

**15<sup>TH</sup> ENQA TRAINING OF AGENCY  
REVIEWERS, ONLINE, 15-16 MAY 2023**

# **NOTION OF COMPLIANCE**

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**enqa.**

# EXTERNAL REVIEW REPORT – WRITING UP FINDINGS

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# EXTERNAL REVIEW REPORT – WRITING UP FINDINGS

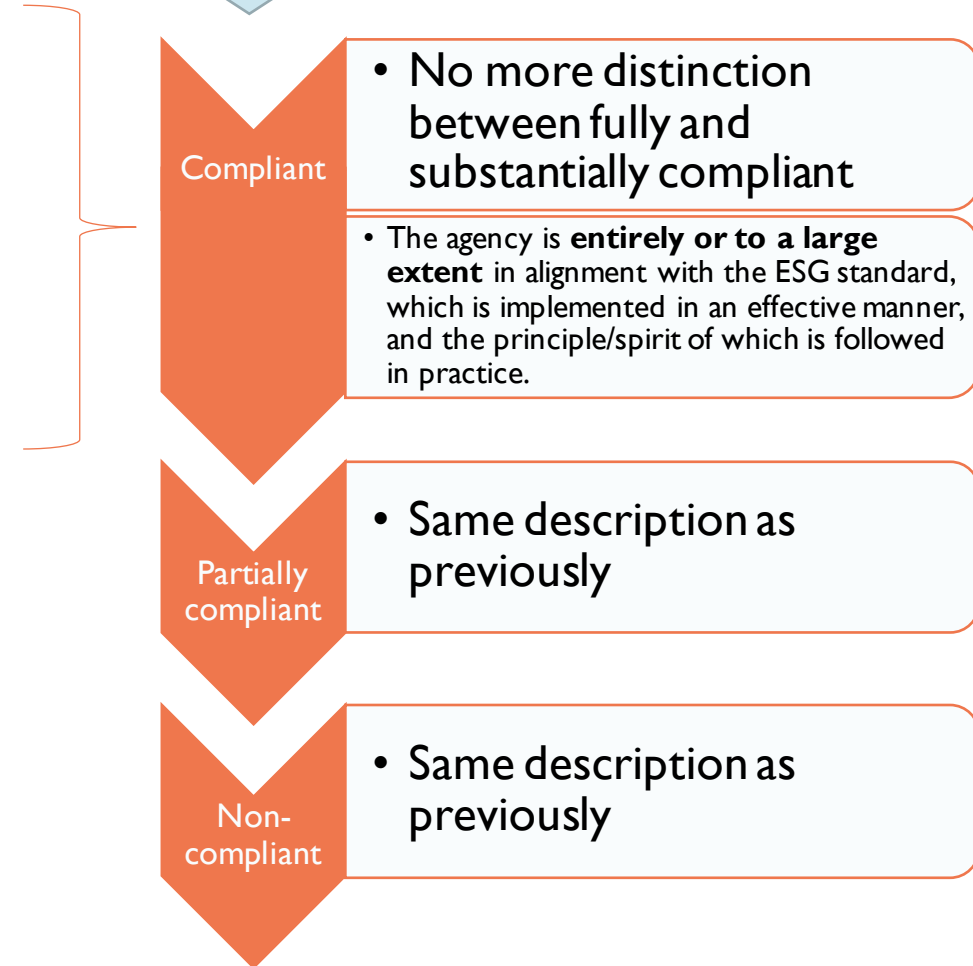
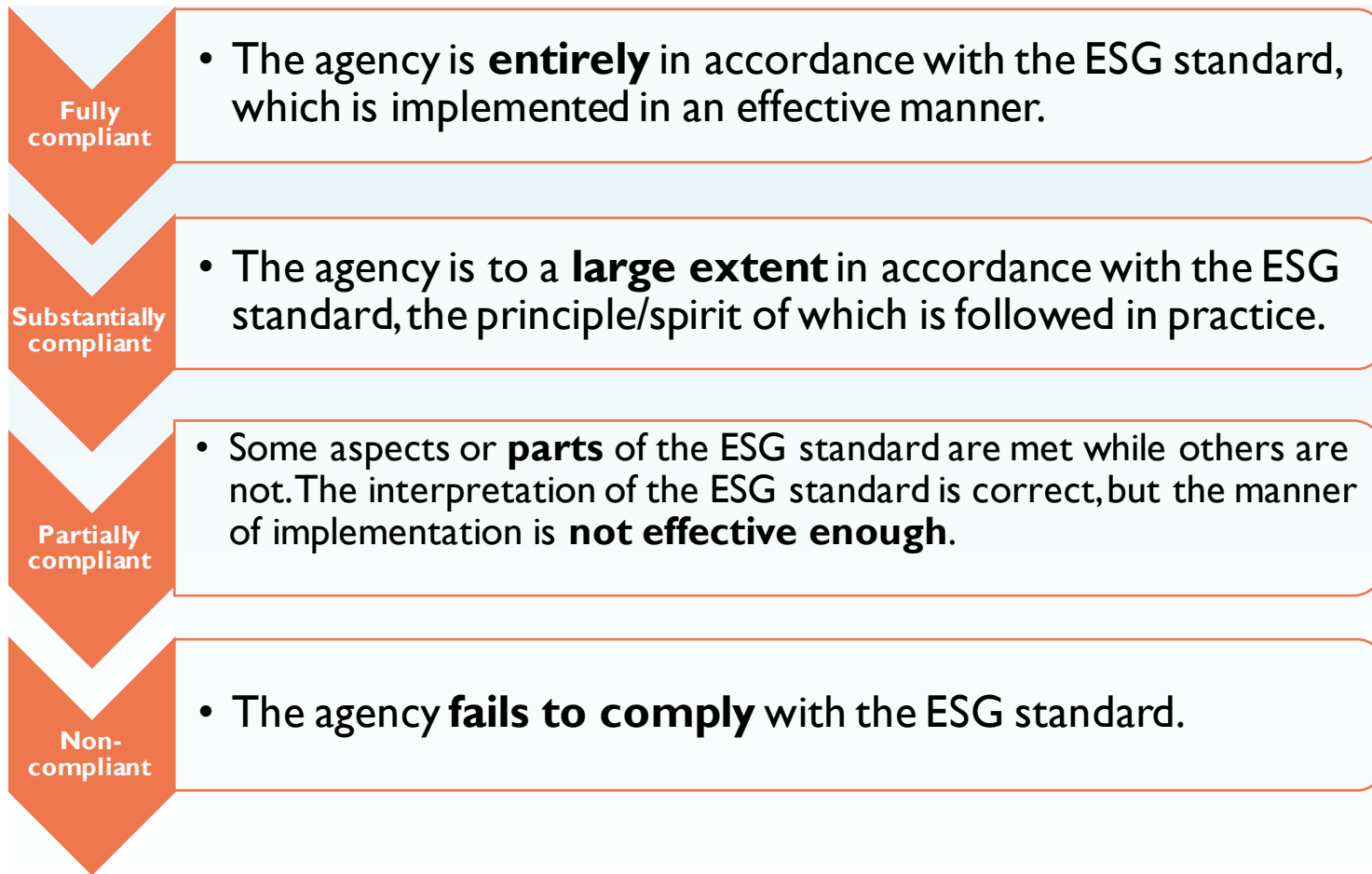
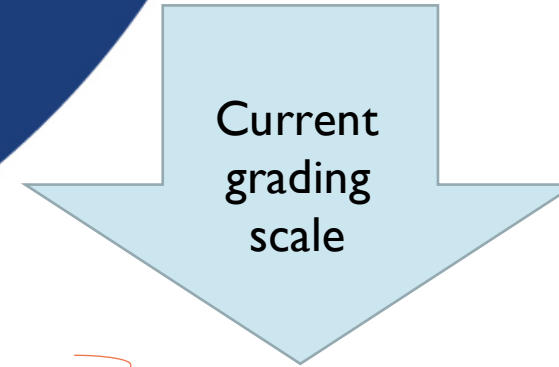
- Findings section in the external review report : compliance with ESG Part 3 (3.1-3.7) and ESG Part 2 (2.1-2.7)
- Under each ESG standard, the report should include:
  - **EVIDENCE**: a description of the evidence gathered (reference to site visit interviews or documentation explored (SAR, website, other docs) and – where relevant – to changes implemented since the previous review)
  - **ANALYSIS**: panel's consideration of how far, based on the evidence available, the agency does (or does not) meet the ESG standard and eventual reasons or explanations for any lack of compliance;
  - **CONCLUSION (judgement on compliance)**: explanation of how compliant the agency is, in the opinion of the panel (based on the evidence and analysis), with the ESG standard.

