The influence of transparency on self-evaluation as part of the university accreditation process in Peru

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Abstract

In order to show the choice of transparency as the guiding principle of the accreditation process, the article evaluates its influence on the fundamental subprocess of self-evaluation, thereby confirming that transparency is an essential tool for continuous improvement of academic processes and those of educational quality management. It fosters educational innovation and permits the sustainability of the continuous accreditation process over time, resulting in greater probabilities of university self-regulation through systemization of the process, with the objective of continuous improvement of university degree programs. The article analyzes the influence of transparency on each activity of the self-evaluation process according to the Peruvian accreditation model prepared under the total quality approach, as a reference for other accreditation models, proposing concrete transparency actions and evaluating its influence on the stakeholder groups in the self-evaluation process, as well as on the efficiency and effectiveness of the process. It is concluded that transparency has a positive influence on the training of human capital and the formation of the university’s organizational culture, facilitating dissemination, understanding and involvement of the stakeholder groups in the continuous improvement of accreditation activities and increasing their acceptance of change and commitment to the process. It is confirmed that transparency contributes toward increasing the efficiency index of the self-evaluation process by reducing operating costs through adequate, accessible, timely contribution of information by the stakeholders and through the optimization of the time spent gathering relevant information. In addition, it is concluded that transparency contributes toward increasing the effectiveness index of self-evaluation by facilitating the achievement of its objectives through synthetic, useful, reliable interpretation of the education situation and the formulation of feasible improvement plans based on the adequacy, relevance, visibility, pertinence and truthfulness of the information analyzed.

Keywords: transparency; accreditation; self-evaluation

1. Introduction

The accreditation of university degree programs is a continuous process that seeks to offer a high degree of reliability that an accredited university degree program fulfills the quality requirements of the different stakeholder groups.

"Accreditation fundamentally consists of a global, technical validation (confirmation) of the educational capacity of an entity, and constitutes a premise that increases the probability of executing educational interventions with quality."
Depending on the accreditation model, the evaluation criteria considered will not be exactly the same. However all of the models studied are related to the achievements of university degree programs in different aspects (students, faculty members, infrastructure, society, etc). For this reason, a university can obtain accreditation of its university degree programs using different models or accreditation of one program using more than one model, depending on the institution's strategic objectives and its mission, vision and values, as well as the national legislation in force and the context in which it operates.

Nevertheless, regardless of the accreditation model chosen, putting transparency into practice as a guiding principle of the accreditation process will have a positive influence on the planning cycle, execution, control and feedback with regard to accreditation sub processes, resulting in greater probability of a university's self-regulation through systemization of the process, with continuous improvement of university degree programs as the objective.

The accreditation process comprises at least three university degree program sub processes: the self-evaluation process, the external evaluation process and accreditation.

![Diagram](image)

**Figure 1: Simplified model of the process of accreditation of a university degree program**

In order to understand the selection of transparency as a guiding principle of the accreditation process, its influence on the fundamental self-evaluation subprocess will be evaluated, verifying that transparency is an essential tool for continuous improvement of academic processes and educational quality management, giving rise to educational innovation.

"In general, the fundamental purpose of self-evaluation is for universities to readjust their processes themselves, with pertinence and timeliness, in search of a more effective contribution to national development".

The self-evaluation process is a dynamic self-awareness process related to what a university does and how it does it, as well as what its strengths and weaknesses are, for the purpose of making assertive decisions to remedy errors and reinforce positive aspects. Its deliverable is a report - in qualitative and quantitative terms - on all of the criteria and standards that a university and the accreditation model of its choice consider relevant in order to guarantee educational quality from the perspective of all of the stakeholder groups considered in the accreditation process.

