

## External review of the National Agency for the Evaluation of Universities and Research Institutes (ANVUR) by ENQA

### Annex I: TRIPARTITE TERMS OF REFERENCE BETWEEN ANVUR, ENQA AND EQAR June 2023

#### I. Background and context

ANVUR is the independent national agency in charge for quality assurance of Universities, Research Institutes and Higher Education institutions in the arts, music, and dance (AFAM). Formally established by Presidential Decree no. 76/2010, it is a legal public body with organisational, administrative, and accounting autonomy. Since the introduction of the Quality Assurance system in Italy (by Law no. 240/2010 and Legislative Decree no. 19/2012) the Agency has developed its own criteria, methodologies, and procedures to fulfil its tasks. ANVUR's mandate covers both the initial and periodic accreditation of Higher Education Institutions and their study programmes and the periodic five-year evaluation of research outputs and "third mission" activities of Universities and Research Institutes; it also addresses, at the request of the Ministry, the definition of indicators and benchmarks for the allocation of public funding and the evaluation of its effectiveness and efficiency, or for other purposes (e.g., the National Scientific Qualification procedure). Among other commitments ANVUR is also in charge for the coordination and monitoring of the work done by the University Evaluation Boards (a similar role is also played for the AFAM Evaluation Boards), the development of uniform procedures for the collection of student opinions and the evaluation of the Performance plans drafted by Universities and Research Institutes. The cooperation with EU and international bodies, agencies and administrations operating in the field of Higher Education QA and the production of thematic reports and research contributions are also part of ANVUR institutional activity.

ANVUR conducts both institutional and study programmes assessments (usually referred to as "accreditation"), whose results are the basis for the (initial and periodic) accreditation granted by the Ministry of University and Research following the Agency's proposal. Applications for new Universities are only possible if the Ministry allows them under its three-year programme, and ANVUR evaluation expert panels are charged to verify a set of scientific, didactic, logistics and budgetary conditions. Similarly, newly established Schools of Advanced Studies (mostly delivering PhD programmes) are initially assessed by highly qualified international evaluation expert panels. All new study programmes are initially assessed yearly by evaluation expert groups, to verify the overall quality of the projects and the adequacy and qualification of the involved teaching staffs. Periodic assessment is ruled by the so-called "AVA system" (*Autovalutazione, Valutazione periodica, Accreditemento* – Self-assessment, Periodic Assessment, Accreditation), that is based on self-assessment procedures conducted by the universities (involving their teaching, research and administrative activities), followed by an external assessment by ANVUR, which is performed every five years through a combination of desk analysis and on-site visit by an evaluation expert panel. Periodic assessment includes *inter alia* a detailed examination of a sample of Departments, study programmes and PhD programmes.

The role of ANVUR in the initial and periodic accreditation of AFAM institutions and study programmes is progressively extending from private institutions to full coverage of both private and public sectors.

ANVUR also carries out a wide range of evaluation activities outside the scope of the ESG, among which the assessment of research outputs and “third mission” case studies submitted by Universities and Research Institutes (*Valutazione della qualità della ricerca – VQR, Research Quality Assessment*), that is performed every five years and used to allocate the performance-based share of public funding to the Italian University system.

**ANVUR** has been a member of the European Association for Quality Assurance in Higher Education (ENQA) since 2019 and is applying for renewal of ENQA membership.

**ANVUR** is applying for inclusion on EQAR.

## **2. Purpose and scope of the review**

This review will evaluate the extent to which **ANVUR** (the agency) complies with each of the standards of Parts 2 and 3 of the *Standards and Guidelines for Quality Assurance in the European Higher Education Area* (ESG) and support the agency in its efforts to continually review and enhance its work. Such an external review is a requirement for agencies wishing to apply for ENQA membership and/or for EQAR registration.

### **2.1 Activities of the agency within the scope of the ESG**

To apply for ENQA membership and EQAR registration, this review will analyse all the agency’s activities that fall within the scope of the ESG, e.g., reviews, audits, evaluations or accreditations of higher education institutions or programmes that relate to teaching and learning (and their relevant links to research and innovation). All activities are reviewed irrespective of geographic scope (within or outside the EHEA) or whether they are obligatory or voluntary in nature.

