

香港學術評審局

HONG KONG COUNCIL FOR
ACADEMIC ACCREDITATION

HKCAA

Chairman: Dr Andrew S L Chuang, JP
Executive Director: Miss W S Wong

Vice-Chairman: Professor John C Y Leong, OBE, JP

ACCREDIT
NOTE

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MESSAGE FROM THE CHAIRMAN

In an earlier issue of Accreditation Note, I mentioned that the Hong Kong Council for Academic Accreditation had been appointed under the Non-local Higher and Professional Education (Regulation) Ordinance to advise on the registrability of non-local courses. This appointed task started September last year, when the first of many applications to register was referred to us for assessment and recommendation. By June this year, we have received more than 240 applications. Some more are likely to come.

This assignment indeed consumed a lot of the energy of the Council and its Secretariat. Prior to accepting the Government's request for academic advice on these courses, the Council deliberated on the relevant clauses of the Ordinance and their pertinence to academic criteria for use in assessment. Eventually, a set of guidelines and criteria was compiled. We also set up a special Standing Committee headed by the Vice-Chairman, Professor John Leong, to finalize the recommendations on registering the courses.

The process of assessment, well discussed within the Council, is executed to a meticulous extent: it involves rounds of searching questions to the institutions to provide us with an accurate and current picture of each course. When it is deemed necessary, local specialists are consulted for their opinions. Using all the gathered information, a recommendation is then drawn up in line with our Council's agreed guidelines, with a conclusion as to whether the course should be registered. The Committee has also given much thought to enforcing a degree of consistency in assessing and recommending courses.

Following the tenets of the law, courses are closely

examined to establish comparability between non-local courses offered in Hong Kong and the same (equivalent or comparable) courses offered in the home country. Indicators to determine comparability include admission standards, staff qualifications, teaching and learning processes, course content, quality assurance mechanisms, etc. Bearing in mind that the home course might have been modified to suit Hong Kong's 'need', courses are recommended for registration when they in totality are considered comparable in standard to the courses offered at the home institutions. The courses must in addition satisfy other stipulated criteria, which include inter alia, recognition of the courses by the home institution and recognition by the accreditation authority in the home country. In the case of courses leading to professional qualifications, the criteria for registration relate to the recognition of the course by the professional body, and the recognition of the professional body in the home country.

The Council believes it is inevitable that non-local courses will be found to differ in terms of what they have to offer to local consumers, and it is not expected nor intended under the Ordinance that all non-local courses will have common standards. Some courses may be denied registration by the Government, or Government may only register certain courses upon the imposition of some conditions. The Council being primarily concerned with the academic quality of non-local courses would indeed at times propose that the Government set conditions or give suggestions to the institutions before registration of the courses. We believe that such conditions and/or suggestions are fundamental to the maintenance of a quality course for Hong Kong students.

In the long run, the Ordinance will perform an overdue function. It offers a certain degree of protection to

consumers: prospective students should choose to apply only for registered courses. It also brings to light certain deficiencies in the conduct of many non-local courses – the lack of adequate teaching and service support on the part of the institutions so much so that the Hong Kong students would not derive the benefit of a sound university education. The culminative effect of the Ordinance is such that through efforts of the HKCAA, and the supervision of the Government, non-local courses offered in Hong Kong will need to improve in time, providing students a variety of quality courses without the need to travel abroad. The Council reckons that the assessment of applications and the implementation of the Ordinance are not an once-off exercise. The HKCAA, the Government and the community will consequently learn more about the provision of education by non-local institutions, enhance their expectation of standards associated with a non-campus mode of learning, and demand the institutions and operators involved in the enterprise to be accountable to us when exporting the courses to our students. In time, the increasing awareness will help to fine-tune the proviso of the Ordinance, generating enough demand for an assurance that non-local qualifications thus attained should compare well with those of our local universities. At present, the Ordinance does not require this assurance.

Dr Andrew S L Chuang, JP
Chairman
July 1998

Editor's Note

Readers may observe that some articles in the present issue are rendered in both English and Chinese. It is our wish that the *Accredit Note* will eventually become a bilingual publication.

COUNCIL MEMBERSHIP

Reappointments

We are pleased to report that Dr Andrew Chuang, Chairman of the HKCAA since 1992, has been reappointed as Chairman as from 8 June 1998. Dr Chuang is noted for his dedication to the cause of quality assurance in higher education and has expressed frequent concern over the need to assure the quality of non-local courses offered in Hong Kong by overseas institutions (see Chairman's Message). He also leads the Council in the development of close relationships with the educational authorities in the Mainland, and a better understanding of the educational system and qualifications on the Mainland and in Taiwan.

Professor John Leong has also accepted reappointment as Vice-Chairman of the Council. Professor Leong has headed the Council's Committee on Non-local Courses for the past year and has been tireless in scrutinizing the quality of the courses referred to the HKCAA for advice, together with other members of the Committee.



HKCAA Council members giving a toast to the guests at the Spring Reception on 10 February 1998.

Other members of the Council who have been reappointed include: Professor Kwong Lee Dow, Dr John Petersen, Professor Christian Thune, Professor David Dunkerley, Mrs Marie-Odile Ottenwaelter, Professor Wang Zhong Lie, Professor Fan Yiu Kwan, Professor Peter N Dobson, Mr Alex Wong, Mr Raymond Wong, Mr Alex Sun, Mr Edmund Leung, and Dr Richard Ho.

Professor Wong Hoi Kwok, Professor Danny Wong, Mr Herbert Hui, and Mr Eddy Li who were newly appointed in 1997 will also continue to serve the Council.



