An honest and careful answer to these questions is an essential basis to create effective and efficient quality cycles.

2.3 Systematisation of a Quality Management System

2.3.1 Quality Circle as a Sign of Constant Development

The conception, implementation and enhancement of quality assurance measures generally happens parallel in different areas and is mutually dependent: At the moment of implementation, very often new ideas arise which can be considered and integrated into the existing organisational processes. That means, quality cycles not only include checking but also developing and enhancing quality. Based on comparisons of targets and performances as well as planned and achieved objectives, we can draw conclusions for continuous learning and improvement cycles to enhance and develop effectively the organisation, including the core processes of research, teaching and supporting structures.

Based on this, quality assurance can be understood as a key element of a “learning organisation” (Braybrooke & Lindblom 1963; Dill & Beerkens 2013; see Module 1, Chapter 2.4.3) for example, by using

- scholarly inquiries,
- effective peer accountability for the quality of academic programmes,
- validity of unit-level academic decision-making,
- systematic identification and dissemination of best practice for improving in all subject fields (Dill & Beerkens 2013).

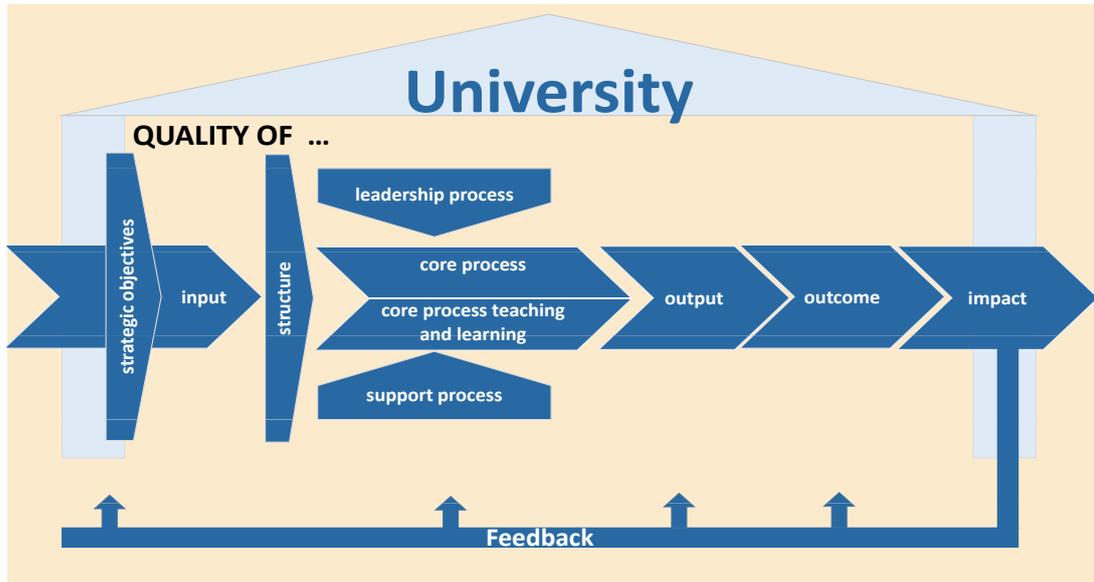


Figure 3 Systematisation of a quality management system (own illustration based on Nickel 2007)

The illustration of the quality management system (see Figure 3) puts the core processes research and teaching at the heart of all the processes of a higher education institution. This means, the existence and the success of the higher education institution are strongly linked to the performance quality in these processes. The other processes – meaning the leadership processes of the vice-presidency and deanship as well as the supporting processes of the administration services – are meant to support the successful development of the core processes.

Both, core and supporting processes are determined by the organisational structure of the higher education institution, its strategic objectives and the necessary and available input to get such processes started. The structure and the strategic objectives provide the frame to design the inputs. This especially includes quality-supporting decision-making and mechanisms of resource allocation, but also an appropriate human resource management, recruiting well qualified staff and offering further education training. Furthermore, the input can also include external aspects such as third party funds for human resources or infrastructure or certain political objectives that have to be considered by the higher education institution (e.g. certain quality standards for the curricula of study programmes; deployment of professorial chairs for particular teaching areas; the internationalisation of research and teaching etc.).

2.3.2 Strategic Planning as a Key Element of Quality Circles

Put simply, we can define a strategy as “a master plan to pursue overarching objectives” (Berthold 2011, 16). Considering this, a strategy offers an adequate basis to deal with modernisation processes and to manage effectively organisational changing processes to support the management of a higher education institution.

Having a strategy, in the following we can position the higher education institution by analysing its strength and weaknesses and identifying possible opportunities and threats (SWOT-analysis). Considering the resources available for certain aspects (in terms of finances, human resources, and time: = input), we can develop and

implement adequate measures to achieve the defined strategic objectives. Using report systems based on key-performance indicators, in the following, we can evaluate the added value and the success of the chosen path (for more information about reporting systems see Module 4)³.

Reflecting on the last two paragraphs, the development and implementation of a strategic plan does not seem to be too difficult and complicated. However, reality shows that a) strategies often fail and b) there is a big discrepancy between a defined strategy of a higher education institution and the way the staff actually works. The reasons for this are often twofold. Firstly, the failure of strategies and the related reform approaches can often be explained by a mismatch between a reform design and the cultural/historical characteristics of higher education institutions. Other explanations can also be that reform packages have been poorly designed as such; or various reform incentives prove to be different than expected and often contradictory.

Secondly, it is common knowledge that members of higher education institutions are often unaware of an existing strategy that should be the basis and determine their actions within the framework of the institution. This discrepancy should be considered especially when conceptualising strategies, for example the conceptualisation of a higher education institution development plan and added values for the institution. It becomes clear that the development and implementation of strategy plans at higher education institutions are rather difficult in the long-term, since they are permanently influenced and developed by different stakeholder groups. This is not always a bad thing. Good planning rather offers the possibility to deviate by control. Additionally, strategy plans should strengthen and stabilise the underlying problem perception. The existence of a plan itself forces the involved stakeholders to act, no matter in which direction such action goes. Most recently, a strategy plan also offers a good opportunity to support the institutional external presentation by systemising and prioritising the existing objectives of a higher education institution and with it creating possible linkages for external stakeholders (Henke, Höhne, Pasternack, & Schneider 2014, 81 et seqq.).

Strategy vs.
Reality?

2.3.3 Communication – the Key to Get Processes Started

A key requirement to achieve the agreed strategic objectives in the core- and supporting processes is the constant work on communication, giving the involved persons sufficient and clear information on what they should do, how, with whom, and for whom. In Module 4 you already received an insight into information management at higher education institutions (see Module 4). This chapter narrows the focus on communication flows, selecting some examples that show the importance of suitable and working communication tools and procedures to make a quality management system live up to its purpose.

A quality management system of a HEI should be framed by a **common mission statement** of the higher education institution that puts the key ideas of the concept of assuring, developing and/or managing quality into words. This mission statement should be communicated to all members of a higher education institution, and with it be integrated into everyday work life, for example by offering workshops, newsletters or internal conferences, or also by designing an institutional logo to strengthen the corporate identity. In doing so, members of a higher education institution start to “share a common body of knowledge and a set of strong but tacit norms which influence professional behaviours” (Dill 1995, 9). Sharing some academic ethic and having

³ If you want to learn and read more on strategic planning, please check the further reading list.

a common understanding of academic objectives and outcomes are a fundamental basis to be able to define certain quality criteria in teaching and learning, research or the organisation itself.

As we have learned, such quality criteria are not the same, nor identical at all, but they are complex and partly also contradictory due to differing quality requirements of faculties and departments. That is why it is not easy to agree on something like a common-sense of quality. In fact, we can observe almost no consensus and a “declining cohesion within many disciplines, increasing opportunistic behaviour among faculty members” (Dill 1995, 9). What can a quality manager do to deal with this? The following paragraphs provide some impulses that quality managers should take into account during their daily work.

Communication – a fundamental basis to deal with resistance

Resistance and blockades always have to be expected, no matter if it is in terms of the implementation of a quality assurance concept or other reform approaches. New ideas are often regarded with scepticism, and processes of change as not necessary. One main reason is that long established routines and habitual rituals have to be given up: “Individuals [only] change due to the fact that there is no alternative but to accept” (Varghese 2004).

Quality managers should expect such resistance and opposition and actively deal with them. That means they should pay attention to the respective objections and behaviours, they should explain why certain changes are necessary and how these changes will be processed. They should reflect the objections critically and, if it makes sense, take them into account during the changing processes.

Therefore, changes should not simply be decided top-down but their purposes and the necessary actions should be explained and made transparent. To be able to do so, a quality manager should – in mutual consent with the leadership – find advocates who support and underline the added value of a quality assurance system. In addition, the quality manager should ask the critical stakeholders about the reasons for their negative and opposing attitude. Very often, such attitudes have rather good reasons. As previously mentioned, objectives may often provide useful suggestions that should be considered with regard to designing and implementing appropriate actions.

It is not easy to deal with resistance in an open way and to consider critical aspects or weaknesses. However, it is important and should not be underestimated for a successful and sustainable implementation of a quality assurance system that is accepted and lived actively by the members of the institution.

Communication by participation

You can already see that dealing with resistance in the end refers to organising effective ways of participation among the involved stakeholders. Participation becomes a key element of effective organisational development in an institution that goes beyond checking and controlling, but also includes collaboration between its members that is built on trust and openness for different perspectives.

“What we need to decide, as individuals, organisations, and societies is how to combine checking and trusting.”

(Power 1997, 2)

Participation can exist in various dimensions and be arranged quite differently. Depending on the objectives, it can be reasonable and very useful. Very often, participation contributes to strengthening acceptance for something, in this case for a quality assurance system. For example, the common allegation “we didn’t know that at all”, can thus be easily responded to.

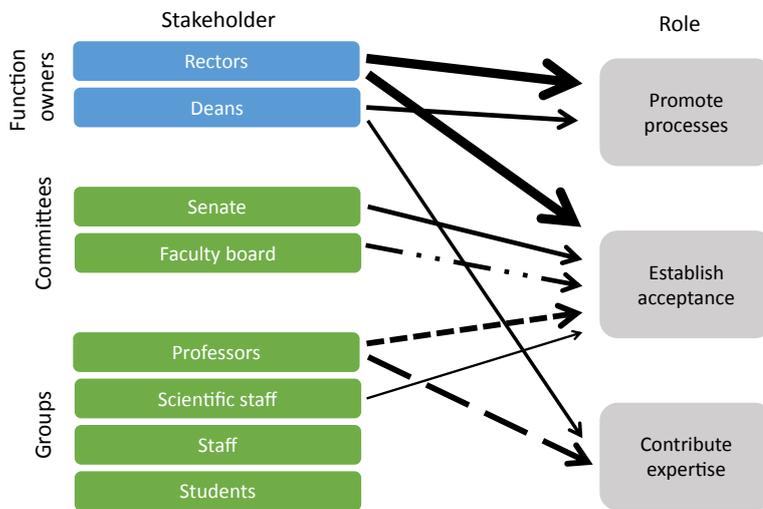
Furthermore, the exchange between colleagues (from peer-to-peer, so to speak) can be used to maximise the existing expertise of the different disciplines and units to analyse and deal with certain issues appropriately.

Participation can be achieved by including the involved stakeholders in discussions about the respective issue (e.g. commissions/working groups with deans, student representatives, professors, or others). The composition of such talks can be very important and should be considered carefully (see Module 1). However, finding appropriate selection criteria of participation in a certain working group can often be rather challenging and should not be underestimated but prepared well.

“Assuring quality in academic programmes will require more than encouraging rational university choices by students, or providing positive incentives for faculty members to reach. It will also require re-weaving the collegial fabric of academic communities, the collective mechanisms by which faculty members control and improve the quality of academic programmes and research.”

(Dill 1995, 107)

According to this, one key challenge is to find a good balance between a broad and intense participation of the institution members, but also to strive for quick and adequate results. This means that the management should have an idea about how much participation and by whom is useful to achieve the defined objectives. They should explain the different formats of participation, communicate clearly the respective expectations, and they should make transparent who decides what and when.



Explanation: the thicker the arrow, the greater the stakeholder's participation and impact. Continuous arrows symbolise regular influence. Broken arrows represent less significance.

Figure 4 Participation and impact (Berthold 2011, 90)

All this requires a lot of patience and persistence and also the possibility to offer attractive incentives that are able to reduce uncertainty and with it resistance regarding the turn of certain objectives. Taking the example of study programme development, we have to consider that public educational programmes are designed to fit into multiple objectives, be it individual aspirations, be it political and social objectives and expectations, or even others. That means that some may benefit more, some less, others may even be negatively affected by certain changes regarding such programmes. In the end, institutional change depends a lot on the perception regarding the distribution of benefits. (Varghese 2004)

In short, Pascarella and Terenzini put it as follows:

“Knowledge of the needs of customers, and knowledge of variations in inputs is crucial to quality design, but most critical is the pooled knowledge and experience of the workers themselves integrated through collective mechanisms of communication and quality assurance.”

(Pascarella and Terenzini in: Dill 1995, 103)

If quality managers should have an integrating interface function in this context, the consequence is that they have to be provided with the necessary responsibilities for action to be able to negotiate necessary “incentives to participate” during reform processes. This requires a rather close cooperation between the management and the quality manager. Otherwise, there is a risk of disconnecting the quality assurance processes from the original needs and strategic objectives of a higher education institution. Sometimes, we can observe that a quality assurance unit is established, that evaluations (especially on teaching and learning) are processed, including (at best) publishing results and agreeing on targets. However, at the same time such processes often also include the production of enormous data which is not used for particularly defined quality objectives, but at the most for legitimising purposes (e.g. fulfilment of reporting obligations to the ministries).

Considering this, there is a risk of losing the big picture and provoking decoupled parallel actions. In practice a permanent challenge is the follow-up. We collect lessons learned, theoretically develop approaches for adequate follow-ups, but apparently we are not able to put such follow-ups into practice in terms of quality enhancement.

The critique can be formulated as follows:

“When evaluations are not linked to decision making, (...) no changes are made, no improvements are achieved.”

(European Training Foundation 2009, 25)

2.3.4 Wrap Up: Essentials When Working on the Big Picture of an Internal Quality Management System

The leadership of higher education institutions and quality managers should especially keep in mind the following aspects when establishing quality assurance structures.

Taking decisions	<ul style="list-style-type: none"> ■ The higher education institution management is responsible for taking the necessary decisions to realise the respective action processes to achieve the strategic and operative quality objectives. ■ This also means that quality directors and/or managers are provided with the corresponding responsibilities to be able to support the leadership with adequate and convincing recommendations for decisions, e.g. with regard to strategic planning or controlling.
Strategic planning	<ul style="list-style-type: none"> ■ The development of a strategy is a fundamental basis for the establishment of a quality management system. ■ To implement a strategic plan, the higher education institution members have to know the strategic plan and the resulting action procedures have to be clear.
Linking the central and decentral levels of a HEI	<ul style="list-style-type: none"> ■ Communication flows between the central and decentral level should be effective and transparent with regard to responsibilities to ensure the fulfilment of the multiple objectives at a higher education institution.
Continuous feedback and critical reflection in quality cycles	<ul style="list-style-type: none"> ■ Connect quality management elements to an institution-wide quality cycle to enable continuous feedback loops and provoke learning effect. ■ This also includes informing the involved HEI members about the agreed quality objectives, the instruments to be used for their fulfilment and the resulting action processes. This is an important basis to reduce resistance and to win advocates. ■ The continuous improvement of quality cycles includes a permanent critical reflection of the quality assurance instruments in use and the willingness for change.
Quality-controlling	<ul style="list-style-type: none"> ■ A continuous, careful and honest checking of the data that is used for quality-controlling and how to provide and analyse such data to guarantee a valid meaning concerning its objectives.

