

# THE INQAAHE GUIDELINES OF GOOD PRACTICE (GGP):

---

*BUILDING INTERNAL QUALITY CULTURES IN EQAAs*

Workshop presented by Dr. Carol L. Bobby at the INQAAHE Conference held in Sri Lanka, March 2019



# WHY ARE YOU HERE? WHAT DO YOU WANT TO KNOW?

---

a) I came to see the temples.

c) I came to see to visit the elephant orphan age.

c) I came to learn more about how my agency might benefit from using the GGP

d) I came for the beaches.

e) None of the above.

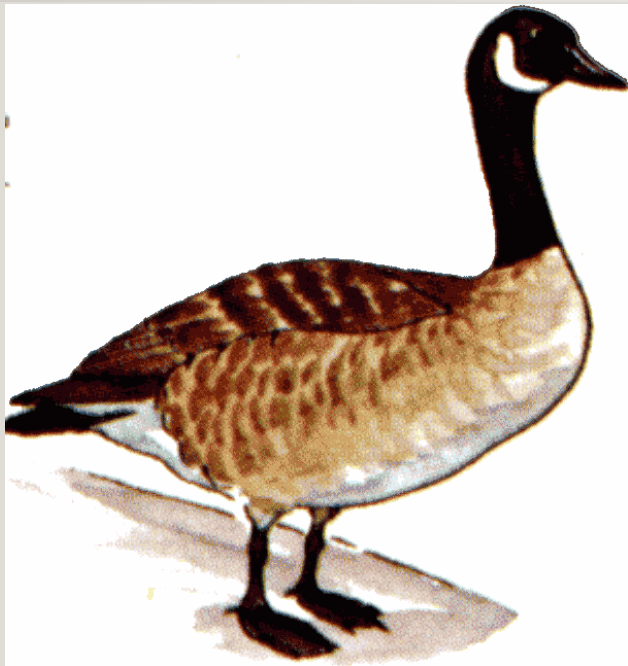
f) All of the above.



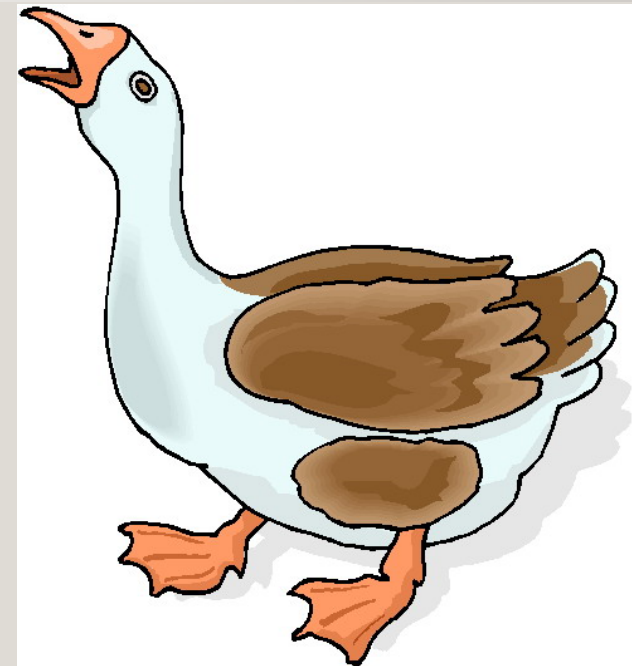
Workshop presented by Dr. Carol L. Bobby at the INQAAHE Conference held in Sri Lanka, March 2019

# WHY USE THE GGP? WHAT ARE THE BENEFITS

---



**What's good  
for the  
goose is  
good for the  
gander!**



# WHY USE THE GGP? WHAT ARE THE BENEFITS

---

## ACCOUNTABILITY

- to be recognized as legitimate and enhance your agency's reputation
- to be competitive in the EQA arena and in the global market place
- to demonstrate effective and proven resource management to the publics served by the EQAA
- to remain able to respond to the changing nature of higher education

## IMPROVEMENT

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



# OVERVIEW OF THE 6 MAIN SECTIONS OF THE 2016 GGP

## AS PRESENTED IN THE 2018 PROCEDURES MANUAL

---

- **Section I – The EQAA’s Structure**
  - Structure & legitimacy/recognition
  - Mission & purposes
  - Governance
  - Resources
- **Section II – The EQAA’s Accountability**
  - QA of the EQAA
  - Links to the QA Community s
- **Section III – The EQAA’s Framework to Externally Review HEIs**
  - The relationship between the EQAA and HEI
  - Defining the criteria
  - The external review process
  - Requirements for self-evaluation within the HEI and/or its programmes
- **Section IV – The EQAA’s Relationship with the Public**
  - Public transparency with regard to EQAA policies and evaluation reports and decisions
  - Other public reports (re: EQAA’s own performance; periodic integrated reports on activities, outcomes)
- **Section V – Decision-making**
  - The decision-making process
  - Processes for appeals and complaints
- **Section VI – The QA of Cross Border Higher Education**
  - Criteria for transnational/cross-border education
  - Collaboration with other agencies

