



Quality Assurance in VET systems in the financial services sector



Plan Standards EQAVET VET Do EFQM Quality Assessment Guidelines Innovation Act QUALES
Learning ISO Transfer Check

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1. Introduction

1.1. The Project

The QUALES project is building on several previous European projects in the field of Quality Assurance in which several qualess partners were involved: QUALOBSTER¹ (Quality Assurance in Learning Organization in the Banking & Financial Sector in Europe), EUROBANQUA² (European Banking Network for Quality Assurance), QUADRO³ (Quality Development Roadmap for Training in the Financial Services Sector).

The specific research conducted in these projects showed the need for systemic and user-oriented guidelines and tools for the implementation of QA in line with the European Reference Framework for VET providers in the Financial Services Sector (FSS).

For addressing these specific needs, the project aimed at raising awareness and promoting the implementation of the European Quality Assurance Reference Framework⁴ (EQARF) within the Financial Services Sector (FSS), mainly in the Partner countries.

¹ www.qualobster.eu

² www.eurobanqua.eu

³ www.quadroproject.eu

⁴ Recommendation of the European Parliament and of the Council of 18 June 2009, on the establishment of a European Quality Assurance Reference Framework for Vocational Education and Training (VET)





The different methods, tools and guidelines developed in those previous projects, in particular the 10 EUROBANQUA Guidelines have been further updated, disseminated and transferred from one Dutch organization to 6 'receiving' organizations from the following European countries: Italy, Portugal, Slovakia and Spain.

Therefore, the QUALES project facilitated the concrete application of the 10 Guidelines and it created models of good practice for concretely demonstrating the benefits and the positive impact of the Guidelines's application and of the EQARF implementation in VET.

This represents mainly a bottom up approach that aims at facilitating the increase of awareness on EQAVET⁵ within banks, who are often both VET providers and VET 'consumers'. In addition, it can be considered as the starting point for motivating other FSS VET Providers (inside and external to the banks) to implement in their VET systems the EQARF provisions.

More specifically, the project promoted a "sectoral" approach for improving the quality of Vocational Education and Training (VET) systems and developed the use of the EQARF within the Financial Services Sector.

It is envisaged that this approach will create a competitive context and will set up quality standards for VET programmes, that will impact on the sectoral training offers and activities.

⁵ European Quality Assurance for Vocational Education and Training





Moreover, this project brings concrete contribution for the definition of the National Quality Assurance Framework in Italy and also in the other 'receiving' Partner countries.

1.2. Results

The project addresses a particular need of common QA approaches and instruments by providing specific Guidelines and practical tools for VET in the FSS.

Based on the project studies and findings, it became apparent that QA is an important topic in the VET organizations of the FSS. But the knowledge and application of QA tools and European requirements like EQAVET differs among the individual organizations/ VET providers.

The content of this publication is based on the following important results of the project, which are available on the project website (www.quales-project.eu):

- European Overview on the EQARF implementation state of art
- European consultation Seminars:
 - Bratislava, 29th of April 2014
 - Lisbon, 12th of September 2014
- The 10 updated EQAVET Guidelines
- Transfer of Innovation Methodology and Roadmap





- National Reports (IT, ES, PT, SK) on Transfer of Innovation (TOI) phase
- European Report on TOI
- Recommendations for further valorisation of the 10 EQAVET Guidelines

1.3. The Partnership

The project consortium is composed of 8 partners from 5 European countries, forming a transnational cooperation partnership with a balanced geographical representation of the LLP area.

The partnership includes complementary skills, expertise & competences that brought high added value to the project organisational and professional development.



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2. The 10 EQAVET Guidelines

GUIDELINE No. 1

Agreement with the Top level management on objectives, including establishment of processes for monitoring and auditing results of Quality Assurance.

Reference to different QA models:

CQAF: Planning (purpose & plan)

PDCA: Plan

ISO 9001:2008: Management Responsibility (5.1)

EFQM: Leadership

EQARF: Indicator no. 1 'Relevance of quality assurance systems for VET providers'

Motivation:

The more VET (vocational education and training) organizations that make use of a quality system the better for improving the quality of VET.

The share of providers applying (internal) QA systems and the share of accredited VET providers will increase.

The overall quality of vocational education & training will improve.





Relevance for Quality Assurance:

- The FSS-financial service sector is under structural changes, therefore systematic agreements on QA objectives and processes are mandatory in order to guarantee transparency and stability of the system.
- Agreements on objectives, monitoring and auditing are a common element to all QA systems.
- To head successfully by those agreements they should cover all levels of the organisation, from the Top management level to the single workplace.
- All employees have to be informed about the strategic and operational quality objectives of the organization.
- In addition, processes are essential to check the achievement of the mutually agreed objectives and to adjust processes if necessary.

Advantages of applying Guideline no. 1:

- ✓ A culture of QA within the organization is promoted
- ✓ A systematic approach in the field of QA is supported
- ✓ Quality Awareness will be raised
- ✓ Objectives are transparent
- ✓ Objectives are accepted to a high degree on all levels within the organization (after common discussion)
- ✓ Increased probability to achieve the agreed objectives
- ✓ Obstacles can be anticipated in advance





Example of good practice:

NIBE-SVV: Establishment of Processes

Within the framework of the implementation of a QA System all processes were defined.

It started by defining quality policy, organizational and responsibility structure following the TAR-session (Tasks-Authorities-Responsibilities):

- Define processes
- Define functions corresponding to processes
- Define process owner per process

The relation between processes and organization is described.

The objectives refer to the situation which can be achieved within three to six months.