Workload and time	<ul style="list-style-type: none"> ■ Faculty staff workload regarding QM should be reduced as much as possible. ■ This also includes showing patience and giving people enough time to get involved in change processes.
External quality demands on research and teaching	<ul style="list-style-type: none"> ■ Integrating external and internal quality demands on research and teaching and with it supporting the success of the HEI (see Module 3, Chapter 5.3).
Balancing internal conflict fields of a HEI	<ul style="list-style-type: none"> ■ Balancing internal conflict fields, meaning to develop the institution as a whole, but also leaving enough space for individual interests of faculties or individual academics.

Table 1 Essentials of establishing internal quality assurance structures (own summary based on Nickel 2007)



Further Reading

If you want to learn and read more on strategic planning, the following literature might be of interest:

- Keller, G. (1983). *Academic strategy*. Baltimore, MD: Johns Hopkins University Press.
- Maassen, P. (1992). Strategic planning. In B. Clarc & G. Neave (Eds.), *Encyclopedia of Higher Education*. Oxford: Pergamon Press.
- Nickel, S. (2007). *Institutionelle QM-Systeme in Universitäten und Fachhochschulen: Konzepte, Instrumente, Umsetzung (Nr. 94)*. Gütersloh: CHE.
- Zbaracki, M. (1998). The rhetoric and reality of TQM. *Administrative Science Quarterly*, 43(3), 602–636.

Chapter 3

Internal Quality Management Systems as a Part of Strategic Management

3	Internal Quality Assurance Systems as a Part of Strategic Management	35
3.1	Definition of Strategic Objectives	36
3.2	Strategic Analysis	37
3.3	Strategic Development	40
3.4	Strategic Implementation	41
3.5	Strategic Control	43



On successful completion of this chapter, you should be able to...

- discuss and analyse approaches of strategic planning and change management as basic elements to bring together the different perspectives of the various management levels at HEIs,
- define appropriate assessment techniques matching the learning outcomes,
- discuss the differentiation of emergent and deliberate strategies with regard to the question of strategic implementation.

3 Internal Quality Assurance Systems as a Part of Strategic Management

We have already learned that there is a strong correlation between internal quality management and strategic management of higher education institutions. In their role as actors of institutional change, quality managers help to ensure strategic change at their higher education institutions. Depending on the structural/institutional embedding, quality assurance directors could be in the position to exercise direct influence on the strategic planning. That is why their role should not be underestimated. Through instruments and processes quality managers are able to add important evidence to decision-making processes.

Beyond that they play an important role in developing strategic positioning on current issues, due to a clear view of the institutional performance, its capabilities, strengths and weaknesses.

In order to carry out this role and to incorporate a newly formed unit for internal quality assurance into the inner higher education processes, detailed knowledge of the procedures and structures concerning strategic management is needed. The following subchapters provide the basis.

Taking into account the classic pentatonic **model of strategic management** (Mintzberg 1979), the development of higher education strategies is presented in five different steps:

Mintzberg's
model of
strategic
management

- a) Definition of strategic objectives (3.1)
- b) Strategic analysis (3.2)
- c) Strategic development (3.3)
- d) Strategic implementation (3.4)
- e) Strategic control (3.5)

Due to the fact that targets and measures of respective institutional processes can vary significantly, we want to introduce the applicable steps for all strategic processes and add specific perspectives with regard to internal quality assurance.

The classification of the strategic management process should not be constructed as a prescriptive model, whose consecutive logic has to be complied with. Experience shows that the steps can be linked with one another. The purpose of the following phase description of strategic management is to serve as an action-guide and to systemise tasks and processes.

3.1 Definition of Strategic Objectives

The most important instrument of strategic development is the formulation of organisational objectives, done by the key operating decision-makers of the higher education institution. This is important, especially since reality shows that in many organisations the emergent definition of project objectives takes place after the first steps and measures have already been carried out.

Five steps to define objectives

When defining concrete objectives, we have to consider the strategic focus behind it. Is it the field of teaching and learning, is it a human resource strategy to recruit experts with diverse competences to develop a broad research approach, is it internationalisation or a comprehensive quality agenda that is of interest?

When defining objectives, five steps should be considered:

Five steps
to define
objectives

1. Search for objectives: At first you have to find suitable and appropriate objectives for the institution. Environmental analysis, surveys or analysis of competitors might be helpful. Key questions could be: What is our goal or problem and what do we want to achieve with a solution? What makes sense and what do the others do? What is in line with the current situation of the higher education institution?

2. Operationalisation of objectives: Objectives should be formulated clearly. They have to be defined precisely regarding extent, responsibilities and possible deadlines.

3. Analysing objectives: Objectives should be transferred into a so-called target system to be verified with regard to their prioritisation and feasibility. Key questions are: Are the goals compatible with each other? Which objective is more/less important? Which priority has the achievement of objective A or B? Can the objectives be achieved within the framework of the defined period of time and with the required capacities (money/infrastructure/staff)?

4. Implementation of objectives: The objectives should be coordinated among all persons involved. This implies: the earlier stakeholders are engaged in objective decisions, the greater the probability that they identify with the whole process.

5. Reflection of objectives: The selected objectives should be reflected continuously during the whole strategic process, and adapted or even revised, if necessary.

For the definition of objectives the so-called SMART principle from (Doran, 1981) can be helpful. The SMART principle provides a clear and basic framework for defining and managing objectives. According to Doran, objectives should meet the following five criteria:

SMART
principle
from Doran

- a) **Specific** – define a specific area for improvement
- b) **Measurable** – quantify or at least suggest an indicator of progress
- c) **Assignable** – specify who will do it

- d) Realistic – state what results can realistically be achieved
- e) Time-related – specify when the result(s) can be achieved.

Note: *These criteria do not say that all objectives must be quantified on all levels of management. It is the combination of the objective and its action plan that is most important. Therefore quality management should focus on both objectives and actions.*

Role of a Quality Manager in the Process of Defining Strategic Objectives

A quality manager might be mandated with the following work packages to support the process of defining strategic objectives:

- define a specific area for improvement,
- quantify an indicator of progress,
- specify who will do it,
- state what results can realistically be achieved,
- specify when the results can be achieved.

The quality manager should collect these information in a brief note for documentation purposes. Everything that you have agreed on should be documented as a proof and reference. Based on this, you receive a fixed basis for further discussions and agreements with the respective stakeholders in the involved committees and boards.

If you want to achieve a rather broad reflection of strategic objectives, you should bring together the key decision-makers to discuss them intensively. It is worth investing enough time in in such a meeting to develop appropriate strategic objectives as a fundamental basis for any further strategic planning. Having defined the strategic objectives, further steps of adaption together with other formal or informal decision-makers might be possible, but depend on the respective structure of the institution. Due to the loosely coupled anarchic structure of higher education institutions, it is recommendable to consider feedbacks from the beginning.

The role of a quality manager during this process could be, for instance, the data-based validation of the defined strategic objectives, that means to check whether the objectives are suitable, measurable, and with it applicable for the higher education institution.

3.2 Strategic Analysis

Having defined the objectives, they should be consolidated based on a strategic analysis. For example, you might organise a SWOT workshop in which you assess the strengths, weaknesses, opportunities and threats of the respective objectives and analyse the underlying problems in detail.

SWOT Analysis

A SWOT analysis is a structured planning method used to evaluate the **Strengths**, **Weaknesses**, **Opportunities** and **Threats** of objectives. Historically, this method was developed in the 1960s at the Harvard Business School to analyse the strategic management in business companies. SWOT analysis can also be transferred for higher education institutions' purposes.

For instance, it is a rather popular instrument to analyse different processes, e.g. proposal proceeding for third party funds. It involves specifying the outcomes and potentials of the organisation and its environment and making prognoses on the achievement of objectives. Based on the analysis, one tries to get a precise picture of the higher education institution, which is important when it comes to define procedures and action lines in a strategic planning process as well as the subsequent performance monitoring

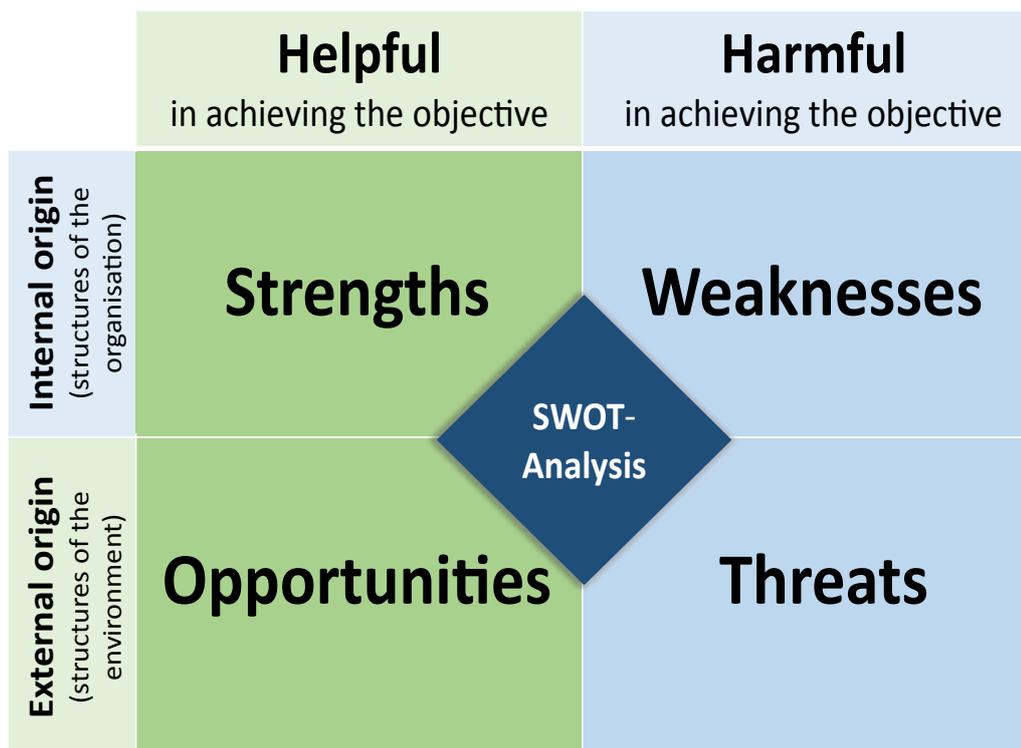


Figure 5 Swot Analysis

Analysis
of the
organisational
environment

For the analysis of the environment of an organisation, there exist several analysis tools used in business administration, for example the macro environmental analysis or the industry structure analysis. However, these tools are not really suitable in the higher education context. Müller-Böling (1998) has developed a cross table for environmental analysis of higher education institutions whose use is more recommendable (see Tabel 2).

Trends Types of environments	Current trends of the respective environment	Effects of such trends on the HEI	Resulting opportunities and risks for the HEI
Internal environment of HEI (professors, academic staff, administration)			
Demand-related environment (fulltime and/or part-time students, employers, providers of third party funds, alumni)			
Public environment (ministry, community, media, society)			
Macro environment (demographic, economic or political developments, technological and cultural change)			

Table 2 Analysis of environmental trends that are relevant for higher education (own illustration according to Müller-Böling 1998, 27)

The analysis inside the higher education institution can be supported by surveys, enquiries and statistical data-analysis. However, please consider that such additional investigations only make sense, if a (theoretical) awareness of the target group, the problems and areas to be analysed already exists. At the same time, also check which data is already available and might be useful as well.

Internal analysis of the HEI

Sometimes, we can observe that the analysis phase within strategic management at higher education institutions is conducted by an external provider. There are especially two reasons to do so: First, an external perspective can be helpful to achieve an accurate analysis of strengths and weaknesses. Internal analysis might be falsified due to wrong affiliations or missing objectivity in case of individual no-go areas of decision-makers. Second, many higher education institutions are still lacking units that are able to proceed methodologically-based internal analysis.

This situation is a good opportunity for quality assurance units to ensure such methodological standards for SWOT analysis and moderate such processes within the institution. In addition, this might also be a chance for

quality managers to gain further knowledge on institutional research – a scientific field that has its origin in American higher education management.

 **Institutional Research**

Institutional Research (IR) is a research approach that is derived from US-American higher education research. IR focusses on the collection and analysis of inner institutional data as a basis to explore the respective organisational system or its elements and their functions within the system. The results should provide analytical and empirical data to underpin strategic planning and decision-making processes.

According to Volkwein (1999, 17) Institutional Research has the following four objectives and roles:

Organisational Role & Culture	Purposes and Audiences	
	Formative and Internal ... for Improvement	Summative and External ... for Accountability
Administrative & Institutional	To describe the institution - I.R. as information authority	To present the best case - I.R. as spin doctor
Academic & Professional	To analyse alternatives - I.R. as policy analyst	To supply impartial evidence of effectiveness - I.R. as scholar and researcher

Table 3 Four objectives and roles of Institutional Research (own table according to Volkwein 1999, 17)

3.3 Strategic Development

This is the phase when planning passes on to execution and concrete measures are developed to achieve the strategic objectives. The key element is to develop suitable and structured courses of action to achieve the defined objectives. Such courses of action are based upon the findings of the preceding analysis phase. They can be structured according to the following questions:

- a) What is to be done?
- b) What is the timeframe available?
- c) Which resources are available (staff/money/infrastructure)?
- d) What are the indicators of measuring success?

As a part of strategic development alternative action plans should be provided to enable the decision-makers to prioritise and select a suitable alternative. Due to the special structure of higher education institutions and the dichotomy between, e.g. the executive level and study programme, administration and academia, professors and research assistants, it is recommendable to design action packages as a multi-level construct: that means, an action plan should consist of the following elements:

- a) a comprehensible description
- b) a realistic time schedule, with different achievable milestones that can be evaluated based on the course of action
- c) a realistically calculated resource management
- d) a structure of action lines and workflows including clear responsibilities
- e) a planning of communication flows that accompany the workflows
- f) a planning of quality assurance
- g) a formulation of indicators of success

The design of such action plan enables a participatory planning. However, very often a wider participation is only realised in the next step of strategic implementation.

At the end of the development phase you should have designed an action plan that derives from the defined strategic objectives and documents strengths and weaknesses as a starting position. Based on concrete actions and milestones it leads to a comprehensive development concept.

3.4 Strategic Implementation

Strategic implementation at higher education institutions is initiated with the formal decision-making carried out by the responsible boards or committees. Regarding decision-making processes we have to consider that every country has its own legislative regulations defining responsibilities and autonomy of higher education institutions, including their respective boards and committees on the different central and decentral levels.



Strategic Implementation

Strategic implementation is the translation of chosen strategy into organisational action to achieve strategic objectives. It is defined by allocating resources to support the chosen strategies. This includes various management activities to put strategy in motion, to implement suitable control mechanisms that monitor progress, and with it ultimately achieve the strategic objectives.

Strategy implementation is also defined as the way an organisation should develop, utilise, and combine organisational structure, control systems, and culture to follow strategies that lead to competitive advantage and a better performance.

Planning the strategic implementation includes planning a communication process between the involved committees that enables discussions on important strategic questions and with it develop clear majorities for objectives and action lines. The earlier the committee members are involved in the whole strategic process, the bigger the probability that they will identify with the process and the defined objectives.

