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## **The Guidelines for the Preparation of a Self-Assessment Report of Higher Education Institutions/ Colleges**

The guidelines for the preparation of a Self-Assessment Report of higher education institutions/ colleges (hereinafter – the guidelines) are developed in accordance with Subparagraph 2.3 of Cabinet Regulation No. 794 of 11 December 2018 “Regulations on Accreditation of Higher Education Institutions and Colleges”.

The purpose of the guidelines is to provide higher education institutions/ colleges<sup>1</sup> with a structured framework for the preparation of a Self-Assessment Report. The guidelines prescribe the information to be included in the Self-Assessment Report, as well as its structure, and form. The compliance with the unified guidelines for the preparation of the Self-Assessment Report will facilitate the work of both the higher education institutions/ colleges in the process of the preparation of the Self-Assessment Report, and the experts in the process of the assessment of the higher education institution/ college.

### **The Purpose of the Self-Assessment Process**

The purpose of the self-assessment process at the higher education institution/ college is to carry out a comprehensive and in-depth analysis, which shall be used for future improvement of the performance of the higher education institution/ college. During the self-assessment process, the higher education institution/ college carries out an analytical and critical assessment of its performance.

### **The Purpose of the Self-Assessment Report**

The Self-Assessment Report is prepared as an analytical reference material that comprises the description and analysis of the criteria and related requirements, which are justified by specific examples. The quantitative indicators included in the Self-Assessment Report complement the qualitative analysis carried out by the higher education institution/ college.

The experts group uses the Self-Assessment Report to obtain comprehensive information about the higher education institution/ college and to assess its quality.

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<sup>1</sup> The term “higher education institution/ college” used herein is applicable to all higher education and science institutions mentioned in the Law on Institutions of Higher Education which implement academic and professional study programmes, as well as deal with science, research activities, and artistic creation (universities, higher education institutions, academies, institutes, and colleges).

## **The Procedure of the Preparation of the Self-Assessment Report**

In order to prepare the Self-Assessment Report, the higher education institution/ college shall establish a team for the preparation of the Self-Assessment Report, which shall be comprised of the representatives of the administration, students, and the teaching staff<sup>2</sup> of the higher education institution/ college, and/or employers, and social partners.

### **The Self-Assessment Report shall be developed:**

- in accordance with the sequence set forth in the guidelines, justifying the made statements and providing references and examples;
- in accordance with the literary and grammar rules of the official language, legal and academic terminology;
- assessing the period since the higher education institution/ college has been established; and
- specifying future plans, projects, and prospects.

During the accreditation process of the higher education institution/ college, its compliance with eight requirements provided for in Paragraph 19 of Cabinet Regulation No. 794 of 11 December 2018 “Regulations on Accreditation of Higher Education Institutions and Colleges” shall be assessed.

1. The qualification of the academic staff members, visiting professors, visiting associate professors, visiting docents, visiting lecturers, and visiting assistants complies with the provisions set forth in the Law on Institutions of Higher Education.
2. The academic staff development policy and incentive system developed by the higher education institution/ college comply with the aims and objectives set by the higher education institution/ college.
3. The study provision, informative provision (including libraries), material and technical provision, and financial provision comply with the requirements for the implementation of a study programme.
4. The higher education institution/ college ensures constant improvement, development, and efficient performance, whilst implementing the internal quality assurance system, as provided for in Section 5, Paragraph 2, Clause 1 of the Law on Institutions of Higher Education.
5. The provisions regarding autonomy, financing, and rights of the students’ self-governance are complied with.
6. The data contained in the education quality monitoring system of the higher education institution/ college indicates improvement and development of the performance of the higher education institution/ college (*in force as from 1 July 2019*).
7. The higher education institution/ college carries out the activities in compliance with the requirements set in the legislation on higher education.
8. The non-compliances with the provisions set forth in the regulatory enactments as identified by the competent authorities and regarding the performance of the higher education institution/ college in the previous year have been eliminated prior to the decision in line with the deadline set by the mentioned authorities.

