

## **The guidelines for the preparation of a Self-Assessment Report of institutions of higher education/ colleges**

The guidelines for the preparation of a Self-Assessment Report of institutions of higher education/ colleges (hereinafter – guidelines) are developed in accordance with Subparagraph 2.5 of Cabinet Regulation No. 407 of 14 July 2015 "Regulations on Accreditation of Higher Education Institutions, Colleges and Study Directions" and are subject to the requirements set forth in these regulations.

The guidelines are developed to provide the higher education institutions/colleges<sup>1</sup> (hereinafter - HEI) with a structured framework for the preparation of the Self-Assessment Report. The guidelines set out the information to be included in the Self-Assessment Report, its desired structure and form. Observance of the unified guidelines for the preparation of the Self-Assessment Report will facilitate the work of the HEIs in the process of the preparation of the Self-Assessment Report, and of the experts in the process of the assessment of HEIs.

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

The purpose of the self-assessment process in the HEI is to get a comprehensive and in-depth analysis of the HEI to be used for future improvement of the performance of the HEI. During the self-assessment process, the HEI carries out analytical and critical assessment of its work.

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

The Self-Assessment Report is prepared as an analytical reference material and it contains analysis and description of the assessment criteria and their aspects which are justified by definite examples. Quantitative indicators included in the Self-Assessment Report complement the qualitative analysis carried out by the HEI.

The committee for the assessment of the HEI (the experts group) uses the Self-Assessment Report to obtain comprehensive information about the HEI and assess its quality.

### **The process of the Self-Assessment Report preparation**

In order to prepare the Self-Assessment Report, the HEI shall create a group for preparation of the Self-Assessment Report, and this group shall represent the administration of the HEI, students, teaching staff<sup>2</sup> 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 creation of the HEI;
- specifying future plans, projects and prospects.

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<sup>1</sup> The definition "higher education institution" used herein is applicable to all higher education and science institutions mentioned in the Law on Higher Education Institution 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).

<sup>2</sup> The definition "teaching staff" used herein is applicable to the academic staff of the relevant higher education institution and its visiting professors, visiting associate professors, visiting docents, visiting lecturers and visiting assistants.

Preparing the Self-Assessment Report, the HEI shall provide information in accordance with the assessment criteria set out in the guidelines. Each assessment criterion is followed by guidelines (in italics) to describe, analyse and assess it. The HEI may include additional information if, in opinion of the HEI, it is significant for a meaningful evaluation of the relevant criterion.

The annexes to these guidelines with the word “SAMPLE” are of advisory nature; the HEI may submit the relevant information in the form preferred by it.

The HEI is obliged to provide only verifiable information and it must be ready to demonstrate the proofs of the facts mentioned in the Self-Assessment Report, being present during the visit of the experts’ group.

The Self-Assessment Report is an integral part of the application for the accreditation of the HEI.

The application for the accreditation of a study direction and Self-Assessment Report shall be submitted:

- in a paper format, attaching the electronic version of the document on a data carrier, or in an electronic format. Document submitted in a paper format must be numbered and stitched in such a way that its sheets cannot be separated. The application submitted in electronic format shall be signed with a secure electronic signature in compliance with the provisions of the Electronic Documents Law.
- in the official language with a translation into English (translations of documents submitted by other organisations may be marked as “provisional translation”).

#### **The structure of the Self-Assessment Report:**

1. Basic information about the HEI
  2. Aims and objectives of the HEI, its management structure
  3. Internal quality assurance system
  4. Infrastructure and material and technical provision
  5. Resources
  6. Staff
  7. Study organisation and management
  8. Science, research, and, if the study direction “Arts” is implemented – also artistic creation
  9. Requirements of the labour market
  10. International cooperation and internationalization
  11. Activities of students’ self-governance.
  12. Support systems for students
- Annexes
- Other documents at the discretion of the HEI

[logo of the higher education institution]

## **Self-Assessment Report**

NAME OF THE HIGHER EDUCATION INSTITUTION

CITY, 20 \_\_

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## **1. Basic information about the higher education institution**

