



# Quality and Excellence in Higher Education

**Mike Pupius**  
**Director, Centre for Integral Excellence**  
Sheffield Hallam University

# Sheffield Hallam University

- Sheffield Hallam is one of the UK's largest universities
- This year we have around 30,000 students (74% undergraduate, 26% postgraduate)
- Undergraduates - 20,750 (80% full time; 95% UK students; 22% mature on entry, 52% female, 48% male)
- 3,000 are International students from 80 different countries
- 1299 full and part-time teaching staff
- Annual student expenditure is £150 million
- The University employs around 5,000 staff (full and part-time); around 1,100 are academic/teaching staff (full and part-time/associate)
- Turnover was £170 million in 2006/7, £193 million in 2007/8





**Good Management  
Practice**

**Leadership, Governance  
and Management**

## ***Integrating for Excellence***



**University of the Arts  
London**



Повышение качества управления в Российском университете  
JEP-24090  
Raising Management Quality in a Russian University

# Centre for Integral Excellence

## Our Mission

**“Working with people and organisations  
to make a difference”**

We will do this by working in collaboration with others to help them embrace the principles of integral excellence.

# Centre for Integral Excellence

## Integral

- Integrating
- bringing together
- aligning
- synthesising
- completeness
- holistic

## Excellence

- Being the best you can be
- the quality of excelling
- perfection
- a journey not a destination

# Quality and Excellence in Higher Education: Agenda

- European Higher Education and quality management
- The British experience and observations
- Annual Quality Evaluation
- Excellence and Process Management

# Part 1

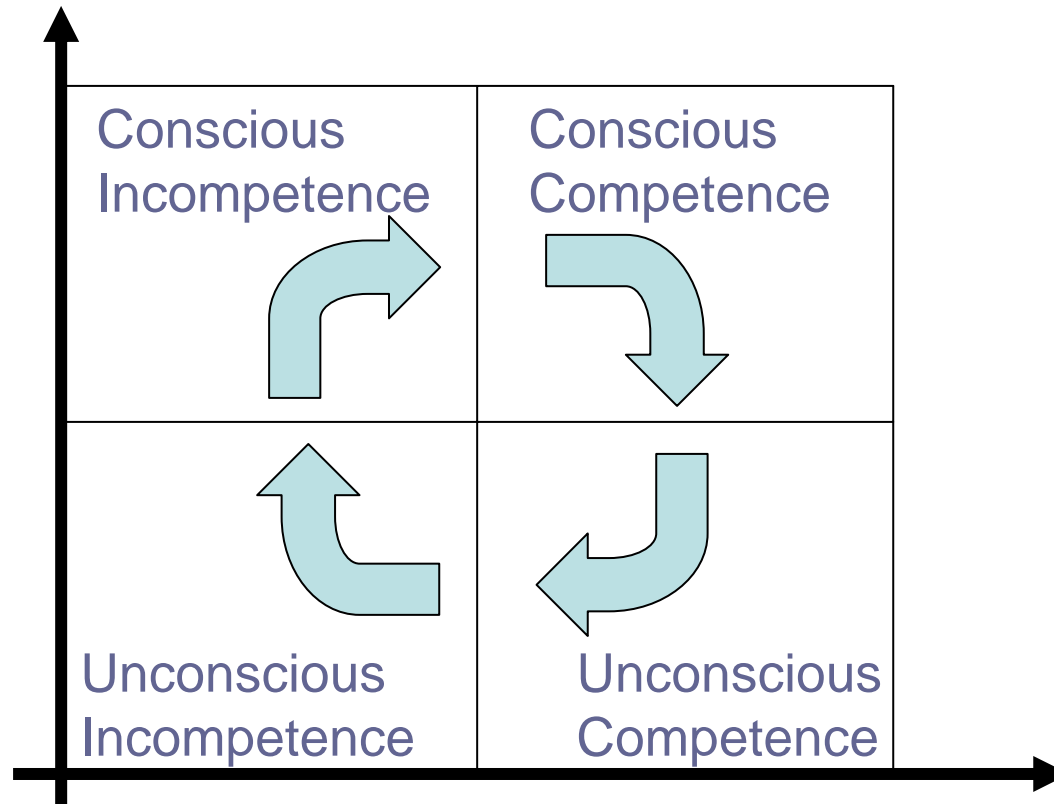
European Higher Education and quality  
management

The British experience and  
observations

# The Quality Journey

# Competence and consciousness

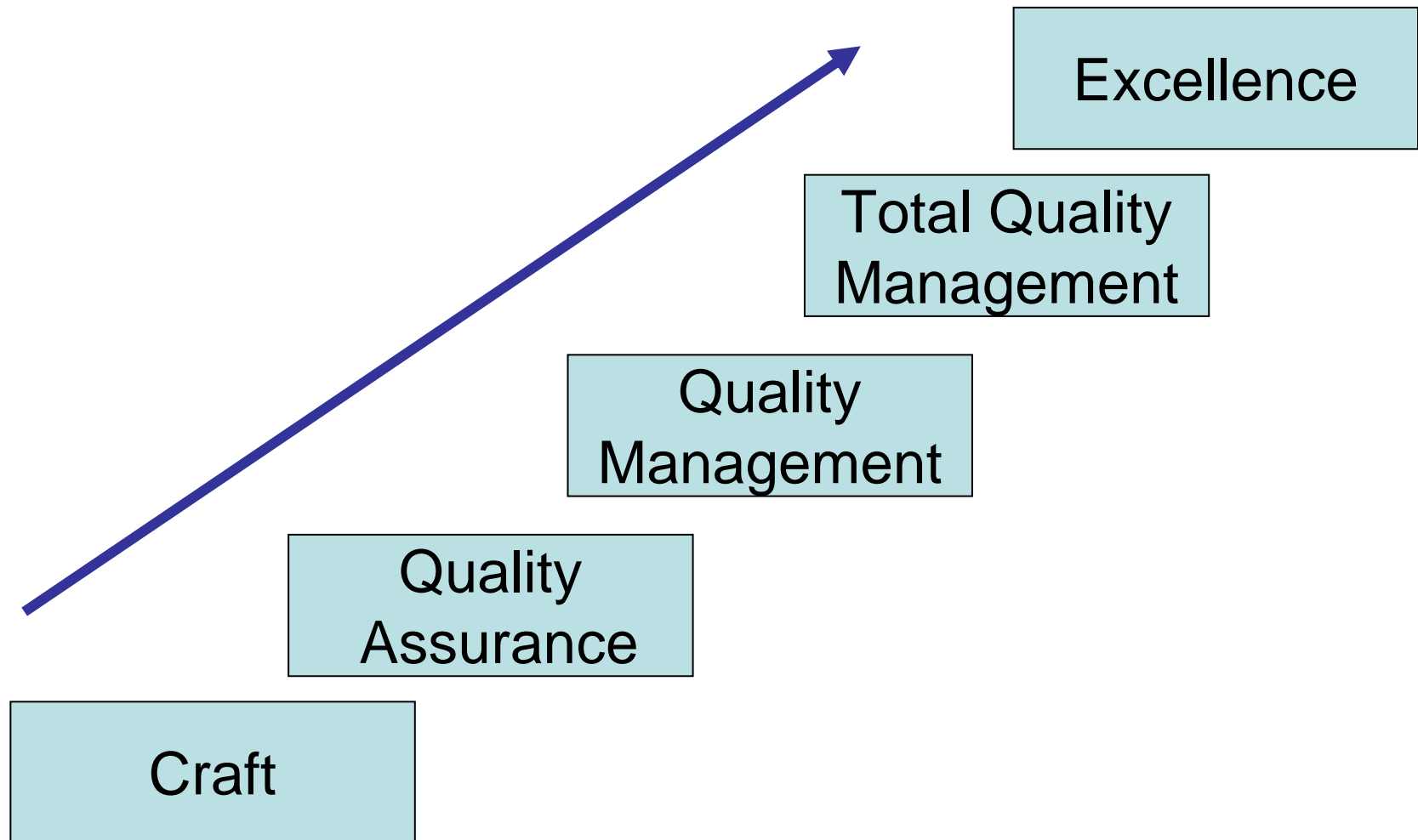
Consciousness



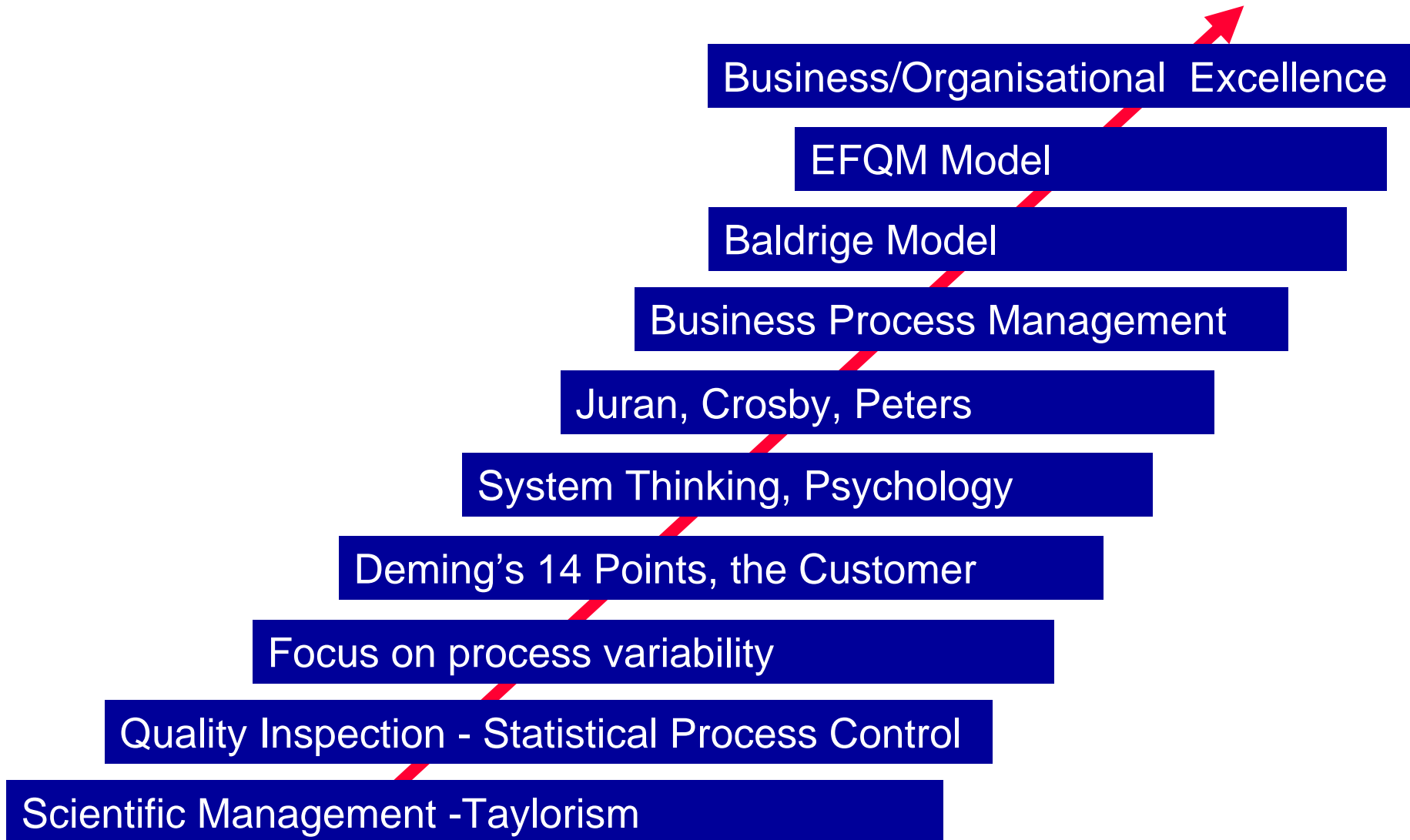
Competence

**A continuous cycle, developing new skills and behaviours**

# The evolution of quality and excellence



# The Evolution of Organisational Excellence



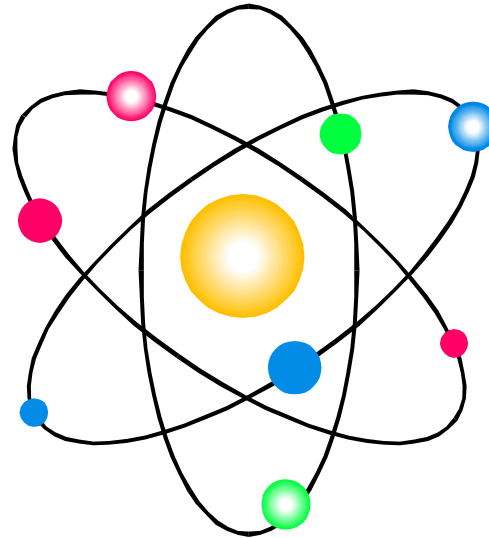
# Fundamental Concepts of Excellence

**Results Orientation**

**Corporate Social  
Responsibility**

**Customer Focus**

**Partnership  
Development**



**Leadership &  
Constancy of  
Purpose**

**People Development &  
Involvement**

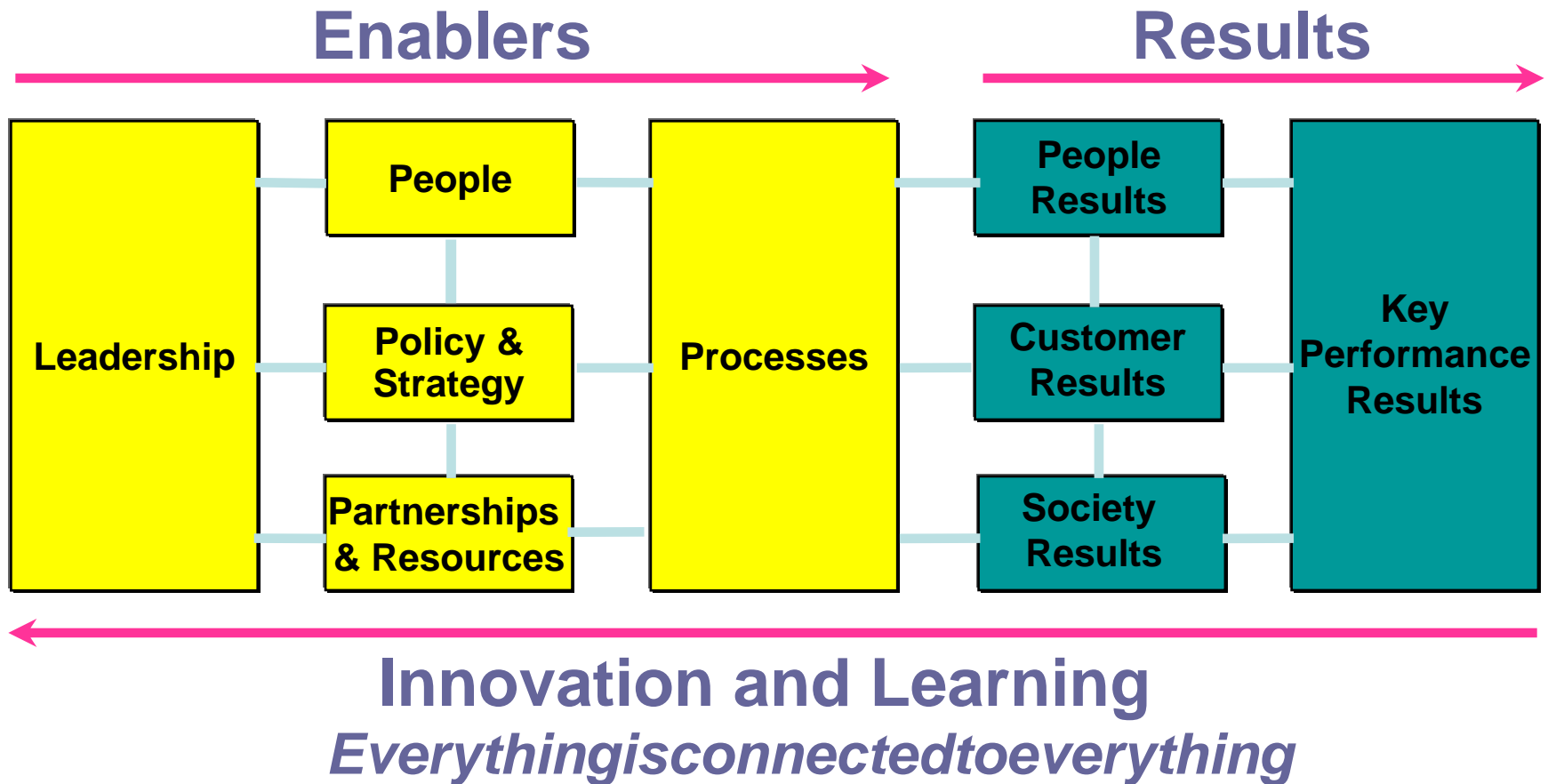
**Management by  
Processes and Facts**

**Agility**

**Continuous Learning,  
Innovation &  
Improvement**

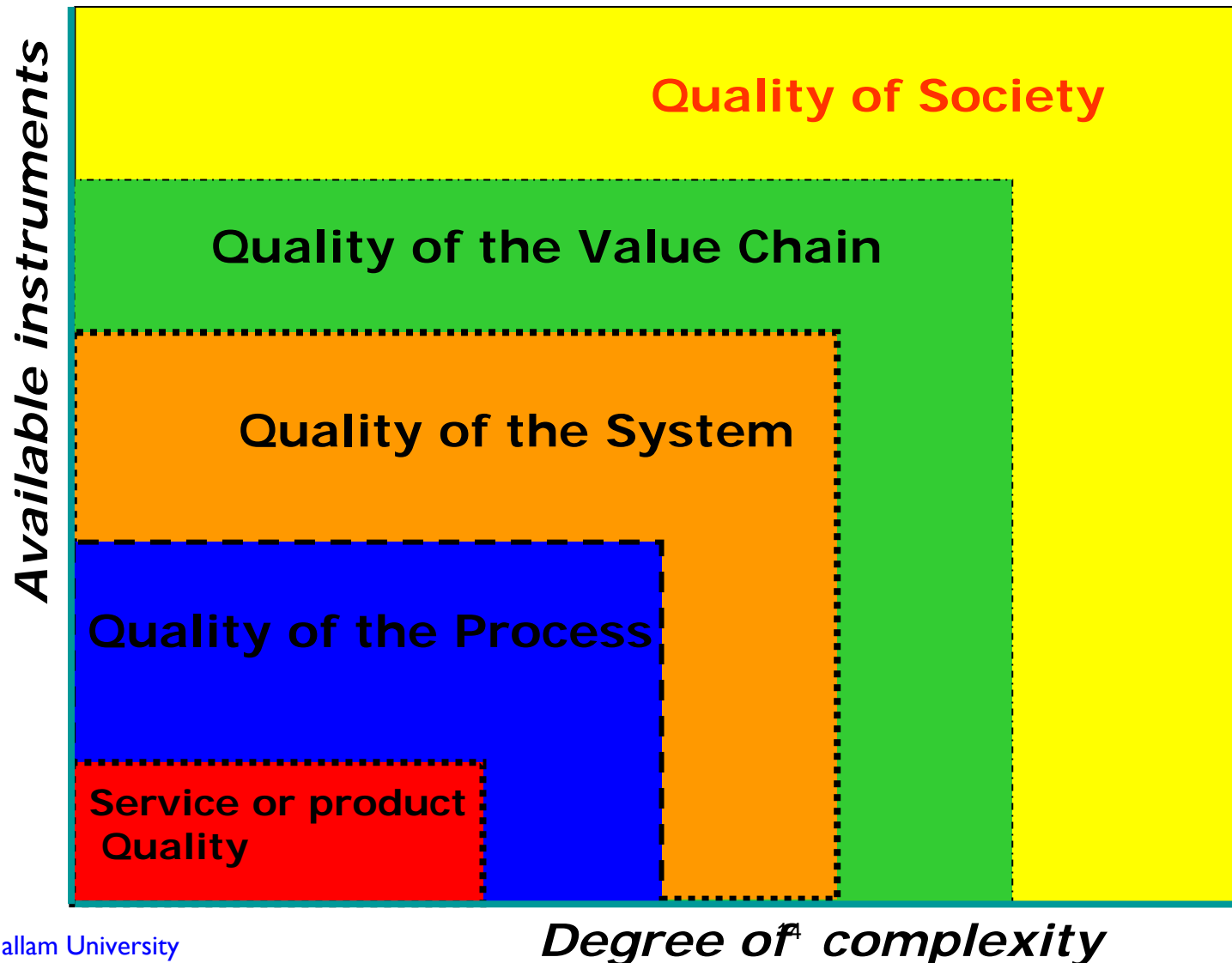
**Future Focus**

# EFQM Excellence Model<sup>®</sup>

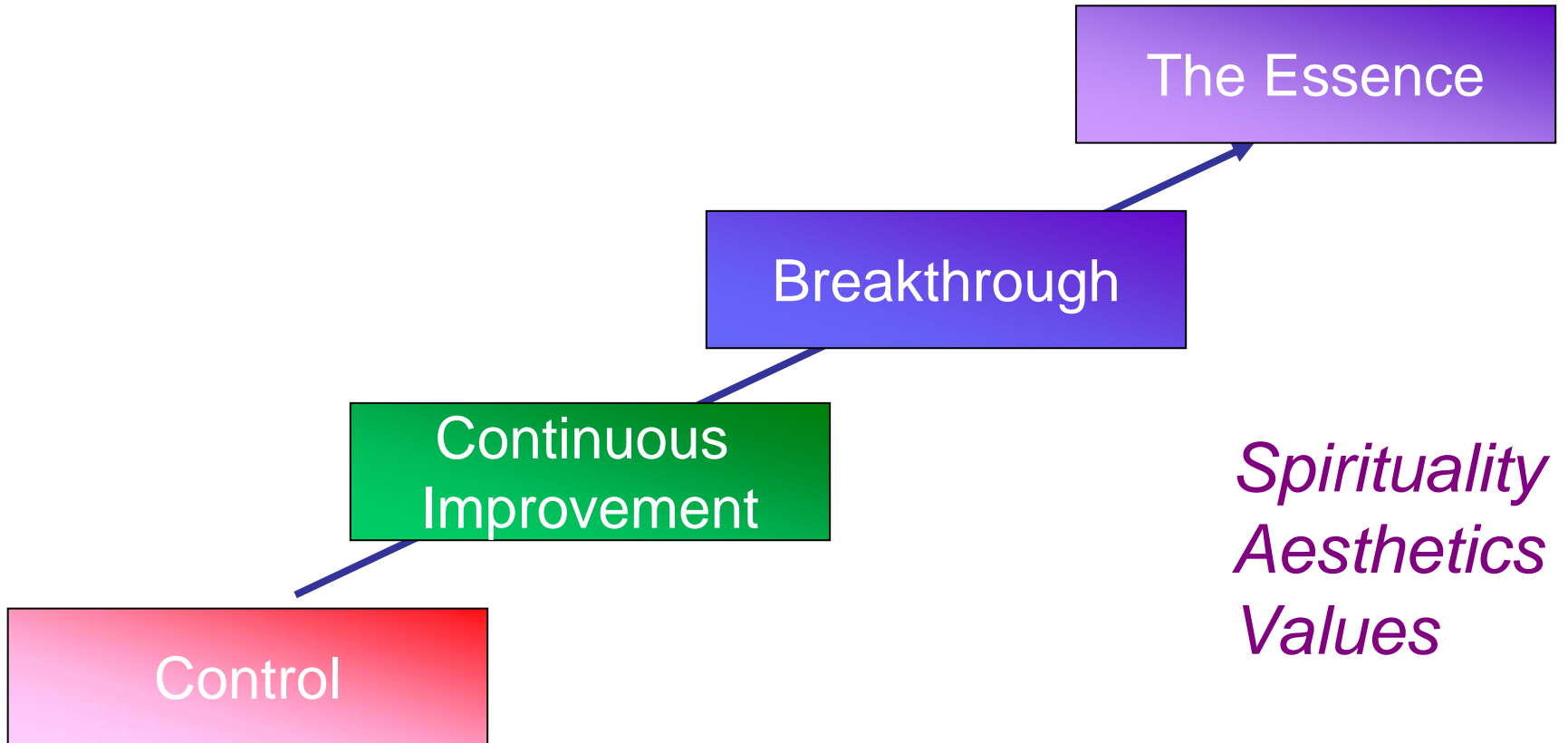


*The EFQM Excellence Model is a Registered Trademark*

# Five Stage Model (Hardjono, INK)



# Reaching the Essence



(Professor Teun Hardjono, October 2005)

# Getting the values building blocks in position

SERVICE & SOCIAL RESPONSIBILITY

PARTNERSHIPS & COLLABORATION

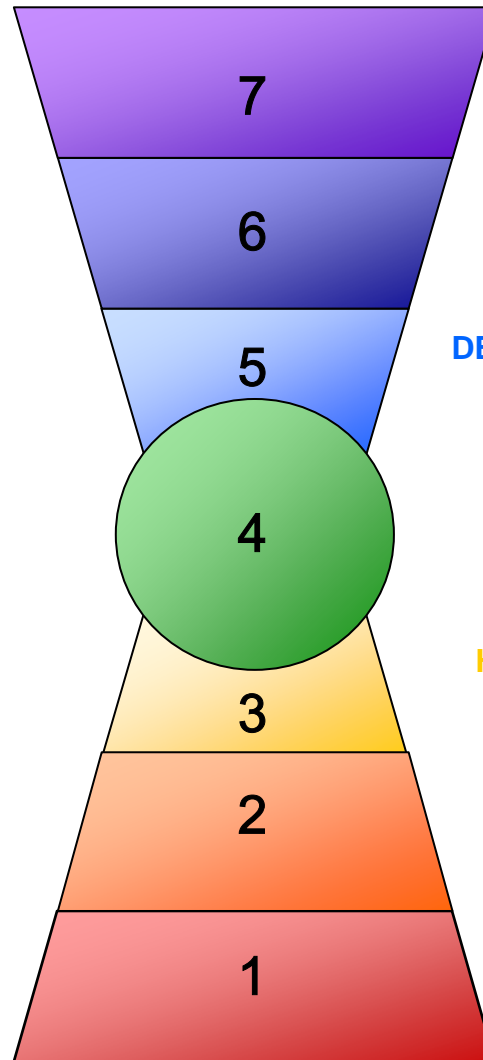
COMMITMENT & TRUST

TRANSFORMATION & INNOVATION

PERFORMANCE & EFFICIENCY

LOYALTY & RELATIONSHIPS

FINANCE & SAFETY



Positive Focus / Excessive Focus

## SERVICE TO HUMANITY

Ethics, Social responsibility, Future generations.