The criteria for the assessment of the compliance with the requirements are as follows:

### Aims, Objectives, and Management of the Higher Education Institution/ College

- C1. The aims and objectives of the higher education institution/ college are clearly defined and attainable, as evidenced by the strategic planning documents.
- C2. The higher education institution/ college has developed a management structure and mechanisms, which are efficient in reaching the aims of the higher education institution/ college. The process management is development-oriented, the stakeholders are involved in the decision-making process, and the decisions are made efficiently.

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<sup>2</sup> The term “teaching staff” used herein refers to the academic staff of the relevant higher education institution/ college and its visiting professors, visiting associate professors, visiting docents, visiting lecturers, and visiting assistants.

- C3. The principles and aims of the higher education institution/ college for the cooperation with the employers and sectoral representatives have been defined, and their attainment contributes to the achievement of the aims of the higher education institution/ college and the implementation of its strategy.
- C4. The graduates of the higher education institution/ college are employed corresponding to the acquired qualification/ degree or in another sector, and the higher education institution/ college develops forecast prospects with regard to the employment of graduates.
- C5. The feedback mechanisms and other mechanisms for data collection and analysis, as implemented by the higher education institution/ college, are efficient, and the higher education institution/ college conducts surveys the outcomes of which are evaluated and taken into consideration when improving its own performance and study programmes.
- C6. A support system related to education and career development to promote students' employment, a social and/or emotional support system, residence and scholarship offer, and a support system for foreign students are in place, implemented, and available.
- C7. The information published on the website of the higher education institution/ college regarding the offered study programmes complies with the information available in the official registers. It provides important information for candidates and students and is published in all languages in which the study programmes are implemented.

#### Internal Quality Assurance System

- C1. The quality policy has been defined and is publicly available. The stakeholders are involved in defining the policy. The aims of the quality policy are associated with the strategic directions and aims of the higher education institution/ college.
- C2. A mechanism for the implementation of the quality policy has been developed and it ensures the implementation of the policy. Persons responsible for the implementation of the policy have been appointed.
- C3. The internal quality assurance system and its procedures are effective. Indicators for achieving the aims and objectives of the higher education institution/ college have been determined.
- C4. The internal quality assurance system has been developed in compliance with the Standards and Guidelines for Quality Assurance in the European Higher Education Area (ESG).
- C5. Study programmes are developed, approved, and reviewed in compliance with the strategy and internal regulatory enactments of the higher education institution/ college by involving the teaching staff, students, representatives of employers, and other stakeholders.
- C6. The study process at the higher education institution/ college has been developed and is organised by applying the principles of student-centred learning and ensuring the recognition of competences acquired outside formal education or through professional experience and the learning outcomes achieved in prior learning.

#### Resources

- C1. The infrastructure<sup>3</sup> of the higher education institution/ college is suitable for the needs and specific features of the higher education institution/ college, and it contributes to achieving the aims of the higher education institution/ college. The infrastructure is available for the students and the teaching staff to achieve the

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<sup>3</sup> The term "infrastructure" used herein refers to the study provision of the higher education institution/ college.

learning outcomes. The higher education institution/ college uses a systematic approach to long-term development of the infrastructure resources.

- C2. The material and technical provision of the higher education institution/ college is suitable for the needs and specific features of the higher education institution/ college, and it contributes to achieving the aims of the higher education institution/ college. The material and technical provision is available for the students and the teaching staff to achieve the learning outcomes and it is provided on a long-term basis. The higher education institution/college plans the development of the material and technical provision.
- C3. Financial resources required to ensure the performance of the higher education institution/ college are available for the higher education institution/ college, and they are sufficient to ensure a high-quality study process. The availability of the financial resources is being ensured. The higher education institution/ college uses a systematic approach to long-term development of the financial resources.
- C4. The methodological support of the higher education institution/ college required for the implementation of the study process is suitable and sufficient for the purpose of implementation of the study programmes relevant to the study directions. It is actively applied in the study process, and its availability on a long-term basis is ensured.
- C5. The informative provision of the higher education institution/ college is available, and the higher education institution/ college uses a systematic approach to long-term development of the informative provision.