The following activities of the agency must be addressed in the external review:

- initial accreditation of new Universities and their proposed study programmes;
- initial accreditation of new Schools of Advanced Studies and their proposed PhD programmes;
- initial accreditation of new University study programmes (including those offered in decentralized branches);
- initial accreditation of new PhD programmes;
- periodic assessment of Universities and their study programmes (including PhD programmes);
- initial accreditation of new private AFAM institutions and their proposed study programmes;
- initial accreditation of new AFAM study programmes;
- initial accreditation of decentralized branches of AFAM institutions and their proposed study programmes;
- periodic assessment of AFAM institutions and their study programmes (private institutions; pilot procedure for public institutions).
- Coordination of the University Evaluation Boards<sup>1</sup>
- Coordination of AFAM Evaluation Boards<sup>2</sup>

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<sup>1</sup> This activity is not an external QA activity in itself but addresses aspects that are transversal to the agency’s quality assurance activities related to Universities and AFAM and therefore should be taken into consideration under the corresponding standards i.e. ESG 3.4, ESG 3.6.

<sup>2</sup> See previous note.

All these activities will be included on the agency's profile on the EQAR website and linked to DEQAR database. NB: The agency may not upload reports from other activities to DEQAR, unless they have been previously reported.

The self-evaluation report and the external review report is expected to pay specific attention to issues where the Register Committee concluded in [its rejection decision<sup>3</sup> of 16 March 2020](#) that the agency complied only partially with the ESG, namely ESG 2.1, ESG 2.4, ESG 2.6 and ESG 2.7.

Should any substantive changes occur in ANVUR between now and the review (e.g. organisational changes, the introduction of changes of activities within or outside of the scope of the ESG), the agency should inform EQAR as soon as possible to allow for an amendment of the current ToR.

## **2.2 Activities outside the scope of the ESG**

The following activities are outside the scope of the ESG and are not relevant for the application for inclusion on EQAR, but the panel may comment on them as they see fit:

- *Periodic evaluation of the quality of research and “third mission” outcomes (VQR)*
- *Definition of minimum standards of research production for the National Scientific Qualification*
- *Classification of scientific journals in humanities and social sciences*
- *Development and administration of tests on students’ disciplinary and transversal skills*
- *Setting of standards of administrative performance for HEIs and research institutes.*

## **3. The review process**

The review will be conducted following the methodology of ENQA Agency Reviews. The process is designed in line with the *Guidelines for ENQA Agency Reviews* and the requirements of the *EQAR Procedures for Applications*.

The review procedure consists of the following steps:

- Formulation of, and agreement on, the Terms of Reference for the review between ANVUR, ENQA and EQAR (including publishing of the Terms of Reference on ENQA’s website<sup>4</sup>);
- Nomination and appointment of the review panel by ENQA;
- Notification of EQAR about the appointed panel;
- Self-assessment by the agency, including the preparation and publication of a self-assessment report;
- A site visit of the agency by the review panel;
- Preparation and completion of the final review report by the review panel;
- Scrutiny of the final review report by ENQA’s Agency Review Committee;
- Publication of the final review report;
- A decision from the EQAR Register Committee on the agency’s registration on EQAR;
- A decision from the ENQA Board on ENQA membership;

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<sup>3</sup> See EQAR’s decision of 2020 :

[https://backend.deqar.eu/reports/EQAR/2020\\_03\\_A66\\_RejectionDecision\\_ANVUR.pdf](https://backend.deqar.eu/reports/EQAR/2020_03_A66_RejectionDecision_ANVUR.pdf)

<sup>4</sup> The agency is encouraged to publish the ToR on its website as well.

- Follow-up on the panel's recommendations to the agency, including a voluntary progress visit.

### **3.1 Nomination and appointment of the review panel**

The review panel consists of four members: one or two quality assurance experts (at least one of which is currently employed by an ENQA member agency), an academic employed by a higher education institution, a student member, and potentially a labour market representative (if requested). One of the members serves as the chair of the review panel, and another member as a review secretary. For ENQA Agency Reviews at least one of the reviewers is an ENQA nominee (most often the QA professional[s]). At least one of the reviewers is appointed from the nominees of either the European University Association (EUA) or the European Association of Institutions in Higher Education (EURASHE), and the student member is always selected from among the ESU-nominated reviewers. If requested, the labour market representative may come from the Business Europe nominees or from ENQA. An additional panel member may be included in the panel at the request of the agency. In this case, an additional fee is charged to cover the reviewer's fee and travel expenses.

