

INTERNATIONAL COMPARISONS OF COLLEGE STAFFING

A comparison of strategic and operational aspects of college staffing in Scotland and the Netherlands

A report by HM Inspectors for the Scottish Further and Higher Education Funding Council

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1. Introduction

HM Inspectorate of Education (HMIE) has an established partnership with the Dutch Inspectorate, *Inspectie van het Onderwijs (Ivho)*. From 2005 to 2007, HMIE worked with *Ivho*, as well as inspectorate colleagues from England, Sweden and France on the Peer 2 Peer project. This was followed by the Peer 2 Validation project, which also included Lithuania and Cataluña. This work successfully produced an international framework for evaluating the use of information and communications technology (ICT) in teaching and college administration and management systems. Involvement in these projects has enabled Scottish inspectors to build up a level of experience in international task working that has been applied to the current task and which may have application in future international tasks.

In February 2008, HMIE worked with *Ivho* to compare the ways in which each country carries out external evaluation of its college sector. The Dutch inspectorate was in the process of revising its framework for review (called *supervision*) of its colleges. The *supervision* model (see Appendix 4, page 34), which is risk-based, was also being revised. Dutch inspectors were interested in the elements within the HMIE quality framework which were routinely reviewed in Scotland's colleges. HMIE was keen to learn how *Ivho* used the risk-based approach to inform the scope of their *supervisions*.

HMIE accepted *Ivho*'s invitation to compare staffing, in its widest sense, in the colleges of both countries. This comparative study supports paragraph 142 of the Final Report from the Scottish Further and Higher Education Funding Council's (SFC) *Joint Quality Review Group (SFC/07/113)*¹.

The Group strongly endorsed the potential value of benchmarking Scottish provision in aspects such as disciplinary areas, functional areas such as guidance, and in supporting institutions' own desires to benchmark themselves against similar institutions.

The report will also provide *Ivho* with a detailed picture of staffing policies and practice in Scotland's colleges. The fieldwork for this report was planned to enable HMIE and *Ivho* to make comparative evaluations of selected aspects of these aspects of staffing activities with those of partner countries. The current Dutch context is that of the introduction of a new law which requires teaching staff to have a minimum level of competence². Aligned to this is the requirement of the Dutch inspectorate that it report to Ministers on the quality of teachers and the effectiveness of colleges' arrangements for the measurement of teacher competence.

The education inspectorates in Scotland and the Netherlands have quite different roles, and different relationships with colleges. That relationship is characterised in Scotland by a dual approach that includes evaluation of provision, as well as development and enhancement through support, capacity building and partnership activities. A key starting point for HMIE is the findings of colleges' own

¹Final report from Joint Quality Review Group to Council – SFC/07/113

² Please refer to page 46 – Wet Beroepen in Onderwijs (Wet BIO) Act

self-evaluation activities. Where there is a discrepancy between a college's evaluative findings and the inspectorate's findings the inspectorate may engage in developmental activities in partnership with the college, with the aim of securing improvement and enhancement. In the Netherlands, there is an emphasis on the role of the inspectorate as evaluators of risk, and as agents of improvement through the identification of improvements emerging from supervision.

The report considers and compares both qualitative and quantitative aspects of the staffing situations in each country. However, there were difficulties in the comparison of quantitative data because Dutch colleges do not routinely hold such data. The educational contexts and quality arrangements for colleges in Scotland and the Netherlands are fully described in Appendices 3, 4, 5 and 6.

2. Aims and methodology

2.1 Aims

The report addresses the general aim to compare aspects of staffing in Scottish and Dutch colleges, thereby providing insights into the educational contexts of post-compulsory sectors in each country. This should enable SFC and colleges to identify what is done well, what is done differently and why, in both systems.

Specifically, the report addresses the aims:

- to develop a shared framework of quality indicators (QIs) for the evaluation and quantitative comparison of college staffing arrangements and procedures in Scotland and the Netherlands;
- to develop an interrogative version of the shared framework of quality indicators for potential use in the evaluation of college staffing arrangements and procedures in Scotland's colleges;
- to report on the comparative analyses of information gathered in Scotland and the Netherlands relating to aspects of the shared framework; and
- to provide guidance to HMIE on leading the development of shared frameworks for future comparative tasks with international partners.

2.2 Methodology

A number of meetings took place between Dutch and Scottish inspectors to explore the college staffing landscape. This resulted in a shared understanding of the arrangements in place in Scottish and Dutch colleges to manage the staffing function. HMIE and *IvhO* developed a shared understanding of each organisation's respective roles and remits in relation to quality assurance and improvement in the respective college sectors.

HMIE and *IvhO* worked in partnership to develop the shared framework of QIs for the evaluation and quantitative comparison of staffing arrangements. They agreed that the shared framework had to meet the needs of both countries and be recognisable as a usable document within both partners' working practices. Its development took

place in the English language but there was constant reference to the Dutch context to ensure that development of the framework was consistent with Dutch concepts of educational management. Thereafter, it was translated into Dutch for application in Dutch colleges.

Aspects of the framework were piloted in two volunteer colleges in each country, and their responses analysed to inform this report. All four colleges were visited by inspectors from both inspectorates. Thereafter, HMIE issued a section of the shared framework (quantitative QIs) to all Scottish colleges to gather statistical data pertaining to staffing. Dutch colleagues provided national-average values for a number of QIs to enable comparison.

2.3 Scope

The report and the shared framework address the following broad areas of college staffing arrangements and procedures:

- human resource (HR) policies and procedures;
- workforce planning and succession planning;
- recruitment and selection;
- induction;
- teamwork and planning for delivery of curriculum;
- arrangements for performance review; and
- staff development.

3. Summary of findings

In order to understand fully the context of these findings, a detailed background to the college landscapes in Scotland and the Netherlands is provided in Appendix 5, page 35. Furthermore, a picture of the recent legal obligations placed upon the Netherlands' colleges appears on page 43.

The Dutch arrangements for review (*supervision*) are based on the identification and investigation of risk and predicated on a deficit approach. This approach, therefore, focuses on risks and challenges, and does not involve the identification of excellence. In the Netherlands, there is an emphasis on the role of the inspectorate as evaluators of risk, and as agents of improvement through the identification of improvements emerging from supervision.

HMIE adopts a dual approach to engagement that includes evaluation of provision and also development and enhancement through support, capacity building and partnership activities. *IvhO* reviews arrangements for teaching staff only, as support staff arrangements are outwith the scope of *supervision*.

Strategic vision for aspects of college activities in the Netherlands are generally less well developed than those in Scotland's colleges. There are some similarities between the challenges currently facing Dutch colleges with those that faced

Scottish colleges in the years immediately pre and post-incorporation³. In Dutch colleges, there is emerging but still limited cohesion between college planning processes and related operational activities, such as self-evaluation, performance review and continuing professional development (CPD).

There have been issues with poor retention and attainment, nationally, in colleges in the Netherlands. The Netherlands' government has identified the cause of unsatisfactory rates as the quality of teaching practices. It therefore passed the *Wet Beroepen In Onderwijs Act* (Education Act or the Act on Professions) in August 2006, with implementation in 2007, to ensure improvements in staff performance at all levels.

Amongst other aspects, the *Wet Beroepen In Onderwijs (Wet BIO)* introduced a set of seven national, core competences to ensure a minimum standard of quality and competence in teaching staff. As well as the requirement for staff to meet the core competences, *Wet BIO* requires colleges to put in place a range of cultural, structural and reporting aspects in order to enable staff to achieve these competences. To do this, colleges, to differing degrees, have had to implement strategies, policies and changes from strategic to operational levels. Staff in Scotland's colleges would generally regard the resulting arrangements and processes as commonplace. The learning curve and the journey for Dutch colleges have been complex and challenging, and in some cases, daunting. The complexity of this challenge should not be underestimated.

In the Netherlands' colleges, HR is not a strategic function. The HR manager and HR staff are regarded as an administrative team. A typical senior management team (SMT) in a Dutch college comprises the principal and depute principal or equivalent, with the occasional inclusion of one more manager. As a result, there is no HR input into strategic decisions or discussions, although the HR manager will have an off-line advisory role. In all Scottish colleges, a senior manager leads on all aspects of HR strategy and operations, and sits on the senior management team. Moreover, HR teams in Dutch colleges are very much smaller than those in Scottish colleges.

In Scotland's colleges, strategic and operational planning processes aim to ensure that structural and staffing arrangements support the vision and direction of the college. This includes ensuring that staff have the correct skills and expertise to resource the planned and future curriculum. Generally, colleges do this well. Dutch colleges are in the early stages of undertaking such planning. As in Scotland's colleges a number of years ago, there are still cases of colleges employing too many staff, or staff with expertise that does not match curricular requirements. Dutch principals have embarked on a challenging path of making changes, but it can be difficult to gain staff understanding and cooperation in these circumstances.