\* If study programmes are implemented in the form of distance learning and/or in the branch or branches of the higher education institution/ college, the analysis of the criteria 1 to 4 shall be provided in view of the form of distance learning and/ or the branches.

#### Teaching Staff

- C1. The aims, objectives, and planning documents of the higher education institution/ college with regard to the policy of the development and motivation of the academic staff are clearly defined and attainable.
- C2. The attraction and selection of the teaching staff of the higher education institution/ college, including the teaching staff from abroad, are regulated procedures implemented in practice, which are complied with and ensure the selection of qualified and suitable teaching staff.
- C3. The teaching staff's professional and didactic needs for improvement are identified in a target-oriented manner. Appropriate improvement measures are offered and implemented. The outcome and efficiency of the taken measures is being assessed.
- C4. A support system for the teaching staff, including local and from abroad, has been developed and implemented in an efficient manner.

#### Scientific Research or Artistic Creation

- C1. A structure and management system have been developed and implemented for activities in the field of scientific research and/or artistic creation, it is well-considered and effective, and it contributes to the attainment of the aims and objectives of the higher education institution/ college.
- C2. The established directions of the higher education institution/ college in the field of scientific research and/or artistic creation comply with the strategy, the study directions, and the relevant study programmes implemented at the higher education institution/ college, and they are in line with the contemporary trends of the sector, the labour market needs, and scientific trends.

### Cooperation and Internationalisation

- C1. The strategy and directions of international cooperation and internationalisation are defined, and they comply with the strategy and aims of the higher education institution/ college.
- C2. The forms of international cooperation implemented by the higher education institution/ college and stakeholders for cooperation contribute to the attainment of the aims set by the higher education institution/ college and comply with the internationalisation strategy.
- C3. There is a system of incoming - outgoing mobility of students and the staff in place, the teaching staff and students are aware of it and avail of this opportunity, and it brings added value to the implementation of the study process and study quality.

### Activities of Students' Self-Governance

- C1. A students' self-governance has been established, and, in terms of the structure and performance, it is efficient. The students are aware of the self-governance and its functions, and they are involved in the activities of the self-governance. The management of the higher education institution/ college provides support to facilitate students' representation and activities of students' self-governance.
- C2. In terms of performance, the students' self-governance complies with the provisions set forth in the Law on Institutions of Higher Education. Whilst carrying out its activities, it represents the students in issues related to the academic, material (social), and cultural life. There are procedures in place that allow students to be elected to collegiate authorities of the higher education institution/ college.
- C3. The procedures for financing of the students' self-governance comply with the Law on Institutions of Higher Education.

Preparing the Self-Assessment Report, the higher education institution/ college shall provide information in accordance with the topics/ recommendations set forth in the guidelines. For description, analysis, and assessment purposes, each criterion shall be followed by the guidelines (in italics). The higher education institution/ college may include additional information if it considers such information relevant.

The annexes to these guidelines containing the reference "SAMPLE" are only indicative. The higher education institution/ college may submit the relevant information in the form it sees fit.

The higher education institution/ college shall be obliged to provide only verifiable information and it must be ready to produce evidence as to the facts set out in the Self-Assessment Report, being present at the on-site visit by the experts group.

The Self-Assessment Report forms an integral part of the application for the accreditation of the higher education institution/ college.

The application for the accreditation and the Self-Assessment Report of the higher education institution/ college shall be submitted as follows:

- electronically, and they shall be signed with a secure electronic signature in compliance with the provisions of the [Electronic Documents Law](#); and
- in the official language accompanied by a translation into English (translations of documents submitted by other organisations may contain a reference "Provisional translation").