The Peruvian national accreditation model proposed by the **Consejo de Evaluación, Acreditación y Certificación de la Calidad de la Educación Superior Universitaria (CONEAU / National Council for the Evaluation, Accreditation and Certification of the Quality of University Education)** establishes a model from the total quality perspective and proposes as evaluation factors the activities that lead to professional education and its outputs, which are developed

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2. Models: CONEAU, ANECA, ABET and Cuban
3. Article 10 of Executive Order No. 018-2007-ED, regulations on law No. 28746 on the national system for the evaluation, accreditation and certification of educational quality in Peru, considers four phases of the accreditation process: the phase preceding the accreditation process, self-evaluation, external evaluation, and accreditation.
in teaching/learning processes, research, university extension and community outreach. 

It is a model in line with the context of university education in Peru, as its systemic approach is not only geared toward the achievement of professional education and its improvement over time as results. It also evaluates management and support services in its phases: idea, implementation and improvement. The evaluation is then contrasted with a number of points of reference regarding quality established according to law, through standards and criteria. These points of reference are not limiting or unique, which permits discretion by each university in their use and the proposed base level, as well as in the methodology for information gathering, processing and analysis. Therefore, the continuous self-evaluation process results in the preparation of a report that must assess and consider the level of quality of the institution itself, which is indispensable for feedback and the identification of improvements. It is expected that in this manner, not only the university will regulate itself, but that the entire Peruvian university system will do so as well, upon demonstration of the level of quality of each institution.

![Diagram showing the self-evaluation process of university degree programs - CONEAU model](source: CONEAU (2009))

As accreditation and self-evaluation are continuous processes, the level of quality of each university degree program cannot be sustained over time without the guiding principle of transparency, understood as. the university’s capacity to present deliverables that are a meaningful, true, useful synthesis of information on the actions taken and results obtained in the self-evaluation process to the university community and stakeholder groups (hereinafter stakeholders). Therefore, transparency constitutes a principle that has a positive influence on the truthful, adequate, appropriate, pertinent flow of information; the commitment and responsibility of all of the players; and effective communication among stakeholders. These are basic conditions for a relevant self-evaluation.

2. **Genesis of the process: Presentation and official approval by the internal committee**

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11 *Modelo de Calidad para la Acreditación de Carreras Profesionales Universitarias* (Quality Model for Accreditation of University Degree Programs). Volume I. CONEAU. 2009

12 *Executive Order No. 018-2007-ED*

Whether the university opts to appoint the members of the internal committee or conducts a selection process, in line with the principle of transparency, information including the number of committee members, their functions, competences required, availability required, selection criteria, the position of the committee members in the university's organizational chart, and the convening authorities, must be visible, understandable and accessible to all stakeholders through the physical or virtual media that the institution of higher education ordinarily uses. It is essential that such information be timely, regardless of the means of selecting committee members. It must also explain how the internal committee's work is articulated with the faculty, students, administrative staff, academic authorities and external agents. In this manner, transparency in the formation of the university's internal committee will make the selection of appropriate people for the position tangible; that is, people who have knowledge, availability, competences and interest in managing the accreditation process; who will facilitate the university community's awareness of the self-evaluation process and its role in this process, and who will commit the convening authorities to the self-evaluation process with regard to the stakeholders.

In this phase, it should be understood that transparency is a matter of self-regulation. For this reason, put into practice gradually, it becomes part of the university's organizational culture. Therefore, senior management's commitment, willingness to change and awareness is necessary, establishing transparency as an institutional value.

3. Genesis of the process: Presentation and official approval of the accreditation project

The CONEAO model requires that Peruvian universities present a declaration document on the draft self-evaluation for purposes of accreditation of the educational quality of the university degree program to be accredited (Education, Health Sciences, Law and Engineering, as of August 2011), whose official approval is granted by this institution. In line with the principle of transparency, this draft must specify the level of commitment and competences of the executing unit of the document; the level of commitment stated by the university authorities; the level of commitment and participation of the academic departments of the university degree program; the level of commitment, understanding of the process and participation of students; the level of commitment and participation of the administrative staff; the opinion and level of participation allowed among graduates of the university degree program, as well as the financial resources and human capital destined and officially approved by the university for purposes of the accreditation process.