As in Scotland, recruitment and selection procedures differ across Dutch colleges. Until the implementation of *Wet BIO*, most colleges would recruit an individual because of their vocational expertise or skills. The development of their professional or teaching skills was regarded as secondary and might or might not happen in a formal way. There is a basic qualification for new teachers (who are not formally

³ http://www.opsi.gov.uk/Acts/acts1992/ukpga_19920037_en_1

qualified teachers at the time of recruitment), which broadly equates to the *Introduction to learning, teaching and assessment* or equivalent, delivered in-house by staff in Scottish colleges. New recruits to Dutch colleges are always appointed on a temporary basis until they obtain this qualification. After three years service, the posts may be made permanent. Otherwise, by law, they have the same rights, entitlements and protection as permanent staff.

Almost all teaching and support teams in Scotland's colleges are generally familiar with the broad strategic aims of the college and specifically conversant with the aims and targets associated with their own team. Knowledge of college aims and direction has not been common amongst staff in Dutch colleges.

Prior to *Wet BIO*, managers of Dutch colleges did not have a complete or accurate picture of the total skills range of their teaching staff. The requirements of *Wet BIO* have led to the development of performance review arrangements. Although in its early stages, this development has enabled managers to conduct basic skills audits. In colleges which have responded positively and creatively to this challenge, there are indications that it is working well. This contrasts greatly with Scotland's colleges, where procedures to review progress against targets by staff and teams are well embedded and cohesively linked to planning process and CPD. Again, in contrast with Scottish colleges, there is little or no institutional focus on vocational updating in the Netherlands' colleges. Staff development and CPD activities focus mainly on the development of pedagogical skills.

In Dutch colleges it is the norm for no more than 30% of teaching staff to belong to a trade union. Trades unions prioritise the interests of permanent staff over those of temporary staff, for whom they have little concern. They are regarded as external to the college, and operate mainly at national level. Decision making is the sole domain of the SMT. Managers will consult with trades unions, but there is no locus in the Dutch system for negotiation. Unions have no influence in strategic matters or matters addressed by senior managers. Typically, their involvement is limited to peripheral or extraneous matters. In Scottish colleges, almost all teaching and support staff are members of a trade union or professional association. Trades unions and professional associations have a significant impact on HR functions, such as performance review and performance management, salary settlements, and terms and conditions.

Self-evaluation procedures are generally not well developed in Dutch colleges and self-evaluation is not a key focus of *IvhO's supervision* model and framework. Similarly, the role of learners in quality enhancement and in decision making is much further developed in Scotland than in the Netherlands. Dutch colleges make some use of learner questionnaires in self-evaluation activities, but this practice is limited and unsystematic. There is no clear evidence of colleges responding effectively to learner involvement through representation. Learner engagement is not a key theme or criterion within the *supervision* framework.

Colleges in the Netherlands do not routinely collect or monitor statistical information on staffing. There is therefore a challenge for Dutch colleges in deciding which quantitative data to collect and how to collect it. This contrasts with practices in all

Scottish colleges, which make annual staffing returns to SFC. In addition, colleges make good use of quantitative data in self-evaluation and to inform improvement.

Dutch colleges are very well supported by local employers and industries associated with the vocational curricula. The Dutch government incentivises employers to provide placements for all full-time learners. This support contrasts significantly with the difficulties that Scottish colleges experience in securing work placements for vocational learners. Typically, work placement elements for Dutch students account for between 20% and 60% of study time for full-time (FT) learners, although the average is nearer 40%.

4. Comparison of college staffing in Scotland and the Netherlands

HMIE and *IvhO* have jointly developed a shared framework for the evaluation of staffing in Scottish and Dutch colleges (see Appendix 1, page 20). The framework includes a common core of agreed QIs, as well as exceptional QIs, which are relevant to each country's system. It has been designed so that other future international partners may also use it for their self-evaluation of staffing arrangements. A further interrogative version of the framework has been produced for use by Scottish colleges in internal self-evaluation activities. (see Appendix 2, page 28).

The framework addresses qualitative and quantitative aspects of staffing arrangements. The inclusion of both types of QI, enables useful information and data to support SFC's requirement for international comparison. The QIs are wide ranging and, perhaps, aspirational in places, in as much as it is unlikely that any Scottish college would record and monitor all specified quantitative information. Nevertheless, colleges in both countries can decide which aspects of the framework will assist them in addressing their particular challenges, or which will enable them to improve their current practice further. It is important to reiterate that *IvhO* does not review support staffing within their *supervision* arrangements. This comparison of college staffing in Scotland and the Netherlands is structured around the seven elements of the common framework:

- human resource policies and procedures;
- workforce planning and succession planning;
- recruitment and selection;
- induction;
- teamwork and planning for delivery of curriculum;
- arrangements for performance review; and
- staff development.

4.1 Qualitative aspects

4.1.1 Human resource policies and procedures

The major difference between Scottish and Dutch HR functions is that, in The Netherlands' colleges, HR is not a strategic function. The HR manager and HR staff are regarded as an administrative team. A typical senior management team (SMT) in a Dutch college is likely to consist of the principal, the depute principal or equivalent, with the occasional inclusion of one senior manager. As a result, there is no HR input into strategic decisions or discussions, although the HR manager has an off-line advisory role. It is difficult to imagine a Scottish college without HR representation at senior management level. It is possible that, as the wider requirements associated with full compliance with *Wet BIO* emerge, Dutch colleges may consider it appropriate to include the HR function at a strategic level. Similarly, HR teams are very much smaller than in Scottish colleges. For example, an average HR team is 1.5 full-time equivalent (FTE) personnel. In Scottish colleges, the size of the team is determined by the size and the organisational structure of the institution. Some HR functions will include responsibility for CPD, other training, equality and diversity issues, as well as human resource matters, while other may position these responsibilities within other teams. Nevertheless, HR teams in average Scottish colleges are likely to have at least four members.

Compliance with *Wet BIO* now accounts for a significant proportion of the activity of Dutch HR teams. In addition, they have responsibility for compliance with employment law, as well as other mainstream HR functions. However, in Dutch colleges, the requirement to observe equality and diversity issues is not paramount. Compliance with equality *public sector duties*⁴ has had a significant impact on the balance of work within HR teams in many of Scotland's colleges.

The alignment between strategic plans and HR strategies in the Scottish system is clear and well developed. HR strategies, cross-college CPD annual plans, and performance review arrangements generally support college operational and team plans well. Equally, HR strategies support the direction of the curricular portfolio, overall. Arrangements in Dutch colleges are not as well developed and cohesive as those in Scotland's colleges. However, it is likely that *Wet BIO* may encourage such developments.

HR staff in Scotland's colleges routinely carry out self-evaluation activities as part of the college's structured arrangements for internal review. As yet, the practice of self-evaluation in Dutch colleges is generally not well developed and is not systematic across the sector. However, as with *Wet BIO*, there is a number of colleges making good progress in this area. Self-evaluation is not included in the *Supervision Framework 2009* (Appendix 4).

4.1.2 Workforce planning

In Scotland's colleges, effective strategic and operational planning processes aim to ensure that structural and staffing arrangements support the vision and direction of

⁴ *The Public Sector Duties to promote Race Equality, Disability Equality and Gender Equality*

the college. This applies to ensuring that staff have the correct skills and expertise to resource the planned and future curriculum. Generally, colleges do this well, although there are occasional difficulties recruiting teaching staff for highly specialised subject areas. In some cases, however, there have been difficulties in retraining staff whose subject expertise is no longer required.

Dutch colleges are in the early stages of undertaking such planning. As in Scotland's colleges a number of years ago, there are still cases of colleges employing too many staff, or staff with expertise that does not match current and future curricular requirements. Principals have embarked on a challenging path of making changes, but it can be difficult to gain staff understanding and cooperation in these circumstances. Colleges have begun ambitious restructuring activities, with an emphasis on the reorganisation of teams and facilitation of team building.

In order to conduct effective workforce planning, college managers must have access to and use reliable data on their staffing cohort. It is interesting that Dutch colleges do not routinely collect data on their personnel, and do not monitor any data for trends. Scottish colleges collect, retain and monitor more data, although not all colleges across the sector collect data to the same extent. The data that was collected for this report was obtained relatively easily from Scottish colleges, but it was not possible to obtain similar data from Dutch colleagues. Dutch colleges are not currently required to make data returns on their staffing position (such as the annual staffing return made by Scotland's colleges to SFC). However, this may change.

4.1.3 Recruitment, selection and induction

As in Scotland, recruitment and selection procedures differ across Dutch colleges. Until the implementation of *Wet BIO*, most colleges would recruit an individual because of their vocational expertise or skills. The development of their professional or teaching skills was regarded as secondary and may or may not happen in a formal way. There is a basic qualification for new teachers (i.e. who are not formally qualified teachers at the time of appointment), which broadly equates to the *Introduction to learning, teaching and assessment* or equivalent, delivered in-house by staff in Scottish colleges. New recruits to Dutch colleges are always appointed on a temporary basis until they obtain this qualification.

