

cné

Livre des références

**Handbook of Standards
for Quality Management
in French Higher Education Institutions**

Comité national d'évaluation

November 2003
Translation January 2006

LIVRE DES RÉFÉRENCES

Handbook of Standards for Quality Management in French Higher Education Institutions

November 17, 2003

The *Livre des références*, Logic and Organisation

The *Livre des références* was designed to help higher education institutions evaluate their procedures, results and potential.

It is divided into three chapters (education policy, research policy, management) reflecting the complementarity of the fundamental missions of higher education institutions and inviting them to undertake the internal evaluation from a strategic viewpoint.

The method recommended by the CNÉ proposes the use of a tool (the *Livre des références*). The presentation of this tool may seem prescriptive. On the contrary, it allows institutions complete freedom of expression. This method, based on an evidence-based process, actually encourages institutions to express themselves freely. With a carefully conducted evaluation, the institution will have a global view of its operation, and will enjoy greater autonomy in running its policies.

This process requires that the *Livre des références* be made available to all the academic, research and service departments so that they become involved in the self-evaluation process, as the exercise should not be limited to the president and its management team. This is also an opportunity to create a dynamic current that would favour the emergence of effective collective practices and the implementation of sustainable tools of evaluation.

Thus, the institution will use the self-evaluation process to its own ends as a concrete measurement and progress tool, to reflect the image that will allow it to set itself apart from other institutions. Furthermore, the internal evaluation reports that it will have drawn up will enable the CNÉ to evaluate the ability of the institution to demonstrate that it is fulfilling its obligations and responsibilities and that it is aware of its weaknesses and strengths.

Glossary

Each chapter is structured around the following classification:

The thematic grouping of standards : These are the main headings which structure the chapters and underline the legitimate expectations of the users and partners of the institution with regard to its public service missions (examples: *The students, from enrolment to employability; Research: organisation, dissemination, economic development, knowledge transfer; etc.*).

The standards: They state these expectations precisely (examples: *the institution has a policy for the integration of new students; the institution has a policy for communicating and publishing its research production; etc.*).

The good practices: They are examples, listed without limitation. They guide the institution and encourage it to describe its procedures (examples: *the institution has set up programme monitoring and pedagogical teams; the institution has structured relations with economic, industrial and social stakeholders; etc.*). With regard to this, the institution is free to add any criteria that are suited to its own operations and environment in so far as they contribute to the realisation of the argumentation. Indicators of the results along with the solutions adopted to achieve better performance will complete the demonstration.

FOREWORD

This document was drawn up by a joint working group of the Comité National d'Évaluation and of the Inspection Générale de l'Administration de l'Éducation Nationale et de la Recherche.

The *Livre des Références* brings together and sets out a set of recommendations aimed at helping higher education institutions establish their own quality assurance measures. These measures constitute diagnostic elements that the institutions should be capable of using on themselves to ensure that they are fulfilling the missions with which they have been entrusted.

The various external evaluation organisations will base their analysis on the results of this self-evaluation provided by the institutions. They will analyse these results using different methods, and in accordance with their own missions.

TABLE OF CONTENTS

<u>A - EDUCATION POLICY</u>	5
<u>EDUCATION POLICY: THEMATIC GROUPING OF STANDARDS AND STANDARDS</u>	6
<u>A.I - PROGRAMMES OFFERED</u>	7
<u>A.II- IMPLEMENTATION OF THE PROGRAMMES OFFERED</u>	10
<u>A.III- THE STUDENTS: FROM ENROLMENT TO EMPLOYABILITY</u>	11
<u>B - RESEARCH POLICY</u>	14
<u>RESEARCH POLICY: THEMATIC GROUPING OF STANDARDS AND STANDARDS</u>	14
<u>B.I - RESEARCH: ORGANISATION, DISSEMINATION, ECONOMIC DEVELOPMENT, KNOWLEDGE TRANSFER</u>	16
<u>C - MANAGEMENT OF THE INSTITUTION</u>	19
<u>MANAGEMENT: THEMATIC GROUPING OF STANDARDS AND STANDARDS</u>	20
<u>C.I - AUTONOMY</u>	21
<u>C.II- THE INSTITUTION AND ITS ACADEMIC, RESEARCH AND SERVICE DEPARTMENTS</u>	23
<u>C.III - PARTNERSHIPS</u>	24
<u>C.IV - MANAGEMENT OF HUMAN RESOURCES</u>	25
<u>C.V - FINANCIAL MANAGEMENT</u>	27
<u>C.VI - MANAGEMENT OF INFORMATION SYSTEMS AND LOGISTICAL FUNCTIONS</u>	28

A - EDUCATION POLICY

The institution assures the education of the students and the development of their independence. It encourages students to become involved in the management structures of the institution and in the social life within it.

It organises the dissemination of knowledge. It offers students, in initial or continuing education, a set of programmes and disciplines with clearly identified objectives whether predominantly of a disciplinary or of a multidisciplinary nature. These programmes may include placements or individual studies specially designed to promote the employability of the students. Continuing vocational training is an integral part of the programmes offered by the institution.

The institution manages the admission and the integration of students, and has in place processes for academic and career counselling throughout the students' career.

