

# EXPERIENCIES USING ISO 9001 TO MEET THE ESG IN THREE SPANISH AGENCIES



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# INTRODUCTION



- The case of three Spanish Agencies:
  - ACSUCYL: certified with ISO 9001 from 2006 and member of ENQA from 2007.
  - ACSUG: certified with ISO 9001 from 2006 and member of ENQA from 2007.
  - AQU: certified with ISO 9001 from 2000 and member of ENQA from 2000.
- ISO 9001 standard has served as the basis for compliance with the European standards and guidelines (ESG) for quality assurance laid down for quality assurance agencies.
- Comparison of each of the European guidelines with the requirements of ISO 9001

# ISO 9001-EUROPEAN STANDARDS AND GUIDELINES



## ❖ ISO 9001

- Model recognised as an international standard for good practices in the management of internal quality
- Public or private organisations.
- Process management system
- Ongoing improvement and customer satisfaction.

# ISO 9001-EUROPEAN STANDARDS AND GUIDELINES



## ❖ EUROPEAN STANDARDS AND GUIDELINES

- General Framework for quality assurance in higher education.
  
- Three sections:
  - Internal quality assurance within higher education institutions
  - External quality assurance within higher education institutions
  - Quality assurance within external quality assurance agencies

# SIMILARITIES ISO 9001-ESG



- Both are intended to guarantee internal quality assurance
- Both allow agencies to choose the most appropriate mechanisms for action
- Both allow agencies to choose how activities are developed and measured.

# 3.1/3.3 ESG-ISO 9001 SECTION 7



## ESG

### 3.1 Use of external quality assurance procedures by agencies

- The external quality assurance of agencies should take into account the presence and effectiveness of the external quality assurance processes described in Part 2 of the European Standards and Guidelines.

### 3.3 Activities

- Agencies should undertake external quality assurance activities (at institutional or programme level) on a regular basis.

## ISO 9001

### Section 7: Product realization

- Determination of the requirements of activities and customer and user communication.
- Planning of activities to be undertaken.
- Design and development activities.
- Service provision.

## 3.1/3.3 ESG-ISO 9001 SECTION 7



- A process map that identifies all of its activities
- A process for planning and monitoring all activities





## 3.2 ESG-ISO 9001



### ESG

#### 3.2 Official status :

- Agencies should be formally recognised by competent public authorities in the European Higher Education Area as agencies with responsibilities for external quality assurance
- Agencies should have an established legal basis and should comply with any requirements of the local legislative jurisdictions.

### ISO 9001

No specific requirement is set out in relation to this ESG standard, although a presentation of the organisation is necessary with the ISO 9001 standard, which is normally set out in the Quality Manual and includes a description of the organisation and its organisational structure.

## 3.4 ESG-ISO 9001 SECTION 6



### ESG

#### 3.4. Resources

Agencies should have adequate and proportional resources, both human and financial, to enable them to organise and run their external quality assurance process(es) in an effective and efficient manner, with appropriate provision for the development of their processes and procedure.

### ISO 9001

Section 6 - Resource management (NON FINANCIAL):

The organisation must determine and provide the resources needed.

Personnel shall be competent with appropriate education, training, skills and experience.

## 3.4 ESG-ISO 9001 SECTION 6



- Human resources management procedure
- An evaluators review procedure
- A quality manual
- A process for the planning and follow-up of actions
- An information systems management procedure
- An inventory of assets
- Adequate infrastructures

## 3.5 ESG-ISO 9001 SECTION 5



### ESG

#### 3.5. Mission

Agencies should have clear and explicit goals and objectives for their work, contained in a publicly available statement.

### ISO 9001

#### Section 5 -Management responsibility

Specifies that the management has the responsibility of a commitment towards

- a quality policy
- setting out of clear goals
- objectives that contribute to the system's continuous improvement in a definitive way.

## 3.5 ESG-ISO 9001 SECTION 5



- A Strategic Plan
- Activities plan
- Quality manual
- A review process by the management as a procedure of their own accountability.