The panel will be supported by the ENQA Review Coordinator (an ENQA staff member) who will monitor the integrity of the process and ensure that ENQA's requirements are met throughout the process. The Review Coordinator will not be the secretary of the review and will not participate in the discussions during the site visit interviews.

Current members of the ENQA Board are not eligible to serve as reviewers.

ENQA will provide the agency with the proposed panel composition and the *curricula vitarum* of the panel members to establish that there are no known conflicts of interest. The reviewers will have to agree to a non-conflict of interest statement that is incorporated in their contract for the review of this agency.

### **3.2 Self-assessment by the agency, including the preparation of a self-assessment report**

The agency is responsible for the execution and organisation of its own self-assessment process and must adhere to the following guidance:

- Self-assessment is organised as a project with a clearly defined schedule and includes all relevant internal and external stakeholders;
- The self-assessment report is expected to contain:
  - a brief description of the HE and QA system;
  - the history, profile, and activities of the agency;
  - a presentation of how the agency addresses each individual standard of Parts 2 and 3 of the ESG for each of the agency's external QA activities, with a brief, critical reflection on the presented facts;
  - opinions of stakeholders;
  - the instances of partial compliance noted in the most recent EQAR Register Committee decision of inclusion/renewal and any other aspects that may have been raised by the EQAR Register Committee in subsequent change report decisions (if relevant);
  - reference to the recommendations provided in the previous review and actions taken to meet those recommendations;
  - a SWOT analysis;
  - reflections on the agency's key challenges and areas for future development.

- All the agency's external QA activities (as defined under section 2.1) are described and their compliance with the ESG is analysed in the SAR.
- The report is well-structured, concise, and comprehensive. It clearly demonstrates the extent to which the agency performs its tasks of external quality assurance and meets the ESG.

The self-assessment report is submitted to the ENQA Secretariat, which has two weeks to carry out a screening. The purpose of a screening is to ensure that the self-assessment report is satisfactory for the consideration of the panel. The Secretariat will not judge the content of information itself but rather whether or not the necessary information, as outlined in the *Guidelines for ENQA Agency Reviews*, is present. If the self-assessment report does not contain the necessary information and fails to respect the requested form and content, the ENQA Secretariat reserves the right to ask for a revised version within two weeks.

The final version of the agency's self-assessment report is then submitted to the review panel a minimum of eight weeks prior to the site visit. The agency publishes the completed SAR on its website and sends the link to ENQA. ENQA will publish this link on its website as well.

### **3.3 A site visit by the review panel**

The review panel will draft a proposal of the site visit schedule which must be submitted to the agency at least six weeks before the planned dates of the visit. The schedule is to include an indicative timetable of the meetings and other exercises to be undertaken by the review panel during the site visit, the duration of which is usually 2,5 days. The approved schedule must be given to the agency at least one month before the site visit to properly organise the requested interviews.

In advance of the site visit (ideally at least two weeks before the site visit), the panel will organise an obligatory online meeting with the agency. This meeting is held to ensure that the panel reaches a sufficient understanding of:

- The specific national/legal context in which the agency operates;
- The specific quality assurance system to which the agency belongs;
- The key characteristics of the agency's external QA activities.

The review panel will be assisted by the ENQA Review Coordinator during the site visit. The review coordinator will act as the panel's chief liaison with the agency, monitor the integrity of the review process and its consistency, and ensure that ENQA's overall expectations of the review are considered and met.

The site visit will close with a final debriefing meeting in which the panel outlines its general impressions and provides an overview of the judgement on the agency's ESG compliance. The panel will not comment on whether or not the agency would be granted/reconfirmed membership with ENQA or registration on EQAR.

### **3.4 Preparation and completion of the final review report**

Based on the review panel's findings, the review secretary will draft the report in consultation with the review panel. The report will follow the purpose and scope of the review as defined under sections 2 and 2.1. It will also provide a clear rationale for the panel's findings concerning each standard of Parts 2 and 3 of the ESG. When preparing the report, the review panel should also bear in mind *EQAR's Policy on Use and Interpretation of the ESG for the European Register of Quality Assurance Agencies*<sup>5</sup> to ensure that the report contains sufficient information for the Register Committee to consider the agency's application for registration on EQAR.

