SÍNTESE DO GUIÃO DA EUA

PRÓ-REITORIA PARA A POLÍTICA DA QUALIDADE E INOVAÇÃO

VERSÃO EM INGLÊS
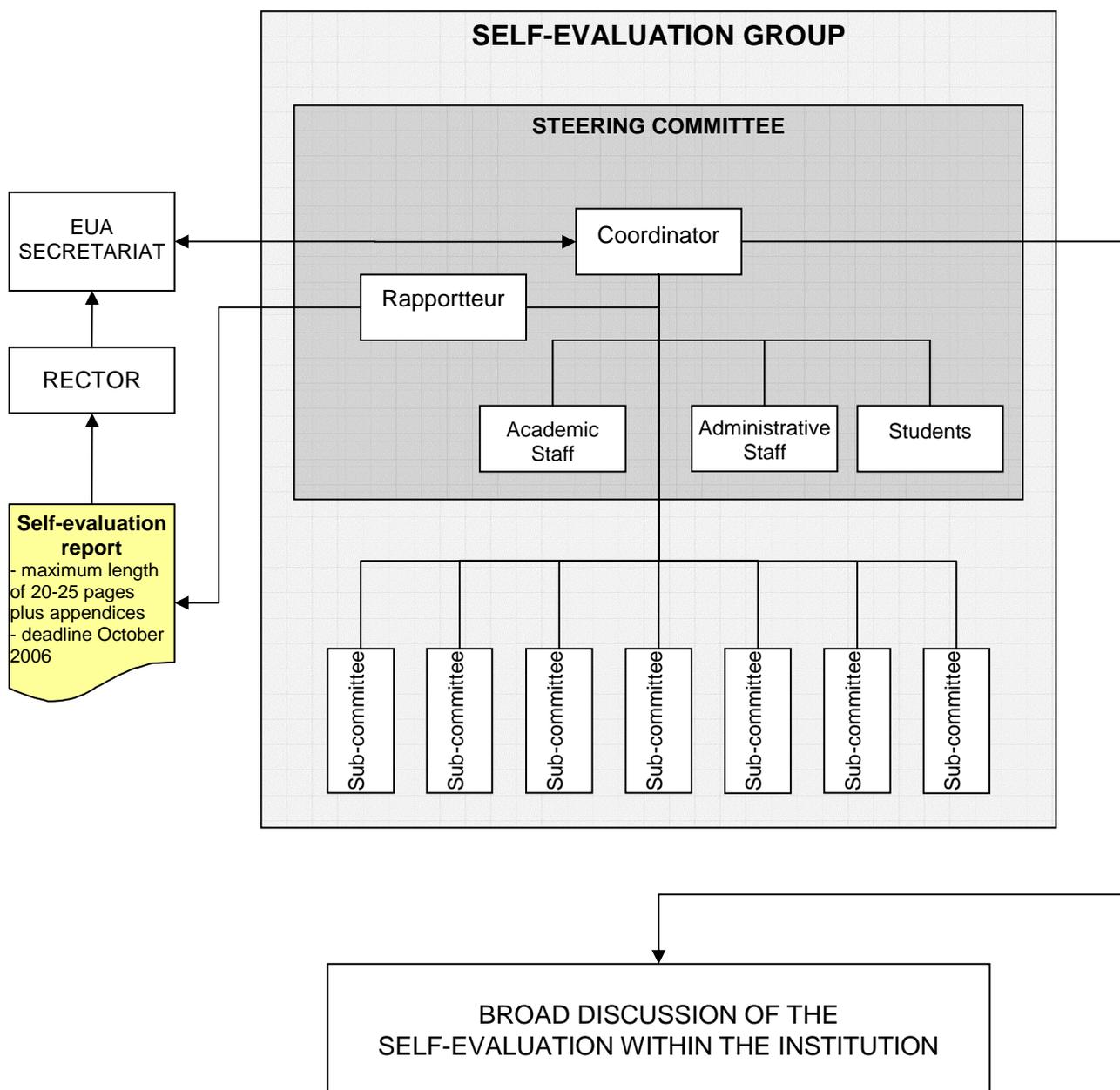
MAIO DE 2006

INDICE

SELF-EVALUATION GROUP

STEERING COMMITTEE

EUA SECRETARIAT

Coordinator

Rapportteur

RECTOR

Academic Staff

Administrative Staff

Students

Self-evaluation report
- maximum length of 20-25 pages plus appendices
- deadline October 2006

