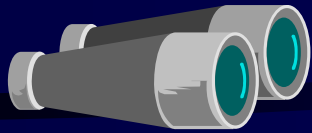


Methodology - Criteria and Procedures

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CARDS 2003

In-house seminar for AZVO, Zagreb, 16 March 2007



In this seminar

0. Terminology

I. Relevance of the theme (activity scheme, ESG)

II. Defining procedures

III. Defining criteria

IV. Defining data and information to be collected

Questions, comments at any time!

Overview of evaluation steps (recapitulation)

1. Criteria and procedures
2. Self evaluation
3. Expert tasks
4. Selection of experts
5. Training of experts
6. Site visit
7. Evaluation report
8. The results of evaluation
9. Feedback
10. Monitoring and follow-up
11. Closing the quality loop



Terminology₁

“Criterion” ~ standard, requirement

- condition/rule which enables a choice, therefore upon which a **decision or judgement** can be based

<http://en.wikipedia.org/wiki/Criteria>

- predefined element against which **evaluation** (in the *wide sense*) is performed



Terminology₂



“Procedure” (< process)

specification of the series of actions, acts or operations which have to be executed in the same manner in order to obtain always the **same result in the same circumstances** (for example, emergency procedures).

Less precisely speaking, this word can indicate a **sequence of activities**, (...) that when undertaken in the sequence laid down **produces the described result**, product or outcome. A procedure usually induces a change.

<http://en.wikipedia.org/wiki/Procedure>

I.

Recapitulation: activity scheme – relevance of criteria and procedures

Evaluation

Accreditation

Audit

Institution
new + operating

Programme
new + operating

Theme

✓	✓	✓
✓	✓	✓
✓		

ESG on external QA processes₁

Standard 2.2, development of processes

The **aims and objectives** of quality assurance processes should be determined before the processes themselves are developed, by all those responsible (including higher education institutions) and should be **published** with a description of the procedures to be used.

Guidelines:

preliminary impact assessment to be made!

ESG on external QA processes₂

Standard 2.4, Processes fit for purpose

All external QA processes should be designed specifically to ensure their **fitness to achieve the aims and objectives** set for them.

Guidelines:

- selection, skills and competence of experts
- briefing or [and] training of experts
- the use of international experts
- participation of students
- ensure getting adequate evidence
- 4 (5) step model [see next slide]



ESG on external QA processes₃

Standard 3.7, agency processes
pre-defined and publicly available



expected to include [the 4 step model]:

- self-assessment
- external assessment (experts, student, site visit)
- published report
- follow-up [see next slide]

Guidelines:

- consistency of conclusions and decisions
- appeals procedure

ESG on external QA processes₄

Standard 2.6, Follow-up procedures

QA processes which contain recommendations for action or which require a subsequent action plan, should have a **predetermined follow-up procedure** which is implemented consistently.

Guidelines:

- may involve further meetings with HEI
- ensure that areas identified for improvement are dealt with speedily

Recapitulation: Evaluation design, step 1

Criteria and procedures

- Involvement of HEIs, students, stakeholders
- Aims, objectives (← context, the national system)
- Fitness for purpose (types of HEIs, programmes)
- Use of internal QA processes and results
- Quantitative data, qualitative info (analysis)
- Consistency
- Appeals (accreditation)
- International (“best”) practice
- Publication of criteria and procedures



Defining procedures - roadmap

What to do?

1. Decision on activities
2. Define aims, objectives
3. Create task force
4. Task force working
 - ESG and internat. practice
 - Croatian context
 - HEI's internal processes
 - fitness for purpose (aims, objectives)
5. Discuss, finalise proposals
6. Publish procedures

By whom?

MSES (+CHE-ASHE?)

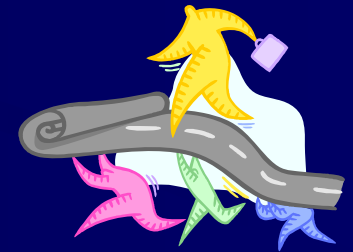
All stakeholders!

MSES (CHE-ASHE?)

Task force (ASHE?)

All stakeholders!

(CHE – ASHE)



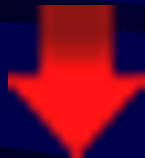
II.

Defining procedures - options

1. Activities: See recapitulation



2. Aims, objectives: Generic + specific



3. Procedures (if more than one type of activities):

- One general (with indicating differences if needed)?
- Or many specific, separately?

II.

Recapitulation: seminars No. 2-3 (actual examples discussed)

Evaluation Accreditation Audit

Inst. (exist.)

EUA, CNE

FINHEEC

Exist. progr.

EVA-QAA

NVAO

New progr.

HAC


Theme

HSV

II.

