

**PROFESSIONAL, REGULATORY & STATUTORY BODIES
AND HIGHER EDUCATION INSTITUTIONS**

**Rosalind Churchman
and
David Woodhouse**

New Zealand Universities Academic Audit Unit

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About the authors:

Rosalind Churchman, Academic Manager, Whitireia Community Polytechnic,
Private Bag 50910, Porirua, New Zealand

tel: +64-4-237-3100

email: r.churchman@whitireia.ac.nz

David Woodhouse, Director, Academic Audit Unit,
Box 9747, Wellington, New Zealand

tel: +64-4-801-7024

email: director@aau.ac.nz

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Professional, Regulatory & Statutory Bodies and Higher Education Institutions

1 Introduction

Within most higher education institutions (HEIs), professional schools are located at the nexus of two entities, namely the professions for which they provide unique knowledge and technical skills and the HEIs to which they belong. In this paper, the authors address the contractual relationship or political accountability between government agencies, through the professional, regulatory and statutory bodies, and the professional schools in HEIs in New Zealand with comparisons to the situation elsewhere; and the impact of this relationship, in particular, on the curricula of professional programmes.

To determine the nature of the interactions between New Zealand HEIs and professional, regulatory and statutory bodies (as understood by such bodies), a survey of the type of involvement of such bodies with HEIs was undertaken. The results of this survey are compared with other surveys conducted in Australia, the UK and the USA. Further theoretical background and general discussion may be found in Churchman & Woodhouse (1999).

2 Stakeholders in professional education

2.1 Sponsors, providers and clients

Various stakeholders seek to influence professional education and the degree of influence of each group of stakeholders is different for different professions. The interest groups, according to Watson (1992) are sponsors (that is, professions, government, employers); providers (HEIs) and clients (students, consumers of professional services). However, there are sub-groups who do not necessarily share the same interests.

Different categories of sponsors have different roles in relation to professional education, which may lead to different, indeed even conflicting, views. Sponsors include the professions, represented by associations, which determine entry requirements and codes of practice and employers who wish to recruit graduates, and government in its financial support for HEIs and its role as policy maker and legislator.

2.2 Professional associations

Significant differences also occur within these sponsor categories. For example, differences exist between different professional bodies, as revealed in a comparative study of pharmacy, nursing and teacher education in the UK where the various professional bodies have quite different influences on the academic community (Barnett et al, 1987).

Pharmacy has a single professional and registration body (the Pharmaceutical Society), which exercises only moderate controls in the academic community.

The UK Central Council for Nursing, Midwifery and Health Visiting grants registration as a nurse. Degree programmes are subject to examination by the relevant National Board and lead to qualification as a registered general nurse. While the monitoring of academic standards is the responsibility of the relevant HEI, the National Boards' focus is on the relationship between theory and practice and on ensuring a satisfactory level of competence in practical skills.

However, for teaching, there is no professional body and consequently, its absence might allow teacher education programmes to be more susceptible to external influence. The main bodies, which have significant influence on teacher education, include the Department of Education and Science; Her Majesty's Inspectorate and the Council for the Accreditation of Teacher Education.

2.3 Relationships between government and HEIs

The accountability to government of HEIs in New Zealand generally is increasing in importance and significance (Boston, 1988, Butterworth & Tarling, 1994, Woodhouse, 1997).

The New Zealand government has a focus on education and training and on certification – the conditions under which specialised and marketable credentials are awarded (Fitzsimons & Peters, 1994, Fitzsimons, 1995). The professional statutory bodies have a role in safeguarding public health and safety. The bodies' monitoring of professional education programmes in HEIs is related closely to state examinations and licensing rules.

Despite increasing diversification of fund sources, most HEIs are still highly dependent on public funding. The many consequences of government reduction in funds per student therefore permits the government to exert a high level of control of HEIs (despite frequent government protestations to the contrary). Some of the government influence on HEIs is indirect, being mediated by the professions (see, for example, New Zealand Government, 1995). It is highly probable that, if professions are being opened up by deregulation to wider competition and to more intense official scrutiny, there will be consequences for the processes of initial professional education.

Since the clients of the professions do not find it easy to advocate their collective interests, it is reasonable that the government should act on their behalf by the government, through the professional statutory bodies or otherwise. Where this action relates to the education of professionals, the government action is transmitted through to affect HEIs. It therefore becomes a complex matter to decide how the government's scrutiny, through the professional statutory bodies in relation to HEIs, can be best undertaken. They should always reflect both the current social needs and the longer-term responsibilities of higher education. This suggests that the methods used should vary from time to time.

3 Relationships Between Professional Bodies and HEIs

3.1 Professional educators

Professional education is distinctive because the curriculum addresses knowledge for and about practice and is taught both in the context of the HEI and the field of professional practice. Professional educators work within a contractual relationship with their HEI as well as the professional regulatory body and are accountable to both: to the institution for the quality of education, and to the body for the curriculum and the competence (and sometimes the character: see, for example, Nursing Council of New Zealand, 1997) of graduates. This means that professional educators often experience conflict about the competing demands of research, teaching or practice (Harman, 1989).

3.2 Negotiating the relationship

Kerr (cited in Eraut, 1992) noted that there are many complex negotiations between professional bodies and HEIs. The professions attempt to exercise their control over the licence to practice while HEIs wish to develop within professional education courses breadth, intellectual challenge and the critical abilities of students. These negotiations have resulted in both parties reconstructing the professional knowledge base with the final compromises being described “in terms of power sharing between two different historical traditions” (Eraut, 1992, p99).

Since the professional bodies and HEIs continue to experience rather different pressures and have rather different objectives, such compromises need to be constantly re-negotiated. Thus, the potential for conflict between professional educators and professional regulatory bodies is constant.