Participation during the strategic implementation process

Considering the whole scope of action and impact of the intended strategy, higher education institutions should do a detailed stakeholder analysis to include relevant stakeholders. Participation during the strategy development process of the whole higher education institution serves to include the expertise of the members of the organisation, to increase acceptance for the strategic process and to verify the logic and comprehensiveness of a strategic plan.

Participation at higher education institutions can be facilitated by means of the following:

- Formation of expert cycles.
- Organisation of events for all institutional members that focus on strategic planning.
- Presentation and discussion of the strategy in faculty boards, with the student body, research units or other open discussion forums.
- Establishment of an online-forum that facilitates feedback and interaction on the strategic plan.

Mintzberg's
Model of
strategy
implementation

If you plan a wider participation, you should be aware of formulating a strategy that is open to ideas and influences of the participating members in the higher education institution. This might also include conflicts. However, nothing is more frustrating than an apparently transparent communication process which in the end turns out to be a "closed shop", in which majority interests are not welcome. During a participation process some elements of a strategy will be completely deleted, while others are possibly added. Henry Mintzberg has developed a theoretical model that illustrates how a strategy changes during its development to an emergent strategy of the institution.

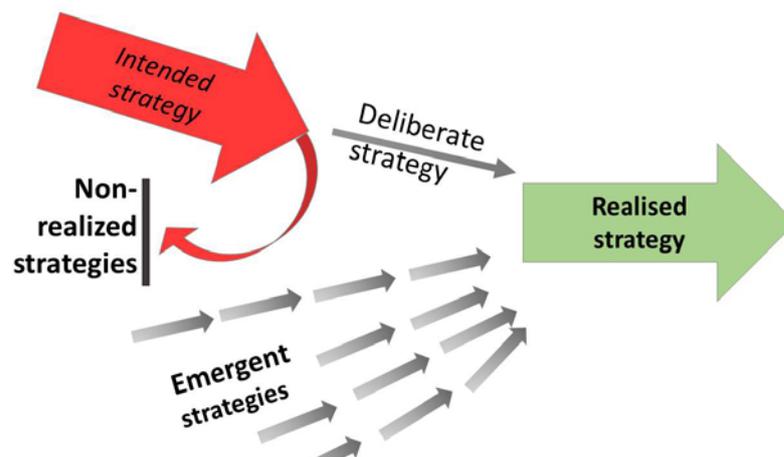


Figure 6 Intended and emergent strategy (own illustration based on Mintzberg 1987)

The illustration shows the process of strategy implementation. At the beginning an intended strategy is deliberated and reflected upon by the decision-makers and with it already delimited. At the moment of widening participation, inherent behaviours, objectives and perspectives within the institution meet in the form of an emergent strategy with the calculated (deliberated) strategy. The result can be a harmonisation of both starting positions in the realised strategy.

One key question behind this model is how to deal with conflicting interests within the organisation. If the institution is able to formulate clear and goal-oriented strategic processes that also include important internal stakeholder interests, this can be the start of a successful change process.

Most Common Reasons for a Failed Implementation

- Lack of ownership and responsibility
- Lack of communication
- Decision-makers lose sight of long-term objectives
- Defined strategic objectives are too numerous
- Implementation is not discussed in the strategic planning process
- No progress report
- Lack of support for the decisions once decided

3.5 Strategic Control

Strategic control is mainly based on monitoring indicators to measure the success of the implemented action plan. Moreover, continuous observation of target groups and possible changes play an important role (also see Module 4).

Strategic Control

The term strategic control describes the process of monitoring the formation and execution of strategic plans. It is a specialised form of management control. The most important thing is not to analyse earlier mistakes, but to identify necessary corrections needed to steer the higher education institution in the desired direction.

Strategic controlling involves developing a monitoring system that ensures the dissemination of information to the involved stakeholders about the development of relevant indications at higher education institutions (data monitoring). Furthermore, such a monitoring system should reveal the success of action plans with regard to the defined strategic objectives, based on quantitative and qualitative data (performance monitoring).

Module 4 has already given some helpful instructions on how to do this in practice at higher education institutions (see Chapter 2.3.2 in Module 4).

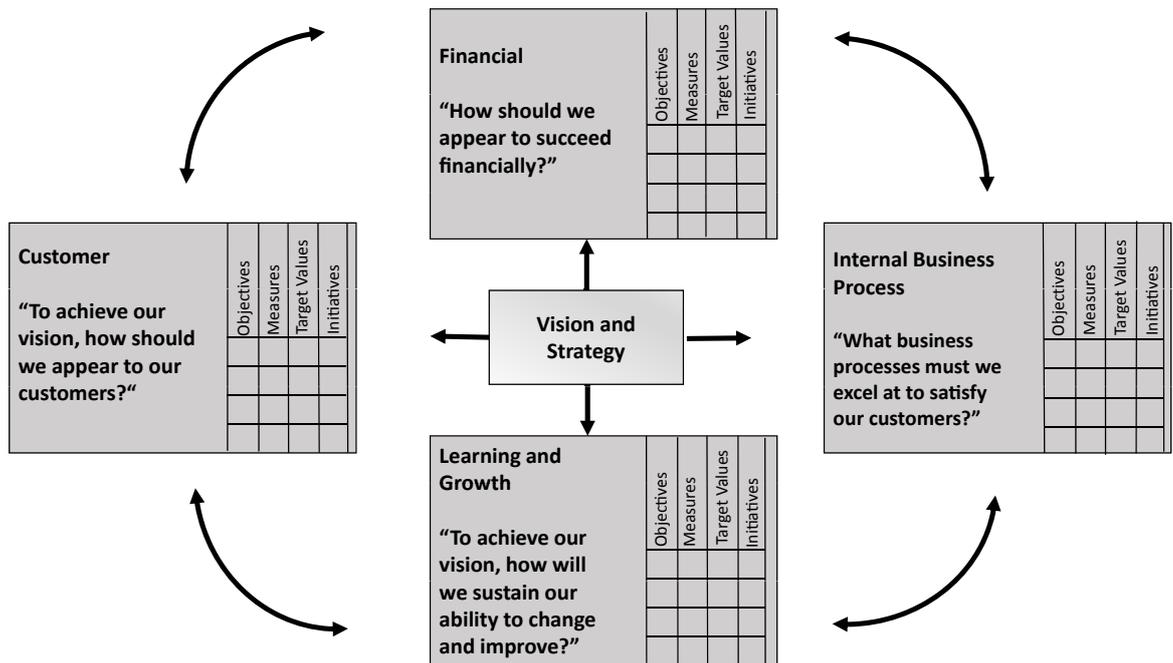


Figure 7 Balanced Scorecard (adapted from Scheytt 2007)

Standard Elements of Strategic Control

- The articulation of the strategic outcomes being sought.
- The description of the strategic activities to be carried out (attached to specific managed resources) in pursuit of the required outcomes.
- The definition of a method to track progress in strategic outcomes and activities (usually via the monitoring of a small number of performance measures and associated target values, also see Module 4).
- The identification of an effective intervention mechanism that would allow observers (usually the organisation's managers) to change / correct / adjust the organisation's activities when targets are not achieved.

Considering such strategic management when establishing internal quality management systems, we can now ask how quality managers can act and influence such processes, and which tools they need to be able to comply with such a difficult role of a change agent. Therefore, the next chapter will give an introduction to change management, discussing the two fundamental models of change from Kurt Lewin and John Kotter as a basis to deal with change processes at higher education institutions.

 **Questions & Assignments**

1. Imagine that you are responsible for the creation and implementation of a strategy that aims at enhancing e-learning at your higher education institution.
 - Please briefly describe how you would design the strategic development and implementation process.
 - Who would you involve when and how? Please systemise your thoughts and ideas in a project plan draft.
2. Having designed and implemented an action plan for your own project on quality assurance
 - please describe the challenges you had to deal with, when designing your action plan and,
 - please describe to what extent it was useful for the implementation of your project.

 **Further Reading**

- Doran, G. T. (1981). There's a S.M.A.R.T. way to write management's goals and objectives. *Management Review*, 70(11), 35–36.
- Middaugh, M. F. (1990). The nature and scope of institutional research. In J.B. Presley (Ed.), *Organizing effective institutional research offices. New directions for institutional research*, 66, 35-48. San Francisco: Jossey-Bass.
- Muralidharan, R. (2004). A framework for designing strategy content controls. *International Journal of Productivity and Performance Management*, 53(7), 590–601.

Crucial Information, backgrounds and good-practices can be found on the homepage of the Association for Institutional Research (AIR):

- Association for Institutional Research (AIR). *Data and decisions for higher education*. Retrieved on January 5, 2015, from <https://www.airweb.org/pages/default.aspx>

Chapter 4

Managing Change at Higher Education Institutions

4	Managing Change at Higher Education Institutions ..	47
4.1	How Does Change Happen? - Models of Change	47
4.2	Functions in Change Processes?	55
4.3	Factors of Success and the Limitations of Change Processes	57



On successful completion of this chapter, you should be able to...

- deal with the change management approach as a basis when using models, methods and techniques for typical organisational procedures and barriers,
- apply concrete methods and techniques for change processes that are based on the phase model of change of Kurt Lewin and John Kotters' adaption of eight phases,
- set up an evaluation report for study programmes,
- identify the different roles and functions of top management and responsables for quality assurance to be considered in managing change processes,
- differentiate factors of success and limitations of change processes at higher education institutions.

4 Managing Change at Higher Education Institutions

Change management is a very important foundation for internal quality assurance. The introduction of quality assurance in higher education is influenced to a great extent by the idea of new public management (see Module 1), and with it, it is strongly influenced through an agenda of institutional change.

4.1 How Does Change Happen? - Models of Change

The organisational theorist, James March, defines organisational change as a

“complex of parallel reactions in different parts of an organisation on parts of the environment that are connected in different ways to each other.”

(translated from March & Lingen 1990, 190)

The world is changing fast and organisations should change as well in order to be able to survive and succeed in such a changing environment. Hence, it is not surprising, that the market of change management theories is quite large. Two of the most cited and well known models are those of Kurt Lewin and John Kotter.

Influenced by the emigration movements from Germany in 1947 and the question of how to consider cultural change processes to solve social conflicts, Kurt Lewin designed a three step model of developing social transformation (Lewin 1947, 34 et seqq.).

Lewin’s model represents a simple and practical scheme for the understanding of change processes in social groups. It consists of the three steps **unfreeze, change and refreeze**:

1. Unfreeze

According to Lewin, “unfreeze” refers to the preparation of change. The purpose of this phase is to create awareness of how the status quo is hindering the organisation and that change is necessary. Therefore, communication is very important: The concerned stakeholders have to be informed and involved in discussions about the necessary change and its logic. In doing so, you build up more acceptance and support among the involved stakeholders for the planned changes. This requires time.

Kurt Lewin’s
three step
model of
developing
social
transformation

With the so-called “**force-field-analysis**”, Lewin developed a method to analyse the driving and restraining forces in a situation, that support or block the attainment of a certain objective, and to find out the situation in which we achieve a (new) equilibrium.

Example for a force-field analysis:

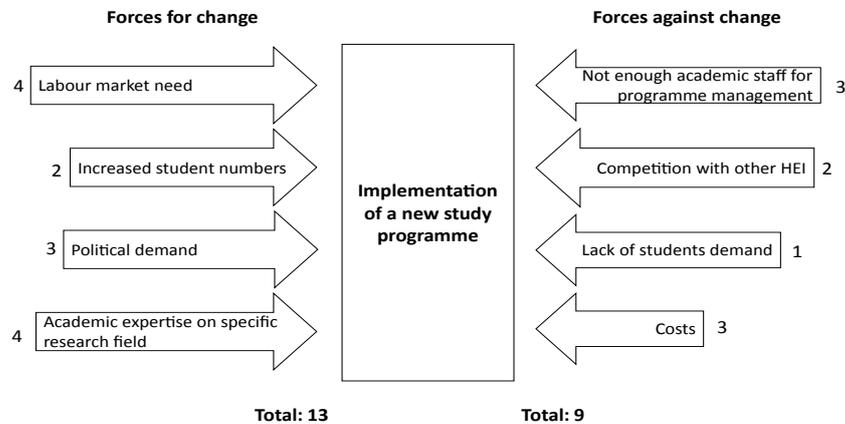


Figure 8 Force-field analysis

A quality manager could receive the mandate for such an analysis as a basis for taking further action.

2. Change

During this second phase we realise the change. The “unfrozen” organisation can now begin to move, which again takes time. The introduction of change is strengthened and supported through visible engagement of the management and through coaching or training to involve the concerned stakeholders. Thus, uncertainties can be reduced and the involved stakeholders learn to participate in the change.

A quality manager can be assigned to monitor and facilitate this introduction phase of change.

3. Refreeze

The third phase aims at getting used to the implemented change. The new processes have to be embedded and internalised completely into the organisation, becoming part of the system. That means, the refreeze phase is meant to stabilise and consolidate the new status quo after transformation.

To do so, the changed processes have to be monitored continuously, ensuring that they are in line to attaining the defined objectives. Therefore, it is very important that the involved stakeholders do not go back to old behaviours and abolished workflows.

One might argue that the refreeze-phase becomes obsolete due to the constant need for change in organisations. However, without this phase the organisation might get caught in a transition trap, in which staff members feel uncertain about how to act correctly and their performance may go deteriorate. Furthermore, it would be more difficult to initiate another change process effectively.

Again, quality managers can be assigned to make sure that the changes are incorporated into daily operational procedures and become part of the organisational culture (e.g. by highlighting the positive aspects of the change process; celebrating successful outcomes of changed procedures etc.).

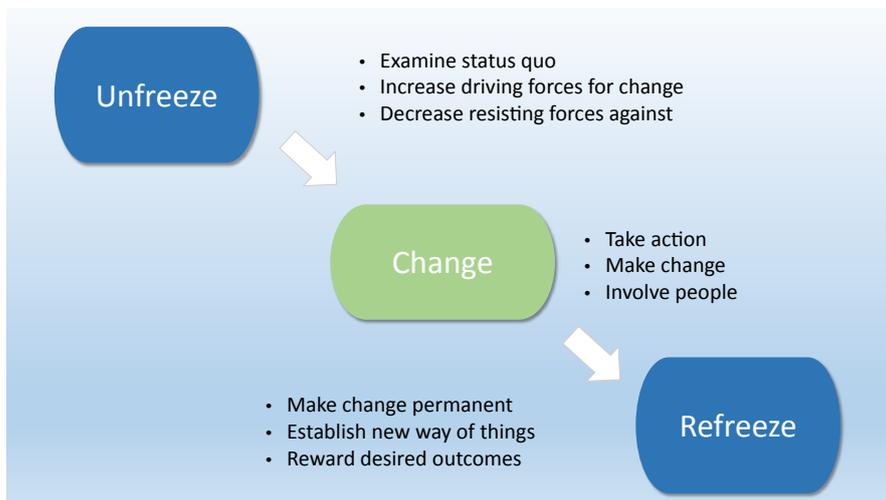


Figure 9 Lewin's Model of Change (own illustration based on Lewin 1947)

Twelve Practical Steps for a Quality Manager to Accompany Change Processes

Unfreeze

1. Define what needs to be changed and analyse the current state of the higher education institution to find out about change drivers and restraints.
2. Make sure that the top management supports, and is engaged in, the change process.
3. Identifying the involved (internal/external) stakeholders in the change process based on a stakeholder analysis.
4. Create a convincing message as to why change has to occur and communicate this message to all concerned members of staff.
5. Manage and be open to the doubts and concerns of the members of staff.