EDUCATION POLICY: THEMATIC GROUPING OF STANDARDS AND STANDARDS

A.I - PROGRAMMES OFFERED

Standard A.I.1	The institution offers programmes that correspond to its missions and environment.
Standard A.I.2	Continuing vocational training is an integral part of the programmes offered.
Standard A.I.3	The programmes offered are consistent with the <i>projet d'établissement</i> ¹ .
Standard A.I.4	The programmes offered are consistent with local, national and international objectives.
Standard A.I.5	The programmes offered are consistent with the resources of the institution.
Standard A.I.6	The programmes are comprehensible and their aims and objectives are clear.
Standard A.I.7	The programmes offered at the Bachelor level facilitate the student's academic career.
Standard A.I.8	The programmes offered at the Bachelor level are designed to facilitate the integration of the student into the academic environment.
Standard A.I.9	The Masters programmes offered have a connection with research and collaboration with industry and commerce.
Standard A.I.10	The programmes offered are designed with student mobility in France, Europe and throughout the world in mind.
Standard A.I.11	The programmes offered integrate the knowledge and skills acquired by the student.
Standard A.I.12	The programmes offered include preparation for employability.

A.II - ORGANISATION OF THE PROGRAMMES OFFERED

Standard A.II.1	The programmes offered are sufficiently resourced.
Standard A.II.2	The institution has procedures to ensure equitable assessment of students.
Standard A.II.3	The programmes offered are evaluated on a regular basis.
Standard A.II.4	The institution has a policy for pedagogical improvement.

A.III - THE STUDENTS: FROM ENROLMENT TO EMPLOYABILITY

Standard A.III.1	The institution has a policy for the integration of new students.
Standard A.III.2	The institution has a policy of internal and external communication towards students, <i>enseignants-chercheurs</i> , staff and stakeholders.
Standard A.III.3	The institution has a policy for student guidance.
Standard A.III.4	There is a process for supporting specific groups (e.g. students with disabilities, top-level athletes, mature students, part-time students, etc.).
Standard A.III.5	The institution has a policy on access to libraries and information services.
Standard A.III.6	The institution offers undergraduate student support services aimed at helping them succeed.
Standard A.III.7	Students are given the opportunity to learn transferable skills.
Standard A.III.8	The institution encourages the participation of students in institutional life.
Standard A.III.9	Institutional policy contributes to ensuring the students' quality of life.
Standard A.III.10	The institution encourages the employability.

¹ Strategic plan prepared for four years and negotiated with the Ministry. This plan leads to a 4-year-contract. Through the *projet d'établissement* about 10% to 15% of the funding (wage costs excepted) is allocated according to specific objectives.

The handbook shows some examples of good practices in each area. Institutions can consider these and also introduce their own examples in their self-assessment document.

A.I - PROGRAMMES OFFERED

The institution ensures the quality and consistency of programmes offered within the European higher-education environment. It implements measures that make enhancement possible.

Standard A.I.1 - The institution offers programmes that correspond to its mission and environment.

Good practices:

- The institution ensures that it knows the profiles of its students.
- The institution sustains relations with the people in charge of secondary education of its recruitment pool.
- The institution has defined the main educational fields where it has decided to play an important role, in accordance with its research areas.
- The institution has a policy for the integration of students that is suited to the programmes offered (international recruitment policy, distance learning, etc.)
- Programmes offered are organised consistently throughout all of the campuses of the institution.
- Requests for *habilitation*² are examined and prioritised by the steering councils.

Standard A.I.2 - Continuing vocational training is an integral part of the programmes offered

Good practices:

- The programmes offered by the institution are designed and implemented with a view to lifelong learning.
- Programmes that lead to qualifications and diplomas are designed to meet the needs of various types of students (i.e. mature students, part-time students, employees, etc.).
- The institution offers a service to accredit prior and experiential learning.

Standard A.I.3 - The programmes offered are consistent with the *projet d'établissement*.

Good practices:

- The different areas of the institution participate in the design of the programmes offered.
- Requests for *habilitation* fall within the objectives of the *projet d'établissement*.
- The programmes offered are planned within the framework of the agreed four-year contract.
- The non-state approved awards operate in a coherent way that is linked to the rest of the programmes.

Standard A.I.4 - The programmes offered are consistent with local, national and international objectives.

Good practices:

- The institution has a policy aimed at ensuring the local and regional consistency of the programmes offered.
- The institution's policy is developed within the national political framework (multidisciplinary, learning foreign languages, etc.).
- The programmes offered integrate specific training: teacher training (preparation for entrance exams, etc.), training of future professors (*CIES*³, etc.), training for civil service examinations, etc.
- The programmes offered include European and multinational diplomas.

² The *habilitation* procedure is the procedure in France through which the programmes are recognised by the State. The procedure includes an academic evaluation that results in approving or refusing the programme as a national programme eligible for public funding.

³ The *CIES* (*Centres d'initiation à l'enseignement supérieur*) are training centres that have authority to coach young PhD students wishing to become *enseignants-chercheurs*.

The handbook shows some examples of good practices in each area. Institutions can consider these and also introduce their own examples in their self-assessment document.

Standard A.I.5 - The programmes offered are consistent with the resources of the institution

Good practices:

Common workload of studies is compatible with national regulations.

The number of complementary hours may be financed without difficulty by the current resources of the institution.

The programmes offered are organised such as to make the teaching load compatible with the other demands on the time of the academic staff (research, pedagogic dialogue between professors and with students, administrative tasks, etc.).

Standard A.I.6 - The programmes are comprehensible and their aims and objectives are clear.

Good practices:

The structure of pathways through the programmes is available and easily accessed by the students.

The programme documentation clearly presents the aims and objectives of the programmes and its pathways.

The prerequisites are clearly presented.

Standard A.I.7 - The programmes offered at the Bachelor level facilitate the student's academic career.

Good practices:

The programmes offered allow a progressive course of study.