Instruments and tools (NIBE-SVV experience)

Instruments and tools	Description
Policy Statement	Describes the Mission and Vision of the organization (Why do we exist?)
Organizational Chart	A diagram that shows the structure of the organization and the relationships and relative ranks of its parts and positions/jobs (often called organigram).
Strategic objectives	Represent intermediary and incremental advances within the overall strategic plan in reaching the strategic goal.
Financial objectives	Setting financial goals and objectives are central to your operational success as they mark critical milestones in each year for the business to achieve. They also help you to determine what actions you will need to take to make your business successful.
Quality objectives	The purpose of quality objectives is to determine conformity to (customer and regulatory) requirements, and facilitate the effective deployment and improvement of the quality management system (QMS).
Meeting structure	Overview of the types of meetings , the participants and the frequency of the meetings.



Planning & control cycle	Procedure applicable for the budgeting and reporting cycle of the entire organization. This procedure also describes the way in which the effectiveness of the QMS is judged by performing management reviews.
Responsibilities & Replacement scheme	Overview of who is responsible for which activity and who will be his/her replacement
Procuration rules	Overview of the authority or power delegated to (a) procurator(s), or agent(s), as well as to the exercise of such authority expressed frequently by procuration.
Process chart	The process chart is a graphical and symbolic representation of the processing activities performed on the work to be produced.
Description QMS	Description of the scope and the structure of the QMS, the reference to obligatory procedures and possible exclusionS of demands which are not applicable to the organization





GUIDELINE No. 2

Establish a responsible position for Quality Assurance management (appoint a person or set up a Committee) within the organization

Reference to different models:

CQAF: Planning (purpose & plan)

PDCA: Plan

ISO 9001:2008: Management Responsibility (5.1)

EFQM: Leadership

EQARF: Indicator no. 1 'Relevance of quality assurance systems for VET providers'

Motivation:

The more VET (vocational education and training) organizations that make use of a quality system the better for improving the quality of VET.

The share of providers applying (internal) QA systems and the share of accredited VET providers will increase.

The overall quality of vocational education & training will improve.





Relevance for Quality Assurance:

- Having a person/a Committee appointed to manage the internal QA processes, demonstrates the organizations' interest and engagement in this area.
- The responsibility for QA has to be structurally anchored in an organisation either as an individual position (QA representative) or as a Committee. Their task is to introduce the demands for quality and to supervise the implementation of Quality processes.
- Although it is recommended the QA to be supported by External Advisors, a responsible position within the Institution (on management level) is an absolute prerequisite to ensure effective internal coordination. The daily tasks can be delegated to a Quality Manager.

Advantages of applying Guideline no. 2:

- ✓ Improve mutual trust on training activities
- ✓ One point of contact for all relevant information for employees and external partners
- ✓ Coordination for the complex task of Quality Assurance
- ✓ Facilitating control and auditing of Quality Assurance measures

Example good practice:

Romanian Banking Institute (RBI): Establishment of a Committee for the Quality of Programs (CQP)

CQP is mainly to approve the drafting of a training program with a highly qualitative content, in accordance with the market expectations or requirements.



CQP carries on the following activities: Organizing regular debates, Issuing informative reports, Assessing the activities of the current designing of training program and of the scientific approval, Analyzing the proposals concerning the development and quality enhancement of the training programs, Supervising the establishment of "task-forces" aimed at designing training programs

Instruments and tools (NIBE-SVV experience)

Instruments and tools	Description
Quality manager	The person responsible for the QMS- quality management system used by a corporation. He/she commonly reports direct to the CEO and is usually a member of the Management team
Quality Assurance Handbook	Paper based or digital collection of the description of the QMS, the collected documents, standard formats and process charts used.
Process owners	The persons responsible for a (group of) process(es)
Organizational chart	A diagram that shows the structure of an organization and the relationships and relative ranks of its parts and positions/jobs (often called Organigram).
Process chart	The process chart is a graphical and symbolic representation of the processing activities performed on the work to be produced.
Description QMS	Description of the scope and the structure of the QMS, the reference to obligatory procedures and possible exclusion of demands which are not applicable to the organization



Internal Audit report	Quality audit looks to the system for achieving good quality and not at the quality itself. A quality audit can be performed only by persons (i.e. Quality auditors) who are not directly involved in the areas being audited. Quality audits are undertaken to meet internal goals (Internal audit) or external goals (External audit). The results of the audit must be documented (audit report).
Improvement measure form	Performance improvement is measuring the output of a particular business process or procedure, then modifying the process or procedure to increase the output, increase efficiency, or increase the effectiveness of the process or procedure. Registration of all improvements can be simplified by using standard forms/templates.
Register external documents	Register with all relevant documentation (legal, fiscal etc.) for the organisation and who is responsible for the distribution and organization of the documents based on the argument.
Quality records	All documents that are registered during the execution of the procedure. These records document the way in which activities are executed. On the basis of the recordings, it is possible to verify that in practice, the procedure is carried out as it is described. Examples of records include reports, records, files, quotes, completed forms, notes, e-mails.





GUIDELINE No. 3

Express defined and agreed objectives in terms of department units and individual positions/functions

Reference to different models:

CQAF: Planning (purpose & plan)

PDCA: Plan

ISO 9001:2008: Management Responsibility (5.3)

EFQM: Strategy

EQARF: Indicator no. 1 'Relevance of quality assurance systems for VET providers'

Motivation:

The more VET (vocational education and training) organizations that make use of a quality system the better for improving the quality of VET.

The share of providers applying (internal) QA systems and the share of accredited VET providers will increase.

The overall quality of vocational education & training will improve.

Relevance for Quality Assurance:

- Raising awareness throughout the organization is priority to implement quality assurance.
- The objectives of an organisation have to be defined at all organisational and departmental levels and for individual positions or functions, otherwise they won't be implemented successfully.





- This demands an appropriate communication and information policy on the one hand and motivation, commitment and compliance of the employees on the other hand.
- It is of vital importance that plans and objectives are translated into concrete plans, tasks and actions for departmental units and workplaces.

Advantages of applying Guideline no. 3:

- ✓ Involvement of employees, increased consciousness for organisational objectives.
- ✓ Increased probability to achieve objectives due to motivated employees.
- ✓ More clarity about requirements.