As with workforce planning, Dutch colleges do not gather or retain as much quantitative data on recruitment as do Scottish colleges. There is some evaluation of recruitment and selection, often by candidates themselves. The extent to which this informs action is unclear.

Induction for new staff tends to be less structured than in Scotland's colleges. However, *IvhO* is now reviewing induction as part of the staff development efforts associated with *Wet BIO* and improvement is anticipated.

4.1.4 Teamwork and planning for delivery of curriculum

Colleges in the Netherlands have begun to invest significant effort into the development of teamwork amongst teaching staff. They recognise that effective

teamwork in and across teams increases job satisfaction, as well as individual and team performance.

HMIE expects staff in all teams in Scotland's colleges to be generally familiar with the broad strategic aims of the college and specifically conversant with the aims and targets associated with their own team. Knowledge of college aims and direction has not been common amongst staff in Dutch colleges. The development of this awareness has, as with other aspects of *Wet BIO*, necessitated a shift in culture. Nevertheless, in colleges where early steps have taken place, there are indications of enthusiasm amongst teams for new measures being implemented to encourage teamwork. Staff welcome the of allocation of time for development and fulfilment of team objectives. They also value time allocated for CPD and reflection on their professional practice.

In Scotland's colleges, improvement and enhancement resulting from effective teamworking is expected by college managers and by HMIE. In almost all cases, teaching staff teams work effectively with support staff teams, as well as with other teaching teams. Self-evaluation by teams is mostly effective, although on occasions, reporting is more descriptive than evaluative. However, in most cases, it results in action planning for improvement, which includes staff development. One of the main impacts of effective teamworking is the resultant ability of teams to enhance the learner experience through improvement in delivery of the curriculum. These improvements often result from the introduction of innovative teaching approaches, which have been developed by the team. Well-embedded teamwork has often led to the development of professional and personal trust between team members. This trust has enabled further quality improvement through the use of peer review of teaching practice.

4.1.5 Arrangements for performance review and staff development

The implementation of *Wet BIO* required Dutch colleges to submit action plans indicating how they would fulfil their legal obligation to develop the seven national core competences in all teaching staff. This has led college managers to examine closely their current staffing structures and arrangements. They have identified the need for a system to record CPD and progress towards competence. Colleges which are progressing well have piloted the use of personal development plans, or equivalent (*capability files*). As well as serving to record all CPD activities, the plans have enabled these colleges to achieve a form of skills audit of their staff. Evidence suggests that, prior to *Wet BIO*, college managers did not have a complete or accurate picture of the total skills range of their teaching staff. This positive development, along with CPD records, forms the basis of new performance review arrangements. Furthermore, colleges are required by *Wet BIO* to allocate 60 hours per year for CPD and professional reflection by teaching staff. The requirement does not apply to support staff. However, it is interesting to note that, at present in Dutch colleges, there is little or no focus on vocational updating. Staff development and CPD focus mainly on the development of pedagogical skills.

In 2005, the Scottish Government (then Scottish Executive) launched *The Review of Scotland's Colleges (RoSCo)*⁵. The review established four workstreams, one of which was *Staffing, Learners and Learning Environments*. A number of key recommendations for CPD for teaching staff in Scotland's colleges emerged from the review.

- a. *'all staff in Scotland's colleges engage in systematic reflection of how they contribute to the work of colleges in supporting learners;*
- b. *all colleges provide appropriate opportunities for all members of staff to upgrade or improve their professional skills; and*
- c. *all colleges provide opportunities for members of staff to gain appropriate qualifications relevant to their professional role.'*

Furthermore, the review recommended that

'all full-time staff in colleges should fulfil, as a minimum expectation, six days of CPD a year, and that colleges should determine and implement appropriate proportionate expectations for part-time, fixed-term and temporary staff.'

Colleges have implemented these recommendations and arrangements, and many colleges go beyond the recommendations.

In Dutch colleges, annual performance review of teaching staff by managers is in its early stages. However, in colleges which have responded positively and creatively to the challenges of *Wet BIO* these arrangements are further developed and there are indications that they are working well. The introduction of performance review or equivalent has, again, required changes in colleges' culture and values. Teaching staff have had to respond to major changes in their professional mores, and the extent of this change should not be underestimated. Alongside this, there has been a move towards peer evaluation, which is also contributing to the development of effective teams. Equally, there is an attendant obligation on college managers to ensure that staff have an appropriate skill set to enable them to participate in review. Colleges are beginning to address this.

Generally, arrangements for performance review or equivalent are well embedded in Scotland's colleges. Some colleges have procedures that are very well developed, while others require to be applied more systematically across the organisation. The terms most commonly used to refer to this process are *staff development and career review* or *annual career review*. In almost all of these colleges, such systems are closely aligned to planning process. Managers review the individual's performance against, or contribution to, corporate, team and individual targets. This review results in the creation of new targets, or carry-over of existing ones. In the course of the review, the staff member and the manager will discuss any CPD intervention that may be required to enable the individual to achieve their targets. However, matters

⁵ <http://www.scotland.gov.uk/Resource/Doc/180896/0051339.pdf>

Review of Scotland's Colleges: Inspiring achievement: The report of the Staffing, Learners and Learning environment Group.

<http://www.scotland.gov.uk/Resource/Doc/202687/0054053.pdf>

Review of Scotland's Colleges: Promoting Excellence: The Government's Response

of poor performance which may be determined by college managers to be the result of intentional non-cooperation (as opposed to resulting from the need for staff development) are addressed through disciplinary procedures.

4.1.6 The role of trades unions

In Dutch colleges it is the norm for a maximum of 30% of teaching staff to belong to a trade union. Trades unions tend to prioritise the interests of permanent staff over those of temporary staff, for whom they have little concern. They are regarded as external to the college, and operate mainly at national level. Decision making is the sole domain of the SMT. Managers will consult with trades unions, but there is no locus in the Dutch system for negotiation. Unions have no influence in strategic matters or matters addressed by senior managers. Typically, their involvement is limited to peripheral or extraneous matters.

In Scottish colleges, almost all teaching and support staff are members of a trade union or professional association. Trades unions and professional associations have a considerable impact on the work of HR functions, such as staff development and career review, salary settlements, and terms and conditions of staff. Whilst the boundaries between negotiation and consultation are well defined in Scotland's colleges, they are not always easy to implement.

In many colleges, teaching and support staff in benefit from CPD provided through the Scottish Union Learning Fund (SULF). SULF was established in 2000 by the former Scottish Executive to promote activity by trade unions in support of its lifelong learning programme. The total fund since its inception is £8.75m. The emphasis of the fund is on building up trade unions' capacity to promote people's development and workplace learning by encouraging and supporting learners. In Scotland's colleges, the teaching union *The Educational Institute of Scotland* has identified members within most colleges to take the role of *Learning Representatives*. These *Learning Representatives* have been trained to provide teaching staff with advice and information on evolving CPD/lifelong learning priorities for teaching staff in the college sector.

4.2 Quantitative aspects

Colleges in the Netherlands are in the early stages of identifying the data that they should systematically collect and how they should use that data to facilitate planning and improvement. In some instances, colleges have not yet fully developed structures and systems that would allow data to be collected. Data on attainment (*results*) is reported, held centrally, and used effectively by *IvhO* to inform *first order risk analysis* and *quality study*. However, colleges are not required to return data relating to staffing to the extent required in Scotland. While some colleges have made considerable progress in the identification and collation of data, the majority would be unable to provide *IvhO* with such statistics. *IvhO*, therefore, was unable to collect quantitative data for comparison with that of Scotland's colleges. Nevertheless, *IvhO* does make use of national average data values available to them.