Mr Joseph Wong, Secretary for Education and Manpower, delivering his speech at the HKCAA's Spring Reception.



The Chairman, Executive Director and other guests at the HKCAA's Spring Reception.

New Appointment --- Dr Judith S Eaton

We are pleased to report that Dr Judith S Eaton has been appointed as our new Council member.

Dr Judith S Eaton has been president of the Council for Higher Education Accreditation (CHEA) in the United States since August 1997. CHEA is a national organization of more than 3,000 colleges and universities that promotes quality assurance and accountability in higher education through voluntary accreditation. It is located in Washington, DC.

Before joining CHEA, Dr Eaton was chancellor of the Minnesota State Colleges and Universities system. Previously she served as president of the Council for Aid to Education, vice president of the American

Council on Education, president of the Community College of Philadelphia, and president of the Community College of Southern Nevada. She also held positions as a faculty member and administrator at several other institutions.

A frequent contributor to higher education journals and periodicals, Dr Eaton has edited several publications and is the author of two books: *The Unfinished Agenda: Higher Education in the 1980s* and *Strengthening Collegiate Education in Community Colleges*.

Dr Eaton holds bachelor's and a master's degrees from the University of Michigan and a doctorate from Wayne State University (MI). She has been awarded three honorary degrees.

STAFF NEWS

Mr K S Chan joined the Secretariat as a Registrar from 10 February 1998. He holds a bachelor's degree and a master's degree from the University of Hong Kong. Before he joined the HKCAA, he had been a school teacher and later worked as a school inspector, and also worked at curriculum development at the Education Department where he was also a chief examiner in HKCEE. He had also been a part-time tutor and a curriculum developer of degree programmes at local tertiary institutions. Mr Chan has wide exposure and interests in many areas of education, including teaching, quality assurance, teacher training, curriculum design and evaluation.

COUNCIL MEETING

The Seventeenth Council meeting was held on 14 March 1998. The main thrust of this meeting (which had been advanced from its normal schedule in June) was to discuss the Council's long term plan in the light of the Government's initiative to review the role and functions of advisory bodies for higher education. Members reaffirmed the HKCAA view that an independent quality assurance body is vital to the development of quality in postsecondary and higher education sector.

The Council also considered the progress of its work in relation to the implementation of the Non-local Higher and Professional Education (Regulation)

Ordinance. It was agreed that the Council's concerns on the quality of the non-local courses should be reflected to the government.

The meeting received activity reports on accreditation and qualification assessments, noting in particular that the comparability of non-local qualifications with local ones has generated much interest from the public.

As part of the progress report on consultancies, a report on a study of veterinary science programmes was endorsed by the Council (see below for details).



The Secretary for Education and Manpower, Mr Joseph Wong, attending a Council Meeting in March 1998.

EXECUTIVE COMMITTEE MEETINGS

Three Executive meetings comprising local members of the Council were held during the period; on 14 February 1998, 1 May 1998 and 16 May 1998 respectively.

The first two meetings were held in anticipation of the release of a government consultation document on the structure of advisory bodies for higher education. These two meetings were convened to consider the potential impact of the consultation exercise on the future role and direction of the HKCAA. Members agreed that an argument for a single independent quality assurance body covering all sectors of higher education should be advanced. The third meeting was held subsequent to the release of the consultation document. The meeting was called to formulate the Council's response to the document, focussing on areas where the Council's involvement in quality assurance work should be mentioned. The response also incurs the

question of a single independent quality assurance body as part of the education advisory structure. During this process to formulate a response to the government, overseas members of the Council were kept informed and consulted.

STUDY OF VETERINARY MEDICINE PROGRAMMES

At the request of the Veterinary Surgeons Board, the Hong Kong Council for Academic Accreditation has conducted an international study of veterinary medicine programmes and chose for the study the sample institutions of the National Chung Hsing University and National Taiwan University in Taiwan, China; Cambridge University in the UK, the University of California, Davis, in the US; and South China Agricultural University, Guangzhou, in Mainland China.

The purpose of the study is to learn about the undergraduate or professional veterinary medicine degree programmes in the different countries and areas, as exemplified by the chosen institutions, to find out how the programmes are designed and conducted, the admission policies, and graduation requirements, as well as the strength and characteristics of the veterinary training programmes in these different places. The information about these programmes will be provided to the Veterinary Surgeons Board which, with reference to these information, will determine the veterinary qualifications suitable for registration in Hong Kong.

This is the first time the Council conducts an international study of a specific subject discipline and the project involved considerable planning and input of expertise and manpower. To ensure consistency in the study the Council made use of basically the same international panel, comprising experts from five countries, for each phase of the study. The project had also to be completed within a very short time scale, so that cooperation and coordination with the universities under study had to be managed very carefully. Owing to the support of all parties concerned, and also a stroke of good luck, the project was completed within a miraculous time scale of half a year.

The international panel set up to assist in the study

comprised Professor Dr S G van den Bergh, Chairman of the Council on Animal Affairs under the Ministry of Agriculture in the Netherlands, and formerly Dean of Veterinary Medicine at Utrecht University for many years; Professor Y. C. Zee, senior professor in the School of Veterinary Medicine at UC Davis in the US and a licensed veterinarian; Dr C. S. Lee, Reader and Associate Professor in the Department of Veterinary Science at the University of Melbourne; and Dr P. H. Chow, Senior Lecturer in Medicine at the Chinese University of Hong Kong. For the study at the University of UC Davis Professor Zee was replaced by Dr R.A.S White, Head of the Clinical Studies Division of the Queen's Veterinary Hospital at the University of Cambridge. The study was organized and supported by the Executive Director, Ms W S Wong and Registrar, Dr Y K Mok.