Example of good practice:

NIBE-SVV: Description of Processes within Working-Groups

Within their framework for the implementation of a Quality Assurance System NIBE-SVV formed Working-Groups consisting of Processes owner, primary responsible functions, quality manager and external consultant.

During the Description of Processes in the respective work-group bottlenecks are identified for each process. Procedures, templates and documents are documented and reviewed by members of the work-group. Thus not only the objectives, but also the processes, the tasks and the responsibilities are transparent for all the persons involved.



Instruments and tools (NIBE-SVV experience)

Instruments and tools	Description
Organizational chart	A diagram that shows the structure of an organization and the relationships and relative ranks of its parts and positions/jobs (often called rganigram).
Process chart	The process chart is a graphical and symbolic representation of the processing activities performed on the work to be produced.
Description QMS	Description of the scope and the structure of the QMS, the reference to obligatory procedures and possible exclusions of demands which are not applicable to the organization
Internal Audit report	Quality audit looks to the system for achieving good quality and not at the quality itself. A quality audit can be performed only by persons (i.e. quality auditors) who are not directly involved in the areas being audited. Quality audits are undertaken to meet internal goals (internal audit) or external goals (external audit). The results of the audit must be documented (audit report).
Planning & control cycle	Procedure applicable for the budgeting and reporting cycle of the entire organization. This procedure also describes the way in which the effectiveness of the QMS is judged by performing management reviews.



Performance indicators

A performance indicator or key performance indicator (KPI) is a type of performance measurement. An organization may use KPIs to evaluate its success, or to evaluate the success of a particular activity in which it is engaged. Sometimes success is defined in terms of making progress toward strategic goals, but often success is simply the repeated, periodic achievement of some level of operational goal (e.g. zero defects, 10/10 customer satisfaction, etc.).





GUIDELINE No. 4

Set criteria for the selection of teachers and trainers and match with the need of the trainees

Reference to different models:

CQAF: Implementation

PDCA: Do

ISO 9001:2008: Management of resources (6.2)

EFQM: Partnership & resources

EQARF: Indicator no. 2 'Investment in training of teachers & trainers'

Motivation:

It is important that the quality of trainers and teachers is in line with the demands and the level of students-participants and will be improved permanently.

Therefore investment in continuing education is necessary.

Relevance for Quality Assurance:

- Quality of training depends on highly qualified trainers. Therefore highest possible care should be applied on the selection of teachers, trainers and pedagogic advisers.
- Quality standards can refer to their qualification and/or to their professional experience.





- The level of training courses and the teaching methods must fit the needs of the trainees, too.
- They depend on the knowledge and abilities of the participants.
- The Selection of participants according to specific criteria will help to successfully complete the training programme.
- Enhanced ownership of trainers and teachers facilitate a better control of the quality of VET.

Advantages of applying Guideline no. 4:

- ✓ Improvement of teaching
- ✓ Increased probability for successful training courses
- ✓ Positive for the reputation of the training institute and therefore for attracting demand for training services
- ✓ Improved results on learning outcomes/improve learners' achievements
- ✓ Easier access to the labour market for participants





Example of good practice:

Hellenic Bank Association (HBA): Set Criteria for the Selection (language training)

The first step is the adoption and full implementation of a detailed set of principles for the sound cooperation between the Training Institute and the trainers.

A second step requires a detailed curriculum vitae focusing especially on their academic, pedagogical and professional qualifications, their training experience and their field of specialty.

A personal interview conducted by the Head of Training Program Development is the third step, which aims at exploring Trainers' communication skills, knowledge/use of adult's training techniques and their ability to adjust the content of training to the needs of participants.

In case of positive results the fourth step foresees the organization of a pilot seminar conducted by the trainer. The pilot seminar is assessed by an experienced trainer using an evaluation sheet.





Instruments and tools (NIBE-SVV experience)

Instruments and tools	Description
Quadultrainers certification	After successfully completing the training programme of Quadultrainers a certificate will be issued stating that you are a qualified trainers according to the quadultrainers standards.
Confidentiality agreement	<p>A non-disclosure agreement (NDA), also known as a confidentiality agreement (CA), or secrecy agreement (SA), is a legal contract between at least two parties that outlines confidential material, knowledge, or information that the parties wish to share with one another for certain purposes, but wish to restrict access to or by third parties.</p> <p>It is a contract through which the parties agree not to disclose information covered by the agreement. An NDA creates a confidential relationship between the parties to protect any type of confidential and proprietary information or trade secrets.</p>
Cooperation agreement	<p>A formal business document outlining the basic terms of the agreement between the trainer/teacher and another individual, group or entity. Also called a Memorandum of Understanding, it's one of the first steps toward a more detailed contract.</p> <p>It shows that there's an understanding between the trainer/teacher and the other party, a mutual desire to work together on an agreed-upon goal.</p>





Job profiles trainers & teachers	Also: job description is a list that a person might use for general tasks, or functions, and responsibilities of a position. It may often include to whom the position reports, specifications such as the qualifications or skills needed by the person in the job, or a salary range.
Instructions	Guidelines for trainers & teachers





GUIDELINE No. 5

Implement an overall training plan for further education of staff and training providers

Reference to different models:

CQAF: Implementation

PDCA: Do

ISO 9001:2008: Management of resources (6.2)

EFQM: People

EQARF: Indicator no. 2 'Investment in training of teachers & trainers'

Motivation:

It is important that the quality of trainers and teachers is in line with the demands and the level of students-participants and will be improved permanently. Therefore investment in continuing education for trainers and teachers is necessary.

Relevance for Quality Assurance:

- The need to participate in training programmes should be identified from an individual point of view, i.e. the employees, but also from an organisational perspective.
- These two perspectives converge in the individual career paths within the organisation and the organisational development goals.
- The analysis of needs for further training should induce a concept (overall plan) for human resources development and for individual career planning.



