

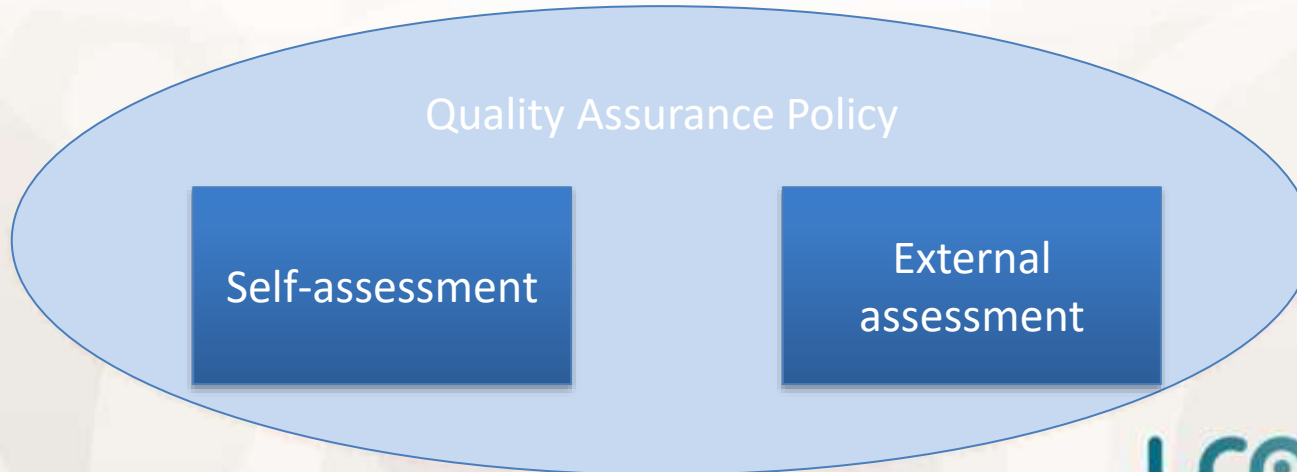
FROM IQA TO EQA THROUGH THE DRAFTING OF A SELF-ASSESSMENT REPORT: the experience of a French HEI

**«От внутреннего обеспечения качества к внешнему обеспечению качества
через подготовку отчета о самооценке: опыт французского вуза»**

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Introduction

- What are the links between IQA and EQA ?
 - = not concurrence
 - = but complementarity



- External assessment helps HEI to improve the quality of the doctoral studies and the quality of the functioning of doctoral schools.
- Self-assessment is an internal mechanism used to analyse the functioning of doctoral schools according to their own goals.

- Self-assessment is not the answer given to fulfill the requirements expected by a quality assurance agency.
 - ▮ *it is an internal tool aimed at developing the Cycle 3 quality.*
- Nevertheless, self-assessment is done within a framework given by the Hcéres in France.
 - ▮ *there are european « good practices » in the field of self-assessment.*

- What are the rules and « good practices » in the field of self-assessment?

- This is a specific and ponctual exercice.

The Doctoral School needs to use self-criticism about its activities and results. It is not only an activity report.

- It requires transparency.

The rules have to be known by all the stakeholders (PhD students, Professors...)

- The differents steps have to be clearly defined.

The launching of the self-assessment, the analysis of the results, the drafting of the self-assessment report, the diffusion of the self-assessment report.

- *The tools shall be diversified.*

Individual interviews, surveys, calls for contributions, working groups.

- **I. A brief overview of the UCA's IQA system**
- **II. The existing IQA tools at University Clermont Auvergne and the on-going challenges**
- **III. The drafting of a self-assessment report according to the experience of the Doctoral School in Economics, Law, Political Science and Management**

I. A brief presentation of the UCA's IQA system

❖ The context

- January 2017 : the fusion of the two existing Universities (University of Auvergne and university Blaise Pascal) into one : the University Clermont Auvergne (35.000 students)
2 different cultures and 5 doctoral schools
- The constraints : the French legal framework on doctoral studies in line with European standards = decree of May 25, 2006

❖ The structure

A College of Doctoral Schools (established in 2004)

– Head : Professor Patrice MALFREYT

- 1100 PhD students / 140 thesis defended each year
- 5 Doctoral Schools (DS) - multidisciplinary
 - DS Letters, Human and Social Sciences
 - DS Economics, Law, Political Science and Management
 - DS Fundamental Sciences
 - DS Engineering Sciences
 - DS Life, Health, Agronomy, Environment

❖ The functioning

- **Each doctoral school is independent**
 - Ex : it can set up the minimum average required to select PhD students (in general 12/20)
- **But has tight links with the research centers**
 - Ex : for the selection of Phd which are financed