The Higher Education Council in Australia undertook a study on the interactions between universities and professional organisations, the role of these professional bodies in curriculum design and content and the accreditation of graduates, and the relationship between higher education study and entry to the professions (HEC, 1996).

The Council concluded from its study that the relationships between the universities and professional bodies are very complex and vary greatly between professional disciplines. Industry requirements, student demands, government policy, the regulatory environment and international trends influence the relationships concerning accreditation and regulation of courses.

3.3 Professional accreditation

A survey by the Association of Independent Colleges and Universities of Massachusetts (AICUM) (Dill, 1998) revealed that, in the opinion of the institutions, professional accreditation:

- is a valuable, often necessary, incentive to institutional development, but that it is costly, cumbersome and often unfair. Accreditation demands can be duplicative and inconsistent, discourage innovation and ignore an institution's distinctive goals .
- offers a comparison of programmes with collectively devised standards, but that these standards are slow to change, relate more to past priorities than future ones, and focus too much on inputs and too little on outcomes.
- often provides ill-informed, biased, narrow, self-interested or unrealistic judgments and requests. Confusing their role in assurance of quality and provision of advice with the power to specify how a programme should develop, agencies may interfere with an institution's need to manage philosophy, curricula, people and funds coherently.
- offers little for institutions attempting to review their focus on what the public needs
- may have little practitioner or public input
- gives little public access to results beyond whether or not a programme is accredited.

The purpose of professional bodies' monitoring of professional education programmes is the protection of the public by assuring the quality of programmes and graduates. However, some of these bodies also act to define territory and to protect employment, status and incomes. Dill argues that this betokens a belief in gatekeeping rather than in markets and in guilds with established roles and privileges rather than in opportunities for multiple career change.

3.4 Diverging views

Watson (1992) identified five areas of diverging views: entry requirements; cohort progression/identity; inculcating the culture; exit standards and labour supply. Watson notes that HEIs have been more generous than professional bodies would wish in recognising non-standard qualifications for entry to programmes and the 'value added ' from the educational process. Professional bodies have been concerned about a possible negative impact on exit standards. Where these bodies make restrictive entry qualifications a condition of (re-) accreditation of a programme, the effect is likely to be greatest on institutions that emphasise access to programmes, and hence greatest on those potential students whose only option for higher study is such programmes. Whether intended or not, this can serve to maintain the current social or cultural nature of a particular profession.

Professional bodies have been concerned with the impact of any varied pace or method of study and the possibility of any deferred or late choice of paths of study and the impact of professional students and those students studying for more general education purposes working together.

In terms of inculcating the professional culture, professional bodies have expressed dissatisfaction if educators have not taken the time to explain aspects of professional practice in courses, or to be very critical of existing professional practices.

There is often a disparity of views between professional schools and professional bodies about what the newly graduated professional should know and be able to carry out.

Another reason for professional bodies to restrict the exit from HEIs of professional graduates is their motive in either increasing or limiting the supply of graduates. HEIs usually operate on the basis of open entry for students who can obtain the necessary financial support and who can benefit educationally and personally.

A sixth area of divergence is in the resources allocated by the institution to the professional school. Professional bodies may object to the amount of cross-subsidy within the institution from, for example, law or accountancy to other disciplines. They may even withhold accreditation unless this limited (Trachtenberg, 1996).

3.5 The structure of professional education

Writing in the UK context, Eraut (1992) noted that the most obvious area of compromise between HEIs and professional bodies is in the structure of professional education. As he observes, professional education programmes seem to be structured in one of three ways. There is the dual qualification system, such as law, in which a degree, approved by the professional body, is followed by a period of apprenticeship in professional practice and separate assessment for licensing purposes. This education structure tends to be desired by the more powerful professions which can justify a long education period and maintain that their professional knowledge base requires a minimum of three years of full time study. The major disadvantage of this education structure is the distinct separation of theory from practice.

Another professional education structure that Eraut identifies (in the UK) is the concurrent system, in which periods of professional practice are incorporated into the overall degree programme, possibly within the degree itself, such as accountancy and nursing. In this type of structure the power of the profession is much less but may be emphasised in two ways: through the assessment of the professional practice component or through the course approval process. Concurrent systems provide enhanced opportunities for incorporating theory with practice.

The other education structure is an increasing range of patterns associated with part time study, some of which integrate links with the students' usual employment, such as business administration.

Whichever structure is in place, the institution may negotiate a programme that includes a larger number of components from established disciplines than the body finds necessary. In relation to research, the influence on the professional departments from the research ethos in the institution may result in research gaining a higher priority than professional practice.

4 Influence of professional and statutory bodies

4.1 Controls

Harrison (1984, p153) noted that a professional statutory body may seek to ensure the competence of entrants to the institution by controlling: admission standards of those accepted for training; content of the accredited courses; amount and type of practical experience needed for a licence to practise; methods and standards of teaching; and standards of student assessment.

Harrison observed that these controls may be administered by a combination of several distinct methods:

- a decision to accept a particular class of qualification;
- a set of rules for courses which can be applied by lay administrators;
- a core syllabus which must be followed by any course which is accredited;
- negotiation of the syllabus between the validating body and the teaching institution;
- periodic or continuous inspection of the teaching process and resources;
- control of the assessment of the students by setting and marking or moderating the examinations or by nominating examiners;
- supervision of new entrants to the profession during a probationary period.

Research conducted by Harvey, Mason and Ward (1995) in the UK indicated that regulatory bodies use various approaches to specifying syllabus content – in some instances professional regulatory bodies “own” the syllabus or provide a model syllabus. Other bodies, according to their research, do not specify a syllabus but indicate the type of content or outcome competencies. Some regulatory bodies are committed to curriculum development by either periodic review or through incremental change to local variations on a national curriculum. The involvement of professional regulatory bodies in establishing academic standards in initial education frequently takes the form of specifying elements in course content rather than outcome standards.