## 3 PATHWAYS TO GGP ALIGNMENT

---

- *Review – application submitted only to INQAAHE and review conducted only by INQAAHE*
- *Joint Review – must request permission from another reputable QA body (e.g., CHEA, ENQA) to have a joint review conducted simultaneously with INQAAHE. Requires alignment of the two body's criteria and agreement on team membership. Decisions are made independently by each body and may result in two recognized labels for the successful applicant.*
- *Recognition – applicant agency already holds another body's recognition label and asks INQAAHE to recognize this body's criteria and processes as substantially equivalent. Evidence of the other body's review processes and the outcomes of the external review, including all reports, must be submitted. INQAAHE determines if equivalency is in alignment for GGP recognition.*

# A HOW-TO-GUIDE FOR DEVELOPING THE SELF-EVALUATION REPORT (SER)

---



## The SER will have 2 main sections:

- Overview of the EQAA and the Context in which it Operates
  - History of the EQAA and its role in the national higher education system in which it was founded.
  - Scope of QA activities, including any cross-border work
  - Description of any external and/or internal QA activities carried out by the EQAA to review its own operations/processes
- Narrative Responses to each of the GGP Criteria with references and/or links to supporting documentation.

# ABSOLUTE MUSTS WHEN DEVELOPING YOUR SELF-EVALUATION REPORT (SER)

---



- **COOPERATION & INTEGRITY**
- **HONESTY AND TRANSPARENCY**
- **RESPOND DIRECTLY AND LIMIT YOUR RESPONSE TO ONLY NECESSARY INFORMATION**
- **PROVIDE SUPPORTING EVIDENCE**
- **USE ENGLISH**
- **PROOF-READ BEFORE SUBMISSION**



# THE REVIEW PANEL & VISIT

---

- There will be a *minimum* of 3 persons – chair, secretary, reviewer (note that the joint recognition pathways includes more)
- Reviewers must be *free of conflicts of interest*. The EQAA may request a removal of a proposed panel member if a conflict of interest exists that was not seen by others.
- Visits generally involve *3 days on site*.
- Visit *interviews* are held with the EQAA's decision-making body, the agency CEO, other professional & administrative staff, EQAA site reviewers, senior level HEI representatives, faculty, students, professional associations.
- Visits will also include a *review of the EQAA's relevant documents* – financial statements, internal data management systems, websites, reports, etc.

# THE FINDINGS

---

- An oral exit report is provided to the EQAA's senior management before the visiting panel members leave the site, giving a summary of key findings. This is not a discussion, but simply of heads up of what may be included in the final report.
- Following the visit, the Panel Secretary drafts a final version of the report. Once approved by all panel members, the report is sent to the applicant EQAA for review and correction of any factual errors noted. *All corrections must be accompanied by substantiating evidence.* The EQAA's response is then sent back to the panel members who may choose to amend the report or not.
- Once the above two steps are completed, the final report (amended or not) and the EQAA's response are sent to INQAAAHE, which forwards the information to its Recognition Committee members for consideration. This committee then formulates a recommendation for review by the entire INQAAHE Board.
- The INQAAHE Board votes to either consider the EQAA as aligned or not and the outcomes of the process, including the full final report of the Panel, are published on the INQAAHE website.

# FOLLOW-UP TO THE REVIEW

---

- Alignment is granted for a 5 year period. INQAAHE may request a follow-up report from the EQAA by a certain date to address any recommendations for improvement included in the final report. The decision letter will provide the timeframe for submission of the follow-up report.
- If alignment is not granted, there is an appeals process. Nothing is made public until the completion of the appeals process. Appeals must be made in writing and can be initiated on one or both of the following grounds: a) failure of the INQAAHE Board in to follow procedure in reaching its decision, and b) lack of justification for the negative decision based on the information available at the time the decision was made.

