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Building trust and enhancement: from information to evidence

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**Proposal**

**Title:** Initiating a new EQA methodology: the key role of evidence to build trust. Three voices tell the lessons learned from a pilot phase.

**Abstract**
This paper illustrates how HEIs, experts and a quality assurance agency address the key challenges of building trust among stakeholders and, while being engaged in an experimental “learning by doing together” process, what body of evidence would help to create confidence in the new process.
AEQES was “entrusted” to design and implement a pilot phase. The conditions of trust (clear “rules of the game” of the long-run EQA activities and co-constructed project) were met before the pilot began. But uncertainty is intrinsic in any pilot. We learned that the need to provide evidence, as highlighted by the 3 stakeholders, is a critical foundation for confidence in transparency, relevance and equity.
The authors will give the participants the full results reached in November 2021 and invite them to discuss the process and exchange experience.

Has this paper previously been published/presented elsewhere? If yes, give details. No

Indicate whether your contribution is based on practice, policy or research: practice

**Text of paper**

Based on the first feedbacks from HEIs, experts and the Agency, this paper illustrates key challenges of this significant methodological evolution: how to build trust among stakeholders and rely on a body of evidence while being engaged in an experimental “learning by doing together” process?

1 **INTRODUCTION: CONTEXT OF THE PILOT PHASE**

In the Belgian [French-speaking] situation up to now, “the formative¹ EQA methodology was exclusively focused – by law – on the programmatic dimension, and the cyclical planning of the evaluations based on the provision of study programmes². However, the regular feedback collected from the evaluated institutions, some impact analyses (for instance, the unavoidable evaluation fatigue for the large HEIs being regularly evaluated) and international trends showed that a shift towards a more holistic approach would enrich the EQA processes, by focusing on the quality policies that are part of the strategic management, and strengthen the HEIs responsibility and autonomy³.

After a widespread consultation process in 2016-2017, the Agency issued in October 2017 a thoroughly documented report⁴ presenting a methodological proposal for the future⁵.

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¹ AEQES carries out a formative, programme-based evaluation process in the WBF, in a context where an authorisation is granted ex-ante by the Government. The results of the evaluations conducted by AEQES therefore have no formal effects in terms of an institutions’ funding or authorisation to operate. AEQES is not an accreditation agency, in other words. Moreover, it does not carry out any scoring or ranking of institutions.

² In the Belgian French-speaking higher education system, there are four types of HEIs: universities (6), university colleges (19), art colleges (16) and adult vocational education HEIs (84) provide education to approximately a total of 230,000 students.

³ See [https://www.eua.eu/component/attachments/attachments.html?task=attachment&id=1056](https://www.eua.eu/component/attachments/attachments.html?task=attachment&id=1056)


⁵ See annex for details
On 20 December 2017, the Government voted amendments to the AEQES Decree entrusting the Agency with the task of designing and conducting a three-year\textsuperscript{6} pilot phase of institutional reviews and of reporting back to the Government and Parliament. From the very start, the Agency that initiated this EQA evolution wanted to achieve ownership of this transformation and trust among stakeholders. This is why it chose to develop the new method in a spirit of co-construction ("learning by doing together"). However a pilot phase and the perspective of significant changes also bring uncertainty and even mistrust.

PURPOSE, SCOPE AND FRAMEWORK OF THE PILOT

The purpose of the review is to "reinforce the capacity of the HEIs to implement a fit-for-purpose quality system and develop a quality culture and by doing so, strengthen ownership and autonomy" (Harvey & Stensaker, 2008).

Its scope (Teaching & Learning) is believed to gain relevance if it addresses, in a comprehensive and systemic way, how an HEI develops, manages and assesses its education mission. The ambition is to aim at an integrative approach (culture, policies and practices) in which EQA and IQA help implementing the chosen HEI’s missions and do not limit themselves to "mechanical accountability".

In terms of framework, it was decided to use the “ESG, part1”. Faster and easier, it was above all considered as being an opportunity to further disseminate the European tool and gain greater awareness and use of it.

IMPLEMENTATION AND ACHIEVEMENTS SO FAR

To learn more about how the pilot was implemented and where it is now, see annex.

