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"Promoting the modernization and strengthening of institutional and financial autonomy in Southern Neighbouring Area higher education institutions"

Comparative analysis of financial management practices, Genova, 12-15 April 2011

Management and financial assessment. The *Nucleo* as body for internal and external assessment

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THE EVALUATION OF THE ITALIAN UNIVERSITY SYSTEM

The issues of evaluation and quality control in Italian Public Administration have been getting increasing attention since the '90s due to two factors:

- Increasing of autonomy appointed to the public administrations and consequent need to establish control systems of the decisions taken at decentralized level;
- Improvement of the quality of the service, often not adequate to the expectations and needs of the users.

EVALUATION IN UNIVERSITIES

Central Authorities :

- The ***Agenzia Nazionale di Valutazione del Sistema Universitario e della Ricerca*** – ANVUR – (National Agency for the Evaluation of the University System and the Research) – Law n. 286 of 2006 and Decree n. 76 of 2010);
- the ***Comitato Nazionale per la Valutazione del Sistema Universitario*** – CNVSU – (National Committee for the Evaluation of the University System) formerly Observatory for the Evaluation of the University System – Laws n° 537 of 1993 and n° 370 of 1999 – deleted.
- The ***Comitato di Indirizzo per la Valutazione della Ricerca*** – CIVR –(Committee of Policy for the Evaluation of Research) – Laws n° 59 of 1997 and decrees n° 204 of 1998 and n° 207 of 1999 – deleted.

THE TASKS OF THE CNVSU

- **to fix general rules for the evaluation;**
- **to set-up studies and documents for public funding of the university;**
- **to draw up periodical reports and papers on the state of higher education;**
- **to define information and data that the local Evaluation Boards must communicate;**
- **to carry out evaluations on proposals for new public and private universities;**
- **to develop for the Minister advisory and survey activities on standards and indicators definition.**

THE TASKS OF CIVR

To promote activity of evaluation of the research

- experimenting and disseminating methodologies and practical techniques of evaluation;
- defining general rules for the activities of evaluation developed from the research and scientific institutions and check of the implementation of these activities;
- planning and carrying out of assessment of research institutions and of specific projects coordinated or funded by the public administrations;
- evaluation of the effectiveness of the government funding for the applied research, in order to increase the industrial research, its applications and its socio-economic feedback.

Periodical reports, drawn-up as institutional task, are sent to the concerned Ministries, as summary of its activity.

THE INTRODUCTION TO ANVUR

(Law 286/2006)

The National Agency for the Evaluation of the University System and the Research (ANVUR) have these aims:

- a) external quality evaluation of university activities and of public and private research bodies receiving public funding;*
- b) addressing, coordinating and supervising the evaluation activities transferred to the internal evaluation boards of universities and research bodies;*
- c) evaluating the efficiency and the efficacy of the public programmes of funding and promotion for the research and innovation activities.*

Contemporarily to ANVUR's actual effectiveness, the CIVR and the CNVSU will be suppressed.

THE EVALUATION IN THE UNIVERSITIES

*The decentralized boards of Evaluation according to the
Laws 537/1993 and 370/1999*

THE ROLE OF THE BOARD

(ACCORDING TO THE CURRENT GENOA STATUTE)

The university establishes the evaluation board for evaluating the efficacy and the efficiency of its structures, ... with the duty of setting up an internal evaluation system of the administrative activities, of the didactical and research activities, of the actions for the right to education, by verifying, by comparative analysis “costs – outputs”, the use of the resources, the productivity of the research and the didactics, and the impartiality of the administration.

THE ROLE OF THE BOARD

(ACCORDING TO THE GENOA STATUTE)

2. The university ensures the organizational autonomy to the Board, The board proposes ... criteria and the modalities to determine the parameters useful to evaluate efficiency and efficacy, ... The board periodically collects, safeguarding their anonymity, the opinions of the students attending the courses on didactical activities and sends the corresponding annual report to the Ministry ... The board send each year a report with the collected elements to the Rector, who sends it to the governing bodies of the University The board can also send the Rector and, if requested, to the academic senate and to the administration board, suggestions about organizational procedures and about statute and regulation's rules.