Sub-committee

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BROAD DISCUSSION OF THE SELF-EVALUATION WITHIN THE INSTITUTION

Institutional Evaluation Programme Guidelines – Checklist

Since the checklist will be used both for the self-evaluation and the external evaluation, it is important that all points on the list be addressed. If some questions are not relevant or if specific pieces of information are impossible to provide, this should be noted in relation to the questions. As a general rule, an answer or comment should be given to every question.

Every item of the self-evaluation will consist of both a description and analysis including comments on how the institution plans to remedy problems identified. The evaluation team will validate facts and evaluations at a later stage.

The general context for the analysis, both at the self-evaluation and at the external evaluation stage, will be the extent to which the institution's mission and goals have been met. Specifically, the self-evaluation is intended to address four strategic questions:

- *What is the institution trying to do?*
- *How is the institution trying to do it?*
- *How does the institution know it works?*
- *How does the institution change in order to improve?*

These are the questions that should be constantly kept in mind during both the self-evaluation and the external evaluation phases.

The self-evaluation report should not be simply descriptive, but evaluative and synthetic as well. It should evaluate strengths and weaknesses in the context of constraints, threats, and opportunities as well as showing the interconnectedness of the various elements of strategic planning and quality management. In addition, the analysis should take into account changes that have taken place in the recent past as well as ones anticipated in the future.

Practical aspects

- *The maximum length of the self-evaluation report is 20 - 25 pages excluding the data appendices and other possible appendices. The reason for this relatively short report is to maintain a focus on institutional strategic quality management without probing too deeply into the specifics of all faculties and all activities. Institutions are encouraged to make use of any existing data and documents.*
- *The self-evaluation report is written partly for an internal audience (the institution's staff members and students) and partly for the evaluation team. The evaluation team is knowledgeable about higher education in general but, as internationals, they may lack in-depth knowledge of specific national situations. The institution should keep this fact in mind when writing its report.*
- *EUA and the evaluation team will consider the self-evaluation report as confidential, and will not provide any information regarding this report to third parties. The institution is therefore encouraged to take as open and self-critical approach as possible in the self-evaluation process, in order to make maximum use of the evaluation process.*
- *The self-evaluation report should be read and signed by the rector before sending it to the evaluation team. This ensures that the institutional leadership is consulted.*
- *The self-evaluation report should be made available to all institutional members who are to meet the evaluation team.*
- *The report should be sent to the EUA Secretariat for distribution to the evaluation team at least three weeks prior to the first site visit.*

I. Introduction	**I.1.** Brief analysis of the self-evaluation process:	**I.1.1.** Who are the self-evaluation team members?		CAAI
		I.1.2. With whom did they collaborate?		
		I.1.3. To what extent was the report discussed across the institution?		
		I.1.4. What where the positive aspects, as well as the difficulties, encountered in the self-evaluation process?		
1. Institutional context[1]	**1.1.** Brief presentation of the institution:	**1.1.1.** Brief historical overview		5
		1.1.2. Geographical position of the institution.[2]	**1.1.2.1.** In a capital city, major regional centre.	
			1.1.2.2. Concentrated on one campus, dispersed across a city	
		1.1.3. Number of faculties (àreas departamentais/departamentos), research institutes/laboratories(/Centros)		2
		1.1.4. Number and distribution of students across levels (undergraduate, graduate, postgraduate), across faculties (área científica), and trends over five years		1/ PR
		1.1.5. Finance: government funding (amount and percentage of total budget), other funding sources (type and percentage of total budget), and research funding (percentage within total budget)		3
2. Institutional norms and values	*A. What is the institution trying to do?*			
	2.1. Mission[3]	**2.1.1.** What balance is the institution aiming to achieve in terms of its local, regional, national, and international positioning?		2
		2.1.2. What should be the institution's policy regarding international relations at European and international levels?		
		2.1.3. What balance is the institution aiming to achieve among its teaching, research, and other services?		1/2
		2.1.4. What are the institution's academic priorities, i.e., which teaching programmes and areas of research are emphasised?		1
		2.1.5. What are the institution's preferred didactic approaches (e.g., case-study, problem-based learning, seminars)?		
		2.1.6. What is the degree of centralisation and decentralisation that the institution aims for?		6
		2.1.7. What should be the institution's relationship to its funding agencies (state and others such as research contractors)?		3
		2.1.8. What should be the institution's relationship to society (external partners, local and regional government) and its involvement in public debate?		2/5