## **The Structure of the Self-Assessment Report**

Basic information about the higher education institution/ college:

1. Aims, objectives, and management of the higher education institution/ college
2. Internal quality assurance system
3. Resources
4. Teaching staff
5. Science, research or artistic creation
6. Cooperation and internationalisation
7. Activities of students' self-governance
8. Compliance of the activities of the higher education institution/ college with the provisions of regulatory enactments

Annexes

(Application form of the higher education institution/ college)

APPLICATION

Place

*Date and document number*

Academic Information Centre

Application for the Accreditation of a Higher Education Institution/ College

Name of the higher education institution/ college	
Number of the certificate on registration with the Register of Educational Institutions	
Legal address of the higher education institution/ college	
Telephone number	
E-mail	
Person duly appointed by the higher education institution/ college entitled to deal with issues regarding the accreditation of the higher education institution/ college	<i>Name, surname, academic/ scientific degree/ professional degree and/ or professional qualification, position, e-mail, and telephone number)</i>

Rector of the higher education institution or the director of the college

Name, surname, signature

[Logo of the higher education institution/ college]

## **Self-Assessment Report**

NAME OF THE HIGHER EDUCATION INSTITUTION/ COLLEGE

CITY 20\_\_



## **Basic Information about the Higher Education Institution/ College**

### **Basic Information about the Higher Education Institution/ College**

Purpose of and basis for establishing the higher education institution/ college

Mission and vision of the higher education institution/ college

Structure of the higher education institution/ college (an organisation chart as an annex thereto)

Description of the procedure for the election of the rector, the interim rector of the higher education institution or the appointment of the director of the college

Role at the national and international level

Involvement in higher education policy-making at the national level

### **Constitution of the Higher Education Institution and By-Laws of the College**

Data on the approval of the existing Constitution or By-Laws in force, with a document(-s) attached as an annex to confirm that the Constitution was approved at the Constitutional assembly or the By-Laws were adopted in the meeting of the College Council.

Information about the principles of the establishment and approval of the Constitution or By-Laws, as well as on persons involved in the process of establishment and approval thereof.

The fundamental values and core activities of the higher education institution/ college, as set forth in the Constitution or the By-Laws.

Electronic link to the website where the Constitution or By-Laws are available (in both English and Latvian).

### **1. Aims, Objectives, and Management of the Higher Education Institution/ College**

- 1.1. Description and evaluation of the aims and objectives of the higher education institution/ college, including the electronic link to the website where the development strategy or the by-laws regulating the development of the higher education institution/ college and other regulatory enactments binding as to the activities of the higher education institution/ college are available.
- 1.2. Description and evaluation of the management structure and mechanisms of the higher education institution/ college and their compliance in terms of attainability of the aims of the higher education institution/ college. Description and assessment of the efficiency of process management and the decision-making process.
- 1.3. Description and evaluation of the principles and aims established by the higher education institution/ college for the cooperation with employers and sectoral representatives and their relevance to the achievement of the aims and strategy of the higher education institution/ college.
- 1.4. Description and evaluation of the employment of graduates of the higher education institution/ college and employment forecast prospects.
- 1.5. Description and evaluation of the feedback mechanisms, including the evaluation of the relevance of surveys and their outcomes to the performance of the higher education institution/ college and the procedures for the improvement of study programmes.

- 1.6. Description and evaluation of the support system related to education and career development to promote students' employment, the social and/or emotional support system, the residence and scholarship offer, and the support system for foreign students.
- 1.7. Description and evaluation of the compliance of the information published on the website of the higher education institution/ college regarding the offered study programmes with the information available in the official registers. Description and evaluation of important information for candidates provided by the higher education institution/ college and as to whether such information is published in all languages in which the study programmes are implemented.