The Netherlands does maintain a central database of information on all educational institutions in the country. All key partners, such as the government, *Ivho*, awarding bodies, schools and colleges, industry partners and employers contribute useful information. As a result, *Ivho* has access to a wide range of useful, sometimes contextual, information on schools and colleges. This also provides very helpful information for *first order risk analysis*. Scottish inspectors and other parties can access similar information, but from a range of sources, and not from one single repository. Current national statistics for the Netherlands show:

Data	Average value
Staff costs as % of total costs	72%
Of which:	
Teaching staff	67%
Management posts	5%
Ratio of learners to teachers	18:1
Annual staff absence	5%
% teaching staff to support staff	70:30

National average data: *The Netherlands 2008*
Source: *Inspectie van het Onderwijs, 2009*

An abbreviated version of the quantitative indicators from the shared questionnaire was issued to all Scottish colleges in order to ascertain the type of data routinely held by colleges, as well as to provide some values for the purpose of comparison. Twenty-three of the 43 colleges responded (53%). The average values of the data returned are summarised below:

Data	Average value of respondents
Workforce planning	
% FT teaching staff to PT teaching staff (FTE)	68%
% FT support staff to PT support staff (FTE)	72%
% teaching staff to support staff (FTE)	53%
% permanent teaching staff to temporary teaching staff (FTE)	81%
% permanent support staff to temporary support staff (FTE)	89%
% teaching staff to FT learners (headcount)	11%
Number new teaching posts introduced in last 3 years	17
% total revenue budget spent on direct teaching costs in last year	47%
% total permanent teaching staff holding appropriate teaching qualification	83%
Recruitment and selection	
Annual % turnover in FT teaching staff	6%
Annual % turnover in FT support staff	10%
Annual % spend of total revenue budget on advertising	0.3%
Induction	
% total staff received relevant induction within 6 months of appointment	96%

Data	Average value of respondents
Performance review and staff development	
% FT teaching staff taking part in annual performance review in last 12 months	80%
% PT teaching staff taking part in annual performance review in last 12 months	70%
% FT support staff taking part in annual performance review in last 12 months	81%
% PT support staff taking part in annual performance review in last 12 months	77%

5. Using the interrogative self-evaluation framework for staffing in Scotland's colleges⁶

5.1 Developing the self-evaluation framework

HMIE based this self-evaluation tool on the shared staffing framework that was developed with *lvhO*. It has been customised to reflect the context of Scotland's colleges. HMIE sought feedback from senior managers in the sector, who had contributed to the project during the research phase. A number of points were raised and taken on board in order to provide a more usable and relevant framework. For example, a few of the suggested quantitative indicators were considered to be unnecessary, in as much as they would add little value to any self-evaluative exercise. After discussion, these were removed from the Scottish framework, but remain in the shared framework as they will be required by *lvhO*. Others were considered to belong more to the self-evaluation of learning and teaching than that of staffing. General feedback suggested that the framework is potentially a very useful tool for internal review. The section addressing workforce planning was welcomed, in as much as it appears in the new HMIE quality framework, but was less prominent in the previous framework (2004–2008). Although sections of the shared framework were considered to be lengthy, colleges recognised that they need only make use of those indicators that refer to the aspects of staffing activity that they wish to evaluate or review.

5.2 Using the self-evaluation framework in colleges

The framework addresses the following broad aspects of staffing activity:

- human resource policies and procedures;
- workforce planning and succession planning;
- recruitment and selection;
- induction;
- teamwork and planning for delivery of curriculum;
- arrangements for performance review; and
- staff development.

⁶ See Appendix 2, page 28

It should be used within the context of the colleges' existing arrangements for quality enhancement.

HMIE recognises that a college may not wish to evaluate every aspect within the framework. However, the framework provides a useful tool for prompting evaluative questions. Colleges may wish to:

- identify a selection of quantitative or qualitative indicators to support evaluative activities during each internal review cycle;
- identify the indicators that they do not need to use and ask how they know that they do not need to use them; and
- use the framework with a view to considering whether or not further aspects of staffing should be included in self-evaluation.

6. Developing shared frameworks for international comparisons

In light of the experiences of Scottish inspectors in this and previous international projects, HMIE has created the following guidance for the future development of shared comparative frameworks.

6.1 Fully understand the role and remit of partner inspectorates

There are significant differences between the roles of education inspectorates in different countries. For example:

- in France, national inspectors (IGEN) have a particular concern with the salary progression of teachers;
- in the Netherlands, there is a particular focus on a subset of services and functions that have an impact on the quality of learners' experiences; and
- in Scotland, inspectors have a remit that covers a wider range of services and functions that impact on the quality of the learner experience than in either France or the Netherlands.

Relations between inspectorates and colleges can be significant in identifying the range of data and other information that may be available for use in international comparisons. For example, if relations are very formal, it may not be possible for inspectors to make ad hoc or one-off requests for data or information. On the other hand, if relations are such that inspectorates and colleges have a mutual interest in cooperation and partnership, one-off requests for information may be more easily made and met.

6.2 Agree common aims and be secure and realistic about what you can achieve

An important distinction has to be made between what might be desirable in an international study and what is possible. For example, the team from one country may wish to compare the ratio of full-time to part-time teaching staff in colleges across the participating countries. This will be possible only if all countries routinely collect such data. This reduction to what is common can result in outcomes relating

only to the lowest common denominator, and be of limited use to individual countries, while providing a common minimum data set on which to base comparisons.

It is therefore important to consider carefully at the beginning of the project what outcomes are desired and, of these, which are possible. One outcome of this consideration is that only a commonly-available subset of data, and therefore related indicators, will be used. A different outcome is that national teams compare the desired outcomes with what is possible in their own country. They can then use this international comparison to advocate change and enhancement of the policies and arrangements in their own countries to reflect practice in the wider international community. In this way, international tasks enable comparisons, not only in relation to performance within existing policies and procedures. For example, the act of comparison of systems enables new thinking about which policies and arrangements might be implemented to enhance national systems at both the system level and the data level.

6.3 At the outset, explore how to deal with national differences

There are a number of ways of dealing with dissimilarities across national systems when attempting to create an international framework for comparisons. The framework may cover:

- only the common systems and data sets of all countries in the task;
- all systems and data sets in use in all countries; or
- the common systems and data sets as core with all other non-common elements in appendices or otherwise differentiated.

In the current task it was agreed to include all systems and data sets in use in both Scotland and the Netherlands, and also to identify in the framework elements those differences between the systems in the two countries. For example, in Scotland, colleges typically collect and analyse data in relation to both teaching and support staff. In the Netherlands, colleges and inspectors deal only with data relating to teaching staff. In the framework used for comparisons of staffing, it is made clear that, in the Dutch context, only data relating to teaching staff is collected and therefore available for analysis.

6.4 At the outset, identify possible gaps in information and data

It may be very helpful or useful to identify gaps in services, functions, data or information. For example, if an element of the framework is designed to evaluate the policy-making function of the personnel section, it is very helpful to know that this function is carried out in the specialist personnel service in Scotland's colleges, but that in the Netherlands, it is a function of the SMT. In most of Scotland's colleges, the personnel service is an executive service. In most Dutch colleges it is an administrative function. These comparisons of function, where elements are missing from one country's systems or present in another's, provide helpful external points of reference for evaluating provision.

6.5 Be realistic about time requirements

It is easy to underestimate the length of time that each stage of the project will take. Inevitably, each stage requires more time than the task leader has initially planned. A number of factors contribute to this. In this project, it was difficult to agree a mutually suitable time for the second meeting between Scottish and Dutch inspectors. As a result, the meeting took place later than had been planned, leaving a very short timeframe for the collation and interpretation of statistical data. Equally, time invested in ensuring clarity and understanding resulting from language issues is rarely planned in to original task briefs.

7. Recommendations

HMIE and SFC should:

- continue involvement in comparative projects into other aspects of college activities with international partner inspectorates;
- involve representatives from international partner inspectorates in college reviews to enable further international comparison;
- consider further work with *Inspectie van het Onderwijs* to explore ways of developing a multi-partner database to benefit the work of all contributors;
- consider further work with *Inspectie van het Onderwijs* to explore ways of enhancing employer involvement in Scottish programme delivery;
- consider offering *Inspectie van het Onderwijs* the opportunity to work with HMIE and Scotland's colleges to explore arrangements to develop further cohesion between planning processes, self-evaluation and performance review, in order assist with compliance with *Wet Beroepen In Onderwijs*; and
- consider offering *Inspectie van het Onderwijs* the opportunity to work with HMIE and Scotland's colleges to explore arrangements to gather a range of statistical information on college staffing.

Glossary

AEV	Annual engagement visit
Wet BIO	<i>Wet Bereopen In Onderwijs</i> Act (Education Act or the Act on Professions)
CPD	Continuing professional development
FTE	Full-time equivalent
HMIE	HM Inspectorate of Education
HR	Human resource(s)
HRM	Human resource(s) management
ICT	Information and communications technology
<i>Ivho</i>	Inspectie van het Onderwijs (the Dutch Inspectorate)
MBO	Middelbaar Beroepsonderwijs
PVA	Pre-visit analysis
SFC	Scottish Further and Higher Education Funding Council
SMT	Senior management team
QI	Quality indicator
RoSCo	The Review of Scotland's Colleges
VMBO	Vorbereidend Middelbaar Beroepsonderwijs

The shared framework for evaluation of staffing arrangements and procedures in colleges

HMIE and *IvhO* aimed to develop a framework that would be applicable beyond the contexts of Scotland and the Netherlands. As a result, the format of the framework has been devised to allow its application in other countries. This has been achieved by an agreed expression of the core themes but with the context for interpretation of these themes made explicit for each country in separate columns of the framework. The framework is therefore expressed in the form of a table (below) with the rows representing the themes and quality indicators, and the columns the context for each country. The columns have entries only where there is divergence of scope or context between countries. Use of the framework by an additional country will involve the addition of an additional column that identifies the scope and context of the themes and quality indicators for that country. If, in any country, the framework is not used for comparative purposes, but for an internal evaluation of staffing, all other country-specific columns may be removed, leaving only the themes and quality indicators, contextualised for that particular country.