Members of the HKCAA panel during the study visit to the Cambridge University, pictured with the Dean of the Cambridge School of Veterinary Medicine, Professor L B Jeffcott (second from left).



Members of the HKCAA visit team in discussion with staff at the Department of Clinical Veterinary Medicine, Cambridge University.

The Project entailed the perusal of the curriculum of the various veterinary programmes and site visits to the chosen universities, during which members of the panel met with the teaching staff and discussions were held regarding the details of the syllabus, the teaching methods and assessment tools used, and clinical practice employed. On all occasions the panel was able to meet with either the entire staff establishment or a cross section of the teaching staff, and also with students.

The team also visited teaching facilities including laboratories, lecture theatres, specimen museums, libraries, and teaching hospitals. Members were also invited to peruse student work and projects.

Another part of the Project involved a study of the accreditation systems in place in the U.S. and the U.K. for the veterinary profession, and the public examination for veterinary surgeons in Taiwan, China.

The study turned out to be a pleasant and fruitful experience as well as being the first of its kind for the Council. We were fortunate to be able to enlist a highly experienced and cooperative panel of experts who performed the study in a very professional manner. The Universities visited by the HKCAA team welcomed the study and their staff were extremely cooperative and hospitable creating an atmosphere for open and enthusiastic discussion and interchange with the visiting experts on our team.

Our Council believes that pilot studies of this type can open the way for similar disciplinary studies across institutions and across countries, to provide a benchmark for comparison as well as promote good practice in relevant subject areas. Studies of this type do require a tremendous input of manpower and resources but the experience proved that it was a worthwhile and successful exercise.



Members of the HKCAA panel looking at study materials and teaching reports at the Department of Veterinary Medicine, South China University of Agriculture.



Members of the HKCAA panel visiting the specimen museum at the South China University of Agriculture.

REGISTRATION OF NON-LOCAL COURSES IN HONG KONG

The statutory 6-month grace period for non-local course operators to obtain registration or exemption status under the Non-local Higher and Professional Education (Regulation) Ordinance ended on 1 June 1998. The Registrar of Non-local Courses announced that 340 courses were granted registration, whereas 14 have been rejected and 52 are still being processed due to the late submission of applications to the Registry. Courses which have not been registered have to cease operation in Hong Kong pending the granting of the registration or the results of appeals on the decisions of the Registrar.

Under the Ordinance the HKCAA is named as the advisor to the Registrar of Non-local Courses, to give advice on the registrability of those non-local courses which have applied for registration. Up to June this year a total of 245 applications leading to non-local academic and professional qualifications had been referred to our Council. A special Standing Committee chaired by Professor John Leong has been set up to consider and approve all referred courses, based on detailed analysis of the application, supported by assessments from local academics and experts when needed. Nine Committee Meetings were held during December 1997 to June 1998.

The focus of the Council's task is to assess the courses according to criteria stated in the Ordinance, which relate to the comparability of these non-local courses with their counterparts at home in terms of the quality of the courses and their conduct in Hong Kong. Indicators to determine comparability include admission standards, staff qualifications, teaching and learning processes, course content, quality assurance mechanisms, etc. Courses are recommended for registration when they in totality are considered comparable in standard to the courses offered at the home institutions. In some cases, the Committee would recommend imposition of some conditions and suggestions for improvement to ensure comparability of standard.

It is important to note that the Council's assessment is based on the criteria stipulated within the Ordinance, which emphasize comparability of the non-local course

with the course in the home country. The Council has not assessed the academic standard of the non-local courses per se. Registration does not automatically mean that the course is comparable or equivalent to the local academic standards accepted in Hong Kong. It is regrettable that the Council finds that some registered courses are not comparable in standard to local degree courses.

In the Council's recent Press Release, our Chairman, Dr Andrew Chuang suggests that the Ordinance has performed an important function in offering a certain degree of protection to consumers and that students should apply only for registered courses. At the same time, prospective students are advised to exercise discretion in choosing programmes of study due to the large variation in standard and quality.

Courses which have been registered are required under the Ordinance to submit an annual return to the Registrar of Non-local Courses, and the HKCAA will be requested to advise on whether the courses should continue to be registered on the basis of these returns. The same criteria as for registration will apply to the continuation of registration.

ACCREDITATION NEWS

Lingnan College

Revalidation of the General Education programme

In March 1998 the Council revalidated the General Education programme at the Lingnan College which is not a separate programme but constitutes some 10% of each degree student's course load. The programme embodies the College's liberal arts tradition and aims at a whole person development of its students.

The General Education programme was reapproved for a period of four years, from 1998/99 to 2000/2.

Validation of BA(Hons) in Contemporary English Studies

The new full-time BA(Hons) in Contemporary English Studies was validated in March 1998. This new programme embraces the streams of *Contemporary*

Literature in English, Applied Linguistics Studies and Language Studies.

After consideration of the rationale and objectives of the proposal and the plans for its development, the Council recommended that the course be approved for implementation for six intakes, from 1998/99 to 2003/4.

Revalidation of the Bachelor of Social Sciences (Hons)

The Council conducted a revalidation of the Bachelor of Social Sciences (Hons) in April 1998. Opportunity was taken to consider the readjustment and refocussing of the current five streams of study within the programme and their consolidation into four interdisciplinary streams. After detailed deliberations, the Council recommended unconditional approval of the programme for four intakes from 1998/99 to 2001/2.



Members of the HKCAA validation panel and senior staff of Lingnan College.

