



INQAAHE Forum 2020 Moscow Workshop # 4

Guidelines of Good Practice

The INQAAHE Approach

Moscow

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Overview

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- II. Why GGP Recognition?
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 - Section II: Accountability of the EQAA
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I. Evolution of GGP Recognition

-  2003 – originated as a response to the growing massification, internationalisation and diversification of higher education (HE)
 -  A set of standards developed by the profession's membership for the higher education community at large
 -  To encourage member EQAAs (External Quality Assurance Agencies) to benchmark their practice against those standards
-  2006 – reviewed in line with advanced technology
-  2014-2015 – establishment of an INQAAHE GGP Review Committee to appraise the relevance and currency of the guidelines
 -  with special emphasis on QA of cross-border higher education
 -  highlight the need for promoting integrity of QA providers as well as the recognition of achievements
 -  promote links to the QA community




-  2017–2018 – GGP Review Committee conducted further revision to:
 -  Ease the burden of multiple recognition procedures for the EQAAs
 -  Provide a robust platform for QA agencies to conduct their daily operations
 -  Encourage and support member QA agencies to abide to good practice
 -  Safeguard against bogus education providers benefiting from unethical practice
 -  Manifest trustworthiness of EQAA and systems
 -  Provide a strong foundation for the promotion of mutual recognition of EQA review outcomes and outputs
 -  Promote the transparency in EQAAs operations worldwide
-  2019 – Major step taken to re-brand GGP, establishing it as a support mechanism to promote the UNESCO Global Conventions (adopted in November 2019)

II. Why GGP Recognition?

For ongoing improvement, to:

-  foster a commitment to self-review and self-directed change
-  improve fairness and consistency in agency review and decision-making processes
-  encourage an attitude of excellence in practice
-  provide professional development benchmarks among EQAA staff and volunteers
-  establish greater collaboration with other EQAAs and their national/regional & international networks

For demonstrating its commitment in QA and to:

-  be competitive in the EQA arena and in the global market place
-  demonstrate effective and proven resource management to the publics served by the EQAA
-  remain able and current to respond to the changing nature of higher education

To promote credibility:

- 🎓 be recognised as legitimate and credible EQAA, and,
- 🎓 to enhance your agency's reputation

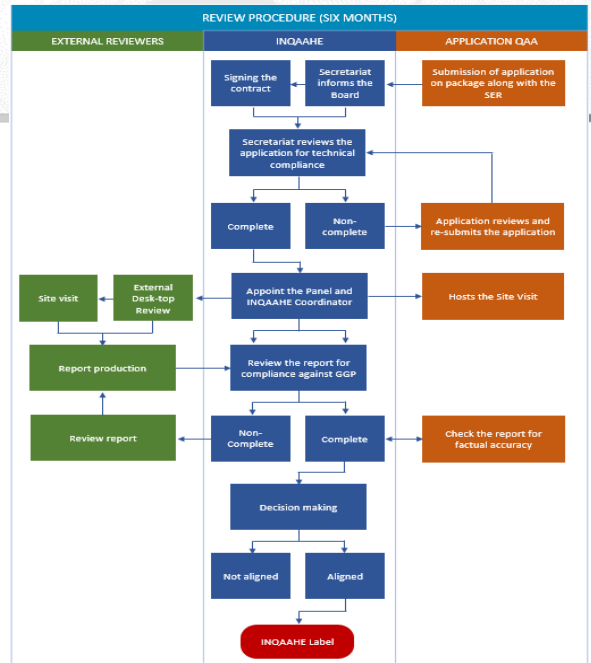
III. Pathways of GGP Recognition

i. Review

- 🎓 An external review by an international Review Panel set up by INQAAHE
- 🎓 An INQAAHE GGP Project Coordinator will be appointed as the key point of contact for the applicant EQAA and the Review Panel, to provide administrative and coordination support throughout the entire review process.
- 🎓 Applicant EQAA prepares a self-assessment report (SER) and hosts an on-site visit or virtual site visit of the Review Panel.
- 🎓 The Review Panel then submits a Review Report to INQAAHE outlining the applicant EQAA's alignment with the criteria. The INQAAHE Board receives the report and makes a final decision regarding the agency's alignment with the GGP.