## STRATEGIC ALLIANCES AND PARTNERSHIPS

Employee fulfillment. Community involvement, Customer collaboration, Supplier partnerships

## DEVELOPMENT OF A STRONG COHESIVE CULTURE

Commitment, Enthusiasm, Shared values, Creativity

## CONTINUOUS RENEWAL AND LEARNING

Adaptability, Innovation, Teamwork, Continuous Improvement

## HIGH PERFORMANCE SYSTEMS AND PROCESSES

Productivity. Efficiency. Quality. Professional growth. Bureaucracy, Complacency, Internal Politics

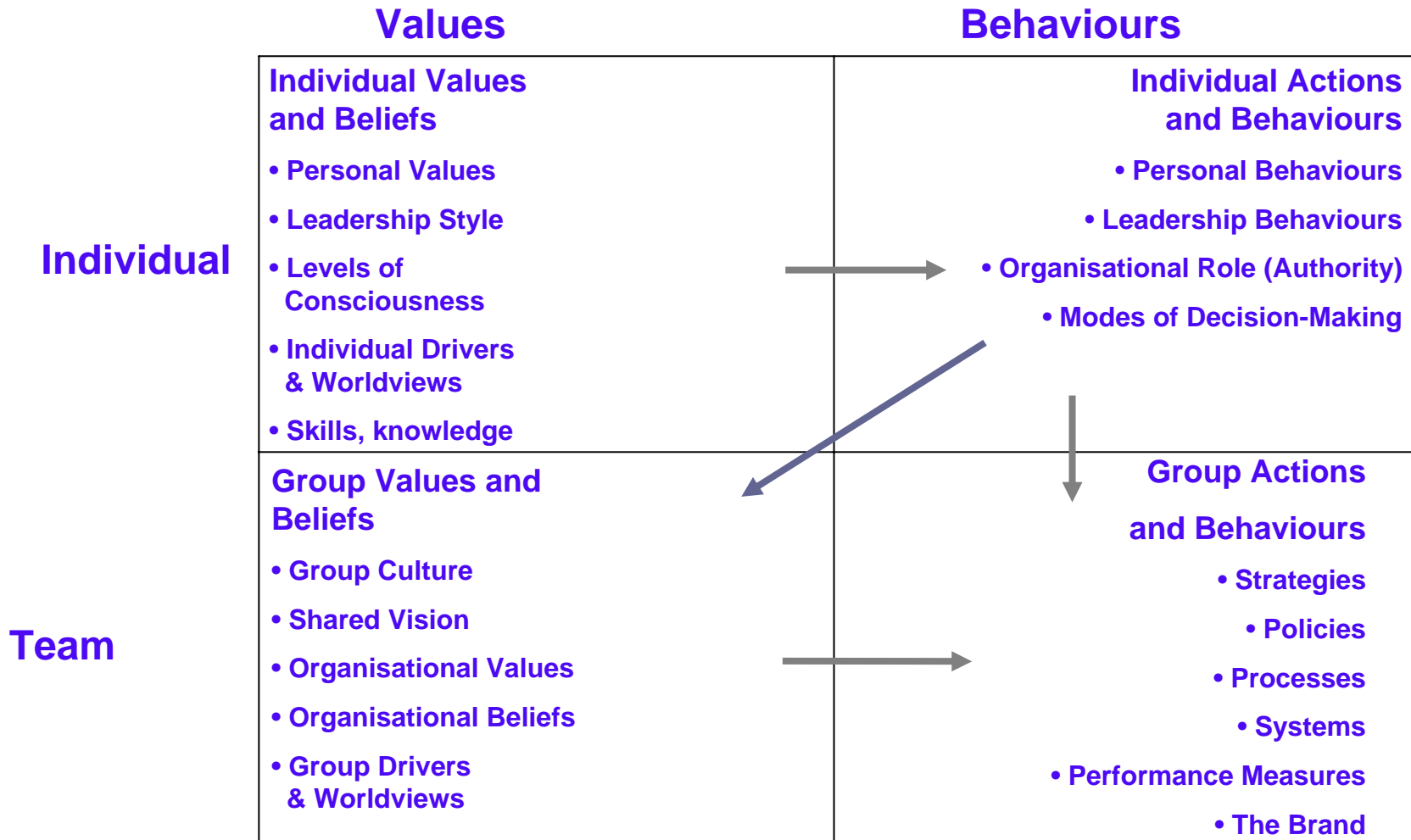
## RELATIONSHIPS THAT SUPPORT THE ORGANISATION

Good communication between employees, customers and suppliers. Manipulation. Blame.

## FINANCIAL STABILITY

Financial soundness. Employee health and safety. Exploitation. Over-control.

# Finding meaning through Integral Excellence



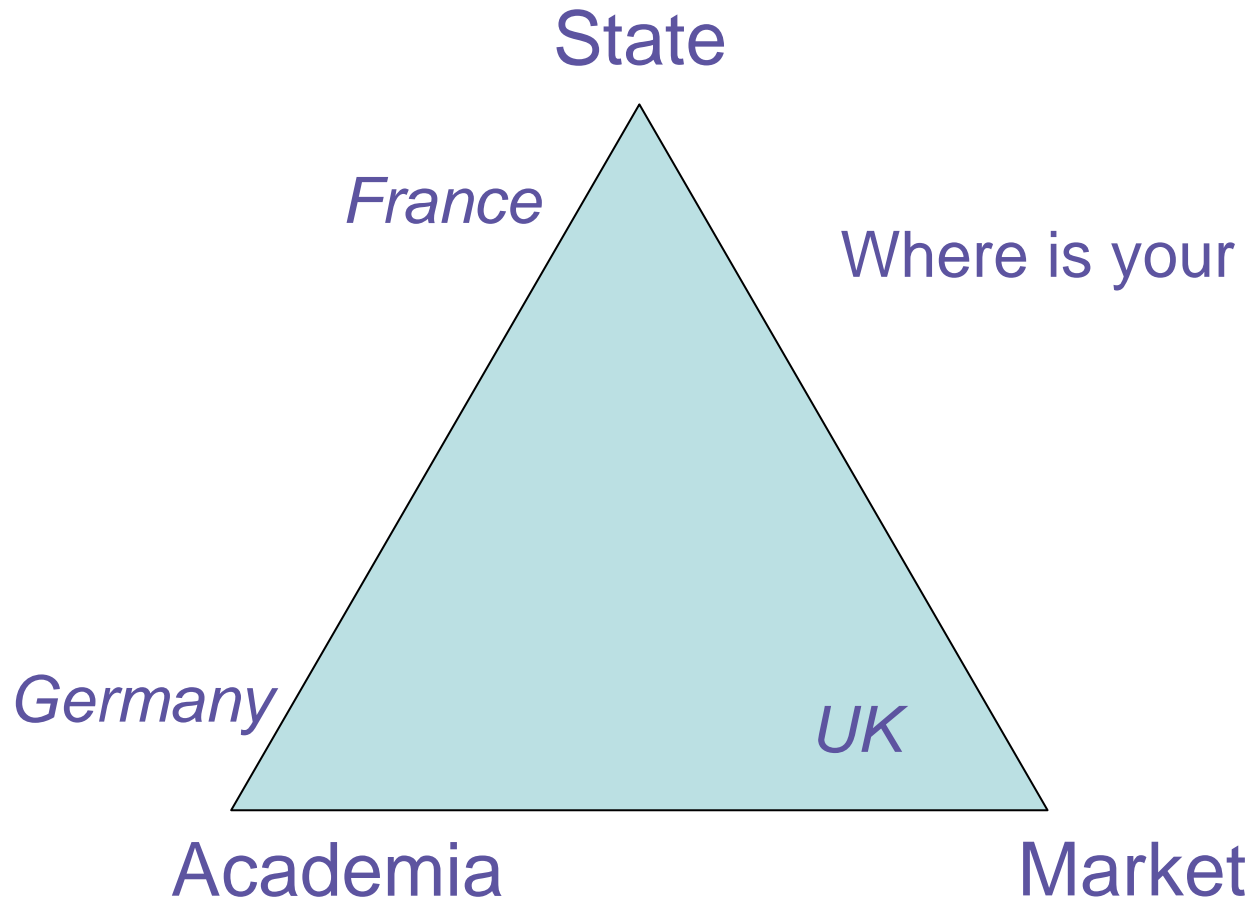
# Context and challenges

# Challenges for the HE sector

- Self-regulation
- Quality assurance versus accreditation versus inspection
- Light touch versus heavy touch
- Clash between managerialism and the traditional collegial and democratic cultures
- Rising expectations of stakeholders: the student, the employer, the government and funding providers
- Widening participation agenda
- Globalisation
- E-learning agenda
- Building management capacity and capability
- Organisational effectiveness and value for money

***Sharing Good Management Practice***

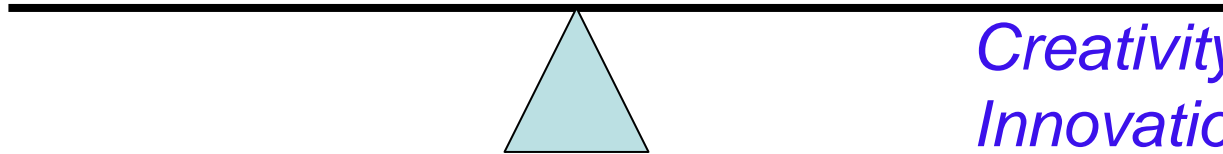
# International positioning



# Achieving the Balance

*Managerialism*  
*Managerial effectiveness*

*Collegiality*  
*Democracy*  
*Academic freedom*  
*Creativity*  
*Innovation*

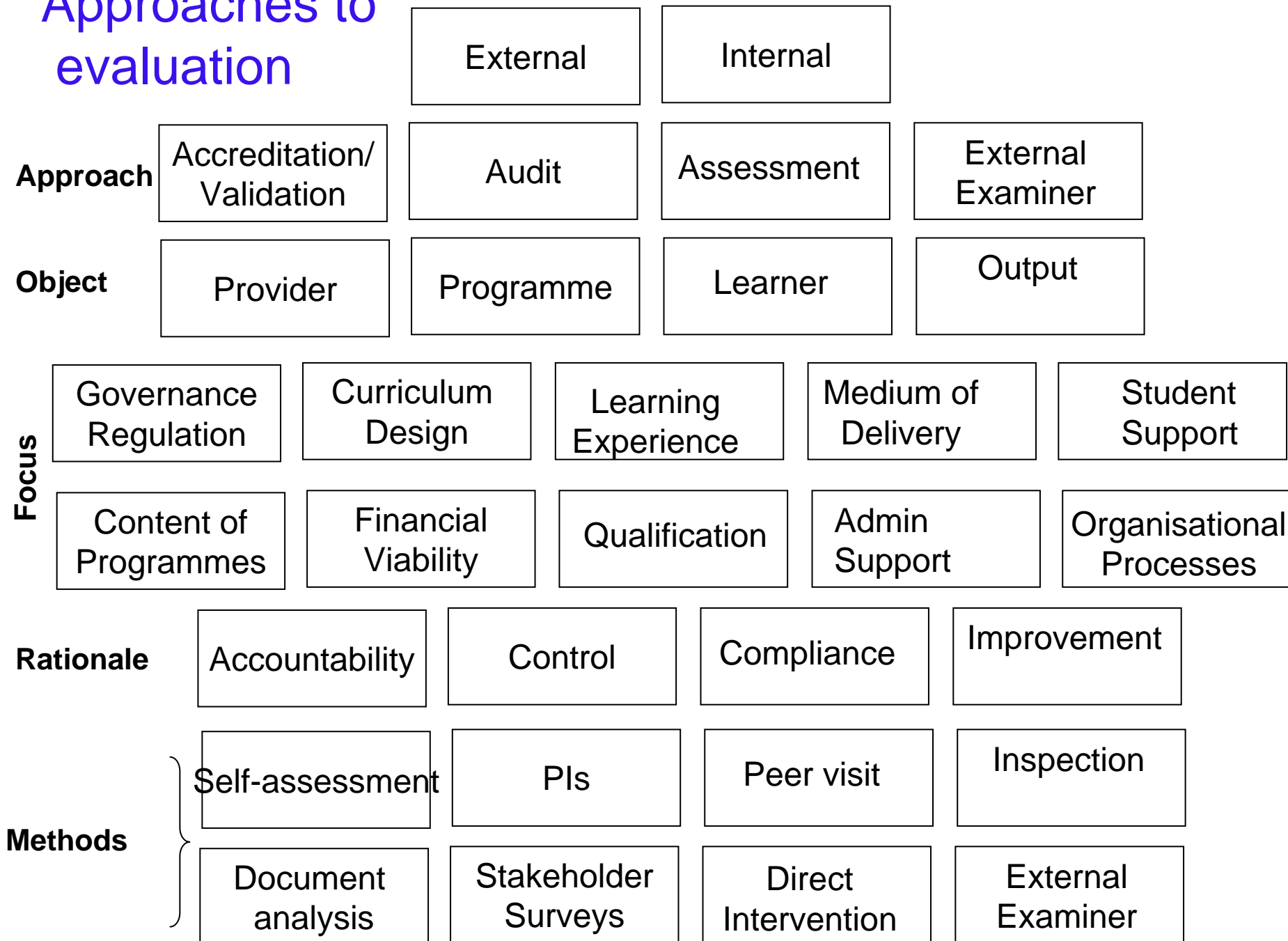


Accountability  
Value for Money  
Trust  
Stakeholder needs

# Some Academic Quality definitions

- **Academic standards:** level of achievement that a student has to reach to gain an academic award (eg. a degree)
- **Academic quality:** how well learning opportunities available to students help them to achieve their award
- **Evaluation:** examines quality of institution, programme, subject or theme
- **Accreditation:** builds on evaluation to make judgement against predefined standards
- **Audit:** evaluates strengths and weaknesses of quality systems to enable institution to continuously improve

# Approaches to evaluation



(Adapted from Accreditation Models in Higher Education ENQA Workshop Report 3:62)

# Variations in evaluation type

- **Institutional Audit** (eg EUA, Finland, Ireland, Italy, Romania, Sweden, UK)
- **Institutional Evaluation** (eg EUA, Austria, Bulgaria, Finland, France, Ireland, Italy, Latvia)
- **Programme evaluation** (eg Austria, Cyprus, Denmark, Finland, Ireland, Italy, Latvia, Lithuania, The Netherlands, Poland, Sweden, UK)
- **Accreditation of programme** (eg Austria, Bulgaria, Cyprus, Germany, Hungary, Latvia, Lithuania, The Netherlands, Norway, Poland, Romania, Sweden)
- **Accreditation of Institution** (eg Austria, Bulgaria, Germany, Hungary, Italy, Latvia, Romania)
- **Benchmarking of subjects or programmes** (eg Lithuania, The Netherlands, Romania)
- **Theme or Subject evaluation** (eg Finland, Germany, The Netherlands, Sweden, UK)

*Source; Quality Procedures in European Higher Education ENQA Occasional paper 5: 38*

# Part 2

## The British Experience and Observations

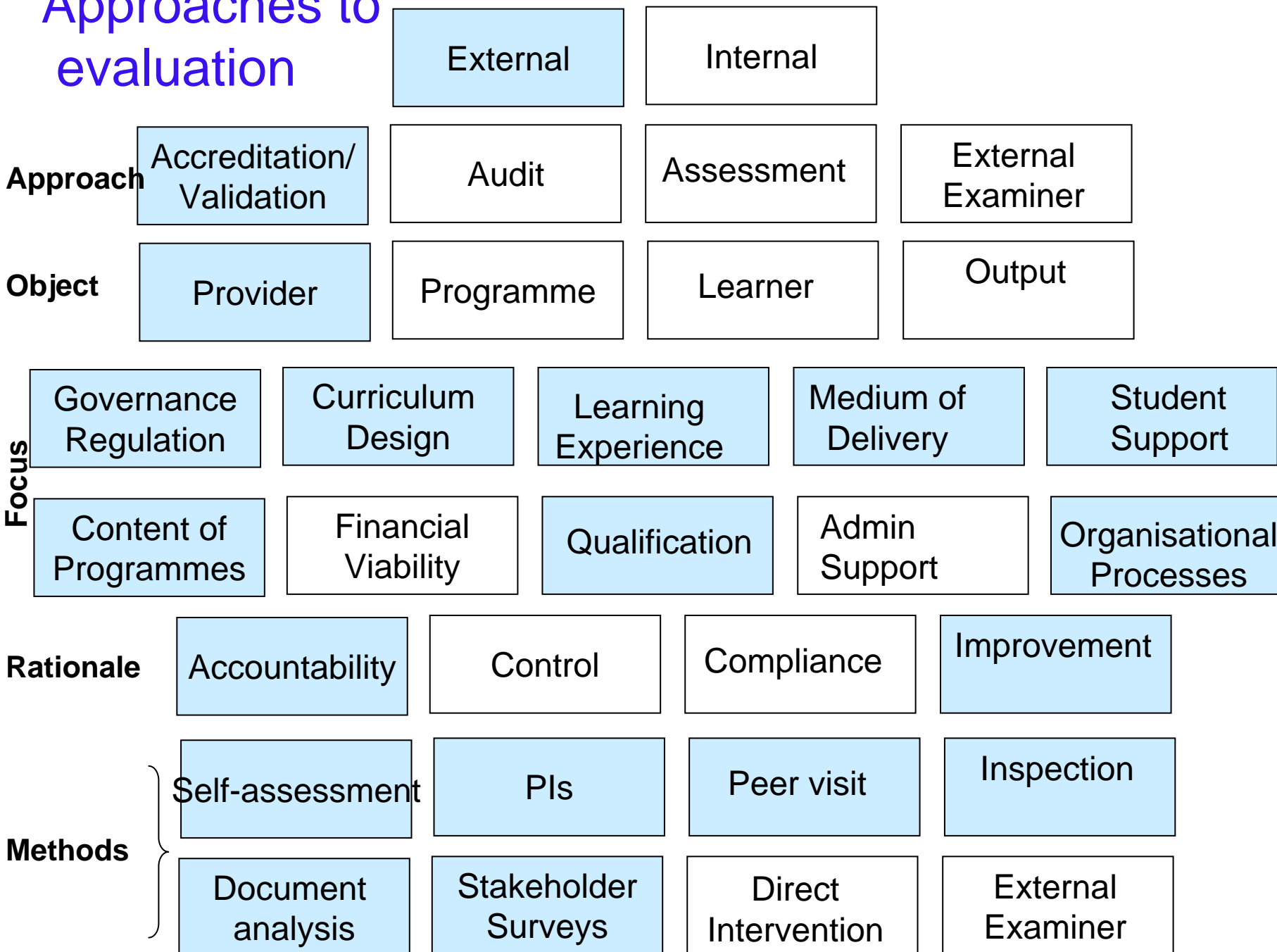
# UK context for development of academic quality approaches

- Growth of HE sector since 1989
- Further & Higher Education Act 1992
- National Agencies: HEQC > QAA
- Government requirements for external QA: programme level scrutiny 1991 – 2001
- Universities' self-regulation: development of audit approaches 1992 to date
- Dearing Report 1997: development of national academic infrastructure
- Teaching Quality Information
- Student fees debate
- Widening participation towards 50%

# Quality and Excellence: UK

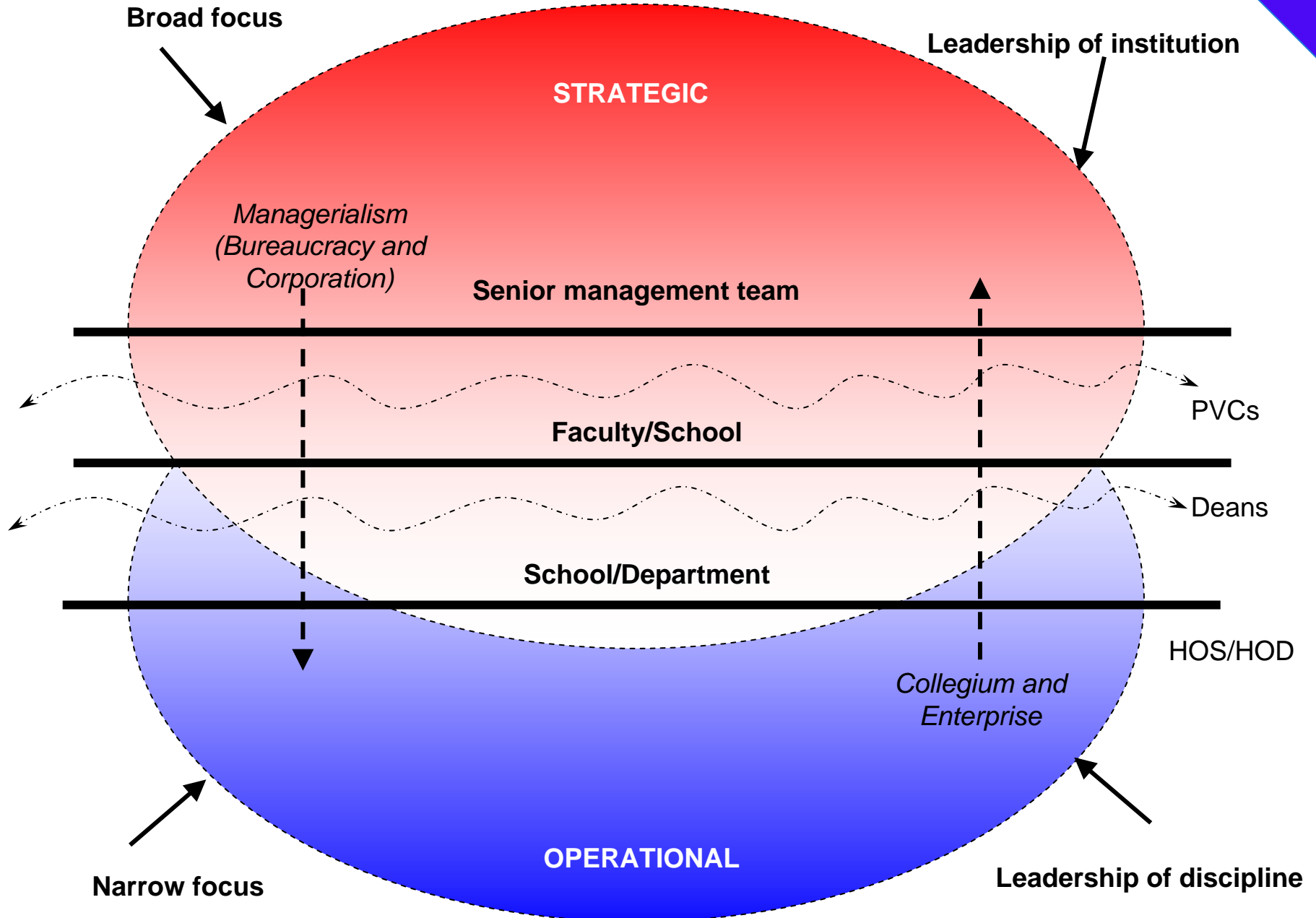
- Quality Assurance Agency
- Subject review
- Institutional audit
- League tables published by newspapers
- Government funding supported by student fees
- Higher Education Funding Council (HEFCE) initiatives
  - Good Management Practice
  - Leadership, Governance and Management
  - Strategic development: corporate planning, human resource planning, facilities management
  - HEFCE gained Recognised for Excellence 2008
- Leadership Foundation

# Approaches to evaluation



(Adapted from Accreditation Models in Higher Education, ENQA Workshop Report 2002)

# The university as a system



# US experience

# A Chancellor's vision statement

It is time for change at Berkeley. We need to examine all aspects of how we conduct our business with the aim of streamlining decision making and infusing our campus community with a service orientation. We must make certain that the same ethos of excellence that marks our teaching and research permeates our entire organisation. Organisational effectiveness is everyone's responsibility.

*Chancellor Berdahl*

# Adapting Corporate Approaches

- **Balanced Scorecard**
  - Cal State U's, U of Washington, Leeds, UC Berkeley
- **LEAN**
  - Central Oklahoma, UC-Berkeley
- **DMAIC: Define, measure, analyze, improve, control**
  - Minnesota
- **Baldrige or state quality awards**
  - UW-Stout, Central Oklahoma, Missouri
  - EHE – adapted for higher education

# Key challenges for HE (Ruben)

## **Broadening public appreciation of the work of the academy**

*For all we do for our students, community and society, why are we not more appreciated and supported?*

## **Increasing our understanding of the needs of workplaces**

*Why don't employers understand the value of education?*

## **Becoming more effective learning organisations**

*Do institutions provide the effective model of organisational learning that our constituents believe they should?*

## **Integrating assessment, planning and improvement**

*How dedicated are institutions to these values?*

## **Enhancing collaboration and community**

*Institutions advocate these values. Do they live them?*

## **Recognising that everyone in an institution is a teacher**

*How do non-faculty staff contribute to institutional teaching?*

## **Devoting more attention and resources to leadership**

*Are institutions as committed to learning leadership competencies as they are to teaching them?*

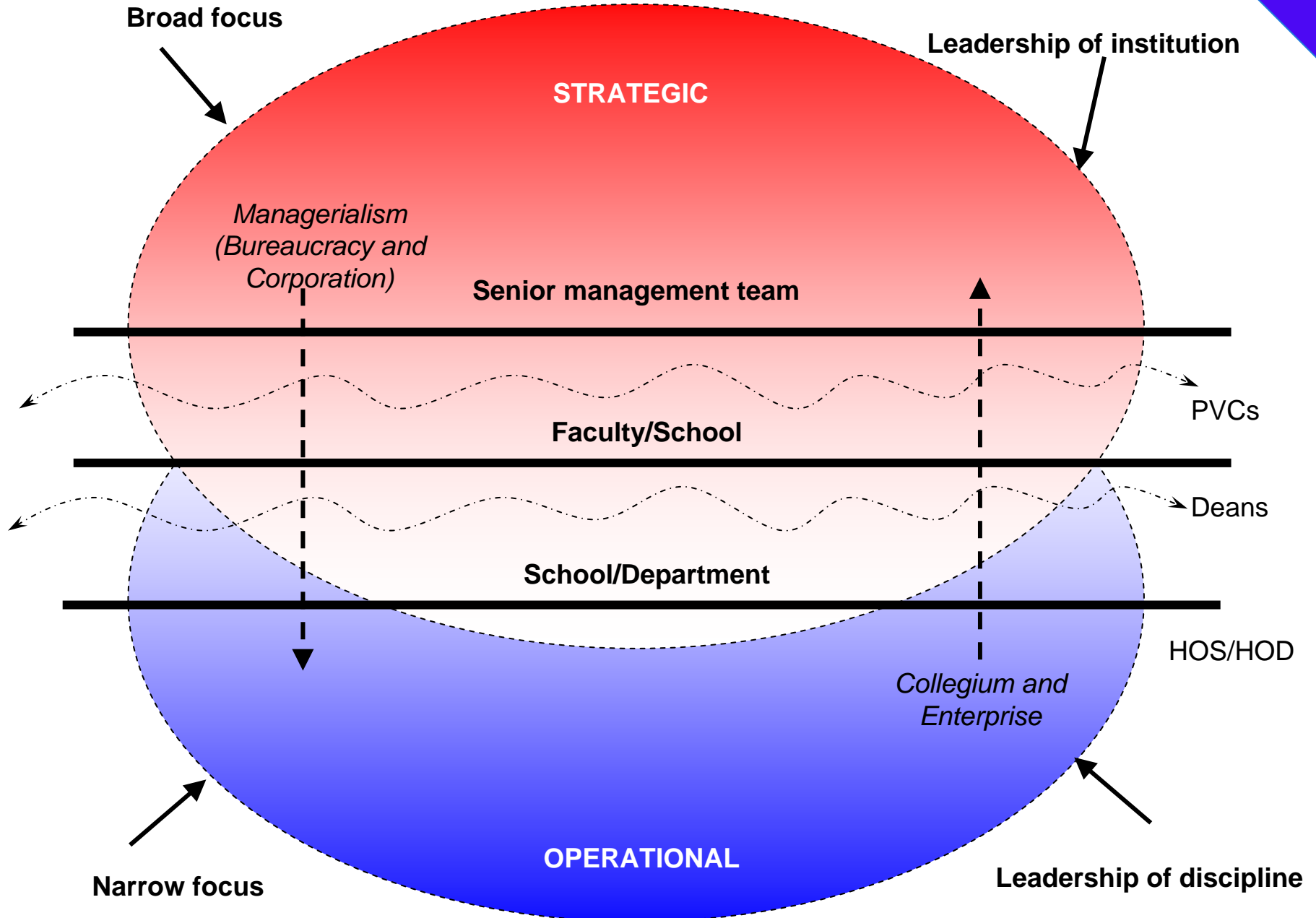
## **More broadly framing our vision of excellence**

*Do institutions need to rethink the way they conceptualise and operationalise their core mission?*

# Part 3

## Annual Quality Evaluation

# The university as a system



# Approaches to evaluation

		External	Internal		
<b>Approach</b>	Accreditation/Validation	Audit	Assessment	External Examiner	
<b>Object</b>	Provider	Programme	Learner	Output	
<b>Focus</b>	Governance Regulation	Curriculum Design	Learning Experience	Medium of Delivery	Student Support
	Content of Programmes	Financial Viability	Qualification	Admin Support	Organisational Processes
<b>Rationale</b>	Accountability	Control	Compliance	Improvement	
<b>Methods</b>	Self-assessment	PIs	Peer visit	Inspection	
	Document analysis	Stakeholder Surveys	Direct Intervention	External Examiner	

(Adapted from Accreditation Models in Higher Education, ENQA Workshop Report 2002)

# Sheffield Hallam

- Academic Board
- Academic Development Committee
- Quality and Standards Management and Enhancement Process (QSME)

[Academic Review  
Team Home](#)
[Committees »](#)
[Quality and  
Standards  
Management and  
Enhancement »](#)
[Conferences »](#)
[Consultations](#)
[Assessment  
Development  
Project »](#)
[Programme  
Specifications](#)
[National Student  
Survey](#)
[Contact Details](#)


## Student and Academic Services

### Academic Review

### Quality Standards Management and Enhancement (QSME) Framework

These pages provide an introduction to the Quality and Standards Management and Enhancement (QSME) of the University.