SEMINARS

Dr Andrew Chuang, Council Chairman, and Ms W S Wong, Executive Director, attended the Mainland and Taiwan Universities Academic Evaluation Seminar held at Taipei, in early May 1998, and Dr Chuang presented a paper on the topic of *Comparisons in Academic Accreditation in Hong Kong, the Mainland, and Taiwan*. Papers were also presented by scholars from the Mainland and Taiwan universities, including National Chengchi University, and East China Normal University which is the only university in China which offers a PhD programme in academic evaluation.

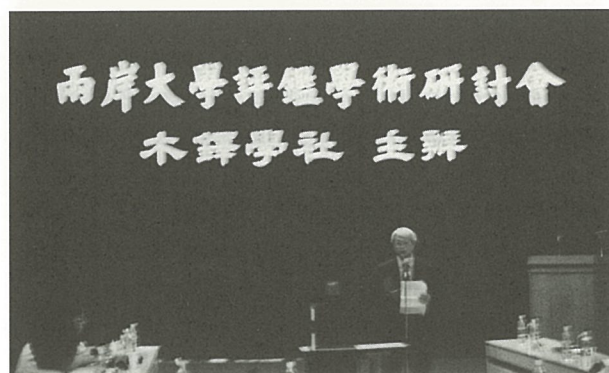


The Chairman and Executive Director visiting the National Chengchi University and being photographed with the President.

The seminar also paved the way for a cooperative project between scholars from the Mainland, Taiwan, and Hong Kong for a joint publication on the theory and practice of quality assurance and evaluation in higher education. The publication is scheduled to be completed in the later part of 1998.

This seminar and project were hosted by the 木鐸學社 which is a learned society dedicated to the promotion of academic exchange, and also through the efforts of Professor Chen Han Chiang, former President of the Hsinchu Teachers College.

Following the seminar arrangements were also made for the HKCAA representatives and scholars from the Mainland to visit the National Chengchi University and the teaching hospital of the National Taiwan University.



The Chairman, Dr Andrew Chuang presenting a paper at the Mainland/Taiwan University Evaluation Seminar, at Taipei.

In early June, the Executive Director, Ms W S Wong and Registrar, Ms Connie Lok, attended the Shanghai Higher Education Teaching Evaluation and Quality Assurance Seminar held in Shanghai.

Ms W S Wong presented a paper on *The Building of Internal Quality Assurance Systems in Higher Education Institutions*. The seminar was attended by the Registrars and Deputy Registrars of higher education institutions in Shanghai and jointly hosted by the Higher Education Office of the Shanghai Education Commission and the Shanghai Maritime University.



The Executive Director W S Wong presenting a paper at the Shanghai Higher Education Teaching Quality Seminar.

The Shanghai Maritime University has recently obtained ISO9000 Certification given by the International Standards Organisation and two papers were presented at the seminar describing the internal quality assurance system of the university and the process of seeking ISO9000 certification. (The paper given by the University's Registrar, Mr Jiang Yanqiao is being reproduced in this issue of *Accredit Note*.) It is believed that the University is one of the first universities in the Mainland to have ISO9000 certification.

Other presenters at the seminar include representatives from the City University of Hong Kong, Polytechnic University of Hong Kong and East China Normal University.

The HKCAA has signed a Memorandum of Cooperation with the Institution of Shanghai Higher Education Evaluation, which is attached to the Shanghai Education Commission, and whose director Mr Xu Baoyuan is also concurrently the Director of the Higher Education Office. After the seminar the HKCAA representatives met Mr Xu and other officials for further talks and exchange, and we appreciated the hospitality shown by our Shanghai hosts.

The following is an excerpt of the paper (original in Chinese) presented by Professor Jiang Yanqiao, Dean of Studies, Shanghai Maritime University:

"Quality Assurance System and Teaching Quality Control"

The international ISO9000 series on quality standards has become one of the frameworks based on which overseas higher education institutions such as those in the UK have developed their teaching quality system. In recent years higher education institutions in the Mainland have also strived unswervingly for the enhancement of teaching quality, the cost effectiveness of teaching and the strengthening of teaching quality control. The Shanghai Maritime University has since 1997 adopted the ISO9000 quality control system in improving the University's teaching quality control and this approach has proved to be effective.

I. Quality System and Quality Control

The ISO9000 standard and definition of quality consist of a series of standard components which mainly include:

ISO9000-1

Quality control and quality assurance standard - guide to selection and use

ISO9001

Specification for design, development, production, installation and servicing

ISO9002

Specification for production, installation and servicing

ISO9003

Specification for final inspection and test

ISO9004

Guide to quality management and quality systems elements

The series of standard defines and sets out a definitive list of features and characteristics which it is considered should be present in an organisation management control system through documented policies, manual and procedures, which help to ensure that quality is built into a process and it is achieved. It is the broad

principles of control in general terms which are defined in the standards, and not the specific methods by which control can be achieved. This allows the standard to be interpreted and applied in a wide range of situations and environments, and allow each organisation to develop its own systems and then test them out against the standard.

II. Teaching Quality Control in Higher Education Institutions

1. Teaching quality control is quality control in the whole teaching process

Quality control in higher education institutions is the attainment of quality in all aspects of the institute's operations including planning, school management, study programmes, teaching materials, laboratories, teaching staff and teaching support facilities.

There is a host of internal and external factors affecting teaching quality. The control of teaching quality should take into regard all processes such as student admission, formulation and implementation of academic plans, teaching and learning, academic support systems and assessment. There should be continuous and systematic assessment of all these processes with a clear perception of the need to enhance quality.

