



**Enseignement
supérieur
et Recherche :
des évaluations
à la décision**

**Higher
Education and
Research:
from evaluation
to decision**

vendredi 7 décembre 2007

Présentation

La création d'une agence d'évaluation nationale unique pour la recherche et l'enseignement supérieur, l'AÉRES (Agence d'évaluation de la recherche et de l'enseignement supérieur), est un acte essentiel pour la rénovation des conditions de pilotage des politiques nationales dans ces domaines. Aussi, après quelques mois de fonctionnement de l'agence, l'État prend-il aujourd'hui l'initiative de la première rencontre internationale consacrée à l'impact que l'évaluation, dans sa nouvelle configuration, a et aura sur l'enseignement supérieur et la recherche.

Pour réaliser ses ambitions, la nouvelle agence s'inscrit d'emblée dans des contextes multiples que tous les acteurs de l'enseignement supérieur et de la recherche doivent connaître et prendre en compte dans l'exercice de leurs responsabilités respectives.

Le contexte national s'impose immédiatement. Il est marqué par le développement de l'autonomie universitaire, renforcée par la loi du 10 août 2007 sur les *Libertés et les responsabilités des universités (LRU)*, mais aussi par des enjeux sociaux liés notamment aux conditions d'accès à l'enseignement supérieur, à l'insertion professionnelle des diplômés ou encore à la transformation de la relation État-établissements d'enseignement supérieur. Il y a là une nouvelle articulation à organiser entre les responsabilités des universités et l'inscription toujours plus grande des problématiques de la recherche et de la formation au cœur des politiques d'État.

Le contexte de construction de l'espace européen de l'enseignement supérieur n'est pas moins important. Cet espace est fondé sur le respect des approches nationales et la recherche des conditions de la confiance mutuelle. Il faut souligner ici que l'indépendance de l'évaluateur et la transparence de la relation entre résultats d'évaluation et décisions sont essentielles dans le modèle des mécanismes de garantie de la qualité validé par les pays qui participent au processus de Bologne.

Enfin, il est nécessaire d'inscrire nos démarches nationales dans le contexte de mondialisation des échanges qui a aussi un impact sur les enseignements supérieurs confrontés, comme la recherche, à de multiples enjeux en termes d'attractivité et de compétitivité. À cet égard, l'existence d'une agence d'évaluation reconnue dans ses principes et ses méthodes est un enjeu majeur pour l'ensemble des parties prenantes des dispositifs nationaux de l'enseignement supérieur et de la recherche.

C'est avec en toile de fond l'ensemble de ces enjeux et l'aide d'intervenants étrangers de haut niveau que le colloque offrira l'occasion d'examiner deux ensembles de questions essentielles pour l'utilité et la qualité des processus d'évaluation.

1. Pourquoi et comment intégrer les différentes évaluations (gouvernance, recherche, programmes de formation...) dans une approche globale de l'établissement d'enseignement supérieur ? Comment l'évaluation peut-elle contribuer à une articulation efficace entre l'autonomie universitaire et les politiques qui orientent et coordonnent l'effort national en faveur de la recherche et de l'enseignement supérieur ?

2. Quelle fonction l'évaluation indépendante doit-elle jouer dans la relation État-établissement d'enseignement supérieur ? Quel type d'impact sur les décisions des tutelles et des partenaires, et sur l'attribution de ressources publiques ou privées l'évaluation doit-elle rechercher ? Quelles relations fonctionnelles organiser entre les résultats de l'évaluation indépendante des activités des établissements et les décisions de gestion et de pilotage de l'ensemble des dispositifs nationaux de l'enseignement supérieur et de la recherche ? Comment les établissements doivent-ils se préparer à recevoir, et intégrer dans leurs processus de décision, les résultats des procédures d'évaluation externe réalisées ou non à leur demande ?

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Résumé des interventions

L'évaluation institutionnelle en Ecosse - Norman Sharp

This brief presentation will provide an overview of the approach to external evaluation of higher education in Scotland. It will focus on how the system has been designed to support the institutions in enhancing the student learning experience through the development of internal quality cultures while also providing a robust public accountability for the standards of awards and the quality of the student experience. The presentation will conclude with a brief summary of some of the areas in which further development is currently under consideration.