GGP Recognition Pathway 1: Review

- 📌 Through an evaluation carried out by INQAAHE
- 📌 Self evaluation against the EQAA's mission and the GGP
- 📌 An external review organized by INQAAHE
- 📌 A decision on alignment
- 📌 Award of the INQAAHE label
- 📌 Inclusion in the register of GGP Aligned EQAAs



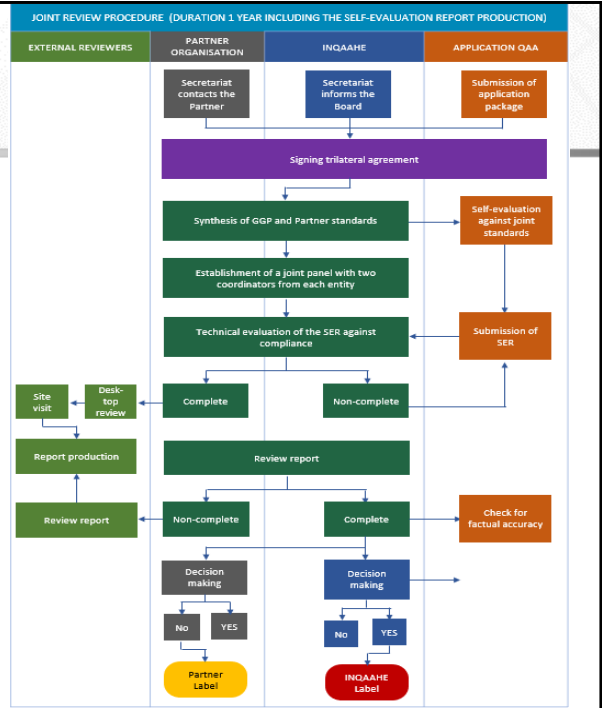
ii. Joint Review

- 📌 Applicant EQAA applies simultaneously for an external review by INQAAHE and another reputable QA body specialised in comparable practices.
- 📌 In this case, an INQAAHE GGP Project Coordinator will be appointed, tasked to oversee the review process, including to coordinate with the counterpart QA body, to set up an international Review Panel to carry out the joint review process and procedures.
- 📌 The standards/criteria/guidelines of both of the QA bodies will be aligned to ensure elimination of potential duplication.
- 📌 While the procedure for conducting the review is carried out jointly, the decision on alignment/recognition are made independently by each of the QA bodies responsible for the review, thus granting double labels to the successful applicants.



GGP Recognition Pathways 2: Joint Review

- Through an evaluation carried out jointly by INQAHE and other reputable external evaluator
- Synthesis of the criteria of both the external evaluators
- Single review procedure two separate decisions and awards of recognition
- Award of two labels (INQAHE and the other evaluator)
- Inclusion in the register of GGP Aligned EQAAs



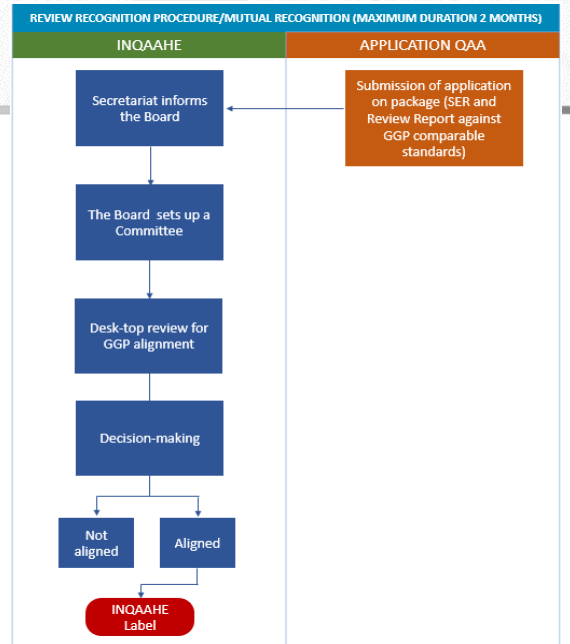
iii. Recognition

- The applicant EQAA to apply for acceptance of its alignment with the GGP by demonstrating that it has already been reviewed against a set of standards or criteria set by a reputable, external organisation that are considered to be substantially equivalent to or exceed the requirements set forth in the GGP.
- This pathway requires INQAHE to review the standards or criteria set by the external organisation to determine if equivalency exists. The applicant agency must provide evidence of the outcome of this review, including any report issued by the external organisation.