The programmes offered prepare students for completion of the award Bachelor or entry into a Masters programme.

A diversified range of programmes is offered (general Bachelor degrees, professional Bachelor degrees, DUT - university technological diploma -, etc.).

The institution is able to assist students to possibly change their programme of study. These procedures are organised with the relevant external authorities.

Standard A.I.8 - The programmes offered at the Bachelor level are designed to facilitate the integration of the student into the academic environment.

Good practices:

A policy to guard against failure has been implemented.

Teaching teams are set up to provide students with support.

The institution adapts its teaching methods to the diversity of its student body.

Most of the *enseignants-chercheurs*⁴ assume teaching tasks.

⁴ The French concept of *enseignants-chercheurs* consists of the legal-based organisation of teaching staff in higher institutions. They all belong to a national body of civil servants whose regulations are defined by the State only. As French universities have the mission to disseminate knowledge and to develop research activities that are strongly linked to training, they combine their activities of teaching and researching. Few teachers in universities come from other bodies (e.g. from secondary education, professional world or public research institutions).

The handbook shows some examples of good practices in each area. Institutions can consider these and also introduce their own examples in their self-assessment document.

Standard A.I.9 - The Masters programmes offered have a connection with research and collaboration with industry and commerce.

Good practices:

The *enseignants-chercheurs* who hold a post in the institution assume the majority of the teaching tasks.

The members of the research teams who are employed only to do research are also required to participate in the development of the programmes.

The Masters (research and professional) are based on the university's research focuses.

The doctoral policy is integrated into the education policy.

Student projects and placements are the subject of ongoing collaboration between the university teams and a regular group of companies, institutions and communities.

The institution has precise information about who employs its graduates.

Representatives from the industrial and business world participate in the teaching of professional Masters programmes.

A development committee brings together partners from the business world and teaching teams within each Master programme.

Standard A.I.10 - The programmes offered are designed with student mobility in France, Europe and throughout the world in mind.

Good practices:

The Bachelor Masters Doctorate system offered by the university is comprehensible.

The programmes offered are sufficiently detailed for an international observer to understand them (detailed presentation of the contents, translation into European credits (ECTS), documentation in English, etc.).

The institution systematically provides a Diploma Supplement.

The programmes offered are designed to facilitate periods of study outside France.

The teaching of modern languages is consistent with the international policy of the institution. The institution promotes learning French as a foreign language.

Credits acquired outside the French Higher Education system within the scope of an exchange agreement are taken into account, without further examination.

Standard A.I.11 - The programmes offered integrate the knowledge and skills acquired by the student.

Good practices:

The accreditation of knowledge acquired through professional experience (VAE⁵) is organised and implemented.

The implementation of ECTS is effective.

The programmes offered promote the undertaking of student projects.

Student involvement is specifically acknowledged.

Participation in cultural or sports activities organised within the institution is specifically acknowledged.

Standard A.I.12 - The programmes offered include preparation for employability.

Good practices:

Specific modules prepare students for employability or raise awareness of socio-economic situations.

Placements are always offered to students, even if they are not a formal part of their pathway of study.

⁵ The French system so called *Validation des Acquis de l'Expérience* may be considered as equivalent to the British concept of Accreditation of Prior Experiential Learning. It refers to a formal acknowledgement based on professional assessment of learning acquired from previous experience, usually unrelated to an academic context (quoted from the Analytic quality glossary, INQAAHE 2005).

The handbook shows some examples of good practices in each area. Institutions can consider these and also introduce their own examples in their self-assessment document.

A.II- ORGANISATION OF THE PROGRAMMES OFFERED

The institution ensures access to, proper execution and validity of the programmes it offers. It evaluates and improves the pedagogy related to these programmes on an ongoing basis.

Standard A.II.1 - The programmes offered are sufficiently resourced.

Good practices:

- The institution ensures that programmes, as documented, are well organised.
- Teaching is coordinated to ensure consistency of content.
- The teaching material for the courses is available to the students.
- The placements and projects are supervised.

Standard A.II.2 - The institution has procedures to ensure equitable assessment of students.

Good practices:

- Exam rules and conditions are decided by the institution council and are published and understood by all the staff and students.
- The detailed regulations that govern all exams are clear and published.
- Assessment procedures preserve anonymity.
- Exam results and recognition of professional learning are agreed during a meeting of the panel.
- Principles of confidentiality should be respected when giving students access to their results.

Standard A.II.3 - The programmes offered are evaluated on a regular basis.

Good practices:

- The educational provision is evaluated on a regular basis.
- The students participate in the evaluation of the programmes.
- The professional sectors participate in the evaluations.
- Results of exams and entrance exams are analysed and distributed.
- Subcommittees and working groups use the evaluation results to develop programmes and education offered.
- The first employment destination of graduates is the subject of ongoing, published, follow-up.

Standard A.II.4 - The institution has a policy for pedagogical improvement.

Good practices:

- There is a resource service, in collaboration with the CEVU⁶, that promotes pedagogical reflection.
- There are measures to support pedagogical experimentation.
- Pedagogical involvement is one of the criteria taken into account by the institution for career progression.
- Training is offered to the teaching staff.
- The devolution of pedagogical responsibility to teaching staff is facilitated by the institution.
- The institution has a process for monitoring provision.
- All relevant staff (academic, administrative, etc.) participate in the programmes.

⁶ Council for education and university life

The handbook shows some examples of good practices in each area. Institutions can consider these and also introduce their own examples in their self-assessment document.

A.III - THE STUDENTS: FROM ENROLMENT TO EMPLOYABILITY

The institution does its utmost to take into account students' expectations, both individually and collectively, from their admittance to the institution right through to the professional world.

