

# Purpose and main stages of the review process

Maria Kelo  
Director  
ENQA

GIQAC project – Training workshop for the Balkan Region  
8-9 March 2012

# Coordination of the review process

- Since September 2011 Board decision: **all reviews to be coordinated by ENQA Secretariat** unless national legislation requires otherwise.
- For consistency and increased comparability
- All experts in panels need to have been trained by ENQA

# Purpose of the review

To evaluate whether or not an agency meets the ENQA membership criteria, and thereby the ESG

2 types of reviews:



Type A (1 purpose: ENQA membership / EQAR listing)

Type B (several purposes)

- statutory functions
- ECA Code of Good Practice
- special context (e.g. bi-national character, NVAO)

# Principles of the review



- The review is an **evidence-based process** carried out by independent peer experts (trained by ENQA)
- **information** provided by the Agency is **assumed to be factually correct** unless other evidence points to the contrary
- review is a process of **verification of the information provided** (mainly by SER) and the exploration of any matters which are omitted from that documentation
- the level of conformity that is expected is “**substantial compliance**”, not rigid adherence

# Key features of the review process

- management of process must be completely **independent** of the Agency itself
- all parts of the process must be **transparent** (easily open to examination by the ENQA Board)
- the report must be sufficiently detailed to provide satisfactory assurance of the **robustness** of the review
- the report must provide **sufficient, verified information** which clearly shows that the criteria have been met

# Stage 1: before the site visit

<p>The Agency produces its self-evaluation document and submits this along with any other documentation of relevance to the Coordinating body – then passed to the Review Secretary, along with the present Guidelines, for distribution to the other panel members.</p>	8–12 weeks before the site visit
<p>If appropriate, a telephone briefing gathering the Review panel and the Coordinating body takes place to discuss the process of the whole review.</p>	6–8 weeks before the site visit
<p>The Review Chair reviews the documentation provided by the Agency and makes an initial identification of lines of inquiry with reference to the terms of reference of the review and the information received from the Agency.</p> <p>These are developed further in consultation with the rest of the Review panel.</p>	4–6 weeks before the site visit
<p>The Review Secretary produces an outline report in collaboration with the Chair and a briefing paper – outlining the background, schedule and draft lines of inquiry for the review and circulates this to the Review panel.</p>	2–4 weeks before the site visit

# Stage 1: before the site visit

## Composition of the panel

- selection process must be carried out by the Coordinating body=ENQA (and not by the Agency being reviewed)
- When a review is carried out for ENQA membership purposes, panel composition and terms of reference need to be approved by the ENQA Board
- non-conflict-of-interest agreements
- Panel includes
  - one or two **quality assurance experts** from outside the national system being reviewed
  - **representatives of HEIs**
  - **students**
  - normally **stakeholders** (for example, an employer)



# Stage 1: before the site visit

## Transparency

- ENQA should be kept informed of progress throughout the review
  - to plan its workload
  - to help ensure that the outcomes of the review process meet the requirements of the ENQA Board
- terms of reference and protocol for the review
  - drafted well before the process starts, by ENQA Secretariat
  - clearly identify whether type A or type B review
  - clearly state an outline of how the review is going to run
  - Mention any relevant background information e.g. preceding reviews or membership applications and their outcomes

# Stage 1: before the site visit

## The self-evaluation report (SER)

- opportunity to reflect on how an agency measures up to the ENQA membership criteria/ESG
  - basic source of information for the panel
  - clear information, full, frank and analytical
  - its contents can be corroborated by documentary and/or oral evidence
- agency may attach as annexes the most crucial documentation (preferably max 15 to 20 annexes) it thinks may help support its analysis
  - Structured in two parts for type B review
  - The panel and/or the ENQA Board are also entitled to request an agency for more documentation at any stage of evaluation

## Stage 2: the site visit

Action	Time
Briefing meeting of the Review panel. The panel members will discuss the schedule of the visit and agree how the lines of inquiry will be dealt with.	Day before site visit
The site visit takes place (see section 3.5).	2-3 days
A panel meeting takes place as the penultimate session of the site visit. At this meeting the team will review the evidence presented, and draw preliminary findings, and if possible put these into the “skeleton” report.	Last day of the site visit
The Panel may then have a final meeting with the representatives of the Agency in which the preliminary findings of the review are communicated.	Last day of the site visit

# Stage 2: the site visit

Meetings and interviews with Agency's staff and stakeholders to:

- Explore the Agency's performance
- Gather and evaluate additional information on-site
- Formulate the Panel's preliminary findings and communicate these to the Agency
- Produce material for the draft report

Regular panel meetings

Final debriefing meeting with the agency (optional)

- It is essential that the process and the panel's time are managed
- efficiently and effectively



# Stage 2: Site visit

- normally conducted in English
  - if interpreters are needed by the Agency the Panel should be informed at least one month prior to the visit
  - approval of the interpreters by the panel (must be external to the Agency's operations)
  - agency will bear the cost of interpretation



- use of interpretation may lengthen the duration of the interviews
- may also lead to small differences in understanding of detail