Harvey, Mason and Ward’s research showed that professional regulatory bodies adopt a variety of procedures for addressing and monitoring standards ranging from a centrally set and assessed professional examination to an integrated partnership approach which involves mutual development of curricula and work experience. The New Zealand survey enquired about methods used for influencing HEIs, including syllabus-setting, examination setting, evaluation visits etc., and respondents referred also to standing advisory groups and ad hoc informal interactions. Results are reported in Appendices 1 & 2.

4.2 Lightness of touch

A study undertaken in 1996 by Watkins, Drury and Bray in the UK, revealed that professional bodies have increasingly devolved provision for their initial professional qualifications to universities, restricting their own role to that of quality assurance. This is consistent with the Australian study (HEC, 1996) and the present New Zealand study. For example of the 53 respondents to the latter study, only three reported setting the syllabus,

and only two set examinations (or other assessments), in any higher education programmes.

The UK's Higher Education Quality Council's 1996 study on quality and standards within the accreditation and review of courses or programmes offered by HEIs (HEQC, 1996) revealed that professional regulatory bodies did not wish to be prescriptive. The bodies started from the premise that HEIs are competent in the "academic field". As was noted in the HEQC study, the problem is how to resolve the tension between the specific and legitimate requirements of the professional regulatory bodies and the autonomy of HEIs. Most of the professional regulatory bodies did not want "a discretionary response to standards" (p18) across HEIs and were concerned that an "undue emphasis on institutional autonomy might promote this possibility".

The Australian Higher Education Council's study found that professional regulatory bodies are substantially involved in university course approvals and review, teaching and assessment but the Council found little evidence of intrusiveness of professional bodies or of unreasonable demands which might impinge on university autonomy (HEC, 1996). In the three years 1993 to 1995, every Australian university was audited by the Committee on Quality Assurance in Higher Education (see, for example, CQAHE, 1995). The audits investigated academic processes and outcomes in relation to the institution's objectives and national priorities. In 1993 and 1994, teaching was a focus of the audits. This external investigation was a major contributor to the development of quality assurance processes that include attention to curriculum design, staff development and stakeholder input. The HEC (op cit) concluded that the 'lighter touch' now used by professional bodies might be related to the development of quality assurance processes in the higher education sector over the past few years, which has brought about a bigger involvement of all stakeholders in course design and review.

4.3 Communication

The effectiveness of communication between HEIs and professional bodies is also relevant, and was addressed in the New Zealand survey. In comparing the change in level of communication and consultation between professional or regulatory bodies and HEIs over the last decade, 25 respondents (47%) gave a positive response (the proportions being similar for the professional and regulatory/statutory groups). A positive response occurred more frequently in case of bodies where there are only one or two faculties in the field in New Zealand.

Although these studies suggest that, in some jurisdictions, there is a reduction in the specificity of the academic requirements imposed on educational institutions by professional bodies, the time and money expended by institutions in responding to professional bodies, through accreditations or otherwise, can still be very significant. As noted above, respondents to the AICUM survey (Dill, 1998) feel that accreditation is often costly and duplicative. The duplication is also noticeable in the UK, where there are funding council assessments as well as the professional body ones. Attempts are being made to establish co-operation between the external agencies (Milton, 1997).

5 General and professional education

It is fundamental to higher education that both students and academics should be given the opportunity to liberate themselves from the passive acceptance of received knowledge through developing the capacities for independent thought (Barnett, 1992). It is obvious from the research outlined (HEQC, 1996; HEC, 1996) that the HEIs' emphasis on academic freedom can be a source of friction between institutions and government, through professional statutory bodies (see, for example, Association of University Staff of New Zealand, 1998). However, the principle of academic freedom enshrined in New Zealand's Education Amendment Act (New Zealand Government, 1990, Section 161) can enable academic staff to develop innovative ideas, useful inventions and more considered practice.

The Higher Education Council's study noted that "Practitioners both within and outside the institutions see a watering down of professional training through the pressures to include generic subjects in awards. This may lead to the increased use of packaging of general material and specialist studies in two different awards, and to a proliferation of postgraduate end-on courses, or continuing professional programs, with resultant increased costs of professional education both to the consumer and to the provider" (HEC, 1996, p70).

Despite the frictions mentioned earlier, general and professional education are not mutually exclusive or incompatible. They are complementary aspects of the same process, and both are important in the development of students. Graduates of more general courses can extend their education with a professional qualification. The New Zealand Vice Chancellors' Committee 1997 survey of university graduate destinations shows that 5.5% of graduates had double degrees. The survey noted that the "high proportion of respondents with double degrees in full-time employment (64.8%) possibly reflects the premium employers place on multiple qualifications" (NZVCC, 1997, p13).

As part of higher education, professional degrees should provide intellectual challenge and educational benefit. The dual purpose can be achieved by concentrating on the subject's fundamental intellectual theories and problems rather than on detailed information. Mere competence in the current techniques and details will be only a short-term investment. Emphasis on fundamentals will ensure that the degrees are of value to graduates, even if they never practise in the profession concerned. Conversely, this emphasis is equally vital for practitioners, as the essential theories and methods of the discipline are much less likely to alter than the specific details which are in current use. Also, practitioners must be flexible, critical, able to cease using outdated practices and concepts and able to use knowledge and procedures appropriately. Graduates of the professional schools must be independent thinkers and have confidence in their own judgment. The importance of broad academic aspects is recognised by some professional bodies, such as the Institute of Chartered Accountants of New Zealand (New Zealand Society of Accountants, 1990, 1994).

HEIs are interested in rational critical thinking. The basis for this is an understanding of general theories, a knowledge of details, and an awareness of the links between them. Graduates of an appropriately broad course of professional education should recognise

- how the discipline relates to society;
- the open-endedness of academic theory;
- the dangers of uncritical attachment to theory
- how particular theories or concepts cannot explain all the evidence;
- how the fact or example which is not explained by one theory may be highly significant and the origin of another one; and
- the difficulties and dangers of applying abstract theories to the complex and contradictory world of human experience.