2 TRUST IN A DYNAMIC AND VIRTUOUS SPIRAL?

This pilot institutional review is a new EQA activity, introducing a significant paradigmatic change as compared to the well run programmatic evaluations. This creates uncertainty for the HEIs; besides not all of them were convinced of the relevance of such new EQA procedures. Therefore building trust between all stakeholders is a critical issue to create buying in and ownership, especially when the process is enhancement-led. Then a question arises: how can trust be built? As we know trust is a kind of bet built through confirmation (or verification) that what we expected to happen really happens, in other words collecting “evidence”. What kind of

\textsuperscript{6} Because of the unexpected Covid pandemic, the pilot-phase was extended on 4 years, i.e. 2019-2023
evidence is required by the different stakeholders) to support trust? What can we learn from the evidence collected during and after the pilot phase? Some answers to these questions are developed below.

As it is, trust is not an absolute yes or no decision: we can trust (or not) someone (or an institution) for something but not for everything. You could trust the authors for preparing a good meal but not for flying an Airbus 380!

### 3 HOW TO FOSTER TRUST IN A PILOT PHASE? THE HEIs’ PERSPECTIVE

HEIs applied to the pilot phase after having been informed through various AEQES meetings and annual quality events. One of the features of the pilot phase was to develop quite open Guidelines in order to foster innovation and flexibility and therefore allow room for a ‘fit for purpose approach’.

Guidelines provided a definition of the institutional review (object, finality and scope) as well as the reference framework to use (namely ESG, Part 1) even if HEIs were allowed to use other sets of standards if they wished. Principles were given for the structure and content of the SER. HEIs were invited to suggest names of potential experts and to draft the schedule of the site visit.

In addition, HEIs join the pilot phase with different explicit and implicit objectives and with varying capacities to mobilise human and financial resources.

With this in mind, we can identify some key conditions for trust:

- **PERCEPTION OF FAIRNESS AND PROFESSIONALISM OF THE EXPERTS AND THE AGENCY**

  **Observations**

  There has been no questioning of the experts’ independence and impartiality. The surveys show that a majority of HEIs are positive about the experts’ skills and legitimacy.

  Opinions concerning the support provided by the Agency were more moderate than usual. The very nature of the experimentation confronts everyone with novelty and

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8 Apart from a gender balance that was not met in the pilot, HEIs themselves acknowledged the panels’ understanding of the QA challenges for the Belgian French-speaking HE sector (93%) and their knowledge of the specific features of the HEIs (66%).
uncertainty, particularly in the context of the unexpected sanitary crises that had a significant impact on the scheduling and organisation of the visits.

Key outcome
The issue of fairness in the decisions taken is important even in the case of a formative approach which cannot lead to rankings or sanctions.

- PERCEPTION OF CLARITY AND TRANSPARENCY OF THE METHODOLOGICAL APPROACH

Observations
The degree of freedom given was valued in different ways by the HEIs\textsuperscript{9}. For some, it was a methodological opportunity. For others, the uncertainty provoked fears of implicit or even hidden expectations (on the part of the Agency or the experts). Despite the communication on the open nature of the process, some would have liked a stronger explicit guidance.

HEIs expect an excellent understanding and consideration of their ground realities. To do this, the question of access to reliable information arises. There is a tension between the willingness to show and promote achievements and the need to report or even prove them in an evidence-based approach.

Key outcome
Some HEIs lack a sufficiently sustainable and integrated information system, making the process very expensive. As M. Martin (2018) points out, there is room for improvement in integrating IQA with overall strategic planning as well as in connecting IQA results with other management areas.

- PERCEPTION OF EFFICACY AND EFFICIENCY OF THE PROCESS

Observations
The overall perception of HEIs on this depends on both their own objectives and the resources they have chosen (or been able to) to allocate. It is too early to comment on the achievement of specific objectives even if some positive achievements were mentioned\textsuperscript{10}.

Key outcome

\textsuperscript{9} The preliminary survey results show that 60\% of the HEIs found the Guidelines to show a good balance between “framing” and “giving freedom”. But the others found them either too binding and restrictive or on the contrary too few to help and guide, particularly for the self-evaluation.