Student services are in keeping with the strategic vision of the *projet d'établissement*. Their aim is to encourage social and professional success. They are designed such that they contribute to building the students' individual and collective independence, an indispensable part of a quality education.

The institution works to ensure that students have good living conditions by developing partnerships with the CROUS⁷, the local communities, the DRAC⁸, etc.

Standard A.III.1 - The institution has a policy for the integration of new students.

Good practices:

The institution has the means to forecast, in collaboration with relevant external authorities, of the approximate size and nature of future cohorts of students in the medium-term.

The institution organises information sessions for secondary school students.

There are specific integration procedures for new students.

The institution organises contacts between secondary school teachers and its own teaching staff.

The institution provides a *tutorat d'accueil*⁹ for new students.

The institution has set up programme monitoring and pedagogical teams.

The institution has a policy for the integration of international students who are enrolled individually.

The working hours of the various students' services are compatible with their needs and are clearly posted.

Standard A.III.2 - The institution has a policy of internal and external communication towards students, *enseignants-chercheurs*, staff and stakeholders

Good practices:

The institution has a communication department.

The institution has external communication tools.

The institution has internal communication tools.

All the staff of the institution have an e-mail address.

Students have a personal file to which they have access.

All the students have an e-mail address.

⁷ CROUS: Centre regional des oeuvres universitaires. These centres provide accommodation and catering for students. They monitor an important part of social assistance and grants.

⁸ DRAC: Direction régionale des affaires culturelles. Régional direction of cultural affairs.

⁹ Tutorat d'accueil: various mechanisms for ensuring the integration of new students.

The handbook shows some examples of good practices in each area. Institutions can consider these and also introduce their own examples in their self-assessment document.

Standard A.III.3 - The institution has a policy for student guidance.

Good practices:

- The institution has an information and guidance service.
- The institution requires all its staff to participate in the information and guidance policy.
- The programmes facilitate gradual specialisation through the choice of options.
- The institution offers an optional "personal and professional development" module.
- Students who want to change their programme of study are helped by the relevant members of staff and the process is documented.
- The staff of the SCUIO¹⁰ participates in the implementation of the BMD system.

Standard A.III.4 - There is a process for supporting specific groups (students with disabilities, top-level athletes, mature students, part-time students, etc.).

Good practices:

- There is a coordinated policy for students with disabilities.
- There is a coordinated policy for students who are top-level athletes.
- There is a coordinated policy for mature students.
- There is a coordinated policy for part-time students.

Standard A.III.5 - The institution has a policy on access to libraries and information services.

Good practices:

- The common documentation service stays in contact with the documentary institutions of its area.
- There is concrete cooperation between the common documentation service and the branch libraries.
- Acquisitions and conservation are organised in co-operation with the *enseignants-chercheurs*.
- The institution develops and promotes the integration of specialised documentary collections in accordance with its research policy.
- The institution works to ensure multidisciplinary by grouping its collections.
- There is a common catalogue at all the libraries.
- The libraries have extended opening hours.
- There is a reader's card that gives access to the collections of all the libraries.
- The electronic documentary resources are accessible from all the workstations of the institution.
- The common documentation service is an integral part of the pedagogical, research and cultural life of the institution.

Standard A.III.6 - The institution offers undergraduate student support services aimed at helping them succeed.

Good practices:

- A support tutorial is organised.
- Additional course material is made available to students online.
- Revision tools are made available to students.
- Training in documentary research is organised.
- The institution offers specific modules to students who are struggling.
- The institution offers modules on general culture.

¹⁰ SCUIO : Service commun universitaire d'information et d'orientation. Common university information and guidance service.

The handbook shows some examples of good practices in each area. Institutions can consider these and also introduce their own examples in their self-assessment document.

Standard A.III.7 - Students are given the opportunity to learn transferable skills.

Good practices:

- There is institution-wide opportunity for learning languages.
- It is possible for all students to find the means to improve their linguistic skills.
- There is institution-wide measure to improve IT skills.
- It is possible for all students to access appropriate computer equipment.

Standard A.III.8 - The institution encourages the participation of students in institutional life.

Good practices:

- The statutes of the institution allow for the nomination of one or more vice-president(s) from among the student body.
- There is a student delegate for each programme.
- The institution gives priority to students when recruiting for short-term positions related to student services.
- Involvement in the operation of the institution is specifically acknowledged.

Standard A.III.9 - Institutional policy contributes to ensuring the students' quality of life.

Good practices:

- The institution has set up a student life bureau.
- The institution has a concerted policy with the CROUS.
- The institution sees itself as one of the cultural institutions of its environment.
- The institution promotes the cultural life of students.
- Access to physical and sports training organised by the institution is possible at all levels of every discipline.
- Student involvement in the cultural and athletic life of the institution is specifically acknowledged.
- The institution has a policy on preventive medicine.

Standard A.III.10 - The institution encourages the employability.

Good practices:

- The institution has a specialised careers service.
- The institution offers measures to help with integration.
- The academic, research and service departments are responsible for implementing this policy.
- The institution carries out enquiries regarding integration, by discipline.
- The institution uses its evaluations to improve its provision.

The handbook shows some examples of good practices in each area. Institutions can consider these and also introduce their own examples in their self-assessment document.

B - RESEARCH POLICY

The institution ensures that it has the means to evaluate and be aware of the activities and potential of its research teams. To this effect, it may rely on the advice and expertise of various national entities whose mission is to evaluate the research quality of laboratories, programmes and, possibly, the staff. It may also partner with a "Visiting Committee" made up of external figures and charged with confirming its analysis capacity and making proposals for the research policy.