1. Human resource policies and procedures			
	Common	Specific Scottish context	Specific Dutch context
Background	<ul style="list-style-type: none"> • Human resource management (HRM) policies in the college • HRM procedures to support policies • Arrangements for monitoring the effectiveness of HRM policies and procedures • Senior post with identified responsibility for HRM 		
QIs Evaluative	<ul style="list-style-type: none"> • Support for the strategic aims of the college through HRM policies • Policy coverage of all aspects of staffing • Legal obligations addressed through HRM policies and procedures 	including equality, diversity and fairness	

	<ul style="list-style-type: none"> • Effectiveness of HRM procedures • Implementation of HRM procedures by staff in their own areas • Evaluation, review and update of HRM policies and procedures with a view to quality improvement and enhancement 		
QIs Quantitative	<ul style="list-style-type: none"> • Not applicable 		

2. Workforce planning

	Common	Specific Scottish context	Specific Dutch context
Risk			Teams cannot maintain a sufficient level of quality as a result of vacancies or mismatch in competences
Background	<ul style="list-style-type: none"> Operational workforce planning arrangements for staff Arrangements for monitoring the effectiveness of workforce planning activities Breakdown of staffing complement by categories 	<p>teaching and support</p> <p>age, gender, disability, race</p>	teaching
QIs Evaluative	<ul style="list-style-type: none"> Support for the college's strategic plan/business plan through workforce planning Appropriateness of organisational structure to meet business requirements and future strategic vision Staffing of specialist curricular areas Structure of teams to meet business needs Fulfilling legislative requirements relating to staffing Identifying and meeting future staffing requirements Match of curriculum portfolio and projected student numbers to workforce planning 	in teaching and support areas	in teaching areas

<p>QIs Quantitative</p>	<ul style="list-style-type: none"> • Ratio of FT teaching staff to PT teaching staff by: <ul style="list-style-type: none"> ○ Permanent appointments ○ Temporary appointments • Ratio of FT support staff to PT support staff • Ratio of permanent teaching staff to temporary teaching staff by: <ul style="list-style-type: none"> ○ FT appointments ○ PT appointments • Ratio of permanent support staff to temporary support staff • Ratio of teaching staff (FTE) to learners (head count) for each of the last three years • Measures of efficiency for staff utilisation • Percentage of current teaching staff internally promoted for each of the last three years • Percentage of current support staff internally promoted for each of the last three years • Number of new teaching posts introduced for each of the last three years <ul style="list-style-type: none"> ○ permanent ○ temporary 		
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	<ul style="list-style-type: none"> • Number of new support staff posts introduced for each of the last three years <ul style="list-style-type: none"> ○ permanent ○ temporary • Trend in total employee numbers over the last three years • Percentage of total budget spent on direct teaching staff • Ratio of FTE teaching staff to FTE support staff • Percentage of teaching staff with an appropriate teaching qualification • Staff absence rates (expressed as % of total working days) over the last three years 	teaching and support	teaching
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3. Recruitment and selection			
	Common	Specific Scottish context	Specific Dutch context
Context			
Background	<ul style="list-style-type: none"> • Procedures for recruitment and selection in your college • Statistical information on recruitment and selection • Use of statistical information on recruitment and selection • Evaluation of recruitment and selection arrangements 		
QIs Evaluative	<ul style="list-style-type: none"> • Recruitment of staff to meet requirements of the college • Monitoring and evaluation of the effectiveness of recruitment and selection 	teaching and support	teaching
QIs Quantitative	<ul style="list-style-type: none"> • Annual percentage of permanent teaching and support staff turnover • Percentage of FT teaching staff posts currently unfilled <ul style="list-style-type: none"> ○ for less than one month ○ for one to three months ○ for four to six months ○ for over six months • College's total spend per annum on advertising vacancies, as a percentage of total revenue budget 		

4. Induction			
	Common	Specific Scottish context	Specific Dutch context
Background	<ul style="list-style-type: none"> • Arrangements for staff induction • Arrangements for monitoring the effectiveness of staff induction 		
QIs Evaluative	<ul style="list-style-type: none"> • Relevance and effectiveness of induction for new staff • Induction of current staff into new/promoted posts • Monitoring and evaluation of the effectiveness of induction programmes for staff • Link between induction programmes and future staff development requirements 	including legislative obligations	
QIs Quantitative	<ul style="list-style-type: none"> • Percentage of staff with a relevant induction within an appropriate time of appointment in these categories: <ul style="list-style-type: none"> ○ permanent FT teaching ○ permanent PT teaching ○ temporary FT teaching ○ temporary PT teaching • Percentage of current staff receiving induction on moving into new / promoted posts • In staff evaluations of induction, percentage ratings for each of the following categories or equivalent: <ul style="list-style-type: none"> ○ highly effective/very useful ○ effective/useful ○ not effective/not useful 	permanent FT support permanent PT support temporary FT support temporary PTsupport teaching and support	teaching

5. Teamwork and planning for delivery of curriculum

	Common	Specific Scottish context	Specific Dutch context
Risk			Quality of teaching / instruction / coaching strongly differs per staff member
Background	<ul style="list-style-type: none"> Effectiveness of staff in implementation of aims, objectives and targets 		
QIs Evaluative	<ul style="list-style-type: none"> Staff/team commitment to educational aims, objectives and targets Staff/team responsiveness to aims, objectives and targets Ensuring consistency of lesson planning and student experience Staff collaborative activity Impact of planning and teamwork on policy objectives 		
QIs Quantitative	<ul style="list-style-type: none"> College use of student evaluations Sufficiency and impact of team meetings 		

6. Performance review			
	Common	Specific Scottish context	Specific Dutch context
Risk			Quality of performance is unacceptable.
Background	<ul style="list-style-type: none"> • Effectiveness of arrangements for performance review 		
QIs Evaluative	<ul style="list-style-type: none"> • Arrangements for performance review • Competences required • Use of records of performance review in enhancement of staff skills and competences • Use of observation of learning and teaching 	from strategic plan	academic and vocational qualifications of teaching needed by law (Wet BIO)
QIs Quantitative	<ul style="list-style-type: none"> • Percentage of staff for whom annual performance review takes place 	teaching and support	teaching

7. Staff development

	Common	Specific Scottish context	Specific Dutch context
Risk			Quality of knowledge and skills is unacceptable
Background	<ul style="list-style-type: none"> Effectiveness of staff development policy 		
QIs Evaluative	<ul style="list-style-type: none"> Identification of staff development needs as a result of performance review and other measures Staff development activities Arrangements for professional and vocational updating 		
QIs Quantitative	<ul style="list-style-type: none"> Budget for staff development as percentage of total budget Percentage utilisation of staff development budget Staff development statistics Staff evaluation of development activities 		

Interrogative self-evaluation framework for staffing in Scotland's colleges

Human resource policies and procedures	
Scope	<ul style="list-style-type: none"> • HRM policies in the college • HRM procedures to support policies • Arrangements for monitoring the effectiveness of HRM policies and procedures • Senior post with identified responsibility for HRM
Evaluative quality indicators	<ul style="list-style-type: none"> • How well do HR policies and procedures: <ul style="list-style-type: none"> ○ support the strategic aims of the college? ○ cover of all aspects of staffing? ○ address legal obligations? • How well do staff implement HRM procedures in their own areas? • How well do current arrangements evaluate, review and update HRM policies and procedures to enhance their quality?
Quantitative quality indicators	<ul style="list-style-type: none"> • Not applicable

Workforce planning	
Scope	<ul style="list-style-type: none"> • Operational workforce planning arrangements for staff • Arrangements for monitoring the effectiveness of workforce planning activities • Breakdown of staffing complement by categories
Evaluative quality indicators	<ul style="list-style-type: none"> • How well does workforce planning support the college's current strategic plan and future strategic vision? • How well does the college's organisational structure meet current operational requirements and future strategic vision? • How well does the college meet and anticipate staffing requirements, including specialist curricular areas? • How well does the structure of teaching and support teams meet business needs? • How well does the college fulfil legislative requirements relating to staffing?
Quantitative quality indicators	<ul style="list-style-type: none"> • Percentage of FT teaching staff to PT teaching staff by: <ul style="list-style-type: none"> ○ permanent appointments ○ temporary appointments • Ratio of FT support staff to PT support staff • Ratio of permanent teaching staff to temporary teaching staff by: <ul style="list-style-type: none"> ○ FT appointments ○ PT appointments • Ratio of permanent support staff to temporary support staff • Ratio of teaching staff (FTE) to learners (head count) for each of the last three years • Percentage of current teaching staff internally promoted for each of the last three years • Percentage of current support staff internally promoted for each of the last three years • Number of new teaching posts introduced for each of the last three years <ul style="list-style-type: none"> ○ permanent ○ temporary • Number of new support staff posts introduced for each of the last three years <ul style="list-style-type: none"> ○ permanent ○ temporary • Trend in total employee numbers over the last three years • Percentage of total budget spent on direct teaching staff • Ratio of teaching staff to support staff