\textsuperscript{10} Achievements such as getting to know oneself better, taking a more distanced look at one’s own functioning, communicating on and highlighting one’s work within the HEI.
Some HEIs point to the risk of an EQA that would increase the impact of their resource differences. To inform the pilot’s assessment on this topic from an evidence-based perspective, AEQES asked HEIs to quantify the resources actually mobilised.

- **PERCEPTION OF THE “FIT FOR PURPOSE” NATURE OF THE PROCESS**

  **Observations**
  The pilot phase took place in a system where coexist different types of HEIs with various characteristics: missions, strategies, resources, size, degree of autonomy, etc. There is a tension between an expectation that these differences are taken into account and the aim of ensuring, at the level of the sector, an equal approach for all HEIs.

  **Key outcome**
  This fundamental question is frequently discussed between AEQES and its stakeholders. Its resolution may have an impact on the EQA as a whole, by instance on the scope of the framework.

### 4 “TRUST REQUIRES AN EVIDENCE-BASED APPROACH”: HOW DOES THAT APPLY TO THE EXPERTS?

A relatively high number of experts (59%) involved in this pilot phase had never worked with AEQES before. Obviously for them it was a new process even though some had previous experience in ESG-2015 based frameworks.

A significant characteristic of this pilot phase was the flexibility offered to HEIs and experts¹¹.

The experts would need to have:

- The perception that the Agency in spite of all stakeholders involved in the pilot phase¹² will allow them to be autonomous in their conclusions.

- For this they need clear guidelines, training and also that the reports are not modified without their agreement. Post pilot survey show that it has been the case¹³.

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¹¹ the experts had the opportunity to adapt their interview schedule and report to be as relevant as possible to the specific context

¹² Government, HEIs, several committees overseeing the Agency, etc.

¹³ i.e. 95% satisfied or very satisfied with the information regarding the mission or the tools. No report or conclusion modified by the agency, in some cases reports modified by the chair after discussion
The perception that the Agency will help them to be fair with the HEIs (impartiality and fairness). Therefore they need support to produce analyses which are comparable within all reports. Evaluation is not exact science and experts need to make sure that the evidence provided is clear and sufficient and that the same conclusions are based on the same range of evidence.

- **THE PERCEPTION THAT HEIs “PLAY THE GAME”**

For the experts it is important that HEIs have a minimum ownership of the process so that the exercise does not turn into a purely bureaucratic process. They also need to make sure that it is a coherent process (i.e. aligned with the values of the Agency and the fundamentals of an institutional review). This can be observed in the reports and during the interviews. Survey among experts show that HEI’s self-assessment reports almost always included a self-critical dimension and that interviews were very open. The variety of reports and institutional QA frameworks chosen illustrates that institutions owned the process at least to some extent.

- **CONTRIBUTING TO BUILDING TRUST**

Experts also want to contribute to helping HEIs to trust this new EQA process, i.e. to take into account what they believe is important for institutions to get confidence. They identified that HEIs need to make sure that experts will run a fair evaluation process. Evaluations may very often trigger emotions, because they can be perceived as a judgment. To avoid this, providing evidence that HEIs can agree with in order to support conclusions is essential. In order to secure the learning dimension of the pilot experts need to make sure that HEIs are confident in the panel’s competences, feel understood during the visit and are accepting their conclusions. The surveys done during and after the process suggest that these conditions were overall created.

Experts believe that to build trust HEIs need to ascertain that the process is really enhancement led as “declared” in the guidelines. For the experts this would translate in the formative or pedagogical dimension of the oral feedback and the report. Post evaluation surveys within HEIs suggest strongly that this has been the main perception and that these conditions have been created.

5 **“TRUST REQUIRES AN EVIDENCE-BASED APPROACH”: HOW DOES THAT APPLY TO THE AGENCY?**

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14 See data presented during the communication.
If perceived as a challenging task, the official request by the Government of implementing a pilot phase is considered by AEQES as a signal of support and trust. In return, the Government expects an evaluation report (analysis of a body of evidence to takes stock of what actually happened) in order to provide suggestions for the legal framework describing the new EQA methodology.

For the HEIs-Agency relationship, it’s fair to recall that the pilot phase was preceded by a large consultation in 2016 and 2017 the results of which were analysed and published. This extensive information probably comforted the HEIs - who had already worked over a decade with the Agency - to trustfully apply for the pilot. 23 did, which was an unexpected high number.