Move

6. Communicate and describe the benefits of the change process continuously.
7. Prepare all involved stakeholders on the effects of change for their tasks and functions through continuous coaching and training.
8. Explain how change is operationalised in concrete workflows and processes.
9. Provide lots of opportunities for staff involvement.

Refreeze

10. Integrate change into the organisational culture.
11. Identify drivers and restraints during the change implementation process.
12. Ensure leadership engagement and support.
13. Establish feedback loops and create a system for incentives.

Lewin's model is still widely used and serves as a basis for many other change models, especially in the economic sector. One of the most advanced models in the context of organisational research is from John Kotter.

John Kotter's
eight step
model for
change

John Kotter introduced his **eight-step change process model** in his book *Leading Change* (Kotter, 1996). His international bestseller is considered to be path-breaking in the field of change management⁴.

In the following, Kotter's eight-step model for change is described. It provides a roadmap of how to achieve organisational change in eight key steps. It also focusses on how to be aware and deal with possible constraints and blockades during a change process.⁵

Each step of Kotter's model will be commented in the following with regard to linkages to the role of a quality manager in change processes.



Figure 10 Eight-step change process (own illustration based on Kotter 1996)

4 In his subsequent book, *The Iceberg Is Melting*, Kotter (2006), he extends his eight-step model to an allegory about penguins. The story is about a penguin colony in Antarctica that is in danger because the iceberg is melting. The reader learns how the penguins become aware of this notification, how they confront the risk and try to pick up courage to find unconventional but suitable ways of dealing with the changing situation.

5 Based on Mind Tools Corporate, see website Mind Tools Corporate. (2015). *Essential skills for an excellent career*. Retrieved on May 25, 2015, from https://www.mindtools.com/pages/article/newPPM_82.htm

Step 1: Create Urgency

To introduce change in your organisation, you need strong support from many organisational members. Therefore, you have to develop a sense of urgency for change in your organisation. Especially, the top management of the organisation has to show clear commitment in this early stage. Kotter recommends that at least 75% of the top management should be convinced of the necessity of change.

Reality shows that it is not easy to acquire collaborating members of staff that are motivated and ready to participate in a change process. Usually, people do not like the idea of change. That's why you have to be prepared and convincing. Do not tell a superficial story based on poor statistics and without arguments, but explain clearly and comprehensibly the urgency of change, what needs to be changed and why. Illustrate probable risks and challenges to be dealt with, but clarify the advantages and benefits that should result from the change.

What you can do as a quality manager at your institution:

- Begin by examining the organisations status quo
- Identify and discuss potential crisis and threats, but also major opportunities
- Communicate the advantages and benefits compared to the potential risks
- Communication should always be open, honest and convincing
- Recognise and illustrate the negative effects of avoiding change
- Provide evidence from outside the organisation that change is needed
- Request support from outside to strengthen your argument
- Build motivation, engagement and support

Step 2: Form a Powerful Coalition

To convince people that change is necessary, a powerful coalition that supports this change is useful. Especially the leadership of your organisation has to be convinced and encourage the change process visibly. To introduce change, you have to bring together a supporting coalition of influential people whose power results from a variety of sources (e.g. in terms of job title, status, expertise, political background). Once formed, your "change coalition" needs to work as a team, continuing to build urgency and momentum around the need for change. This also includes discussing risks and conflicts of the planned change in an open dialogue, considering all different perspectives within the coalition. Continuously make sure that the change team knows and follows the change model you have once agreed on.

What you can do as a quality manager at your institution:

- Identify the key decision-maker in your organisation, as well as key stakeholders
- Attract key change leaders by showing enthusiasm and commitment
- Ensure that you have a good mix of people from different departments and levels
- Request trust and strong emotional commitment from these people
- Provide evidence from outside the organisation that change is needed
- Work on team building and emphasise team work within your change coalition
- Check your team for weak areas and strengths

Step 3: Create a Vision for Change

Having formed a strong and creative team, you start to develop a vision for change. Therefore, discuss the different ideas and concepts existing in the team for such a vision. Questions to be discussed could be: Where do you see the institution in the next 5, 10 and 15 years? What change is necessary? Reveal the answers and concepts and develop an overall vision that is clear and comprehensible to all members of the organisation, and that helps them to understand the planned course of action for change.

What you can do as a quality manager at your institution:

- Achieve comprehensive knowledge of the organisations values and status quo
- Develop a summary that illustrates the desired future of your organisation
- Create a vision that captures this desired future and that leads the change efforts
- Create a strategy to execute the vision
- Create clear and precise action plans to implement change
- Ensure that you and your change coalition have understood and can describe the vision in a few minutes.

Step 4: Communicate the Vision

Having created a vision, you have to communicate it to all members of your institution. Since this vision shall be the fundament for all change processes and actions, you should integrate it in your communication flows whenever possible, to keep it fresh in everyone's mind. In the sense of talk the talk and walk the walk, demonstrate what you expect from the others by your own behaviour.

What you can do as a quality manager at your institution:

- Frequently promote and talk about the change vision
- Keep communication simple and honest
- Try new and different communication methods for sharing the new strategies
- Incorporate your vision in every aspect of operations
- Address peoples' concerns and anxieties, openly and honestly
- Emphasise and facilitate new patterns of behaviour by giving a good example yourself
- Apply your vision to all aspects of operations

Step 5: Remove Obstacles

Besides advantages and benefits, any change also includes obstacles and resistance to be dealt with. Confront these challenges openly and from the beginning. Together with your change coalition agree on appropriate solutions that are also acceptable for the involved stakeholders. Again, it is important to communicate in a transparent way about such obstacles and their effects with regard to the change process. Find out and weigh effectively how to deal with such obstacles in the change process.

What you can do as a quality manager at your institution:

- Change structures and actions that seriously undermine the vision
- Encourage proactive risk management and non-traditional ideas and actions
- Gain consistent feedback and reward people for making change happen
- Ensure compatibility of organisational structures with your vision of change
- Monitor constantly the process as a whole

Step 6: Create Short-Term Wins

Nothing motivates more than success. An early win situation motivates the members of your organisation to continue with further action in the change process. Otherwise, critics and obstructive arguments might prevail and dominate the change process negatively. That means, that your change team has to create not only long-term objectives, but also short-term and middle-term objectives that are realistic and achievable.

Short-term wins serve four important purposes:

1. They give a feedback about the validity and availability of the vision.
2. They give recognition and encouragement to the members of staff.
3. They build trust in the change process.
4. They reduce power from critics.

However, remember not to overload the objectives of the change project. If you cannot succeed, this might jeopardise the whole change initiative.

What you can do as a quality manager at your institution:

- Develop clear and achievable objectives for performance improvement and define appropriate measuring systems
- Start with small changes that are achievable quickly and that have few critics
- Look for change objectives that you can realise without help from critics
- Choose cost effective objectives that can be easily obtained
- Use in-depth analysis for your objectives to avoid failure
- Reward the people who contribute to meet the defined objectives

Step 7: Build on the Change

Having considered short-term objectives, it is followed by working intensively on the long-term objectives. Real change can only be achieved in the long run and requires persistence and patience. That means that you have to launch your change projects continuously, looking for needs of improvement and including such improvements in the further ongoing process

What you can do as a quality manager at your institution:

- Use increased credibility from early wins
- Analyse what went right and what went wrong after every success of an achieved milestone
- Adapt or review the change objectives based on the results, if necessary
- Learn about the idea of continuous improvement
- Promote and hire employees that are qualified to implement your vision
- Keep ideas fresh by bringing in new change leaders to your change coalition

Step 8: Anchor the Changes in Corporate Culture

A change process has become successful, if it becomes part of the organisational culture at your institution. That means, that the vision you have defined at the beginning is integrated in any everyday process and workflow. You should consider that it takes a lot of time before people start to act according to such a vision automatically and without questioning it anymore.

Continuous monitoring should also ensure that the changed processes and workflows are working and on track. Furthermore, it is important that the leaders of the organisation continue to support and engage in the changed processes. This also includes existing staff. If the involved stakeholders fall back to their old routines and work procedures, the change cannot succeed and you might fall back where you have started as well. Also, new leaders who are recruited after the change process should be informed about the changes done and the consequences that they might also consider with regard to their own behaviour within the organisation.

What you can do as a quality manager at your institution:

- Develop new processes that reinforce the values of change
- Tell success stories about the change process
- Include the change ideas and values when training new staff
- Recognise publicly the key members of your change coalition and make their contributions visible
- Keep ideas fresh by bringing in new change leaders to your change coalition
- Create plans to replace key leaders of change as they move on
- Do not give up until you get the necessary behaviour and results

In sum, Kotter's model can be a practical guide to create, implement and consolidate change in general, and with it also at higher education institutions. It gives some important hints to be considered, when it comes to planning a change process, forming a coalition of change, organising processes and workflows of change, institutionalising and continuing to follow-up on change.

However, please consider that as with any model, checklist or guideline, this is also just a model and most likely cannot be copied 1:1 on the respective change process that you have to deal with (see [Chapter 2](#) of this course book). Reality is always different from theory. That means, the model can give some important explanations, recommendations, stimulus to be considered in one's own change process. But still you should use your own creativity and intuition to find out what and how it fits best for your institution.

Eight Signs of Failure – Troubles and Problems for a Quality Manager (based on Kotter, 1996):

1. Underestimating the complexities required to shift the whole management and members of staff from their comfort zones.
2. Coalition members having no experience of teamwork at top positions and therefore undervalue the coalition's importance.
3. Too many confusing and incompatible objectives that can take the organisation in the wrong direction.
4. Not enough communication at all levels to remind people of the desired objectives and related necessary processes and workflows to reach them.
5. Failing to deal with powerful stakeholders and structures who resist the change process.
6. Absence of defined and measured short term goals - urgency levels can drop.
7. Declaring victory before the changes have sunk deeply into the operational culture of the organisation.
8. Not ensuring that the next generation of top management understands the transformation strategy.

4.2 Functions in Change Processes?

When it comes to change management processes, one has to define and name the responsible persons and their diverse functions within the processes. To push change processes forward within higher education institutions, two different roles within the change paradigm are necessary. Following Roger's (1983) guiding difference there is on the one hand the so called "opinion leader" and on the other the "change agent".

Opinion leaders are in many cases members of the higher education institutional leadership. They decide what to do, they organise political majorities inside their institution while convincing as many stakeholders as possible, and they are paving ways for future developments. Briefly, the opinion leader tries to prepare the inner-institutional political environment for the institutional quality mission.

Opinion
leaders

Change agents are in some respect even more important for the change process as such. Framed by more general innovation and change processes, their role is to clarify the relevant facts and, furthermore, prepare decisions being finally made by the institutional leadership. They don't necessarily have deeper scientific expertise in the field that is due to change processes. In many observed organisational change processes it is merely a formal role in order to accelerate or broaden processes. But, in pursuing their duties, change agents serve as "gate keeper" concerning information flows and processes. Change agents are testimonials for the sustainable implementation of a change process. Their actual profession in the higher education institution is to act as a personal advisor, facilitator, or as "higher education professional" (Schneijderberg & Merkator 2012).

Change
agents

Change management produces a bipolarity in roles. The roles "opinion leader" and "change agent" are connected and separated at the same time. One may relate this relationship to the famous principal-agent theorem. Very briefly, one can regard the role of the principal as the mandating role and the role of the agent as the mandated role. The principal has a real interest that the mandate is being carried out properly and

Principal-
agent theory

efficiently. The agent has a real interest in carrying out the mandate properly and efficiently because losing the mandate would be beyond his or her interest. So, the principal-agent theory is about enhancing compatibility between the agent's and principal's motivations and interests. Compatibility is not easy to reach, but with regard to organisational design and sustainability of change it is inevitable.

Jensen & Meckling (1976) use the concept of contract to illustrate the complex relationship:

“We define an agency relationship as a contract under which one or more persons (the principal(s)) engage another person (the agent) to perform some service on their behalf which involves delegating some decision making authority to the agent. If both parties to the relationship are utility maximizers there is good reason to believe that the agent will not always act in the best interests of the principal”.
(Jensen & Meckling 1976, 308)

Considering this concept, the principal-agent relationship can be a reason of conflict inside your organisation. One generic skill which is necessary on all levels of quality assurance related functions is diplomatic finesse. As indicated above balancing interests and creating political majorities are major fields of action and need diplomatic skills such as mutual respect and recognition, and political prudence.

Given the experiences being made with the implementation of internal quality management systems, one may discover that there are at least three levels that also imply three roles to be considered – a (deputy) vice chancellor, a director of quality assurance and a quality manager. Such trinity of sustainable quality assurance is not a global receipt for all higher education institution. Roles and levels can differ, depending on the structural organisation of an institution. Some higher education institutions might only have one responsible person for quality assurance who is directly subordinated to the vice-chancellor. Others might have a whole unit of quality assurance that is part of the administration. And others have even more different organisational settings for their quality management system (see also Module 1, Chapter 4.4.4).

Considering the aforementioned three-level approach, one might prepare its institution for quality related processes and hierarchies in the following line:

- a) (Deputy) Vice-Chancellor. He or she takes the role of the “opinion leader”, is ideally part of the higher education institutional leadership and, as pointed out, shall use political prudence and the declared intention to prepare the institution's fitness for quality purposes.
- b) Director of quality assurance. He or she is part of mid-level management and as such is at the interface between the central steering interests and the decentral responsibility for decentral processes in quality assurance. He or she can be regarded as a mutual lobbyist.
- c) Quality manager. He or she is the expert and takes the formal role to be responsible for the implementation of quality related processes and can thus be regarded as the change agent.

4.3 Factors of Success and the Limitations of Change Processes

In the following we will summarise some key factors that from our point of view are fundamental to conduct successful change management processes in higher education institutions: First of all, you should not underestimate the higher education institutions' organisational character and, consequently, maintain a widespread scepticism regarding economic or technical change models in educational organisations such as 'business reengineering', 'lean management' or (even closer to the quality assurance issue) the approach of 'total quality management' (TQM). It can be counterproductive to make use of these allegedly tested concepts when pursuing change management in a higher education institution since these concepts barely incorporate any behavioral-science perspectives that are so essential for organisational change processes. Many authors look into what has to be done and what should be avoided in order to pursue successful change management. These include, again, organisation researchers like Kotter (1996), Yukl (1994), but also von Rosenstiel and Comelli (2003).

In recognition of the theoretical foundations of change management, but also building on very practical experience in the implementation of internal quality management systems, the following paragraphs specify some factors of success and limitations. It is important to keep in mind that you cannot pick up and extract single factors and take them as a sufficient condition for a successful reform. Rather, all factors taken together make a foundation that promotes processes of change. In addition to that, you need to consider that those factors strongly depend on basic behavioral patterns of the organisational culture that are called 'basic assumptions' by Edgar Schein (1985). These patterns can be quite heterogeneous, even within organisations that have the same cultural and systemic background. The factors listed here are applied to the case of introducing an internal quality management system and thereby concretise more general recommendations:

Factors of success in the introduction of an internal quality management system:

- Quality assurance requires a charismatic, intra-organisational impulse of change that fits the institution's basic values (i.e. an increased awareness of how important it is to enable high quality teaching).
- External pressure to act ('a sense of urgency', Kotter 1996) can facilitate the introduction of internal quality assurance. According to Kotters' model of change management, this pressure to act can be reinforced and sometimes even be pushed artificially by internal stakeholders.
- Quality assurance should be capable of solving a certain number of the institutions yet unsolved problems so that there is a higher chance that change will be accepted.
- Change is a time-consuming process ('Rome wasn't built in a day'). According to the experiences of the others, it takes about 15 years to develop internal quality management systems from an initial idea to reaching their full effectiveness. The organisation should want it and be able to do it. Still, it requires not only perseverance, but also the ability to turn change processes into 'quick wins', i.e. finding quick solutions to long-lasting, small-scale issues and challenges (for instance, providing decentralised quality management data, improving work conditions regarding infrastructure and student mentoring and assistance, moderating dialogue between teaching staff and students, abolishing dispensable bureaucratic procedures etc.).
- Building an internal quality management system requires resources that are secured for the long run. Check continuously, if the resources in terms of money, staff, infrastructure are save or if there are any

Factors of
succes to
introduce a
QMS

changes to be considered.