	<ul style="list-style-type: none"> • Percentage of teaching staff with an appropriate teaching qualification • Staff absence rates (expressed as % of total working days) over the last three years <ul style="list-style-type: none"> ○ long-term absence ○ short-term absence
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Recruitment and selection	
Scope	<ul style="list-style-type: none"> • Procedures for recruitment and selection in the college • Statistical information on recruitment and selection • Use of statistical information on recruitment and selection • Evaluation of recruitment and selection arrangements
Evaluative quality indicators	<ul style="list-style-type: none"> • How well does the college recruit staff to meet the requirements of the college? • How well does the college monitor and evaluate the effectiveness of recruitment and selection?
Quantitative quality indicators	<ul style="list-style-type: none"> • Annual percentage of permanent teaching and support staff turnover • College's total spend per annum on advertising vacancies, as a percentage of total revenue budget

Induction of staff	
Scope	<ul style="list-style-type: none"> • Arrangements for staff induction • Arrangements for monitoring the effectiveness of staff induction
Evaluative quality indicators	<ul style="list-style-type: none"> • How relevant and effective are inductions for new staff? • How good is the link between induction programmes and future staff development requirements? • How well does the college: <ul style="list-style-type: none"> ○ induct current staff into new/promoted posts? ○ monitor and evaluate the effectiveness of induction programmes for staff?
Quantitative quality indicators	<ul style="list-style-type: none"> • Percentage of staff with a relevant induction within an appropriate time of appointment in these categories: <ul style="list-style-type: none"> ○ permanent FT ○ permanent PT ○ temporary • Percentage of current staff receiving induction on moving into new/promoted posts • In staff evaluations of induction, percentage ratings for each of the following categories or equivalent: <ul style="list-style-type: none"> ○ highly effective/very useful ○ effective/useful ○ not effective/not useful

Teamwork and planning for delivery of curriculum	
Scope	<ul style="list-style-type: none"> Effectiveness of staff in implementation of aims, objectives and targets
Evaluative quality indicators	<ul style="list-style-type: none"> How committed are staff / teams to the college's educational aims, objectives and targets? How well do staff take part in collaborative activity in and across teams? How positive is the impact of planning and teamwork on policy objectives?
Quantitative quality indicators	<ul style="list-style-type: none"> Not applicable

Performance review	
Scope	<ul style="list-style-type: none"> Effectiveness of arrangements for performance review or equivalent.
Evaluative quality indicators	<ul style="list-style-type: none"> How well does the college conduct annual performance review or equivalent with all staff? How well do competencies measured support the college's strategic plan? How well does the college record and monitor performance review or equivalent for the enhancement of staff skills and competences?
Quantitative quality indicators	<ul style="list-style-type: none"> Percentage of staff for whom annual performance review or equivalent takes place

Staff development	
Scope	<ul style="list-style-type: none"> Effectiveness of staff development arrangements
Evaluative quality indicators	<ul style="list-style-type: none"> How well does the college identify staff development needs as a result of performance review and other measures? How effective are arrangements for professional and vocational updating?
Quantitative quality indicators	<ul style="list-style-type: none"> Budget for staff development as percentage of total budget Percentage utilisation of staff development budget Staff development participation statistics Staff evaluation of development activities

HMIE quality framework, September 2008: for reference during the external review of Scotland's colleges

Leadership and the enhancement of the quality of college services for learners and other stakeholders***

Engagement of learners in enhancing their own learning and the work and life of the college**

Learner progress and achievement of relevant, high quality outcomes*

Learning and teaching processes*

1. Key performance outcomes

- 1.1 Achievement of educational aims, objectives and targets
- 1.2 Retention, attainment and progression trends
- 1.3 Fulfilment of statutory duties

2. Impact on learners and other users of college services

- 2.1 Accessibility, flexibility and inclusiveness
- 2.2 Relevance of programmes and services to learner needs
- 2.3 Progress, attainment and wider achievement

3. Impact on staff

- 3.1 Motivation and engagement
- 3.2 Reflection and professional discussion
- 3.3 Impact of teamwork

4. Impact on employers and communities

- 4.1 Relevance of programmes and services to the economy and to employer needs
- 4.2 Relevance of programmes and services to the needs of communities

5. Education, training and lifelong learning

- 5.1 Equality and diversity
- 5.2 The learning process
- 5.3 Teaching for effective learning
- 5.4 Context and planning for learning and teaching
- 5.5 Assessment for learning
- 5.6 Information, guidance and support
- 5.7 Enhancement through self-evaluation and internal review

6. Providing direction and facilitating change

- 6.1 Planning
- 6.2 Action to achieve aims, objectives and targets of plans
- 6.3 Managing and responding to changing environments
- 6.4 Planning for and managing change

7. Management and support of staff

- 7.1 Qualifications and experience of staff
- 7.2 Working relationships with colleagues, learners and external stakeholders
- 7.3 Recruitment, selection and retention of staff
- 7.4 Workforce planning
- 7.5 Continuing professional development and review

8. Partnerships and resources

- 8.1 Partnership working with communities, other learning providers, employers and other agencies
- 8.2 Management and use of resources and learning environments

9. Educational leadership and direction

- 9.1 Educational aims, objectives and targets
- 9.2 Leadership for learning and teaching
- 9.3 Leadership for services to support learners
- 9.4 Developing and maintaining a quality culture

* relates to the key principle of *High quality learning* and the associated confidence statements

** relates to the key principle of *Learner engagement* and the associated confidence statement

*** relates to the key principle of *Quality culture* and the associated confidence statement

QIs in **bold** are the reference quality indicators for external review.

The Netherlands' framework for *supervision**

FIRST ORDER | RISK ANALYSIS

Risk analysis framework for education and financial legitimacy of government-funded institutions		
Themes	Quality aspects	Criteria
Compliance with statutory requirements	Institution's compliance with statutory requirements	1. General statement by the board that statutory requirements are complied with.
Results	Results of organisational units	1. Drop-out rates 2. Annual result 3. Certification result 4. Results of adult education
Teaching process	Satisfaction among participants	1. Safety 2. Education 3. Examinations
Financial position	Solvency Liquidity Profitability Resistance	PM
Financial legitimacy	Government contribution: • acquisition • spending	1. Auditor's statement regarding acquisition and spending of funds received

Risk analysis framework for education provided by non-subsidised institutions		
Themes	Quality aspects	Criteria
Compliance with statutory requirements	Institution's compliance with statutory requirements	1. General statement by the board that statutory requirements are complied with.
Results	Results of organisational units	1. Qualified outflow
Teaching process	Satisfaction among participants	1. Safety 2. Education 3. Examinations

Quality framework Examination		
Themes	Standards	Criteria
Education	1. Occupational field's trust in the examination quality	1. The relevant occupational field has a positive view of the examination quality
	2. Assurance of examination expertise	1. Assurance of relevant examination expertise.
	3. Validity of the instruments	1. Content validity and applicability 2. Validity of pass mark or minimum requirements for a candidate to pass the exam
	4. Instrumental requirements	1. Information for candidates 2. Information on required exam conditions 3. Information for examiners/assessors
	5. Suitable examination processes	1. Execution of the exam 2. Judging a candidate's accomplishments 3. Certification
	6. Assurance of the integral examination processes	1. Systematic monitoring and assurance of integral examination quality
Compliance with statutory requirements	7. Compliance with statutory requirements	1. Compliance with requirements regarding: • information on examination • appeals committee for examination • examining board • public accountability