In practice, any conflict between the different emphases is not between practical concerns and academic values but between short term and long term practical interests.

6 Good practice in professional accreditation

6.1 Balancing responsibilities and requirements

The frictions can emerge most clearly at the point of professional accreditation, if the HEI feels it is required to provide courses, which are required for registration but have little academic value. Such a diminution of the intellectual and scholarly base of a profession's development is likely to have negative consequences, for both the HEI and the profession. For the HEI, it could be to devalue research and trivialise teaching. For the profession, it could deter very intellectually able students. There must be a clear specification of what is necessary for a degree and what is required for registration as a qualified member of a profession.

While there will be a large amount of common ground, it may be necessary for professional statutory bodies to have a longer time between graduation and registration in which to provide new graduates with the basic information of their profession. The professional statutory bodies could provide such courses themselves. As noted earlier, the Council of Legal Education in New Zealand established the Institute of Professional Legal Studies in 1987 to provide full-time pre-admission courses (Coote, 1996).

The research conducted by Harvey and Mason (1995) concluded that the responsibility for setting and monitoring standards should be a joint exercise between academics in professional schools in HEIs and professional regulatory bodies. The Higher Education Quality Council (1996) also recommended that collaborative developments should be negotiated with professional regulatory bodies and with HEIs, that is, a "bottom up" approach.

The Higher Education Council (HEC, 1996) in Australia studied the nature of accreditation processes used in various professions and concluded that the academic quality of professional education courses is mostly maintained by the internal quality assurance processes of the universities. However, the Council believes that the alignment of output

from the professional programmes with the requirements of professional practice both in Australia and overseas is of prime importance and is best achieved by external accreditation processes. Professional programme accreditors, the Council maintains, should wherever possible acknowledge internal quality assurance processes and should concentrate on necessary outputs rather than the detailed way in which outputs are achieved.

6.2 Principles for good practice

The Higher Education Council also identified a model for 'good practice' professional programme review and accreditation process (HEC, 1996, pp 68–69) that would reduce or avoid the frictions discussed above. "In the Council's view it is one which is:

- inclusive of all stakeholders;
- open, consultative and consensus building about future course developments;
- transparent to all parties;
- as far as possible meshes the external registration requirements with internal academic priorities;
- monitors implementation of recommended changes after the accreditation of the course is approved;
- involves an ongoing cycle of review and
- is focussed on the achievement of objectives, maintenance of academic standards, and good outputs and outcomes rather than on detailed specification of curriculum content".

Dill (1998) recommended a number of collaborative efforts towards reform of the professional accreditation process, including:

- increase communication and listen to constructive criticism. The staff of professional and statutory bodies should visit professional schools more frequently to seek feedback; and the staff of professional schools should act on the bodies' requests for input.
- intervals between comprehensive reviews should be longer and consistent with institutions' own internal review processes
- train visiting teams and review committees to ensure they are aware of the differences between measuring fulfilment of threshold standards and offering advice for higher level changes, and in the fundamentals of ethics and due process
- assure greater consistency and fairness, for example by more cross-linking of membership on site visit teams and review committees. If institutions were willing to share visit reports and details of final decisions, a neutral party could make useful audits of comparability in processes and outcomes
- ease the burdens of documentation for self-studies and reports, obtaining information from existing internal documents or other submissions. Circulation of good models of documentation could assist institutions to report in a focused, concise way and to put materials to maximum use
- emphasise outcome measures and respect for distinctive institutional goals

7 Conclusion

There is a tension for HEIs between accountability to government and academic freedom, and this can show up particularly sharply in the context of professional education.

HEIs must be committed to constant self-evaluation and improvement through internal quality assurance, based on broad educational processes and research. Professional statutory bodies must recognise that HEIs have this capacity for self-evaluation and achievement of quality. Their own accreditation processes should be able to accommodate the extent to which each HEI is actually achieving this capacity. Conversely, HEIs must respect the responsibilities of the professional statutory bodies to protect the interests of consumers of professional services.

There are potential negative consequences for HEIs if government demands for accountability (whether in professional education or otherwise) are excessive, and these consequences flow into the professions and society. Attention to self-critical quality assurance could diminish, the drive for reform and to change established routines could be weakened, and a 'compliance culture' could develop. In professional education, programmes could become too narrow and focussed to be considered higher education in the full sense of the term, with the consequent damage to the activities of the HEI, and a possible failure to interest high calibre students in the profession.

Nonetheless, as the surveys reported in this paper show, there is much cause for optimism that an appropriate balance is being struck (at least in the countries mentioned), and is being re-negotiated as necessary. The balance is likely to remain a fragile one, but the principles of good practice provide a firm basis on which to proceed.

Appendix 1: Administration of the New Zealand Survey

A1.1 Structure and definitions

To facilitate international comparison, the text of the survey was based on the form used by Harvey et al. (1995). The survey was sent to 68 bodies expected to have some professional and/or regulatory and/or statutory relation to a particular profession. The recipients were selected by the authors on the basis of their work and experience with polytechnics, universities, professional associations, industry organisations and employers. The coverage was intended to be comprehensive, but it is clear that some equivalent bodies were omitted. Bodies believed to be simply 'discussion fora' in the field were deliberately omitted.

53 surveys were returned, a response rate of 78%, and appreciation is expressed to those who responded. Follow-up contact by telephone for further discussion and clarification was carried out with about 20% of the respondents.

The authors would be pleased to hear from any of the bodies surveyed, or others not contacted, about matters covered in this paper. Both authors have regular contact with the professions and would be able to filter back further information and clarification, and may undertake further consequent investigations.