GGP Recognition Pathways 3: Recognition

- 🔍 Through the provision of independent evidence of the alignment by a credible and reputable external organization
- 🔍 Presentation of the criteria and procedures applied
- 🔍 External review report and the decision made by the agency
- 🔍 INQAAHE recognition
- 🔍 Award of the INQAAHE label
- 🔍 Inclusion in the register of GGP Aligned EQAAs





IV. GGP Review Application Process



- i. Confirmation of intent to proceed with GGP Recognition
- ii. Self- Evaluation Report (SER)
- iii. Desk Review - Assessment of SER
- iv. Site Visit – Verbal Exit Report
- v. Consensus on Final Report
- vi. Decision Making by INQAAHE Board of Directors



i. Confirmation of intent to proceed with GGP Recognition

-  Execution of the GGP Review Service Contract - containing the terms and conditions, mutual rights and duties of each party.
-  Remittance of the applicable review service fee on the agreed date, which should be before the site visit of the Review Panel

ii. Self- Evaluation Report (SER)

-  EQAA is to prepare the SER addressing all criteria listed under the six (6) sections of the GGP recognition structure
-  EQAA is to submit the final SER to the INQAAHE Secretariate for determination of eligibility

iii. Desk-top review

- 🌱 A thorough review of the SER is conducted by members of the designated Review Panel
- 🌱 Preliminary or desk-top assessment report will be forwarded by the Project Coordinator to the applicant EQAA for information and record, where applicable, request for clarification or additional evidence to substantiate claims made
- 🌱 This interim report will form the basis for the site visit, and, to guide the Review Panel in setting the site visit agenda in cooperation/conjunction with the applicant EQAA

iv. Site Visit / Virtual Site Visit

Site Visit:

Primary objectives of the site visit are for the Review Panel to:

- 🌱 validate information provided in the SER in person
- 🌱 engage in an in-depth exchange with the applicant EQAA regarding its aspirations, activities and development
- 🌱 Meet and interview a range of relevant internal and external stakeholders
- 🌱 Duration of the site visit – three (3) input days
- 🌱 At the end of the site visit, the Review Panel will present a verbal 'Exit Report' to the Senior Executives of the applicant EQAA

Virtual Site Visit:

- 🌐 New operational reality under COVID-19 travel constraints
- 🌐 Meetings and interviews are to be conducted via virtual platform
- 🌐 When organising virtual meetings/interviews, consideration for time differences amongst Review Panel Members, applicant EQAA and other stakeholders
- 🌐 Duration of the virtual site visit might stretch beyond three (3) input days
- 🌐 At the end of the site visit, the Review Panel will present a virtual verbal 'Exit Report' to the Senior Executives of the applicant EQAA

Optional

- 🌐 To complement virtual site visit, and, at the discretion of the Review Panel Chair, written submissions from relevant internal and external stakeholders of the applicant EQAA could be included as part of the evaluation/evidence validation process:
 - 🌐 Applicant EQAA to provide a contact list of internal/external stakeholders (e.g., reporting authority such as the Ministry of Higher Education, Board of Directors, internal staff responsible for QA assessment, universities under review, registered reviewers of the EQAA, graduate/students, international collaborative partners etc
 - 🌐 Review Panel to develop written submission templates

- 🌱 GGP Project Coordinator to distribute the written submission forms to the nominated stakeholders as approved by the Review Panel
- 🌱 GGP Project Coordinator to collect and collate the responses received and forward them to the Review Panel for consideration
- 🌱 The Review Panel reserves the right to included (anonymously) the response in the Review Report to validate or further clarify claims made by the applicant EQAA

v. Review Report

GGP Review Report normally includes the following elements:

- 🌱 Executive Summary
- 🌱 Introduction (provides the context of where, how, and why the applicant EQAA exists)
- 🌱 Review against GGP criteria
- 🌱 Findings
- 🌱 Conclusions
- 🌱 Summary List of Commendations, Affirmations & Recommendations
- 🌱 Annex 1 - Copy of the site visit program
- 🌱 Annex 2 - Composition of the Review Panel

There are two stages in this process:

Review Report - Draft

- 🍷 Review Panel will prepare a draft Review Report (approx. 1 month after site visit/virtual site visit), present to applicant EQAA for facts checking
- 🍷 Applicant EQAA has two weeks to submit factual corrections, where applicable, substantiated with additional evidence and/or clarifications
- 🍷 The Review Panel will consider EQAA's factual correction submissions, to decide whether to amend or not amend the original findings

Review Report - Final

- 🍷 Once all discrepancies have been resolved, the Review Panel and the applicant EQAA will sign off the Review Report
- 🍷 The GGP Project Coordinator will present the Final Report to INQAAHE Secretariate, in turn to INQAAHE Recognition Committee for consideration.
- 🍷 The final Review Report will have a recommendation from the Review Panel with regard to the applicant EQAA's recognition:
 - 🍷 fully compliant
 - 🍷 substantially compliant
 - 🍷 partially compliant, or
 - 🍷 non-compliant

vi. Decision Making

- 🌱 The INQAAHE Recognition Committee will present the Final Review Report with its recommendation to the INQAAHE Board of Directors for decision.
- 🌱 The applicant EQAA will be notified of the review outcome
- 🌱 The review outcome will be published on the INQAAHE website and in the INQAAHE Bulletin, along with the Final Review Report
- 🌱 The anticipated time line of the decision making process takes approximately a fortnight.

V. Preparing the SER (self-evaluation report)

- 🌱 Ideally, the SER should follow the order/flow of the INQAAHE GGP Alignment standards
- 🌱 Before addressing the GGP standards, an introduction containing background/context information of the applicant EQAA would be useful
- 🌱 Qualitative statements addressing the standards are fine. However, providing quantifiable and measurable evidence is even better
- 🌱 Where possible, substantiate claims with examples or proven track records

Six key headings of GGP:

<p>Section I</p> <p>Structure of the External Quality Assurance Agency (EQAA)</p>	<p>Section II</p> <p>Accountability</p>	<p>Section III</p> <p>The EQAA Framework for external review of quality in higher education institutions (HEIs)</p>
<p>Section IV</p> <p>The EQAA and its relationship to the public</p>	<p>Section IV</p> <p>Decision making</p>	<p>Section VI</p> <p>The QA of cross-border higher education</p>

Guidelines of Good Practice - Section I

Structure of the EQAA

Rational: The EQAA is a recognised, credible organisation, trusted by the higher education institutions and the public. It has adequate mechanisms to prevent conflicts of interest in the decisions it makes; its staff has the needed skills to carry out the functions associated to external QA. The EQAA has the needed resources to carry out their mission.

Section I: Structure of the EQAA (cont.)

1.1 Legitimacy and recognition

- 🌱 The EQAA is a legal entity duly registered with the relevant authority – e.g., business registration certification, Education Act
- 🌱 It has the approval to operate and conduct businesses as an independent organisation – e.g., nature of business as stated in the registration certification

1.2 Mission and purposes

- 🌱 Its mission and purposes are readily accessible and available to the general public – e.g., online and offline collaterals

Section I: Structure of the EQAA (cont.)

1.3 Governance and organisational structure

- 🌱 Organisational structure – flow chart
- 🌱 Decision making body and staff with major strategic responsibilities, in particular relating to QA and QA reviews areas
- 🌱 the policies and procedures in place to manage potential conflicts of interest in the decisions it makes
- 🌱 Strategic directions/plans of the applicant EQAA

Section I: Structure of the EQAA (cont.)