SECOND ORDER | QUALITY STUDY

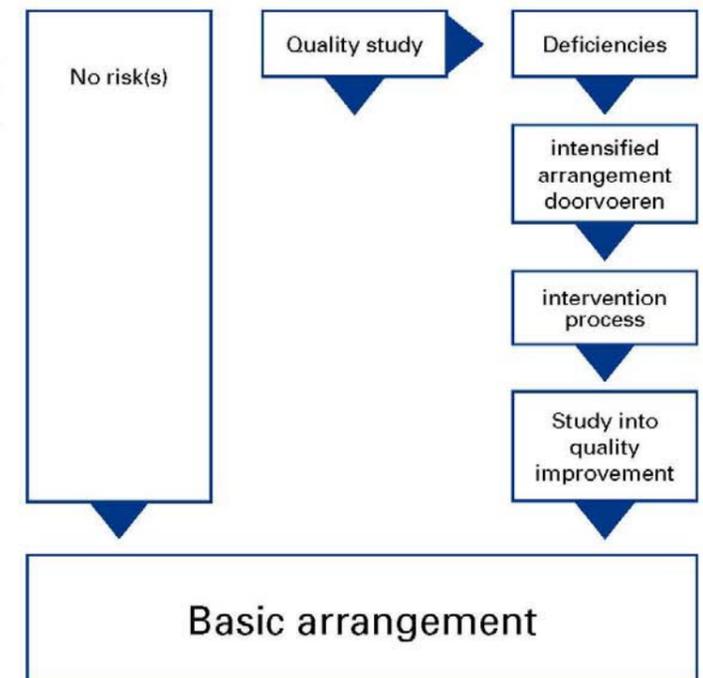
Quality framework government-funded education		
Themes	Quality aspects	Indicators/Criteria
1. Compliance	1.1 Compliance with statutory requirements	1.1.1 Compliance: • duty to provide information • training agreement • practical work agreement • drop-out reports • complaints procedures for examinations and confidential matters • BIO (Professions in Education) Act • 850 hours norm • voluntary contribution • accessibility
2. Results	2.1 Results of study programmes	2.1.1. Annual result 2.1.2 Certification result 2.1.3 (Added value)
3. Teaching process	3.1 Programme	3.1.1 Coherence* 3.1.2 Customisation* 3.1.3 Programme time 3.1.4 Facilities
	3.2 Learning process	3.2.1 Learning time* 3.2.2 Teaching strategy 3.2.3 Guidance within the institution* 3.2.4 Workplace training*
	3.3 Guidance	3.3.1 Intake 3.3.2 Educational career guidance 3.3.3 Special needs provision 3.3.4 Cooperation
	3.4 Interaction and safety	3.4.1 Treatment/interaction 3.4.2 Safety
4. Governing capacity	4.1 Quality assurance	4.1.1 Systematic quality assurance 4.1.2 Assessment

Quality framework non-subsidised education		
Themes	Quality aspects	Indicators/Criteria
1. Compliance	1.1 Compliance with statutory requirements	1.1.1 Compliance: • duty to provide information • training agreement • practical work agreement • drop-out reports • complaints procedures • 850 hours norm
2. Outcomes	2.1 Outcomes of study programmes	2.1.1 Qualified outflow
3. Teaching process	3.1 Programme	3.1.1 Coherence* 3.1.2 Customisation* 3.1.3 Programme time
	3.2 Learning process	3.2.1 Teaching strategy 3.2.2 Guidance within the institution* 3.2.3 Workplace training*
	3.3 Guidance	3.3.1 Intake 3.3.2 Information provision
	3.4 Interaction and safety	3.4.1 Treatment/interaction 3.4.2 Safety
4. Governing capacity	4.1 Quality assurance	4.1.1 Systematic quality assurance 4.1.2 Assessment

IN DEPTH CAUSES

In-depth module management and staff quality		
Themes	Quality aspects	Points for attention
1. Management	1.1 Performance	1.1.1 Clear job delineation 1.1.2 Implementation of educational philosophy 1.1.3 Management competencies
2. Staff	2.1. Staff policy	2.1.1 Coaching of new teachers 2.1.2 Competence files BIO 2.1.3 Training policy 2.1.4 Annual performance assessment and appraisal interviews
	2.2. Composition	2.2.1 Teachers' competencies geared to content and level of study programme / participants' characteristics
	2.3. Performance	2.3.3 Implementation of educational philosophy and policy 2.3.4 Guidance and treatment of participants 2.3.5 Cooperation

* Norm criteria. See paragraph 5.3 for details.



The national contexts of post-compulsory education in Scotland and the Netherlands

The Netherlands school sectors

In the Netherlands, children attend primary school for eight years, as opposed to seven years in Scotland, from ages five to 12. Secondary education begins with the *Vorbereidend Middelbaar Beroepsonderwijs* (VMBO), which is preparatory secondary vocational education, from the age of 12 to 16. From sixteen to twenty years old, learners can opt to continue their secondary education, preparing for the *Middelbaar Beroepsonderwijs* (MBO), choosing between an academic route, a vocational route, or a combination of both. The MBO is the qualification path for adult and vocational education. It comprises several progression levels and stages, providing learners with a number of exit levels over the four years. While the MBO provision is offered by schools, often the senior secondary years for these programmes are delivered by the equivalent of Scottish colleges. Hence, all colleges are referred to as schools in the Netherlands. Learners who are preparing for a university education may follow different routes in schools, although learners can articulate to university from Dutch colleges, as in Scotland.

Generally, the provision of vocational education is far more integrated into Dutch education than is the case in Scotland. There is more duplication of provision (notably the MBO) between what would be categorised as schools and colleges, than in Scotland.

The Netherlands college sector

There are 43 colleges in the Netherlands, which serve a population of 16 million people, compared to the same number of colleges in Scotland, serving a population of approximately 5 million. In addition to the 43 colleges, there are specialist institutions (for example, equivalent to Scotland's land-based colleges), as well as science and technical institutions, and universities. It is common for colleges to deliver secondary schools provision, as well as post-compulsory education. The provision of highly specialised curricula through technical institutions, or equivalent, results in a coherent provision of vocational education and training. Business education and more general subjects are provided by what are known as *community colleges*. Unlike Scotland, there is little or no duplication of curricular portfolios within specific geographical areas. Such duplication, or at least similarity, in the Scottish system sometimes results in non-viable class groups and cessation of provision. Colleges in the Netherlands, therefore, suffer less from low student numbers resulting from local duplication of provision. Individual colleges capitalise positively on their reputation for the delivery of their renowned specialism (or indeed generalism). They are well funded by the Dutch Government, with the funding allocation typically representing at least 95% of income. Therefore, they have not developed commercial arms to the extent of Scottish colleges, where SFC funding as a percentage of total income tends to be lower than in the Netherlands.

There is a very strong commitment in all Dutch colleges to provide work experience through work placement. Typically, a vocational programme would contain 1600 hours of study, of which a maximum of 850 hours would be class contact and work

placement. The remainder consists of directed study. The support given by Dutch employers to the provision of work placement contrasts significantly with the challenges that Scottish colleges experience in securing employer engagement and work placements for full-time vocational learners. Work placement elements for Dutch students account for between 20% and 60% of study time for full-time (FT) learners, although the average is nearer 40%. The number of Dutch school leavers who would fall into the *More Choices, More Chances* group is about 8 – 9%, compared to about 20% in Scotland. The Dutch government estimates that 50,000 learners between the ages of 18 and 23 years have dropped out of education. At present, colleges do not have systematic arrangements for investigating the reasons for learner drop-out. There is a strong government imperative to reduce this to a target of 35,000 learners by 2010. The proportion of full-time learners in Dutch colleges is much greater than in Scotland, with over 95% of learners attending on a FT basis.

In recent years, the Dutch government has recognised the need to improve quality assurance and improvement arrangements within colleges. Colleges are required to become more autonomous: to develop their own mission, vision and strategies; to improve accountability through good governance; and to improve retention and attainment significantly. The demands placed on Dutch colleges at this time are significant and some similarities can be drawn with the work undertaken by Scottish colleges in preparation for incorporation. Dutch colleges are now required to enhance their leadership for quality assurance and improvement. They must develop more robust arrangements for self-evaluation and planning for improvement. Since incorporation, Scotland's colleges have developed systematic arrangements for all aspects of staffing, including teaching and support staff, as well as for partnership arrangements.

Quality arrangements in Scotland and the Netherlands

Inspectie van het Onderwijs, like HMIE, conducts external review, called *supervision*, of colleges. They undertake supervision on behalf of the Dutch government, in order to improve the standard of Dutch education. Early in 2009, IvhO revised their supervision arrangements to include a stronger emphasis on continuing professional development of teaching staff (but not staff associated with support services) and learning and teaching. During a previous collaborative project, HMIE benefitted from Dutch colleagues' experience in working with a risk-based model. *Supervision* of the financial security of the institution forms a significant part of *IvhO's* analysis of risk. In Scotland's colleges, this would only be of concern to inspectors if the financial situation were impacting negatively on learners. More direct evaluation of this risk is undertaken by colleges' own internal and external auditors.

Scotland's colleges have increasingly well-developed arrangements for learner engagement. They aim to ensure that learners are engaged in enhancing their own learning, as well as the wider work and life the college. They have learner representation on most major college committees (normally sub-committees of the external *Board of Management* or *Board of Governors*). Learners are also actively engaged in the organisation of their programmes of study through colleges' *class representative* systems, through which they attend scheduled meetings with teaching and support staff to evaluate all aspects of the programme. However, these arrangements are more effective in some colleges than in others. Dutch colleges make some use of learner questionnaires in self-evaluation activities, but it is limited and unsystematic. There is no clear evidence in the Netherlands of colleges responding effectively to learner involvement through representation. Learner engagement is not a key theme or criterion in the *supervision* framework.