The management team and Research council¹¹ know the regional research environment in which the institution is situated. They ensure that they have the means to locate their action in a national and international context, and, in particular, in the perspective of constructing the European research environment.

The deliberations of the Research council, in which are founded the priorities of the institution in matters of research, lead to clear choices, which are communicated to its partners and to all the stakeholders affected.

The institution ensures that it has the means by which to implement the policy thus stated, whether it be about human or financial resources. It develops a strategy for communication, economic development and knowledge transfer.

¹¹ The Research council is an statutory advisory body on research matters. It provides advice on the political objectives of research, on scientific documentation and on the allocation of funding devoted to research. It collaborates on the design of programmes and of skills requirements for teachers.

RESEARCH POLICY: THEMATIC GROUPING OF STANDARDS AND STANDARDS

B.I - RESEARCH: ORGANISATION, DISSEMINATION, ECONOMIC DEVELOPMENT, KNOWLEDGE TRANSFER

Standard B.I.1	The institution is aware of its strengths and weaknesses in matters of research.
Standard B.I.2	The institution encourages the development, dynamism and creativity of research.
Standard B.I.3	The institution has positioned itself in the international research context.
Standard B.I.4	The institution defines its research priorities.
Standard B.I.5	The institution implements its research priorities.
Standard B.I.6	The institution ensures the future of its research and fosters its potential.
Standard B.I.7	The institution has a policy for communicating and publishing its research production.
Standard B.I.8	The institution applies a policy that enhances the economic value and transfer of research results.

B.I - RESEARCH: ORGANISATION, DISSEMINATION, ECONOMIC DEVELOPMENT, KNOWLEDGE TRANSFER

The institution is clear about its research potential. It situates itself in the national and international context. It ensures the dynamic for the development of its research policy as well as the enhancement of economic value and the publication of its results.

Standard B.I.1 - The institution is aware of its strengths and weaknesses in matters of research.

Good practices:

The Research council make use of the evaluations carried out by the MSTP¹² and of the major research organisations (CNRS¹³, INSERM¹⁴, etc.).

The Research council carries out its own evaluations on developing research teams.

The Research council uses specific external expertise.

The institution knows about all the projects and work of its research teams.

The institution has consolidated information on all the financing of the research teams.

The results of the teams are subject to an evaluation before the renewal of the 4-year-contract.

Standard B.I.2 - The institution encourages the development, dynamism and creativity of research.

Good practices:

The institution reflects on the development and possible reorganisation of the teams.

The institution promotes the development of research teams and new projects, and ensures their support.

The institution ensures the implementation of collaborative research structures.

The institution has the capacity to create interfaces between various organisations and institutions.

Standard B.I.3 - The institution has positioned itself in the international research context.

Good practices:

The institution is organised to access information and disseminate it in its laboratories.

The institution is set up to respond to European calls for tender.

The institution, or some of its research teams, ensure the management of consortia of the 6th FPRTD¹⁵.

The institution, or some of its research teams, participate in consortia of the 6th FPRTD.

The institution has a policy of relevant partnerships with universities in other countries.

The institution monitors its research.

The research of the *enseignants-chercheurs* is published in international publications.

The *enseignants-chercheurs* are invited to international symposiums.

¹² The scientific, technical and pedagogical mission, is an expert body falling under the umbrella of the Ministry of Education, Research and Technology. It offers technical advice and an opinion on the quality of the institution's research teams.

¹³ National centre for scientific research

¹⁴ National institute for health and medical research

¹⁵ Framework Programme for Research and Technological Development. "The European Union's Framework Programme for Research and Technological Development is a major tool to support the creation of the European Research Area" quoted from the European Commission web site.

The handbook shows some examples of good practices in each area. Institutions can consider these and also introduce their own examples in their self-assessment document.

Standard B.I.4 - The institution defines its research priorities.

Good practices:

The Research council is in a position to guide the decisions of the Executive council¹⁶.

The institution has a policy supporting innovation.

The institution is set up so as to encourage research debate and synergy between the various fields of knowledge.

Standard B.I.5 - The institution implements its research priorities.

Good practices:

The research potential¹⁷ is set up in accordance with the priorities set by the institution.

The recruitment panels¹⁸ and the Executive board recruit *enseignants-chercheurs* according to the research strategies of the institution.

The acquisition policy takes into account the research priorities of the institution.

Standard B.I.6 - The institution ensures the future of its research and fosters its potential.

Good practices:

The research priorities are the core of the research part of the 4-year-contract.

The institution has an explicit and shared policy for the internal development of its research resources.

The institution has formal relations with national research bodies.

The institution ensures the effective integration of its doctorate students into the research teams.

The institution gathers a pool of young researchers and helps them to become part of research teams.

The institution monitors costly research equipment for which it has paid.

The institution is involved in the preparation and actions of the CPER¹⁹.

The institution has a policy for the integration of researchers coming from abroad.

The institution has a policy for the mobility of its *enseignants-chercheurs*.

The institution ensures that researchers coming from abroad, employed on a temporary basis, also participate in teaching.

¹⁶ The Executive council (Conseil d'administration) is the supreme governing and executive body of the institution.

¹⁷ The term "potential" refers in France to every means devoted to research activities, i.e. especially human resources and all kinds of partnership.

¹⁸ The recruitment process for *enseignants-chercheurs* is a two-fold standardised selection process in France: at national and local level. Once qualified at national level, the *enseignants-chercheurs* are recruited by the recruitment panel according to the profiles designed by the Executive council.

