

External review of the Independent Kazakh Quality Assurance Agency for Education (IQAA)
by the European Association for Quality Assurance in Higher Education (ENQA)

Annex I: TERMS OF REFERENCE

December 2015

1. Background and Context

The Independent Kazakh Agency for Quality Assurance in Education was established in 2008 in form of the non-governmental, non-profit organization created for the enhancement of the quality of education and competitiveness of Kazakhstani educational institutions; provision of information about educational institutions operating in good faith to all stakeholders in Kazakhstan and abroad.

IQAA is a non-profit organization, which does not have any intentions in obtaining profit and distributing the income among the founders of the agency.

In accordance with the requirements for quality assurance agencies (Order of the Ministry of Education and Science of the Republic of Kazakhstan №556, «The procedure and the requirements for maintaining national registries of accreditation bodies, accredited educational institutions and study programs” dated by 31.12.2011), in June 2012, IQAA was included in the National Register of accreditation bodies recognized by the Ministry of Education and Science of RK, and received a certificate №1 (BFM -001) for a period of 5 years until 12/12/2017.

The mission of the agency is to assist in the improvement of the quality of education in Kazakhstani educational institutions and the enhancement of their competitiveness on national and international levels.

Methods

- Informational and methodical support of Kazakhstani universities on the issues regarding the quality of education in accordance with the Standards and Guidelines for Quality Assurance in the European Higher Education Area;
- Organization and holding of the institutional and programme accreditation of educational organizations in accordance with the Standards and Guidelines for Quality Assurance in the European Higher Education Area both in Kazakhstan and abroad;
- Development of standards and criteria of institutional and programme accreditation in the field of higher education, technical and vocational education;
- Arrangement and holding of training courses, seminars, workshops, round tables in the field of quality assurance in education, management and administration of educational institutions;
- Training of experts and their certification (including attraction and involvement of foreign experts).

In the work with higher education institutions, the experts of IQAA use:

- Normative legal documents of the government and the Ministry of Education and Science of the Republic of Kazakhstan, issued in form of statutes and orders respectively;
- Standards and criteria for institutional and programme accreditation developed by IQAA for the internal quality assurance system in higher education institutions;
- Standards and criteria for the external quality assurance of education developed by IQAA;
- Standards and Guidelines for Quality Assurance in the European Higher Education Area (ENQA);
- Guidelines of Good Practice in Quality Assurance (INQAAHE);
- Recommendations of ENQA;

Additional services provided by IQAA

- Participation in the preparation of normative legal acts on the assessment of the quality of education and other related issues of legal regulation, which are developed and authorized by the legislative and competent authorities and professional organizations;
- Arrangement and holding of international, national and regional conferences, symposia and seminars in the field of education;
- International cooperation with quality assurance agencies and organizations, membership in international organizations in the areas of activities of IQAA;
- Interaction with stakeholders (partners - employers, student organizations) on the quality assessment of educational organizations.

The Agency performs its functions objectively and impartially in accordance with the Law of the Republic of Kazakhstan "On Education" with introduced amendments and additions dated by 24.10.2011 and 11.13.2015.

IQAA values:

- Independence, integrity, objectivity and professionalism.
- Focus on the improvement and capability to changes.
- Collaboration with all stakeholders (educational institutions, employers, professional associations of employers and experts).
- Student participation in the procedures of quality assurance.
- Cooperation with quality assurance agencies and international networks in the field of higher education.
- Commitment to the performance of high-quality activities related to professionalism and honesty on the part of the staff of the agency.

At the end of 2015, the Parliament of the Republic of Kazakhstan prepared amendments and additions to the Law of the Republic of Kazakhstan "On Education", which was approved by the Decree of the President of the country on 11/13/2015. The crucial role in suggesting these changes and amendments regarding the strengthening of the importance of independent accreditation, the elimination of the state attestation of universities from January 1, 2017 is granted to the ex-members

of the Accreditation Council, members of Parliament and representatives of employers, who are also the members of the Accreditation Council of IQAA.

Since the procedure of accreditation in Kazakhstan is voluntary and payable by universities, it was important to consider the mechanisms of stimulation for universities to undergo this procedure.

IQAA has been an affiliate of ENQA since September 2008 and is applying for ENQA membership.

IQAA is applying for registration on EQAR.

2. Purpose and Scope of the Evaluation

This review, will evaluate the way in which and to what extent IQAA fulfills 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 IQAA should be granted and to EQAR to support IQAA application to the register.

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

2.1 Activities of IQAA within the scope of the ESG

In order for IQAA to apply for ENQA membership and for registration in EQAR, this review will analyse all activities of IQAA 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 IQAA have to be addressed in the external review:

1. Institutional accreditation of higher education institutions;
2. Specialized accreditation of study programmes of higher education institutions;
3. Institutional accreditation of the educational departments of research organisations;
4. Specialized accreditation of study programmes of research organizations.

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 IQAA including the preparation of a self-assessment report;
- A site visit by the review panel to IQAA;
- 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. Two of the reviewers are nominated by the ENQA Board on the basis of proposals submitted to ENQA by the member national agencies. The third external reviewer is drawn from a nomination provided by the European University Association (EUA) or the European Association of Institutions in Higher Education (EURASHE). The nomination of the student member comes from the European Students' Union (ESU).

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 IQAA 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 IQAA review.

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

IQAA 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 IQAA 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

IQAA 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 IQAA at least one month before the site visit, in order to properly organise the requested interviews.

The review panel will be assisted by IQAA in arriving in Astana, Kazakhstan.

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

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 IQAA within 11 weeks of the site visit for comment on factual accuracy. If IQAA 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 IQAA, finalise the document and submit it to IQAA 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.

IQAA is also requested to provide a letter addressed to the ENQA Board outlining its motivation applying for membership and the ways in which IQAA 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

IQAA 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. IQAA 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 IQAA. 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 IQAA has met the ESG and can be thus admitted 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 IQAA and ENQA and until it is approved by the Board the report may not be used or relied upon by IQAA, the panel and any third party and may not be disclosed without the prior written consent of ENQA. IQAA 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

IQAA 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, IQAA 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 IQAA 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	January 2016
Appointment of review panel members	March 2016
Self-assessment completed	April/May 2016
Pre-screening of SER by ENQA coordinator	May 2016
Preparation of site visit schedule and indicative timetable	July 2016
Briefing of review panel members	August 2016
Review panel site visit	September/early October 2016
Draft of evaluation report and submitting it to ENQA coordinator for pre-screening	November 2016
Draft of evaluation report to IQAA	December 2016
Statement of IQAA to review panel if necessary	December 2016
Submission of final report to ENQA	January 2017
Consideration of the report by ENQA Board and response of IQAA	February 2017
Publication of the report	February/March 2017