Most of the questions in the survey sought a yes/no response, but in many cases the answer would not have been clear cut, so the respondents had to exercise judgement. Nonetheless, on the basis of discussions, the authors believe that the overall shape of the picture presented here is correct (even if some bodies, on seeing the responses of others, might wish to adjust their own response somewhat).

Definitions

The following definitions provided a context for responding to the survey.

A **professional body** is one that:

- specifies the requirements for entry to the professional body, including initial educational or professional qualifications;
- identifies requirements for continued membership, including continuing professional education, work experience, and so on;
- has a set of regulations or code of professional ethics to which members must adhere or risk the sanction of expulsion from the professional body.

A **regulatory body** is created by statute by government to regulate qualifications and/or training for a particular occupation.

Accreditation refers to formal approval given to courses and programmes by professional or regulatory bodies.

Review is a process that ensures an institution's aims and objectives for a course or programme are reflected in its content, organisation, resourcing and standards.

A **professional qualification** means the qualification necessary for membership of a profession. It may be solely an academic qualification or require additional post-graduate training, experience, interview, etc.

The Instrument

The survey instrument was as follows. The number of responses to each question are indicated, where 'N/R' denotes 'no response'. Section A1.2 gives the responses from regulatory/statutory (RS) bodies; Section A1.3 the responses from non-regulatory/non-statutory (NRS) bodies; and Section A1.4 gives the totals for all 53 respondents.

THE CONTRIBUTION OF PROFESSIONAL AND REGULATORY BODIES (PRBs) TO QUALITY ASSESSMENT AND ASSURANCE

A1.2 Statutory bodies with regulatory powers (RS bodies)

22 respondents identified their organisation as being in this category

	Yes	No	N/R
Professional or Regulatory			
Do you consider yourself to be a professional body?	10	12	0
Are you a regulatory body?	22	0	0
Do you possess statutory powers?	22	0	0
- If so, to do what?			
Do you offer membership?	4	16	2
Accreditation			
Do you accredit any higher education programmes?	16	6	0
- If so, do accredited programmes need to meet specific content criteria?	17	0	5
- If not, do you recognise the accreditation conducted by another body?	5	4	13
- if so, which body?			
Department or Programme Review			
Are you involved with the review process of any programmes in higher education institutions?	17	5	0
If so, does this involve			
postal review (ie exchange of documents)	10	0	12
periodic evaluating visits	13	2	7
attendance at institutions' review events	5	3	14
other (please specify)			
Curriculum and assessment			
Do you have influence on the shape and content of higher education curricula?	18	4	0
Do you have any direct input into higher education curricula?	6	15	1
Do you set the syllabus in any higher education programmes?	0	21	1
Do you set the exams and/or other assessments in any higher education programmes?	1	20	1

	Yes	No	N/R
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Professional Qualifications/Recognition

Do you offer a professional qualification or other recognition?	9	13	0
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- If so, please indicate whether the variables listed below are *compulsory for, accepted towards or not necessary* for your qualification/recognition

	<i>Compulsory</i>	<i>Accepted</i>	<i>Unnecessary</i>	
Your own syllabus	...3.....	...1.....	...3.....	15
Your own examinations	...7.....1.....	...3.....	11
Higher education programmes	...4.....0.....	...2.....	16
Practical/professional experience	...8.....	...1.....	...1.....	12
Continuing professional education	...3.....	...3.....	...1.....	15
Other (please specify)	...1.....	21

Is your qualification legally required for practising your profession?	18	0	4
--	----	---	---

- If not, is your qualification generally required by employers?	4	0	18
--	---	---	----

Does this qualification or any part of it have formal international recognition?	13	4	5
--	----	---	---

Registration

Do you keep a register of students who pass accredited programmes?	4	14	4
--	---	----	---

Do you keep a register of people who attain your professional qualifications?	19	3	0
---	----	---	---

Is registration with you necessary for practice in your profession?	17	4	1
---	----	---	---

Continuing Professional Education

Are you responsible for continuing professional education?	5	15	2
--	---	----	---

Relationships

Is your principal responsibility to:	your professionals	employers of professionals	professional faculties	government/society
(please circle as appropriate)	4			18

In 1988, Irvine recommended that clear lines of communication be established between tertiary institutions and PRBs to permit frequent consultation. In the subsequent decade, do you consider that this has occurred?

	10	6	6
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Name, position and contact 'phone no. of the person completing this questionnaire

THE CONTRIBUTION OF PROFESSIONAL AND REGULATORY BODIES (PRBs) TO QUALITY ASSESSMENT AND ASSURANCE

A1.3 Bodies that are neither statutory nor have regulatory powers (NRS bodies)

31 respondents identified their organisation as being in this category

	Yes	No	N/R
Professional or Regulatory			
Do you consider yourself to be a professional body?	27	4	0
Are you a regulatory body?	0	31	0
Do you possess statutory powers?	0	29	2
- If so, to do what?			
Do you offer membership?	29	1	1
Accreditation			
Do you accredit any higher education programmes?	16	15	0
- If so, do accredited programmes need to meet specific content criteria?	15	4	12
- If not, do you recognise the accreditation conducted by another body?	9	4	18
- if so, which body?			
Department or Programme Review			
Are you involved with the review process of any programmes in higher education institutions?	21	10	0
If so, does this involve			
postal review (ie exchange of documents)	11	3	17
periodic evaluating visits	12	4	15
attendance at institutions' review events	15	1	15
other (please specify)			
Curriculum and assessment			
Do you have influence on the shape and content of higher education curricula?	25	6	0
Do you have any direct input into higher education curricula?	14	15	2
Do you set the syllabus in any higher education programmes?	3	27	1
Do you set the exams and/or other assessments in any higher education programmes?	1	29	1

	Yes	No	N/R
--	-----	----	-----

Professional Qualifications/Recognition

Do you offer a professional qualification or other recognition?	13	17	1
---	----	----	---