THE ROLE OF THE BOARD

(ACCORDING TO THE GENOA STATUTE)

- 3. The members of the board may vary from a minimum of six to a maximum of nine. At least three of them must be professors, one must be an internal manager or an administrative officer and two members must be chosen between experts in the evaluation field. The board is appointed by the rector, on advice of the academic senate and its term of office coincides with that of the Rector.*
- 4. The board draws up its own regulation, containing the rules for its operations, approved by the academic senate.*

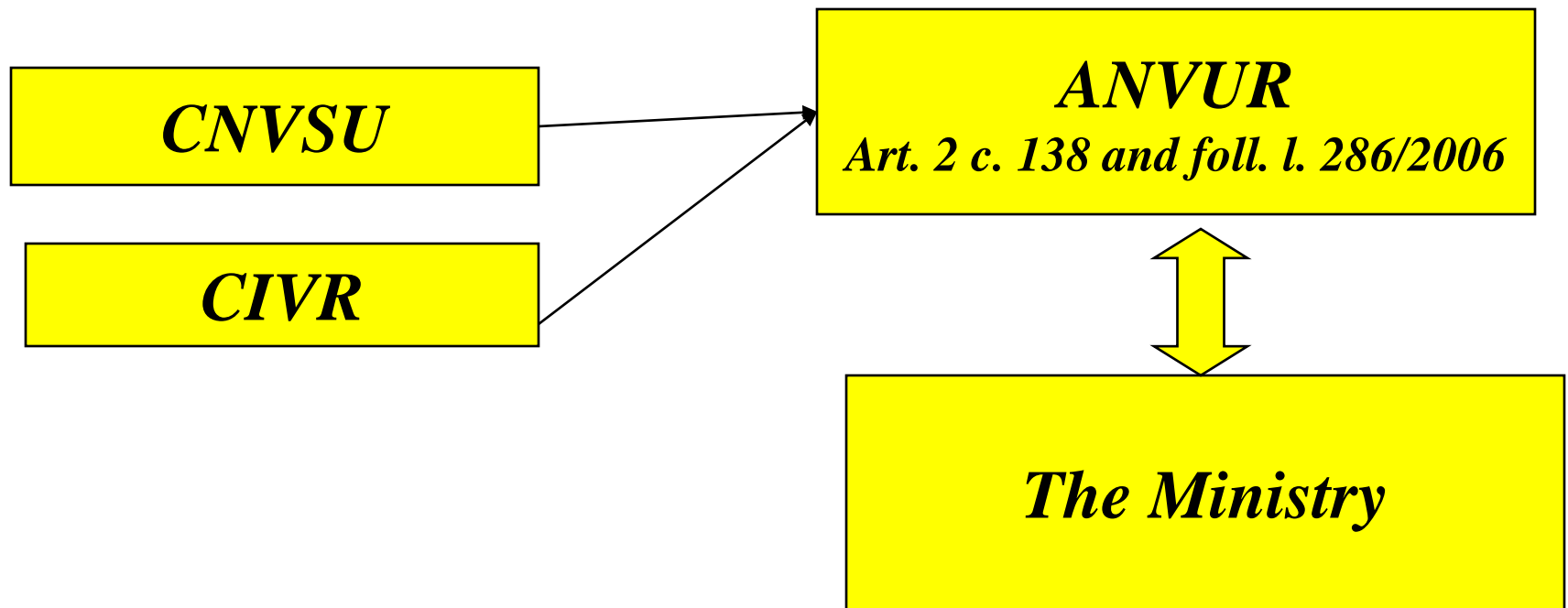
National coordination of Evaluation Boards (CONVUI)

The CONVUI was formed in 2005 to offer to the Evaluation Boards of the University point of encounter and exchange of views beyond the annual meeting organized by CNVSU.

The aim is also to be able to hear the voice of the Evaluation Boards on issues under discussion regarding their role in the governance of universities and contribute its experience to improve and simplify the assessment procedures to which we are called to participate .