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1 Because the evaluation focuses on effectiveness of institutional arrangements, including internal quality processes, it must start with the general institutional context before proceeding to examine more specific aspects.

2 e.g., in a capital city, major regional centre, concentrated on one campus, dispersed across a city.

3 This section focuses on the institution's mission and goals. At this stage, the analytical focus is placed on the norms and goals that the institution has set for itself. The evaluation team will be particularly interested in the strategic choices the institution makes, with regards to the scope and profile of the institution.

2. Institutional norms and values (continuação)	**2.2.** Constraints and opportunities [4]	**2.2.1.** Evaluation of institutional autonomy (given the legal context)	**2.2.1.1.** selection, appointment, promotion and dismissal of academic (teaching and research) and administrative staff	1/2
			2.2.1.2. selection of students (including adult learners)	1
			2.2.1.3. teaching and learning (creating and closing down faculties, levels of degrees, study programmes, specialities within a study programme, course units, didactic approaches)	
			2.2.1.4. research (creating and closing down research laboratories, individual and team projects)	2
			2.2.1.5. development of entrepreneurial activities (spin-off companies, science parks, incubators)	
			2.2.1.6. finance (degree of autonomy in the institutional allocation of government funds, ability to raise its own funds, asset management)	3
		2.2.2. Evaluation of the current regional and national labour-market situation		5/7 PR
		2.2.3. Evaluation of the infrastructure in relation to the number of students and staff (docente e não docente)	**2.2.3.1.** number and size of buildings, facilities, laboratories, and libraries; their location (e.g., dispersed over a large geographical area or concentrated on a single campus); age and condition of the facilities	5
		2.2.4. Evaluation of the student/staff ratio (docente e não docente)	**2.2.4.1.** (lowest, highest and mean ratios)	1/ PR
		2.2.5. Evaluation of other constraints		6
	B. How is the institution trying to do it?[5]			
	2.3. Academic activities[6]	**2.3.1.** Analysis of research and educational approaches		1/2
		2.3.2. Analysis of educational programme design and organisation of research activities		
		2.3.3. *Evaluation* of how these programmes and organisational units reflect the institution's mission and goals		
	2.4. Academically related activities	**2.4.1.** Analysis of research and technology transfer, continuing education, regional and community service, etc. [7]		
		2.4.2. Analysis of student support services		7
		2.4.3. *Evaluation* of how these programmes and organisational units reflect the mission and goals		1/2/7

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4 This section focuses on the constraints and opportunities faced by the institution in trying to meet its aims and goals. The approach here should be evaluative and synthetic and explain how constraints and opportunities, both internal and external to the institution, affect the institution's mission and goals.

5 In practice, the institution carries out its activities (teaching, research, and other services) and management in order to embody its mission and goals (section A.1), while taking into account the specific constraints it faces (section A.2). The inevitable discrepancy between what ought to be (norms and values) and what actually is (specific organisation and activities) indicates the institution's strengths and weaknesses. It is the analysis of strengths and weaknesses that constitutes the next phase of the self-evaluation.

6 This can be brief (with reference, as needed, to appropriate appendices) unless some programmes or approaches, teaching or research units deserve specific mention because they reflect the institution's academic profile (e.g., case-method teaching, problem-based learning, a unique and very large research institute, e-learning, etc.)

7 This can be brief (with reference, as needed, to appropriate appendices) unless some programmes deserve specific mention.