- Quality management systems in higher education systems are multilevel constructs. A quality manager needs to communicate and, ultimately, enter coalitions with the institutional leadership, with the implementing stakeholders on various levels, with teaching staff, and with other stakeholders of change in higher education institutions, so that change processes are secured.
- A system must keep records – however, it needs to avoid non-essential documentation and paperwork since paperwork doesn't usually improve the quality of studies. Internal quality assurance is not the same as filing information and putting the files in a glass cabinet.
- What we can learn from Yukl (1994) is, that leadership is the process of influencing followers. In this sense quality leaders play an important role in the attainment of organisational goals by creating a climate that would influence employees' attitudes, motivation and behaviour. Most important is, that quality leaders do not only talk about that, they have to follow the ideas of continuous quality improvement by themselves, they have to be open for better suggestions and solutions.
- Communication is essential and it should be taken into consideration during all steps of building internal quality assurance system. Participation and the delegation of responsibility are key terms here that may be translated, for instance, into the establishment of a steering group, the organisation of advanced training courses or the conscious and open debate of arguments that critics are bringing forward.

Hindering factors to introduce a QMS

To come up with a list of "do's and don'ts", you can actually turn all those positive factors into their negative opposite and realise what it is that you need to avoid. Additionally, there are other factors that cannot simply be deduced ex negativo from the preceding list.

Factors that may hinder the introduction of an internal quality management system:

- Having too many change projects at one time may hamper the organisation's ability to execute them. It is often the case that higher education institutions don't just approach one issue, but rather intend to bring about change in a number of reform and change management topics. As a result, the internal quality assurance may compete against the e-learning initiative or the research strategy of the higher education institution. This may be achievable if the institution has a strong internal differentiation, but when the actual managers of change – researchers and teaching staff – are the same people in all cases, the reform of higher education institution structures reaches its limits.
- Unfortunately, high employee turnover is quite common since change projects may help stakeholders to make the next step on the career ladder. When process logic changes as a result, even if only by degrees, this may limit the prospect of success.

As a matter of principle, you need to view the expectations towards a change process in higher education institutions realistically. Generally, the potential of higher education institutions to substantially and sustainably initiate institutional change processes is regarded to be quite low and excessive optimism of leadership regarding reform is ridiculed. Higher education institutions are mostly well-balanced organisations in terms of their internal structure. Reform approaches are often only visible on the surface, since power balances only promote change when external pressure brings together internal actors. Top-down strategical processes of change usually do not have the intended effects (Bogumil et.al. 2013), and true strategical bottom-up processes are rare and scarcely documented. These observations are supported in terms of theory by concepts that

define higher education institutions as loosely coupled systems (Weick 1976), expert organisations (Pellert 2000, 39) or organised anarchies (Cohen et al., 1972). These concepts all underline the challenges of intended organisational change management processes.

Against this background, Collins and van der Wende (2002, 23 et seqq.) show that change processes in higher education institutions need to be realised slowly and gently if they should not only be visible at the surface, but also get to the core of an organisation's change-resisting cultural mind. Collins and van der Wende refer to these processes (in fact, they are talking about reforms in the ICT field) by using the term "stretching the mould" – meaning that the existing structures should not be modified entirely, but rather be enhanced or extended here and there.

Questions & Assignments

1. What are the similarities and differences between the two models?
2. Which steps in Kotter's model are closely connected to each other and why is it important to know that?
3. Which change model would you personally follow and why?
4. Check one of the strategic development documents of your higher education institution and verify if there are clearly defined objectives that are measurable and comprehensible.
5. Summarise facilitating factors to promote internal quality assurance structures at your institution. Please consider your previous change efforts on establishing internal quality assurance structures and discuss how you could correct potential mistakes by implementing new measures or adapting processes.

 **Further Reading**

- Bogumil, J. et.al. (2013). *Modernisierung der Universitäten: Umsetzungsstand und Wirkungen neuer Steuerungsinstrumente*. Berlin: edition sigma.
- Burke, W. W. (2002). *Organizational change: Theory and practice*. Thousand Oaks, CA: Sage Publications.
- Cohen, M., March, J. G., & Olsen, J. P. (1972). A garbage can model of organizational choice. *Administrative Science Quarterly*, 17(1), 1-25.
- Collins, B., & Van der Wende, M. (2002). *Models of technology and change in higher education: An international comparative survey on the current and future of ICT in higher education*. Twente: CHEPS.
- Kotter, J. P. (1996). *Leading change*. Boston, MA: Harvard Business School Press.
- Kotter, J. P. (2008). *A sense of urgency*. Boston, MA: Harvard Business School Publishing.
- Lewin, K. (1947). Frontiers in group dynamics I: Concept, method and reality in social science, social equilibria and social change. *Human Relations*, 1, 5–41.
- Luecke, R. (2003). *Managing change and transition*. Boston, MA: Harvard Business School Press.
- March, J. G. (1988). *Decisions and organizations*. New York, N.Y.: Blackwell.
- Miner, J. B. (2005). *Organizational behaviour: Behaviour 1: Essential theories of motivation and leadership*. Armonk, NY: M.E. Sharpe.
- Pellert, A. (2000). Expertenorganisationen reformieren. In A. Hanft (Ed.), *Hochschulen managen? Zur Reformierbarkeit der Hochschulen nach Managementprinzipien*. Hochschulwesen Wissenschaft und Praxis. (pp. 39–55). Neuwied: Luchterhand-Verlag.
- Rosentiel, L. v., & Comelli, G. (2003). *Führung zwischen Stabilität und Wandel*. München: Verlag Franz Vahlen.
- Schein, E. H. (1985). *Organizational culture and leadership: A dynamic view*. San Francisco: Jossey-Bass Publishers.
- Weick, K. E. (1976). Educational organizations as loosely coupled systems. *Administrative Science Quarterly*, 21(1), 1-19.
- Yukl, G. (1994). *Leadership in organizations* (3rd ed.). Upper Saddle River, N.J: Prentice-Hall.

Chapter 5

Quality Management and its Linkages to Other Fields of Higher Education Management

5	Quality Management and its Linkages to Other Fields of Higher Education Management.....	63
5.1	Human Resource Development	63
5.1.1	Human Resource Development in Administration and Service Staff	64
5.1.2	Human Resource Management of Academic Staff	65
5.2	Organisational Development	68
5.3	Management of Agreements	69
5.3.1	Target and Performance Agreements.....	70
5.3.2	Case Study: Target and Performance Agreements at University of Duisburg-Essen	71
5.4	Management of Teaching and Research	74



On successful completion of this chapter, you should be able to...

- differentiate fields of higher education management and explain what they are about,
- explain basic correlations between quality assurance and other fields of higher education management such as human resource development, organisational development, management of agreements and of management of teaching and research.

5 Quality Management and its Linkages to Other Fields of Higher Education Management

5.1 Human Resource Development

Following Manfred Becker, human resource development includes

“all measures of education, advancement and organisational development that are realised and evaluated in a purposeful, systematic and methodological way by one person or organisation with the aim of reaching certain goals.”

(Own translation from Becker 2009, 4)

Human resource development and quality development are inseparably linked in personnel-intensive organisations like higher education institutions. It is hard to imagine that the quality of products or processes in an organisation can be enhanced without taking a closer look at the organisation’s personnel. However, higher education institutions pose particular challenges due to the fact that they are expert organisations. In many higher education systems worldwide, professors are usually not simply sent to attend training programmes because of their (legal) status. Furthermore, they use different ways of learning than, for instance, administrative staff. But if you want to change a complex system such as a higher education institution, you need to dissolve this paradox: an internal quality management system must focus on the development of the organisation’s members if it wants to support the organisation’s continuous processes of reflection and learning. Also, you can further increase the awareness of the close relationship between higher education institution development on the one hand, and the development of its most important (and probably only) resource, its staff, on the other hand. The widespread lack of strategic thinking may be caused by the fact that scientific career paths (graduation, second degree, full professorship) are often misinterpreted as “human resource development” – in other words, higher education institutions see themselves as organisations of human resource development per se.

Instead, concepts for human resource development at higher education institutions should be revised especially in terms of strengthening its strategic and planning component. In the reality of higher education institutions, this is above all a task of organisation development, considering the level of systematisation and the intentional focus on qualifying processes. This is particularly important since human resource development is a crucial contribution of higher education development in the context of (internal and external) demands regarding efficient effectivity and (inter)national competitiveness. Krumbiegel and others express the relations between organisational development and human resource development thus: Higher education institutions will “only be able to handle upcoming measures of organisational development if human resource development gains in importance in the future” (Krumbiegel, Oechsler, Sinz, & Vaanholt 1995, 532).

In the following, we are looking at the principles of operationalising human resource development in higher education institutions. We are taking two perspectives: One on human resource development of administration and service staff, and one on human resource development of academic staff.

5.1.1 Human Resource Development in Administration and Service Staff

While human resource development of academic staff is still in its infancy in the higher education sector, most institutions have already established suitable departments and positions for human resource development of administrative and service staff. The implemented measures clearly aim at further individual training to enable staff to effectively and efficiently fulfil their tasks in administration and service.

In this context, human resource development means:

- a) conceptualising and implementing in-house training programmes within the context of change processes to promote a better work-life balance or health training;
- b) organising mostly external further training or coaching for the managerial staff;
- c) conceptualising human resources management tools like staff assessments, job evaluation tools, structured selection processes etc.;
- d) conducting organisational reviews and designing concepts for organisational change;
- e) producing information material on processes of outplacement;
- f) organising team development measures;
- g) organising occupational reintegration schemes.

The target groups for human resource development measures are mainly faculty secretariats and dean's offices as well as members of mid-level management.

Human resource development measures for employees in the mid-level hierarchy are less common. In this area, approaches might be of interest, which enhance general and professional competences, as well as deepening organisation skills. The purpose of such approaches should be to prepare employees for new or differing tasks within the organisation. Having internal quality assurance in the higher education institution in mind, it may be conceivable to offer quality management trainings as well here.

It is another interesting option to promote an in-house staff rotation, so that employees can be flexibly employed in different units of the institution. This approach may foster a better understanding of the different perspectives within change management processes and help all employees to better understand the institution's plurality.

5.1.2 Human Resource Management of Academic Staff

Initiated change processes at higher education institutions go hand in hand with new demands and with it additional competence expectations of the academic staff, as well. On the one hand, such expectations have to be defined and specified. On the other hand, the respective target groups need to have the chance to develop such competences, if necessary.

To put it clearly, let us take the strategic aim of strengthening internationalisation at the higher education institution. This aim provokes very diverse consequences for the different members of staff: language skills, intercultural competences to be sensitised for differing cultural backgrounds that are important for international collaborations, international quality assurance standards in teaching and learning, adequate teaching methods for international students, recognition of international degrees, or conceptualisation of mutual international degrees etc. Both administrative and academic staff have to deal with these demands. Therefore, higher education institutions have to adapt their human resource development activities appropriately. This particularly includes recruiting (already existing or) future human resources through adequate staff management tools to be able to strengthen staff performance, and with it also to improve and develop the quality of research, teaching, and of administration. In doing so, higher education institutions try to compete with other (international) higher education institutions. Furthermore, this is also a way of dealing efficiently with an increasing limited budget, but still holding a high and sustainable performance level according to the goals defined in the institutional strategic plan.

In Germany, the discussion about human resource development for academic staff has only begun to get more intense in recent decades. The challenging factor of this discussion is the question to what extent it is possible to “manage” a German professor and give him/her additional skills and expertise (Winde 2006, 9). However, it may be observed that the view that a professor is an expert per se and therefore does not need any further training or qualification has started to change and even academic staff have become more open to new and innovative concepts on higher education.

For example, the United Kingdom (UK) has the UK Professional Standards Framework (UKPSF), a nationally-recognised framework for benchmarking success within higher education teaching and learning support.⁶

Academic human resource development considers all the roles which academic staff can play in higher education institutions. It regards the organisation’s member as:

- a) a teaching person,
- b) a researching person,
- c) a self-organising person,
- d) a managing person who controls and/or implements processes,
- e) a consulting person,
- f) a leading person.

Since these course books only focus on internal quality assurance of teaching and learning, in the following,

Roles of
academic
staff at
higher
education
institutions

⁶ See more on the homepage of the Higher Education Academy (2015). Transforming Teaching, Inspiring Learning. Retrieved on 30 December, 2015 from <https://www.heacademy.ac.uk/recognition-accreditation/uk-professional-standards-framework-ukpsf#sthash.zZmM6tWm.dpuf> For more information also see box for further reading.

we will only focus on the development of the role as a teacher.

Instruments
to develop
teaching staff

Quality assurance tools like course evaluation, module evaluation or peer-to-peer feedback are closely linked to the role of academic staff. All these tools are supposed to measure the teacher's performance and relate this very performance to the learning environment of the courses and, finally, also to the learning outcomes of the students. However, the data that is collected via is often not used for human resource development, but just as feedback for the teaching staff (see Module 2).

Typical instruments of human resource development for teaching staff are:

- a) qualification workshops;
- b) individual goal and performance agreements;
- c) double-career options/-consulting;
- d) mentoring systems;
- e) coaching.

One of the most commonly applied instruments is training workshops. Aimed at strengthening the teaching role, in-service-trainings are very frequently offered. To work as sustainably as possible, it is recommended to consult the results of the research of Joyce and Showers (1980, 1996, 2002) concerning concepts of in-service training. Joyce and Showers developed a five-stage model to describe the structure of effective in-service training: Those five stages stand for fundamental learning theory competence stages:

1. theory,
2. demonstration,
3. practice,
4. feedback and
5. coaching.

After empirical analysis, Joyce and Showers (1980) found that when the subject matter in workshops pertained to minor modifications to teachers' regular classroom routine, a traditional structure for in-service training was adequate. The studies on the effectiveness of these training components revealed that the combination of the first four components of the model were effective in settings that focused upon awareness, knowledge, and skill development. When the goal of the workshop related to the integration and transfer of rather complex ideas or required significant modifications to teaching methods, which might be the case when for example student questionnaires have poor results, only the combination of all five components – theory, demonstration, practice, feedback, and coaching – was consistent with the transfer of training to the classroom (Joyce & Showers 2002).

With regard to the coaching format that takes a prominent position here, it should be added that formats of peer academic coaching turned out to be particularly suitable. They take the fact into consideration that there are differences between faculty cultures and also that within many cultures professors do not take advice from academics of a supposedly lower hierarchical level. Showers and Joyce (1996) have formulated fundamental principles of peer-coaching which can be helpful when planning such a programme:

“[...] Following are our principles of peer coaching.