In terms of using professional development as a management tool, an overall plan for the whole organisation is appropriate.

- From the individual point of view it is important to take into account the fact that people have to work longer and in the future may wish or are forced to switch a career. (Apply the concept of Life Long Learning).

Advantages of applying Guideline no. 5:

- ✓ Career development in accordance with organisational goals
- ✓ Support of organisational development through human resources development
- ✓ Purpose full investment in further education & training

Example of good practice example:

RBI: Development of Training Plan

The RBI in Romania established the following process for the Development of a Training Plan:

Step 1: Define the purpose of the general and specific objectives of the training programme

Step 2: Define the target audience

Step 3: Determine participants' training needs

Step 4: Analysis and selection of the training offer options

Step 5: Implementation of training addressed to trainers

Step 6: Training outputs

Step 7: Determine follow-up activities for the event

Instruments and tools (NIBE-SVV experience)

Instruments and tools	Description
Job profiles trainers & teachers	<p>Also: job description is a list that a person might use for general tasks, or functions, and responsibilities of a position.</p> <p>It may often include to whom the person in a specific position reports, specifications such as the qualifications or skills needed by the person in the job, or a salary range.</p>
Train the trainer program	Training program for (potential) trainers & teachers to learn how to perform an affective training. (Example: Quadultrainers)
Customer Satisfaction survey	<p>Process of discovering whether or not a company's customers are happy or satisfied with the products or services received from the company.</p> <p>May be conducted face to face, over the phone, via email or internet, or on handwritten forms.</p> <p>Customer answers to questions are then used to analyze whether or not changes need to be made in business operations to increase overall satisfaction of customers.</p>



Teacher satisfaction survey	<p>Process of discovering whether or not a company's teachers & trainers are happy or satisfied with the products or services received from the company.</p> <p>May be conducted face to face, over the phone, via email or internet, or on handwritten forms.</p> <p>Answers to questions are then used to analyze whether or not changes need to be made in business operations to increase overall satisfaction of teachers & trainers.</p>
Course evaluation	<p>A paper or electronic questionnaire, which requires a written or selected response answer to a series of questions in order to evaluate the instruction of a given course.</p> <p>They are a means to produce useful feedback which the ttrainer/teacher and organization can use to improve their quality of instruction. The process of:</p> <ul style="list-style-type: none">(a) gathering information about the impact of learning and of teaching practice on student learning,(b) analyzing and interpreting this information,(c) responding to and acting on the results, is valuable for several reasons. <p>They are beneficial because instructors can review how others interpret their teaching methods, thereby improving their instruction.</p>





The information can be also used by administrators, along with other input, to make summative decisions (e.g., decisions about promotion, tenure, salary increases, etc.) and make formative recommendations (e.g., identify areas where a faculty member needs to improve).

Typically, these evaluations are combined with peer evaluations, supervisor evaluations, and results of student's test scores to create an overall picture of teaching performance.





GUIDELINE No. 6

Assessing training effectiveness

Reference to different models:

CQAF: Evaluation & Assessment

PDCA: Check

ISO 9001:2008: Measurement, Analysis & Improvement (8.4)

EFQM: Society results

EQARF: The following indicators:

- No.4 'Completion rate in VET programmes'

Motivation:

If participants do not finish a VET program it may indicate that the VET program is not effective

- No.5 'Placement rate in VET programmes'

Motivation:

If participant are not placed in the labour market or further education it may indicate that the VET program was not effective enough.





- No.6 'Utilisation of acquired skills at the workplace'

Motivation:

If, after finishing a VET program, the employee (or the employees) is not satisfied with the acquired competences and qualifications (because they do not fit the job requirements) indicates that the effectiveness of the program was not sufficient and can be improved.

- Indicator no.10 'Schemes used to promote better access to VET'

Motivation:

It is important to provide the correct information on the outcomes of the VET program before participants enlists. This in order to prevent premature failure (indicator 4), non placement (indicator 5) or dissatisfaction (indicator 6)

Relevance for Quality Assurance:

- In order to get information about the outcomes it is necessary to analyse the medium and long-term effects of training courses.
- For that purpose Inquiries of graduates/follow-up studies are appropriate to get information about the career development of graduates and their retrospective assessment of the training course.
- As important as the opinion of students is the opinion of customers (e.g. banking or financial institutions).





- This request for their opinion will provide information on the quality of the training courses and even more important their outcomes for the organizational workflow/ increased efficiency and better performance of employees.

Assessing training effectiveness is critical.

Donald Kirkpatrick developed a four-level model of evaluation:

1. Reactions: Measures how participants have reacted to the training.
2. Learning: Measures what participants have learned from the training.
3. Behaviour: Measures whether what was learned is being applied on the job.
4. Results: Measures whether the application of training is achieving results.

Each successive level of evaluation builds upon the evaluations of the previous level. Each successive level of evaluation adds precision to the measure of effectiveness but requires more time consuming analysis and increased costs.

Advantages of applying Guideline no. 6:

- ✓ Proving of learning outcomes
- ✓ Information about the applicability of learning contents
- ✓ Information about long-term effects
- ✓ Information about effects on career pathways
- ✓ Increased customer loyalty
- ✓ Measurement of return on investment





Example of good practice:

IFB: Evaluation of Training Outcomes

As far as training of candidates is concerned, follow-up inquiries take place once every three years, involving former students that in the meanwhile finished their courses.

The questionnaire contains questions about former students' current professional situation, further training courses attended, opinion about the IFB course attended and its utility in their job.

In some cases, IFB also conducts group interviews to ensure an in-depth look on the information.

On the job training has tutors, entrusted by the banks.