This first declaration phase of the document submitted must be useful to the university and to the CONEAO, in order to recognize and determine the level of the university community's involvement in the self-evaluation and accreditation process, as well as limitations or advantages that the financial resources and human capital offer the institution in making an effective self-evaluation. Such information will also make it possible to infer the university's need in relation with the level of awareness of the importance of the process, as well as to determine strategies to obtain the commitment of all of the stakeholders, if required.

The second part of the declaration document comprises the identification of the university's situation with regard to the main problem and causes regarding gaps between the actual situation and the quality standards established by the CONEAO. What it requires from the executing unit of the document is independent (free, autonomous, impartial), pertinent analysis of the objective of the draft self-evaluation; only in this manner will the university be able to summarize its situation in order to determine its level of articulation with the standards of the CONEAO accreditation model. The CONEAO, in turn, can make use of the aforementioned declaration as a basis of judgment to evaluate coherence between the draft self-evaluation presented and the institution's situation.

The last part of the document corresponds to the statement on tools, principal actions and the schedule to achieve the proposed objective of self-evaluation. This requires transparency actions such as the involvement of people who will use the tools and carry out the actions so that the information transmitted to the CONEAO is meaningful in that it channels and directs the stakeholders' efforts toward the use of tools and relevant, feasible actions, resulting in lower costs (efficiency) and greater probability of achievement of the objective (effectiveness).
4. Generation of information: Gathering and systemization of the sources of verification and internal audit report on the Quality Management System

The drawing up of information should be influenced in a positive manner by the use of information-gathering tools and relevant, feasible actions identified in the draft self-evaluation. However, other transparency methods such as strengthening interpersonal relations and the visibility of the information will support the availability and reliability of the information collected, creating a virtuous circle of interpersonal trust and the flow and visibility of information. This will result in shorter times for gathering reliable information and, therefore, lower operating costs, as well as greater stakeholder involvement, with the corresponding reduction in misinformation.

That said, what is sought in this phase is to attain a level of efficiency that results in savings and also has a positive effect on effectiveness by establishing a basic source of information that is a synthesis of the actual situation. Therefore, coherent improvement plans aligned with the objectives of the project and consistent with the university's situation can be established.

The systemization of sources of verification, in addition to specialists to oversee their implementation, requires the participation and commitment of the stakeholders if proper use of the information transferred to the sources of verification is sought. Transparency actions such as timely, recordable, visible and structured feedback between stakeholders and specialists, as well as the exchange of opinions between them at meetings scheduled for the purpose, will enable the experts to identify and map a university degree program's teaching-learning processes, research, university extension and community outreach, as well as the preparation of written procedures and forms for recording all of the activities (academic, administrative, service) carried out and their output (information and results) in less time, guaranteeing their coherence with the current situation. In this interaction, the team of specialists must be capable of transmitting the objectives of the systemization of sources of verification in an understandable, adequate manner, aligning them with the institutional objectives and those of accreditation, indicating the procedure to follow if the sources of verification show unexpected results. Only in this manner will there be an increase in users’ willingness to change, as well as their commitment, which are factors of success in the search for relevant, timely, truthful information.

The internal audit report on the quality management system, according to the principle of transparency, must disclose the result of deviations found between stated procedures and sources of verification, indicating and assigning weight to sources of deviation. Proceeding in this manner enables stakeholders to become familiar and involved with the working methodology of a quality management unit and enables the education community to show that a quality-related problem is measured through deviations from the stated procedure.