# JUDGEMENTS ON COMPLIANCE IN THE REPORT



- The link between evidence, analysis, and conclusions should be mutually supportive.
- It has to be clear from the review report why the panel came to that conclusion.
- ENQA requires graded compliance to be practiced by the panel. The purpose is to give a nuanced picture of compliance, primarily to the agency, but also to the decision-makers (ENQA, EQAR).

# GRADING SCALE



# OVERALL JUDGEMENT ON COMPLIANCE

- The panel is also expected to **comment on the overall compliance** of the agency with the ESG (but not to make a recommendation about ENQA membership as such).
- The overall judgement on compliance does not result from a mathematical calculation. However, a case of non-compliance would normally lead to a judgement that the agency is not compliant with the ESG overall.
- For an agency to become a member of ENQA, the agency needs to be overall compliant with Parts 2 and 3 of the ESG.

## SPECIFIC CONTEXT



- Compliance-judgment may be impossible for some agencies, owing to restrictions placed on them by the very nature of their work and/or legislation in place in their (predominant) country(ies) of operation.
- Context should to be duly explained in the review report.
- The first ESG review of an agency will pay specific attention to the policies, procedures, and criteria in place. Comprehensive evidence of concrete results may not be required in all areas at this stage; however, the agency must be able to document how they expect to achieve results relating to all standards by the next review.