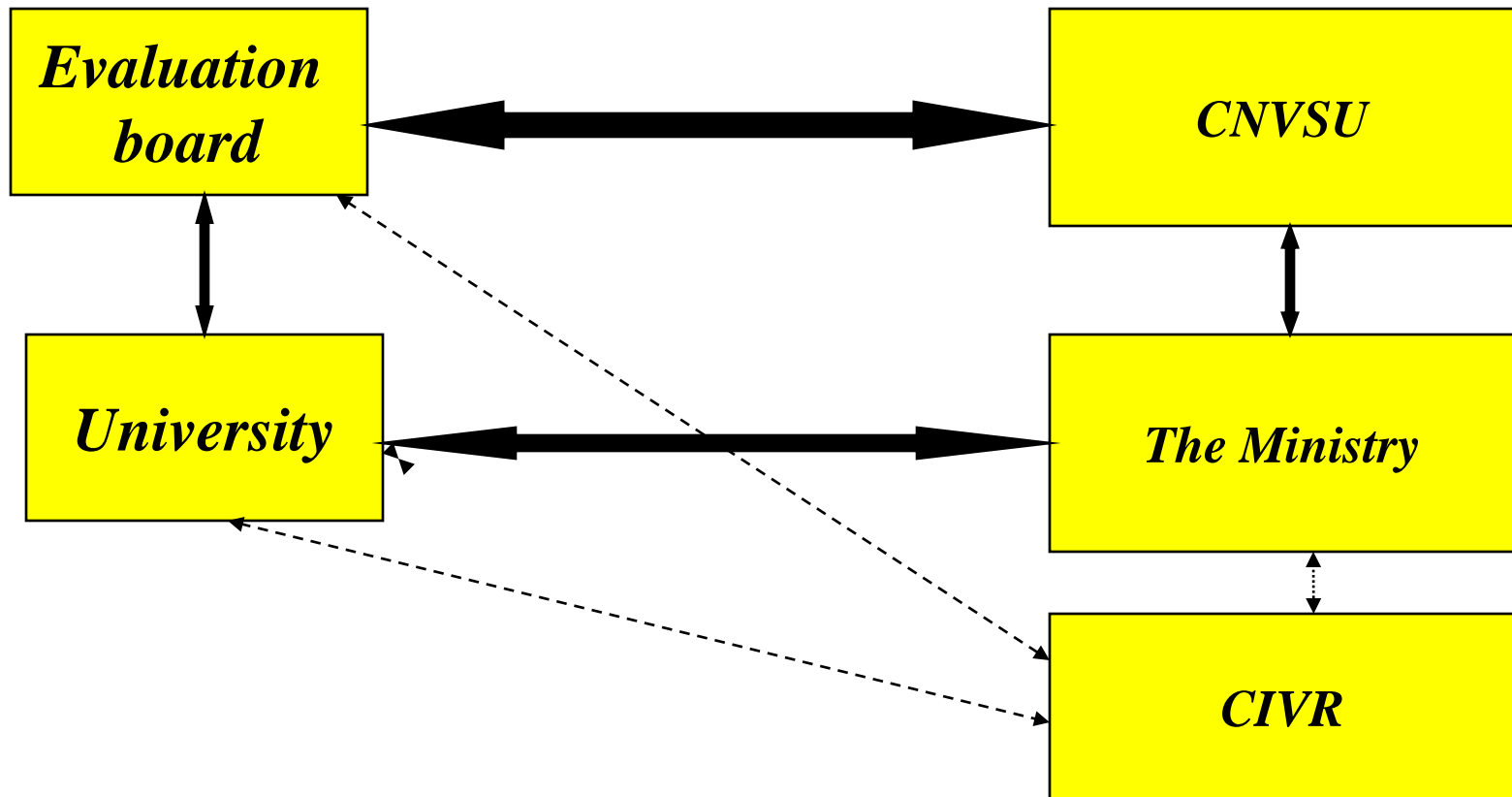
EVALUATION

(Anvur)