### **1.1. Basic information about the HEI**

*Description of the HEI, including the following aspects:*

- *justification and aim of creation of the HEI;*
- *mission and vision of the HEI;*
- *structure of the HEI (add a schematic structure in the annex);*
- *description of the procedure for election of the rector and for appointment of the deputy rector, college director;*
- *role at the national and international level;*
- *involvement in higher education policy-making at the national level.*

### **1.2. Constitution or Charter of the HEI**

*Description of the Constitution or Charter of the HEI, including the following aspects:*

- *data on approval of the existing Constitution or Charter, with a document-(s) in the annex to confirm that the Constitution or Charter was approved at the Constitutional assembly or meeting of the College council;*
- *information about the principles of creation and approval of the Constitution or Charter, as well as on persons involved in the process of creation and approval;*
- *fundamental values and main directions of activities of the HEI which are included in the Constitution or Charter;*
- *electronic link to the website where the Constitution or Charter is available (both in English and Latvian).*

## **2. Aims and objectives of the higher education institution, its management structure**

### **2.1. Aims and objectives of the HEI, its development strategy**

*Description and assessment of the aims, objectives of the HEI, its development planning documents, including the following aspects:*

- *aims and objectives of the HEI, their compliance with the main directions of activities of the HEI;*
- *SWOT analysis and assessment of the HEI in relation to the objectives set;*
- *development strategy of the HEI and development directions specified in it;*
- *list of other planning documents related to the development of the and analysis of their content;*
- *principles taken into account upon creation of the development planning document, including development strategy, and the process of creation, including involvement of the staff of the HEI;*

*Add an electronic link to the website where the development strategy or a regulatory act for development of the HEI, as well as other internal regulations that govern the work of the HEI, are available (both in English and Latvian).*

## **2.2. Management structure and mechanism of the HEI**

*Description and assessment of the management structure and mechanism of the HEI, including the following aspects:*

- *description of managing bodies and their schematic representation (structure to be added in the annex);*
- *functions and objectives of the structural units, their management principles;*
- *principles of internal communication and information management;*
- *information on internal organisational culture established in the HEI, e.g. work ethics, code of ethics, etc., specifying internal regulations where they are set out and adding an electronic link to the website where they are available.*

## **2.3. Study directions and their relevant study programmes implemented by the HEI**

*Description and assessment of the study directions and their relevant study programmes implemented by the HEI, including the following aspects:*

- *justification of creation of the study directions implemented by the HEI;*
- *compliance of the study directions with the set aims and strategic directions of the HEI;*
- *list of the implemented study directions and their relevant study programmes in the form of an Excel table to be added in the annex (in alphabetical order, specifying accreditation term of the study directions and number of students, as well as providing an electronic link to the website where Self-Assessment Reports of the study directions are available) (see the recommended sample in Annex I).*

# **3. Internal quality assurance system**

## **3.1. Internal quality assurance system**

*Description and assessment of the internal quality assurance system, including the following aspects:*

- *quality policy and aims of the quality management system, correlation between them and strategic management and aims of the HEI, providing an electronic link to the website where the quality policy is available both in Latvian and English;*
- *mechanism for the implementation of the quality policy;*
- *internal quality assurance system, use of the information obtained within the system (including numerical data, results of students' opinion surveys) for the management of the HEI, for improvement of the study process and study content. Results of students' opinion surveys shall be added in the annex;*
- *staff involved in quality assurance, its tasks;*

- *principles of creation of the quality assurance system and compliance of the system with the Standards and Guidelines for Quality Assurance in the European Higher Education Area (1<sup>st</sup> part of the ESG);*
- *results of the inspections carried out by the State Service of Education Quality and deficiencies eliminated in the reported period, in the form of an Excel table to be added in the annex (see the recommended sample in Annex 2).*

## **4. Infrastructure and material and technical provision**

*If the study process is implemented in the branches of the HEI, separately describe and assess the availability and sufficiency of the infrastructure and material and technical provision in the branches.*

*If study programmes are implemented in the form of distance learning, separately describe and assess the infrastructure and material and technical provision required for their implementation.*

### **4.1. Infrastructure of the HEI**

*Description and assessment of the infrastructure of the HEI, including the following aspects:*

