



University of  
Zurich<sup>UZH</sup>

Evaluation Office

# The Evaluation Process at the University of Zurich

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## Evaluation Objectives

- **Assess, assure, and improve the quality** of academic work in research, teaching, and services as well as assure the quality of management and administration
- Provide **decision aids** to support medium and long-term strategic planning
- Report to the public (**accountability**)
- Assessment whether the **use of available resources** can be optimized



## Legal Aspects

### University Act (March 15, 1998)

- § 4 The University shall make arrangements to ensure the quality of research, teaching and services.

### University Statutes (December 4, 1998)

- § 6 Quality assurance is intended to assess, secure and raise the quality at all levels of the University with respect to research, teaching, service, leadership, and public relations.
- § 64 The evaluation office supports the university's authorities in quality assurance by conducting regular evaluations... Evaluation results have to be taken into account in the decision making.

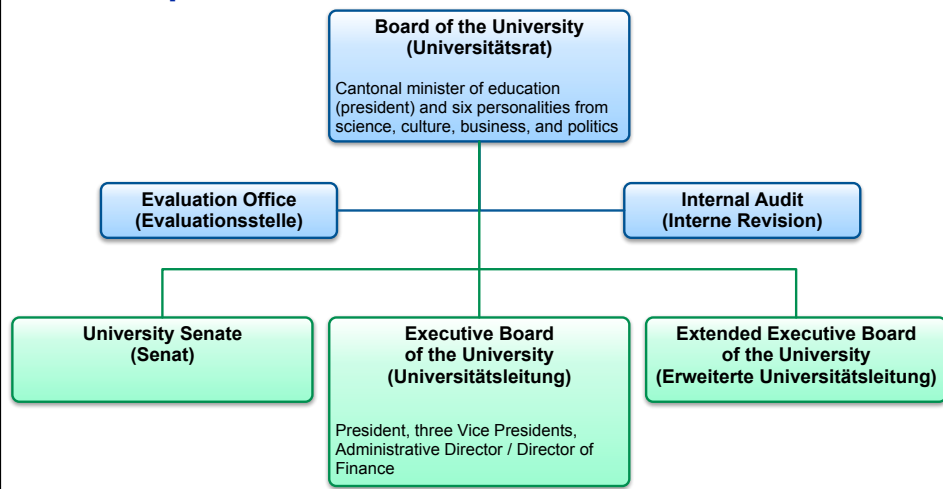
### Regulations for Evaluations at the University (May 5, 2000)

### Mission Statement of the University (January 23, 2012)

UZH strives to uphold the highest quality in all its activities.  
To secure and improve quality, the University regularly monitors and evaluates its performance.



## Organizational Structure (extract): Independent Evaluation Office





## Responsibility and Authority (1)

### Board of the University

- Issues evaluation regulations
- Appoints the head of the evaluation office
- Mandates all evaluations
- Approves evaluation plan (rolling 3-year plan)
- Informs the public

### Executive Board of the University

- Develops evaluation plan (in collaboration with evaluation office)
- Defines goal agreement about implementation of results (in collaboration with the unit under evaluation)
- Implements measures



## Responsibility and Authority (2)

### Evaluation Office

- Organizes evaluations
- Selects experts (together with dean & executive board of the university)
- Prepares a comprehensive evaluation report with results and recommendations
- Monitors implementation of goal agreements
- Develops and optimizes evaluation approach
- Has the right to request evaluations

### Unit under Evaluation

- Collaborates in planning, designing, and conducting the evaluation
- Proposes candidates to serve as experts on the team of external experts
- Submits statements of response (for experts' report and evaluation report)
- Negotiates goal agreements and measures (with executive board)
- Has the right to request its evaluation



## Evaluation Office

### Personnel

Director	60%	Prof. Dr. Hans-Dieter Daniel (ETH Zurich)
Managing Director	100%	Dr. Thomas Rothenfluh
Project Managers	440%	Dr. Susanne Fischer, Sven Hug, Dr. Karin Kook, Dr. Günther Paesold, Sandra Rusch, Karen Tinsner
Secretary	70%	Prisca Kranz

### Projects (rolling planning)

2001-2008	1st Evaluation Cycle: ~116 Evaluations
2008-2016	2nd Evaluation Cycle: ~130 Evaluations (>200 units)