Click [here](#) to see a series of slides showing how QSME relates to internal and external processes and bodies. [To return to this page after looking at the slides, please close down the window.]

The QSME section of the ART Website contains:

- [Reports, Criteria and Faculty-based Systems Statement for the QSME Framework](#)
- [Academic Policies, Frameworks and Regulations](#)
- [The Institutional Profile](#)
- [Outcomes of External Reviews](#)

Good practice and procedural guidance can be found in the [Faculty QSME Handbook](#). This should be the first point of reference for all staff in Faculties

# QSME: aims and objectives

- enable the Faculty to assure the quality of the learning experience and, increasingly the infrastructure that supports it
- enable the Faculty to monitor the maintenance of academic standards and the effectiveness of the processes by which they are assured
- demonstrate effective management of quality and academic standards to the Faculty's stakeholders
- provide a framework to promote self-assessment and improvement
- provide a profile of quality and academic standards by the use of external evidence and internal feedback to support the self assessment

# QSME Criteria: Scope

- Roles and Responsibilities
- Communication of Faculty QSME Requirements and Guidance
- University Frameworks, Policies, Strategies and Regulations
- External Requirements
- Academic Standards
- Subject-based Review
- Course/Programme/Module Development Monitoring and Management
- Student Support, Student Experience and Communication with Students (taught and research)
- Research Degrees
- Collaborative Provision
- Staff Quality/Quality Enhancement
- Employer Liaison
- Input to University Level Review Reports

# Module review

- the experience of the Module delivery and assessment
- reflection on the Module operation by the course Team
- an overview of assessment instruments and student achievement following Internal Moderation
- comments from the Subject External Examiner, where the Examiner so wishes
- student evaluation
- an action plan for the next operation.

# Module File

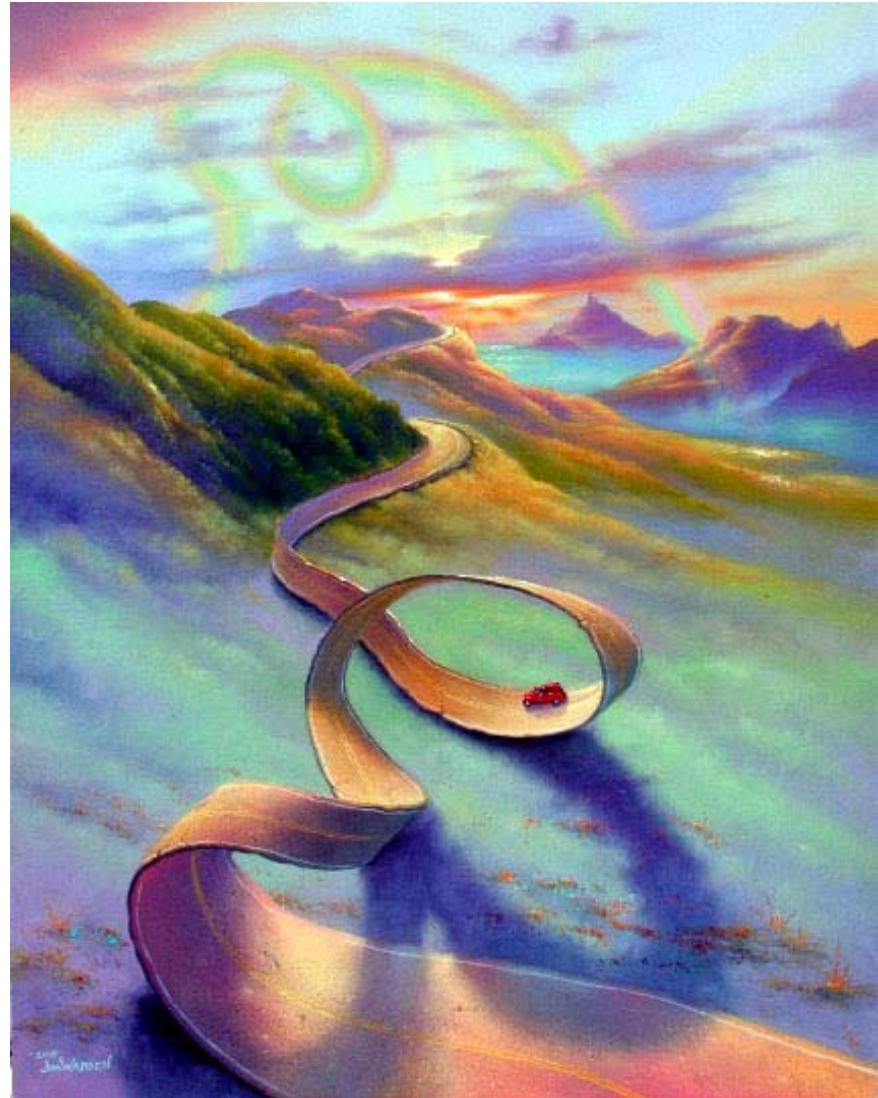
- The current Module descriptor
- The Module handbook, as provided to students (for required contents of such a handbook,
- The Module Review Form
- A Module mark sheet, which shows the results for individual assessment elements
- The Assessment Board data for the Module
- Examination papers, including resits, and marking schemes
- Internal Moderator's and External Examiner's comments on the examination paper design where appropriate
- Coursework assignment briefs, including reassessments and assessment criteria
- Internal Moderator's and External Examiner's comments on the coursework assessment design where appropriate
- Learning materials (eg, tutorial sheets and model answers, lecture handouts) where appropriate
- Student feedback; evidence of student evaluation, e.g. student questionnaire results, SSCC minutes
- Moderated examples of student examination scripts with Internal Moderator's and any External Examiner's comments on the marking where appropriate
- Moderated examples of student coursework with Internal Moderator's and any External Examiner's comments on the marking where appropriate
- Outcomes of Peer Review forms (optional)
- Archive material, such as previous Module Review Forms, Peer Review Forms, SAB data, student feedback and assessment instruments

# Part 4

## Excellence and process management

# The Never Ending Journey in Pursuit of Excellence

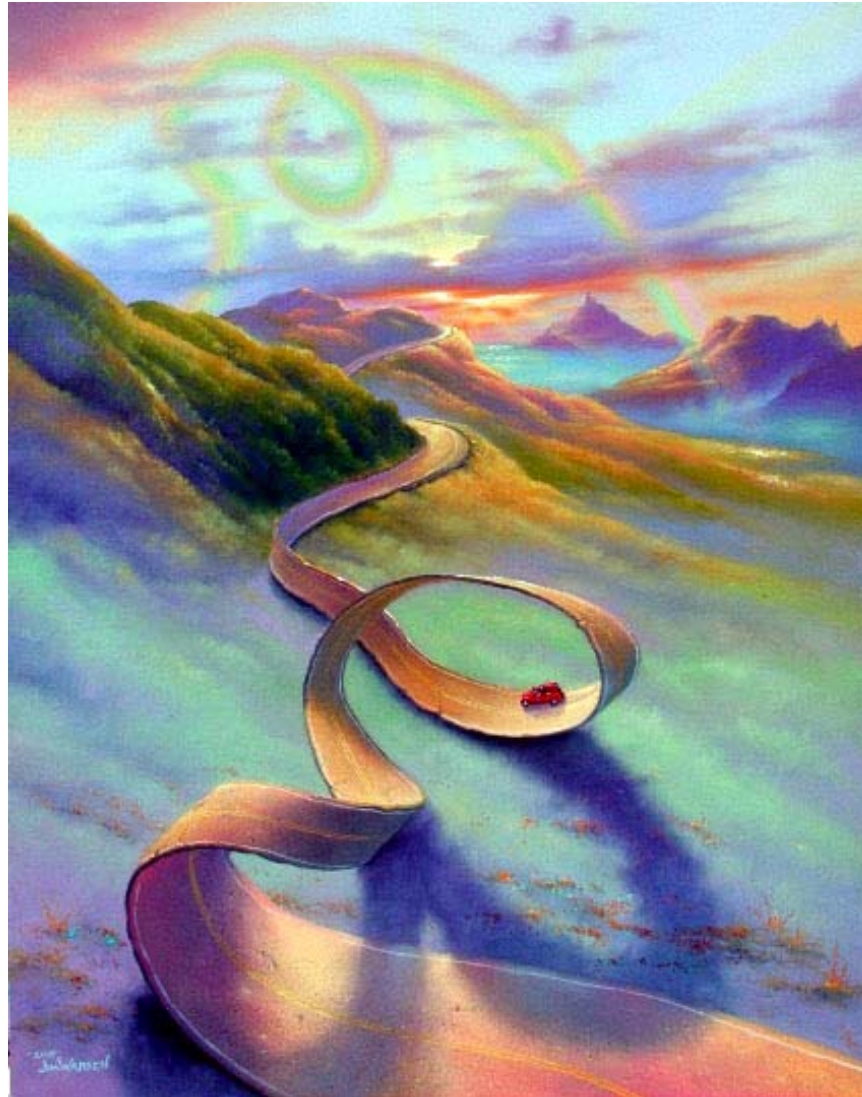
Where is your university on the journey to Excellence?



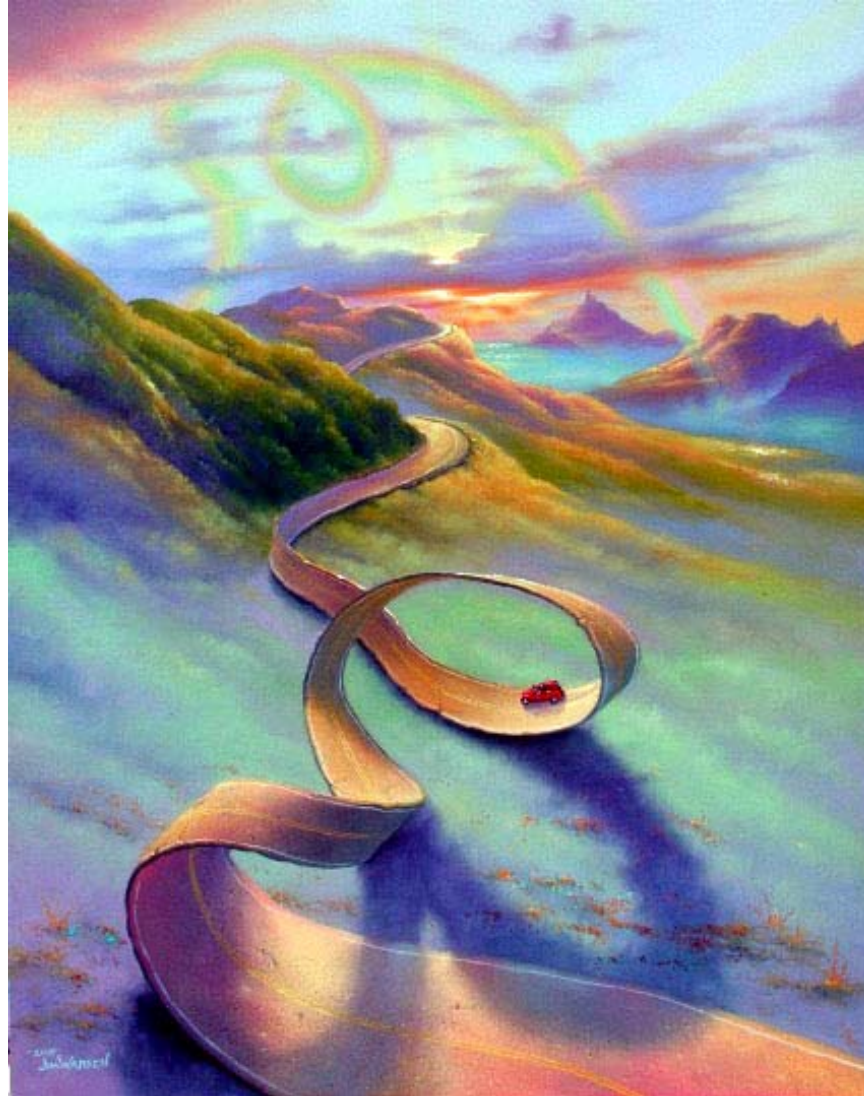
# The Never Ending Journey in Pursuit of Excellence

Where do you want to be?

Where are you now?



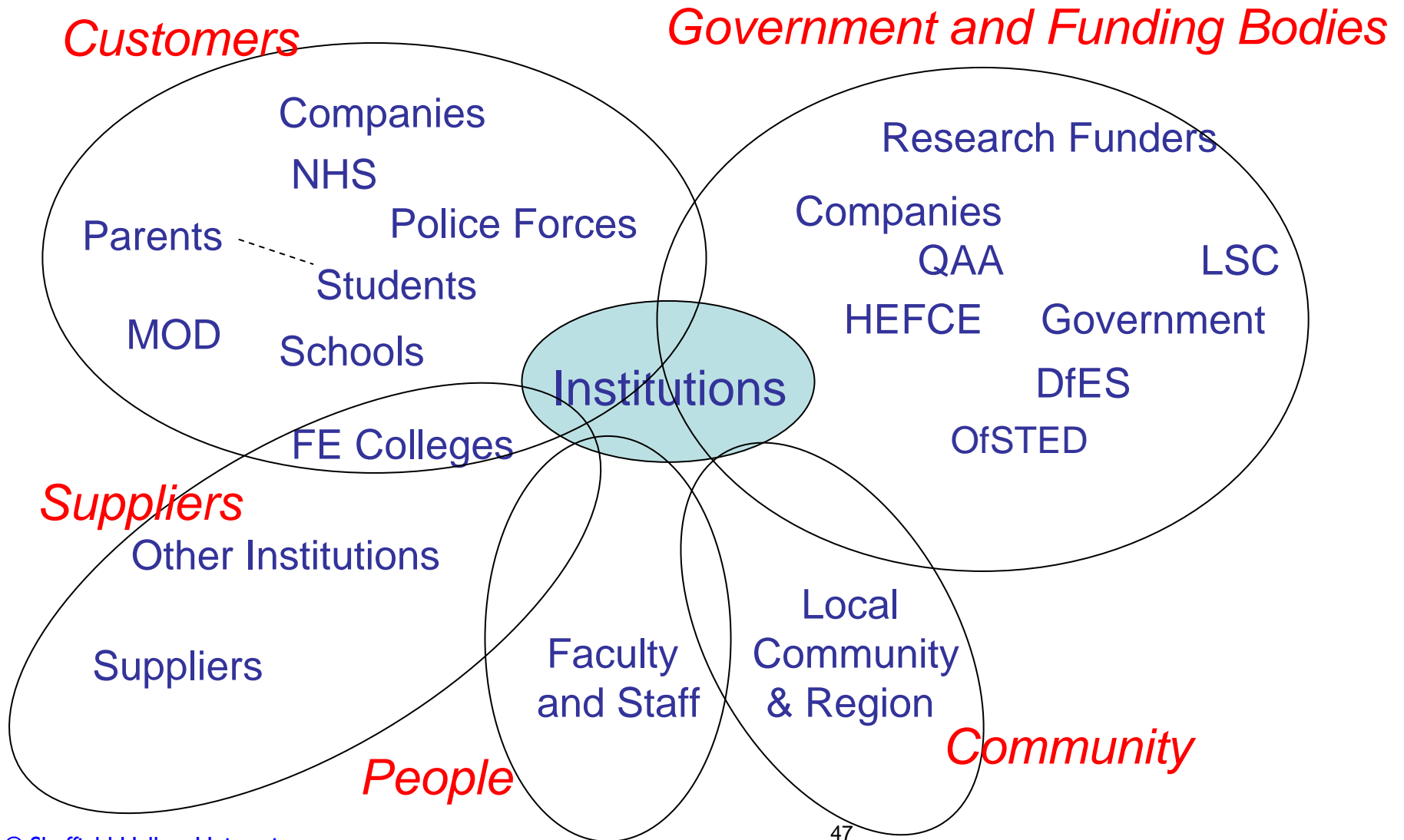
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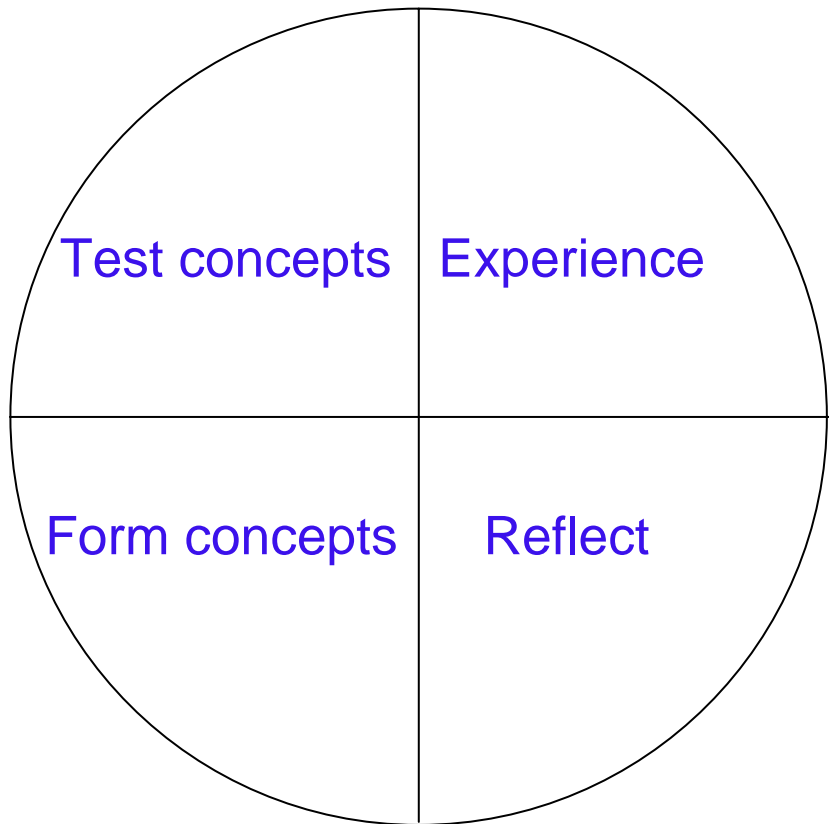
Good

Great

# Who are our stakeholders?



# Learning Cycle (Kim)



Mental Models

Shared  
Mental Models

Can universities applying these learning principles to their own organisation?

# Characteristics of successful organisations

(Barrett, Collins and Porras, de Geus, Fitz-Enz)

- A strong, positive, values driven culture
- A commitment to learning and self-renewal
- Continual adaptation using internal and external feedback from environments
- Strategic alliances with internal and external partners, customers and suppliers
- A willingness to take risks and experiment
- A process orientation
- A balanced, values based approach to measuring performance that includes
  - Corporate survival (financial)
  - Corporate fitness (efficiency, effectiveness)
  - Collaboration with suppliers and customers
  - Continuous learning and self-development (evolution)
  - Organisational cohesion and employee fulfilment
  - Corporate contribution to the local community and society

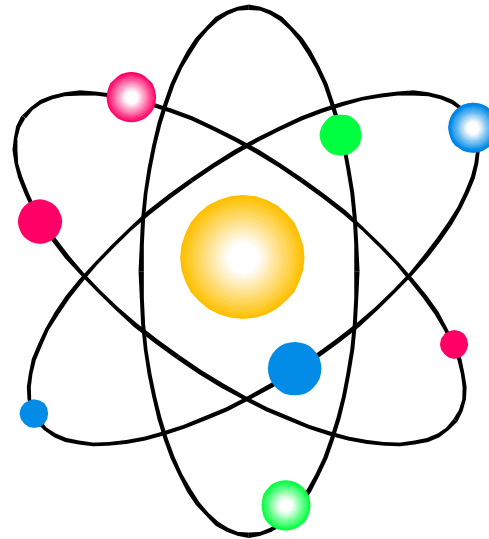
# Fundamental Concepts of Excellence

**Results Orientation**

**Corporate Social  
Responsibility**

**Customer Focus**

**Partnership  
Development**



**Leadership &  
Constancy of  
Purpose**

**People Development &  
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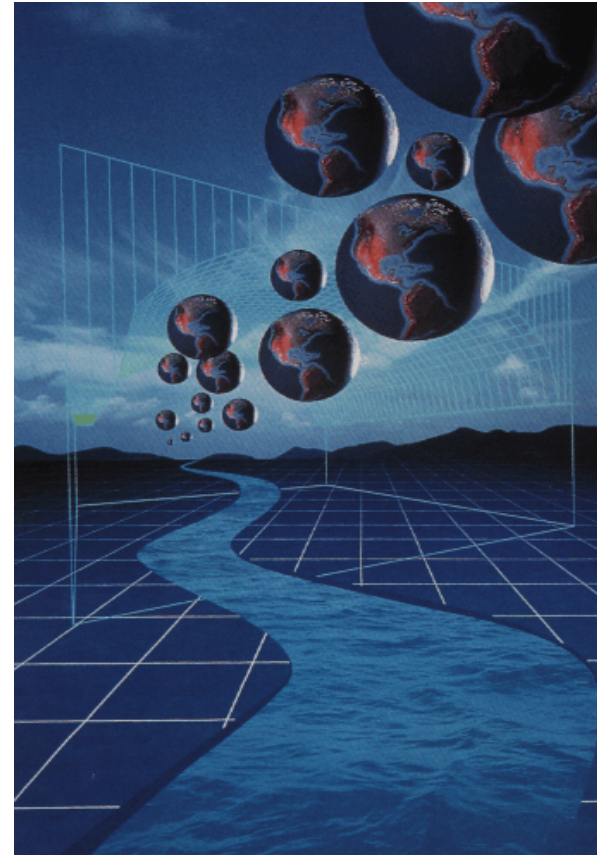
**Management by  
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**Future Focus**

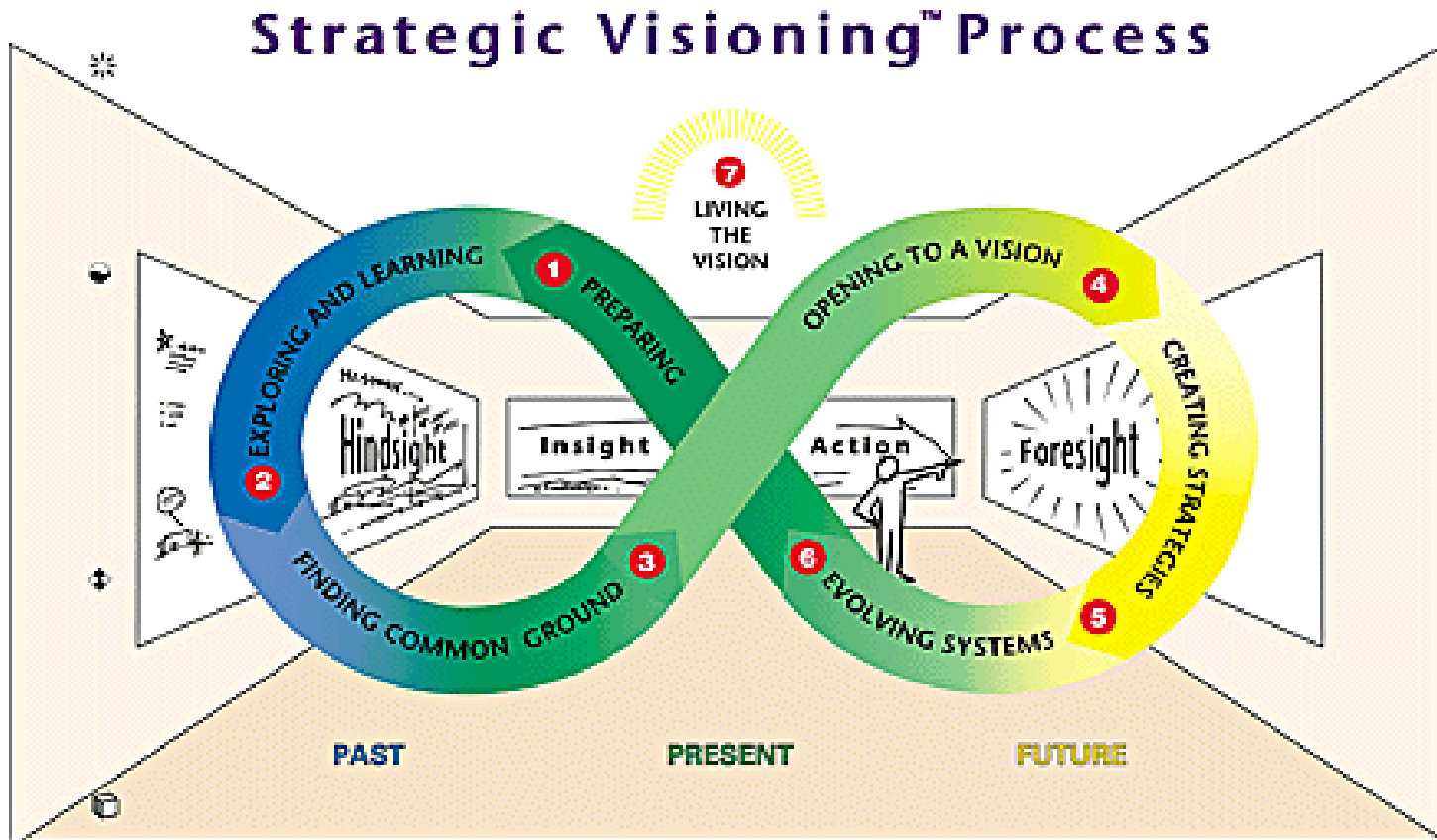
How would  
you define  
Excellence?