Recherche et enseignement : une double approche de l'assurance qualité en Angleterre - Wendy Davies

Quality Assurance procedures in the UK have undergone considerable change during the past twenty years, although throughout this period there have been different systems for the quality assurance of teaching and for that of research. Prof. Davies has had first-hand experience of the series of changes, as the Head of a university academic department, as a Dean, and latterly as Pro-Provost, and she will review the systems as they have emerged, assessing the merits of the different approaches. She will then take a critical look at current UK practice, identifying both problem areas and things that work well.

Utiliser les résultats des évaluations ? - Lee Harvey

My presentation will address the various ways in which evaluations can be followed-up and used. It will focus on the need for a clear action cycle. This may be driven by institutional internal processes: e.g., recommendations could be turned into action plans by universities, with clear sets of responsibilities and internal monitoring. Alternatively, or in parallel, agencies or government departments may monitor directly or decide to use funding as an incentive. The presentation will explore a range of alternatives and examine the advantages and disadvantages of each option as well as the role of both QA agencies and universities in the follow-up process.

Les relations entre évaluations et décisions officielles, et leurs conséquences sur l'enseignement supérieur norvégien - Jon Haakstad

In 2002 the Norwegian Parliament passed legislation that is collectively referred to as 'the Quality Reform' in higher education. Although not loved by everyone (frequently criticised as too inspired by New Public Management), the legislation created a coherent national regime for higher education concerning e.g. legal position and governance, finance, institutional status, degree structure (Bologna Ba - Ma - PhD), quality assurance and recognition.

The establishing of NOKUT (Norwegian Agency for Quality Assurance in Education) was part of this reform package. NOKUT was given the exclusive right to undertake formal recognitions and accreditations in Norwegian higher education. Accreditation is mandatory for all institutions and programmes, so accreditation actually *means* recognition in the Norwegian context.

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The legislation further introduced the demand that all institutions that provide higher education must have a **recognised system of internal quality assurance**. Such recognition, too, is issued by NOKUT, following an evaluation. The Quality assurance system is related to educational provision only, i.e. it does not cover the institutions' research activities.

All of NOKUT's powers are formally vested in the agency's Board of Governors (8 members). The Board has reserved for itself the function of making formal decisions concerning the recognition of quality assurance systems and the accreditation of institutions and PhD programmes. Accreditation of MA and BA programmes are delegated to the agency's Director General. *All* decisions, however, are made on the basis of evaluation reports from panels of external experts (peer review).

NOKUT's Board of Governors are appointed by the Ministry of Education and Research. The Ministry further influences NOKUT's operations through its legally given power to issue a Ministerial Regulation for the conduct of NOKUT's tasks. But the Ministry cannot otherwise interfere with NOKUT's operations; nor can it influence or revise the agency's decisions in matters of recognition or accreditation. The government will refrain from financing any educational provision that is not accredited

Evaluation et prise de décision intégrée à l'initiative de l'établissement -

Sybille Reichert

In her presentation Reichert will compare several evaluations which universities initiated themselves in order to review and reorient their activities and priorities in chosen areas. In particular, the consequences of these evaluations on strategic development will be looked at. The evaluations also reveal the importance of university autonomy for effective quality improvement.

Brève présentation des intervenants



Norman Sharp

Norman Sharp is Director of QAA Scotland. Originally an academic economist, he occupied a range of lecturing student support and management roles at Glasgow Caledonian and the Open University. His research and publications were in various aspects of the part-time student experience. He was an Assistant Director with the UK Higher Education Quality Council immediately prior to taking up his current appointment. He has acted as a Council of Europe 'expert' on quality assurance in a range of countries linked to the Bologna process and was invited to give the keynote address at the 2005 Council of Europe Forum on Quality in Higher Education in Strasbourg. Norman is on the Board of the International Network of Quality Assurance Agencies, The Higher Education Training and Awards Council of Ireland, and LEAD Scotland (Linking Education and Disability). He is also a Board member and past chairman of NHS Quality Improvement Scotland. Norman was awarded an OBE in the 2006 Queen's New Years Honours List for services to Higher Education.



Wendy Davies

Professor Wendy Davies has been professor of history at UCL (University College London) since 1985 and is a Fellow of the British Academy (of which she was also a recent Vice-President). She was also Pro-Provost (Europe) for UCL since 1995 and has been a member of the UK team of Bologna Experts since 2004.