## 3.6 ESG-ISO 9001



### ESG

- 3.6 Independence  
Agencies should be independent to the extent both that they have autonomous responsibility for their operations and that the conclusions and recommendations made in their reports cannot be influenced by third parties such as higher education institutions, ministries or other stakeholders.

### ISO 9001

- No direct correspondence with any of the sections of the ISO 9001 standard HOWEVER
- ✓ The quality management systems include control over staff involved in the activities
  - ✓ Code of Ethics defined by the organisation
  - ✓ A evaluators management procedure
  - ✓ The regulations governing the Agencies

# 3.7 ESG-ISO 9001 SECTIONS 4 AND 7



## ESG

### 3.7 External quality assurance criteria and processes used by the agencies

- The processes, criteria and procedures should be pre-defined and publicly available.
- These processes will be expected to include: self-assessment, external assessment, publication of a report, and a follow-up procedure, together with an appeals process for formal decisions.

## ISO 9001

### Section 4: General Requirements

### Section 7: Product realisation

- The organisation shall plan and develop the processes needed.
- Calls for the identification of all processes, their sequence, interaction, monitoring, measurement and analysis.

## 3.7 ESG-ISO 9001 SECTIONS 4 AND 7



- A process map
- Detailed procedures and instructions, with specifications on how each activity is to be carried out.
- Publication of outcomes on the website
- All procedures are validated, documented and constantly updated.



# 3.8 ESG-ISO 9001 SECTIONS 8 AND 5.6



## ESG

### 3.8 Accountability procedures:

- A quality policy publicly available
- Agencies should have in place procedures for their own accountability.
- Procedures which include internal and external feedback mechanisms.

## ISO 9001

### Section 5.3 Quality Policy

### Section 8 Measurement, analysis, and improvement

- The organisation must plan and implement the necessary monitoring, measurement, analysis and improvement processes to ensure service conformance and improvement in the efficacy of the quality management system

### Section 5.6 Management review

- The management must review the entire quality assurance system on an annual basis

## 3.8 ESG- ISO 9001 SECTIONS 8 AND 5.6



- A quality policy approved by the Board of directors
- Internal feedback systems:
  - meta-assessment
  - processing of all positive and negative comments
  - an annual internal audit
  - surveys
  - internal non-conformities and measures for improvement
- External feedback systems:
  - satisfaction surveys
  - mailbox on the website
  - external audit
- Set and control indicators for each process

# Summary of the correlation between the two standards:



ESG: EXTERNAL QUALITY ASSURANCE AGENCIES	ISO 9001: 2008
3.1 The use of external quality assurance procedures in Higher Education	7. Product realisation
3.2 Official status	No legal aspects mentioned 4.2.2 Quality Manual
3.3 Activities: evaluation, review, audit, assessment, accreditation	7. Product realisation
3.4 Resources: human and financial	6. Resources management (not financial)
3.5 Mission statement: goals, objectives, policy, management plan	5. Management responsibility: Q. policy, Q. objectives, Q. management system
3.6 Independence	No legal aspects mentioned
3.7 External Quality Assurance Criteria and Process	4. Quality management system: process, criteria, methods, improvements 7. Product realisation
3.8 Accountability procedures: policy, experts, subcontractors, feedback	5.3 Quality policy 8.Measurement, analysis and improvement 7.4 Evaluate and select suppliers

# Conclusions



- The implementation of a management system and subsequent external certification according to ISO 9001 is a good basis that provides for compliance with the majority of the European guidelines (ESG).
- Not being certified with ISO implies the Agency comply with ESG.
- The implementation of an internal quality assurance system must seek the quality improvement and not only an external certification
- It is important using the existing documentation in the internal quality assurance system
- Implication of the governing bodies

# Proposed Questions



- Have you implemented other quality assurance systems or standards (besides ISO 9001) that have contributed to compliance with the ESG?
- Do you think that establishing an internal quality assurance system leads to a bureaucratic way of doing things?
- Is ISO 9001 and ESG a good combination for quality enhancement ?

# THANK YOU FOR YOUR ATTENTION



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