¹⁹ CPER : *Contrat de plan État-Région*. Action plan agreed between the State and the Region.

The handbook shows some examples of good practices in each area. Institutions can consider these and also introduce their own examples in their self-assessment document.

Standard B.I.7 - The institution has a policy for communicating and publishing its research production.

Good practices:

The institution has a policy supporting the organisation of seminars and symposiums backed by nationally recognised research organisations.

The institution has a publication policy.

The institution involved locally, regionally and nationally in the dissemination of research culture.

Standard B.I.8 - The institution applies a policy that enhances the economic value and transfer of research results.

Good practices:

The institution has a unit that helps to support the economic development.

The institution has the means of promoting commercially the outcomes of its research.

The institution has a policy to protect intellectual property rights.

The institution takes part in an "incubator" that helps young researchers to take the first steps towards developing their own enterprise.

The institution has structured relations with business, industrial and social stakeholders.

The institution is a centre of research publication.

The institution is aware of the professional activities of expertise of its *enseignants-chercheurs*.

The handbook shows some examples of good practices in each area. Institutions can consider these and also introduce their own examples in their self-assessment document.

C - MANAGEMENT OF THE INSTITUTION

The institution implements its *projet d'établissement* within the mission statement set forth by law and in compliance with national regulations. It makes use of its autonomy to adapt and comply with these regulations in a specific way to fulfil its mission statement and accomplish its *projet d'établissement* in the best way possible.

The president (or director) and the management team have the information and indicators necessary for the management of the institution and the development of strategic directions. They involve the academic community in the development on these strategies, in particular the *projet d'établissement* that is the foundation of the 4-year-contract with the Ministry of Education, and in the evaluation of the stocktaking of institutional achievements at the end of the contract.

The institution ensures interaction with its environment, in particular with the other higher education institutions. It develops and maintains ongoing relations with the local and regional communities as well as with the local, regional and/or national economic infrastructure. It participates in major regional, national and international research and organisational networks.

MANAGEMENT: THEMATIC GROUPING OF STANDARDS AND STANDARDS

C.I - AUTONOMY

Standard C.I.1	The institution and each of its academic, research and service departments and support services have consistent statutes.
Standard C.I.2	The internal organisation enables the institution to be directed efficiently.
Standard C.I.3	Democratic debate exists within the institution.
Standard C.I.4	The institution makes good use of its autonomy.
Standard C.I.5	The institution has a plan for development.
Standard C.I.6	The institution produces an annual activity report.

C.II - THE INSTITUTION AND ITS ACADEMIC, RESEARCH AND SERVICE DEPARTMENTS

Standard C.II.1	The structure of the institution is suited to the accomplishment of its mission statement and its objectives.
Standard C.II.2	The institution ensures that the skills available through its human resources are well utilised.
Standard C.II.3	The president facilitates decision making by setting up internal debate within the institution and its councils.
Standard C.II.4	Support services contribute to the implementation of the <i>projet d'établissement</i> .

C.III - PARTNERSHIPS

Standard C.III.1	The institution knows its environment.
Standard C.III.2	The institution has an outreach strategy for local, national and international partnerships.
Standard C.III.3	The institution has a strategy of cooperation with the other institutions of the same area.
Standard C.III.4	The institution has a policy that encourages international mobility.

C.IV - MANAGEMENT OF HUMAN RESOURCES

Standard C.IV.1	The institution has a human resources policy.
Standard C.IV.2	The institution has a policy for the integration of teaching and technical and administrative staff.
Standard C.IV.3	The institution has a policy for managing human resources, career paths and conditions of services.
Standard C.IV.4	The institution has a skills management policy.
Standard C.IV.5	The institution has a policy for welfare.

C.V - FINANCIAL MANAGEMENT

Standard C.V.1	The budgeting follows a defined procedure.
Standard C.V.2	The institution has the means to apply its financial policy.
Standard C.V.3	The institution has a policy of budgetary and financial care.

C.VI - MANAGEMENT OF INFORMATION SYSTEMS AND LOGISTICAL FUNCTIONS

Standard C.VI.1	The institution has information systems.
Standard C.VI.2	The institution has a unit that produces surveys about student life.
Standard C.VI.3	The institution coordinates activities in the field of ICT (information and communication technologies).
Standard C.VI.4	The institution has an estates policy.
Standard C.VI.5	The institution ensures the conservation, enhancement and development of its cultural and scientific heritage.
Standard C.VI.6	The institution has a policy governing the use of its premises.
Standard C.VI.7	The institution monitors the quality of administrative functions.

C.I - AUTONOMY

The institution is in a position to fulfil its mission statement, to complete its *projet d'établissement* and honour the contract it signed with the Ministry of Education. The president, assisted by his management team, manages the institution in a transparent manner, within the strategic framework of the directions adopted by the Executive council.

Standard C.I.1 - The institution and each of its academic, research and service departments and support services have consistent statutes.

Good practices:

The institution is governed by internal regulations.

The academic and research departments and support services have statutes that feed into the implementation of the policy of the institution.

The institution regularly reviews its regulations to ensure that they are still appropriate for its future development.

Standard C.I.2 - The internal organisation enables the institution to be directed efficiently.

Good practices:

The president effectively exercises managerial power and has overall responsibility for the budget.

The president decides on the composition of the internal recruitment panels

The president directs the process of assigning the technical and administrative staff within the institution.

The president is responsible for the promotion procedures for teaching and technical and administrative staff.

The president appoints his vice-presidents.