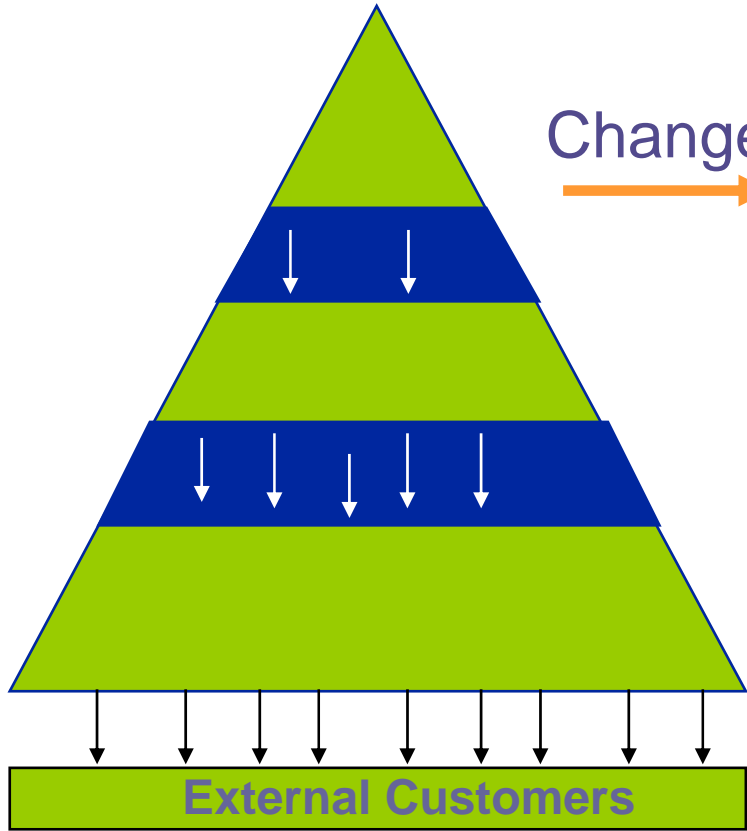
# Making it happen: achieving a “balanced scorecard”



# Building the vision

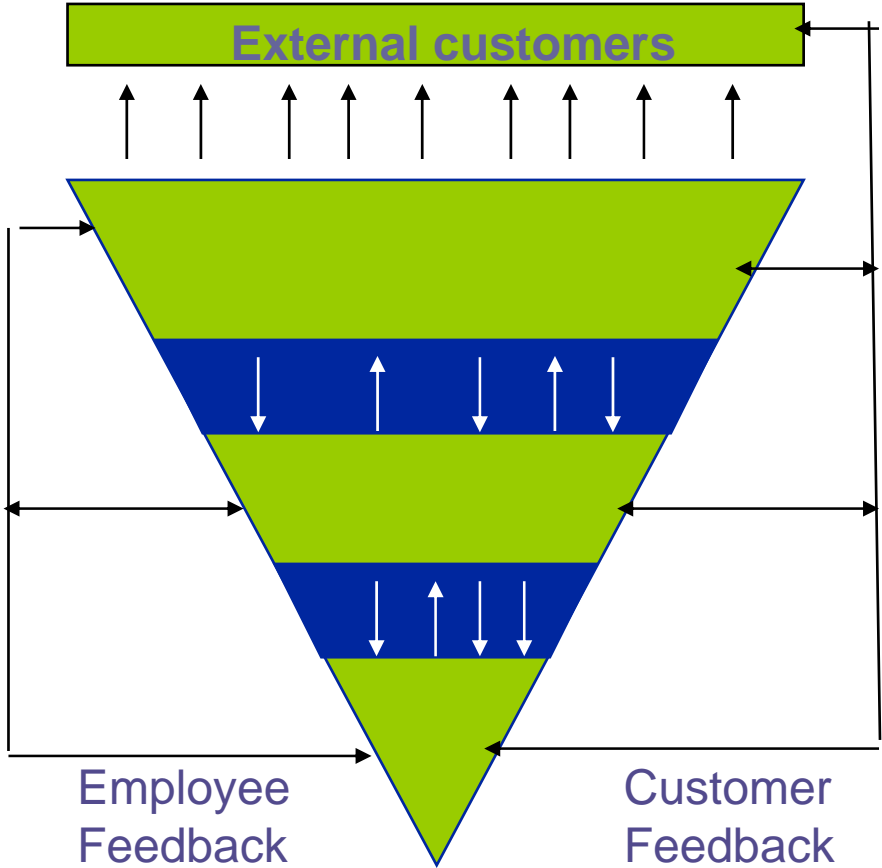


# Required Organisational Change



*Control Oriented and Internally Focused*

Change  
→



*Customer Focused and Supportive*

# Introducing the EFQM Excellence Model

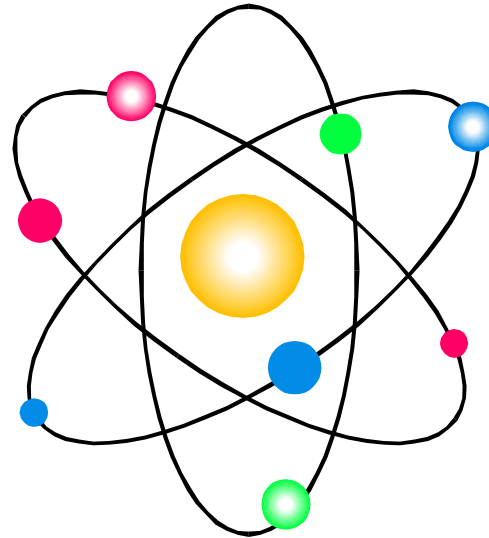
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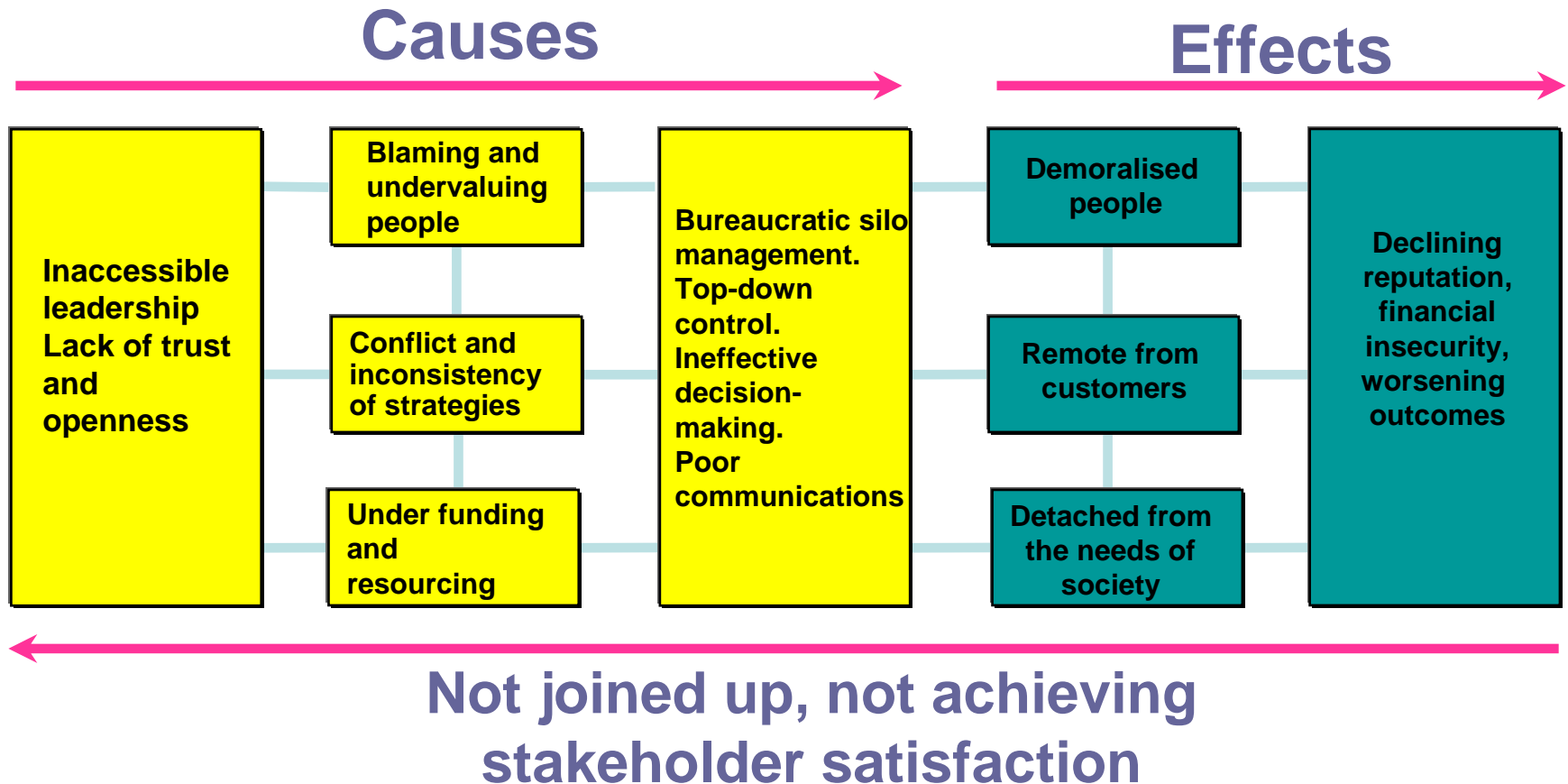
**Future Focus**

# In the beginning: the simple model

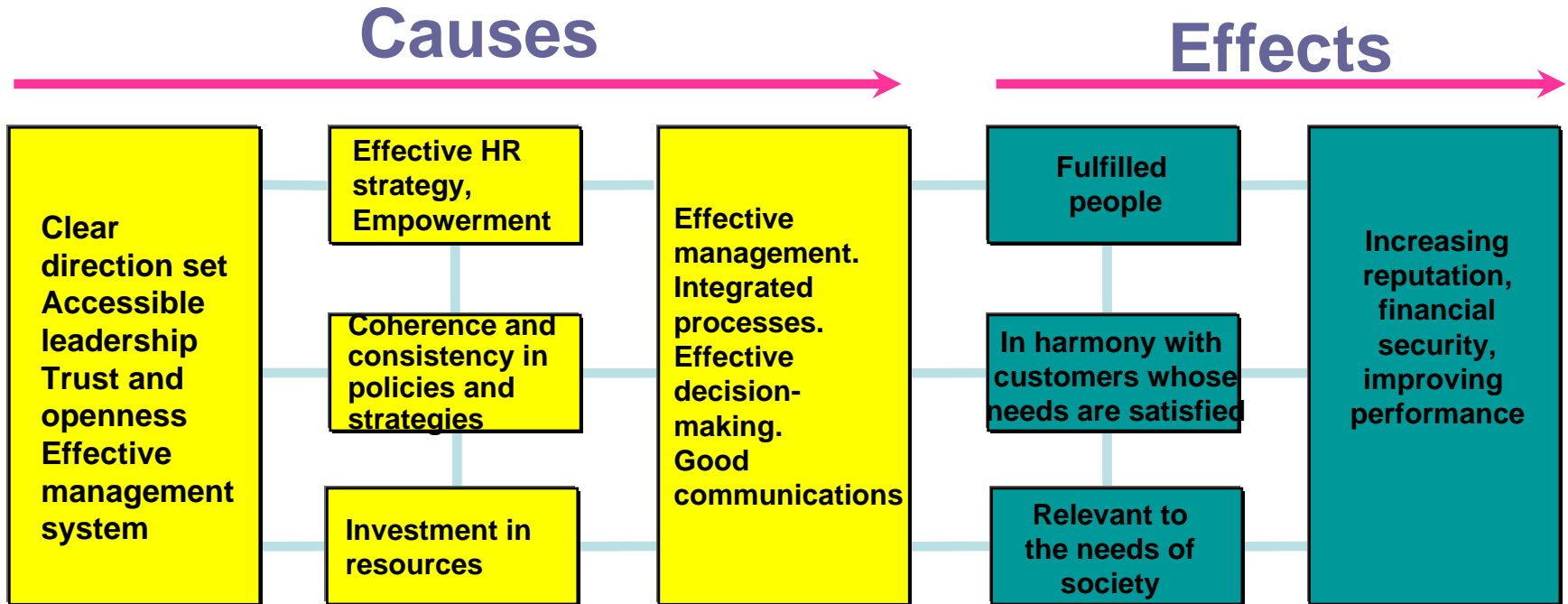


Achieve better **results** through involvement of all the **people** in continuous improvement of their **processes**.

# Symptoms of organisational dysfunction



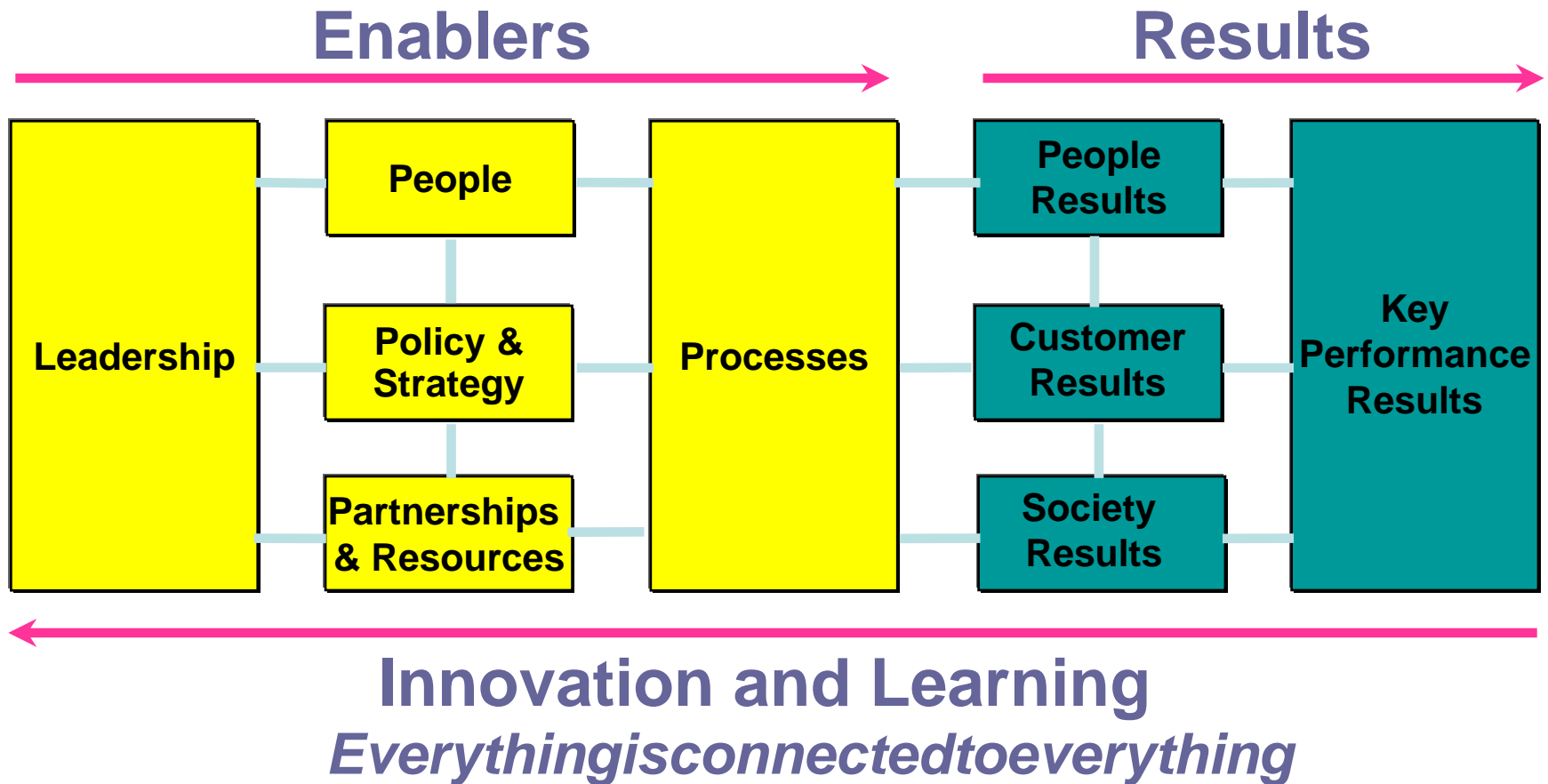
# Symptoms of a successful organisation



**Creative and constructive, joined up,  
achieving balanced stakeholder satisfaction**

*The EFQM Excellence Model is a Registered Trademark*

# EFQM Excellence Model<sup>®</sup>



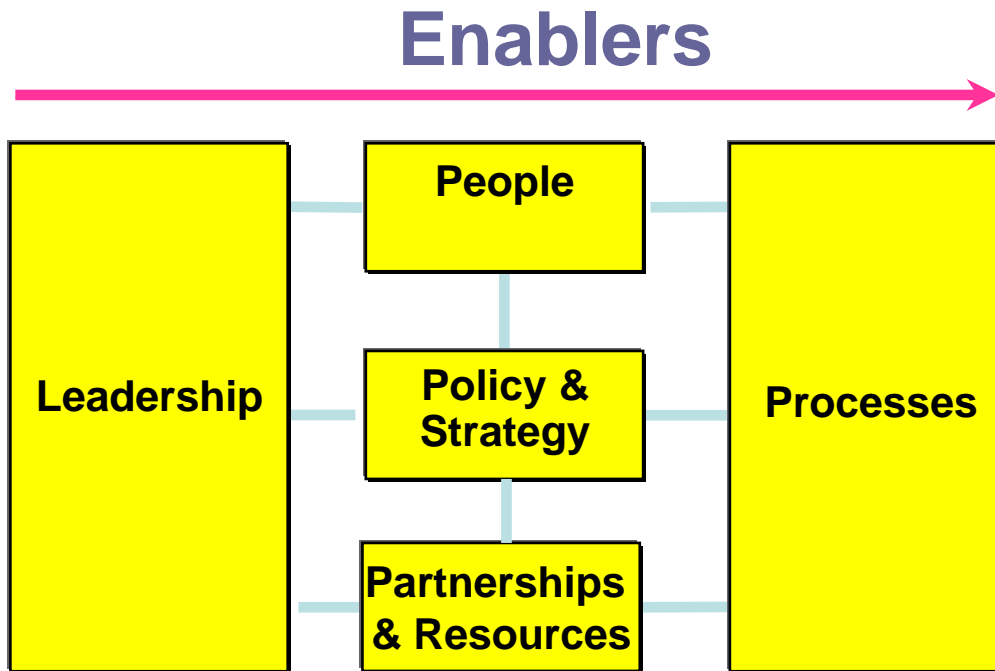
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  - Organisational cohesion and employee fulfilment
  - Corporate contribution to the local community and society

# EFQM Excellence Model<sup>®</sup>



To what extent can you show that your chosen approaches:

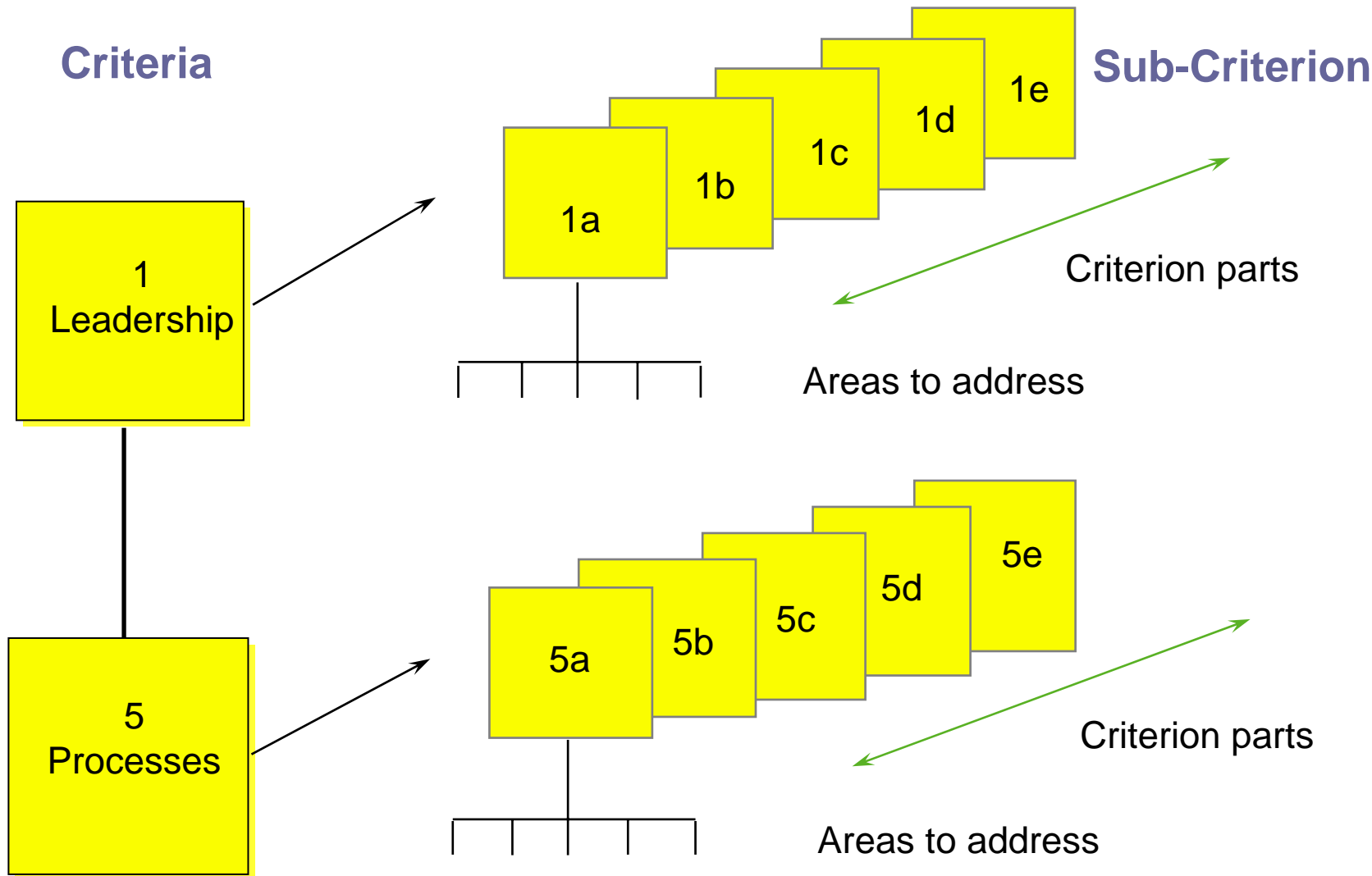
Are effective and efficient in delivering your results?

Are deployed to their full potential?

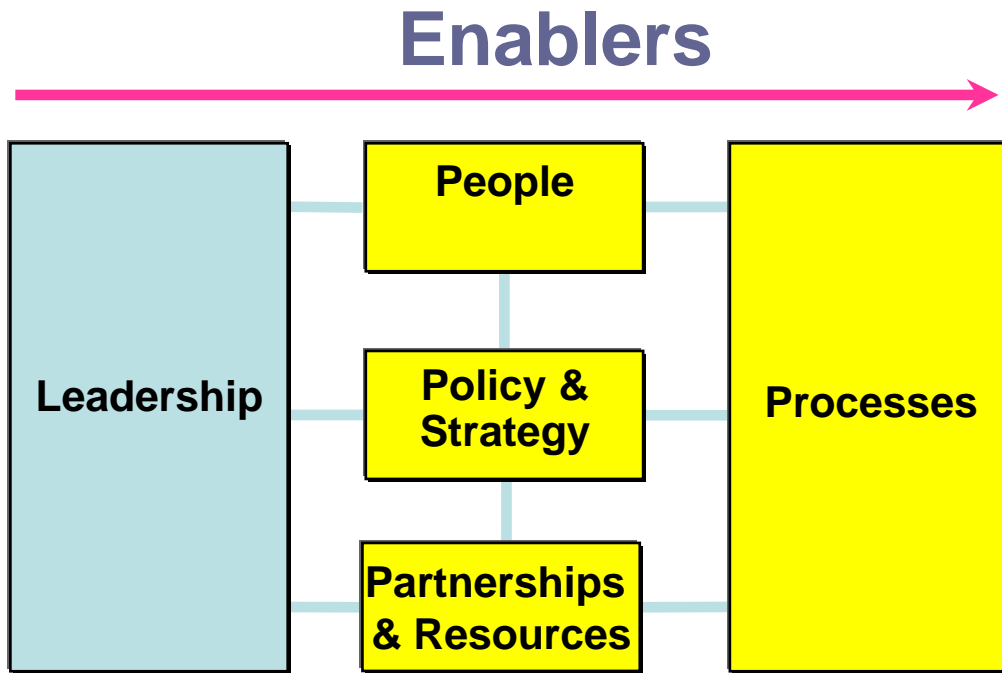
Demonstrate continuous improvement?