- **The Director of the College of Doctoral Schools has several missions:**
 - He tries to impulse a same functioning for all the Doctoral Schools : harmonization
 - He is in charge of the relationships with the University and with the local entities (the city of Clermont-Ferrand, the Auvergne-Rhône-Alpes region...)
 - He supervises the training modules and the assessment of them by the PhD students

- He supervises all the events which are organized



My PhD in 180 seconds



The PhD Hooding Ceremony

Young researcher Prize



Since the fusion of the Universities, there is an administrative Department dedicated to Doctoral Studies and Accreditations to supervise research (*HDR – Habilitation à diriger des Recherches*) within the Direction of Research (*DRV*)

DRV

Staff : 9 persons

Head of Department
Rosa CAMPOS

PhD & Accreditations to supervise research

- + 1 person / Doctoral School
- + 1 person for Accreditations

Professionalisation of PhD students

- + 1 person in charge of promoting and internationalising PhDs
- + 1 person in charge of orientation and job market integration

Much more efficient,
but a lot of work

II. IQA at UCA : the existing tools & on-going challenges

❖ Recruitment of PhD students

- ✓ The doctoral school decides on admission and registers the PhD students
- ✓ There are conditions :
 - ✓ the academic level – a master 2 with a 12/20 average
 - ✓ sufficient financial resources (different depending on doctoral schools)

❖ Training of doctoral students

- **Observation** : less and less PhD students find a job related to their PhD topic
- **The goal of the training**: to develop competences in order to find a job
- **The solution** : More and more transdisciplinary trainings
 - Ex : Theatre and science



❖ The quality of the supervision

- ✓ The supervisor : a tenured professor or a professor accredited to supervise research

In France, supervisors are not assessed during their careers, but one of the tool is the research and doctoral supervision grant (*PEDR*).

- ✓ Individual follow-up by a Committee
- ✓ Maximum number of thesis not yet harmonized :
200 % in Fundamental Sciences (4 PhD * 50 %)
vs 800 % in Human Sciences (8 PhD * 100%)

❖ Need of time for adaptation – Harmonization cannot be forced nor imposed

- Regarding the number of thesis per supervisor :
 - ✓ what matters is the quality of the supervision
 - ✓ It depends on the field (4 thesis in Sciences is already a lot)
 - Regarding the length of PhDs : 36 months for Phd students with a financement (36 months contracts)
- ☛ *needs to adapt the topics in order to defend at the end of the contract : a key element for industries as future employer*

❖ The setting-up of trainings for the supervisors
mentioned in the French regulation, but not yet
enforced

☛ *should be shortly enforced*

*Maybe a one-day training (discovery of the legislation
on doctoral studies; ethic; knowledges on follow-up
committee...)*

❖ Market Job integration

- ✓ to strengthen the links with small and medium-sized enterprises that could finance PhDs and recruit PhD students

▮ *Doctoral schools as mediators*

❖ The cost of the trainings

= very expensive

socio-professional trainings: 90.000 euros

▮ *One of the risks is the development of private companies dealing with trainings and being very expensive*

There is a need for labelled trainings, accredited by the University.

III. The Drafting of a self-assessment report

2 elements need to be taken into account:

- The criteria set up by the French agency – Hcéres
- The previous assessment report (every 5 years)

❖ The expectations by the Hcéres

- Formal expectations

- The report shall take into account the 5 years of the contract.
- It shall represent around 60 pages and include annexes.
- It shall comprise a structure, which mirrors the Hcéres Guide for completing the self-evaluation report:
 - 3 key domains need to be addressed:
 - Functioning and scientific targeting of the doctoral school
 - Supervision and training of doctoral students
 - Monitoring the professional careers of doctors

- Substantial expectations on the content of the report:
 - What method / tools were used to write the report?
 - The description of the development strategy of the doctoral school
 - The presentation of the improvements introduced during the contract / as an answer to the previous Hcéres report
 - A critical approach : Strengths, Weaknesses, Opportunities, Threats (SWOT)

- Expectations on the ability of the doctoral school to assess:
 - its position within its local, national & international environnement;
 - its efficiency and capacity to mobilize its community (Phd Students, Professors, administrative staff) during the 5 years
 - Its strengths and weaknesses.

❖ The tools used to assess weaknesses and strengths

- Direct tools :

- At the level of the **Doctoral School**

- 1. Excel sheets : number of Phd students per Professor / duration of the PhDs...