The secretary general is responsible for the administrative functions under the authority of the president.

Administrative managers have clearly defined aims and the means by which to carry them through.

The president appoints a management team.

The president appoints the members of his management team and meets with them on a regular basis.

The statutes provide for the participation of vice-presidents in this management team.

The directors of the academic, research and service departments participate in the management of the institution.

The president has overall responsibility for the fulfilment of the legal obligation of the *enseignants-chercheurs*.

The institution is able to describe its own decision making process.

Standard C.I.3 - Democratic debate exists within the institution.

Good practices:

The information gathered for making decisions purposes is of good quality and is distributed in advance to the members of the councils.

The councils, which meet periodically, are where debates on the future directions of the institution take place.

Decisions taken by councils are formally approved.

The decisions are implemented and are followed up.

The handbook shows some examples of good practices in each area. Institutions can consider these and also introduce their own examples in their self-assessment document.

Standard C.I.4 - The institution makes good use of its autonomy.

Good practices:

- In addition to the required legal bodies, the institution has created additional ones where appropriate.
- In addition to the required legal support services, the institution has created additional ones where appropriate.
- The institution has implemented measures for monitoring and internal evaluation.
- The institution uses external consultants to help in its internal stocktaking.
- The institution is internally organised so as to apply for European funding.

Standard C.I.5 - The institution has a plan for development.

Good practices:

- The plan has been widely discussed especially within councils and academic, research and service departments.
- The plan sets out the medium-term outlook. It defines the objectives and the appropriate measures for following up and assessing the expected results.
- The plan builds in strategic reflection on the institution's various sites.

Standard C.I.6 - The institution produces an annual activity report.

Good practices:

- The activity report includes a statement of the actions undertaken within the framework of the 4-year-contract.
- The execution of the *projet d'établissement* is subject to internal and external evaluation.
- The activity report is presented to the councils.
- The activity report is disseminated within the institution.

The handbook shows some examples of good practices in each area. Institutions can consider these and also introduce their own examples in their self-assessment document.

C.II - THE INSTITUTIONS AND ITS ACADEMIC, RESEARCH AND SERVICE DEPARTMENTS

The academic, research and service departments and support services participate in the institutional work plan and in the accomplishment of the 4-year contract. The government of the institution is responsible for the operational implementation of the decisions made by the academic authorities. The management responsibilities are distributed between the departments and the central services according to terms relative to the exercise of autonomy.

Standard C.II.1 - The structure of the institution is suited to the accomplishment of its mission statement and its objectives.

Good practices:

The mission statement of the departments is clearly identified.

The internal management of the departments or groups of departments contribute to promoting the accomplishment of the *projet d'établissement*.

Departments specially entitled to a high level of autonomy participate fully in the life of the institution.

The institution actively cooperates with all those establishments with whom it has statutory links.

Provision that is located off-campus is subject to management processes specific to their needs.

Standard C.II.2 - The institution ensures that the skills available through human resources are well utilised.

Good practices:

The responsibilities and delegation of power are clearly identified.

Standard C.II.3 - The president facilitates decision making by setting up internal debate within the institution and its councils.

Good practices:

The councils have sub-committees charged with addressing specific matters.

The institutional bodies produce minutes.

The councils reports are distributed beyond their own members.

The technical and administrative staff participates in the internal debate through defined institutional procedures.

Standard C.II.4 - Support services contribute to the implementation of the *projet d'établissement*.

Good practices:

The support services set up a programme of activities linked to the project of the institution.

The support services produce an annual activity summary before the relevant entity.

The managers of the support services participate in the institutional decision-making process.

The handbook shows some examples of good practices in each area. Institutions can consider these and also introduce their own examples in their self-assessment document.

C.III - PARTNERSHIPS

The institution actively promotes the development of local, regional, national and international partnerships.

The institution has a policy for assisting with the mobility and integration of both French students and those from abroad, doctoral students, teaching staff and French and international researchers within the scope of institutional partnerships.

Standard C.III.1 - The institution knows its environment.

Good practices:

The institution has a process to inform itself about regional economical development.

The institution monitors the employability of graduates.

Areas of synergy, complementarity and competition with the other higher education institutions in the region are followed up and analysed on a regular basis.

Standard C.III.2 - The institution has an outreach strategy for local, national and international partnerships.

Good practices:

The institution has defined priorities in its collaboration policy.

Its outreach strategy is clearly laid out in the *projet d'établissement* and in the 4-year contract.

The local communities are invited to participate in the executive and advisory bodies of the institution and to define the educational pathways and research programmes.

There are partnership and contractual agreements with local and regional communities and with companies.

The professional environment participates in the achievement of the mission statement of the institution.

The institution has set up and formalised relations with all other higher education institutions as well as relevant organisations.

Standard C.III.3 - The institution has a strategy of cooperation with the other institutions of the same area.

Good practices:

Some student services have shared management.

The institutional managers in the area act together with regard to partners outside higher education (communities, State services, etc.).

Standard C.III.4 - The institution has a policy that encourages international mobility.

Good practices:

The institution monitors its involvement in international programmes.

The institution has implemented measures to help with the mobility of students, doctoral students, teaching staff and other.

The institution has a policy for the integration of international students.

The institution has a policy for the integration of teaching and research staff coming from abroad.

The handbook shows some examples of good practices in each area. Institutions can consider these and also introduce their own examples in their self-assessment document.

C.IV - MANAGEMENT OF HUMAN RESOURCES

The institution has an implemented policy for managing human resources.

Standard C.IV.1 - The institution has a human resources policy.