- *infrastructure available for the HEI to ensure the study process and scientific activities, research and/or artistic creation;*
- *availability for the needs and specific features of the HEI;*
- *availability for achieving the aims of the HEI;*
- *accessibility for the staff and students of the HEI.*

### **4.2. Material and technical provision of the HEI**

*Description and assessment of the material and technical provision of the HEI including the following aspects (separately specifying the information if distance learning is being implemented):*

- *material and technical provision available for the HEI to ensure the study process and scientific activities, research and/or artistic creation;*
- *availability for the needs and specific features of the HEI;*
- *availability for achieving the aims of the HEI;*
- *accessibility for the staff and students of the HEI.*

### **4.3. Plan for improvement and development of the infrastructure and material and technical provision of the HEI**

*Description and assessment of the improvement of the infrastructure and material and technical provision of the HEI, and of the systematic approach to development of the infrastructure and material and technical provision in the long-term period.*

## 5. Resources

### 5.1. Financial resources of the HEI

*Description and assessment of the financial resources of the HEI, including the following aspects:*

- *sources and use of the existing financial resources (percentage);*
- *tools used for the financial resource management;*
- *financial resource planning;*
- *long-term plan for financial resource provision;*
- *financial resources for scientific activities, research and/or artistic creation and principles of their management.*

*If the study process is implemented in the branches of the HEI, separately describe and assess the availability and sufficiency of the financial resources in the branches.*

### 5.2. Methodological and informational support of the HEI

*Description and assessment of the methodological and informational resources of the HEI, including the following aspects:*

- *methodological support for the implementation of the study process;*
- *informational resources, including the information on the availability of a library, literature and electronic resources available in it, compliance of literature and resources with all implemented study directions and relevant study programmes;*
- *plan for development of the methodological and informational support.*

*If the study process is implemented in the branches of the HEI, separately describe and assess the availability and sufficiency of the methodological and informational support in the branches.*

## 6. Staff

### 6.1. Staff of the HEI

*Description and assessment of the staff of the HEI, including the following aspects:*

- *support with administrative and technical staff for the implementation of the study directions; principles and requirements for staff selection, as well as employment procedure;*
- *teaching staff of the HEI, administrative and technical staff (number, distribution, ratio);*
- *foreign visiting lecturers and their ratio, attraction mechanism;*
- *teaching staff of the HEI, with a list of members to be added in the annex, dividing them by study directions and relevant study programmes (see the recommended sample in Annex 3). If study programmes are implemented in the branches, it must be specified in the list in what branches the relevant member of the teaching staff takes part in the implementation of the study programmes;*

- *policy and plan for attraction of the teaching staff, including foreign teaching staff;*
- *principles and requirements for teaching staff selection and employment procedure;*
- *measures to facilitate the professional growth of the teaching staff, including improvement of didactic skills and qualification;*
- *support system for the foreign teaching staff;*
- *scientific activities, research and/or artistic creation of the academic staff within the study direction both at the national and international level.*

6.2. Compliance of the academic staff with the requirements of Section 55 of the Law on Higher Education Institutions if the HEI implements academic study programmes and/or doctoral study programmes (*if applicable*).

6.3. Policy and principles for remuneration of the teaching staff

*Description and assessment of the policy and principles for remuneration of the teaching staff, specifying also compliance of the remuneration with the provisions of regulatory enactments.*

## **7. Study organisation and management**

7.1. System and structure of the study management

*Description and assessment of the system and structure of the study process management, including management of the study directions and their relevant study programmes, specifying all parties involved in the management system and their roles.*

7.2. Study organisation system

*Description and assessment of the study organisation system, describing and assessing also the following procedures and specifying how student-centered education principles are taken into account upon their creation:*

- *description of the study process stages;*
- *students' admission procedure, including in later study stages, as well as recognition procedures (recognition of study periods (including by mobility), professional experience, previously acquired formal and non-formal education). Sample of the study contract shall be added in the annex (if some study directions/programmes have significant differences, specify them);*
- *procedure set by the HEI for granting of a degree, degree and professional qualification, or professional qualification, adding in the annex the sample of the diploma and its annex to be issued upon acquisition of the study programme (if some study directions/programmes have significant differences, specify them) (if applicable);*
- *system for evaluation of students' achievements;*
- *procedure for review of students' complaints and proposals, and review results;*
- *observance of the academic integrity principles, used anti-plagiarism tools;*