2. The experiences of the Shanghai Maritime University

The Shanghai Maritime University understands the social and national requirements on teaching quality, the fall back situation of the University when compared with standard of international advanced higher education institutions, the market economy system, the competitions with sister institutions, the development of Shanghai and the internal challenges and opportunities. All these have propelled the University to put teaching quality control high on its agenda. The major tasks undertaken by the University starting from the end of 1994 include:

- (a) Departments are developed into practical units of teaching and student activities responsible for the daily teaching functions and control. To

enhance teaching quality, departmental assessment criteria are set up and regular meeting schedules are organised amongst different levels of departmental staff to undertake the study and review of teaching quality.

Concurrently, the function of the research unit in teaching quality control is strengthened. The scope of activities of the unit is redefined based on which the performance of the unit is to be assessed.

- (b) An inspectorate system is established to conduct regular class inspections. This system is useful in providing guidance for new teaching staff and in gaining student feedback. As from 1998, the inspectorate team has also conducted random inspections on lectures given by staff who are seeking promotion to more senior posts.

- (c) The investigation and assessment of teaching quality is linked to a clear vision of teaching and learning and the feedback mechanism. This was achieved by:

- i) The views of over 200 students on their perception of the teaching and learning process were collated and shared by departmental leaders.
- ii) Opinion surveys on the University's management in teaching and learning were conducted for each cohort of graduates starting from 1996.
- iii) Students were invited to appraise teacher performance. About 180-200 courses were selected for appraisal whose results were channelled to the teaching staff via the department heads.
- iv) There was a rewarding system for teachers with good performance and their good practices were shared. A code of practice was drawn up for new teachers which is also used as the basis for appraisal, staff deployment and promotion.
- v) Starting from 1995, there was a system of reward and punishment for students. In each term more than 20 students were rewarded for outstanding performance and about 4-5%

of the students who failed to achieve the required standard were suspended from their studies.

- vi) The control of examination system was tightened with greater security of examination papers and stricter rules on misconduct in examinations.

III. The Development of Quality Control System

A sound quality control system is developed on the basis of detailed design and planning, documented procedures, test runs, assessment and review. Our experiences of making use of the ISO system have proved successful in the continual improvement of the academic quality of the institution. These can be exemplified in the following:

1. Design control

In the University context, the adoption of the ISO9000 Clause 4.4 'Design Control' is to put academic plan, curriculum, teaching schedule and all other factors which affect teaching quality under strict control. The academic plan and the curriculum are to be drawn up with due reference to government policy and market demand, with a view to ensuring that the knowledge and skills acquired (the product) meet the expectations of students and parents. Accordingly three documents on "the design of academic plan", "teaching plan for courses, practicum and laboratory classes" and "assessment of new courses, practicum and laboratory classes" were drawn up by the University.

2. Process control

The key principle of the ISO9000 system is to transform the traditional assessment on outcome (the product) to the control of processes, to ensure that all intermediate processes which have influence on the quality of the final outcome are being supervised, reviewed and rectified.

To apply this principle to university management, process control is exercised throughout the entire student learning process, from initial admission to graduation. The University has also prepared documents on "preparation and conduct of classes",

"exercising control on teaching processes", "assessment of teaching quality" and "the use and control of laboratory facilities". All these documents, together with other documented procedures governing inspectorate systems, student feedback, assessment criteria, graduate survey and others are aimed to ensure that all these processes fulfil their intended aims and purposes.

3. Inspection, measuring and test equipment

Examination is the most commonly used means of test in schools. According to the principle under ISO9001 Clause 4.11, the University has worked out a document on the control of examination scripts to ensure that the compilation, management, scrutiny and storage of examination scripts adhere strictly to laid down procedures. In addition, there are other measures in the quality control of the examination papers, such as the assessment of sample scripts by external experts.

4. Document control and quality records

Clause 5.5 'Document Control' under ISO9001 system specifies how documents should be defined, distributed and amended. Another clause 'Quality Records' under 4.16 provides guidance on the keeping of records to demonstrate achievement of product quality and effectiveness in the operation of the quality system. The University has made reference to these principles in our document control and the maintenance of quality records.

5. Internal quality audit

Under the ISO9000 system, the function of internal quality audit is to investigate the effectiveness of internal processes against their intended objectives so that timely remedial measures can be made.

The University has made use of this principle to establish an internal quality audit system. A detailed audit plan is drawn up and qualified experts are appointed as auditors who will meet with staff, scrutinize documents and conduct site visits. The audit report lists out areas of deficiencies which will be rectified and remedial actions are further taken.

The University conducted its first audit in March this year and will adopt an audit cycle of every 2 years to ensure that there is continuous improvement in our quality control system.

6. Student-centred approach

Under the ISO9000 system, students are seen to take the dual role as the 'customer' and the 'special product'. The 'customer' role is easily understood as all quality control activities within the University are developed with students as the primary focus. On the other hand, the 'product' concept originates from our conviction that the advancements in knowledge, skills, personal integrity and aesthetics are the outcomes of students' learning process. In fact the whole person development of our students is the University's ultimate goal.

Our teaching quality control system should henceforth focus on the enhancement of students' quality, taking cognizance that students form an active and indispensable part in the learning process through which they acquire knowledge and skills. The University should support students' effort by the following ways:

- (a) develop mechanisms for encouragement and competition
- (b) give more well-defined guidance to facilitate students to master their study more efficiently; and
- (c) inculcate the concept of quality in students and involve them actively in the design and assessment of teaching activities.

7. The University's commitment

The acknowledgement of the need to enhance quality and the commitment of the senior management, staff and students are the driving force for the University in implementing the ISO9000 quality standards. The University also recognises that the maintenance and enhancement of quality systems is a life long process. The award of the ISO9000 certificate is not seen as the end, instead it is the beginning of a continuous process of quality improvement that should be subject to periodic reviews. The ultimate goal is the development of an on-going internal quality control system.