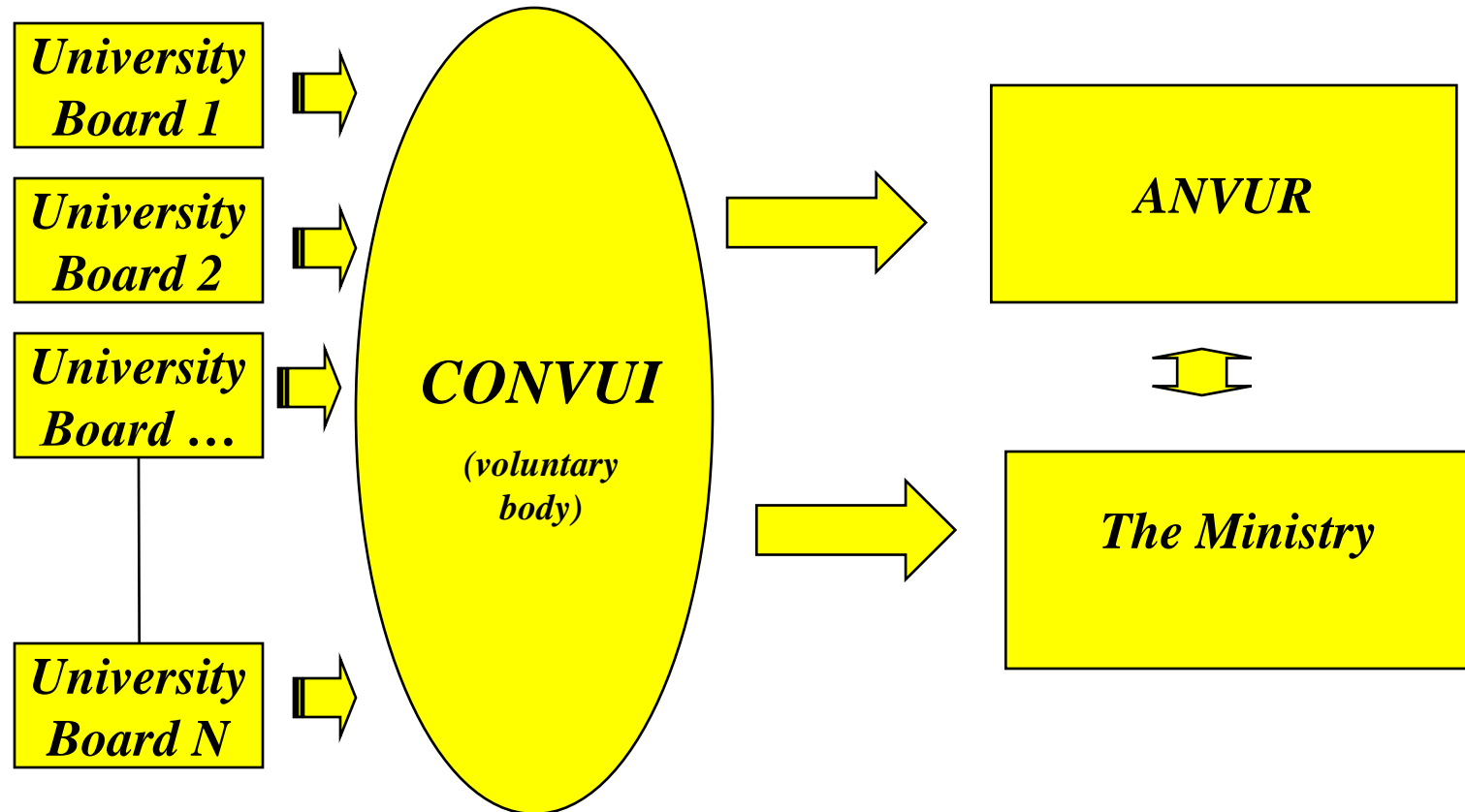
EVALUATION

(main actors – before the establishment of Anvur)



EVALUATION

(CONVUI)



THE ACTIVITY OF THE BOARDS

(with particular reference to the University of Genoa Evaluation Board)

- Evaluation activity demanded by the Ministry, by CNV SU or by other public bodies;
- Autonomous evaluation initiatives by the board or by the University the board belongs to.

THE BOARDS' INSTITUTIONAL ACTIVITIES

Main institutional activities:

- **enforcing the reports for the procedures of setting up and activation of the study programmes;**
- survey on the quality of the teaching activity “perceived” by the students and report to the CNVSU;
- annual survey “Nuclei” to the CNVSU;
- layout of the annual report to be attached to the University “Statement of the account”;
- evaluation on the courses of doctorate (evaluation “ex ante” and “ex post”).

OTHER INITIATIVES OF THE BOARD

The Board has introduced self-evaluation of the Ph.D. courses, by questionnaires and by direct involvement of the coordinators of the courses; the reports are made at the beginning of each year, in order to integrate the “ex post” report on the state of the doctorate courses, to deliver annually to the Ministry.

Furthermore, other interventions and documents made on behalf of the governance boards, with reference to the didactics, research and management.