- If so, please indicate whether the variables listed below are *compulsory for*, *accepted towards* or *not necessary* for your qualification/recognition

	<i>Compulsory</i>	<i>Accepted</i>	<i>Unnecessary</i>	
Your own syllabus2....2....	...4.....	20
Your own examinations5....2....	...5.....	19
Higher education programmes4....6....	...1.....	20
Practical/professional experience10....	...3.....	...1.....	17
Continuing professional education7....	...6.....	...3.....	15
Other (please specify)0....	...0.....	...0.....	28
Is your qualification legally required for practising your profession?	6	15	10	
- If not, is your qualification generally required by employers?	8	10	13	
Does this qualification or any part of it have formal international recognition?	12	10	9	

Registration

Do you keep a register of students who pass accredited programmes?	7	22	2
Do you keep a register of people who attain your professional qualifications?	15	10	6
Is registration with you necessary for practice in your profession?	5	22	4

Continuing Professional Education

Are you responsible for continuing professional education?	17	12	2
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Relationships

Is your principal responsibility to:	your professionals	employers of professionals	professional faculties	government/society
(please circle as appropriate)	25	1	1	5 (NR:1)

In 1988, Irvine recommended that clear lines of communication be established between tertiary institutions and PRBs to permit frequent consultation. In the subsequent decade, do you consider that this has occurred?

15	9	7
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Name, position and contact 'phone no. of the person completing this questionnaire

THE CONTRIBUTION OF PROFESSIONAL AND REGULATORY BODIES (PRBs) TO QUALITY ASSESSMENT AND ASSURANCE

A1.4 Total responses

53 responses were received in all

	Yes	No	N/R
Professional or Regulatory			
Do you consider yourself to be a professional body?	37	16	0
Are you a regulatory body?	22	31	0
Do you possess statutory powers?	22	29	2
- If so, to do what?			
Do you offer membership?	33	17	3

Accreditation

Do you accredit any higher education programmes?	32	21	0
- If so, do accredited programmes need to meet specific content criteria?	32	4	17
- If not, do you recognise the accreditation conducted by another body?	14	8	31
- if so, which body?			

Department or Programme Review

Are you involved with the review process of any programmes in higher education institutions?	38	15	0
If so, does this involve			
postal review (ie exchange of documents)	21	3	29
periodic evaluating visits	25	6	22
attendance at institutions' review events	20	4	29
other (please specify)			

Curriculum and assessment

Do you have influence on the shape and content of higher education curricula?	43	10	0
Do you have any direct input into higher education curricula?	20	30	3
Do you set the syllabus in any higher education programmes?	3	48	2
Do you set the exams and/or other assessments in any higher education programmes?	2	49	2

	Yes	No	N/R
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Professional Qualifications/Recognition

Do you offer a professional qualification or other recognition?	22	30	1
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- If so, please indicate whether the variables listed below are *compulsory for, accepted towards or not necessary* for your qualification/recognition

	<i>Compulsory</i>	<i>Accepted</i>	<i>Unnecessary</i>	
Your own syllabus5....3....	...7.....	35
Your own examinations12.3....	...8.....	30
Higher education programmes8....6....	...3.....	36
Practical/professional experience18....4.....	...2.....	29
Continuing professional education10....9.....4.....	30
Other (please specify)	...1....0.....0.....	49

Is your qualification legally required for practising your profession?	24	15	14
--	----	----	----

- If not, is your qualification generally required by employers?	12	10	31
--	----	----	----

Does this qualification or any part of it have formal international recognition?	25	14	14
--	----	----	----

Registration

Do you keep a register of students who pass accredited programmes?	11	36	6
--	----	----	---

Do you keep a register of people who attain your professional qualifications?	34	13	6
---	----	----	---

Is registration with you necessary for practice in your profession?	22	26	5
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Continuing Professional Education

Are you responsible for continuing professional education?	22	27	4
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Relationships

Is your principal responsibility to:	your professionals	employers of professionals	professional faculties	government/society
(please circle as appropriate)	29	1	1	23 (NR:1)

In 1988, Irvine recommended that clear lines of communication be established between tertiary institutions and PRBs to permit frequent consultation. In the subsequent decade, do you consider that this has occurred?

	25	15	13
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Name, position and contact 'phone no. of the person completing this questionnaire

Appendix 2: Results of the New Zealand Survey

A2.1 Main survey questions

The following are the main survey questions.

1. Do you **accredit** any higher education programmes?
2. Are you involved with the **review process** of any programmes in higher education institutions?
3. Do you have **influence** on the shape and content of higher education curricula?
4. Do you have any **direct input** into higher education curricula?
5. Do you **set the syllabus** in any higher education programmes?
6. Do you **set the exams** and/or other assessments in any higher education programmes?
7. Do you offer a **professional qualification** or other recognition?
8. Do you keep a **register** of people who attain your professional qualifications?
9. Are you responsible for **continuing professional education**?
10. Are you a **Professional/Regulatory/Statutory** body?

The responses to these questions are summarised in Table 1. Questions 1-9 sought yes/no answers, and the responses are indicated by 'y' or 'n' respectively in the Table. Question 10 effectively had three independent yes/no parts, and a 'yes' to professional, regulatory or statutory is indicated by p, r or s, respectively.

