

External review of the Catalan University Quality Assurance Agency (AQU Catalunya) by the European Association for Quality Assurance in Higher Education (ENQA)

Annex I: TERMS OF REFERENCE

May 2016

1. Background and Context

AQU Catalunya is a public organisation that was founded in 1996 with the mission to conduct external reviews and analyse quality in the universities to safeguard the public interest, as well as to encourage enhancement in the sector and to inform society of the results of external review processes. While its main activities focus on Catalonia, the Agency is also active at international level.

OWNERSHIP

The origins of AQU Catalunya lie in the consortium, Agency for the Quality of the University System in Catalonia, which was established on 29 October 1996. In 2003, the consortium became the present-day agency, until on 8 July 2015 when the Parliament of Catalonia approved the AQU Catalunya Act (*Llei 15/2015, de 21 de juliol*). New legislation was necessary for AQU Catalunya, above all to comply with the recommendations of the ESG external international review of AQU Catalunya carried out in 2007.

The agency is an independent body, and it is funded by the government of Catalonia. The Board of the agency is comprised of representatives from different higher education institutions, the government of Catalonia and independent members (academics, students, and society representatives).

AGENCY QA ACTIVITIES

The Catalan University Quality Assurance Agency, AQU Catalunya, is the main instrument for the promotion and assurance of quality in the Catalan higher education system. The purpose of AQU Catalunya is the assessment, accreditation and certification of quality in the sphere of the universities and higher education centres of Catalonia.

METHODOLOGY USED

AQU Catalunya reviews Catalan university degree courses, faculties and schools, services and institutions. Since 2011, the agency has implemented the Framework for the validation (ex-ante assessment), monitoring, modification and accreditation of recognised awards, the purpose of which is the life-long quality assurance and continuous enhancement of degree courses.

Since 2003, AQU has carried out the pre-selection assessment of academic staff contracted at the public universities in Catalonia; since 2006, the agency has assessed the individual merits in teaching, research and management of teaching and research staff at Catalan universities within the framework of additional remuneration for academic staff.

AQU Catalunya has been a full member of ENQA since 2000 and is applying for renewal of ENQA membership.

AQU Catalunya has been registered on EQAR since 2008 and is applying for renewal.

2. Purpose and Scope of the Evaluation

This review, will evaluate the way in which and to what extent AQU Catalunya fulfils the *Standards and Guidelines for Quality Assurance in the European Higher Education Area (ESG)*. Consequently, the review will provide information to the ENQA Board to aid its consideration of whether membership of AQU Catalunya should be reconfirmed and to EQAR to support AQU Catalunya application to the register.

The review panel is not expected, however, to make any judgements as regards granting membership.

2.1 Activities of AQU Catalunya within the scope of the ESG

In order for AQU Catalunya to apply for ENQA membership and for registration in EQAR, this review will analyse all activities AQU Catalunya that are within the scope of the ESG, i.e. reviews, audits, evaluations or accreditation of higher education institutions or programmes that relate to teaching and learning (and their relevant links to research and innovation). This is regardless of whether these activities are carried out within or outside the EHEA, and whether they are obligatory or voluntary.

The following activities of AQU Catalunya have to be addressed in the external review:

1. Institutional level external reviews
2. Programme level external review
3. Review of institutions offering foreign degrees
4. International quality assurance by AQU Catalunya

Furthermore the self-assessment report and the external review report should discuss AQU's arrangements for the recognition of EQA activities of other quality assurance agencies and how AQU ensures ESG compliance in the recognition of quality labels.

3. The Review Process

The process is designed in the light of the *Guidelines for ENQA Agency Reviews* and in line with the requirements of the *EQAR Procedures for Applications*.