1.4 Resources

Staffing

- 🔗 The staffing resources are adequate, well-trained, and, appropriately-qualified in managing the day-to-day operation of the organisation as well as to carry out functions associated to external QA reviews
- 🔗 They are able to conduct external evaluation effectively and efficiently in accordance with its mission statement and its methodological approach

Ideally, the applicant EQAA should provide a summary of its full- and part-time staff. Information on their respective education qualifications and professional experiences would be useful

- 🔗 It is expected that the EQAA also offers ongoing professional development opportunities for all staff – concrete examples are desirable



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Section I: Structure of the EQAA (cont.)

Physical and financial resources

- 🔗 Physical - the EQAA has the needed physical to carry out their mission, e.g., the floor plans and equipment of the registered office it operates from. A virtual tour video of its office facilities would be helpful
- 🔗 Financial – evidence of financial sustainability, e.g., copy of annual financial reports



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Guidelines of Good Practice - Section II

Accountability of the EQAA

Rationale: The EQAA has in place policies and mechanisms for its internal quality assurance, which demonstrate a continuing effort to improve the quality and integrity of its activities, its response to the changes to the context in which it operates and its links to the international community of QA.

Section II: Accountability of the EQAA (cont.)

2.1 Quality assurance of the EQAA

- 📌 Evidence to demonstrate that the EQAA
 - 📌 adheres to ethical and professional standards and operates with transparency, integrity and professionalism – claims should be substantiated with examples
 - 📌 has mechanism in place to keep up-to-date with the changing landscape of higher education, and, to evaluate the effectiveness of its operations
 - 📌 has procedures in place for continuous improvements, reflections and ongoing IQA (internal quality assurance)
 - 📌 Is subject to external review at regular intervals, ideally not longer than every five (5) years

Section II: Accountability of the EQAA (cont.)

2.2 Links to the QA community

- 🌐 Evidence to demonstrate that the EQAA
 - 🌐 is actively engaging in global QA developments and has mechanism in place to learn and analyse the main trends of the sector
 - 🌐 Collaborates with other QA agencies over a spectrum of different areas, such as staff exchange, joint projects etc




Guidelines of Good Practice - Section III

The EQAA's framework for the external review of quality in higher education institutions

Rationale: The main concern of the EQAA is the promotion of quality education and student achievement. In doing this, it recognizes that quality is primarily the responsibility of the higher education institutions themselves, and supports this principle in its criteria and procedures. These promote internal quality assurance and provide higher education institutions with clear guidance on the requirements for self-assessment and external review.





3.1 Relationship between the EQAA and HEI

Evidence to demonstrate that the EQAA

-  Respects academic freedom, identity and integrity of the institutions and their respective programs
-  Values the importance of the institutions' IQA (internal quality assurance) processes
-  The EQAA review process is streamline, cost and time effective

3.2 The definition of criteria for quality review

Provide information and evidence:

-  That the EQAA respects and values institutional diversity that are reflected in its standards/criteria
-  On how the EQAA's standards/criteria were developed (e.g., external consultation etc)
-  On its approach in evaluating different modes of education program delivery
-  That the EQAA's standards/criteria cover all relevant areas of institutional activities

3.2 The definition of criteria for quality review (cont.)

Provide information and evidence:

- That the EQAA takes into consideration the institutions' internal follow up mechanism in accordance to the recommendations as stated in the report after each external review
- That each standard/criterion is clearly-articulated and sufficient examples are provided to clarify the EQAA's expectations




3.3 The external review process

Describe and/or provide evidence on:

- The different stages of the EQAA's external review process
- The EQAA's expectations under each standard/criterion, supported by copy/copies of published documents or online links
- The scopes covered by the external review



3.3 The external review process (cont.)

Describe and/or provide evidence on:

-  The selection criteria and process for external Reviewers, and, how they are supported by appropriate training and relevant review handbooks or manuals
-  The mechanism in place to prevent potential conflicts of interests and that the Reviewers' judgements are objective, based on the EQAA's explicit and published criteria
-  Consistency is maintained for each institution and program review, irrespective if the Reviewers, Committees or Panels are different

3.3 The external review process (cont.)

Describe and/or provide evidence on:

-  The timeframe for each stage of the EQAA's review process
-  That the applicant HEIs are given the opportunity to respond and correct any factual errors in the review report, if applicable

3.4 The requirements for self-evaluation

Describe and/or provide evidence on:

- That the EQAA provides clear guidance to the institution or program of the self-evaluation procedures
- The institution is encouraged to seek assessment/feedback from the public, students, and other constituents when preparing the external review document, where necessary and appropriate

Guidelines of Good Practice - Section IV

The EQAA and its relationship to the public

Rationale: The EQAA makes public its policies and decisions about institutions and programs, discloses the decisions about its own performance and disseminates reports on outcomes of QA processes.