- *mechanism for ensuring the financial guarantees and options to continue studies if a study programme implemented by the HEI is cancelled or reorganized.*

*If the study process is implemented by the HEI in the form of distance learning, separately describe and assess its study organisation system.*

*If the study process is implemented in the branches of the HEI, separately describe and assess their study organisation system.*

## **8. Science, research, and, if the study direction “Arts” is implemented – also artistic creation**

### **8.1. Directions determined by the HEI in science, research, and, if the study direction “Arts” is implemented – also in artistic creation**

*Description and assessment of the directions determined by the HEI in science, research, and/or artistic creation, including the following aspects:*

- *structure and management created for scientific activities, research and/or artistic creation in the HEI, principles for supervision and introduction of changes;*
- *directions determined by the HEI in science, research, and/or artistic creation;*
- *compliance of the directions determined for science, research, and/or artistic creation with the development strategy of the HEI and set aims of the study directions, as well as with current activities of the relevant industry, needs of the labour market and scientific trends;*
- *linking with the study process;*
- *involvement of students (with regard to students of all levels);*
- *students’ scientific societies, scientific and creative competitions for students, awards, bonuses, special scholarships.*

*Description and assessment of the innovative solutions implemented by the HEI (e.g. product innovations, process innovations, marketing innovations, organisational innovations), giving definite examples and assessing their influence on the study process.*

## **9. Compliance with the requirements of the labour market**

### **9.1. Cooperation of the HEI with representatives of the labour market and relevant industry**

*Description and assessment of cooperation of the HEI with the labour market and relevant industry, including the following aspects:*

- *cooperation aims and principles, correlation between them and strategy of the HEI;*
- *forms of cooperation with employers, relevant industry, including their involvement in creation of study offer, development of study programmes, as*

*well as cooperation that ensures improvement of the study programme, providing examples;*

- *mechanisms for organisation, supervision and promotion of cooperation.*

## 9.2 Mechanisms for obtaining employers' feedback

*Mechanisms to obtain and implement the trends of the labour market and employers' recommendations. Description and assessment of principles and procedures for the employers' opinion surveys, analysis of the results of opinion surveys and their use for improvement of the performance of the HEI. Results of employers' opinion surveys shall be added in the annex.*

## 9.3 Graduates of the HEI

*Employment of the graduates. Forecast for employment opportunities of the graduates prepared by the HEI.*

*Description and assessment of cooperation of the HEI with the graduates and of methods used to obtain information about the graduates.*

## 9.4 Mechanisms for obtaining graduates' feedback

*Mechanisms to obtain and implement graduates' recommendations. Description and assessment of principles and procedures for the results of graduates' opinion surveys, analysis of the results of opinion surveys and their use for improvement of the performance of the HEI.*

# **10. International cooperation and internationalization**

## 10.1. Strategy of the HEI for international cooperation and internationalization

*Description and assessment of the strategy of the HEI for international cooperation and internationalization, including aims set with regard to foreign students, creation of joint programmes with foreign HEIs, participation in international organisations of the relevant industry.*

*Description and assessment of the international cooperation of the HEI, including the following aspects:*

- *cooperation directions, their compliance with the development strategy approved by the HEI and with aims of the HEI;*
- *principles for selection of cooperation partners.*

## 10.2. Forms of international cooperation used by the HEI

*Description and assessment of the forms of international cooperation implemented by the HEI during the period since creation of the HEI, with summarized data on contracts concluded, certificates, etc. to be added in the annex, including the following aspects:*

- *cooperation with foreign HEIs;*

- cooperation with foreign organisations of the relevant industry;
- cooperation with representatives of foreign employers.