The evaluation procedure consists of the following steps:

- Formulation of the Terms of Reference and protocol for the review;
- Nomination and appointment of the review panel;
- Self-assessment by AQU Catalunya including the preparation of a self-assessment report;
- A site visit by the review panel to AQU Catalunya;
- Preparation and completion of the final evaluation report by the review panel;

- Scrutiny of the final evaluation report by the ENQA Review Committee;
- Analysis of the scrutiny by the ENQA Board and their decision regarding ENQA membership;
- Follow-up of the panel's and/or ENQA Board's recommendations by the agency, including a voluntary follow-up visit.

3.1 Nomination and appointment of the review team members

The review panel consists of four members: one or two quality assurance experts, an academic employed by a higher education institution, student member, and eventually a labour market representative (if requested). One of the members will serve 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 under review. In this case an additional fee to cover the reviewer's fee and travel expenses is applied.

In addition to the four members, the panel will be supported by the ENQA Secretariat review coordinator who will monitor the integrity of the process and ensure that ENQA expectations are met throughout the process. The ENQA staff member 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 AQU Catalunya with the list of suggested experts with their respective curriculum vitae to establish that there are no known conflicts of interest. The experts will have to sign a non-conflict of interest statement as regards AQU Catalunya review.

3.2 Self-assessment by AQU Catalunya, including the preparation of a self-assessment report

AQU Catalunya is responsible for the execution and organisation of its own self-assessment process and shall take into account 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 broken down by the topics of the evaluation and is expected to contain, among others: a brief description of the national HE and QA system; background description of the current situation of the Agency; an analysis and appraisal of the current situation; proposals for improvement and measures already planned; a SWOT analysis; each criterion (ESG part II and III) addressed individually. All agency's QA activities (whether within their national jurisdiction or outside of it, and whether obligatory or voluntary) will be described and their compliance with the ESG analysed.
- The report is well-structured, concise and comprehensively prepared. It clearly demonstrates the extent to which AQU Catalunya fulfils its tasks of external quality assurance and meets the ESG and thus the requirements of ENQA membership.
- The self-assessment report is submitted to the ENQA Secretariat who has 4 weeks to pre-scrutinise it before forwarding the report to the panel of experts. The purpose of the pre-scrutiny 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 whether the necessary information, as stated in the Guidelines for ENQA Agency Reviews, is present. For

the second and subsequent reviews, the agency is expected to enlist the recommendations provided in the previous review and to outline actions taken to meet these recommendations. In case 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 reject the report and ask for a revised version within 4 weeks. In such cases, an additional fee of 1000 € will be charged to the agency.

- The report is submitted to the review panel a minimum of six weeks prior to the site visit.

3.3 A Site Visit by the Review Panel

AQU Catalunya will draw up a draft proposal of the schedule for the site visit to be submitted to the review panel at least two months before the planned dates of the visit. The schedule includes 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 2,5 days. The approved schedule shall be given to AQU Catalunya at least one month before the site visit, in order to properly organise the requested interviews.

The review panel will be assisted by AQU Catalunya in arriving in Barcelona, Spain.

The site visit will close with an oral presentation and discussion of the major issues of the evaluation between the review panel and AQU Catalunya.

3.4 Preparation and completion of the final evaluation report

On the basis of the review panel's findings, the review secretary will draft the report in consultation with the review panel. The report will take into account the purpose and scope of the evaluation as defined under articles 2 and 2.1. It will also provide a clear rationale for its findings with regards to each ESG. A draft will be first submitted to the ENQA review coordinator who will check the report for consistency, clarity and language and it will be then submitted to AQU Catalunya for comment on factual accuracy. If AQU Catalunya chooses to provide a statement in reference to the draft report it will be submitted to the chair of the review panel within two weeks after the receipt of the draft report. Thereafter the review panel will take into account the statement by AQU Catalunya, finalise the document and submit it to AQU Catalunya and ENQA.

The report is to be finalised within three months of the site visit and will not exceed 40 pages in length.

When preparing the report, the review panel should also bear in mind the *EQAR Policy on the Use and Interpretation of the ESG*, so as to ensure that the report will contain sufficient information for the Register Committee for application to EQAR.