5. Generation of information: Preliminary evaluation by the internal committee

The internal audit report presented publicly must be analyzed by the internal committee without seeking to hide or cover up responsibilities, while at the same time establishing a space for dialogue with the university community and stakeholder groups where deemed relevant for the achievement of the objective of self-evaluation. For this purpose, key processes must be identified and, within them, those with the greatest sources of variability, ensuring productive interaction with the stakeholders and delving into the causes of problems and potential improvements. The internal committee can then evaluate the gap between the current situation and CONEAU criteria and standards for each macro-process through quantitative information provided in the internal audit report and evaluate feasible alternatives for improvement, using information gathered in interaction with the stakeholders. Therefore, the preliminary evaluation made under the principle of transparency will make it possible to increase all stakeholders' understanding of the current situation, reduce conflict and confrontation between the internal committee and stakeholders of key processes with low levels of quality, and increase the possibility of performing an effective self-evaluation with feasible improvement plans.

6. Generation of information: Acquisition, processing and virtual recording of data

The design for acquisition, processing and virtual recording of data must be pertinent to its purpose and user friendly. At the same time, in relation with the principle of transparency, this design must enable all stakeholder
groups, even if they do not have access, to become familiar with the information that each member of the university community can see in relation with his/her role in it. This transparency measure supports the self-regulation of each member of the education community. In addition, when virtual acquisition of data is intended for use in satisfaction surveys required by the CONEAU as a source of verification, the design of the procedure must be meaningful and unbiased. It must guarantee anonymity so that responses are not affected by biases that take away from the statistical value of the data gathered.

7. Generation of information: Analysis and discussion workshops

Once spaces for dialogue and feedback have been established in the preceding activities for the purpose of evaluating the processes and their output, analysis and discussion workshops should be held only in cases in which the results of the processes differ from the output of the processes due to the stakeholders’ estimation. Holding these workshops only in these cases leads to a cost reduction, as it eliminates the duplication of activities (spaces for dialogue and scheduled meetings) and optimizes use of the stakeholders’ time. If they are held, these workshops must be accompanied by other transparency actions, such as informing participants in advance of the purpose of the workshop and giving them concrete guidelines to follow in these spaces.

8. Preparation of the final report

The deliverable, the final self-evaluation report, contains the results of the self-evaluation process and the improvement plan. In line with the principle of transparency, it must be a report that is accessible and visible to the stakeholders and that establishes mechanisms to permit their feedback, but not necessarily unique. In order for the information to be understandable and useful, a report must be presented according to the stakeholder group in a meaningful, truthful summary of the results obtained in relation with CONEAU standards and criteria. Among these standards and criteria are the identification of processes to be improved and improvement actions, the identification of processes that add value and actions to strengthen them, a clear and simple presentation of the baseline for criteria and standards stated to the CONEAU, as well as quantified goals to be achieved in three years, the period between accreditations of a university degree program in the Peruvian accreditation model. In this manner, transparency facilitates dissemination and understanding of the need for continuous improvement and promotes innovation by allowing feedback on a meaningful, truthful assessment with stated quantified goals.

9. Final Reflections

Transparency increases the need for all stakeholders to act and to demand transparency in the different self-evaluation activities. This need increases in gradual but effective awareness-raising in the university community and stakeholder groups during and through the self-evaluation process, based on transparency actions in each of the previously analyzed self-evaluation activities.

In this manner, greater commitment, participation and motivation to obtain a reliable, effective self-evaluation is generated among the stakeholders, obtaining their involvement in self-evaluation sub processes that depend heavily on the flow, truthfulness, accessibility, credibility and timeliness of information and the level of stakeholder competence, knowing that in turn, these relevant aspects of the process require commitment, participation and motivation from the stakeholder groups, promoting a virtuous circle of people and the process.

Transparency also leads to greater willingness to change among stakeholders, based on an increase in their commitment to the process and the certainty of clear, visible, equitable rules for the entire community and objectives of the self-evaluation sub processes. This willingness makes it easier for the university community and the stakeholder groups to become familiar and involved with the working methodology of a quality management unit, which is one of the major objectives of the Peruvian law on university accreditation.