![Figure: AEQES IN ITS BROADER CONTEXT](image)

As to the perceived impacts of the pilot institutional reviews, the preliminary results are the following: 100% declared it permitted an improved knowledge of their own HEI, 93% viewed a direct impact on the development of their IQA, 80% testified that their staff showed greater motivation and 80% said the impact would be to better articulate

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15 The article 9bis of the amended Decree quotes “[...] the Government entrusts the Agency [...] with the design and implementation of a pilot project for the external evaluation of the institutional component, as well as the transmission to the Government of an evaluation report of the pilot project [...]”.


17 Actually, trust and evidence are so much interlinked concepts that their inter connexion can be shown in the figure below with double-headed arrows. The figure shows the perspective of AEQES within its broader context and relationships with the Government, the HEIs, the experts the Agency mandated for the pilot phase, the Council for Methodological Support (CAM) and also, ENQA and EQAR.
IQA at institutional and programme levels. By contrast the pilot dedicated website\textsuperscript{18} – set up to support the co-construction process - shows 87% of dissatisfaction.

27 experts were recruited by AEQES to review the 17 HEIs. The following expertise was requested: governance, quality assurance, pedagogy, student experience and professional experience\textsuperscript{19}. That expertise is fully acknowledged\textsuperscript{20} by the reviewed HEIs in the surveys.

As a rule, agencies need to develop a trustful professional relationship with their experts, but even more for a pilot phase\textsuperscript{21}. And experts somehow need to trust the Agency to embark in such an adventure! AEQES, for its part, may testify of a remarkable commitment from these experts through the extended (because of the Covid) period of the pilot phase: beyond the “usual” responsibility of bringing expertise into a review process, they all showed eagerness to contribute to the pilot dimension of the reviews.

So far, the “CAM”\textsuperscript{22} has helped in selecting the pilot HEIs, selecting the experts and approving the panels, giving advice on the Guidelines and on the assessment report criteria, implementing the summative judgement procedure. Its committed members hold regular meetings and are constantly reflecting on their own functioning as well as future developments. In return, the Agency provides them with transparent information in order to consolidate their evidence-based practice.

Finally, ENQA and EQAR. The very process of reviewing agencies every 5 years and granting them recognition illustrates the interconnection between trust and evidence.

6 TO CONCLUDE WITH…

AEQES was “entrusted” to design and implement a pilot phase. The conditions of trust (clear “rules of the game” of the long-run EQA activities and co-constructed project) were met before the pilot began. But uncertainty is intrinsic in any pilot. We learned that the need to provide evidence, as highlighted by the 3 stakeholders, is a critical foundation for confidence in transparency, relevance and equity.

\textsuperscript{18} www.aeqes-coconstruction.be
\textsuperscript{19} For details, see AEQES SAR, page 49
\textsuperscript{20} 41% of the experts had already worked with AEQES. Besides, the HEIs were invited to submit names and several of them are included in the present list.
\textsuperscript{21} A tailor-made expert’s seminar provided them with the specific context of the pilot phase. 95% of the experts who answered the survey declared their satisfaction about the information provided but they also gave AEQES some useful suggestions for the future.
\textsuperscript{22} Council for Methodological support (CAM in French) – set up for the pilot phase
Communication is definitely a key issue, in particular in a changing context. In terms of resources, the Agency set up a specific website and organizes various meetings. Overall, communication has been rather well managed, but AEQES cannot develop a dedicated communication department with associated activities and supports. Similarly, HEIs state that they are not able, to the extent they would like to, to send attendees to meetings and spend time in reading extensive documentation. This impacts the quality of information and communication. The co-constructive approach of the process should help communicating mutual expectations and create some conditions to foster trust.

It appears that building trust requires clear and explicit intentions that people will be able to check. An evidence-based culture in evaluation is a critical dimension to “feed” the dynamic loop of trust building and requires the commitment of all stakeholders in the process.
THE EQA MIXED-MODEL

The proposal described the progressive implementation of a mixed-model of institutional reviews and programmatic evaluation procedures.