*What are the most effective approaches to achieve your results against each of the key enablers of the EFQM Excellence Model?*

# Structure of the criteria: Enablers

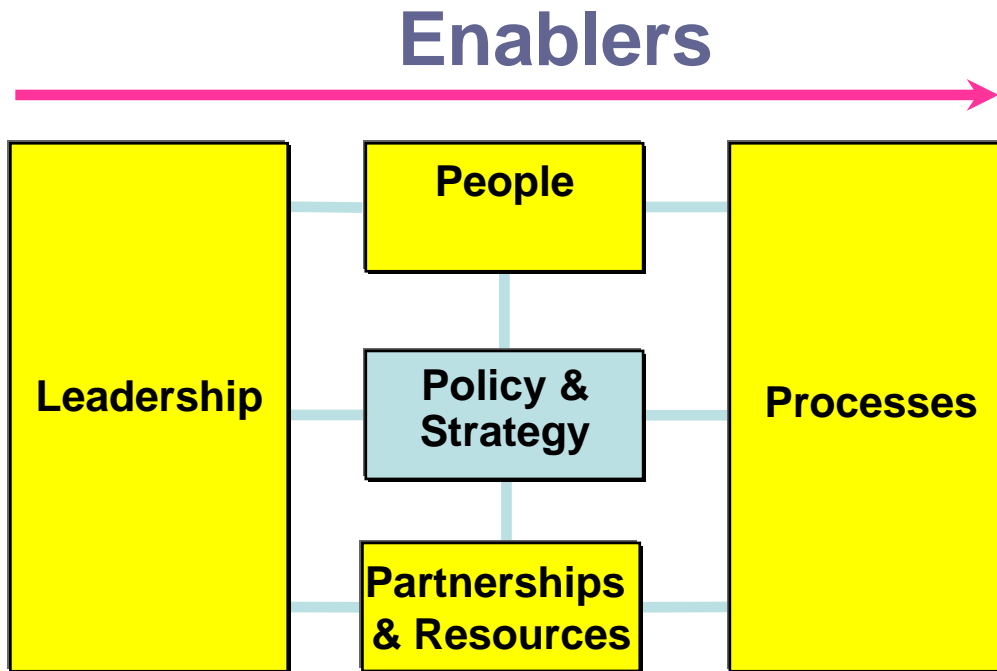


# EFQM Excellence Model



- Vision, Mission, Values
- Setting up a management system
- Managing processes
- Developing management system
- Identifying stakeholders needs
- Involvement of staff

# EFQM Excellence Model



Environmental scan

Benchmarking

Stakeholder input

Strategic, business  
planning and operational  
planning

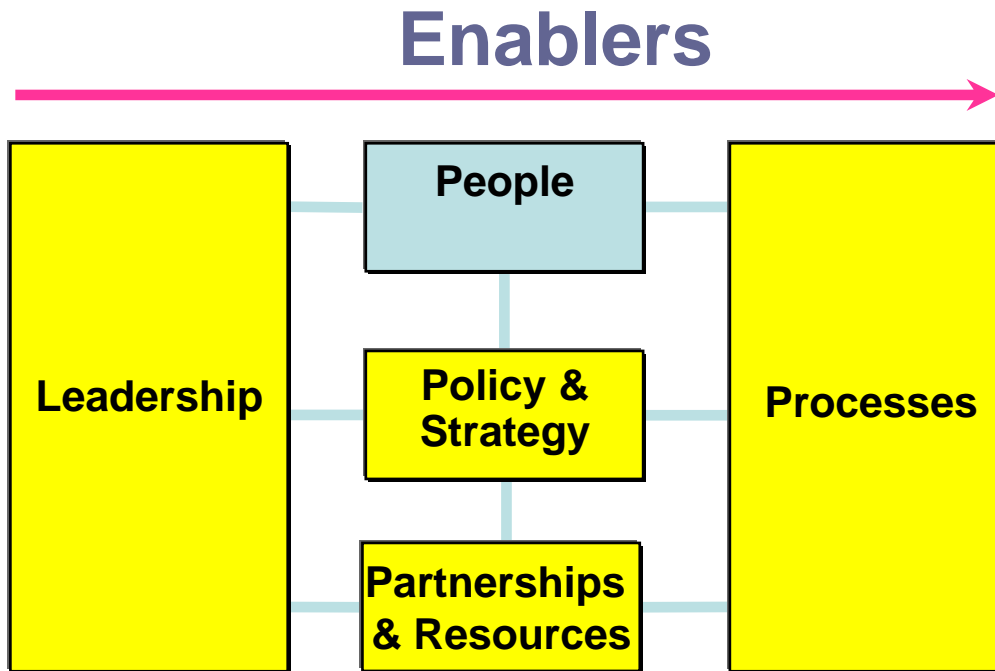
Deploying policy and  
strategy through  
processes

Performance assessment

Communicating vision and  
direction

Setting goals and targets

# EFQM Excellence Model



Human resource management

Personal development and training

Performance appraisal

Communication

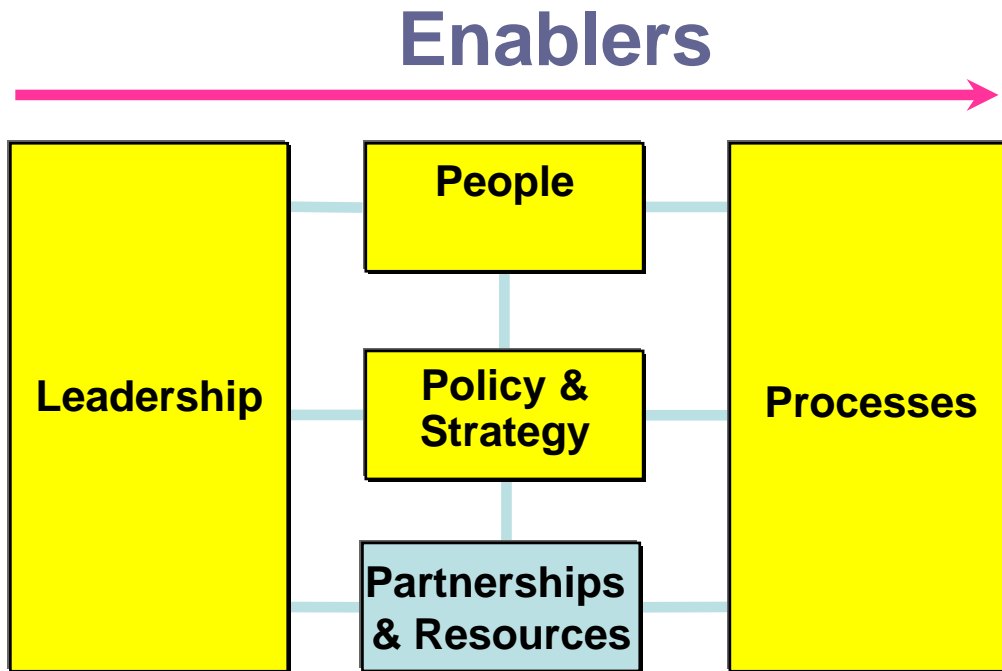
Empowerment

Reward and recognition

Health and safety

Staff well-being

# EFQM Excellence Model



Developing strategic alliances

Working with suppliers

Developing the value chain

Managing financial systems

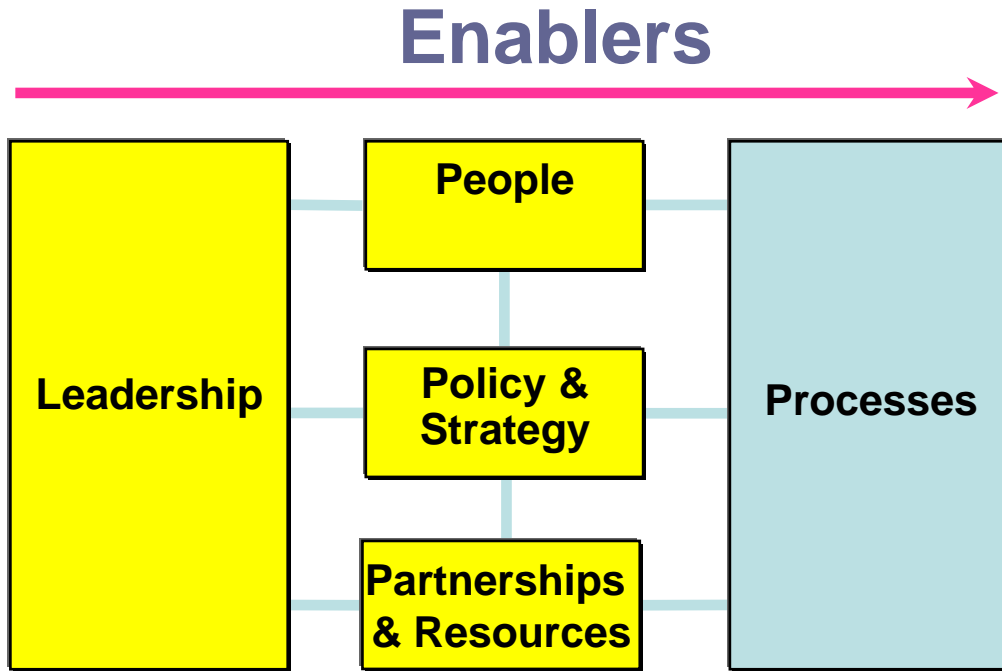
Managing the estate

Managing technology, ICT

Managing information and knowledge

Intellectual capital

# EFQM Excellence Model



Quality systems

Academic quality standards

Managing processes

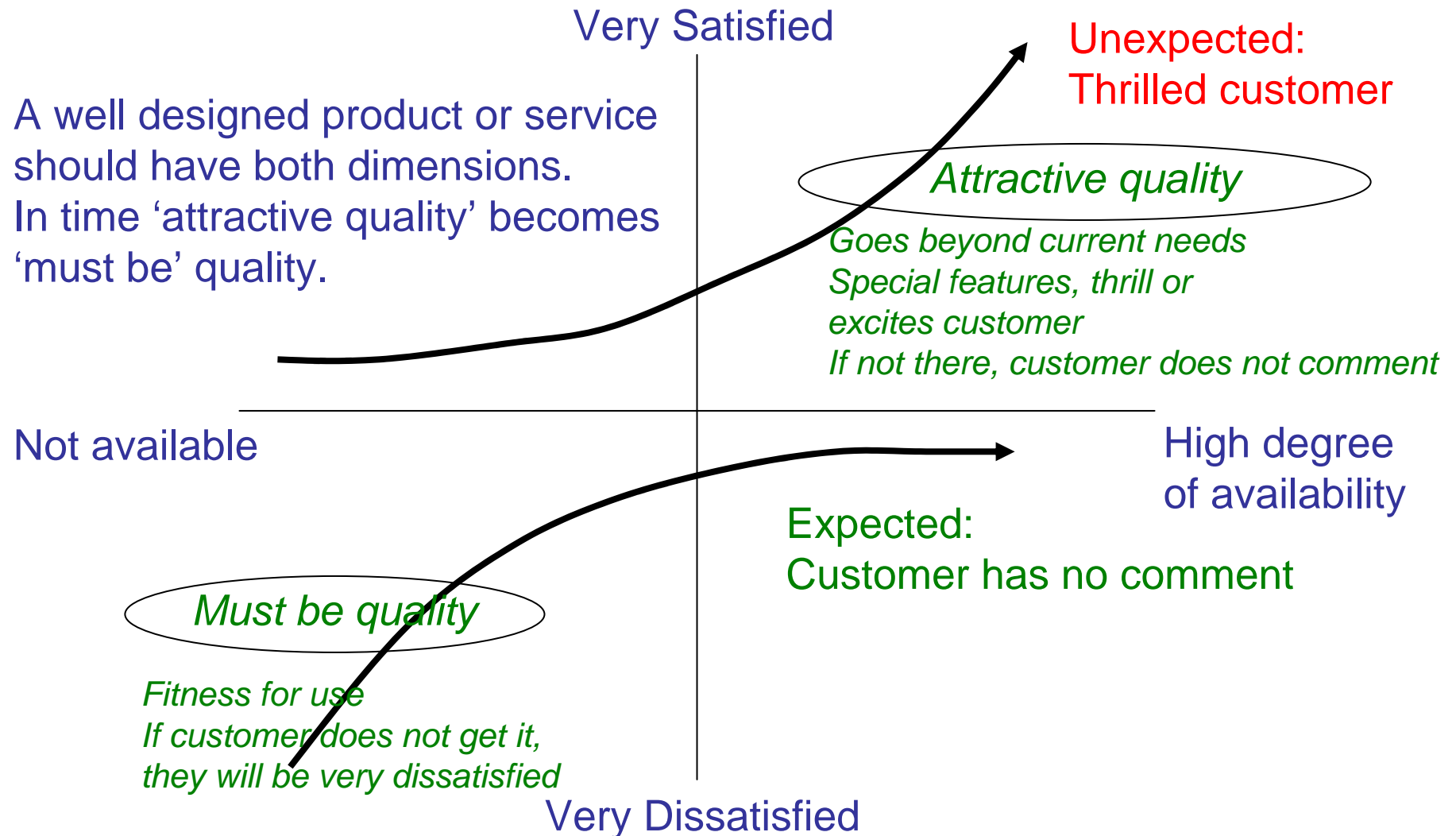
Process improvement

Setting measures and targets

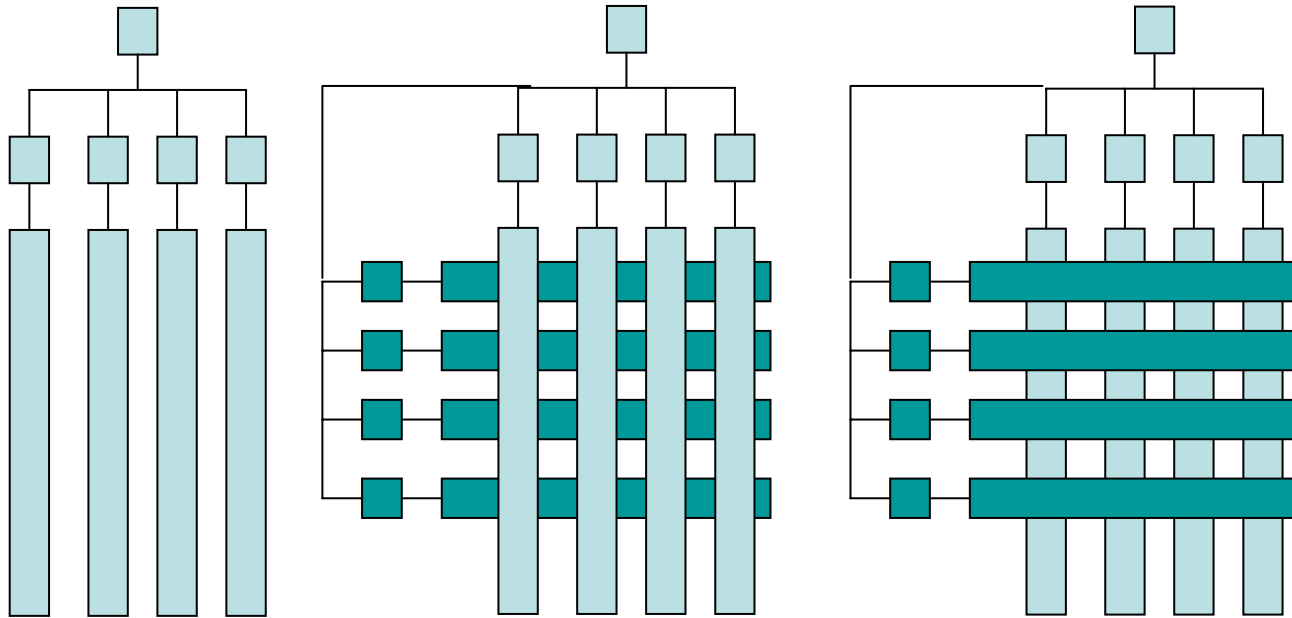
Designing and delivering services

Customer relationship management

# The Two Dimensions of Quality (Noriaki Kano)

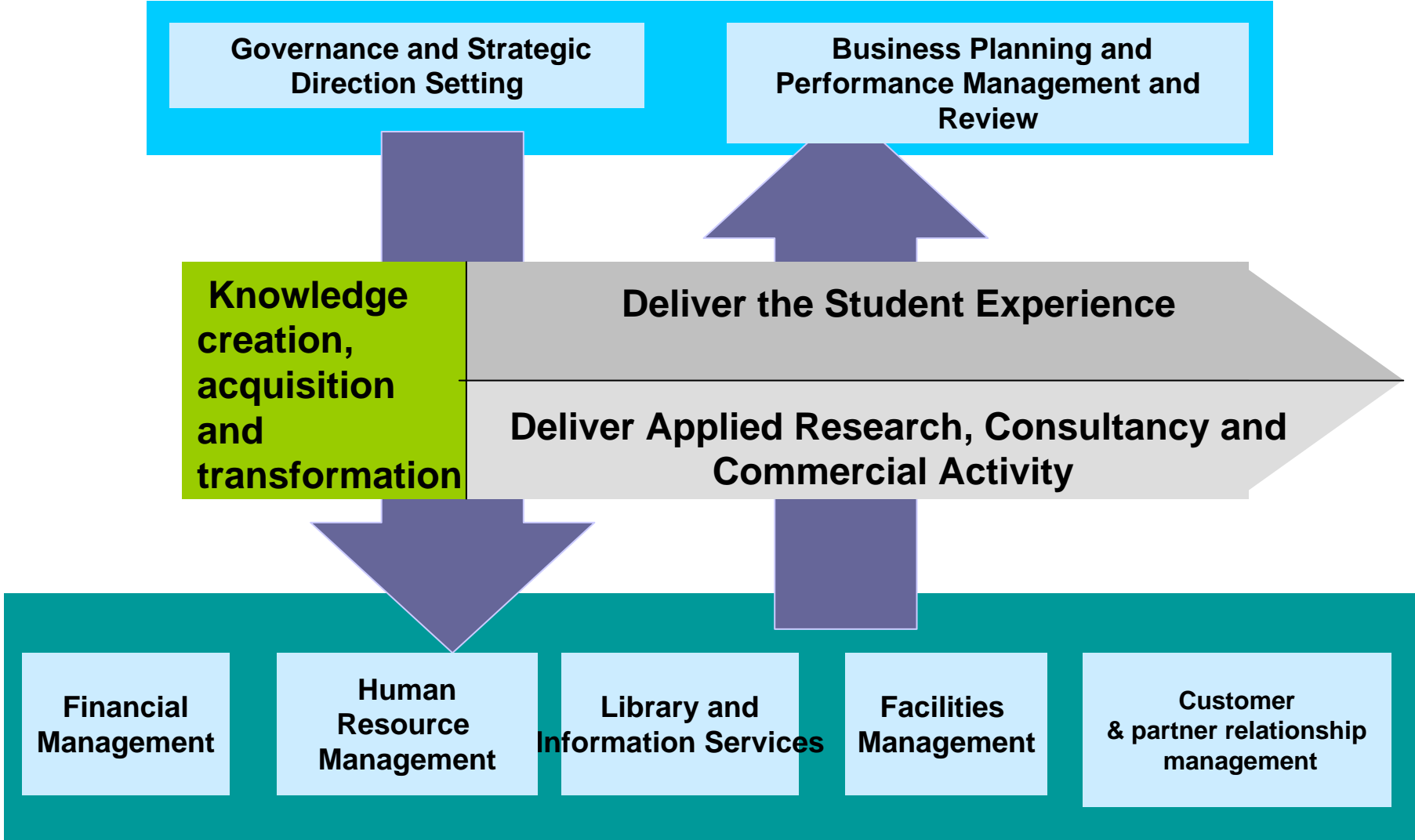


# Significance of processes

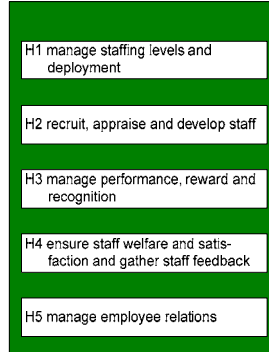
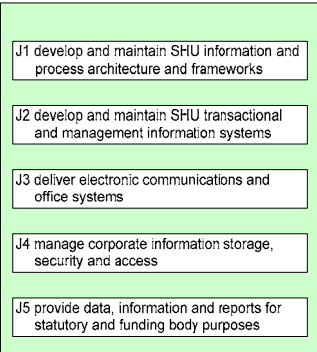
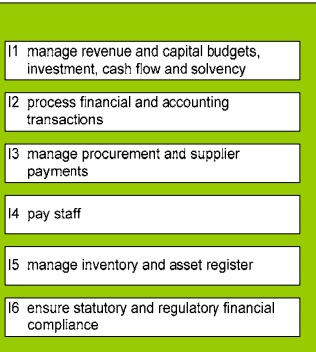
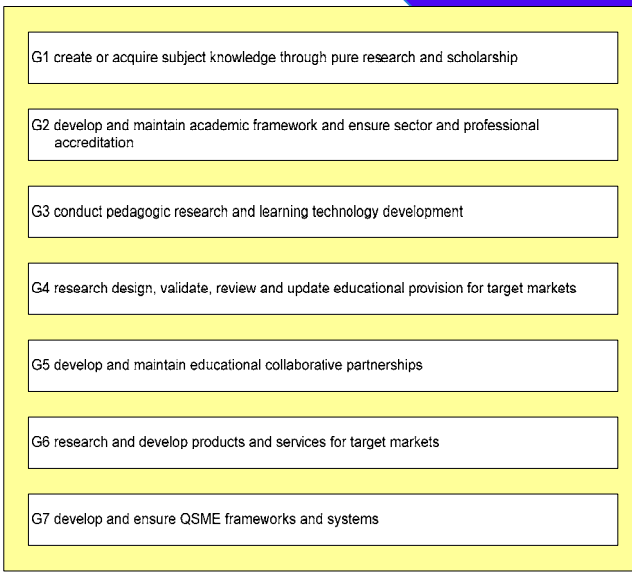
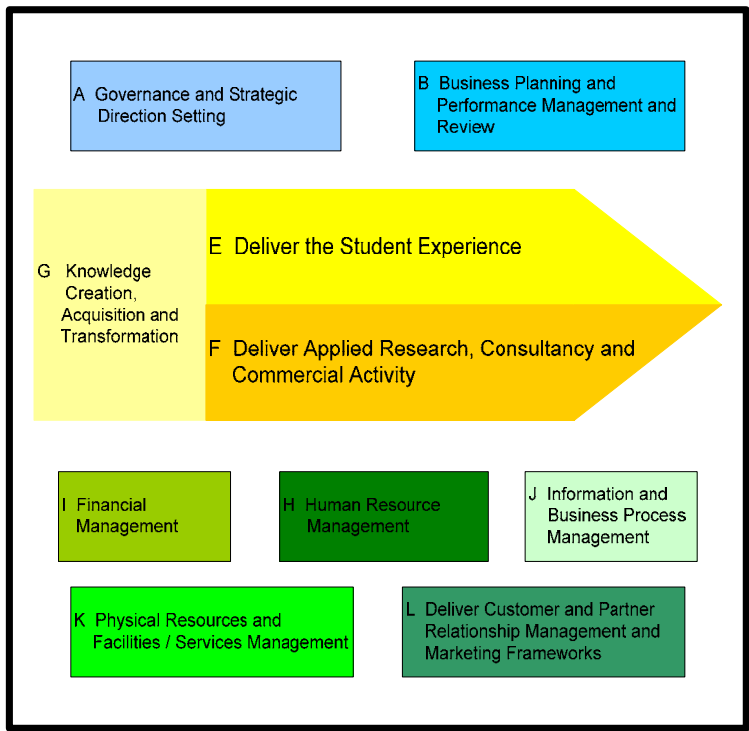
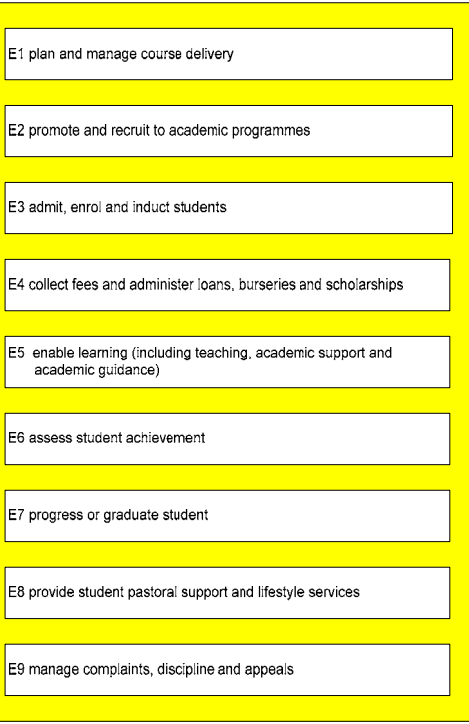
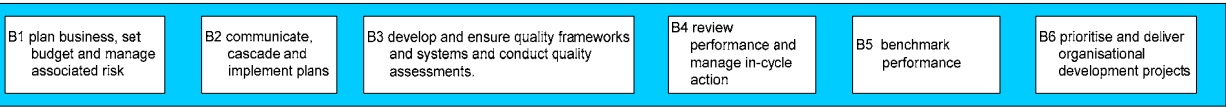
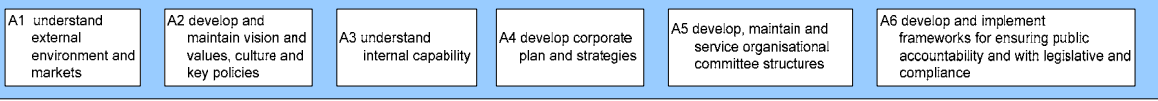


From Hierarchy..... to..... Process Working

# Sheffield Hallam High Level Process Model



# Sheffield Hallam University Process Model v6



E1 plan and manage course delivery

E2 promote and recruit to academic programmes

E3 admit, enrol and induct students

E4 collect fees and administer loans, bursaries and scholarships

E5 enable learning (including teaching, academic support and academic guidance)

E6 assess student achievement

E7 progress or graduate student

E8 provide student pastoral support and lifestyle services

E9 manage complaints, discipline and appeals

A Governance and Strategic  
Direction Setting

B Business Plan  
Performance  
Review

G Knowledge  
Creation,  
Acquisition and  
Transformation

E Deliver the Student Experience

F Deliver Applied Research, Consultancy  
Commercial Activity

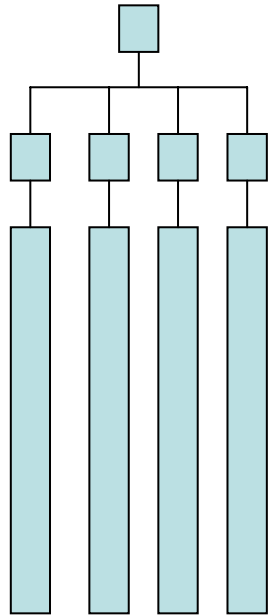
I Financial  
Management

H Human Resource  
Management

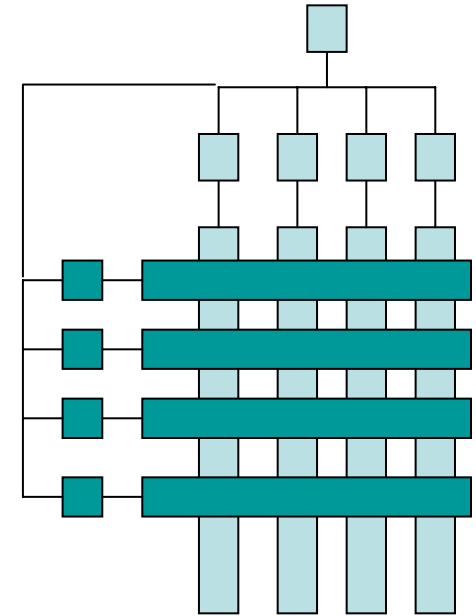
K Physical Resources and  
Facilities / Services Management