Sandra E. Elman

Since 1996 Sandra Elman has been President of the Northwest Commission on Colleges and Universities (NWCCU) in Redmond, Washington. NWCCU is one of six regional quality assurance accrediting commissions recognized by the United States Department of Education. President Elman previously served as Associate Director of the Commission on Institutions of Higher Education at the New England Association of Schools and Colleges (Boston). Dr. Elman has held a variety of teaching, research, and administrative positions at the University of California, Berkeley; the University of Maryland, and the University of Massachusetts, Boston. She is coauthor of *New Priorities for the University: Meeting Society's Needs for Applied Knowledge and Competent Individuals*. Dr. Elman lectures nationally and internationally on issues related to university/industry/government relations; governance of complex systems; assessment of student learning outcomes; and environmental stewardship and social justice. She serves as a peer leader for accreditation evaluations for the Organization of Accreditation and Quality Assurance in Switzerland. Dr. Elman received her B.A. degree in history and political science from Hunter College in New York, and her M.A. and Ph.D. degrees in policy, planning and administration from the University of California, Berkeley.



Professor Lee Harvey, B.A., PGCE, M.Sc., Ph.D.

Professor Lee Harvey is Director of Research and Evaluation at the Higher Education Academy, a post he took in July 2007 after nearly five years as Director of the Centre for Research and Evaluation at Sheffield Hallam University. Prior to that, Lee had been Director of Centre *for* Research *into* Quality, University of Central England in Birmingham (1994-2002). Lee is currently Chair of EAIR, The European Higher Education Society, Board member of the International Network of Quality Assurance Agencies in Higher Education (since 1996) and Member of the Council of the Society for Research into Higher Education (since 1997). Lee is an auditor for the European Universities Association and academic advisor for their Quality Forum. He is an ESMU evaluator and was recently Deputy Director of the UK national Enhancing Student Employability Co-ordination Team (ESECT) (2002-2005).

Lee has acted as a consultant on quality, employability and widening access issues in many institutions around the world including in Australia, Brazil, Chile, Denmark, Finland, New Zealand, Norway, Portugal, South Africa, Sweden, and the USA.

Lee has edited *Quality in Higher Education* (Routledge) since its inception in 1995 and is editor of *Higher Education Quarterly* (Blackwell). He is also a referee for *Studies in Higher Education*; *Assessment and Evaluation in Higher Education*; *Higher Education*; *Learning and Instruction* and the *Canadian Journal of Higher Education*. He has acted as programme evaluator for the ESRC, evaluated their small grant scheme as well as research proposal referee and project assessor for the Council. Lee has been an external examiner for PhDs at the Institute of Education, University of Lancaster, University of Bradford and University of Portsmouth as well as a supervisor for doctoral students at UCE, Derby and Charles Sturt University, Australia.

Lee is a research methodologist and critical theorist. His research into higher education policy and practice includes studies of quality, employability, widening participation and diversity, funding, teaching and learning (including e-learning) and student feedback. Previous research included history of sociology and gambling. He is widely published and frequently invited to present at international conferences.



Jon Haakstad

Title: Director of Institutional Audits

Norwegian Agency for Quality Assurance in Education (NOKUT)

Positions:

1974 - 1993: Associate Professor of English, Tromsøe College of Teacher Education

1993 - 1994: Rector of Tromsøe College of Teacher Education

1994 - 1996: Faculty Director, Tromsøe University College

1996 - 1998: Office Manager, National Council of Teacher Education, Oslo

1998 - 2002: Senior adviser, Network Norway Council, Oslo

2003 - : Director of Institutional Audits, NOKUT, Oslo (present position).

- Several publications and presentations in the field of quality assurance of higher education.
- Member of evaluation panels and advisory councils (Switzerland, Ireland, Sweden, Austria, Germany) in the field of higher education



Sybille Reichert, Reichert Consulting, Policy and Strategy Development in Higher Education, Zurich

Since her Ph.D. from Yale University in 1994 Sybille Reichert has been working as a consultant and researcher in Higher Education Policy, focussing on issues of strategic development, internationalisation and oragnisational reforms of universities in Europe. All of her projects or studies, which were commissioned by individual universities, ministries of education, the European Commission, the European University Association or Higher Education Research Institutes, have an international comparative dimension, relating institutional development to larger systemic trends in higher education. Reichert was also the co-author of EUA's Trends III and IV reports in 2003 and 2005 which looked at the implications of the Bologna reforms for university development in Europe. Having been responsible for strategic planning at ETH Zurich from 2002 until 2004, Reichert set up her own consultancy firm which specialises in policy and strategy development in higher education, with projects for European organisations, national ministries and individual universities.