Procedures – example₁

Establishment of new HEI: Hungary

1. Registration of HEI (by Office of Education) - resources
2. Expert opinion of HAC - quality 
- if positive:
 - 3.a Licence of operation to HEI by OE, and State recognition by Parliament
 - if negative:
 - 3.b Applicant may appeal to Minister (M)
 - 3.ba M. asks for expert opinion of HAC Appeals Comm.
 - 3.bb HAC App. Comm. provides opinion
 - if positive: → 3.a
 - 3.bc if negative again: Minister must reject

Procedures – example₁ cont.



HAC procedure for opinion on HEI to be established

1. Checking of application by Secretariat
2. Disciplinary subcommittee(s) evaluate(s) - level 1
 - a) two reviewers per progr., may make visit, opinion in writing
 - b) subcommittee discussion and proposal for decision
3. HAC “college” discusses proposal (support / no) - level 2
4. HAC plenary meeting decides - level 3
5. President sends opinion to Office of Education

Expert opinion of HAC

- on study programmes
- on establishment of institution

II. Procedures – example₂

see handout!

Evaluation of operating HEI: EUA Inst. Eval. Prog.

1. Rector of HEI asking for review (+ special focus, if any)
2. EUA decision on accepting request (IEP SC)
3. Guidelines for self-evaluation sent to HEI
4. Yearly workshop for HEIs involved
- 5.a Self-evaluation report by HEI
- 5.b Induction course for reviewers, selection of team members
6. Preliminary visit by evaluation team to HEI
7. Site visit
8. Report writing (team secretary)
9. Report is sent to HEI (publication up to HEI!)
- (10. Follow-up possible on request of HEI)

Procedures – summary

General logical framework for procedures:

(0. Regulatory context)

- | | |
|---|---------|
| 1. Documentation (paper – electr.) | input |
| 2. Preparation for implementation | process |
| • by subject (inst / progr) | |
| • by agency | |
| 3. Implementation (desk – on site)
(paper – electr.) | |
| 4. Results | output |
| eval. / accr. / recomm. / licensing | |

Defining criteria: ESG

Standard 2.3, Criteria for decisions

Any formal decisions made as a result of an external quality assurance activity should be based on **explicit published criteria** that are applied **consistently**.

Guidelines:

- conclusions based on recorded evidence
- ensure ways of moderating conclusions

Defining criteria - roadmap

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5. Discuss, finalise proposals
6. Publish criteria

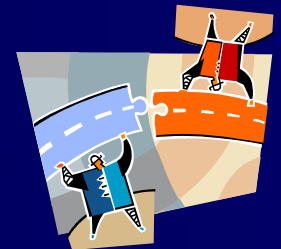
By whom?

MSES (+CHE-ASHE?)

All stakeholders!

(MSES) CHE-ASHE

Task force (ASHE?)

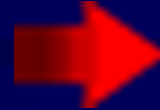


All stakeholders!

(CHE – ASHE)

Defining criteria - options

PURPOSE



criteria

Types of criteria:

– Qualitative

OR -- AND?

– Quantitative

Criteria – example₁ the simple case

EUA institutional evaluation (recap.)

1. What is the institution trying to do?
2. How is the institution trying to do it?
3. How does the institution know it works?
4. How does the institution change in order to improve?

P

D

C

A

Evaluation and recommendations by the team

Consistency: induction course + Guidelines

Criteria – example₂ the complex case

CNE Handbook of standards* (recap.)

Three chapters (areas of eval.)

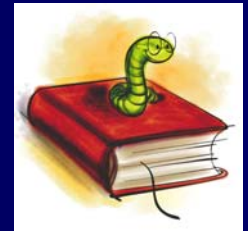
- education policy
- research policy
- management

Structure *see handout*

- headings (thematic grouping of standards)
- standards (26 + 8 + 29)
- good practices (examples)

Qualitative standards only (documents, processes)

* www.cne-evaluation.fr/WCNE_pdf/LDRCNE_English.pdf



Criteria – summary

General advice:

- (0. Regulatory context)
1. Type of activity, purpose → criteria
2. Clarity, transparency, “easy touch”
3. Evidence based
4. Less is more...
5. Consequent application

IV. Data and information to be collected

General advice:

(0. Regulatory context)

1. Type of activity, purpose, criteria → data
2. Less is more... (*If you had to provide all that?*)
3. Learn from others(' mistakes)
4. Request of data for a certain evaluation – or:
availability on the HEI website (or nat. info system)
5. “Quality indicators”:
the blue bird of happiness?...



Data and info: quality indicators (QI)

see handouts

QI: 43.400.000 hits on the web (15.03.07.)

QI in HE: 4.370.000

From among them:

- EU report, May 2000, 16 indicators (Comm. of 63 pers.)
- Colorado Commission on HE, 2001, 10 indicators
- CIPOF model by Dirk Van Damme, 2004

Thank you for your
attention!