以下節錄上海海運學院江彥橋教授於上海高等學校教學質量保證體系研討會上之發言：

質量保證體系與教學質量管理

人才培養的質量是高等學校的生命線。提高教學質量，加強教學質量管理不僅是社會主義市場經濟對高等教育的客觀要求，也是高校在新形勢下自我約束自我發展的主要條件。提高管理水平、教學質量和辦學效益是國內外高等學校近年來不懈的追求。國際標準化組織的 ISO9000 系列質量標準吸收了質量管理實踐的精華，已經成為高等學校建立教學質量體系可供選擇的標準模式。英國已有26所大學按照 ISO9000 系列質量標準在高等學校建立質量體系，並取得經驗。我校自1997年起引入了 ISO 質量保證體系，經過半年多的試運轉，有效地促進了學校的教學質量管理。

一. 質量體系和質量保證

質量標準和定義

ISO9000系列標準由若干個標準組成，主要有：

ISO9000-1

質量管理和質量保證標準 — 第一部分：選擇和使用指南

ISO9001

質量體系設計、開發、生產，安裝和服務的質量保證模式

ISO9002

質量體系生產，安裝和服務的質量保證模式

ISO9003

質量體系最終檢驗和試驗和質量保證模式

ISO9004

質量管理和質量體系要素 — 第一部分：指南

這些標準可供有關組織根據自己的具體情況選用或剪裁。

按照 ISO9000 系列標準，質量體系的定義："為實施質量管理所需的組織結構，程序，過程，和資源"。一個組織的質量體系主要是為滿足該組織內部管理的需要而設計的。質量保證："為了提供足夠的信任表明實體能夠滿足質量要求，而在質量體系中實施並根據需要進行証實的全部有計劃和有系統的活動"。質量標準中質量的定義是"反映實體滿足明確和隱含需要能力的特証總和"。

ISO9000 的基本原理

- (1) "質量形成於生產全過程"
- (2) "必須使影響產品質量的全部因素，在生產全過程中始終處於受控狀態"
- "受控"的意義在於保證質量按照人們預想的(設計的)結果，按照規定要求去工作，使人為的隨意性受到控制。對學校來說，所有影響教學質量的教學活動，都必須始終得到控制，以達到最終培養目標的要求。
- (3) "具有持續提供符合要求產品的能力"。
- (4) "質量管理必須堅持進行質量改進"。

二. 高等學校的教學質量管理

教學質量管理是教學全過程質量管理

高等學校的教學管理包括教學計劃管理、教學運行管理，以及學科、專業、課程、教材、實驗室、實踐教學基地、學風、教學隊伍以及教學管理制度、教學基本建設的管理。

教學質量管理應當包含全過程質量管理，包括招生過程的質量管理，教學計劃制訂與實施過程的質量管理，課程教學過程的質量管理，教學輔助過程的質量管理，以及實行科學化考試管理。需要經常了解教學情況，加強教學質量檢查。需要堅持經常化和制度化的教學工作評價(專業、課程和各項教學基本建設評價，教師教學質量和學生學習質量評價等)；需要重視教學信息的採集、統計和管理。

影響教學質量的因素很多，要通過不斷改善影響學校教學質量的內部因素(教師、學生、條件管理

等)外部因素(方針、政策、體制等)，通過科學的評價，分析教學質量，建立通暢的信息反饋網絡，從而營造並維護良好的育人環境，達到最佳教學效果。

上海海運學院在教學質量管理方面的努力

認識到學校的教學質量與國家、社會的要求，與面向21世紀國際先進高等教育的要求仍有一定的距離；認識到市場經濟體制，競爭機制的引入，兄弟院校競相發展；浦東改革、開放，學校所面臨的機遇和挑戰，我院自1994年底1995年初開始就開始將教學質量管理作為學校教學工作的重點之一。

主要的嘗試和措施有：

- (1) 系部成為進行教學工作和學生工作的辦學實體，負責日常的教學組織與管理，對提高教學質量擔負重要責任。建立系部教學工作評價指標體系，並檢查、考核。堅持系部教學主任例會，教學秘書周會制，組織系部教學主任，教學秘書研討、學習、培訓。加強教研室在教學管理中的作用，施行"教研室工作志"，以此規範教研室工作，並作為教研室工作考核的主要依據。
- (2) 實行了教學督導制，建立教學督導組。檢查教學過程，實施常規督導，專項督導(新專業教學管理，畢業環節，兩課教學等)相結合，指導青年教師成長，反饋教學信息，監督保證了正常的教學秩序。1998年起教師申報晉升高職稱前，首先由教學督導組進行隨機抽查聽課。
- (3) 教學質量調查、評價與教學信息反饋相結合
 - 建立了教學信息員制，全校200多名學生信息員，從他們的角度及時反饋教學信息，教務處編輯整理後供院黨政領導及主管部門參考。
 - 1996年起調查、徵詢每屆畢業班同學對學校教學管理、學生管理等工作的意見。
 - 學生對任課教師的課程教學進行評價，1996年1月被評課程287門，1996年6月276門，

1997年秋期起引入光電掃描儀擺脫手工統計後，每學期有選擇地評價180-200門課程。評價結果經徵詢系部主任，總支書記意見後反饋給教師本人。

- (4) 對教學優秀的教師實行獎勵，介紹，宣傳他們從嚴治教的經驗，加強對教師教學法的指導，對新上崗教師加強指導。實行"教師工作志"作為教師評優、考核、分配、晉升的依據。
- (5) 1995年起，學校實行獎勵和相對淘汰制，獎勵優秀學生，對學習不認真的學生實行藍、黃牌警告試讀，淘汰不合格學生。每學期有20多名學生受到重獎，也有數名被警告的學生摘掉了藍、黃牌，每學年被淘汰的學生數在4-5左右。
- (6) 嚴格考試管理，實行教考分離，建立試卷庫試題庫。嚴格考場管理，嚴格及時處理作弊行為，加強考風建設。