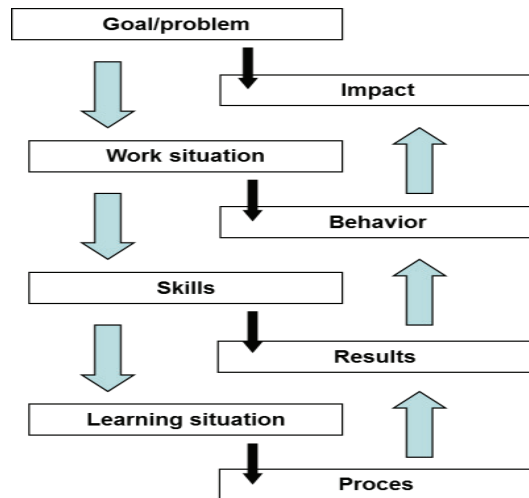
The tutors and Human Resources Departments are also inquired about students' performance.





Instruments and tools (NIBE-SVV experience)

NIBE-SVV applies the 4 levels of evaluation as follows:



Evaluation tool for each level:

Process: Course evaluations

Results: Passing rates Tests/Exams/Assessments

Behaviour: Customer Satisfaction Survey

Impact: Retention rates/Preferred supplier contracts/number of complaints

All tools are part of the planning & control cycle.





Instruments and tools	Description
Course evaluation	<p>A paper or electronic questionnaire, which requires a written or selected response answer to a series of questions in order to evaluate the instruction of a given course.</p> <p>They are a means to produce useful feedback which the ttainer/teacher and organization can use to improve their quality of instruction. The process of:</p> <ul style="list-style-type: none">(a) gathering information about the impact of learning and of teaching practice on student learning(b) analyzing and interpreting this information(c) responding to and acting on the results, is valuable for several reasons. They are beneficial because instructors can review how others interpret their teaching methods, thereby improving their instruction. <p>The information can be also used by administrators, along with other input, to make summative decisions (e.g., decisions about promotion, tenure, salary increases, etc.) and make formative recommendations (e.g., identify areas where a faculty member needs to improve).</p> <p>Typically, these evaluations are combined with peer evaluations, supervisor evaluations, and results of student's test scores to create an overall picture of teaching performance.</p>
Passing rates	Percentage of students that pass the exams.





Customer Satisfaction Survey	Process of discovering whether or not a company's customers are happy or satisfied with the products or services received from the company. May be conducted face to face, over the phone, via email or internet, or on handwritten forms. Customer answers to questions are then used to analyze whether or not changes need to be made in business operations to increase overall satisfaction of customers.
Retention rates	Number of students/participant that subscribe for a follow up course
Preferred supplier contracts	A contract with a supplier whose performance and business value is based on an objective scorecard that rates supplier cost, delivery, responsiveness, technology, and quality resulting in greater visibility and access. Preferred suppliers are long-term, cooperative business partners that are committed to leveraging the strategic and operational capabilities of both organizations to achieve significant ongoing benefits for each party.
Number of complaints	The number of complaints is an indicator of the quality delivered by the organization. Complaints can be used to improve the performance.





GUIDELINE No. 7

Certification, Third party assessments, Awards & Rankings

Reference to different models:

CQAF: Evaluation & Assessment

PDCA: Check

ISO 9001:2008: Measurement, Analysis & Improvement (8.2)

EFQM: Business Results

EQARF: Indicator no. 1 'Relevance of quality assurance systems for VET providers'

Motivation:

The more VET (vocational education and training) organizations that make use of a quality system the better for improving the quality of VET. The share of providers applying (internal) QA systems and the share of accredited VET providers will increase. The overall quality of vocational education & training will improve.

Relevance for Quality Assurance:

- Assessment made by students can cover their satisfaction, self-assessment of learning outcomes, teaching quality and learning atmosphere.
- Beyond these, other criteria also exist for the quality of training e.g. technical correctness, up-to-datedness ("state of the art"), quality of teaching material and others.





- These criteria have to be assessed by an external evaluator (External Audit) and/or through Peer Reviews undertaken by experts from similar contexts.
- Many organisations already make use of such a certifying system (ISO, EFQM, etc.).
- Awards & Rankings also contribute to the quality of VET providers

Advantages of applying Guideline no. 7:

- ✓ Getting feedbacks from outside the organisation / objective comparison
- ✓ Finding appropriate standards for the own performance
- ✓ Counselling of specialists in the field (Peer Review/Ranking)

Example of good practice:

NIBE-SVV: External Audit Procedure

Within their framework for Quality Assurance NIBE-SVV established a procedure (ISO 9001:2008) for an External Audit to be carried out by a certification institute (Lloyds Register Quality Assurance) including the following aspects: Objectively check documentation, Objectively check implementation, Report external audit finding, Report to Management Team-members (Board), Decision on certification.

Further periodical external audits are supposed to take place every 12 months. Based on the finding the quality of processes, products and services continuously improves.





Instruments and tools (NIBE-SVV experience)

Instruments and tools	Description
NEN-EN-ISO 9001:2008 certificate	ISO International Standards ensure that products and services are safe, reliable and of good quality. For business, they are strategic tools that reduce costs by minimizing waste and errors and increasing productivity. They help companies to access new markets, level the playing field for developing countries and facilitate free and fair global trade.
CEDEO certificate	<p>Cedeo is a Dutch independent certifying body for the providers of training courses and other HR services.</p> <p>The Cedeo-certificate is awarded on the basis of a regular customer satisfaction survey with a positive outcome. Once you have received the Cedeo-certificate, you are allowed to present the certificate in all of your communications. As a Cedeo-certified provider, you will be included in the Cedeo-certified Register, which is maintained and controlled by the Cedeo Foundation.</p> <p>Each new or renewed Cedeo-certificate will be published in trade magazines and/or other relevant publications. Cedeo creates awareness about the Cedeo-certificate and improves the status of the Cedeo-certificate as a quality mark for certified organisations.</p>