Section IV - The EQAA and its relationship to the public

4.1 Public reports on EQAA policies and decisions

- 🔗 Describe and/or provide evidence on:
 - 🔗 how the EQAA provides full and clear disclosure of its relevant documentation such as policies, procedures and criteria
 - 🔗 How the EQAA reports its decisions about the higher education institutions and their respective programs
 - 🔗 What mechanism is in place to facilitate the public a fair understanding of the reasons/rationales supporting decisions taken

4.2 Other public reports

- 🔗 Provide information or evidence on:
 - 🔗 How the EQAA discloses the decisions of its own performance resulting from an external review by independent QA body/bodies to the public
 - 🔗 Whether the EQAA prepares and disseminates integrated reports on the overall outcomes of QA process and/or any relevant QA activities periodically. If so, the frequency

Guidelines of Good Practice - Section V



Decision Making

Rationale: The EQAA has policies and procedures in place that ensure a fair and independent decision-making process in the final review of the institution or the program. It provides effective procedures to deal with appeals and complaints.

Section V - Decision Making

5.1 The decision-making process

 Describe or provide evidence:

-  If the EQAA takes into consideration the outcomes of both the HEI's self-evaluation report and the external review, as well as other relevant information, subject to prior communication with the HEI that the information will form part of the decision-making process
-  How the EQAA maintains impartiality and consistency in its decisions, even as in the case of assessing the report findings of other QA agencies

5.1 The decision making process (cont.)

Describe or provide evidence:

- If the EQAA's decision are based on and in line with its published criteria and procedures
- That the EQAA maintains consistency and transparency in its decision making, including the rationales for imposing recommendation for follow-up action
- Of an EQAA example of reported decision

5.2 The EQAA's process for appeals and complaints

Describe or provide evidence:

- The procedures in place for the EQAA to handle, in a consistent manner, potential complaints about its procedures or operation s decision
- Of a published documentation on the EQAA's procedures for handling appeals relating to its external review and decision making process
- The process and procedure on how the EQAA handles appeal on the decisions of its external reviews by HEIs

Guidelines of Good Practice - Section VI



The QA of cross border higher education

Rationale: The EQAA has policies relating to both imported and exported higher education. These policies take into account the characteristics of the providers and the receivers and refer to all types of trans-national higher education.

Section VI – The QA of cross border higher education




6.1 Criteria for cross border higher education

 Provide information if:

-  The EQAA cooperates with appropriate local agencies relevant for cross border higher education, to gain clear and comprehensive understanding of the local regulatory framework and to share good practices
-  The EQAA seeks ways to cooperate with other EQAAs

6.2 Collaboration between agencies




Identify and describe:

-  The applicable standards/criteria for EQAA to evaluate the quality of education delivered in receiving institution is equivalent to that of the exporting institution, and, the exporting institution understands the regulatory frameworks of the receiving country
-  How the EQAA evaluates if students and other stakeholders are receiving clear and complete information about the awards delivered
-  How the EQAA assesses if obligations and rights are transparent to all parties concerned