(continuação) 2. Institutional norms and values				
	2.5. Finance	**2.5.1.** What is the total budget of the institution, including salaries, contracts, etc.?		3
		2.5.2. What percentage is allotted by the State, by student fees, by private sources (research contracts, foundations, etc..)?		
		2.5.3. Is the State allocation a lump sum, or, if not, what percentage of this allocation is ear-marked?		
		2.5.4. What are the amounts allotted to faculties and departments, and by what criteria? Are these amounts defined by the institution?		
		2.5.5. What part of the budget is controlled centrally?		
		2.5.6. What are the proportions that could be used to implement new initiatives?		
		2.5.7. What are the allocation procedures within the institution? Who decides what, and how?		
		2.5.8. Is the institution able to calculate the full costs of research and teaching activities?		
		2.5.9. *Analysis* of strengths and weaknesses and proposed action plan on how to remedy weaknesses and enhance strengths		
	2.6. Management activities	**2.6.1.** Description of the management practice:	**2.6.1.1.** What are the respective roles of central-level administrators, offices and faculties/institutes?	6
			2.6.1.2. Does co-ordination among faculties/institutes take place, and if so how?	
			2.6.1.3. What does the institutional leadership control and decide?	
			2.6.1.4. What do the deans of faculty control and decide with respect to the selection and promotion of academic and administrative staff	
			2.6.1.5. What do the deans of faculty control and decide with respect to the selection of students	
			2.6.1.6. What do the deans of faculty control and decide with respect to finance	3
			2.6.1.7. What do the deans of faculty control and decide with respect to academic activities (teaching and learning, research)	1/2
			2.6.1.8. What do the deans of faculty control and decide with respect to development of entrepreneurial activities	
			2.6.1.9. What do the deans of faculty control and decide with respect to research policies	2
		2.6.2. How does the institution involve students in the governance?		6
		2.6.3. *Evaluation* of how management practice reflects the institution's mission and goals		1/2/ 3/6
		2.6.4. *Evaluation* of how adequate are the institution's human resources, human resource policy and practice to current and future needs (Age profile, recruitment, promotion, redeployment and staff development)		6
		2.6.5. *Analysis* of how the institution involves students in institutional governance		
		2.6.6. *Analysis* of strengths and weaknesses and a proposed action plan on how to remedy weaknesses and enhance strengths		1/2/ 3/6

		The question "*How does the institution know it works?*" refers to the quality monitoring and quality management practices available, and operative, in the institution.		
3. Quality monitoring and quality management	**3.1.** Quality monitoring[8]	**3.1.1.** How responsibilities for quality monitoring are shared across the institution.	**3.1.1.1.** Specific structures, specific staff in charge of this area, reporting lines	4
		3.1.2. Is quality monitoring based on explicit quality standards?		
		3.1.3. Are these quality standards widely known and accepted in the institution?		
		3.1.4. Is there a shared culture of quality?		
		3.1.5. How adequate are the resources available to support internal quality processes?	**3.1.5.1.** Financial resources, staff development frameworks	
		3.1.6. What are the available quality monitoring processes with respect to teaching activities		
		3.1.7. What are the available quality monitoring processes with respect to research activities		
		3.1.8. What are the available quality monitoring processes with respect to student performance.	**3.1.8.1.** Analysis of drop-out rate and time-to-graduation	
		3.1.9. What are the available quality monitoring processes with respect to administrative processes		
		3.1.10. What are the available quality monitoring processes with respect to entrepreneurial activities		
		3.1.11. What are the available quality monitoring processes with respect to external relations (local, regional, national and international)		
		3.1.12. How regularly are activities monitored?		
		3.1.13. How extensive are the collected data?		
		3.1.14. To what extent are their outcomes used in decision-making and strategic planning?		
	3.2. Quality management[9]	**3.2.1.** How does the institution integrate quality monitoring into institutional policy?[10]		

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8 Quality monitoring does not refer to rigid "managerial" processes but to any external and internal evaluation process, from individual course evaluation by students to national quality evaluation of research, teaching, international programmes. This includes data gathering and an evaluative judgement concerning the institution's activities.

9 Note that the EUA evaluation teams are not as interested in the existence of extensive policy documents regarding this issue as it is in the actual practice of bringing about change as a result of the evaluation. In other words, focus is placed more on the activity and practice of quality improvement, their effectiveness and relevance, as well as the identification of gaps, and less on elaborate quality handbooks and quality mechanisms.