### 10.3. Outgoing and ingoing mobility of the teaching staff and students

*System of the HEI to ensure and promote the mobility of the teaching staff and students.*

*Description and assessment of the indicators of the outgoing and ingoing mobility of the teaching staff and students during the period since creation of the HEI.*

### 10.4. Mechanisms used for attraction of foreign students

*Description and assessment of the mechanisms used for attraction of foreign students.*

### 10.5 Joint study programmes with foreign HEIs and study programmes in foreign languages (if applicable)

*Description and assessment of the current situation of the HEI with regard to joint programmes with foreign HEIs and study programmes in foreign languages.*

### 10.6 HEI in the international environment

*Description and assessment of participation of the HEI in the international organisations that correspond to the study directions, and of international marks of quality, certificates, accreditation, etc. given to the HEI or its study programmes.*

## **11. Activities of students' self-governance**

### 11.1. Principles and structure of activities of students' self-governance

*Description of the structure and activities of students' self-governance, providing information about the year when students' self-governance started working, about the number of involved students.*

### 11.2. Compliance of the work of students' self-governance with the Law on Higher Education Institutions

*Description and assessment of the compliance of the work of students' self-governance with the Law on Higher Education Institutions, including information about the following aspects (each aspect shall be followed by the most important events and activities carried out during the period since creation of the HEI):*

- representation of students' interests in academic matters;
- representation of students' interests in material (social) matters;
- representation of students' interests in cultural matters;
- procedure to elect students for collegiate entities of the HEI (specifying collegiate entities of the HEI where students are involved, number of students in each of them (actual and percentage number), powers of students in the collegiate entities);

- *student's self-governance is financed by the budget of the HEI in the amount that is not less than 1/200 of the annual budget of the HEI.*

### 11.3. Support provided by the management of the HEI to facilitate students' representation development and activities of students' self-governance

## **12. Support systems for students**

### 12.1 System and mechanism of the HEI to identify students' needs for support

*Description and assessment of the system and mechanism of the HEI to identify students' needs for support.*

### 12.2 Support systems for students

*Description and assessment of the support system used by the HEI:*

- *support system related to education and career development for students to promote their employment;*
- *social and/or emotional support system; residence and scholarship offer;*
- *support system for foreign students (non-residents).*

## Annexes

Annex name	Annex No. (sample attached)*	Submission form**
<b>Basic information about the higher education</b>		
Schematic structure of the higher education institution		PE
Document-(s) confirming that the Constitution or Charter was approved at the Constitutional assembly or meeting of the College council		PE
<b>Aims and objectives of the higher education institution, its management structure</b>		
Management structure of the higher education institution		PE
List of the implemented study directions and their relevant study programmes	Annex 1	PE
<b>Internal quality assurance system</b>		
Information about the results of inspections carried out by the State Service of Education Quality and deficiencies eliminated in the reported period	Annex 2	PE
Results of students' opinion surveys		PE
<b>Quantity and quality of the staff in the higher education institution and its branches (if any)</b>		
List with members of the teaching staff of the higher education institution	Annex 3	PE
<b>Study organisation and management</b>		
Sample of the study contract		PE
Sample of the diploma and its annex to be issued upon acquisition of the study programme		PE
<b>Compliance with the requirements of the labour market</b>		
Results of employers' opinion surveys		PE
<b>International cooperation and internationalization</b>		
Summarized information on contracts concluded		PE

\* Reference to the number of the annex which has a sample in the annexes to the guidelines

\*\* PE – both paper and electronic form

**Implemented study directions and their relevant study programmes**

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

\* Arrange the study directions alphabetically, adding the relevant study programmes

**Information about the results of inspections carried out by the State Service of  
Education Quality and deficiencies eliminated in the reported period**

No.	Findings of the State Service of Education Quality	Activities of the higher education institution	Result/situation with regard to elimination of the findings (at the moment of the preparation of the Self- Assessment Report)

**List with members of the teaching staff of the higher education institution**

No.	Name, surname of teaching staff's member	Degree / professional qualificatio n	Electable status in the assessed higher education institution (yes/no)	Position in the higher education institution, as elected member of the academic staff, or status of the teaching staff's member (visiting lecturer)	Study programmes implemented by the teaching staff's member in the relevant study directions, specifying the study direction and its relevant study programmes	Compliance with regulatory enactments:	
						Academic staff's knowledge of the official language	Academic staff's level of knowledge of foreign languages (if the programme is implemented in foreign language)