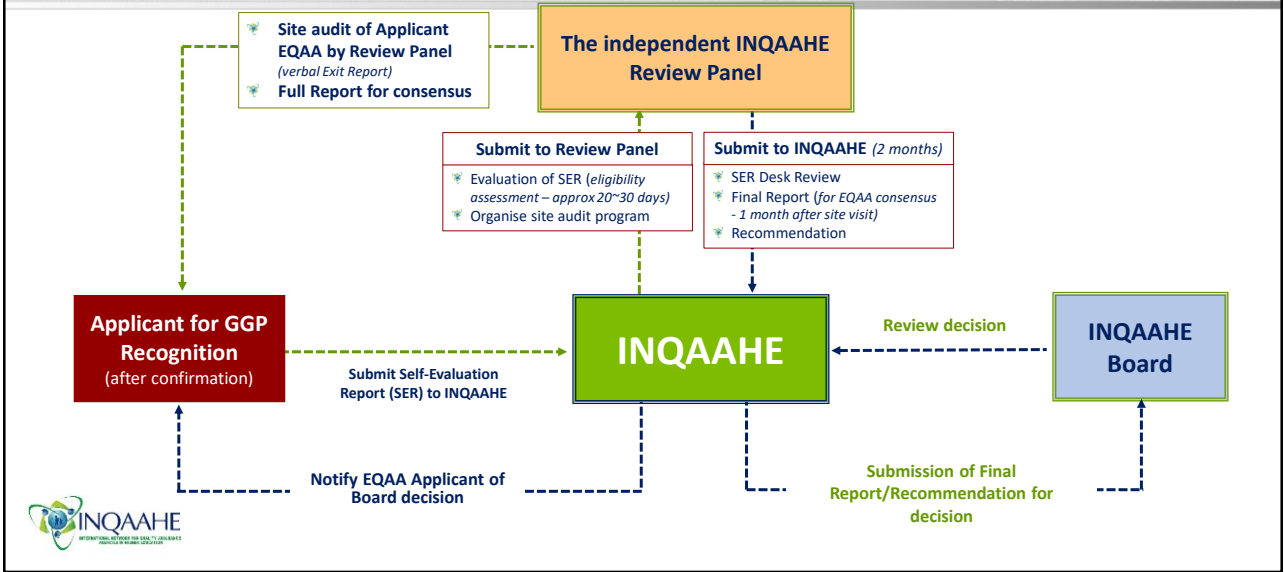
Section VI – The QA of cross border higher education (cont.)

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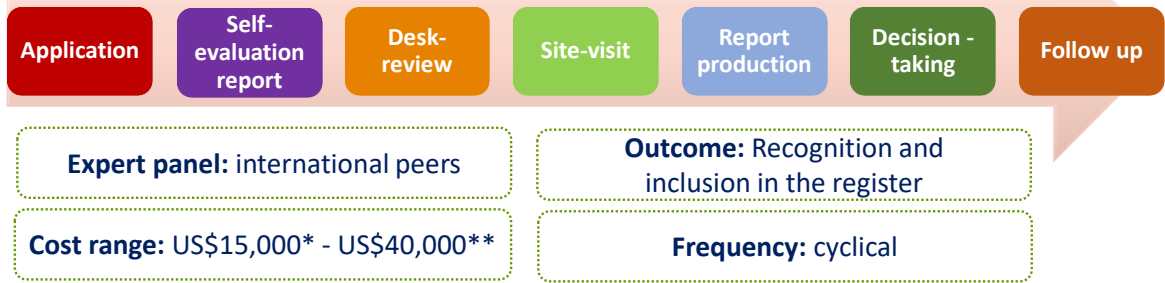
VI. Closing summary remarks



Review Timeline – approx. 6~7 months to complete

3 months	between the submission of the SER and the actual site visit
1 month	between the site visit and the submission of the external review report to the applicant agency by the review Panel
2 weeks	between the receipt of the site visit report and submission of the agency's response to the report, along with any factual corrections, back to the review Panel
2 weeks	between the receipt of the agency's response and the final submission of the Panel's review report to INQAHE
1 month	between the receipt of the external review materials by INQAHE's Recognition Committee and submission of its recommendations to the full INQAHE Board for decision-making.
1 month	between forwarding of review materials and notification of the Recognition Committee's recommendations to the INQAHE Board and final decision being made by the Board

External quality assurance of EQAAs: recognition procedure, costs and implications



*GGP Review application fee, US\$15,000, inclusive of reviewers' honorarium

**GGP Review application fee & site visit travel-related estimates, US\$40,000



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Contact

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