

External review of the European University Association's (EUA) Institutional Evaluation Programme (IEP) by the European Association for Quality Assurance in Higher Education (ENQA)

**Annex I: TERMS OF REFERENCE**

August 2013

**1. Background and Context**

The Institutional Evaluation Programme (IEP) is an independent membership service of the European University Association (EUA). It was launched in 1994 as a strategic tool for change in higher education institutions. So far, IEP carried out over 300 evaluations in Europe and worldwide. The Programme is overseen by a Steering Committee. IEP's mission is to support higher education institutions and systems in developing their capacity for change consistent with institutional autonomy, through the process of institutional evaluation.

The IEP evaluates higher education institutions in the context of their specific goals and objectives with the aim of quality improvement. The Programme emphasises an inclusive self-evaluation process and institutional self-knowledge for improved internal governance and management as well as for external accountability purposes. The evaluation methodology is based on a peer-review approach.

IEP evaluations examine institutional structures and decision-making processes and the effectiveness of strategic management. The evaluations focus on the relevance of internal quality processes and the degree to which their outcomes are used in decision-making and strategic management as well as identifying any gaps in these internal mechanisms.

The IEP is committed to continuous improvement of its own processes and operates in a manner consistent with good international and European practice, including the *European Standards and Guidelines for Quality Assurance in the European Higher Education Area*.

IEP has been Full member of ENQA since 2000. Full membership was confirmed following an external review on 7 September 2009.

**2. Purpose and Scope of the Evaluation**

This is a type A review, as defined in the *Guidelines for external reviews of quality assurance agencies in the European Higher Education Area*. It will evaluate the way in which and to what extent IEP fulfils the criteria for the ENQA membership and thus the *Standards and Guidelines for Quality Assurance in the European Higher Education Area (ESG)*. Consequently, the review will also provide information to the ENQA Board to aid its consideration of whether IEP should be reconfirmed Full Member of ENQA. The review panel is not expected, however, to make any judgements as regards the reconfirmation of Full Membership.

### 3. The Review Process

The process is designed in the light of the *Guidelines for external reviews of quality assurance agencies in the European Higher Education Area*.

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-evaluation by IEP including the preparation of a self-evaluation report;
- A site visit by the review panel to IEP;
- Preparation and completion of the final evaluation report by the review panel;
- Scrutiny of the final evaluation report by the Review Committee of the ENQA Board;
- 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.

#### 3.1 Nomination and appointment of the review team members

The review panel consists of five members: Four external reviewers (one or two quality assurance experts, representative(s) of higher education institutions, student member) and a review secretary. Three of the reviewers (including the review secretary) are nominated by the ENQA Board on the basis of proposals submitted to ENQA by the national agencies, and are drawn from senior serving members of Board/Council or staff of ENQA member agencies. The fourth external reviewer is drawn from a nomination provided by the European association of Higher Education Institutions (EURASHE). The nomination of the student member is asked from the European Students' Union (ESU). One of the panel members serves as the chair of the review.

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

ENQA will provide IEP 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 the IEP review.

#### 3.2 Self-evaluation by IEP, including the preparation of a self-evaluation report

IEP is responsible for the execution and organisation of its own self-evaluation process and shall take into account the following guidance:

- Self-evaluation is organised as a project with a clearly defined schedule and includes all relevant internal and external stakeholders;
- The self-evaluation report is broken down by the topics of the evaluation: background description of the current situation of the Agency; analysis and appraisal of the current situation; proposals for improvement and measures already planned; a summary of perceived strengths and weaknesses;
- The report is well-structured, concise and comprehensively prepared. It clearly demonstrates the extent to which IEP fulfils its tasks of external quality assurance and meets the criteria for the

ENQA membership and thus the ESG. The report is submitted to the review panel a minimum of four weeks prior to the site visit.

### **3.3 A Site Visit by the Review Panel**

IEP will draw up a draft proposal of schedule of 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 days. The approved schedule shall be given to IEP at least three weeks before the dates of the visit, in order to properly organise the requested interviews.

The review panel will be assisted by IEP in arriving in Brussels, Belgium.

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

### **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 article 2. It will also provide a clear rationale for its findings with regards to each ENQA membership criteria. A draft will be submitted for comment to IEP by January 8<sup>th</sup>, 2014, for comment on factual accuracy. If IEP chooses to provide a statement in reference to the draft report it will be submitted to the chair of the review panel at the latest on January 15<sup>th</sup>, 2014. Should the report be received after January 8<sup>th</sup>, 2014, the IEP will send its statement within one week after receipt of the report. Thereafter the review panel will take into account the statement by IEP, finalise the document and submit it to IEP and ENQA.

The report is to be finalised by January 22<sup>nd</sup>, 2014 and will not exceed 40 pages in length.

## **4. Follow-up Process and Publication of the Report**

IEP will consider the expert panel's report and may inform ENQA of its plans to implement any recommendations contained in the report. Subsequent to the discussion of the evaluation results and any planned implementation measures with ENQA, the review report will be published on the IEP website. IEP also commits to preparing a follow-up plan in which it addresses the recommendations of the review panel.

The final review report will be published on the ENQA website, regardless of the review outcome and decision by the Board.

## **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 to be used by the Board of ENQA for the purpose of reaching a conclusion on whether IEP has or has not met the membership criteria/ESG.

The working paper authored by the Panel is to be considered as a report owned by ENQA only after being approved by the ENQA Board.

Once submitted to IEP and ENQA and until the decision by the Board is made, the working paper may not be used or relied upon by IEP, the panel and any third party and may not be disclosed without the prior written consent of ENQA. IEP may use the report at its discretion only after the Board decision has been made.

IEP shall be aware that, should an application to the European Quality Assurance Register for Higher Education (EQAR) be submitted, the Chair of the panel might be approached by the Register Committee for any request for clarification. The Chair of the panel may give a response but he/she is requested to copy the Director of ENQA on all correspondence.

## 5. Budget

IEP shall pay the following review related fees:

Fee of the Chair	4,750 EUR
Fee of the Secretary	4,750 EUR
Fee of the 3 other panel members	8,250 EUR (2,750 EUR each)
Administrative overhead for ENQA Secretariat	5,000 EUR
Experts Training fund	1,250 EUR
Travel and subsistence expenses (approximate)	6,000 EUR

This gives a total indicative cost of 30,000 EUR for a review team of 5 members. In the case that the allowance for travel and subsistence expenses is exceeded, IEP 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 IEP if the travel and subsistence expenses go under budget.

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.

## 6. Indicative Schedule of the Review

The duration of the evaluation is scheduled to take about 19 months, from October 2012 to March 2014:

Self-evaluation starts	October 2012
Agreement on terms of reference and protocol for review	August 2013
Appointment of review panel members	August 2013
Preparation of site visit schedule and indicative timetable	September-October 2013
Self-evaluation completed and submitted	11 October 2013
Briefing of review panel members	October 2013

Review panel site visit	4 <sup>th</sup> week of November 2013 (25-28)
Draft of evaluation report to IEP	January 2014
Statement of IEP to review panel if necessary	January 2014
Submission of final report to ENQA	22 January 2014
Consideration of the report by ENQA and response of IEP	February 2014
Publication of report	March 2014