Good practices:

- There is a public organisation chart of the institution staff.
- The institution has a policy for the forward planning of *enseignants-chercheurs* positions.
- Each position advertised gives details of the education and research profile required for the post.
- The *projet d'établissement* integrates objectives regarding external recruitment and internal promotion of staff.
- The institution has a policy for the forward planning of technical and administrative positions.
- Institutionally-funded recruitment is subject to general internal regulations.
- The institution has regulations governing the employment of temporary staff.
- The institution ensures that it has the means to produce an overall summary of its recruitment.

Standard C.IV.2 - The institution has a policy for the integration of teaching and technical and administrative staff.

Good practices:

- There is a staff handbook which introduces the institution.
- The institution organises open days.
- All staff members receive a booklet explaining their rights and responsibilities.
- All staff members receive a practical document on social services.

Standard C.IV.3 - The institution has a policy for managing human resources, career paths and conditions of service.

Good practices:

- The institution has a policy for the management of human resources.
- The recruitment panels have administrative support.
- The statutory advisory committee dealing with the organisation of services and human resources operates effectively.
- The fulfilment of legal obligations of *enseignants-chercheurs* is followed up.
- The institution has set up a career development service for its staff.
- The institution has a policy for financial recognition of additional responsibility.
- The institution has rules governing the number of additional hours worked by statutory staff.
- The institution has a policy for staff mobility.

The handbook shows some examples of good practices in each area. Institutions can consider these and also introduce their own examples in their self-assessment document.

Standard C.IV.4 - The institution has a skills management policy.

Good practices:

- The institution has a training plan that allows for the accomplishment of the priorities of the *projet d'établissement*.
- The institution anticipates the development of occupations and skills.
- The institution devotes part of the training effort to promoting its staff.
- The institution promotes the training of its teaching, technical and administrative staff and elected management staff.

Standard C.IV.5 - The institution has a policy for welfare.

Good practices:

- The institution is willing to have dialogue with all staff.
- The institution produces an annual staff report.
- The institution has a policy on health and safety.
- The institution has a structure for the management of welfare.

The handbook shows some examples of good practices in each area. Institutions can consider these and also introduce their own examples in their self-assessment document.

C.V - FINANCIAL MANAGEMENT

The budget reflects the political objectives of the institution.

Standard C.V.1 - The budgeting follows a defined procedure.

Good practices:

- The budget takes into account the *projet d'établissement*.
- The budgeting procedure is described in documents published by the institution.
- The budget proposal is subject to debate within the Executive council.
- The institution "consolidates" all of its resources.

Standard C.V.2 - The institution has the means to apply its financial policy.

Good practices:

- The institution has clearly identified finance and accounting departments.
- The organisation of the finance function is tailored to the structure of the institution.
- The institution has a transparent system for the internal distribution of resources.
- The institution has set up a partial or global cost accounting system.
- The institution has set up a depreciation policy.
- The institution has internal invoicing rules.
- The institution has indicators to monitor the accomplishment of the priorities of the *projet d'établissement*.
- The institution has a policy for the mutualisation and use of reserves.
- The institution draws up, in parallel, the financial report and the operating account.

Standard C.V.3 - The institution has a policy of budgetary and financial care.

Good practices:

- The institution has a procedure for monitoring the budget.
- The institution has set up financial auditing.

The handbook shows some examples of good practices in each area. Institutions can consider these and also introduce their own examples in their self-assessment document.

C.VI - MANAGEMENT OF INFORMATION SYSTEMS AND OF LOGISTICAL FUNCTIONS

Standard C.VI.1 - The institution has information systems.

Good practices:

- The information systems are coordinated.
- The information management systems are used to provide strategic information.

Standard C.VI.2 - The institution has a unit that produces surveys about student life.

Good practices:

- The work of the unit is directed by the institution.
- The work of the unit is published by the institution.
- The work of the unit is published outside of the institution.

Standard C.VI.3 - The institution coordinates the activities in the field of ICT (information and communication technologies).

Good practices:

- The institution organises the development of the ICT.
- The institution is developing a digital campus.
- The institution is developing distance learning programmes.

Standard C.VI.4 - The institution has an estates policy.

Good practices:

- The institution is aware of its estates assets.
- The institution has a comprehensive plan for securing, restoring, extending and/or restructuring its estate assets.
- The institution has a forward plan for its maintenance operations.
- The institution has a structure for monitoring the CPER
- The institution has a department responsible for new constructions or restoration.
- The institution monitors the supervision of its construction projects.

The handbook shows some examples of good practices in each area. Institutions can consider these and also introduce their own examples in their self-assessment document.

Standard C.VI.5 - The institution ensures the conservation, enhancement and development of its cultural and scientific heritage.

Good practices:

- The institution is aware of its cultural and scientific assets.
- The institution has a policy for the conservation of its various assets.
- The institution has a policy for the enhancement of its various assets.
- The institution has an acquisition and development policy.

Standard C.VI.6 - The institution has a policy governing the use of its premises.

Good practices:

- The institution has rules governing the use of its premises.
- The institution monitors the use of the public premises.

Standard C.VI.7 - The institution monitors the quality of common interest functions.

Good practices:

- The institution has a service that tenders for contract, tailored to its needs.
- The logistics departments are evaluated on a regular basis by their users.
- The results of the evaluation of the logistics departments are made public within the institution.

The handbook shows some examples of good practices in each area. Institutions can consider these and also introduce their own examples in their self-assessment document.

Comité national d'évaluation
43 rue de la Procession
75015 PARIS
www.cne-evaluation.fr