L Deliver Customer  
Relationship Management  
Marketing Framework

# Significance of processes: change in the mindset



*Process Thinking*  
*Relationships*  
*Partnership*  
*Cooperation*  
*Internal cohesion*  
*Integration*  
*Alignment*



From Hierarchy..... to..... Process Working

*Integrating for Excellence*

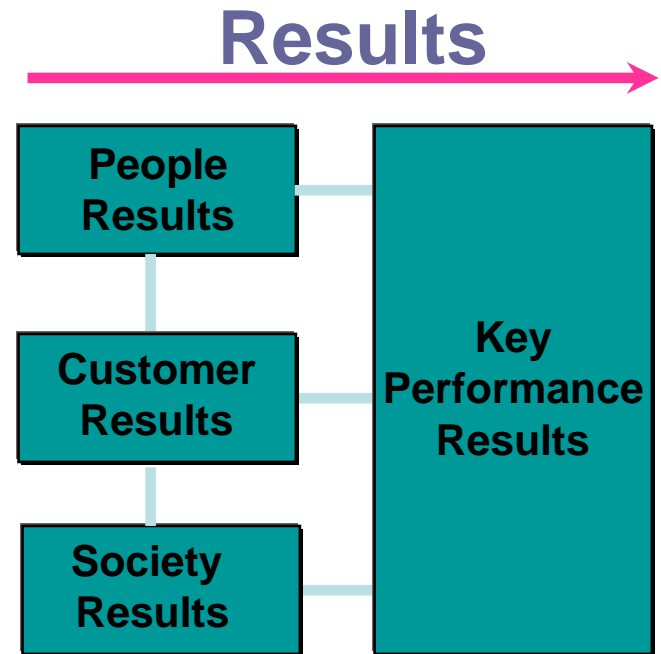
# EFQM Excellence Model<sup>®</sup>

**To what extent can you show that your chosen indicators:**

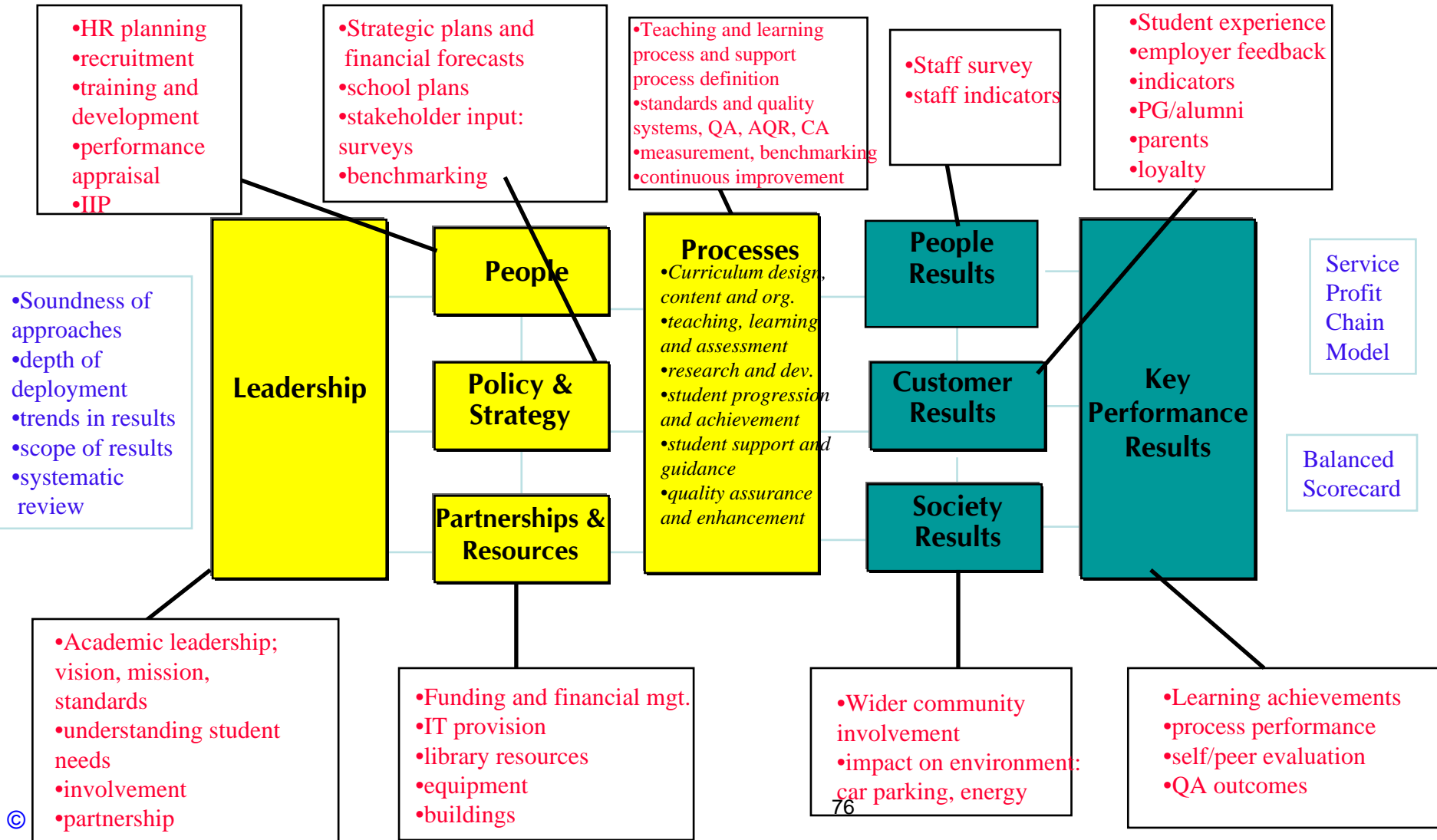
Comprehensively measure what is important to your customers and others who receive your service?

Demonstrate continuous improvement against target and results are caused by approaches?

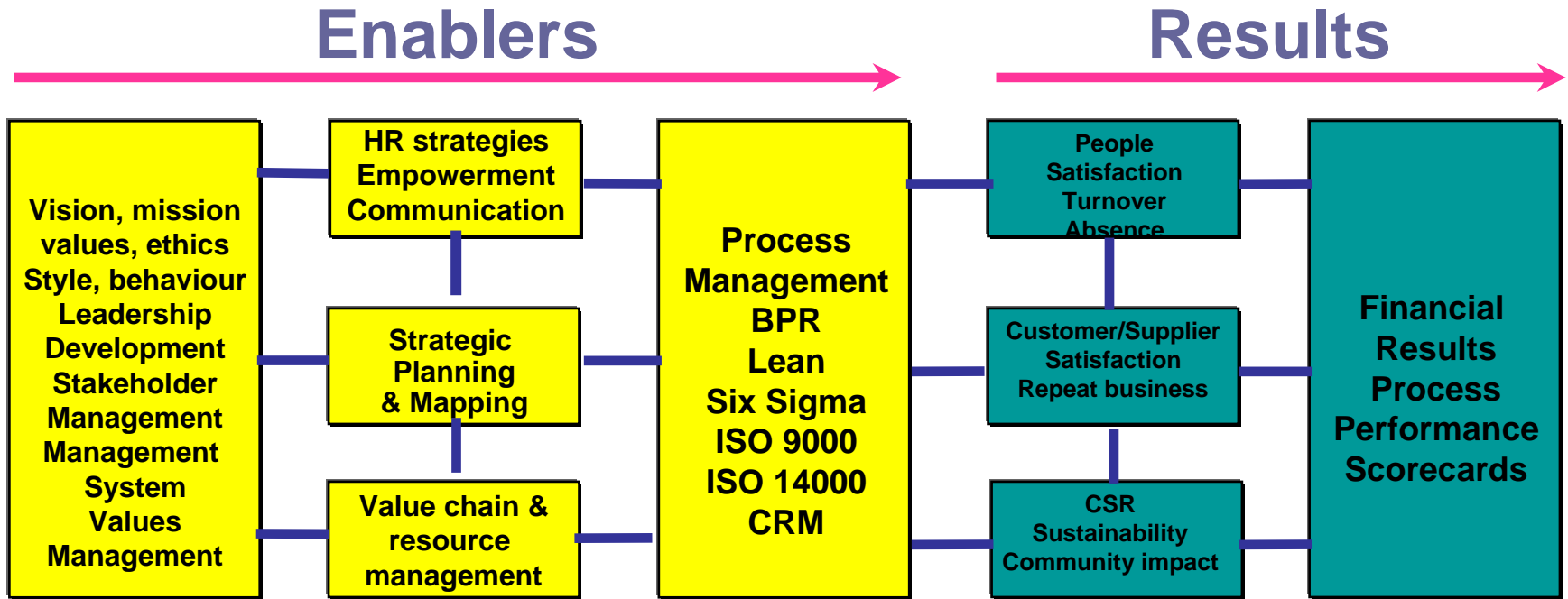
**To what extent do you benchmark against the best in class?**



# The EFQM Model - initiative framework for Higher Education



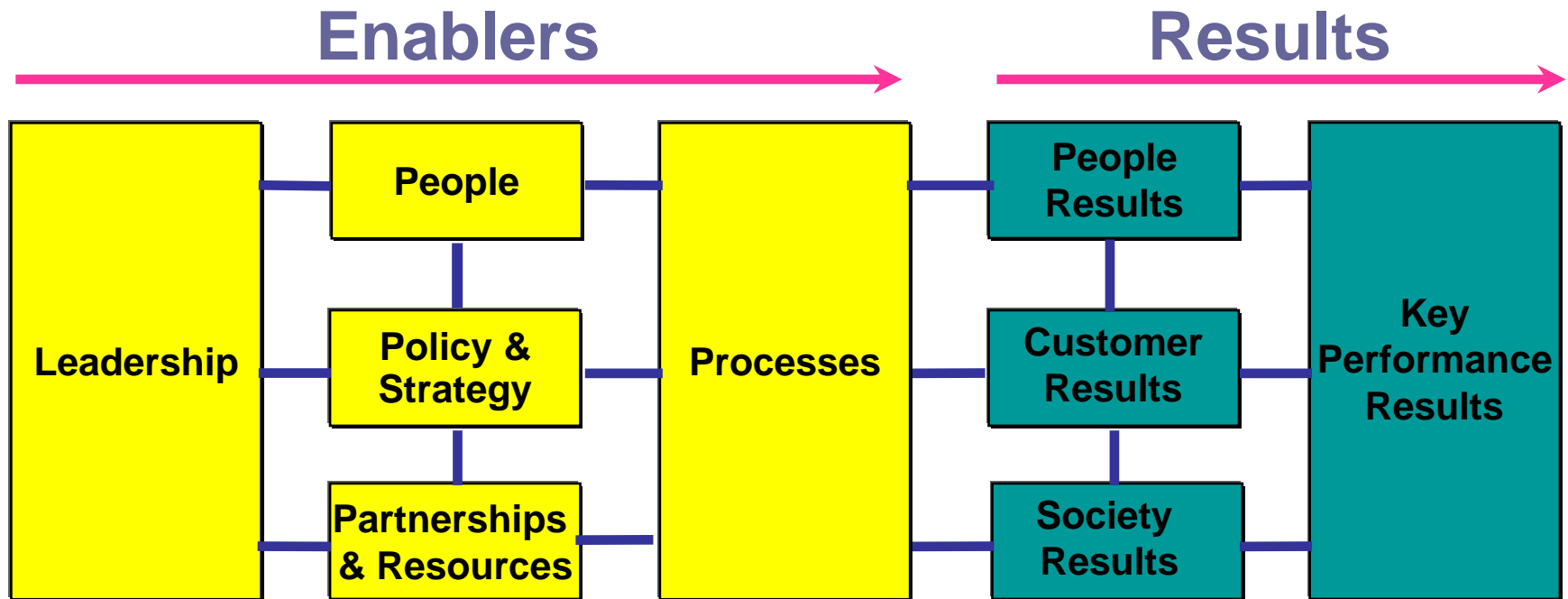
# EFQM Excellence Model® as an holistic framework



**Innovation and Learning**  
*Everything is connected to everything*

*The EFQM Excellence Model is a Registered Trademark*

# EFQM Excellence Model<sup>®</sup>

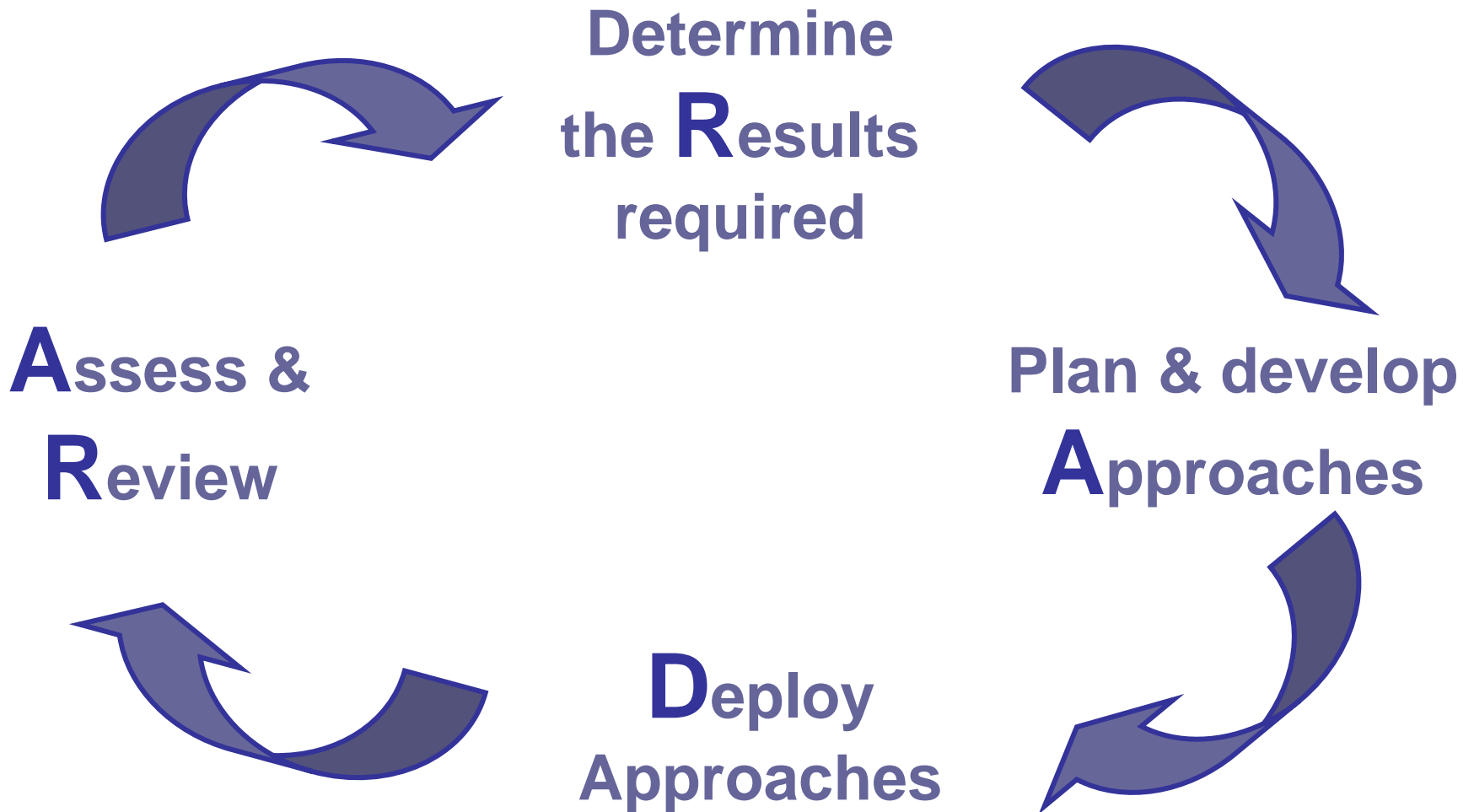


**Innovation and Learning**  
*Everything is connected to everything*

*The EFQM Excellence Model is a Registered Trademark*

# Introducing Self-assessment against the EFQM Excellence Model

# RADAR Logic



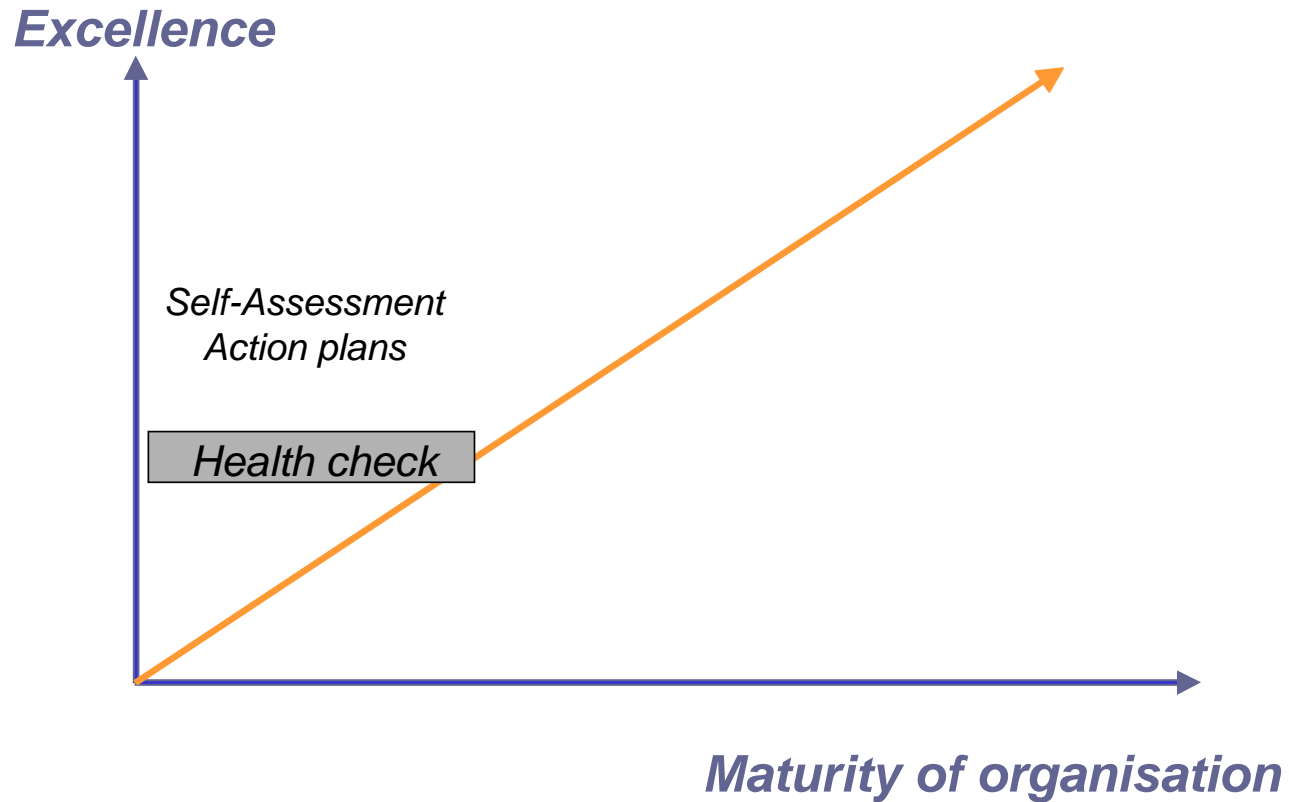
In simple terms....

Self-assessment

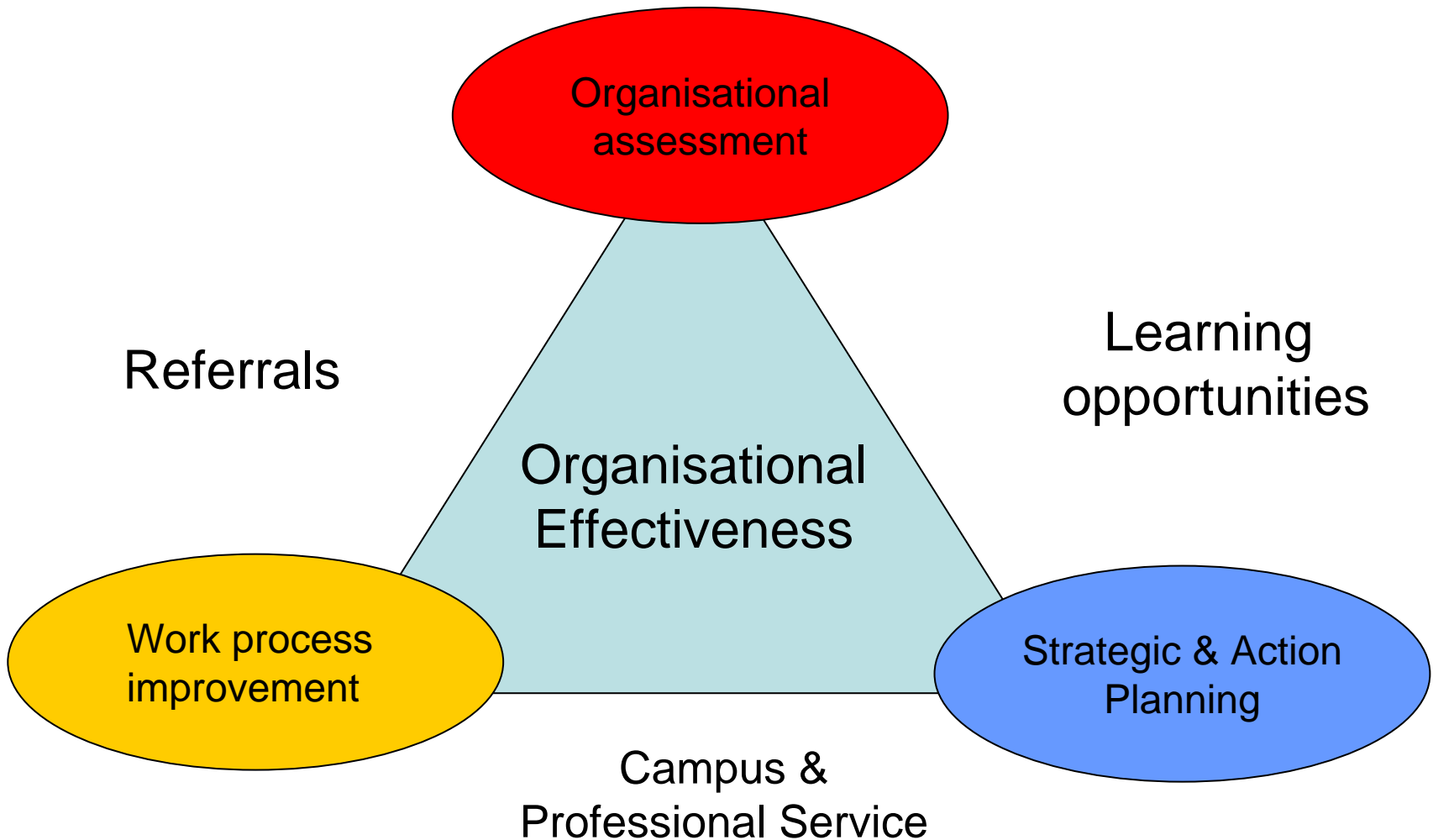
=

what are we doing  
how well are we doing it  
what can we do better  
how can we do it better

