

Methodology - Criteria and Procedures

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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!

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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



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0.

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



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0.

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>



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I.

Recapitulation: activity scheme – relevance of criteria and procedures

	<u>Evaluation</u>	<u>Accreditation</u>	<u>Audit</u>
Institution new + operating	✓	✓	✓
Programme new + operating	✓	✓	✓
Theme	✓		

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I. **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!

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I. **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]

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I. **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

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I. **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

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I. **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



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II. **Defining procedures - roadmap**

<i>What to do?</i>	<i>By whom?</i>
1. Decision on activities	} MSES (+CHE-ASHE?) All stakeholders!
2. Define aims, objectives	
3. Create task force	MSES (CHE-ASHE?)
4. Task force working	Task force (ASHE?)
<ul style="list-style-type: none"> - ESG and internat. practice - Croatian context - HEI's internal processes - fitness for purpose (aims, objectives) 	} All stakeholders! (CHE – ASHE)
5. Discuss, finalise proposals	
6. Publish procedures	



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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?

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II. **Activities: Possible options for Croatia?**
(recapitulation from seminar No. 2)

	Evaluation	Accreditation	Audit
Inst. / faculty		✓ →	(Later)
New progr.		✓	
Exist. progr.	✓	← ✓	
Subject			
Theme	✓		

Council(s) + Agency? Changing responsibilities?
One organisation?

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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		

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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

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II. **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

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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)

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II. **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	

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III. **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

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III. **Defining criteria - roadmap**

<i>What to do?</i>	<i>By whom?</i>
1. Decision on activities	} MSES (+CHE-ASHE?)
2. Define aims, objectives	
3. Create task force	(MSES) CHE-ASHE
4. Task force working	Task force (ASHE?)
– ESG and internat. practice	
– Croatian context	
– HEI's internal processes	
– fitness for purpose (aims, objectives)	
5. Discuss, finalise proposals	All stakeholders!
6. Publish criteria	(CHE – ASHE)

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III. **Defining criteria - options**

PURPOSE → criteria

Types of criteria:

- Qualitative

OR -- AND?

- Quantitative

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III. **Criteria – example₁**
the simple case

EUA institutional evaluation (recap.)

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

Evaluation and recommendations by the team
Consistency: induction course + Guidelines

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III. **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

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III.

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

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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?...



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IV.

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

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Thank you for your
attention!