The positive influence of transparency on people increases along with efficiency indices, capacity for early identification of problems related to quality, and the effectiveness indices of the self-evaluation process. Transparency facilitates the achievement of lower operating costs due to stakeholders’ adequate contribution of information, as well as shorter times for gathering relevant, timely information, that is, higher efficiency indices.
Early identification of problems with the quality of the university's processes, services and results under the guiding principle of transparency is an advantage that transparency facilitates, acting in every activity in the subprocesses of evaluation, supporting quantitative or qualitative detection of an increase in the variability of deviations between what is expected and the actual situation, with no need to complete the self-evaluation process, making it possible to correct major deviations during the process rather than only at the end of it.

Effectiveness is achieved through a synthetic and useful interpretation of the actual situation, supported by the adequacy, relevance and truthfulness of information, contributing to the achievement of self-evaluation objectives, among them the formulation of feasible continuous improvement plans.

Transparency supports the formulation of pertinent improvement plans that are coherent with the actual situation and achievable over time, including stated quantified goals as a course for the stakeholders, permitting feedback from them in the improvement of the plan and its execution.

Therefore, it is confirmed that the guiding principle of transparency facilitates the dissemination, understanding and involvement of stakeholder groups in the continuous improvement of academic processes and educational quality management and that it promotes innovation through timely, organized participation of stakeholders, making the continuous process of accreditation sustainable.

10. Conclusions

- The positive influence of transparency actions in the activities of the self-evaluation process defined in the Peruvian university degree program accreditation system result in:
- The formation of an adequate internal committee of the university with the capacity, availability, competences, authority and interest required for managing the accreditation process.
- The establishment of a feasible strategy for obtaining relevant, valuable results from the self-evaluation process, based on reliable statements on the involvement of the stakeholders, the visibility of the financial resources destined to the accreditation process, and the competences of the human capital in each area.
- A useful assessment of the university's actual situation and its articulation with CONEAU quality standards, based on independent, impartial, pertinent analysis by the executing entity of the draft self-evaluation document requested by the CONEAU.
- The preparation and execution of plans of action geared toward relevant, feasible actions aligned with the previously identified value strategy that, due to their significance, result in lower costs and a greater possibility of achieving the objective established in the "preliminary self-evaluation" document submitted to the CONEAU.
- The generation of a virtuous circle of interpersonal trust and the flow and reliability of information, which results in shorter times for gathering reliable information, lower operating costs, greater stakeholder involvement and a reduction in misinformation, based on visibility of information.
- Adequate, pertinent supply of sources of verification that enable the university to obtain relevant, timely information based on effective communication between the design team, users of the information and the people who supply information, as the objectives of the information system within the self-evaluation process are known, understood and shared.
- The preparation of a useful internal audit report to strengthen the university's quality management system, based on the visibility of quality deviations, as well as the weight and causes of such deviations.
- The preparation of the preliminary self-evaluation without cover-ups, identifying key processes, sources of variability, causes and potential improvements, based on analysis of information and structured interaction with the stakeholders.
- The design of a data acquisition, processing and virtual recording system that is appropriate for its purpose and user friendly and that gives rise to self-regulation of the educational community, based on the visibility of the information that all stakeholders use, even if access is restricted according to a stakeholder's role in the process.
- Submission to the CONEAU of a final self-evaluation that clearly, simply and objectively identifies the processes to be improved, improvement actions, processes that add value, actions to strengthen them, the baseline stated for the external evaluation process, and the goals stated for the next three years. The report may
be differentiated according to interest groups, echoing the principle of transparency that demands that information be meaningful, accessible and understandable to stakeholders, allowing the possibility of feedback.

- The establishment of higher and achievable goals (standards and criteria), in virtue of the pertinence of the self-evaluation report, as well as the feasibility of the improvement plan, establishing a stronger starting point for the achievement of the objectives.

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