<p>QANU certificate</p>	<p>QANU is a quality assurance agency which primarily aims at assessing degree and research programmes offered by Universities in the Netherlands.</p> <p>QANU contributes to the national system of external quality assurance in higher education by providing insight in the quality of education and research, thus enabling universities to account for their activities in these areas and to further improve the quality of their education and research.</p> <p>QANU's assessment Committees consist of independent experts who are authoritative in their discipline or specialization. QANU intends to apply its expertise and working methods not just in higher education, but also in other sectors which have developed similar quality standards or procedures or which are interested in introducing a similar system of external quality assurance.</p>
<p>FIRA certificate</p>	<p>FIRA verifies CSR (Corporate Social Responsibility) information of companies and institutions and enables CSR dialogue based on reliable information. This way you convince your customers that your CSR strategy and performance are credible.</p> <p>The FIRA Platform is a digital register in which companies (suppliers) can show their CSR practices to clients (buyers).</p>





	<p>FIRA verifies the information to assure reliability. The platform will enhance transparency enabling CSR dialogue.</p>
<p>Advisory Boards</p>	<p>Bodies that advise the management of an organization. Unlike the Board of Directors, the Advisory Board does not have authority to vote on corporate matters, nor a legal fiduciary responsibility.</p> <p>Many service organizations (e.g. training institutes) choose to have Advisory Boards in order to benefit from the knowledge of others, without the expenses or formality of the Board of Directors.</p>





GUIDELINE No. 8

Analysis of internal and external data to identify changing demands and effectiveness

Reference to different models:

CQAF: Evaluation & Assessment

PDCA: Check

ISO 9001:2008: Measurement, Analysis & Improvement (8.4)

EFQM: People & Customer results

EQARF: the following indicators:

- Indicator no.3 'Participation rate in VET programmes'

Motivation:

It is important to look at the demand for cVET (continuous VET) programs to make sure that they stay in line with the iVET (initial VET) programs. Additionally it is important for VET programs to keep up regular education programs.

- Indicator no.4 'Completion rate in VET programmes'

Motivation:

If participants do not finish a VET program it may indicate that the VET program is not effective.





- Indicator no.7 'Unemployment rate according to individual criteria'

Motivation:

Unemployment rate can indicate that there is a demand for additional or adjusted VET programs.

- Indicator no.9 'Mechanisms to identify training needs in the labour market'

Motivation:

Percentage of participants and of programs complete from disadvantaged groups can also indicate that there is a demand for additional or adjusted (specific) VET programs.

Relevance for Quality Assurance:

- Usually training institutions have a lot of data at their disposal, which can be used to assess certain quality aspects of training courses, e.g. attendance rate, drop-out rate, exam results, final grades.
- Data like these should be inter-related and related to inquiry results about customer satisfaction.
- The Data Analysis gives information about the acceptance of training courses as well as about their effectiveness.
- Changes in demands as result of economic changes can be anticipated





Advantages of applying Guideline no. 8:

- ✓ Legitimation for stakeholders
- ✓ Systematic account of performance and output
- ✓ Providing information for quality improvement
- ✓ Anticipation on future developments

Example of good practice:

IFB: Analysis of Exam Results

IFB has a complete system of analysis of exam results data. All the questions that are stored in the questions' database can be continually improved. The exams' specification is drawn up through an in depth examination of the subject domain and the items are chosen to comply with that specification.

The results of each exam are analysed in order to assess the quality of the items included. The item analysis output indicates the percentage of students in each group that selected each option.

It also includes a measure of item difficulty (the proportion of students who answered the item correctly) and a discrimination index. Whenever an item should be revised, the changes are made by the trainer (the expert on the subject) and a pedagogical consultant.





Instruments and tools (NIBE-SVV experience)

Instruments and tools	Description
Psychometric analysis	<p>Used by multiple choice tests</p> <p><i>Difficulty level (p-value)</i> The difficulty level provides insight into the number of candidates that chose the correct answer. The p-value is always between 0 and 1. At a p-value of 1, everyone answered the question correctly. Thus, the higher the p-value, the easier the question.</p> <p><i>Quality of the distractors (a value)</i> The a-value reflects the number of candidates that chooses a wrong answer (a distractor).</p> <p><i>Distinctiveness (Rit-value) (discriminatory power)</i> The extent to which the question separates the good and the poor candidates.</p> <p>A good question is correct answered by candidates with a high test score and wrong answered by candidates with a low test score.</p> <p>Rit-value is always between -1 and +1. A good discriminating question gives a high positive Rit-value. A negative Rit-value is counter discriminating, or the right candidate makes this question wrong.</p>





Benchmarking	A systematic and continuous process of comparing products, services and processes within an organization with those of similar organizations.
Position vis a vis competitors	Relative position in relation to competitors
Policy plan test & item analysis	<p>In order to measure the reliability of conducted tests/exams item analyses are performed.</p> <p>An item analysis is the measurement of the reliability of a test item. If the reliability of the items in a test/exam are sufficient, then also the reliability of the test as a whole will be sufficiently. Performing an item analysis, the results of a test are used to calculate certain values.</p> <p>The outcomes can be used to assess the psychometric quality and usefulness of the items The way this is done is defined in a policy plan.</p>
Manual determining exam results	A manual that describes the steps to determine the examination result in a correct and consistent manner.
Objections and appeal procedure	Procedure with the aim of structuring the objective assessment and handling of objections and appeals.
Complaints & improvements measure forms	Performance improvement is measuring the output of a particular business process or procedure, then modifying the process or procedure to increase the output, increase efficiency, or increase the effectiveness of the process or procedure.