AQU Catalunya is also requested to provide a letter addressed to the ENQA Board outlining its motivation applying for membership and the ways in which AQU Catalunya expects to contribute to the work and objectives of ENQA during its membership. This letter will be discussed along with the final evaluation report.

4. Follow-up Process and Publication of the Report

AQU Catalunya will consider the expert panel's report and will publish it on its website once the ENQA Board has made its decision. The report will also be published on the ENQA website, regardless of the review outcome and decision by the ENQA Board. AQU Catalunya commits to preparing a follow-up plan in which it addresses the recommendations of the review panel and to submitting a

follow-up report to the ENQA Board. The follow-up report will be published on the ENQA website, in addition to the full review report and the Board's decision.

The follow-up report will be complemented by a small-scale visit to the agency performed by two members of the original panel (whenever possible). This visit will be used to discuss issues, based on the ESG, considered as of particular importance or challenge by AQU Catalunya. Its purpose is entirely developmental and has no impact on the judgement of membership and/or compliance of the agency with the ESG. Should the agency not wish to take advantage of this opportunity, it may opt out by informing the ENQA Review Coordinator about this.

5. Use of the report

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

The review report is used by the Board of ENQA for the purpose of reaching a conclusion on whether AQU Catalunya has met the ESG and can be thus admitted/reconfirmed as a member of ENQA. The report will also be used for registration on EQAR, and is designed so as to serve these two purposes. However, the review report is to be considered final only after being approved by the ENQA Board. Once submitted to AQU Catalunya and ENQA and until it is approved by the Board the report may not be used or relied upon by AQU Catalunya, the panel and any third party and may not be disclosed without the prior written consent of ENQA. AQU Catalunya may use the report at its discretion only after the Board has approved of the report. The approval of the report is independent of the decision on membership.

The Chair of the panel shall remain available to respond to questions of clarification or further information from the EQAR Register Committee provided that the ENQA Secretariat is copied in all such requests.

6. Budget

AQU Catalunya shall pay the following review related fees:

Fee of the Chair	4,500 EUR
Fee of the Secretary	4,500 EUR
Fee of the 2 other panel members	4,000 EUR (2,000 EUR each)
Fee of 2 panel members for follow-up visit	1,000 EUR (500 EUR each)
Administrative overhead for ENQA Secretariat	7,000 EUR
Experts Training fund	1,400 EUR
Approximate travel and subsistence expenses	6,000 EUR
Travel and subsistence expenses follow-up visit	1,600 EUR

This gives a total indicative cost of 30,000.00 EUR VAT excl. for a review team of 4 members. In the case that the allowance for travel and subsistence expenses is exceeded, AQU Catalunya will cover any additional costs after the completion of the review. However, the ENQA Secretariat will endeavour to keep the travel and subsistence expenses in the limits of the planned budget, and will refund the difference to AQU Catalunya if the travel and subsistence expenses go under budget.

The fee of the follow-up visit is included in the overall cost of the review and will not be reimbursed in case the agency does not wish to benefit from it.

In the event of a second site visit required by the Board and aiming at completing the assessment of compliance, and should the agency accept a second visit, an additional fee of 500 EUR per expert, as well as travel and subsistence costs are recoverable from the agency.

7. Indicative Schedule of the Review

Agreement on terms of reference	June 2016
Appointment of review panel members	November/December 2016
Self-assessment completed	December 2016
Pre-screening of SER by ENQA coordinator	January 2017
Preparation of site visit schedule and indicative timetable	January/February 2017
Briefing of review panel members	Early February 2017
Review panel site visit	Late February/Early March 2017
Draft of evaluation report and submitting it to ENQA coordinator for pre-screening	Early April 2017
Draft of evaluation report to AQU Catalunya	Mid-April 2017
Statement of AQU Catalunya to review panel if necessary	Early May 2017
Submission of final report to ENQA	By Mid-May 2017
Consideration of the report by ENQA Board and response of AQU Catalunya	June 2017
Publication of the report	June/July 2017