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<sup>5</sup> Available at: <https://www.eqar.eu/about/official-documents/#use-and-interpretation-of-the-esg>

A draft will first be submitted to the ENQA Review Coordinator who will check the report for consistency, clarity, and language, and it will then be submitted to the agency – usually within 10 weeks of the site visit – for comment on factual accuracy and grave misunderstandings only. The agency will be given two weeks to do this and should not submit any additional material or documentation at this stage. Thereafter, the review panel will take into account the agency’s feedback on possible factual errors and finalise and submit the review report to ENQA.

The report should be finalised within three months of the site visit and will normally not exceed 40-50 pages in length.

### **3.5. Publication of the report and a follow-up process**

The agency will receive the review panel’s report and publish it on its website once the Agency Review Committee has validated the report. The report will also be published on the ENQA website together with the statement of the Agency Review Committee validating external review reports by assessing the integrity of the review process and checking the quality and consistency of the reports. Importantly, during this process, and prior to final validation of the report, the Agency Review Committee has the option to request additional (documentary) evidence or clarification from the review panel, review coordinator or the agency if needed. The review report will be published on ENQA website regardless of the review outcome.

As part of the review’s follow-up activities, the agency commits to react on the review recommendations and submit a follow-up report to ENQA within two years of the validation of the final external review report. The follow-up report will be published on the ENQA website.

The follow-up report may be complemented by an optional progress visit to the agency performed by two members of the original panel (whenever possible). The visit, which normally takes place 2-3 years after the verification of the final external review report (and after submission of the follow-up report), aims to offer an enhancement-oriented and strategically driven dialogue that ordinarily might be difficult to truly integrate in the compliance-focused site visit. The progress visit thus does not have the objective of checking the agency’s ESG compliance or how the agency has followed up on the recommendations, but rather provides an arena for strategic conversations that allow the agency to reflect on its key challenges, opportunities, and priorities. Should the agency not wish to take advantage of this opportunity, it may opt out by informing the ENQA Review Coordinator about this.

### **4. Use of the report**

ENQA will retain ownership of the report. The intellectual property of all works created by the review panel in connection with the review contract, including specifically any written reports, will be vested in ENQA.

The report is used as a basis for the Register Committee’s decision on the agency’s registration on EQAR. In the case of an unsuccessful application to EQAR, the report may also be used by the ENQA Board to reach a conclusion on whether the agency can be admitted/reconfirmed as a member of ENQA. The review process is thus designed to serve two purposes. In any case, the review report should only be considered final after validation by the Agency Review Committee. After submission to ENQA but before validation by the ARC, the report may not be used or relied upon by the agency, the panel, or any third party and may not be disclosed without ENQA’s prior written consent. The approval of the report is independent of the decision on EQAR registration or ENQA membership.

For the purposes of EQAR registration, the agency will submit the review report (once validated by the Agency Review Committee) to EQAR via email). The agency should also

include its self-assessment report (in a PDF format), a Declaration of Honour, and any other documents that may be relevant for the application (i.e., annexes, statement to the review report, updates). EQAR is expected to consider the review report and the agency's application at its Register Committee meeting as stipulated in the indicative review schedule below and before the decision on ENQA membership by the ENQA Board.

To apply for ENQA membership, the agency is also requested to provide a letter addressed to the ENQA Board outlining its motivation for applying for membership and the ways in which the agency expects to contribute to the work and objectives of ENQA during its membership. This letter will be considered by the Board together with the confirmation of EQAR listing when deciding on the agency's membership. Should the agency not be granted the registration in EQAR or the registration is not renewed, the decision on ENQA membership will be taken based on the final review report, the application letter, and the statement from the Agency Review Committee. The decision on membership will be published on ENQA's website.

## 5. Indicative schedule of the review

Agreement on Terms of Reference	July 2023
Appointment of review panel members	September 2023
Self-assessment completed	20 October 2023
Screening of SAR by ENQA Review Coordinator	November 2023
Preparation of the site visit schedule and indicative timetable	December 2023
Briefing of review panel members	December 2023
Review panel site visit	January 2024
Draft of review report and its submission to ENQA Review Coordinator for verification of its compliance with the Guidelines	March 2024
Draft of review report to be sent for a factual check to the agency	April 2024
Agency statement on the draft report to the review panel (if necessary)	April 2024
Submission of the final report to ENQA	May 2024
Validation of the review report by the Agency Review Committee	June 2024
Publication of report	June 2024
EQAR Register Committee meeting and initial consideration	Autumn 2024
Decision on ENQA membership by the ENQA Board	Autumn 2024