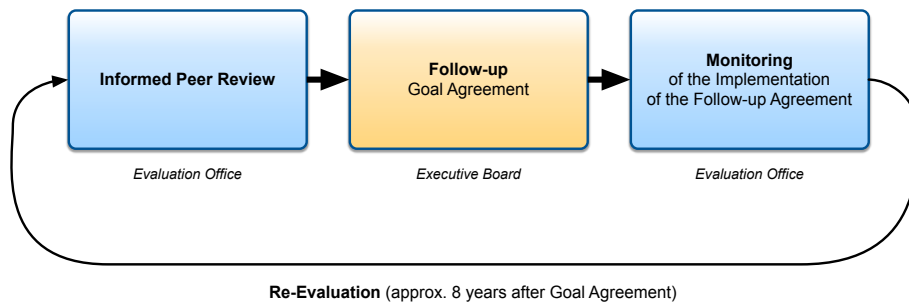


## Second Evaluation Cycle: Evaluations

<i>Faculty / Organization</i>	<i>Number of Evaluations</i>
Faculty of Theology	1
Faculty of Law	2
Faculty of Economics	2
Faculty of Medicine	65
Vetsuisse Faculty	1
Faculty of Arts	30
Faculty of Science	11
Administration (Central Services)	10
Dean's Offices	7
Executive Board / (Vice-)Presidents' Offices	1
<b>Total</b>	<b>130</b>

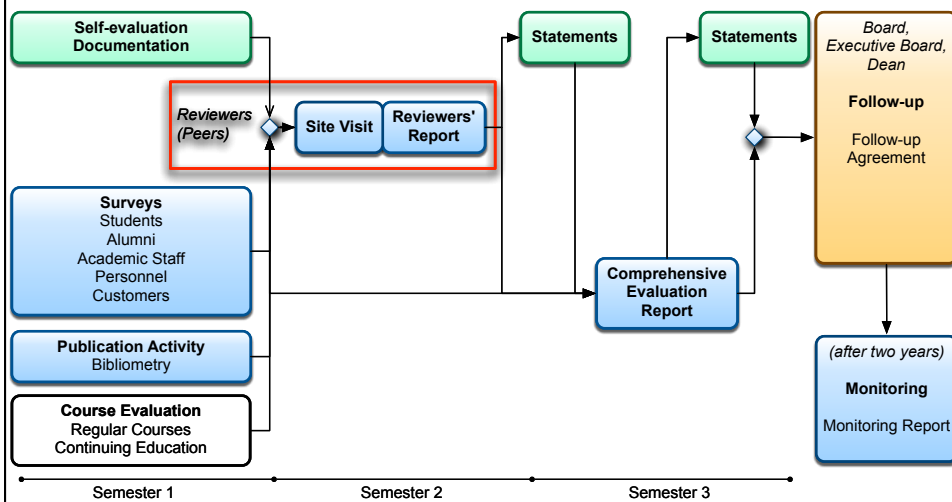


### Overview of the Evaluation Process



### Evaluation Process

green = Activity of the unit under evaluation  
 blue = Organized by the Evaluation Office  
 brown = Organized by the University Board (UL)





## Coordination Group «Evaluation»

### Members

- Representatives of the management and the different status groups (professors, non-professorial academic staff, administrative and technical personnel, students)

### Requirements

- Familiarity with the unit under evaluation
- Disposability during the whole evaluation period (ca. 3 semesters; 3 meetings and e-mail)

### Functions

- Contact persons for the Evaluation Office
- Coordination and information within the unit under evaluation

### Planning and coordination tasks

- Timetable, proposals of experts, self-evaluation documentation, surveys, Site Visit, responses

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## Aspects of the Self-Evaluation Documentation

### Retrospective and profile of strengths and weaknesses (last five years)

- Retrospective and future perspective
- Structure and resources
- Research
- Teaching and study programs
- Management and administration
- Academic career development
- Services

### Brief portraits of the chairs

- Research (qualitative / quantitative); teaching; promotion of young academics / scientists; offices held / professional functions / services

### Brief academic CVs of senior academic staff



## Selecting the Team of Experts

### Proposal

- The unit under evaluation submits a list of potential experts (listed by discipline / field and topic of research, ranked in order of priority, with suggestions for alternates)

### Selection

- The Evaluation Office selects the experts in collaboration with the dean of the faculty / department and the Executive Board of the University

### Invitation / Information

- The Evaluation Office invites the experts and provides them with instructions and documentation material



## Composition of the Team of Experts

Each expert **should have an outstanding international scientific reputation** (Active professors, emeritae / emeriti only in exceptional cases).