回顧幾年來的努力，我們在引入 ISO9001 質量體系中進行質量策劃分析時認識到：上海海運學院多年來重視教育教學質量，已經基本形成了一套教學管理機制，奠定了按 ISO9000 系列標準建立質量管理質量保證體系的基礎。關鍵問題是深入理解標準的精髓，提高所有人員的質量意識，以文件的形式按標準來規範所有教育教學管理，教育教學活動的各個環節。

三. 質量保證體系建立對教學質量管理的促進

建立、完善質量體系一般要經歷質量體系的策劃與設計，體系文件的編制，體系的試運行，以及評審與複查四個階段，每個階段又可分為若干具體步驟。半年來的實踐使我們清楚地認識到 ISO 質量標準體系確實是一種先進的管理模式，在高等學校建立這一體系，能夠從根本上保證學校教學質量的持續提高。

設計控制 (4.4)

設計是產品質量形成的關鍵環節，它決定了產品的固有質量。

對學校來說，ISO9001 要素4.4 "設計控制"就是將教學計劃、教學大綱、授課計劃等影響教學結果的教學文件在設計階段就處於嚴格控制之下。學校必須根據國家有關規定和市場的需求，合理制定教學計劃和教學大綱，並確保相互之間的協調。特別是在今天社會主義市場經濟條件下，學生繳費上學，學生及家長對其投資回報的追求，對在學校所獲取的知識、能力(我院質量體系中定義為"產品")以及這些"產品"與未來市場的適需對路有更多的考慮。這些都需要我們在進行教育教學設計時給予特別的注意。

"設計控制"要素對應的有三個程序文件："教學計劃制定"，"課程、實習、實驗教學大綱編制"和"新課程、實習、實驗教學大綱的評估"。

過程控制 (4.9)

ISO9000 質量管理與質量保證體系，其核心是把質量管理從傳統的對結果(產品)實行評估，轉為對過程實施控制，即對形成最終結果(產品)的全過程實施過程控制，對影響質量的各個環節進行監測、糾錯、反饋、修正，以保證每一過程質量管理在嚴格的監控之下進行。

作為一種過程管理，ISO9001 強調作為過程的每一環節都應符合預定的目標，重視預防的積極意義，並將造成錯誤的因素消除在每一個環節，而不再是僅僅重視評價尤其是終結評價的作用。這也就要求我們教學質量管理要從新生入學開始抓起，直至畢業，不可忽視任何一個年級階段，這是縱向的。橫向方面要抓住教學過程的每一個環節，達到預先確定的各個環節之間的平穩接口，保證圍繞教學目標循序漸進地開展教學活動。

我院質量體系中設計有"教學準備與實施"，"實踐教學環節控制"，"教學質量檢查"和"儀器設備的使用和管理"等四個程序文件。

檢驗、測量和測試設備的控制 (4.11)

學校教學活動中最常用的測試設備是試卷。根據 ISO9001 要素 4.11 的要求，我們制定了"試題試卷

控制"程序文件，以保證課程考核各個環節的工作嚴格按照規定辦理，及：試卷命題、管理、保密、樣張保存、批改後試卷的存放、考試成績的分析，以及試題、試卷質量評估等。如試題、試卷質量評估，由教材科抽查一定量的試卷，分送校內外專家進行評審，評審結果作為教學質量評估和改進工作的依據。

文件控制 (4.5) 和質量記錄 (4.16)

ISO9001 的要素 4.5 "文件和資料控制"為我們提出了嚴格的要求，其中包括文件和資料在發佈前由授權人員審批其適用。

要素 4.5 還規定了文件和資料的更改以及外來文件的控制以及電子數據的備份控制措施。

質量記錄(要素 4.16)的控制也是 ISO9001 的核心要素之一。質量記錄是產品質量水平和質量體系中各項質量活動結果的客觀反映，應當如實予以記錄，用以證明達到了合同所要求的產品質量，並証膽對合同中提出的質量保證要求予以滿足的程度。一旦發生質量問題，應能通過記錄查明情況，找出原因和責任者，有針對性地採取防止重複發生的有效措施。"無記錄，無行動，"半年來的試運行，我們已逐漸體會到 ISO9000 系列這一"格言"的精神實質。

內部質量審核 (4.7)

內部質量審核是組織內部的質量保證活動，其目的是為了查明質量體系各要素的實施效果，是否達到了規定的質量目標，以便及時發現存在的問題，採取糾正措施，使質量體系有效運行。質量審核是促使各職能部門能更有效地開展工作的重要手段。因此我院亦制訂了內部質量審核制度和程序文件。

學校質量主管部門制訂年度內審計劃，聘請有審核員資格的人員為內審員。審核通過會議，交談、查閱文件、現場檢查及收集証據等形式進行。

四. 認識與思考

教學質量的提高應當以學生為中心

學生是學校質量管理活動的目標主體，學校所有的質量活動均圍繞其展開。但學生在 ISO9000 體系中具有雙重地位：既是顧客又是特殊產品。將其定為顧客的好處是體系能夠比較容易地滿足 ISO9001 條款，而將其定為特殊產品，則可使體系含蓋的內容更廣。