	<p>Complaints are an indicator of possible improvements. Registration of complaints and improvements can be simplified by using standard forms/templates.</p>
Planning & control cycle	<p>Procedure applicable for the budgeting and reporting cycle of the entire organization. This procedure also describes the way in which the effectiveness of the QMS is judged by performing management reviews.</p>





GUIDELINE No. 9

Motivation, Commitment and Recognition of good performance: incentives and rewards

Reference to different models:

CQAF: Review (feedback & procedure for change)

PDCA: Act

ISO 9001:2008: Management Responsibility (8.2)

EFQM: Processes, Products & Services

EQARF: Indicator no. 1 'Relevance of quality assurance systems for VET providers'

Motivation:

The more VET (vocational education and training) organizations that make use of a quality system the better for improving the quality of VET. The share of providers applying (internal) QA systems and the share of accredited VET providers will increase. The overall quality of vocational education & training will improve.

Relevance for Quality Assurance:

- Building a consensus on the need for change is on the one hand a precondition for implementing change, on the other hand it is necessary to achieve the goals which were set in the quality assurance process.
- Internal and external recognition has several functions, acting as legitimation for stakeholders as well as strengthening the institution's reputation.

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- It is important to maintain the motivation and the commitment of the employees to keep up a level of high quality in the long term. Recognition of good performance (financially, personally, with respect to career options) plays a significant role in this context.

Advantages of applying Guideline no. 9:

- ✓ Strengthening motivation and commitment of employees
- ✓ Establishment of a quality culture
- ✓ Representation in public relations

Example of good practice:

NIBE-SVV: Internal and External Consensus

When implementing the Quality Assurance system in terms of quality cycle a consensus for the need of change is developed. Internal Recognition is given by the respective responsible functions. External Recognition is achieved by successful certification of the whole organisation (e.g. ISO 9001:2008).

Instruments and tools (NIBE SVV Experience)

Incentives are the main links between people and change. Successful initiatives are dependent on having the right incentives in place because positive change can only be sustained where improved performance is enabled and rewarded. Incentives are most usually considered at the individual level, but it is also relevant to consider the organizational level and informal incentives.





In general incentives of all types are most usually considered at the individual level, defined by two pairs of dimensions that are often linked together in a matrix:

	Financial	Non-financial
Internal	e.g. a fair salary	e.g. career progression opportunities
External	e.g. project based salary supplements	e.g. awards and public recognition

However, it is now recognized that in order to have a comprehensive understanding of how incentives work, it is necessary also to consider two further dimensions.

First, because while individual level incentives are important other, higher level, factors can also be very influential, so going beyond individuals to the **organizational level** can provide a very influential set of factors supporting capacity change.

Organizational level incentives are often integral to organizational culture and how performance is rewarded and punished. While they may appear to be indirect for individuals they will be central to the overall structure necessary for other incentives to be effective.

Second, in situations where there are few or no officially sanctioned and supported formal incentives, the power of **informal incentives** is significant: they are often illicit and an indication of poor governance.





An informal incentive might be something like wanting to gain and maintain the patronage of a powerful official, or peer pressure to be involved in corrupt practices.

Informal incentives are often a key indicator of what is in place at the institutional level. For more information on how to work with incentives to stimulate change:
<http://www.lencd.org/learning/howto-incentives>



Evaluation of processes, improvement plans and feedback to the system

Reference to different models:

CQAF: Review (feedback & procedure for change)

PDCA: Act

ISO 9001:2008: Management Responsibility (5.4, 8.2)

EFQM: Business results, Leadership

EQARF: Indicator no. 1 'Relevance of quality assurance systems for VET providers'

Motivation:

The more VET (vocational education and training) organizations that make use of a quality system the better for improving the quality of VET. The share of providers applying (internal) QA systems and the share of accredited VET providers will increase. The overall quality of vocational education & training will improve.

Relevance for Quality Assurance:

- Quality Assurance should be organised as a quality cycle, that means evaluation and adjustment/improvement of processes is a never-ending processes.
- There should be a continuous reflection and documentation of "lessons learned" and a respective feedback to the quality assurance system of the VET provider in order to improve its function.



Advantages of applying Guideline no. 10:

- ✓ Creation of a quality cycle allowing continuous adaptation to change
- ✓ Improvement of processes and results
- ✓ Stopping unfavourable developments

Example of good practice:

Banca CR Firenze: Evaluation of Processes

The Banca CR Firenze Italy, has its own Training Centre whose aim is to plan and provide training activities according to the ISO 9001:2008 system.

The mission of the Educational Area is described in the "Quality Issues Policy". Every year this system undergoes an "updating audit" by the Certification Body.

Objectives and indicators related to the nature of the provided services have been defined, with the aim to measure/assess the following parameters:

- The quality and the requirements of the services provided
- The satisfaction of internal customers
- The professionalism of the internal involved staff
- The productivity of the structure





The data related to the trend of those indicators, the description of the different performances, the extent to which the pre-defined goals, were achieved and the planning of the activities and projects carried out during the year, are illustrated to the Director of HR development and management department every six months through an ad-hoc report (review minutes).

Instruments and tools (NIBE-SVV experience)

Instruments and tools	Description
Management review	Yearly report on: Results of Internal & external audits Realization (quality) objectives and KPIs per department Evaluation external reports Need for adjustment QMS based on internal & external developments Realization training, evaluating effectiveness Supplier evaluation and assessment flextime Topicality Risk Assessment and Evaluation plan
Internal & external audits	Quality audit looks to the system for achieving good quality and not at the quality itself. A quality audit can be performed only by persons (i.e. quality auditors) who are not directly involved in the areas being audited.