- 2. A portfolio of competences has to be filled by PhD students and signed by their PhD supervisor each year



4. Compétences de recherche

(que vous pensez avoir acquises lors de votre formation doctorale)

4.1. Conception d'un projet de recherche

<p>Conceptualiser et bâtir un projet de recherche Exemple : enquête de terrain avec questionnaire, supervision, etc...</p>	
<p>Participation à la recherche de moyens financiers Exemple : rédaction et obtention (au po) d'un projet de recherche pour l'attribution d'un financement pour une 4^{ème} année de thèse ou pour votre projet de thèse pour recherche. Indiquer le titre et le/les organisme(s) sollicité(s).</p>	
<p>Veille scientifique et méthodologique Exemple : réalisation de la bibliographie, gestion d'une bibliothèque (Web of Sciences, Scopus), gestion de logiciels (Zotero, Mendeley, BibTeX, papers, endnote, ...).</p>	
<p>Formation à l'éthique (validation du module en première année)</p>	
<p>Analyse critique de la production scientifique Exemple : participation à des réunions hebdomadaires de laboratoire/d'équipe, avec ou sans présentation de ses propres résultats, rédaction d'article, de review, ...</p>	
<p>Capacité à accepter la critique, à faire preuve d'humilité, de doute scientifique et d'éthique Exemple : présentation des résultats à des congrès/séminaires scientifiques français et internationaux (les ciber).</p>	

Research competences
thanks to the Doctoral
trainings

5. Compétences techniques et méthodologiques

Enrichir et compléter ses connaissances et compétences méthodologiques et techniques <i>Exemple : suivi de cours de master</i>	
Maîtriser tous les aspects de la gestion de projet <i>Exemple : Modules OSP (les citer).</i>	
Décomposer des problèmes complexes en questions plus simples, ordonner les diverses étapes du projet et planifier leur déroulement pas à pas <i>Exemple : les Doctoriales (donner les dates de participation), développement de méthodologies expérimentales et théoriques.</i>	
Développer des connaissances pointues dans son champ disciplinaire <i>Exemple : Participation à des congrès, workshop, séminaires, (les citer).</i>	
Faire le point sur les moyens disponibles et suggérer leur évolution, mettre en œuvre les solutions proposées en respectant et en gérant le budget alloué <i>Exemple : réunion de laboratoire, comités de suivi de thèse (donner les dates), modules OSP (les citer).</i>	
Faire un bilan du projet <i>Exemple : rapport d'étape du projet, comités de suivi de thèse</i>	

Technical and methodological competences

6. Autres compétences - savoir être

6.1. Mobiliser un esprit d'innovation au quotidien

Faire preuve de curiosité <i>Exemple : participation à des séminaires, congrès d'autres disciplines, découvrir une autre langue, journées scientifiques de l'école doctorale.</i>	
Gérer les risques liés à la confrontation avec l'inconnu <i>Exemple : se former à une nouvelle technique (la/les citer).</i>	
Avoir le réflexe de valoriser de manière pertinente ses découvertes et réalisations Gérant les risques <i>Exemple : Participation aux modules création d'entreprise, brevets... Créer après la soutenance sa propre start-up...</i>	
Dépasser les frontières de sa discipline <i>Exemple : participation à l'élaboration de projets (ANR, PEPS,...).</i>	

6.2. Travailler en équipe

Collaborer avec des collègues et partenaires aux statuts et aux missions diverses en cherchant à valoriser au plus juste la contribution de chacun <i>Exemple : travail régulier avec des chercheurs et ingénieurs d'autres disciplines</i>	
Faire preuve de respect, d'écoute, de confiance, d'ouverture à la diversité, d'encouragement et d'humilité face aux propositions de ses collègues et partenaires <i>Exemple : participation à des conseils (unité de recherche, équipe,...).</i>	
Se mettre au service d'un collectif pour l'aboutissement d'un projet <i>Exemple : faire partie d'un conseil scientifique (université, école doctorale, conseil de laboratoire). Indiquer les propositions faites dans le cadre de cette fonction.</i>	

Other competences:

- To be innovative in a daily work
- To be able to work with a team...

- 3. A survey has to be filled up by PhD students after each doctoral training:
 - As regard their satisfaction : satisfactory, not satisfactory, somehow, not at all
 - Also with open questions : what could be improved? Was the training useful ? Interesting ?

Some answers : too expensive for the students (included in their fees : 600 euros/year); not useful; not enough training in English; not enough pedagogical training; registration has to be done very much in advance and sometimes there are no possibility left.

- At the level of **the College of Doctoral Schools**

- A survey sent to Doctors on their professional career

- **Undirect tools**

- At the level of the Doctoral School

- List of attendance for the welcoming Day organized by the doctoral school (1st-year students)
 - List of attendance for the « Day of the Doctoral School » (in June, each year)

- At the level of the Research Center of the Law School

- A survey sent by mail to PhD students about their expectations in terms of training

Solution : the increase of disciplinary trainings organized by each School (Law, Economics, Management)

AS A CONCLUSION

- ❖ It took our Doctoral School some time to get used to the self-assessment mechanism. There is first of all a culture of self-assessment.
- ❖ But what is important is the goal of the Quality Assurance Policy, that is the improvement of doctoral studies. This important to listen to PhD students, make them assessed the quality of their trainings...