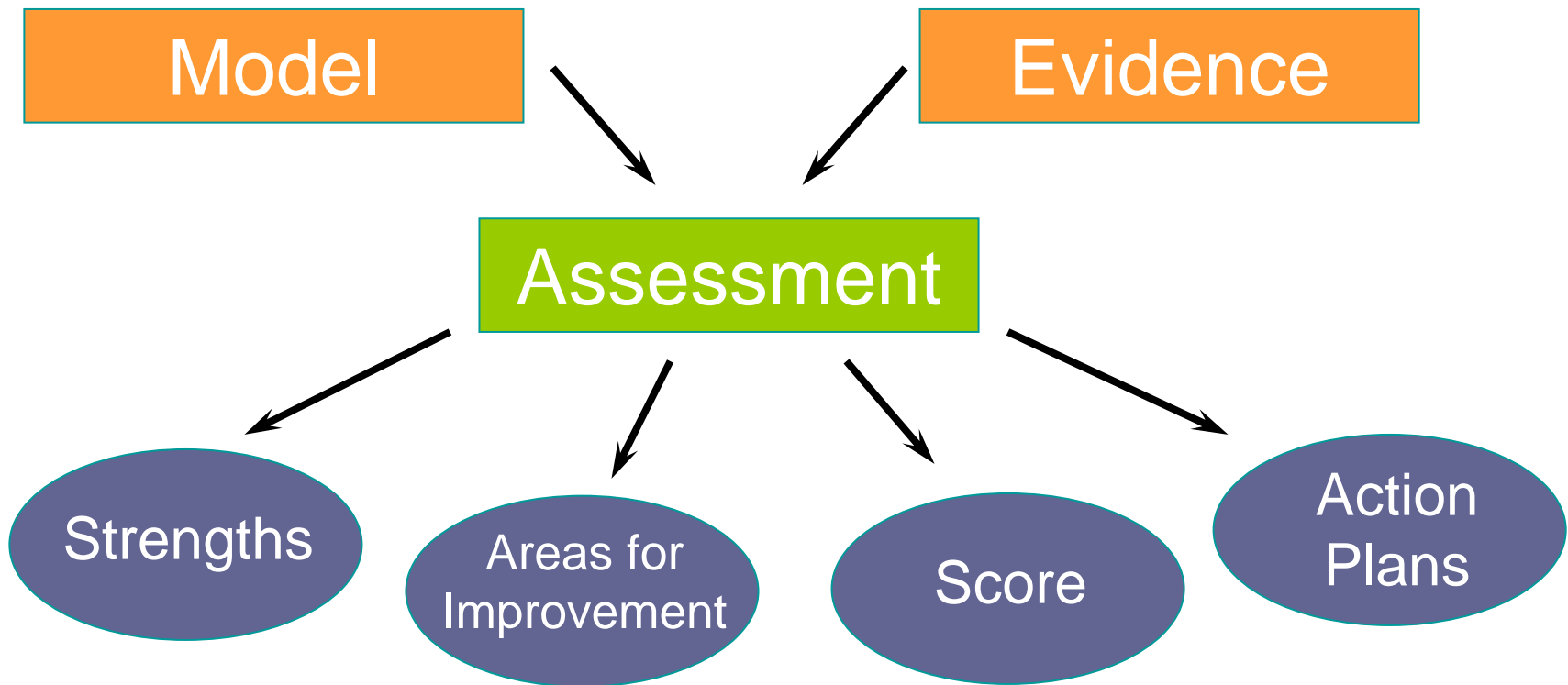
# The Excellence Journey



# Organisational effectiveness (UC Berkeley)

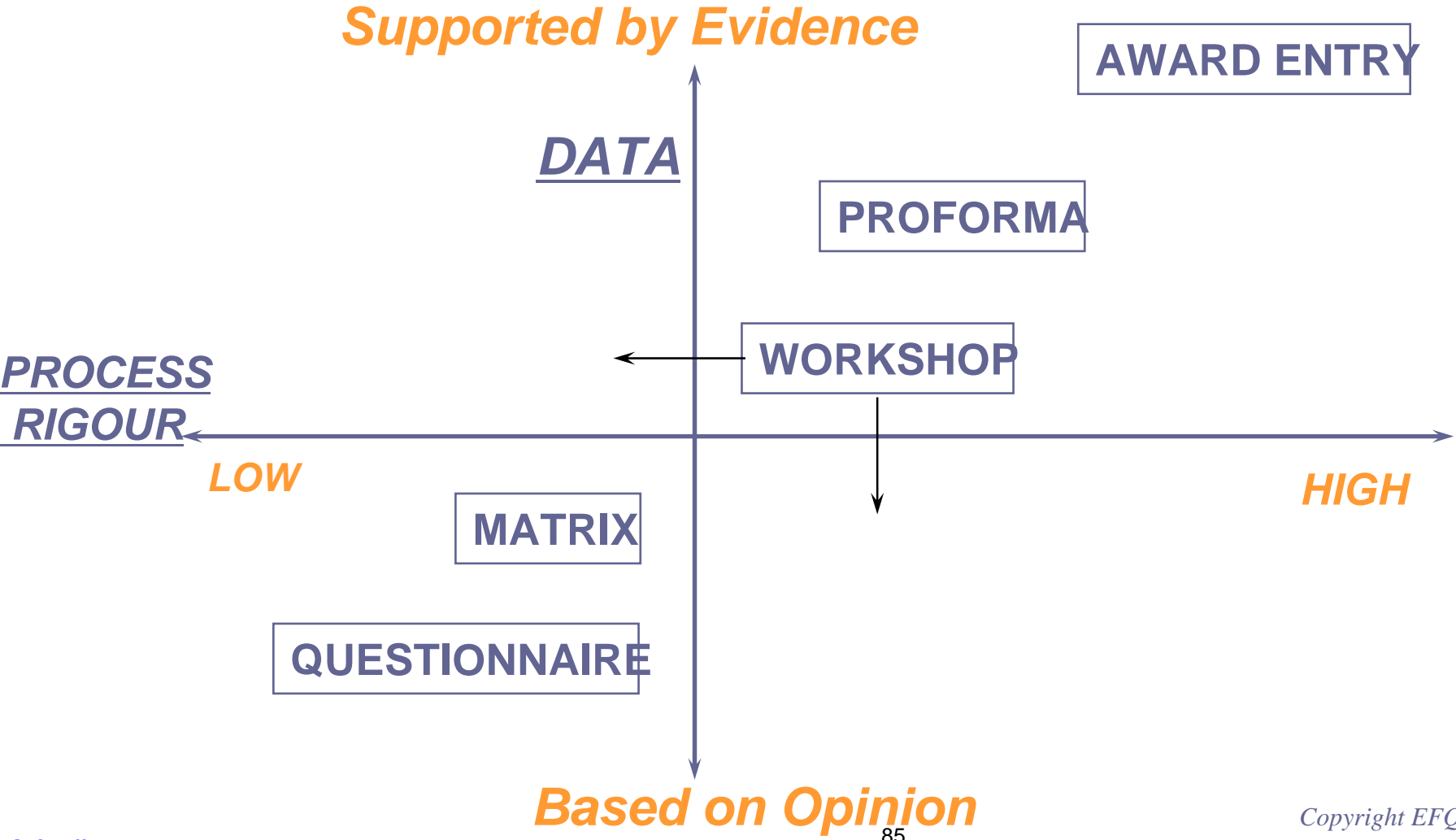


# Concept

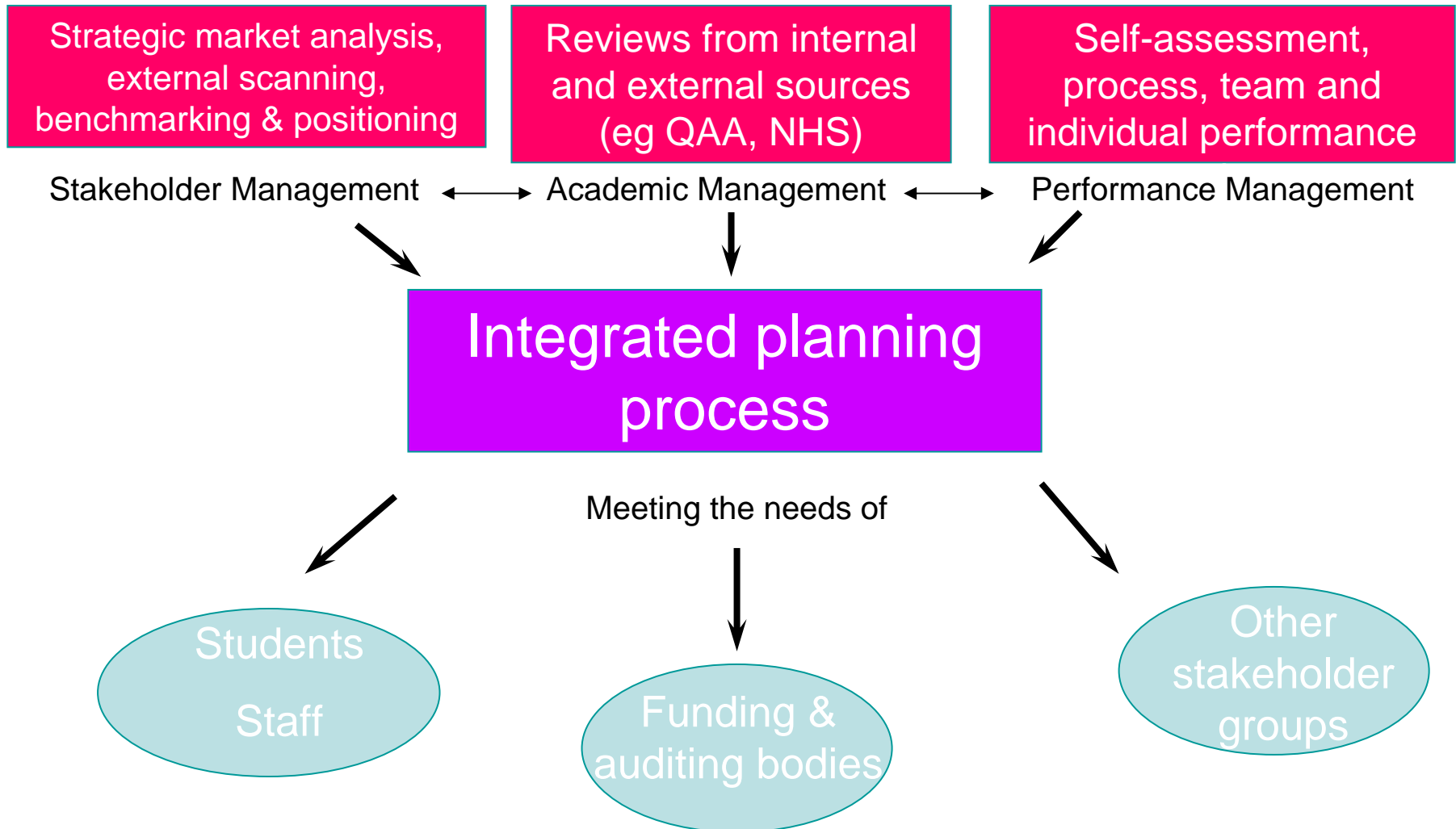


**Organised common sense**

# Self-assessment options

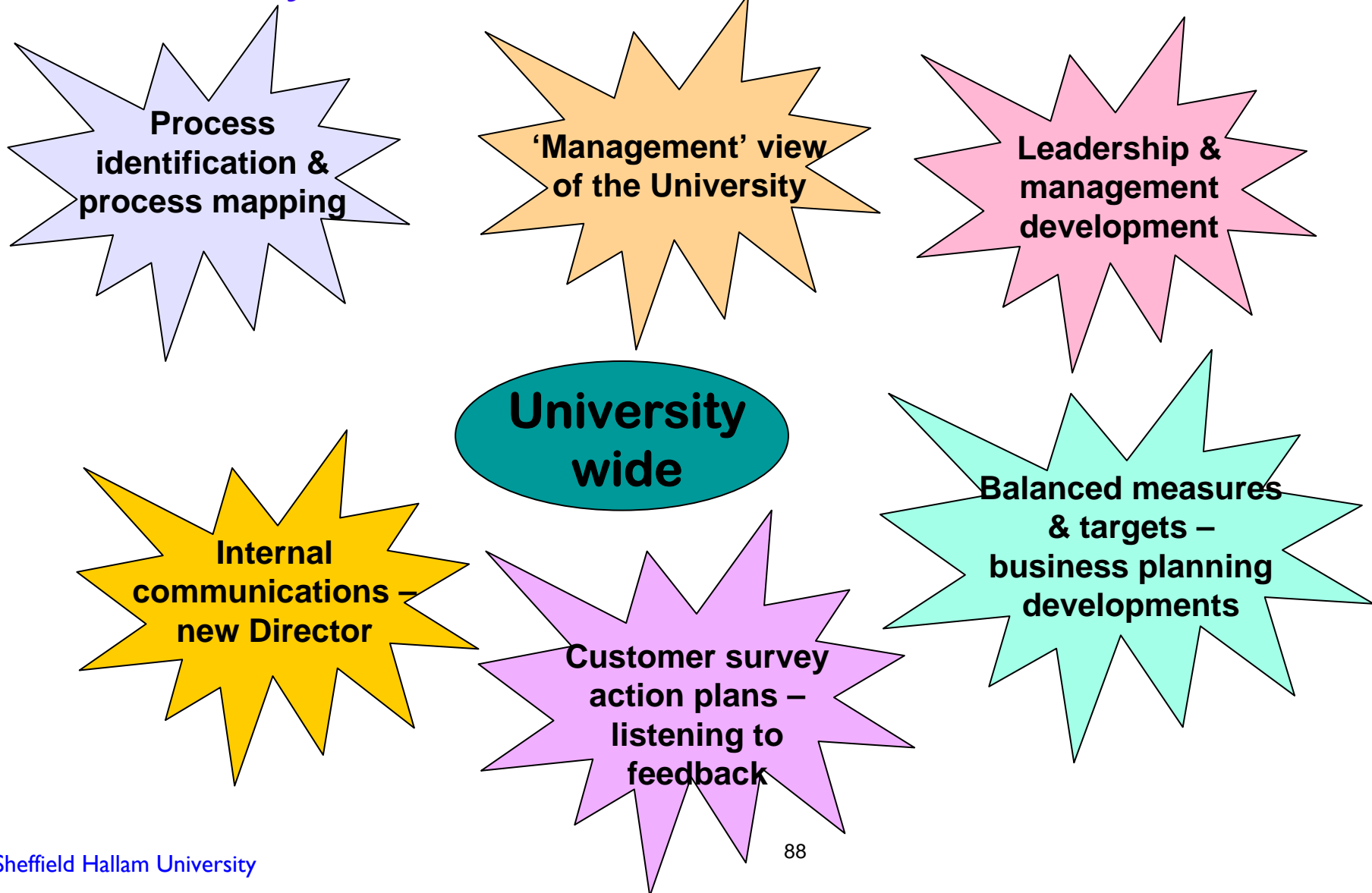


# Integrated planning

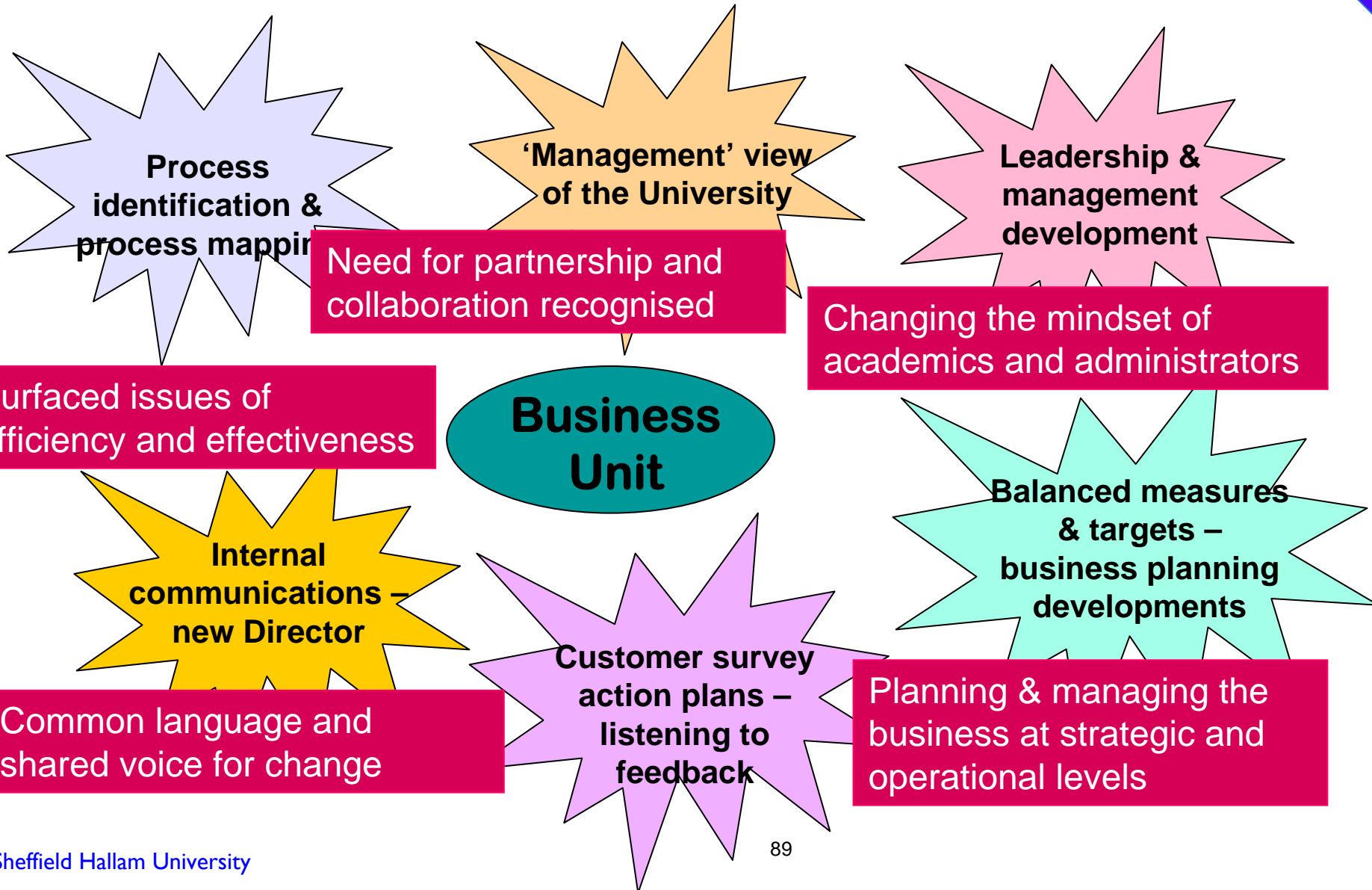


# Key Lessons being learned from applying the EFQM Excellence Model in Education

# Strategic Impacts - University wide



# Strategic Impacts - Business Unit



# Key Lessons Learned

- VC and senior management leadership commitment, drive and ownership is essential.
- Communication (internal) is a critical process.
- The complexity of our institutions is great, but the potential impact of change is greater.
- Providing a common language and shared learning that has not necessarily existed before.
- Common themes emerging across all pilot areas - synergy in the results, despite use of differing methods.
- Staff want to improve what they are doing - real willingness to embrace excellence.

# Key Lessons Learned (cont.)

- Much of the knowledge/information exists - just needs to be captured, enhanced and co-ordinated.
- The Model itself is only the starting point, with self-assessments highlighting key opportunities for change.
- Other management models, tools and techniques act as approaches to the development of the organisation within this structured framework.
- Many of the issues relate back to processes and partnerships.
- Over time, the model recedes into background as structures change-but principles remain embedded

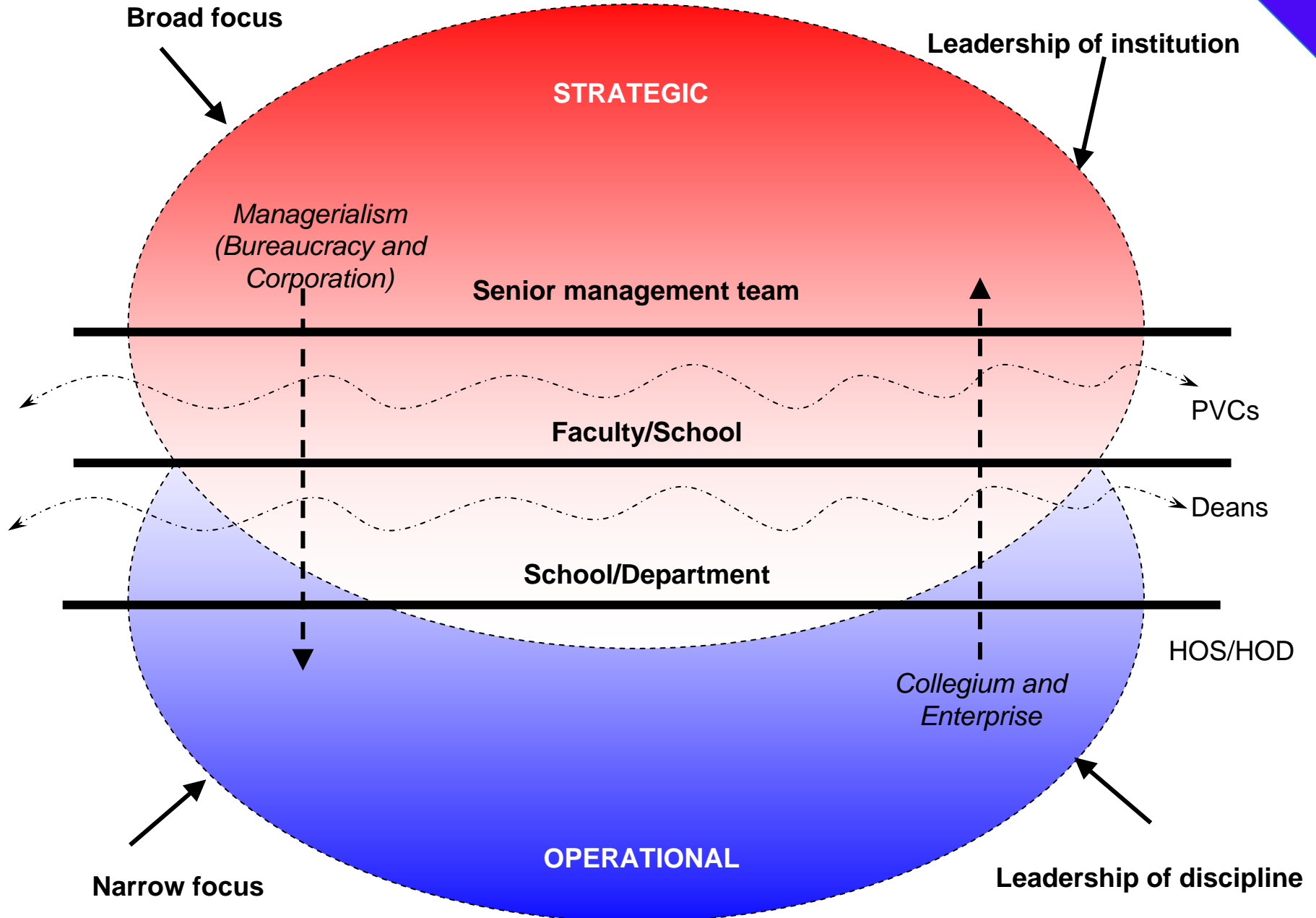
# Potential benefits

- Holistic
- customer focus
- results oriented
- benchmarking and sharing good practice
- involvement: cross-departmental working
- complementary to other assessments, inspections etc
- can incorporate other standards eg ISO 9000, 14000
- integration, alignment, coherence
- provides greater clarity of what, how, why
- improving communication
- achieving value for money

# Concerns

- Ambitious, challenging, complex
- crowded agenda
- strategic cohesion: where does it fit?
- resources: staff involvement and project management
- language and interpretation
- culture, attitudes