根據我國高等院校的現狀，我們認為將學生看作特殊產品更有利於學生各方面的發展及學校教育質量的提高。因為這樣做，可以使體系不僅含蓋學校所提供的各種課程及各種專業，而且含蓋諸如團隊及忍耐等航海專業所必須的個人品德的培養。為此我院質量體系中將"產品"定義為"學生在經過教育後所獲得的知識、技能、道德、情感的進步"。教學質量體現在學生身上。即要求學生德智體各方面得到全面發展。要求注意學生的綜合素質培養(對待科學實事求是的素養，克服困難，主動認真研究的素養，相互合作共同探索的素養，自學、研究、思維表達、組織管理和動手能力等)。

學校自身的努力

(1) 實施 ISO9000 標準是高等學校自己的需要
對學校生存和發展的百年大計的考慮；對提高質量和拓展市場的緊迫需要的認識，及學校的最高管理會同全體師生員工的領悟和決心是實施 ISO9000 標準的直接動力。而實施 ISO9000 標準的直接受益者是學校自身。

(2) 保持和提高質量體系是學校持久的工作

- 諮詢僅起到引路作用，實際操作仍靠學校自身；
- 審核和評審只解決階段性評價，保持和提高仍靠學校自身；
- 有組織、有計劃的質量體系審核和評審可促使體系有效果的發揮和提高持久運行的質量體系才能顯示其持久性效果。

(3) 獲得證書只是手段

- 獲得證書只說明過去，不說明今後；
- 認證機構將進行不定期檢查監督；
- 組織質量體系的實際運行水平是獲取證書或得到顧客認可的前提；
- 獲取證書後仍需按質量管理標準的指導原則完善內部質量體系。

(4) 不斷改進，適應需要

- 根據顧客要求的模式提供質量保證；
- 按照質量管理標準的要求完善內部質量體系；
- 在體系運行過程中不斷完善，不斷改進。

(5) 實施 ISO9001 標準不應以取証為目的，建立一個能持久運行的內部質量體系從而持續提高人才培養質量才是學校追求的目標。質量體系的有效性取決於學校自身的認識，努力和不斷改進。

ACADEMIC PROGRAMMES GUIDE

The Council is planning for the second edition of the *Academic Programmes Guide* which is a guidebook on study programmes offered in Hong Kong by non-local institutions which are registered or exempted from registration under the Non-local Higher and Professional Education (Regulation) Ordinance (NIHPE).

The *Guide* was last published in August 1994. Since then, the number of non-local courses has increased significantly and there is immense public interest in information on the full range of educational provisions offered by non-local institutions in Hong Kong. The enactment of the Non-local Higher and Professional Education (Regulation) Ordinance in June 1997 has also called for the need to publish an updated *Guide* for the reference of prospective students.

The publication will contain introductory sections on types of non-local programmes available in Hong Kong, a synopsis of the NIHPE Ordinance, a user guide (to help consumers evaluate the appropriateness of the programmes and courses for their own purposes). The main part of the *Guide* will include standardized entries on each participating institutions and list programmes of study according to discipline (with cross-referencing according to countries and institution).

Institutions are being invited to participate in this project on a voluntary basis. The project is subsidized by the Council. To enable the Council to offer the publication at a low cost to the general public, participating institutions will be requested to subscribe for course entries to meet the printing costs.

The *Guide* is expected to be published in early 1999.

GLOSSARY OF TERMS

The HKCAA has published the *Glossary of Terms Used in Higher Education and Quality Assurance in Mainland China and Hong Kong* which is the result of collaboration between the Shaanxi Commission of Education, the Xi'an Jiaotong University and the HKCAA. The purpose of this compendium is many folds. Firstly, it identifies, and explains, to Mainland China and Hong Kong colleagues those terms of the *other system* which may appear unfamiliar. Secondly, though without any attempt to corroborate and compare, the terms selected will enhance an understanding of each other's concept and practice in this area of quality assurance work. Thirdly, it is hoped that this project will encourage more comparative work in the same direction.

It is also hoped that this publication will enhance the awareness in quality assurance as both concept and a practice which are at the heart of all moves nowadays to achieve progress in higher education. Whilst quality is the common aim, the understanding of this aim and the adoption of assessment criteria and evaluation schemes differ amongst institutions and education systems. Indeed all these inter-related criteria, schemes, mechanisms, etc designed to attain the aim of quality are known by different means and may have different connotations. Hence this publication seeks to achieve

better mutual understanding, comparison and exchange, and enhancement of the awareness of the importance of quality assurance.

Well before the historical event of the return of Hong Kong to China, the HKCAA had been initiating academic and professional exchanges with institutions and organisations in Mainland China for better understanding of each other's practices, and for sharing of useful experience in the areas of higher education development and quality assurance.

The *Glossary* was published in Hong Kong in April 1998. The same will be published and distributed in Mainland China through our Mainland parties.

Requests for copies of the *Glossary* (at HK\$40 each) can be directed to the Council.

INSTITUTIONAL NEWS

In January 1998, Lingnan College underwent a final institutional review which would determine whether the institution be granted self-accrediting status. Two members of our Council, Professor David Dunkerley and Dr John Petersen, were invited by the University Grants Committee to serve on the institutional review panel. Both members had been on an earlier institutional review panel. Professor Dunkerley had been on some validation panels for academic programmes of Lingnan College.

The outcome of the review was a success for the College. In June 1998, the College was affirmed to have attained self-accreditation status.

Contribution of Article

Any article (or information) relating to accreditation or quality assurance issues in higher education is welcomed. Please send your contribution to Editor, *Accredit Note*, c/o HKCAA, 14/F., Ruttonjee House, 11 Duddell Street, Central, Hong Kong **by October 1998 for the next issue.**

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