# TIMELINE FOR REVIEW $\cong$ 1 YEAR

(NOTE: THIS TIMELINE WILL VARY FOR THE JOINT REVIEW OR RECOGNITION PATHWAYS)

---

- 6+ mos – time to develop the SER
- 3 mos – time between submission of SER and site visit
- 1 mo – time between site visit and submission of Panel Report to the applicant agency
- 2 wks – time between receipt of Panel Report and submission of the EQAA's response
- 2 wks – time between receipt of EQAA's response and final report being sent to INQAAHE
- 1 mo – time between INQAAHE Recognitions Committee's receipt of all external review materials and the Committee's recommendations going to the full INQAAHE Board for a decision
- 2 wks – time between the Board's decision being made and formal written notification to the EQAA regarding the final decision that was made.



# YOUR ASSIGNMENT

- Break into small groups. Your group is now the staff of an EQAA that wishes to conduct a self-review using the INQAAHE GGP. Your goal is to eventually prepare a self-evaluation report that you will submit to INQAAHE for an external review. **Which pathway to alignment will you choose and why? How will you convince others of the benefits of doing this process? Be prepared to explain to others why you are doing this.**
- Your group will also be given an assignment worksheet with a series of steps to follow which will guide you through a decision-making process by asking questions and having you work on specific GGP criteria. Take some time to consider each question, chosen criterion, and discuss how you will respond as a group. **You will be given 50 minutes to complete the entire assignment.**
- Choose a recorder and have this person keep good notes on how you will respond to each of the SER's requirements assigned to your group (contextual description and the criteria). **Develop a narrative response to the assigned requirements and be sure to make a list of supporting documents that you will need to include as evidence.**
- Choose a spokesperson who is willing to share your successes and challenges in completing this assignment. **Note that you will be asked to read samples of your responses and your list of documentation.**

# SECTION 1

---

- 1.1.3. The EQAA has a clear and published policy for the prevention of conflicts of interest that applies to its staff, its decision-making body and the external reviewers.
- 1.3.2 The composition of the decision-making body and/or its regulatory framework ensure its independence and impartiality.
- 1.4.2 The EQAA has the physical and financial resources needed to fulfil its goals and carry out the activities that emerge from its mission statement and objectives.

# SECTION II

- 2.1.2. The EQAA has in place mechanisms that enable it to review its own activities in order to respond to the changing nature of higher education, the effectiveness of its operations, and its contribution toward the achievement of its objectives.
- 2.1.3. The EQAA periodically conducts a self-review of its own activities, including consideration of its own effects and value. The review includes data collection and analysis to inform decision-making and trigger improvements.
- 2.2.2 The EQAA collaborates with other QA agencies where possible, in areas such as exchange of good practices, capacity-building and review of decisions, joint projects, or staff exchanges.

## SECTION III

- 3.1.2. The EQAA promotes the development and appropriate implementation of IQA processes in accordance with the understanding that the primary responsibility for assuring quality resides with the institution and its programmes.
- 3.2.2. The standards or criteria developed by the EQAA have been subject to reasonable consultation with stakeholders and are revised at regular intervals to ensure relevance to the needs of the system.
- 3.3.4. The EQAA has clear specifications on the characteristics and selection of external reviewers, who must be supported by appropriate training and good supporting materials such as handbooks or manuals.

## SECTION IV

- 4.1.1. The EQAA provides full and clear disclosure of its relevant documentation such as policies, procedures, and criteria.
- 4.1.2. The EQAA reports its decisions about higher education institutions and programmes. The content and extent of reporting may vary with cultural context and applicable legal and other requirements.
- 4.2.2. The EQAA prepares and disseminates periodically integrated reports on the overall outcomes of QA processes and of any other relevant activities.

## SECTION V

---

- 5.1.3. The EQAA decisions are based on published criteria and procedures, and can be justified only with reference to those criteria and procedures.
- 5.2.1. The EQAA's reported decisions are clear and precise.
- 5.2.2. The EQAA has clear, published procedures for handling appeals, related to its external review and decision-making processes.

## SECTION VI

---

- 6.1.1. The EQAA in a sending country makes clear that the awarding institution is responsible for ensuring the equivalent quality of the education offered, that the institution understands the regulatory framework of the receiving countries, and that the institution provides clear information on the programmes offered and their characteristics.
- 6.1.3. The rights and obligations of the parties involved in transnational education are clearly established and well known by the parties.
- 6.2.2. The EQAA seeks ways to cooperate in the external quality assurance in transnational education provision, for example through mutual recognition,



**SUPER JOB, EVERYONE!**

**THANKS FOR PARTICIPATING IN THIS WORKSHOP TODAY!**

---



**Remember...**  
**Team Work is Awesome**

*Carol*