Table 1: Overview of Main Results of Survey

Association/Board	Q1	Q2	Q3	Q4	Q5	Q6	Q7	Q8	Q9	Q10
1. NZ Inst. of Chartered Accountants	y	y	y	y	n	n	y	y	n	prs
2. Inst. of Professional Engineers	y	n	y	n	n	n	y	y	n	p
3. Council of Legal Education	y	y	y	y	n	n	n	n	n	prs
4. Inst of Professional Legal Studies	n	n	y	y	n	n	y	y	n	
5. Medical Council of NZ	y	y	y	n	n	n	n	y	y	rs
6. NZ Council for Teacher Education	y	y	n	n	n	n	n	n	n	
7. NZ Inst. of Agricultural Science	n	n	n	n	n	n	y	y	n	p
8. NZ Inst. of Architects	n	y	y	y	n	n	n		y	p
9. Dental Council of NZ	y	y	y	n	n	n	y	y	y	prs
10. NZ Inst. of Forestry	n	y	y	y	y	n	y	y	y	p
11. NZ Inst. of Horticultural Science	n	y	n	n	n	n	n		n	p
12. Academy for the Humanities	n	n	n	n	n	n	n	n	n	
13. NZ Library & Information Assoc. Inc.	n	y	y	n	n	n	y	y	y	p
14. Nursing Council of NZ	y	y	y			y	y	y		prs
15. NZ Association of Optometrists	y	n	y	n	n	n	n		y	p
16. NZ Inst. of Surveyors	y	y	y	y	n	n	n	n	y	p
17. NZ Inst. of Valuers	n	y	y	n	n	n	n	n	y	prs
18. Valuers Registration Board	y	y	y	y	n	n	y	y	n	prs
19. NZ Inst. of Food Science & Technology	y	y	y	n	n	n	y	y	n	p
20. NZ Veterinary Association Inc.	n	n	y	y	n	n	n	y	n	p
22. Veterinary Council	n	n	n	n	n	n	y	n	y	prs
24. NZ Inst. of Dental Technologists	y	y	n	n	n	n	n	n	n	p
25. NZ Inst. of Medical Radiation Technology	y	y	y	y	n	n	n	n		p
26. NZ College of Physiotherapy Inc.	y	n	y	n	n	n	n	y	y	p
27. NZ Society of Physiotherapists Inc.	n	y	y	y	y	y	n	n	y	p
28. NZ Dietetic Association	n	n	y	n	n	n	n	n	y	p
29. NZ Inst. of Medical Laboratory Science	n	y	y	y	n	n	y	n	y	p
33. NZ Chiropractors Association Inc.	n	y	y		n	n	n		y	p
34. NZ Assoc. of Occupational Therapists	n	y	y	y	n	n	n	n	y	p
36. NZ Association of Social Workers	y	y	y	y	n	n	n		n	p
37. Assoc. of Dispensing Opticians Inc.	y	n	y	n	n	n	y	y	y	p
38. Pharmaceutical Society	y	y	y	y	n	n	y	y	y	prs
39. NZ Psychological Society	n	y	y	n	n	n	n	n	y	p
41. Bankers Institute of NZ	y	y	y	y	n	n	y	y	n	p
42. NZ Inst. of Building	y	y	y	n	n	n	y	y	y	p
44. Real Estate Institute of NZ	y	y	y	y	y	n	n	y	y	p
46. NZ Tourist Industry Association Inc.	n	n	n							
47. Chartered Institute of Transport	y	y	y	y	n	n	y	y	n	p
51. NZ Association of Counsellors	y	y	y	n	n	n	y	y	y	p
52. NZ Inst. of Landscape Architects	y	y	y	y	n	n	y	y	y	p
55. Chiropractic Board	y	y	y	n	n	n	n	y	n	rs
56. NZ Dieticians Board	y	y	y	n	n	n	n	y	n	rs
57. Medical Laboratory Technologists Board	y	y	y	n	n	n	n	y	n	rs
58. Medical Radiation Technologists Board	y	y	y	n	n	n	n	y	n	rs
59. NZ Occupational Therapy Board	y	y	y	n	n	n	n	y	n	rs
61. NZ Physiotherapy Board	y	y	y	n	n	n	n	y	n	rs
62. Podiatrists Board	y	y	y	y	n	n	n	y	n	rs
63. Psychologists (Registration) Board	n	n	n	n	n	n	n	y	n	rs
64. Engineering (Registration) Board	n	n	n	n	n	n	y	y	n	rs
65. Teacher (Registration) Board	y	n	y	n	n	n	y	y	n	prs
66. Architects (Education & Registration) Board	y	y	y	n	n	n	y	y	n	prs
68. Dental Technicians Board	n	y	y	y	n	n	n	y		rs
70. Real Estate Agents Licensing Board	n	n	n	n	n	n	n	y	n	rs

A2.2 Categories of bodies surveyed

In fact, the responses, 'regulatory' and 'statutory' went together, ie bodies are either both regulatory and statutory, or neither. For brevity, therefore, in the remainder of this Appendix, bodies with regulatory and statutory powers are denoted by RS; and bodies without such powers by NRS. Similarly, P denotes a professional body; and NP an organisation that does not classify itself as a professional body. The number of respondents locating themselves in each category in response to Question 10 is shown in Table 2.

Table 2: Types of Bodies (Question 10)

	RS	NRS	totals
P	10	27	37
NP	12	4	16
totals	22	31	53

The responses to Questions 1-9 reported in Table 1 break down between the regulatory/statutory and non-regulatory/non-statutory bodies as shown in Table 3.

Table 3: Responses, by Type of Body

RS bodies (22)	Q1	Q2	Q3	Q4	Q5	Q6	Q7	Q8	Q9
yes	16	17	18	6	0	1	9	19	5
no	6	5	4	15	21	21	13	3	15
no response	0	0	0	1	1	0	0	0	2

NRS bodies (31)	Q1	Q2	Q3	Q4	Q5	Q6	Q7	Q8	Q9
yes	16	21	25	14	3	1	13	15	17
no	15	10	6	15	27	29	17	10	12
no response	0	0	0	2	1	1	1	6	2

All (53)	Q1	Q2	Q3	Q4	Q5	Q6	Q7	Q8	Q9
yes	32	38	43	20	3	2	22	34	22
no	21	15	10	30	48	50	30	13	27
no response	0	0	0	3	2	1	1	6	4

A2.3 Institutional review processes

Bodies were asked about their involvement in institutions' review processes (Question 2; Table 1, Column Q2) and offered three specific options of methods (postal review, evaluating visits, attendance at institutions' own reviews). In Table 4, the column headed 'Q2' gives the number of 'yes' responses in the column headed 'Q2' in Table 1. Subsequent columns in Table 4 show, of those bodies giving a 'yes' answer, how many said 'yes' to each of the three options specified.