1. When we work with entire faculties, all teachers must agree to be members of peer coaching study teams. Teams must collectively agree to (a) practice or use whatever change the faculty has decided to implement; (b) support one another in the change process, including sharing planning of instructional objectives and developing materials and lessons; and (c) collect data about the implementation process and the effects on students relative to the school's goals.
2. We have found it necessary and important to omit verbal feedback as a coaching component. The primary activity of peer coaching study teams is planning and developing curriculum and instruction in pursuit of shared goals. Especially when they are learning teaching strategies designed for higher-order outcomes, teachers need to think through their overarching goals, as well as the specific objectives leading to them. Collaborative planning is essential if teachers are to divide the labor of developing new lesson and unit sequences and use one another's products.
3. When teachers try to give one another feedback, collaborative activity tends to disintegrate. Peer coaches told us they found themselves slipping into „supervisory, evaluative comments“ despite their intentions to avoid them. Teachers shared with us that they expect „first the good news, then the bad“ because of their past experiences with clinical supervision, and admitted they often pressured their coaches to go beyond technical feedback and give them „the real scoop.“ To the extent that feedback was evaluative or was perceived as evaluative, it was not meeting our original intention.
4. Remarkably, omitting feedback in the coaching process has not depressed implementation or student growth (Joyce and Showers 1995), and the omission has greatly simplified the organisation of peer coaching teams. In retrospect, it is not difficult to understand this finding. Learning to provide technical feedback required extensive training and time and was unnecessary after team members mastered new behaviors.
5. We have needed to redefine the meaning of „coach“: when pairs of teachers observe each other, the one teaching is the „coach,“ and the one observing is the „coached.“ In this process, teachers who are observing do so in order to learn from their colleague. There is no discussion of the observation in the „technical feedback“ sense that we used in our early studies. Generally, these observations are followed by brief conversations on the order of „Thanks for letting me watch you work. I picked up some good ideas on how to work with my students.“
6. The collaborative work of peer coaching teams is much broader than observations and conferences. Many believe that the essence of the coaching transaction is to offer advice to teachers following observations. Not so. Rather, teachers learn from one another while planning instruction, developing support materials, watching one another work with students, and thinking together about the impact of their behavior on their students' learning.”

(Showers & Joyce 1996, 14)

5.2 Organisational Development

The interfaces of internal quality assurance and organisational development are diverse. Ideally, quality assurance and organisational development of the institution as a whole are closely linked to each other to establish an effect-oriented internal quality assurance system. The direct reciprocal character of the relationship of these two fields is best illustrated by a cycle showing the strong interdependencies between them.

Both the developmental approach of organisational development and internal quality assurance are characterised by a particularly high demand for consent or, put differently, a high demand for participation of the organisation's members. Development in this context is a process as well as a result.

Defining
organisational
development

There are several practicable attempts to approach the term **organisational development**: One of the most often-quoted definitions of the term organisational development is by Beckhard. He understands organisational development as

“an effort planned, organisation-wide, and managed from the top, to increase organisation effectiveness and health through planned interventions in the organisation’s ‘processes,’ using behavioural-science knowledge.”

(Beckhard 1969, 9)

Cummings and Wurley modified and developed Beckhard's definition which shall form the basis for our further comprehension of the term.

“Organisation development is a system-wide application of behavioral science knowledge to the planned development and reinforcement of organisational strategies, structures, and processes for improving an organisation’s effectiveness.”

(Cummings & Worley 1997, 2)

Theories of organisational learning are a basic foundation that the organisation development approach builds on. Organisational learning means “the process of improving actions through better knowledge and understanding” (Fiol & Lyles 1985, 803). Within an organisation, this process is set off especially when there is a difference between the organisation's current level of education and the changes that take place in its environment, and when all of the organisation's members are ready to convert the further knowledge into institutional actions and schemes.

As we have already learned in Module 4, data which are validated by an internal quality assurance system can be a trigger of these institutional learning processes. To give an example from the University of Duisburg-Essen, some staff have always assumed that it should be a high priority to support its seemingly high number of first generation students. However, these sentiments only led to action when a large survey among students in 2009 showed that more than half of the university's students grew up in a family without an academic background and around 25 % of the students had a migrant background. (Universität Duisburg-Essen 2015) These unexpected but strong results led to an impulse of professionalisation among the university's employees – this process can be taken as an example of *organisational learning*.

Argyris and Schön (1996) distinguish between three different forms of learning. They distinguish between single-loop learning, double-loop learning and the so-called deuterio learning. **Single-loop learning** is defined as a reactive form of learning which tries to avoid repeating mistakes. It is positioned on the level of actions. **Double-loop learning** aims at positioning learning processes on the level of standards and norms or goals and to not only reflect the correct implementation of something but also the correctness of something itself. **Deuterio learning** reflects the learning process itself within an organisation. Successful learning is strengthened and less successful learning is rejected. The quality of learning processes and of the institutional learning paradigms are put to the test here.

Structural Planning

Structural planning is a regular form of planning and administration of organisational development processes within a higher education institution. The tasks of structural planning are similar in most higher education institutions. It is about the perspective of capacities and organisational forms for academic duties and about the planning, documentation and control of institutional development goals. Many countries have laws that require the higher education institutions to engage in planning activities, i.e. by preparing structure and development plans. Furthermore, law often requires these institutions to publish their mission and vision, so that there ultimately is a complex planning structure consisting of a fundamental self-conception (mission), a fundamental development perspective (vision) and of concrete medium-term planning activities (structure plans, development plans). It is a particular challenge to change these multi-level constructs and adapt them to current challenges without shaking the very foundation of an institution. Structural planning tries to cope with those complex situations and to contribute to organisational development through concrete planning steps. Structural planning always depends on political and ministerial-administrative circumstances – this is the case in rather autonomous higher education institutions, but even more so in centralist institutions. Hence, it is another challenge of structural planning to harmonise external requirements and internal planning.

In the best case scenario, quality assurance serves both as a basis and as a follow-up of structural planning. Ideally, this connection can be visualised as a cycle. Similar to the already mentioned PDCA-cycle, activities of planning and quality assuring (or measuring) are interconnected or take turns. This close relationship between planning and quality assurance is also the reason for the organisational closeness of these two fields at many European higher education institutions.

5.3 Management of Agreements

Organisational development and organisational learning can be bottom-up processes, but there are also tools that can be used by a top-down system to support certain measures of organisational development.

The management of agreements is one way to realise the ideas of the New Public Management (also see Module 1), particularly the concept of output-driven management. A modern higher education institution management uses the instrument of goal and performance agreements on at least three different levels:

1. between state and the higher education institution level;
2. between higher education institution and the faculty level;
3. between higher education institution/faculty and the individual professor/individual leader level.

The following subsection introduces the methodology in a rather general fashion and then shows how the theory can be put into practice by citing a case study of the University of Duisburg-Essen, Germany on target and performance agreements between the university's top management and the faculties.

5.3.1 Target and Performance Agreements

To implement strategies, target and performance agreements can be used on different levels. These agreements compare the strategic interest of the decision-makers with the needs and ideas of the operational level. Nickel (2007) discusses the instrument of target agreements as a participatory management tool at higher education institutions. She underlines that in higher education institutions, this instrument "is comparatively well accepted: target agreements are considered as a "soft controlling instrument" that has a particular communicative effect" (Nickel 2007, 134). Often, reciprocal dialogue mechanisms are put in place between the different management levels so that an agreed result can be reached.

Apart from that, Nickel designed a model which subdivides the typical negotiation process into eight steps (Nickel 2007, 35 et seq.).

Eight steps
to negotiate
target
agreements

1st step	Coordination of the university's strategy with the goals of the faculties.
2nd step	Definition of the projects and measures which the faculties plan to realise in order to contribute to the university's strategy.
3rd step	Determination of the financial, personnel and material resources, the time budget, mutual responsibilities and potential instances of support.
4th step	Reaching target agreements between the university management and the faculty management.
5th step	Implementation of change projects and change measures by the faculties.
6th step	Reporting about success or failure concerning the implementation of the projects and measures (if possible on the basis of indicators).
7th step	Evaluation and reflection of results of the target agreement in form of a discussion between university management and faculty management.
8th step	Evaluation and reflection of results of the target agreement in form of a discussion between university management and faculty management.

It is crucial that the instrument is equipped with adequately large systems of incentives so that it gives the contract parties additional incentives to fulfil their agreements – in other words, the institutional budgeting systems should provide an adequate budget for financial incentives.

5.3.2 Case Study: Target and Performance Agreements at University of Duisburg-Essen

To illustrate the process of target and performance agreements, we come back again to the case study of the University of Duisburg-Essen (UDE) that was presented in Module 2 (see Module 2, Chapter 2.5). At UDE, the two cycles – target and performance agreements and the institutional evaluation – are the core instruments of internal strategic controlling.

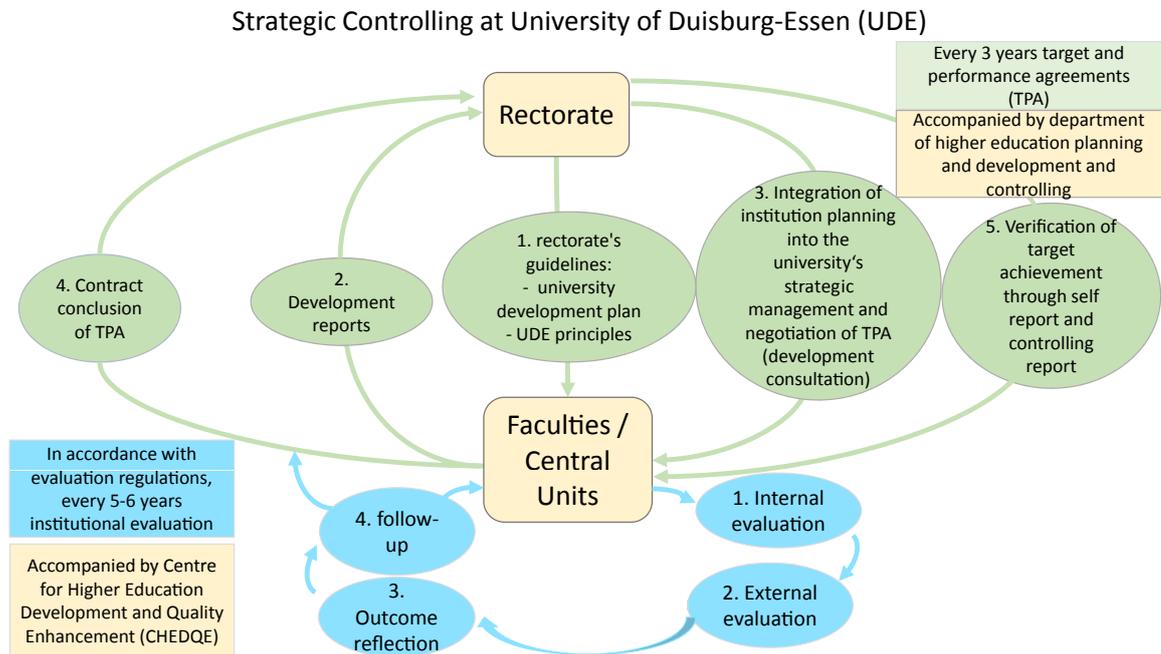
In Module 2 we explained the process of institutional evaluation at UDE as an instrument to evaluate the different fields of performances (such as teaching and learning, research, services and management) of a faculty or central unit of the university. The results of this internal evaluation are used as an information and data-basis for the university's internal target and performance agreements (TPA). Every three years, all faculties and central service units agree on target and performance agreements with the university's rectorate. The TPA process is coordinated and accompanied by the department of higher education planning and development and the staff unit for controlling.

The purpose of the TPA is not only to make use of an instrument for strategic controlling of performances but also to consider the aim of strategic planning and development of the faculty/unit according to the strategic planning of the whole university. That means, the TPA shall also serve as an incentive for innovations. Therefore, the university has reserved a so-called innovation budget to support innovative approaches for activities in the faculties/units.

I. Preparation of the process

The faculties/units are informed about the procedure and the focal themes of the university's development planning during a first meeting with representatives of the rectorate and the department for higher education planning and development.

To give an example, let's assume that the universities top management aims at establishing and strengthening e-learning structures in teaching and learning. Based on the TPA, the university's rectorate and the faculties can now agree on concrete activities to be realised according to the e-learning strategy and the provision of resources (in terms of money, staff or infrastructure), if necessary.



The basis for the TPA is a so-called development report providing information on the current state, perspectives and strategic objectives of the faculty/unit with regard to the core areas teaching and learning, research, quality management and services, and diversity management. It is structured in three parts: 1. Description of the current state (including achievement and sustainability of the development objectives of the previous TPA based on measurable criteria of success). 2. Long-term and short-term planning of strategic objectives. 3. Activities to be realised to achieve the defined objectives during the time frame of the TPA (three years).

Every six years the results of the institutional evaluation are included into the TPA. To reduce preparatory double work, in this case, the evaluation report, having the same structure as the development report, can substitute the development report.

III. Negotiations on target and performance agreements

Based on the above mentioned preparation phase, negotiations between the rectorate and the faculty/unit are based on four documents:

- Development report (see above)
- TPA template on status quo (based on the previous TPA)
- TPA template for the new TPA to be agreed upon
- Controlling report

The TPA template on status quo refers to the performances and objectives of the last term of TPA. It provides a column in which the current status of implementation is to be described according on the defined criteria of success, including a justification in case of non-fulfilment.

The second TPA-template refers to the new TPA. It is to be completed with the following information:

- Description of planned developmental objectives.
- Description of activities/performances to achieve these objectives.
- Definition of performance indicators of success.
- Definition of financial and/or non-financial needs to realise the activities.

To give an example, a faculty can set an increase of up to at least 130 student entrants as an indicator of success for the planned activity “increase in the university student entrants rate”. The faculty can also name requirements such as financial resources for public relations or support by the committee of its student body that are necessary to achieve the defined objective of student entrants increase.

The controlling report is a data-sheet provided by the staff unit for controlling, includes key data on the core areas of teaching and learning, research as well as structural data (staff, budget, etc.) which quantifies the current development status of a faculty/unit.

IV. Signing the agreement and publishing

The negotiation results are written down in an agreement between the university top management and the respective faculty/unit and signed by both contracting parties. All documents of the TPA process (documents of step III and signed agreement) are published in the university’s intranet. This procedure helps to ensure the transparency within the entire system.

V. Monitoring dialogue

Halfway through the TPA term (after 1 ½ years), faculties/central units have to report to what extent the planned measures have already been implemented and whether there are obstacles which may threaten a timely implementation of the measures.

In Germany, the close connection of internal evaluation and target and performance agreements has become a common and mostly well accepted model of university management. The case study of the University Duisburg-Essen gives an example on how to structure such a process of target and performance agreements systematically, and moreover, how they can be practically implemented within a higher education institution.

5.4 Management of Teaching and Research

Talking about managing teaching and research sometimes has a certain negative connotation because academics do not agree that teaching, learning and above all doing research has anything to do with “managing a business” in the sense of managing an efficient production line that converts effectively and efficiently some input into output, based on defined quality standards and norms. Instead, it is seen as being all about science, developing knowledge, and educating students in an open and free space of ideas and critical thinking.

From the authors’ point of view, the latter perspective is important to underline as a fundamental principle of any higher education activity. However, as we have learned before, higher education institutions are confronted with different reform processes that provoke a rather broad variety of change processes: Higher education institutions have to find effective ways of succeeding in a more competing international research environment. On the one hand, we can observe increased funding opportunities for higher education. On the other hand, this also includes increasing and complex requirements to distribute such funding effectively and in a transparent and sustainable way. The structures of doing research are changing (e.g. special research units, different forms of public private partnerships, research projects etc.); requirements for teaching and learning methods have become more creative and multifaceted, since student target groups have increased enormously and with it become more diverse.