# Stage 3: after the site visit, writing the report

ACTION	TIME
The <b>Review Secretary will produce the initial draft report</b> and circulate it to the Chair and panel members (see section 3.6 for drafting and structure guidance)	2 weeks after the site visit
The <b>panel members will review the draft</b> and suggest any comments, or amendments, and provide these to the Review Secretary.	3 weeks after the site visit
The <b>Review Secretary will produce a revised draft</b> which, after agreement from the Panel, is submitted to the Agency for comment on its factual accuracy.	4–6 weeks after the site visit
The Agency will submit <b>any amendments to the report relating to factual accuracy</b> to the Review Secretary for consideration.	6–8 weeks after the site visit
The <b>Review Secretary will produce a final version</b> of the report.	8–10 weeks after the site visit
The Review Secretary will <b>submit the final review report to the Review panel, the Agency and the Coordinating body.</b>	10–12 weeks after the site visit
The Coordinating body (if not ENQA) <b>will submit the final review report to the ENQA Secretariat.</b>	10–12 weeks after the site visit
The ENQA Secretariat will ask the panel members and the Agency to fill in a feedback questionnaire on the review process.	12–14 weeks after the site visit

# After the site visit

- The Agency should not submit new information to the panel after the site visit
  - all relevant information should be provided to the Review panel only before or during the site visit
  - after the site visit, only factual comments on the draft review report are possible

# Stage 3: writing the final report – Outline report structure

cf. chapter 3.6.1, ENQA Review Guidelines document, p. 13f.

- Final report should not exceed 40 pages in length
- Form of the report is likely to depend on the type of review that has been carried out: for type B review the report should contain two separate parts

1. Executive summary
2. Introduction
3. Findings

**ENQA membership criteria 1 to 8 (ESG 3.1- 3.8) have to be fully covered**

4. Any sections relating to additional Terms of Reference of the review
5. Conclusion
6. Annexes

# Stage 3: writing up findings: covering ESG II, III

ESG 3.1 – Use of external quality assurance procedures for higher education

ESG 2.1 – Use of internal quality assurance procedures

ESG 2.2 – Development of external quality assurance processes

ESG 2.3 – Criteria for decisions

ESG 2.4 – Processes fit for purpose

ESG 2.5 – Reporting

ESG 2.6 – Follow-up procedures

ESG 2.7 – Periodic reviews

ESG 2.8 – System-wide analysis

ESG 3.2 – Official status

ESG 3.3 – Activities

ESG 3.4 – Resources

ESG 3.5 – Mission Statement

ESG 3.6 – Independence

ESG 3.7 – External quality assurance criteria and processes used

ESG 3.8 – Accountability

Membership criteria contain additional parts to the ESG (cf. p 25 Review-Guidelines document)!

---

# Stage 3: writing the final report – Outline report structure

**The findings section is crucial!** The report has to reveal both evidence for and reasoning behind Panel's conclusions:

➤ “Description of evidence, analysis, conclusion”

- Each membership criterion/ESG standard should be discussed separately
- **Under *each* criterion, the report should include:**
  - ☑ **Evidence:** a short description of the evidence gathered
  - ☑ **Analysis:** a consideration of how far the Agency does (or does not) meet the criterion
  - ☑ **Conclusion:** (judgement on compliance): in the opinion of the Panel, how compliant is the Agency with the criterion?
  - ☑ **Recommendation** (if any) → also in second round of reviews

# Stage 3: writing the report - Conclusions

The ENQA Board will have to make a yes/no decision based on the review. Therefore, **the conclusions have to be clear!**

Conclusions:

The agency is **fully compliant**  
**substantially compliant**  
**partially compliant**  
**non-compliant**  
with the membership criterion.

Panel *may* comment on overall compliance with membership criteria if it wishes.

**Transparent motivation of conclusions is of utmost importance in order to facilitate consistent Board decisions.**

# Stage 4: decision making by the ENQA Board

The review report analysis and Board decision are based on three principles:

- **Process:** review was conducted to the required level of independence, integrity and robustness
- **Content:** the review report provide sufficient, verified evidence that the agency meets the ENQA membership criteria and thereby ESG
- **Discrepancies:** there is no discrepancy between the panel's conclusions and the evidence brought forward in its report

# Stage 4: decision making by the ENQA Board - judgement on compliance

- ENQA Board is not requesting judgement of the panel on the granting or (re)confirmation of Full Membership

Board reserves the right to deviate from the opinion of the Panel

- if the review process was not carried out properly and independently
  - if the evidence in the report was not supporting the judgements
- compliance with criteria/ESG can be adequately judged on substantial, but not necessarily exhaustive, evidence
    - any areas of total non-compliance are unacceptable
    - some element of compliance would be necessary against all criteria in order to provide an overall judgement based on 'sufficient' compliance

# Stage 4: decision making by the ENQA Board

The conclusion and recommendation will fall into one of these five categories:

1. Full or associate Membership granted / reconfirmed
2. Request further information in relation to the findings
3. Request further information in relation to the evidence of the review process
4. Full membership is not granted / reconfirmed
  - ▶ agency is given two years to conform to criteria
  - ▶ agency is losing membership
5. Review is rejected as unacceptable
  - ▶ agency can reapply within limited period
  - ▶ agency is not granted membership

**Thank you for your attention!**