GELMINI'S REFORM - (Law n. 240/2010)

The system, just described, is going to be modified by the law n. 240/2010 “Rules on organization of universities, academic staff and recruitment, as well as delegation to the Government to enhance the quality and efficiency of the university system”.

***The evaluation board... is
necessary structure for the
university in the renewed statutes.***

THE NEW EVALUATION BOARD

*... The evaluation board is composed with a highly qualified professional people **mostly external** to the university, ... the **coordinator** may be selected among the professors of the university.*

The evaluation board must....

- test the quality and effectiveness of the didactic, also based on the indicators identified by the joint committees **teacher-students**;*
- verify the **research** conducted by the departments and the adequacy of the scientific or professional curriculum of the holders of teaching contracts;*

THE NEW EVALUATION BOARD

... and attribution in connection with the ANVUR [National Agency for Evaluation of University and Research], of functions ... relating to procedures for evaluation of facilities and personnel in order to encourage in universities, independently and with its organizational arrangements, improvement of merit and organizational - individual performance.

THE EVALUATION BOARD AND THE “BRUNETTA” REFORM ON THE PERFORMANCE ASSESSMENT

The “Brunetta” reform (Decree n. 150/2009) provides that the public administration annually assess the organizational and individual performance by adopting a system for the purpose of measuring and evaluating performance (... *A multidimensional management control has to be applied*).

Glossary about Decree n. 150/2009

CIVIT: Independent Commission for the assessment, transparency and integrity of public administration. It has the task of directing, coordinating and supervising the performance assessment, ensuring the transparency of the systems.

OIV: Body that every administration must provide. This body replaces any kind of former Internal Control Service and carries out these tasks:

- monitors the overall functioning of the system of evaluation, transparency and integrity of internal controls;***
- reports to the competent internal boards, and to the Court of Auditors and CIVIT;***
- guarantees the accuracy of the measurement processes, keeping into account the national and local collective agreements;***
- promotes and certifies the accomplishment of duties relating to transparency and integrity;***
- verify results and best practices to promote equal opportunities.***

THE BOARD AND THE REFORMS

The “Gelmini” reform:

- *states that universities are not required to establish the OIV, evaluation boards continue to perform their evaluation activities, and are also appointed to carry out the former activities;*
- *states that the universities are the target of the regulation of the performance assessment, with reference to the collective bargaining and that universities should use evaluation procedures of facilities and staff to promote the improvement of individual and organizational performance.*

THE BOARD AND THE REFORMS

The problems of the reform related to the universities:

- two different frameworks due to the presence of two kinds of staff; the teaching one than can not be evaluated and the technical-administrative one on which Brunetta reform is fully applicable;*
- the presence of two core activities, teaching and research, and the administrative activity spread in the maintenance of institution and support to teaching-research (and assistance);*
- the structural heterogeneity or the presence of different units operating at various levels whose activity is difficult to fit (faculties, departments, centers)*

HOW TO OVERCOME THE PROBLEMS ...

Problems	Resolutions
Coexistence of two types of personal	application of the rule only to the PTA
Coexistence of multiple tasks	Applying this standard only to the services of maintenance / support
The heterogeneous structure models	Different models for different levels

.... SOLUTIONS THAT CREATE MORE PROBLEMS

- the presence of complex structures directed by non-administrative staff (Faculty / Departments / Centres) in which the administrative-technical staff is evaluated by professors....
- sensitivity of the evaluation of health care....

And universities how did they react

With a number of initiatives to study / experiment whose main ones are:

- the action learning of the Polytechnic of Milan, with the participation of the University of Genoa;
- the laboratory CAF (Common Assessment Framework) organized by CRUI.

THE ACTION LEARNING PROJECT OF THE POLYTECHNIC

The project is divided into two phases:

- a. check-up on the state of the system of evaluation and award of management and staff of the participating universities;
- b. editing, with the universities participating, a scheme of the performance plan, monitoring indicators.

These two phases will be added, for a select group of universities, with the testing phase of the performance plan.

THE LABORATORY CAF BY CRUI

The CAF (Common Assessment Framework) is defined as "joint self-assessment of quality in public administrations" and consists of an instrument designed to support measures to improve public organizations through the application of the principles of Total Quality (Total Quality Management - TQM), particularly the self-assessment and benchmarking.

The CRUI laboratory has the task to adapt the CAF model to university...