## **2. Internal Quality Assurance System**

- 2.1. Description and evaluation of the quality policy, its availability, and the involvement of the stakeholders in defining thereof. Description and evaluation of the relevance of the quality policy aims with the strategic directions and aims set by the higher education institution/ college. Link to the website on which the quality policy is available.
- 2.2. Description and evaluation of the mechanism for the implementation of the quality policy and the persons responsible for the implementation thereof.
- 2.3. Description and evaluation of the efficiency of the internal quality assurance system and its procedures, as well as the indicators for achieving the aims and objectives of the higher education institution/ college.
- 2.4. Description and evaluation of the compliance of the internal quality assurance system with the Standards and Guidelines for Quality Assurance in the European Higher Education Area (ESG), by adding a table in which the compliance with each paragraph of Part 1 of the ESG shall be described.
- 2.5. Description and evaluation of the development, approval, and review of study programmes in compliance with the strategy and internal regulatory enactments of the higher education institution/ college by involving the teaching staff, students, representatives of employers, and other stakeholders.
- 2.6. Description and evaluation of the procedure according to which the study process at the higher education institution/ college is developed and organised by applying the principles of student-centred learning and ensuring the recognition of competences acquired outside formal education or through professional experience and the learning outcomes achieved in prior learning.

## **3. Resources**

- 3.1. Description and evaluation of the suitability of the infrastructure<sup>4</sup> of the higher education institution/ college for the needs and specific features of the higher education institution/ college, as well as the contribution to the attainment of its aims. Description and evaluation of the availability of the infrastructure for the students and the teaching staff to achieve the learning outcomes, as well the systematic approach to long-term development of the infrastructure resources.
- 3.2. Description and evaluation of the suitability of the material and technical provision of the higher education institution/ college for the needs and specific features of the higher education institution/ college, as well as the contribution to the attainment of its aims. Description and evaluation of the availability of the material and technical provision for the students and the teaching staff to achieve the learning outcomes.

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<sup>4</sup> The term "infrastructure" used herein refers to the study provision of the higher education institution/ college.

- 3.3. Description and evaluation of the financial resources required to ensure the performance of the higher education institution/ college, which are available for the higher education institution/ college and ensure a high-quality study process. Description and evaluation of the availability of the financial resources and the systematic approach to long-term development of these resources.
- 3.4. Description and evaluation of the suitability of methodological provision of the higher education institution/ college, as required for the implementation of the study process, for the implementation of the study programmes relevant to the study directions. Description and evaluation of the availability of the methodological provision on a long-term basis and the efficiency of the use thereof in the implementation of the study process.
- 3.5. Description and evaluation of the availability and the systematic approach to long-term development of the informative provision of the higher education institution/ college.

\* If study programmes are implemented in the form of distance learning and/or in the branches of the higher education institution/ college, the description and evaluation of the analysis of the criteria 1 to 4 in view of the form of distance learning and/ or the branches shall be provided.

#### **4. Teaching Staff**

- 4.1. Description and evaluation of the aims, objectives, and planning documents of the higher education institution/ college with regard to the policy of the development and motivation of the academic staff, including the description and evaluation of the policy, transparency, and feasibility of remuneration.
- 4.2. Description and evaluation of the procedures for attracting and selecting the teaching staff of the higher education institution/ college, including the teaching staff from abroad. Information as to whether the compliance with the procedures ensure the selection of qualified and suitable teaching staff, including the proportion of the teaching staff from abroad.
- 4.3. Description and evaluation of the procedure for the identification of the teaching staff's professional and didactic needs for improvement in a target-oriented manner. Description and evaluation of the offer and use of suitable improvement measures, as well as their outcome, and efficiency.
- 4.4. Description and evaluation of the implementation and efficiency of the support system for the teaching staff, including local and from abroad.
- 4.5. Compliance of the qualification of the teaching staff of the higher education institution/ college with the requirements for the implementation of study programmes.

#### **5. Scientific Research or Artistic Creation**

- 5.1. Description and evaluation of the efficiency of the structure and management of the activities in the field of scientific research and/or artistic creation. Description and evaluation of the contribution of scientific research and/ or artistic creation to the attainment of the aims and objectives of the higher education institution/ college.
- 5.2. Description and evaluation of the compliance of the directions of the higher education institution/ college established in the field of scientific research and/or artistic creation with the strategy, the study directions, and the relevant study programmes implemented at the higher education institution/ college. Description and evaluation of the compliance of the directions of the higher education institution/ college established in

the field of scientific research and/or artistic creation with contemporary trends of the sector, the labour market needs, and scientific trends.