10 For instance, if student course evaluations are carried out, how does the unit concerned (programme, department, etc.) handle the results from these evaluations if they fall outside norms set by the unit? Is there staff development for teachers? If a research institute is assessed regularly by an external body, to what extent does the institute's leadership act on the proposed recommendations?

4. Strategic management and capacity for change[11]	*How does the institution change in order to improve?*		
	4.1. How responsive is the institution to the demands, threats and opportunities present in its external environment?		6
	4.2. How are representatives from the external environment involved in the institution's strategic management?		
	4.3. Which changes can be expected to be made to the institution's aims?		
	4.4. How can a better match be attained between the current and future missions and aims, and the activities (study programmes, research, etc.)?		1/2
	4.5. What role do quality monitoring and quality management play in these developments?		4
5. Special units and special focus - Bolonha	**5.1.** To investigate the reality of central level policies with respect to quality and strategic change, the evaluation team will look at how policies are implemented in a few units in the institution (e.g. faculties, research centres, administrative units). Visits to these units are not used to find faults in the units, but to understand through specific examples how central level and basic units are connected.[12]		1
	5.2. The "special focus" will be examined within the institutional context and will receive a more in-depth treatment in the evaluation report, including specific recommendations.		
C. Conclusion	The conclusion analyses the strengths and weaknesses and offers a specific action plan to remedy weaknesses and to develop strengths further. A useful conclusion has the following characteristics: - Since the goal of the evaluation is to promote ongoing quality improvement, it is advantageous to be as open and as self-reflective as possible. Therefore, strengths and weaknesses need to be stated explicitly; specifically, it is best to avoid de-emphasising or hiding weaknesses. - Strengths and weaknesses that are not discussed in the body of the report should not suddenly appear in the conclusion as they would be unsubstantiated and could transform the conclusion into a lobbying effort on the part of institution. - Strengths and weaknesses that are discussed in the main part of the report are addressed again in the conclusion. - Plans to remedy weaknesses are offered in the conclusion in the form of a specific action plan.		CAAI
A. Appendices - Informação expressamente pedida pela Equipa de Avaliação	**A.1.** An organisation chart of the institution's faculties (áreas departamentais/departamentos) (or any other relevant units of teaching/research)		PR
	A.2. An organisation chart of the central administration and support services (Rector's office staff, campus maintenance, libraries, etc.)		
	A.3. An organisation chart of the management structure (Rector, Council/Senate, Faculty Deans and Councils, major committees, etc.)		
	A.4. Student numbers for the whole institution, with a breakdown by faculty (áreas científicas), over the last three to five years; time-to-graduation; drop-out rates.		
	A.5. Academic staff (docentes e investigadores) numbers (by academic rank and faculty (áreas departamentais/departamentos)) for the whole institution, over the last three to five years, with a breakdown by level and discipline		
	A.6. Indicators of institutional spending on teaching and research per faculty (áreas departamentais/departamentos) over the last three to five years.		3
	A.7. Beyond this, the institution is free to add any other information, but is asked to limit the number and length of appendices to what is strictly necessary to understand the statements and argumentation in the self-evaluation report. These data are significant only if they are interpreted in the national and institutional context		

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11 So far, the self-evaluation has focused on the detailed description and analysis of quality management at all institutional levels. In this section, the analysis shifts to the role of quality management as a lever for change.
12 These units will not be acknowledged by name in the evaluation report.

Legenda: CAAI Comissão de Auto-Avaliação Institucional
PR   Pró-Reitoria para a Política da Qualidade e Inovação
1   Actividades de ensino, Processo de Bolonha
2   Actividades de investigação e desenvolvimento e relações internacionais
3   Financiamentos e gestão financeira
4   Gestão e monitorização da qualidade, dados e indicadores institucionais
5   Instalações e equipamentos, enquadramento regional
6   Estrutura e organização interna
7   Serviços sociais e de apoio aos estudantes

Legenda: CAAI Comissão de Auto-Avaliação Institucional
PR   Pró-Reitoria para a Política da Qualidade e Inovação