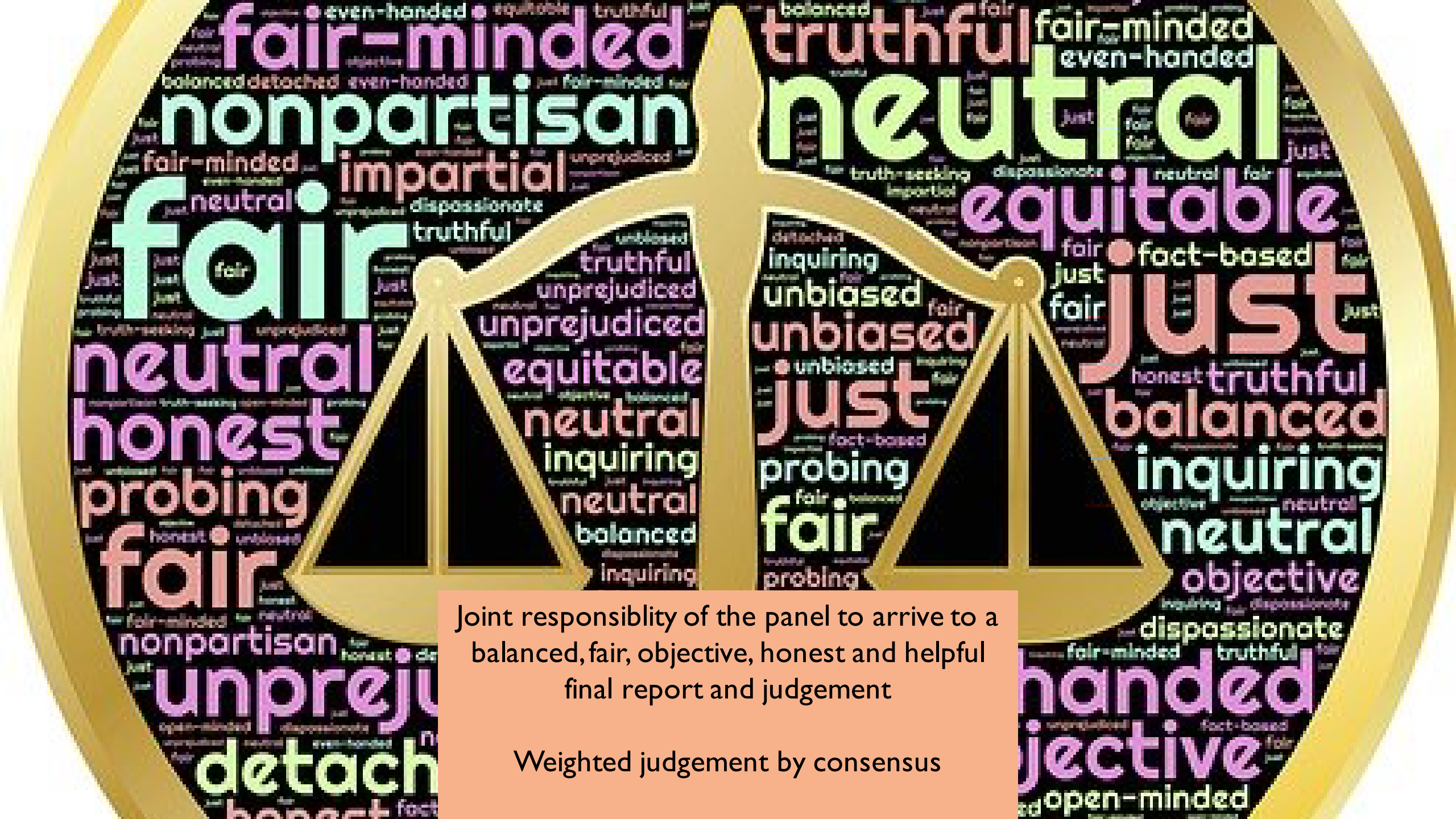
# AREAS OF DEVELOPMENT AND GOOD PRACTICES

- **Recommendations** – compliance related. They should logically follow from the evidence and analysis provided. Evidence, analysis and conclusions should be mutually supportive. Agencies are obliged to follow up recommendations.
  - Standards judged as partially compliant and non-compliant should always include (a) recommendation(s)
  - BUT it is also possible to give (a) recommendation(s) even if standard is judged compliant! (cf. “to a large extent in alignment with the ESG”)
- **Suggestions for further improvement** – different from compliance related recommendations as they are solely for development purposes. The agency has no obligation to follow up these suggestions.
- **Commendations** – to highlight and promote good practice and excellence in external QA. The panel is asked not only to highlight areas that require further development but also areas in which the agency has excelled.



# INTERLINKS AND BALANCE

- Interlinks between standards of Part 2 and 3
  - When the panel evaluates the agency, they have to sometimes of course make the connections (referencing in report!) but also to decide where to «judge» a specific element.
    - For example inadequacies in reporting, should be dealt with in the standard 2.6 on reporting, rather than in 2.3. implementing processes.
    - An agency should not be penalised significantly for one issue under several standards. This said, sometime a failure in one standard means that another cannot be met, either.
    - A question of finding a balance!



fair-minded

truthful

nonpartisan

neutral

impartial

equitable

fair

just

neutral

unbiased

honest

balanced

probing

inquiring

fair

neutral

nonpartisan

objective

unpreju

handed

Joint responsibility of the panel to arrive to a balanced, fair, objective, honest and helpful final report and judgement

Weighted judgement by consensus