To explore possible articulations between the institutional and the programmatic levels, there are 4 programmatic external procedures:
- Initial evaluation by AEQES of new programmes
- Continuous evaluation by AEQES of already evaluated programmes (lighter process)
- Recognition by AEQES of an external evaluation or accreditation conducted by an external body/agency (automatic if EQAR registered, conditioned otherwise)
- External evaluation organized by the HEI, conditional on institutional review by AEQES and subsequent authorisation (this very procedure being experienced in the pilot phase as well, under the so-called summative judgement procedure\(^23\))

THE PILOT PHASE IN PRACTICE

To operationalise the pilot phase, the Steering Committee of the Agency decided to use existing structures, set-up other ones and to assign all of them with specific tasks.

The existing working groups of the Agency developed roadmaps with some outcomes to achieve (i.e. specific aspects of the new methodology to design).

A *Steering group* (9 members including the Board and the staff in charge with the pilot phase) was given the task of piloting the whole project, making sure objectives and

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deadlines are respected and due communication is provided to stakeholders. This group is also to write the final report to the Government at the end of the pilot phase.

Noteworthy is the setting of an independent Council for Methodological Support (“CAM” in French) composed of six international members appointed for their expertise in quality assurance and analytical skills. The first tasks given to them were to make a proposal for the selection of pilot HEIs and to select to experts to be commissioned by AEQES for the institutional reviews. The Council also gives advice on demand or on initiative. It is closely associated with the decisive role in the “summative judgement procedure” and, as a whole, with the final assessment of the pilot phase.

Figure 2: MAPPING OF STRUCTURES AND ASSOCIATED ROLES

A call for pilot HEIs was made and, among the 23 applicants, 17 HEIs were selected at the end of a process including the analysis and advice of the Council for Methodological Support, a study of feasibility made by the Executive Unit of AEQES and the final decision taken by its Steering Committee. The criteria required a sample of HEIs that would reflect a diversity of types of HE providers, of sizes and geographical origins as well as stages of IQA development.

WHERE ARE WE NOW?

Out of the 17 institutional reviews, the 4 first ones could be made as “face-to-face onsite visits” and 13 others were conducted online, with some delays due to the Covid crisis. As a matter of fact, the Agency had to prolong the duration of the pilot for a further year.

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24 Appointed in 2018 by the Steering Committee of the Agency: Guy AELTERMAN, Patrick BARANGER, Bernadette CHARLIER, Geneviève Le FORT, Jacques MOREAU and Andrée SURSOCK
All preliminary reports were sent to the HEIs who had the opportunity to exercise their right of reply. The 8 HEIs who had requested the summative judgement procedure received the decision letter (and were entitled to file an appeal if they wished). All the reports are due to be published concurrently in late October or November 2021. The panel of experts is presently drafting the system-wide analysis of the pilot phase, and, to take stock of the whole experience, the Agency is drafting the assessment report requested by the Government.

From November 2019 to June 2021, several surveys were made in order to collect the feedback of the HEIs and the experts. These are analysed and presented to stakeholders with some themes being further elaborated in focus groups. Unfortunately the annual AEQES seminar that gathers a large QA community was cancelled in 2020 because of the sanitary conditions, so the dissemination was reduced to sending the notice of the publication of the documents.

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25 In January 2021, the results of 3 surveys covering the first 8 reviews were published (https://aeqes-coconstruction.be/wp-content/uploads/2021/03/PHASE-PILOTE-AEQES_Doc2_Résultats_3_enquetes_mi_parcours_janv2021.pdf) and this led to a first analysis of three dimensions, namely the perceived impacts, the concept of frameworks & criteria and the issue of expectations (https://aeqes-coconstruction.be/wp-content/uploads/2021/03/PHASE-PILOTE-AEQES_Doc3-Synthèse-1er-focus-groups_janv2021.pdf)
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SAR – AEQES 2021 review

In French

https://aeqes-coconstruction.be/

AEQES Report (October 2017)

Guidelines for the pilot institutional review [in French]

Half-way survey results (after 8 reviews)

Focus-group 1 (January 2021) and a first analysis of three dimensions, namely the perceived impacts, the concept of frameworks & criteria and the issue of expectations https://aeqes-coconstruction.be/wp-content/uploads/2021/03/PHASE-PILOTE-AEQES_Doc3-Synthese-1er-focus-groups_janv2021.pdf