To deal with these changes, includes new demands and expectations from higher education institutions, and it seems that in this case, there are some management ideas still worth considering. According to the quality management approaches, we learned in this training, this means that higher education institutions have started to professionalise the support for doing research and teaching. The described target performance agreements in the last chapter are one example of a management instrument for teaching and research with the purpose of linking these fields effectively to strategic planning, quality management and enhancement, but also controlling requirements.

However, managing teaching and research should not be understood as developing some unnecessary bureaucratic and administrative processes – as it is often accused of being. Instead, it aims at facilitating and supporting scientists and academics by freeing them as much as possible from the organisational and administrative tasks connected with research and teaching.

QA support
for teaching

With regard to teaching we have already learned quite a lot about facilitating and supporting activities in Module 3. To summarise, we can name the following activities that quality assurance can support:

- Support in planning lessons
- Support in designing and developing curricula effectively
- Coaching in the varieties of teaching and learning methods
- Coaching in different assessment techniques
- Provision of quantitative data for evaluation purposes
- Coordination and supervision of evaluation processes

Managing research may include activities such as:

QA support
for research

- Assisting identifying new sources of funding and supporting selection process of appropriate funding instruments
- Advising on the costing of projects
- Assisting when applying for research funding
- Supporting application for national/international programmes
- Negotiating contracts with external funding sponsors
- Managing projects and financial control systems
- Assisting knowledge transfer and exchange to industry (e.g. patents, business start-up)
- Assisting public dissemination and commercialisation of research results
- Support with finding collaborating partners and designing partnerships
- Provision of quantitative data for evaluation purposes
- Coordination and supervision of evaluation processes

The activities mentioned above shall help to create appropriate conditions for academics to do research and teach within the different study programmes effectively and according to their objectives to be attained. As we can again notice, all these activities include a strong linkage to quality development and enhancement, since they all aim at improving conditions for doing good quality-based research and teaching.

Questions & Assignments

1. Which forms of human resource development can/could your institution offer to teaching staff whose lectures did not produce good results in the course evaluation?
2. Please think of interfaces between stakeholders at your higher education institution (and in its environment) that should be considered when designing an effective internal quality management system. Please visualise such linkages on a mindmap.



Further Reading

- Argyris, C., & Schön, D. A. (1996). *Organizational learning II*. Reading, Mass.: Addison-Wesley.
- Barnett, R. (2005). *Reshaping the university: New relationships between research, scholarship and teaching*. Maidenhead: Open University Press.
- Becker, M. (2009). *Personalentwicklung. Bildung, Förderung und Organisationsentwicklung in Theorie und Praxis* (5th revised ed.). Stuttgart: Schaeffer-Poeschel.
- Beckhard. (1969). *Organization development: Strategies and models*. Reading, Mass.: Addison-Wesley.
- Cummings, T. G., & Worley, C. G. (1997). *Organization development and change* (6th ed.). Cincinnati, Ohio: South-Western College Publishing.
- Fiol, C. M., & Lyles, M. A. (1985). Organizational learning. *Academy of Management Review*, 10(4), 803–813.
- Higher Education Academy. (2015). *Transforming teaching, inspiring learning*. Retrieved on May 25, 2015, from Higher Education Academy: <https://www.heacademy.ac.uk/recognition-accreditation/uk-professional-standards-framework-ukpsf#sthash.zZmM6tWm.dpuf>
- Joyce, B., & Showers, B. (1980). Improving inservice training: The messages of research. *Educational Leadership*, 37(5), 379–385.
- Joyce, & Showers. (1996). The evolution of peer coaching. *Educational Leadership*, 53(6), 12–16.
- Kotter, J. P. (2008). *A sense of urgency*. Boston, Mass.: Harvard Business School Publishing.
- Joyce, & Showers. (2002). *Student achievement through staff development*. Alexandria, VA: Association for Supervision and Curriculum Development.
- Krumbiegel, J., Oechsler, W., Sinz, E. J., & Vaanholt, S. (1995). Business Process Reengineering an der Universität. *Personal*, 47(10), 526–533.
- Webb, G. (1996). *Understanding staff development*. Buckingham: Society for Research into Higher Education; Open University Press.
- Winde, M. (2006). Stiefkind Personalmanagement - Ergebnisse einer Stifterverbands-Umfrage. *Akademisches Personalmanagement-Positionen*, 5–9. Essen: Stifterverband für die Deutsche Wissenschaft.

Chapter 6

Successful Quality Management Systems – When Does a System Live up to its Purpose? Part II

6	Successful Quality Management Systems – When Does a System Live up to its Purpose? Part II .	79
6.1	What Are the Factors of Success?.....	79
6.2	How Do Quality Management Systems Develop?.....	81
6.3	Quality Culture – Basis to Make a System Live up to its Purpose (Part II).....	82



On successful completion of this chapter, you should be able to...

- differentiate key factors of success to establish a good working quality management system,
- develop a systematic approach to develop quality assurance structures at their higher education institution,
- understand the concept of quality culture at higher education institutions,
- draw up perspectives and approaches to embed the initiated steps of establishing quality assurance structures into a spirit of quality culture.

6 Successful Quality Management Systems – When Does a System Live up to its Purpose? Part II

6.1 What Are the Factors of Success?

Based on the five course books of the TrainIQ Modules, we have composed a big tool box that shall help to deal with the “quality world” at higher education institutions: We gained an insight into the theoretical background of quality, quality assurance, enhancement and management. We learned about tools and procedures for assuring quality. We discovered in more detail about the role of quality managers in teaching and learning, looking at the different facets of designing and revising curricula. Furthermore, we gained an overview of information management and the relevance of data, performance indicators and effective communication processes as a fundamental basis for any workflows that aim to attain specific milestones and objectives. Finally, we zoomed back from the very micro level of dealing with quality assurance to the macro level, embedding quality assurance into the organisational management context, especially focussing on staff and organisational development, management of agreements, and management of teaching and research.

The linkages between these different levels give an idea about the complexity and overarching relevance of quality assurance in a system in general, and in this case, in higher education institutions. We have learned that quality assurance is not only about evaluating study programmes, but that it should be based on a more systemic approach, making the quality issue become part of daily workflows and procedures, and thereby live up to something that might be called “quality culture”.

Before picking up the debate on quality culture again, we will summarise some **key factors of success** that have been tackled in our five course books, and that are essential for establishing a good working quality assurance system:

- **Responsibility of the top management:** Dealing with quality assurance needs a clear and transparent mandate from the top management of the higher education institution. It is fundamental to enable quality managers to act and contribute according to defined functions within organisational system of the higher education institution.
- **Participation:** Any processes, workflows, and with it any change processes involve different stakeholders. Thereby, involvement should not only be understood in a passive way of simply fulfilling one’s duties and without questioning any activities and procedures. Moreover, involvement should be understood as participation in the sense of giving the possibility to contribute actively to change processes, informing about objectives, and why, how and by whom these objectives should be reached, and considering different perspectives that might be relevant to develop effective and sustainable change processes.
- **Communication:** The factor participation is closely connected to communication, which is another very important factor in developing a working quality assurance system. If people want to understand why oth-

Factors of Success of the road to establish a QMS

er people act (or do not act) as they do, they should talk to each other, asking questions and explaining their different perspectives. This can often be exhausting and sometimes also be troublesome. However, the question is what the alternative would be: possibly resistance, blockades, non-reactions, and with it stagnancy. This way change becomes even more difficult.

- **Slim processes that are closely linked to academia:** Professors and academic staff from the faculties often perceive activities in quality assurance as an additional (administrative) burden they have to comply with and which keeps them from doing research. One important aspect of convincing them to make use of certain quality development instruments is that the necessary processes are clear, simple, including an additional workload that is still on a reasonable basis, continuously and strongly supported by services from the quality manager. This also means that the purpose and the additional benefit to academia is clear and transparent. Otherwise, there will always be stakeholders that resist your quality development approaches.
- **Sufficient human resources:** Establishing a whole quality assurance system involves a lot of human resources. Reality shows that higher education institutions normally fail to provide sufficient staff for different reasons. You have to consider this when defining the quality assurance objectives to be achieved in a certain time frame. If the human resources available to achieve such objectives are not enough, there are the following possibilities: Either you manage to get more staff or you get more time to realise the objectives, or you reduce the objective frame to be reached. This is often not easy to decide. However, the question is whether the alternative of not succeeding is better.
- **Connection between central and decentralised decisions:** Considering Mintzberg's organisational model of higher education institutions as professional bureaucracies (see [Chapter 1](#) of this course book), you should work on balancing central and decentralised objectives of developing quality, as a central prerequisite to be successful and sustainable. A one-sided top-down approach is unlikely to work in a higher education institution.
- **Linking quality assurance to other fields of higher education management:** Quality assurance is not a closed topic that can be treated separately from others. As we have learned in the last chapter, it is an overarching theme to be kept in mind and connected systematically to the other fields of higher education management, such as staff and organisation development, management of agreements, management of teaching and learning etc.
- **Time:** All the above-mentioned aspects afford a lot of time. Consider this when developing your respective action plans. Sustainable quality assurance and development is not a one-off activity but requires staying involved and continuously following up.
- **Liability:** According to the saying "agreements are made to be accomplished", liability is another very important factor of success. Objectives can only be reached, if the involved stakeholders accomplish what they have agreed on with regard to procedures and workflows. Furthermore, it is a sign of doing good quality work, since target groups feel that they can trust what you have agreed on, will be achieved.

6.2 How Do Quality Management Systems Develop?

Looking at the developments in quality assurance at higher education institutions in recent decades, we can observe processes that can be characterised by a combination of “trial and error” on the one hand, and systematic and strategic approaches on the other. When you look at your own institution, it might be similar: Even if you get some helpful stimuli, check lists, and good practices within these course books, in the end, it is your institution that has to make its own experiences, finding out what works well and what doesn’t work so well.

Based on the authors experience, we can identify three phases that could probably be generally applied to higher education institutions:

IQA 1.0: Experimental design and formation of tools and procedures, followed by a comprehensive installation of the selected favourable tools and procedures. This also includes the production of a lot of quantitative and qualitative data which remains unused.

IQA 2.0: The tools and procedures in use are linked to management activities, i.e. embedding in strategic planning, supporting the rectorate but also the faculties with data and analyses.

IQA 3.0: Approach to thin out selectively and systematically quantitative data; reducing doubled workload by coordinating and adjusting processes and activities on both centralised and decentralised levels; reducing processes by focussing on more decentralised follow-ups, by combining the tools and procedures with centralised and decentralised control. Foundation to creating an entire system of quality assurance.

To reach IQA 3.0, university employees often go through various experiences:

1. A fundamental basis for the establishing quality assurance structures at higher education institutions is the initiation by the top management. Quality management is a strategic instrument at all levels. Without support and incentives of the top management, it will be difficult to convince and motivate the members of the institution to participate in and contribute to any quality assurance activities.
2. A system is not made up of providing tools and quantitative data alone. To have information does not necessarily mean that this information is used. An overload of tools and data can even provoke more resistance and refusal to work with the information received. Thus, possible follow-up processes brought about by the eliciting of data should be considered during the conception of tools.
3. The merging of the own intuitive quality understanding and professional quality assurance systems is a sensitive act. Both are necessary to create an innovative and appropriate system for the own institution. Be careful, that the intuitive rudiments are not lost on the way.

In course book 1 we gave you an overview of different possibilities to arrange a quality assurance unit within the organisational frame of the institution (see Module 1, Chapter 4). Based on these approaches, as well as the further discussions on dealing with quality assurance in the other course books (regarding tools and procedures, curriculum design, information management and linking quality assurance to other higher education management fields), we may now try to summarise some key steps to start with when establishing internal quality assurance structures at higher education institutions. The following “check list” is not exclusive. Please keep in mind that at your own institution the sequence of some steps might be different, or there are other important steps that are not mentioned here, but that are necessary at your institution. As already underlined, each institution has to find its own path to quality assurance. However, we may benefit and improve by learning from each other.

10 Key Steps to Develop Internal Quality Assurance Structures

1. Define a **quality policy** (targets, benchmarks, fields of activities).
2. Pick a **QA team** of at least two people (a ‘politician’ and a methodically experienced ‘officer’).
3. Make a **QA development plan** (at least 5 years).
4. Implement a **strategic budget** for QA activities.
5. Start with **student satisfaction surveys** and implementation of **target agreements** with your faculties (every 3-4 years).
6. Gather some experiences...
7. Think of consolidating the target agreements with a **self-evaluation process** in the faculties and/or an informed peer review.
8. Conceptualise **graduate tracer studies**.
9. Find time to **structure internal procedures** and write a handbook on these processes.
10. Make a **system** out of that.

6.3 Quality Culture – Basis to Make a System Live up to its Purpose (Part II)

Coming back to the last chapter of course book 1 about the first part of discovering and analysing a successful quality management system that “lives up to its purpose”, we will now end up with the discussion about quality culture.

As we have already learned in course book 1, quality culture can be defined as:

“a set of group values that guide how improvements are made to everyday working practices and consequent outputs”
(Harvey 2004-2014)

Based on this, the European Universities Association (EUA) deepened discussions on quality culture at higher education institutions, arriving to the following conclusion:

“Quality Culture refers to an organisational culture that intends to enhance quality permanently and is characterised by two distinct elements: on the one hand, a cultural/psychological element of shared values, beliefs, expectations and commitment towards quality and, on the other hand, a structural/managerial element with defined processes that enhance quality and aim at coordinating individual efforts.”

(Loukkola & Zhang 2010, 9)

You may have noticed that the described elements of this concept of quality culture are somehow controversial: On the one hand, quality culture refers to something an organisation is or has. On the other hand, it is something that can be brought forward by structural or managerial efforts that stimulate shared values and beliefs (Harvey & Stensaker 2008).

This goes hand in hand with Edgar H. Schein’s understanding of organisation culture as a pattern of fundamental common assumptions that a group has discovered, developed or founded and which have been proven of value, and with it determine sustainably but invisibly everything that happens in an organisation (Schein 2003).

We may conclude that quality culture reflects the impact of quality concepts on organisational development. Quality is not only a concept. If an organisation is dedicated to quality, quality becomes a responsibility across all levels of management. Quality assurance, in combination with the tools of institutional change management, become the key players in institutional development.

Based on this, quality culture not only refers to shared values, beliefs, expectations and commitment (as mentioned above), but it also includes the ability to overcome and deal with struggle and inner institutional reluctance and resistance. Culture, understood as a flexible and transformative concept, is a permanent development, trying to combine the values and virtues of the organisation as a whole with existing and new challenges, demands and expectations.

Based on this understanding, we do not have to ask, when an organisation has achieved (or not achieved) quality culture. It is always there, however, it differs from organisation to organisation with regard to its characteristics and particularities. This also means that we cannot talk of a right or wrong quality culture. Instead, every institution is, creates, develops and lives its own quality culture which fits to its purposes, to its members and its environmental conditions. It can be democratic, open and rather informal, but also autocratic, hierarchic, and severe – both ways can be adequate and helpful cultural forms for an institution.

One interesting question resulting from this is, to what extent cultural characteristics facilitate change processes to reach defined objectives and to implement the institutional strategy. For example, a quality and organisation culture that is based on an open dialogue and continuous learning processes can facilitate a higher education institution dealing with its internal and external demands in a student-oriented, flexible, innovative or efficient way. Another culture might be based on clear top-down decision making procedures, standardised processes that are robust, reliable and stable against crisis. These differences show that change and adaption can be realised more easily in some cultures than in others.