	<p>Quality audits are undertaken to meet internal goals (internal audit) or external goals (external audit). The results of the audit must be documented (audit report).</p>
PDCA cycle	<p>An iterative four-step management method used in business for the control and continuous improvement of processes and products.</p>
Process oriented model	<p>The management review is based on the planning and control cycle.</p> <p>We not only take the internal process (quality of delivery) into consideration, but we also look at the input (the quality of the suppliers) and the output-outcomes (quality of results).</p> <div data-bbox="573 673 1450 982"><pre>graph LR; Input[Input] --> Process[Process]; Process --> Output[Output]; Output --> Outcome[Outcome];</pre><p>The diagram illustrates a four-stage process flow. The stages are represented by chevron-shaped boxes pointing right: 'Input', 'Process', 'Output', and 'Outcome'. Below the 'Input' box is a rectangular box labeled 'Quality of Supply'. Below the 'Process' box is a rectangular box labeled 'Quality of Delivery'. Below the 'Output' box is a rectangular box labeled 'Quality of Results'. The 'Outcome' box does not have a label below it.</p></div>





3. Transfer of Innovation

In the knowledge based society and for a learning economy environment, “knowledge” (meaning: ‘know-how’) and “innovation” are important drivers and in this sense, “knowledge transfer” processes are of huge importance.

The knowledge transfer processes comprises some main elements to be accomplished by the two types of institutions involved in it:

- The source – in the QUALES project, NIBE-SVV – with its relevant knowledge, practices and processes within the Quality Assurance field.
- The receivers – in this case, the 6 institutions from Italy, Portugal, Slovakia and Spain, which express their willingness to acquire NIBE-SVV’s expertise:

- ❖ Roma Tre University, Italy
- ❖ The Portuguese Bank Training Institute (IFB), Portugal
- ❖ IEF - Institut d’Estudis Financers, Spain
- ❖ Institute of Banking Education NBS (IBE NBS), Slovakia
- ❖ UBI Academy, Italy
- ❖ Banca Popolare di Vicenza, Italy





The 10 EQAVET Guidelines developed within EUROBANQUA Project have been considered as “reference point” of this TOI project. Duly updated and adapted to the EQAVET provisions, the selected Guidelines have been transferred from NIBE-SVV (The Netherlands) – already experienced in working with these Guidelines - to other Partners: Roma Tre University, IEF, IFB, UBI Academy, BPV, IBE NBS.

Partners implemented common methodology and tools for the transfer of innovation phase with the aim to:

- ✓ concretely transfer the Guidelines adapted to the Partners' needs and national contexts;
- ✓ assess the transfer of innovation benefits and impact on the Project partners' VET systems;
- ✓ provide practical recommendations for further valorisation of the Guidelines in other VET systems (e.g. other countries, sectors, etc.).



Between January and April 2015 Partners were involved in the implementation of TOI activities. Eight out of ten Guidelines were chosen to be transferred:

Guidelines	IEF	IBE NBS	UBI	BPV	IFB	Roma Tre	Total
1	V	V	V	V	V	V	6
2	V	V	V	V	V	V	6
3	—	V	—	—	—	—	1
4	V	V	V	V	V	—	5
5	—	—	—	—	—	V	1
6	V	—	V	V	V	—	4
7	—	—	—	—	—	—	0
8	V	V	V	V	V	—	5
9	—	—	—	—	—	—	0
10	—	V	—	—	V	—	2
Total	5	6	5	5	6	3	

Considering the Partners' internal context and concrete objectives in terms of Quality Assurance, several tools and instruments provided by NIBE SVV have been taken into account for the development of internal policies and procedures for setting the basis for a Quality Management System in their organizations.



The main results and benefits of the TOI activities indicated by the Consortium are the following:

Cultural level

The HR management and staff are more aware about EQAVET, its principles and instruments (also compared to ISO 9001), and the importance of setting up a QA management system for the training department.

In some cases - *Banca Popolare di Vicenza and UBI Academy* – the TOI experience represented the basis for involving other internal and external stakeholders in creating the QMS and identifying Institutions for the certification of trainers.

In other cases - *Roma Tre University* – it helped in the reflection on the efficacy of their QMS leading to the consideration that the improvement of the all staff's competences is one of the main needs of Academic Systems to guarantee the proper implementation of QA.





These outcomes were supported by the sharing of experiences concerning QA instruments and tools implemented in different European countries and the professional experience offered by NIBE SVV and Effebe Association in assisting organizations to improve the QA systems.

Strategic level

Institutions started to include the concept of QA according to EQAVET Recommendations in their internal documents, reviewing the strategic and organizational objectives of the training systems.

Partners could also become 'exporters' of innovation in the field of QA among their stakeholders, based on the QMS set up with the support of the QUALES project.

Operational level

Redefinition of the management training processes based on the tools and instruments included in the Guidelines.

Partners have the possibility to train QA experts internally or for other stakeholders.





4. Strategic recommendations for further valorization of the Guidelines

The first recommendation for VET providers and also for the training 'consumers' in the FSS (Banks, Financial institutions, etc.) is to start deepening the culture of quality assurance of VET, in particular the importance of feedback loops and the review phase of the quality cycle (this represents also a priority for EQAVET 2016-2017).

In addition, the Consortium recommends a sectoral approach that would facilitate a systematic, structured and permanent dialogue with the world of work and the social partners to support the EQAVET Network to meet the QA demands of cVET, work-place learning, the recognition of prior learning, the quality and availability of training placements in SMEs and the quality of teachers and trainers in VET (i.e. responding to market requirements and the role of mentors).

LEARN **Train** **SKILLS**
Improve **DEVELOP** **Experience**





Regarding the future valorization of the 10 EQAVET Guidelines developed in the QUALES project for supporting VET in setting-up/modernizing their own Quality Management System (QMS) Partners provide the following recommendations:

- 1) Engage since the beginning the management in order have a concrete support in designing and implementing the system;
- 2) Disseminate internally the 'culture of quality' in order to guarantee that the QMS is effective;
- 3) Share experiences and learn from others in order to choose the most appropriate approach for the organization (e.g. peer review activities);
- 4) Involve internal and external stakeholders (including policy makers) in designing and implementing the QMS for a stronger appreciation of the own VET activity as whole;
- 5) Promote the implementation and the benefits of the guidelines internally and externally in order to motivate and engage individuals and other organizations to invest for a better quality of VET.