Table 4: Involvement in the Review Process (Question 2)

RS status	Q2	postal reviews	visits	attendance at instns' own reviews
RS	17	10	13	5
NRS	21	12	11	15
total	38	22	24	20

RS bodies are more likely (than NRS) ones to use explicit review activities (postal or visit); while NRS bodies are more likely (than RS ones) to be involved less formally, eg in the institutions' own review processes.

Some bodies observed that they use other means, including consultations and also contacts that are not specifically planned for this purpose. Seven bodies said that they have input via formal committee membership (eg. course advisory committees or New Zealand Qualifications Authority review panels). This is also a mechanism for curriculum input (Table 5).

A2.4 Influence on curricula

Bodies were asked whether they influence the shape and content of higher education curricula (Question 3; Table 1, Column Q3) and offered three specific options of methods (curriculum input, syllabus setting and assessment: Columns Q4, Q5, Q6 respectively of Table 1). In Table 5, the column headed 'Q3' gives the number of 'yes' answers in the column headed 'Q3' in Table 1. Subsequent columns show, of those bodies giving a 'yes' answer, how many said 'yes' to Questions Q4, Q5 and Q6.

Table 5: Influence on Curricula (Questions 3 - 6)

RS status	Q3	curriculum	syllabus	assessment
RS	18	6	0	1
NRS	25	14	3	1
total	43	20	3	2

While over 80% of the respondents believe they influence the curriculum, very few do it by specifying syllabi or setting assessments. Some bodies answered 'yes' to influence, but

'no' to all three options offered. This is not necessarily inconsistent, because other questions on the survey refer to activities (such as accreditation or continuing professional development) that *imply* an influence.

A2.5 Other comments on Table 1

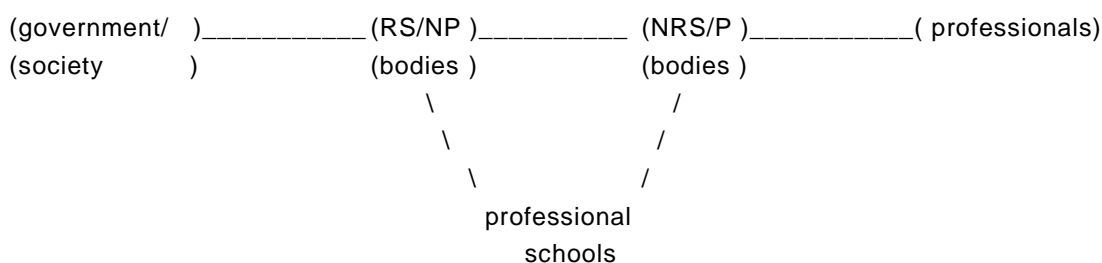
- Question 7: Do you offer a professional qualification or other recognition?
42% of the 53 respondents offer a professional qualification or similar recognition. The proportion is the same in the RS and non-RS groups. Of the 22 positive responses, 20 are from professional bodies.
- Question 8: Do you keep a register of people who attain your professional qualifications?
64% of the respondents keep a register of those who attain their professional qualification. The proportion of RS bodies that do this is higher (86%) than of non-RS bodies (48%).
- Question 9: Are you responsible for continuing professional development/education?
42% of the respondents are responsible for continuing professional development. The proportions differ for the RS bodies (23%) and the non-RS bodies (55%).

A2.6 Other findings

Unsurprisingly, RS bodies overwhelmingly (82%) see their principal responsibility as being to 'government and/or society' (with the other 18% selecting 'your professionals'). Conversely, 84% of the non-RS bodies have principal responsibility to their professionals, with 26% indicating some other choice. (These two figures total more than 100% as there were three multiple selections.)

The survey also identifies a large number of professions in which there are two bodies, namely a professional (but NRS) one (eg. the NZ Psychological Society, the Real Estate Institute of NZ) and a regulatory/statutory (but NP) one (eg. the Psychologists Registration Board, the Real Estate Agents Licensing Board). These two (or sometimes more, as in Law and Pharmacy) bodies usually work closely together in respect of the matters addressed by this investigation. Thus we have (at least) the general relationships shown in Figure 1.

Figure 1: Relationships between stakeholders



Linked bodies are sometimes set up in the same legislation (eg the Institute of Valuers and the Valuers Registration Board), or one has grown out of the other (eg the Institute of Professional Legal Studies was established by the Council of Legal Education as an operational arm; Coote, 1996). In some professions (eg nursing) there are distinct bodies whose roles are sufficiently diverse that there is only a minimal relation between them.

In terms of nomenclature, the name used by a body is quite indicative of its regulatory/statutory nature. 26 (84%) of the NRS bodies are called 'institute' or 'association', while 19 (86%) of the RS bodies are called 'board' or 'council'. In general, those RS bodies called 'boards' are not professional bodies and are not responsible for continuing professional development (CPD), while the other RS bodies are also professional bodies and almost all are responsible for CPD.

Influence on professional schools in higher education institutions is not confined to either category of bodies (RS or NRS, P or NP), as is shown by the answers to Questions 1-6. These questions all relate to the influence by the bodies on higher education, and the proportion answering 'yes' to each of these questions is shown in Table 6.

Table 6: Influence on Higher Education

Questions	Q1	Q2	Q3	Q4	Q5	Q6
RS bodies	73%	77%	82%	27%	0%	5%
NRS bodies	52%	68%	81%	45%	10%	3%

In general it is the NRS bodies that are responsible for CPD, which is consistent with their responsibility to their professionals.

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