**The composition of the team of experts as a whole should ensure that the following requirements can be met:**

- All core competencies of the unit under evaluation are covered
- Experience in the area of structured promotion of young academics / scientists (participation in graduate schools, PhD programs, etc.)
- Knowledge in the area of curriculum development
- Evaluation experience
- Experience in management / administration of sizeable university units (dean, vice president, assistant rector of a university)
- International team composition

Desirable:

- Equal representation of men and women; good age mix
- Familiarity with the Swiss university system



## Team of Experts: Biases

Persons should not be proposed or selected if there is any appearance of **bias**. Appearance of bias is given if a potential expert is in any way affected by participation in the evaluation or if there is any other reason that might render the **impartiality of the assessment** suspect.

The following can constitute such reasons:

- Close scientific collaboration, for example, joint projects or co-authorship of publications during the reporting period
- Teaching contracts or visiting professorships at the unit under evaluation (during the reporting period and in the two years thereafter)
- Belonging to the same scientific institution or higher-level unit (for example, double professorships, research center)
- Simultaneous or previous participation in boards or committees advising the unit under evaluation (for example, Scientific Advisory Boards)
- Participation in evaluations of the unit conducted by other bodies (for example, National Science Foundation, European Commission)



## Site Visit Process

### Briefing

- of the experts by Executive Board of the University, Office of the Dean, Hospital Board (where applicable), Evaluation Office

### Talks / Visit

- Members of the unit under evaluation: management, professors, non-professorial staff, administrative and technical personnel
- Student representatives
- Cooperation partners

### Debriefing

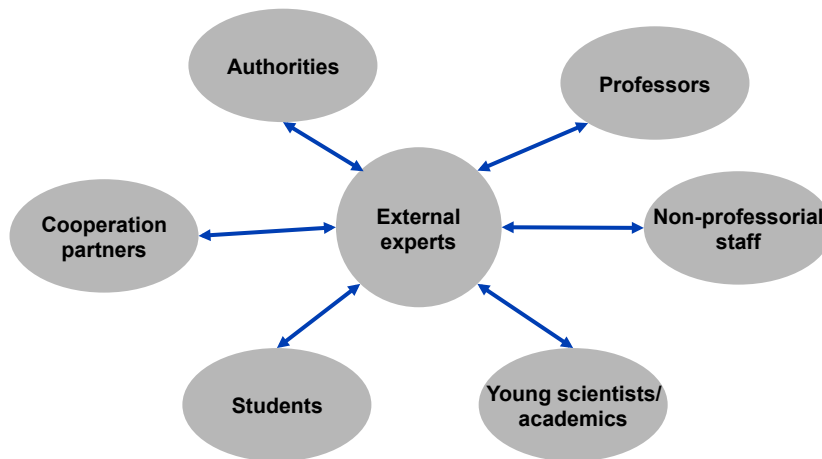
Presentation of the findings and preliminary recommendations by the experts

- for members of the unit under evaluation
- for the Executive Board of the University, Office of the Dean, Hospital Board (where applicable), Evaluation Office





## Site Visit Talks



## The Expert Report

As a result of its appraisal, the team of experts is kindly asked to compile a written report 3–4 weeks after the Site Visit.

- The reports shall discuss the **findings** based on the content of the self-evaluation report, the results of conducted surveys and bibliometric analyses, and the observations during the site visit.
- They should include a critical **assessment** of the performance of the evaluated unit as a whole as well as of its leading members (professors).
- Furthermore, **recommendations** for further development of the evaluated unit (e.g., proposals for adjustments, changes, innovations or reorganizations) are very much appreciated.



## **Guiding Principles of Evaluation: Summary**

- Independent
- Multidimensional
- Excellence-orientated
- Systematic
- Exhaustive
- Cyclic (~ every 8 years)
- Multiple perspectives
- Co-operation among all participants
- Specific to disciplines, situations, and the university