## **6. Cooperation and Internationalisation**

- 6.1. Description and evaluation of the strategy and directions of international cooperation and internationalisation and their compliance with the strategy and the aims of the higher education institution/ college.
- 6.2. Description and evaluation of the forms of international cooperation implemented by the higher education institution/ college, the contribution of the stakeholders for cooperation to the attainment of the aims of the higher education institution/ college, and the compliance with the internationalisation strategy.
- 6.3. Description and evaluation of the incoming - outgoing mobility of students and the staff, the awareness of the teaching staff and the students and the use of the mobility system, as well as the added value to the implementation of the study process and study quality.

## **7. Activities of Students' Self-Governance**

- 7.1. Description and evaluation of the students' self-governance, efficiency of its structure and performance, as well as the awareness of the students of the students' self-governance and its functions, and their involvement in the activities of the students' self-governance. Description and evaluation of the support by the management of the higher education institution/ college to facilitate students' representation and activities of students' self-governance.
- 7.2. Description and evaluation of the compliance of the activities of the students' self-governance with the provisions set forth in the Law on Institutions of Higher Education. Description and evaluation of the contribution of the students' self-governance to issues related to the academic, material (social), and cultural life. Description and evaluation of the procedure by which the students are elected to collegiate authorities of the higher education institution/ college.
- 7.3. Description and evaluation of the compliance of the procedures for financing of the students' self-governance with the Law on Institutions of Higher Education.

## Annexes

Name of the Annex	Annex No.
1. Aims, objectives, and management of the higher education institution/ college	
Management structure of the higher education institution/ college	1
Outcome of the surveys conducted among the students	2
Outcome of the surveys conducted among the employers	3
List of the implemented study directions and the relevant study programmes ( <i>see the sample in Annex 1</i> )	4
4. Teaching staff	
List of the teaching staff members of the higher education institution/ college ( <i>see the sample in Annex 3</i> )  The following shall be included: <ul style="list-style-type: none"> <li>– document certifying that the academic staff members are proficient in the official language in accordance with the regulations on the level of the official language knowledge and the procedures for testing official language proficiency for performing professional duties and office duties; and</li> <li>– document certifying that the teaching staff members have at least B2-level knowledge of a related foreign language according to European language levels (see the levels under <a href="http://www.europass.lv">www.europass.lv</a>), if the study programmes or any parts thereof are to be implemented in a foreign language, or at least B2-level knowledge of the Latvian language, if the study programmes or any parts thereof are to be implemented in the Latvian language, and a teaching staff member has not acquired the secondary or higher education in the Latvian language (<i>if applicable</i>).</li> </ul>	5
8. Compliance of the activities of the higher education institution/ college with the provisions of regulatory enactments	
Document certifying that the Constitution of the higher education institution or By-Laws of the college have been approved.	6
Sample of the diploma and its supplement to be issued for the acquisition of the study programme.	7
Sample of the study agreement.	8
Procedures for the recognition of competences acquired outside formal education or through professional experience and learning outcomes achieved in previous learning.	9
Information as to whether the results of the inspections performed by the State Education Quality Service are taken into consideration (if applicable) ( <i>see the sample in Annex 2</i> )	10

**Implemented Study Directions and Relevant Study Programmes**

Study direction*	Electronic link to the Self-Assessment Report on the study direction	Name of the study programme	Study type and form of the study programme	Place of implementation	Accreditation term	Number of students (on the day of the preparation of the Self-Assessment Report)

\* Arrange the study directions alphabetically by indicating the relevant study programmes

**Information about the Results of Inspections Carried out by the State Education Quality Service and Deficiencies Eliminated in the Reported Period**

No.	Findings of the State Education Quality Service	Activities of the higher education institution/ college	Outcome/ situation with regard to elimination of the findings (on the day of the preparation of the Self-Assessment Report)