In conclusion

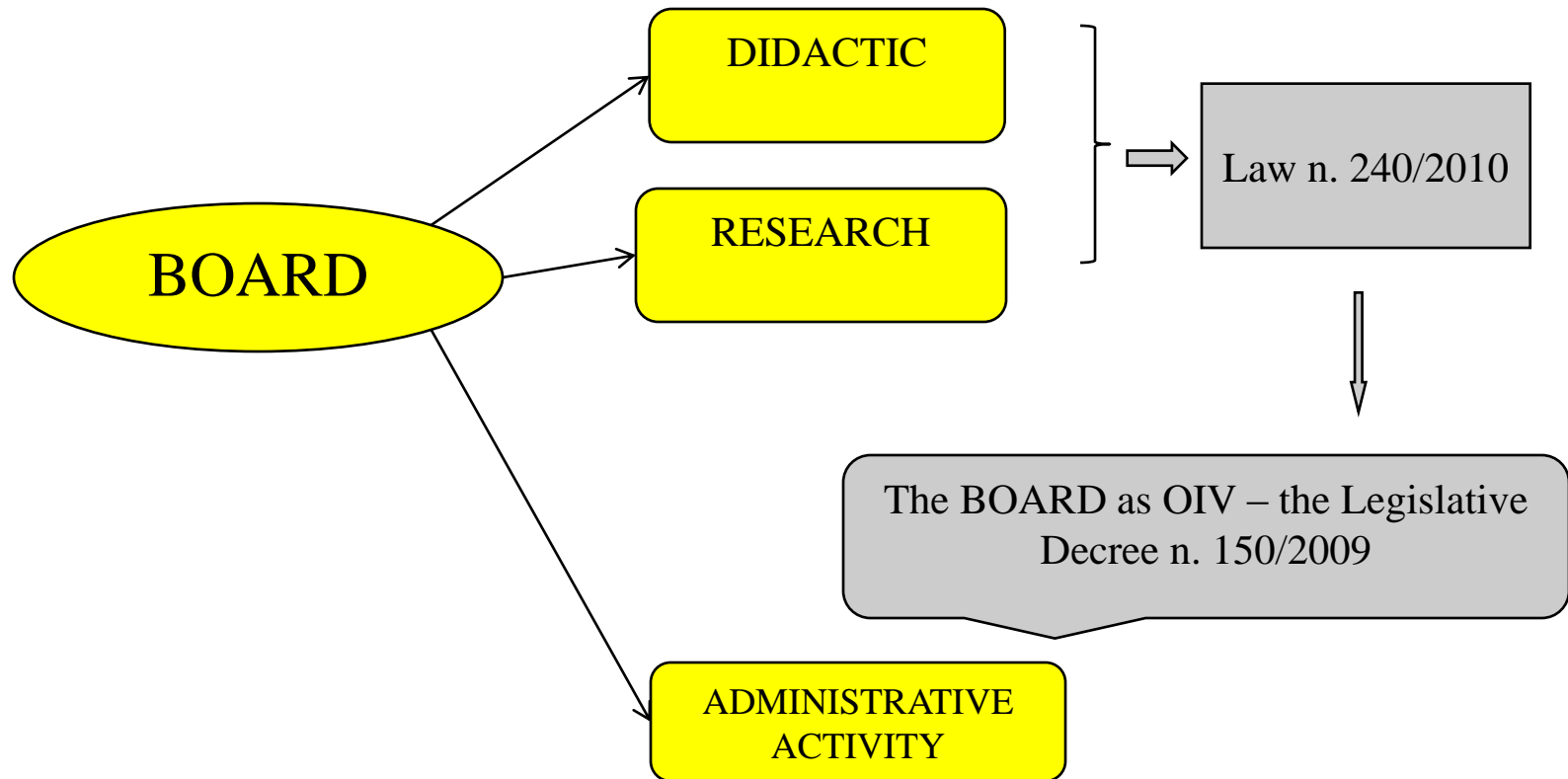
Law n. 240/2010 – Reform of the University (Gelmini)

Legislative Decree n. 150/2009 – Reform of Public Administration (Brunetta)

PA as a simple provider of services -
social function

Corporatization PA -
value creation and not
merely the destruction of
resources

A SUMMARY OF THE EVALUATION ACTIVITIES OF THE BOARD



***THANK YOU FOR YOUR
ATTENTION***