It is important that the top management of an organisation recognises such characteristics of the organisational and quality culture, its strengths and weaknesses, and to what extent they contribute to reach defined objectives and meet the needs of all organisation members.

Factors to be considered when talking about quality culture

Following this understanding of quality culture and coming back to the question, “when does a system live up to its purpose”, we can summarise some fundamental factors that should be considered when answering this question:

- Quality management includes both stimulating teaching, learning and research, and also managing processes in an effective and flexible way to make the organisation successful.
- Problem awareness and willingness to question and change existing conditions.
- Consensus among the leadership of the higher education institution that a quality assurance system is necessary and should be established according to the entire institutional strategy.
- Adequate participation of all institution members at the development and introduction of quality assurance structures.
- Willingness of all institution members, especially the management, to contribute and implement quality assurance structures, tools and procedures.
- Efficient and systematic methodological analysis and optimisation of processes.
- “Walk the walk”, which means that you not only create a blueprint of a set of platitudes about quality assurance and development, but also “live them” within your daily working life.

Role of Quality Managers

Quality managers can strengthen these factors due to their connecting function as an interface between higher education institution top management, faculties and administration. Collett & Davidson describe their role as “participating educationists” (1997, 31) who are able to understand teaching and learning, conduct research, and, based on this facilitate personal, professional and institutional change. They require the ability to identify with different perspectives (be it teachers, professors, students, administration), consider resulting contradictions with regard to goal attainment and make these ambiguities tolerable and manageable with regard to the organisation development. Based on this, they develop trust as a fundamental basis to strengthen collaborative working relationships between all involved stakeholder groups and to facilitate continuous willingness to reflect existing objectives, processes and action lines with regard to their effectiveness for the success of the organisation.



Further Reading

- Harvey, L. & Stensaker, B. (2007). *Quality culture: Understandings, boundaries and linkages*. Retrieved on May 25, 2015, from <http://www.qualityresearchinternational.com/Harvey%20papers/Harvey%20and%20Stensaker.pdf>
- Schein, E. H. (1992). *Organizational culture and leadership* (2nd ed.). San Francisco: Jossey-Bass.
- Schein, E. H. (1999). *The corporate culture survival guide: Sense and nonsense about culture change*. San Francisco: Jossey-Bass.

References

- Argyris, C., & Schön, D. A. (1996). *Organizational learning II*. Reading, Mass.: Addison-Wesley.
- Association for Institutional Research (AIR). (2015). *Data and decisions for higher education*. Retrieved from <https://www.airweb.org/pages/default.aspx>
- Barnett, R. (2005). *Reshaping the university: New relationships between research, scholarship and teaching*. Maidenhead: Open University Press.
- Becker, M. (2009). *Personalentwicklung. Bildung, Förderung und Organisationsentwicklung in Theorie und Praxis* (5th revised ed.). Stuttgart: Schaeffer-Poeschel.
- Beckhard, R. (1969). *Organization development: Strategies and models*. Reading, Mass.: Addison-Wesley.
- Bertalanffy, L. von. (1950). An outline of general systems theory. *The British Journal*, 1(2), 134–165.
- Bertalanffy, L. von. (1968). *General system theory: Foundations, development, applications*. New York: George Braziller.
- Berthold, C. (2011). "Als ob es einen Sinn machen würde ..." - *Strategisches Management an Hochschulen*. CHE Arbeitspapier, 140. Gütersloh: Centrum für Hochschulentwicklung GmbH.
- Bogumil, J. et al. (2013). *Modernisierung der Universitäten: Umsetzungsstand und Wirkungen neuer Steuerungs-instrumente*. Berlin: edition sigma.
- Braybrooke, D., & Lindblom, C. E. (1963). *A strategy of decision*. New York: The Free Press.
- Burke, W. W. (2002). *Organizational change: Theory and practice*. Thousand Oaks, CA: Sage Publications.
- Cohen, M., March, J. G., & Olsen, J. P. (1972). A garbage can model of organizational choice. *Administrative Science Quarterly*, 17(1), 1–25.
- Collet, P., & Davidson, M. (1997). Re-Negotiating autonomy and accountability: The professional growth of developers in a South African institution. *International Journal for Academic Development*, 2(2), 28–34.
- Collins, B., & Van der Wende, M. (2002). *Models of technology and change in higher education: An international comparative survey on the current and future of ICT in higher education*. Twente: CHEPS.
- Cummings, T. G., & Worley, C. G. (1997). *Organization development and change* (6th ed.). Cincinnati, Ohio: South-Western College Publishing.
- Curado, C. (2006). Organisational learning and organisational design. *The Learning Organization*, 13(1), 25–48.
- Dill, D. D. (1995). Through Deming's eyes: A cross-national analysis of quality assurance policies in higher education. *Quality in Higher Education*, 1(2), 95–110.
- Dill, D. D., & Beerkens, M. (2013). Designing the framework conditions for assuring academic standards: Lessons learned about professional, market, and government regulation of academic quality. *Higher Education*, 65, 341–357. Retrieved from <http://link.springer.com/article/10.1007%2Fs10734-012-9548-x>
- Doran, G. T. (1981). There's a S.M.A.R.T. way to write management's goals and objectives. *Management Review*, 70(11) (AMA FORUM), 35–36.
- European Training Fundation. (2009). The European university: A handbook on institutional approaches to strategic management. In S. Nickel (Ed.), *Universität und Gesellschaft: (Bd. 5). Partizipatives*

- Management von Universitäten. Zielvereinbarungen, Leitungsstrukturen, staatliche Steuerung* (2nd ed.). München, Mering: Hampp.
- Fiol, C. M., & Lyles, M. A. (1985). Organizational learning. *The Academy of Management Review*, 10(4), 803–813.
- Harvey, L. (2004-2014). *Analytic Quality Glossary*. Retrieved from <http://www.qualityresearchinternational.com/glossary/>
- Harvey, L., & Stensaker, B. (2007). Quality culture: Understandings, boundaries and linkages. *European Journal of Education*, 43(4), 427–442. Retrieved from <http://www.qualityresearchinternational.com/Harvey%20papers/Harvey%20and%20Stensaker.pdf>
- Henke, J., Höhne, R., Pasternack, P., & Schneider, S. (2014). Mission Possible: gesellschaftliche Verantwortung ostdeutscher Hochschulen: Entwicklungschance im demografischen Wandel. *HoF-Handreichungen 6, Beiheft zu "die Hochschule"*.
- Higher Education Academy. (2015). *Transforming teaching, inspiring learning*. Retrieved from <https://www.heacademy.ac.uk/recognition-accreditation/uk-professional-standards-framework-ukpsf#sthash.zZmM6tWm.dpuf>
- Jensen, M., & Meckling, W. (1976). Theory of the firm. Managerial behavior, agency costs, and ownership structure. *Journal of Financial Economics*, 3(4), 305–360.
- Joyce, B., & Showers, B. (1980). Improving inservice training: The messages of research. *Educational Leadership*, 37(5), 379–385.
- Joyce, B., & Showers, B. (1996). The evolution of peer coaching. *Educational Leadership*, 53(6), 12–16.
- Joyce, B., & Showers, B. (2002). *Student achievement through staff development*. Alexandria, VA: Association for Supervision and Curriculum Development.
- Keller, G. (1984). *Academic strategy* (4th ed.). Baltimore, MD: John Hopkins University Press.
- Kotter, J. P. (1996). *Leading change*. Boston, Mass.: Harvard Business School Press.
- Kotter, J. P. (2006). *The iceberg is melting*. New York City: St. Martin's Press.
- Kotter, J. P. (2008). *A sense of urgency*. Boston, Mass.: Harvard Business School Publishing.
- Krumbiegel, J., Oechsler, W., Sinz, E. J., & Vaanholt, S. (1995). Business Process Reengineering in der Universität. *Personal*, 47(10), 526–533.
- Lewin, K. (1947). Frontiers in group dynamics I: Concept, method and reality in social science, social equilibria and social change. *Human Relations*, 1, 5–41.
- Loukkola, T., & Zhang, T. (2010). *Examining quality culture: Part 1 - quality assurance processes in higher education institutions*. Brussels: European University Association.
- Luecke, R. (2003). *Managing change and transition*. Boston, Mass.: Harvard Business School Press.
- Maassen, P. (1992). Strategic planning. In B. Clarc & G. Neave (Eds.), *Encyclopedia of Higher Education*. Oxford: Pergamon Press.
- March, J. G. (1988). *Decisions and organizations*. New York, N.Y.: Blackwell.

- March, J. G., & Lingen, T. von. (1990). *Entscheidung und Organisation: Kritische und konstruktive Beiträge, Entwicklungen und Perspektiven*. Wiesbaden: Gabler.
- Meier, F. (2009). *Die Universität als Akteur: Zum institutionellen Wandel der Hochschulorganisation*. Wiesbaden: VS Verlag für Sozialwissenschaften/GWV Fachverlage GmbH, Wiesbaden.
- Meisel, K., & Feld, T. C. (2009). Veränderungen gestalten - Organisationsentwicklung und -beratung in Weiterbildungseinrichtungen. *Studienreihe Bildung und Wissenschaftsmanagement*, 10. Münster [u.a.]: Waxmann.
- Middaugh, M. F. (1990). The nature and scope of institutional research. *New Directions for Institutional Research*, 66, 35–48.
- Mind Tools Corporate. (2015). *Essential skills for an excellent career*. Retrieved from https://www.mindtools.com/pages/article/newPPM_82.htm
- Miner, J. B. (2005). *Organizational behaviour: Behaviour 1: Essential theories of motivation and leadership*. Armonk, NY: M.E. Sharpe.
- Mintzberg, H. (1979). *The structuring of organizations*. New Jersey: Englewood Cliffs.
- Mintzberg, H. (1987). The strategy concept: Five Ps for strategy. *California Management Review*, 30(1), 11–24.
- Müller-Böling, D. (1998). *Strategieentwicklung an Hochschulen*. Gütersloh: Bertelsmann Stiftung.
- Muralidharan, R. (2004). A framework for designing strategy content controls. *International Journal of Productivity and Performance Management*, 53(7), 590–601.
- Nickel, S. (2007). *Institutionelle QM-Systeme in Universitäten und Fachhochschulen: Konzepte, Instrumente, Umsetzung* (No. 94). Gütersloh: CHE.
- Parsons, T. (1951). *The social system*. Glencoe, Ill: Free Press.
- Pellert, A. (2000). *Expertenorganisationen reformieren*. In A. Hanft (Ed.), *Hochschulen managen? Zur Reformierbarkeit der Hochschulen nach Managementprinzipien*. Hochschulwesen Wissenschaft und Praxis, 39–55. Neuwied: Luchterhand-Verlag.
- Power, M. (1997). *The audit society: Rituals of verification*. Oxford: Oxford University Press.
- Rogers, E. M. (1983). *Diffusion of innovations* (3rd ed.). New York: Free Press.
- Rosentiel, L. von., & Comelli, G. (2003). *Führung zwischen Stabilität und Wandel*. München: Verlag Franz Vahlen.
- Schein, E. H. (1985). *Organizational culture and leadership: A dynamic view*. San Francisco: Jossey-Bass.
- Schein, E. H. (1992). *Organizational culture and leadership* (2nd ed.). San Francisco: Jossey-Bass.
- Schein, E. H. (1999). *The corporate culture survival guide: Sense and nonsense about culture change*. San Francisco: Jossey-Bass.
- Schein, E. H. (2003). *Organisationskultur*. Bergisch-Gladbach: EHP.
- Scheytt, T. (2007). Strategieorientiertes Performance Management in Hochschulen: Das Konzept der Balanced Scorecard. *Hochschulmanagement*, 2(1), 15–21.
- Schneijderberg, C., & Merkator, N. (2012). Higher education professionals: A literature review. In B. Kehm & U. Teichler (Eds.), *The academic profession in europe – new tasks and new challenges*, 53–92. Dordrecht Heidelberg London New York: Springer (series: the Changing Academy).
- Sherwin, L. (n.d.). *Managing change toolkit*. Retrieved from http://www.lindsay-sherwin.co.uk/guide_managing_change/html_change_strategy/07_mintzberg.htm
- Shils, E. A., & Parsons, T. (1951). *Toward a general theory of action*. Cambridge, Mass.: Harvard University Press.

- SWOT Analysis. (n.d.). In Wikipedia. Retrieved from https://en.wikipedia.org/wiki/SWOT_analysis#/media/File:SWOT_en.svg
- Universität Duisburg-Essen. (2015). Daten und Fakten. Retrieved from https://www.uni-due.de/imperia/md/content/dokumente/datenundfakten/daten_und_fakten.pdf
- University of Duisburg-Essen. (2010). Ziel und Leistungsvereinbarungen an der Universität Duiburg-Essen (UDE). Retrieved from https://www.uni-due.de/imperia/md/content/zentralverwaltung/prozessmanagement/dez2_zlv_verfahren_final.pdf
- Varghese, N. V. (2004). Incentives and institutional changes in higher education. *Higher Education Management and Policy*, 16(1), 29-39.
- Volkwein, J. F. (1999). The four faces of institutional research. *New Directions for Institutional Research*, 1999(104), 9–19.
- Webb, G. (1996). *Understanding staff development*. Buckingham: Society for Research into Higher Education, Open University Press.
- Weick, K. E. (1976). Educational organizations as loosely coupled systems. *Administrative Science Quarterly*, 21(1), 1–19.
- Whitchurch, C. (2006). Who do they think they are? The changing identities of professional administrators and managers in UK higher education. *Journal of Higher Education Policy and Management*, 28(2), 159–171.
- Whitchurch, C. (2008). *Professional managers in UK higher education: Preparing for complex futures. Final report*. London: Leadership Foundation for Higher Education.
- Winde, M. (2006). Stiefkind Personalmanagement - Ergebnisse einer Stifterverbands-Umfrage. *Akademisches Personalmanagement-Positionen*, 5–9. Essen: Stifterverband für die Deutsche Wissenschaft.
- Yukl, G. (1994). *Leadership in organizations* (3rd ed.). Upper Saddle River, N.J: Prentice-Hall.
- Zbaracki , M. (1998). The rhetoric and reality of total quality management. *Administrative Science Quarterly*, 43(3), 602-636.

List of Tables

Table 1	Essentials of establishing internal quality assurance structures (own summary based on Nickel 2007)	32
Table 2	Analysis of environmental trends that are relevant for higher education (own illustration according to Müller-Böling 1998, 27).	39
Table 3	Four objectives and roles of Institutional Research (own table according to Volkwein 1999, 17)	40

List of Figures

Figure 1	The Five Parts (Sherwin 2009).....	16
Figure 2	Personal Bureaucracy (Sherwin 2009)	17
Figure 3	Systematisation of a quality management system (own illustration based on Nickel 2007).....	26
Figure 4	Participation and impact (Berthold 2011, 90)	30
Figure 5	Swot Analysis	38
Figure 6	Intended and emergent strategy (own illustration based on Mintzberg 1987)	42
Figure 7	Balanced Scorecard (adapted from Scheytt 2007)	44
Figure 8	Force-field analysis.....	48
Figure 9	Lewin`s Model of Change (own illustration based on Lewin 1947)	49
Figure 10	Eight-step change process (own illustration based on Kotter 1996)	50
Figure 11	Strategic Controlling at University of Duisburg-Essen	72



With financial support from the



Federal Ministry
for Economic Cooperation
and Development

Supported by