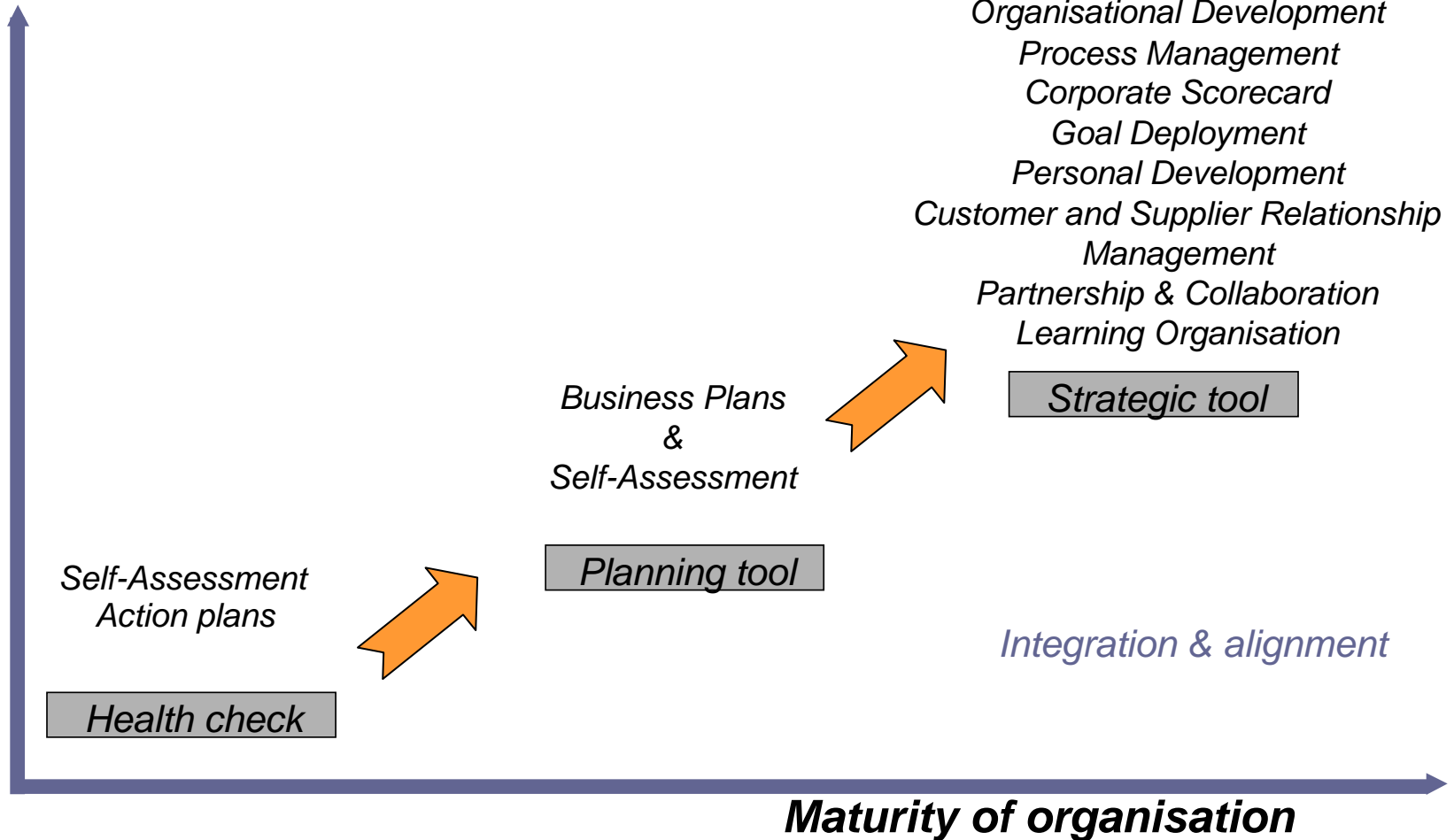
# The university as a system



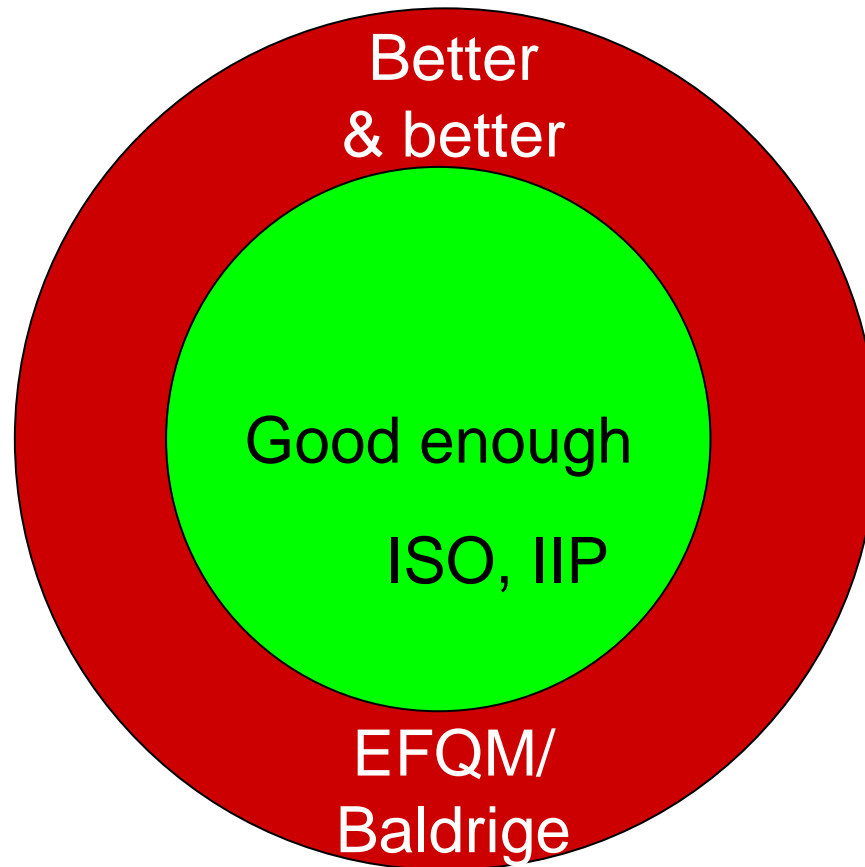
# Summary: the Excellence Journey

# The Excellence Journey

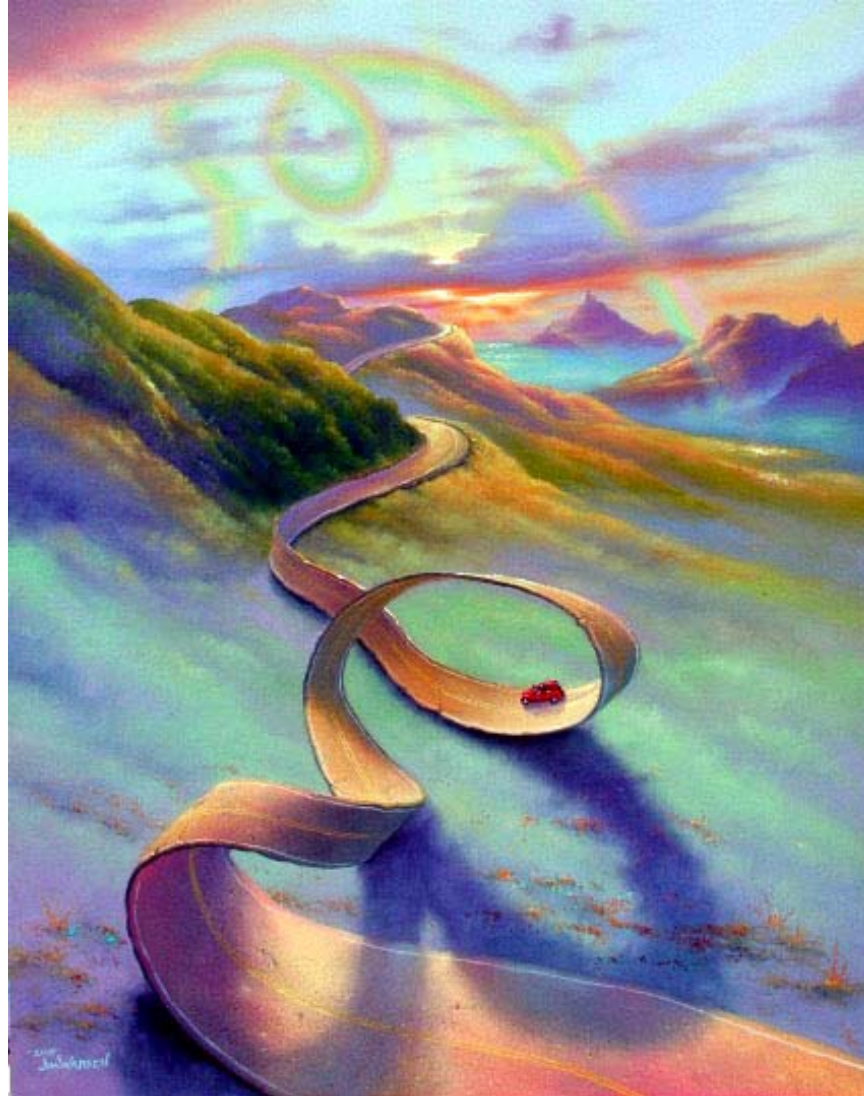
**Excellence**



# Models: options and choices



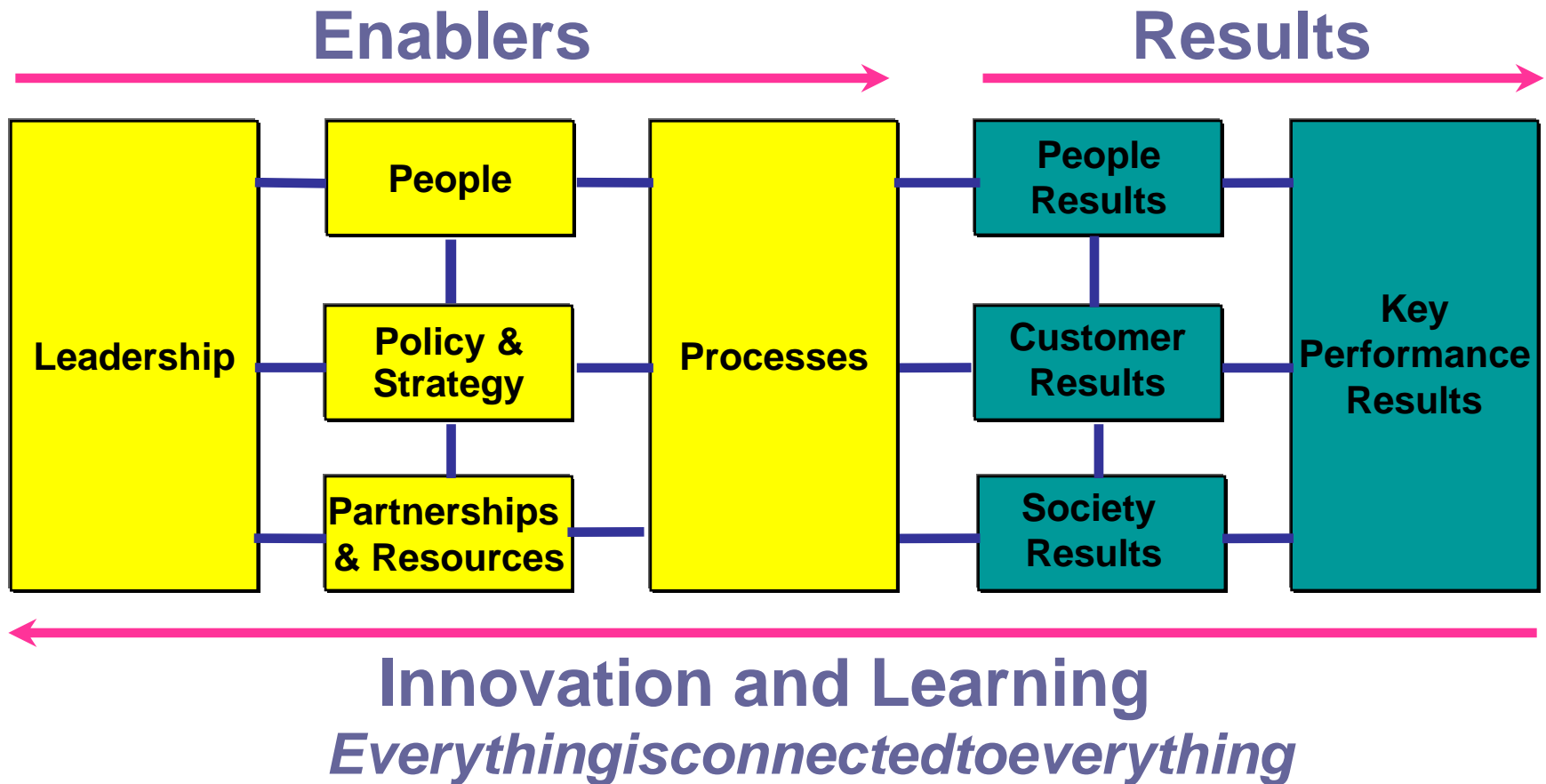
# The Never Ending Journey in Pursuit of Excellence



Great

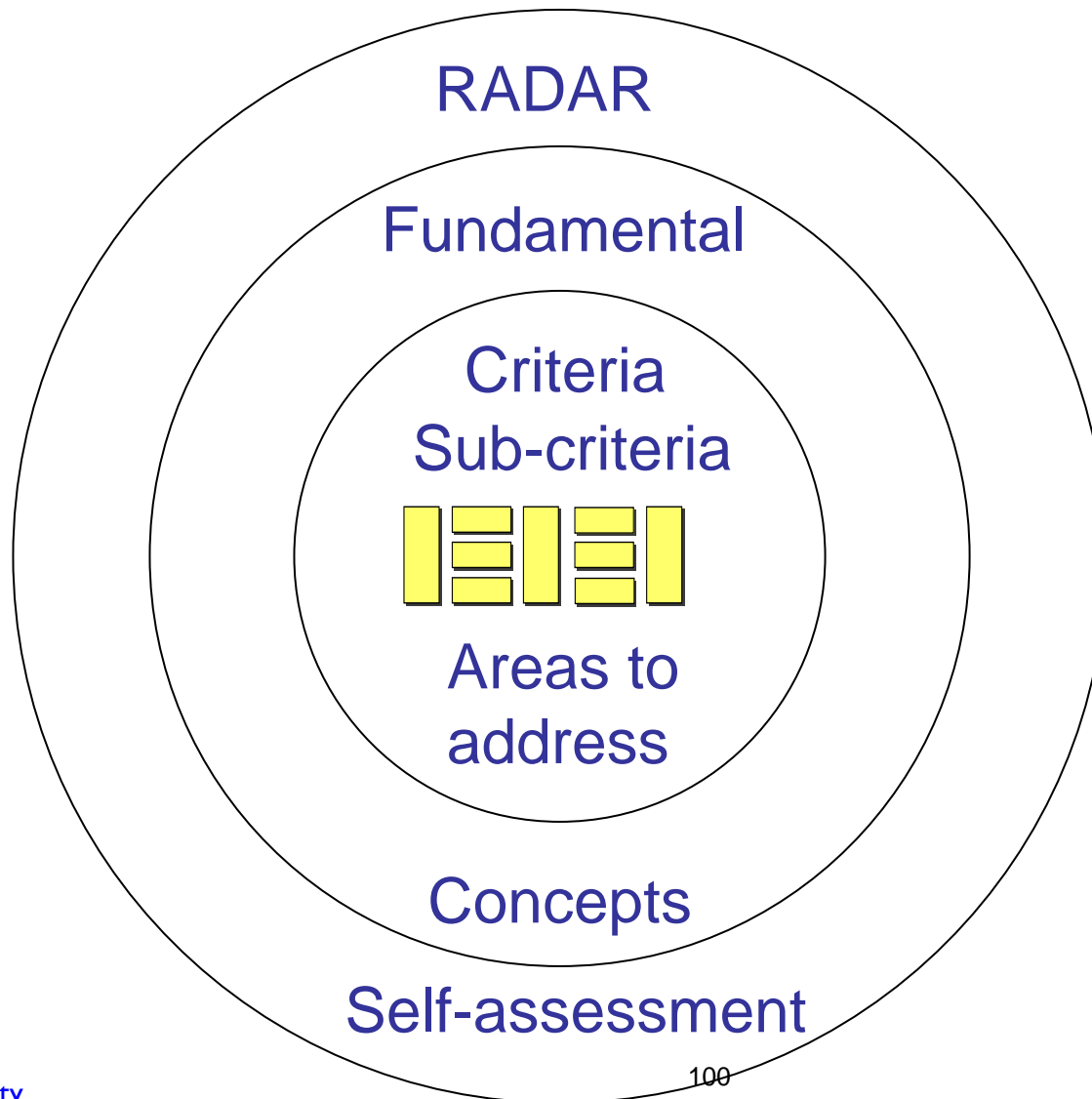
Good

# EFQM Excellence Model<sup>®</sup>

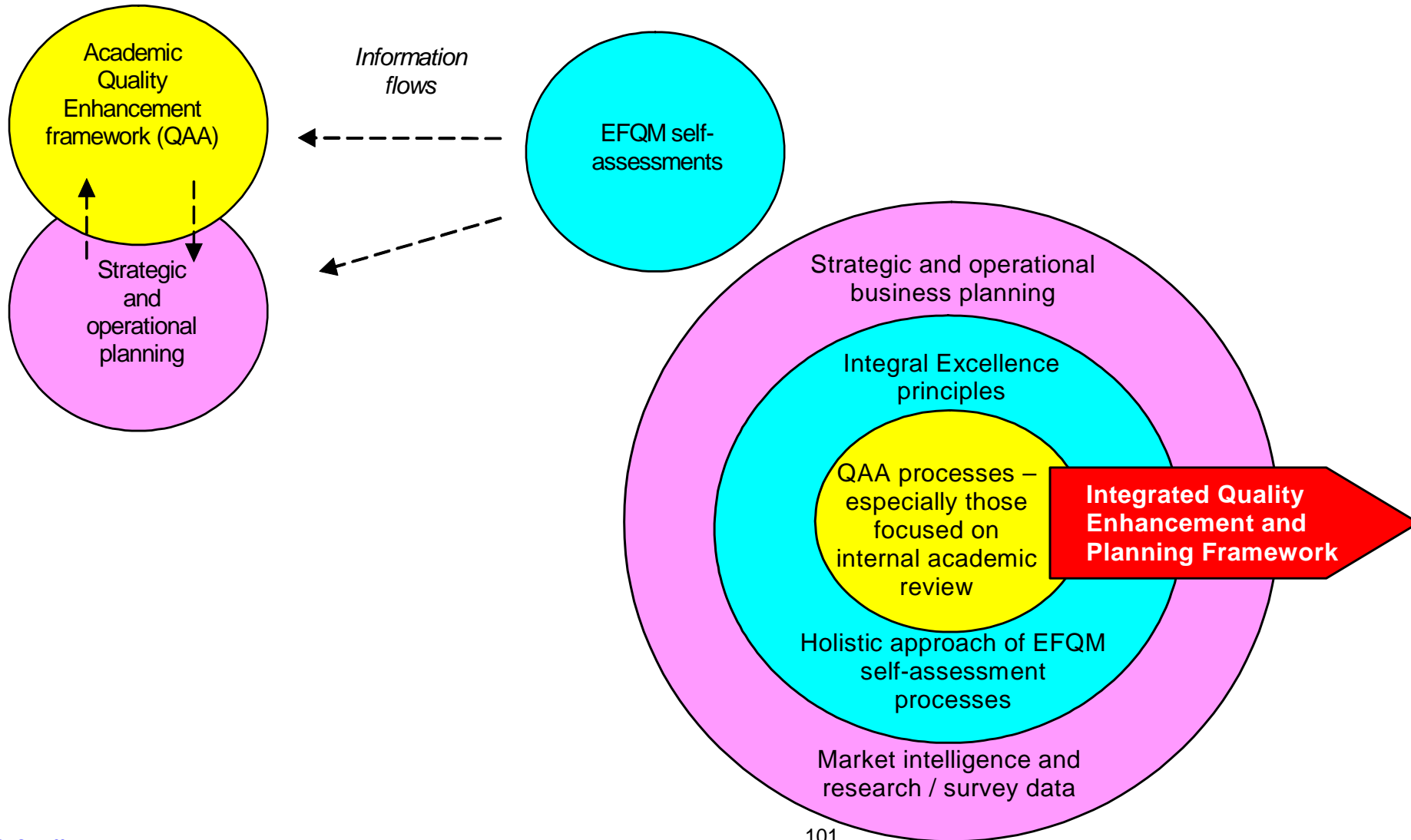


The EFQM Excellence Model is a Registered Trademark

# EFQM Excellence Model System



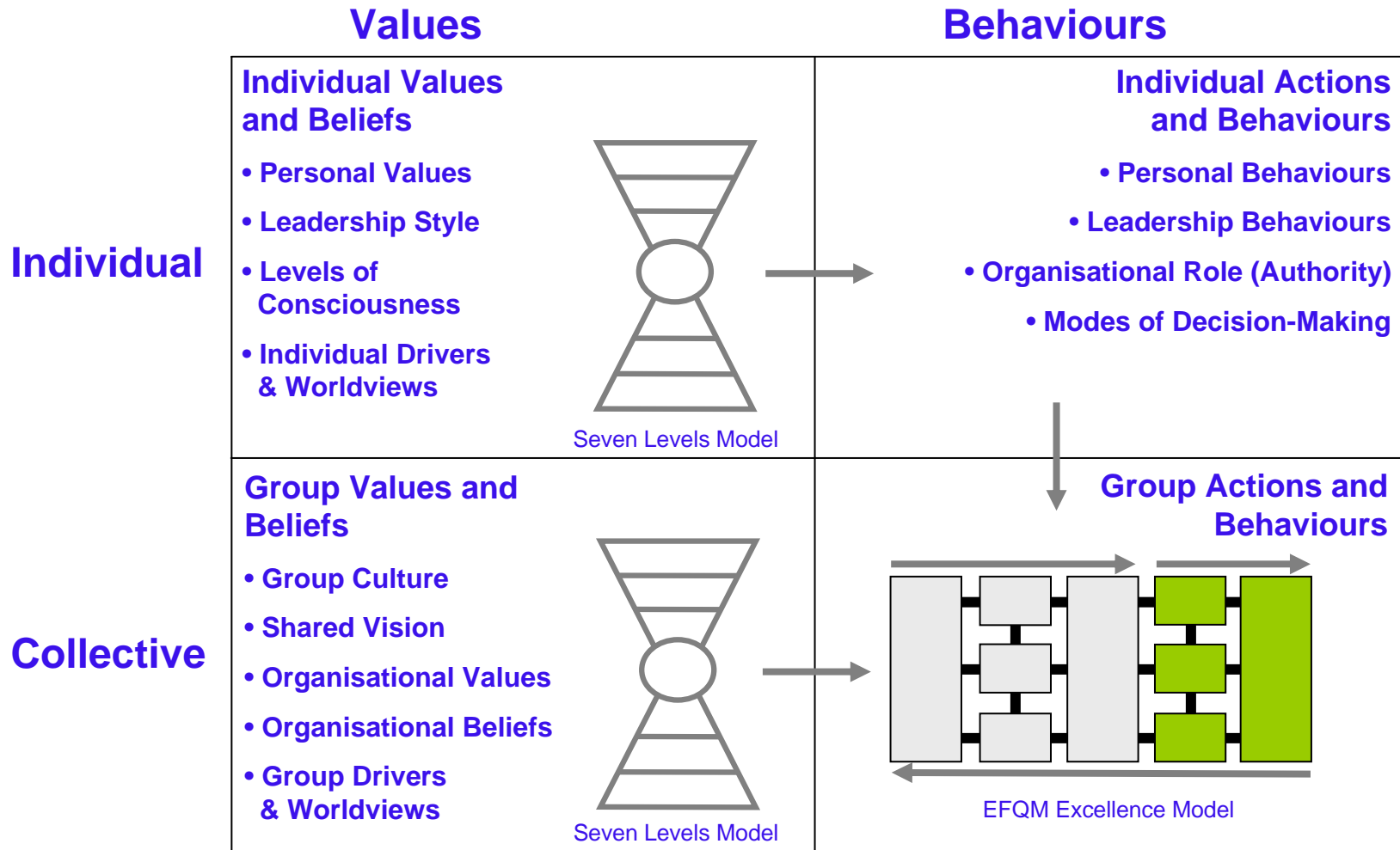
# Integration, connection and purpose



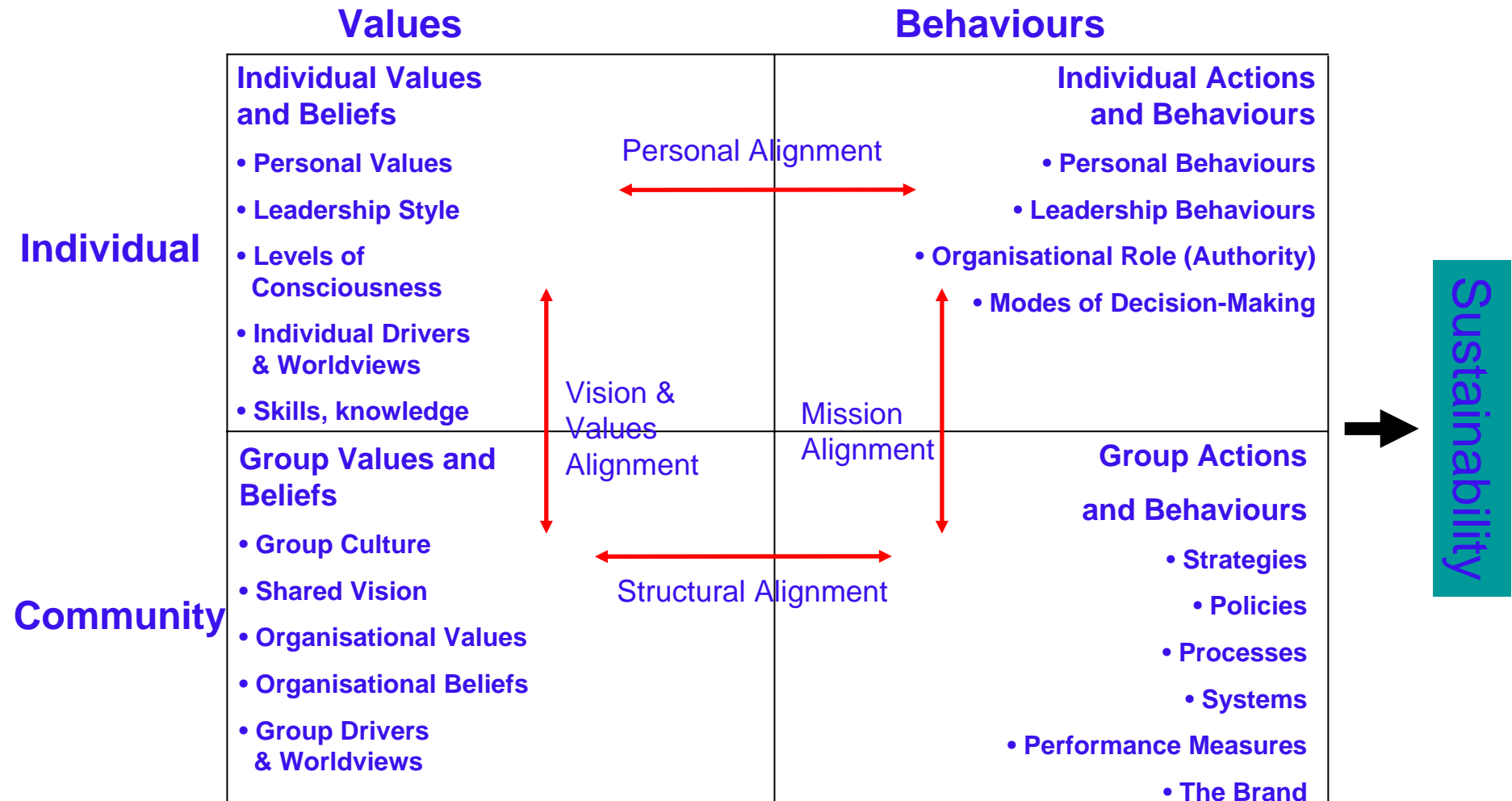
# Achieving Excellence

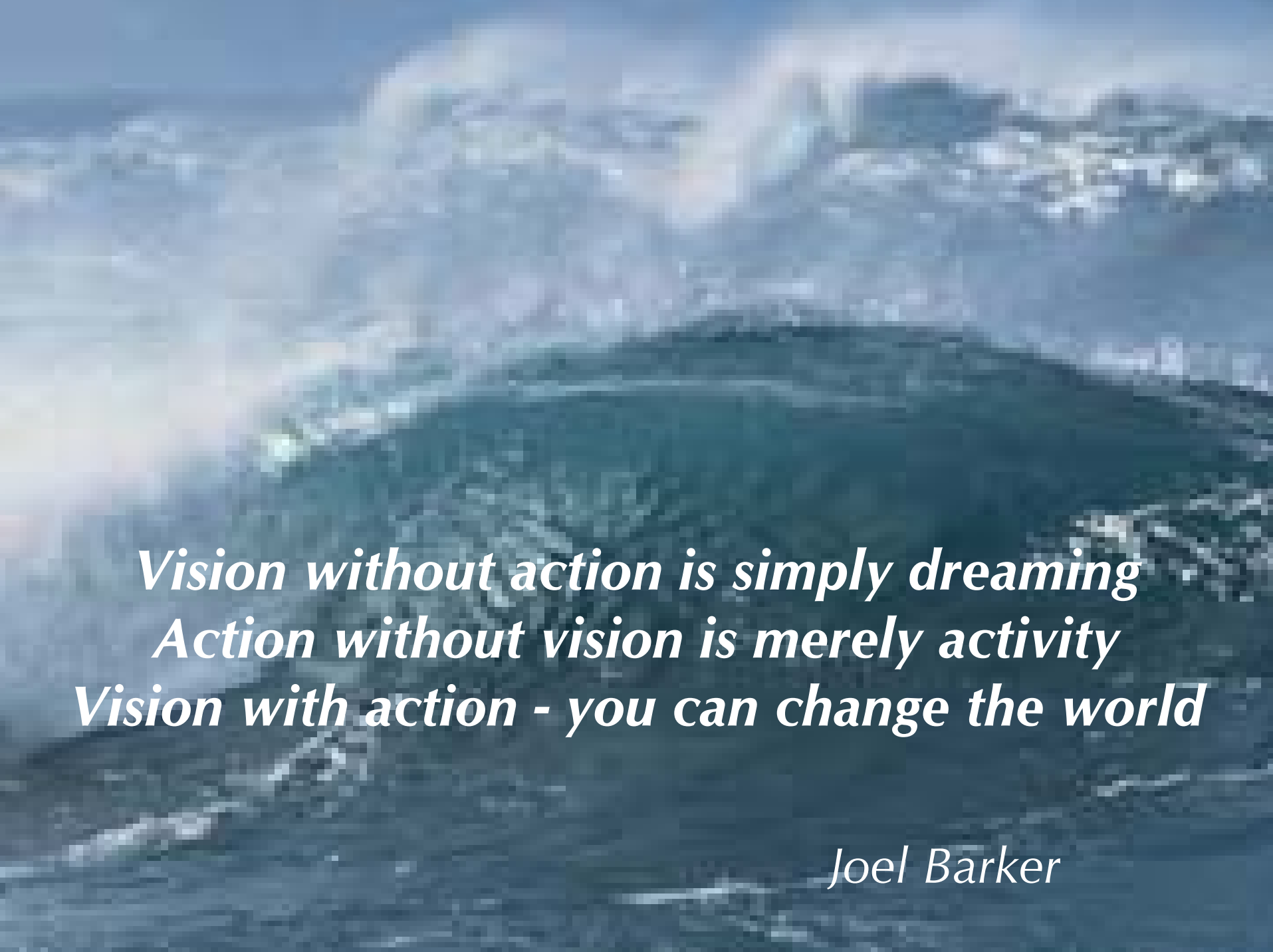
The ***way of working*** that enables the organisation to achieve ***balanced stakeholder satisfaction***:

# Bringing it all together



# Finding meaning through Whole System Change



An aerial photograph of a dense forest with a vibrant rainbow arching across the sky. The forest is a mix of green and brown, suggesting a mix of tree types and possibly some fire damage or natural clearing. The rainbow is bright and multi-colored, positioned in the upper right quadrant of the image. The overall scene is serene and inspiring.

*Vision without action is simply dreaming  
Action without vision is merely activity  
Vision with action - you can change the world*

*Joel Barker*