External quality arrangements for Scotland's colleges

The Scottish model

The Scottish model of external quality arrangements was revised in 2008, in consultation with the college sector⁷. It has three evaluative components, through which HMIE provides assurances to SFC on the quality of provision in Scotland's colleges:

- **Annual engagement visit (AEV)**, informed by pre-visit analysis (PVA)

The purpose of the pre-visit analysis is to:

- analyse publicly available data and information to create a draft agenda for the subsequent annual engagement visit; and
- identify signals of potential excellence, signals of potential risk or important aspects on which there is no, insufficient or apparently contradictory data or information.

This is a desk exercise, conducted using existing data and information.

⁷ <http://www.hmie.gov.uk/documents/publication/eqafsc..pdf>
External quality arrangements for Scotland's colleges

The purpose of the annual engagement with colleges is to:

- share the findings of the PVA with colleges;
- explore any signals of potential excellence, potential risk or important aspects on which there is no, insufficient or apparently contradictory data or information;
- support enhancement;
- inform HMIE's sectoral report to SFC; and
- underpin the proportionality, scope, depth and timing on external reviews by HMIE.

- **External review** (normally every four years)

The external review will be conducted according to the scope and depth which have been determined by the AEV signals over the preceding years. External reviews are designed to:

- evaluate colleges against the three key principles of *high quality learning, learner engagement and quality culture*;
- support and promote quality enhancement in colleges to provide the best possible experience to the learner;
- provide information to Scottish Ministers, SFC and the public on the quality of colleges and the education they provide;
- provide independent evaluation;
- complement college-led internal self-evaluation;
- contribute to strategic overview of quality across the sector for SFC; and
- identify excellence and sector-leading and innovative practice for wider dissemination.

- **Subject-based aspect report** (reviewing one subject area across a number of representative colleges in Scotland)

The purpose of subject-based aspect reports is to:

- provide a Scotland-wide perspective on the quality of learning, including the process and outcomes of learning;
- identify and disseminate excellence and sector-leading and innovative practice; and
- enhance the quality of learning and teaching.

Subject-based aspect reports are conducted in a number of different subject areas each year.

The Scottish quality framework for reference during external review

The Scottish quality framework is arranged under *three key principles*, which address four high-level questions:

High quality learning

- How well are learners progressing and achieving relevant, high quality outcomes?
- How effective are the college's learning and teaching processes?

Learner engagement

- How well are learners engaged in enhancing their own learning and the work and life of the college?

Quality culture

- How well is the college led and how well is it enhancing the quality of its services for learners and other stakeholders?

These high-level questions are answered through the application of *reference quality indicators*. In a standard external review, 17 of the 33 QIs are used. However, additional QIs may be included in the review, should inspectors identify potential risk through previous AEVs. HMIE no longer grades each element of the review framework. The evaluative findings for each element contribute to *confidence statements*, each of which expresses confidence (or otherwise) in response to the four high-level questions. For example,

HMIE is confident/has limited confidence/is not confident that:

- *the college has in place high quality learning and teaching processes;*
- *learners are progressing well and achieving relevant high quality outcomes;*
- *learners are actively engaged in enhancing their own learning and the work and life of the college; and*
- *the college is led well and is enhancing the quality of its services for learners and other stakeholders.*

Review (*supervision*) of Dutch colleges

The Dutch model

The Dutch model is predicated on the identification of risk. In this deficit model, *IvhO* does not identify or disseminate excellent practice. This contrasts greatly with the Scottish approach, through which HMIE seeks to identify excellence and *sector-leading and innovative practice (SLIP)* at all stages of the review model, including annual engagement. The model has three stages:

- **First order risk analysis**

Although broadly comparable to the *pre-visit analysis* and *annual engagement* stages of the arrangements for external review of Scotland's colleges, the scope of this stage is wider and deeper than that undertaken by HMIE. The themes and criteria considered in this stage are detailed in Appendix 4, (page 34). If no significant risks are identified, *IvhO* will proceed to the *basic arrangement* stage of *supervision*. This, in effect, is the *minimum core* of themes and criteria that would be included in *supervision* of a college with no identified risks. This equates, in the principle of the model, although not in the content of the framework, to the 17 reference QIs in the external review arrangements for Scotland's colleges.

- **Second order quality study**

Where risks have been identified, *IvhO* undertakes a *quality study*, which would be conducted in the college. This is an in-depth investigation into the aspect/area identified as a risk in the first stage. As well as an aspect of the framework, such as attainment, this stage of Dutch model allows investigation into a poorly performing teaching department (*unit*). If the outcome of the *quality study* is satisfactory, *IvhO* would proceed to the *basic arrangement* stage of supervision. However, where further issues are identified during the quality study, further proportionate investigations are undertaken before progression to *basic arrangement*.

The Dutch framework

Inspectie van het Onderwijs reviews government-funded and non-subsidised institutions. In the *supervision* of government-funded institutions, the following *themes* (equivalent to Scotland's QIs) are investigated during *first order risk analysis*:

Risk analysis framework for education and financial legitimacy of government-funded institutions	
Themes	Quality aspects
Compliance with statutory requirements*	The institution's compliance with statutory requirements
Results (equivalent to Scotland's attainment PIs)	Results of organisational units (teaching departments)
Teaching process	Satisfaction among participants
Financial position	Solvency, liquidity, profitability, resistance
Financial legitimacy	Government contribution: acquisition, spending
Quality framework examinations	
Themes	Standards
Education	Occupational field's trust in the examination quality
	Assurance of examination expertise
	Validity of instruments
	Instrumental requirements (refers to information for candidates and examiners)
	Suitable examination process
	Quality assurance of examination processes
Compliance with statutory requirements*	Compliance with statutory requirements

Extract from Inspectie van het Onderwijs supervioion framework, pertaining to first order risk analysis

*The legislative obligation on Dutch colleges is different from that applicable to Scotland's colleges and includes legislation on professional standards of teaching staff.

Inspectie van het Onderwijs does not routinely review learning and teaching, as HMIE does through element five of the quality framework. There is some *supervision* of learner satisfaction as a tool for evaluating learning and teaching (see table above), and some of examination (assessment). *Supervision* of the *teaching process* is undertaken only as part of a *quality study*, if a risk has been identified. In the *quality study* stage of the model which pertains to the teaching process, the framework considers the following:

Quality framework for education and financial legitimacy of government-funded institutions		
Teaching process	Programme	Coherence Customisation Programme time Facilities
	Learning process	Learning time Teaching strategy Guidance within institution Workplace training
	Guidance	Intake Educational career Guidance Special needs provision Co-operation
	Interaction and safety	Treatment/interaction safety

Extract from *Inspectie van het Onderwijs supervision framework, 2009*, pertaining to learning and teaching

The following themes are reviewed by *IvhO* in order to assure compliance with The Netherlands' recent statutory requirements for staffing (see section 5.3.1 below), where further diagnosis is required:

In depth module: quality of management and staff	
Themes	Quality aspects
Management	Performance
Staff	Staff policy
	Composition
	Performance

Extract from *Inspectie van het Onderwijs supervision framework, 2009*, pertaining to learning and teaching

5.3 The concepts of Scottish review and Dutch *supervision* of college staffing

The quality framework for external review of Scotland's colleges does not routinely include QIs that evaluate college staffing directly. However, these QIs (from elements three and seven) will be included if analyses during the AEV processes have signalled potential risk. Other important aspects of staffing, such as: the quality of teaching and assessment; the effectiveness of self-evaluation by teaching staff; and leadership for learning and teaching, are reviewed routinely through element nine *Educational leadership and direction* and element five *Education, training and lifelong learning*.

In the previous quality framework for review of Scotland's colleges, HMIE evaluated the quality element 'staff' in every college. Generally, Scotland's colleges achieved

positive grades, with the distribution for the 2005–2008 review cycle being as follows:

Very good	Good	Fair	Unsatisfactory
40%	50%	10%	0%

Very good – major strengths

Good – strengths outweigh weaknesses

Fair – some important weaknesses

Unsatisfactory – major weaknesses

Overall, HMIE found continuing improvement in leadership and arrangements for teaching and support staff during the review cycle 2005–2008.

Traditionally, *IvhO* has not reviewed staffing in Dutch colleges. However, recent government concerns about learners' poor retention and attainment rates (referred to as *results*), as well as the quality of teaching in colleges, has led to a government drive to improve the performance, training and development, and review of all teaching staff. The government has instructed *IvhO* to include this quality assurance and improvement within their *supervision activities*. (There is no equivalent drive to improve the performance of support staff in Dutch colleges and they currently remain outwith the scope of *supervision*).

Such was the scale and significance of the issue nationally, that the government passed the *Wet Beroepen In Onderwijs Act* (Education Act or the Act on Professions) in August 2006, with implementation in 2007, to ensure improvements in staff performance at all levels. Amongst other aspects, the *Wet Beroepen In Onderwijs (Wet BIO)* sets out national competences, which teachers must meet.

Wet Beroepen In Onderwijs (Wet BIO) Act (Education Act or the Act on Professions)

The Dutch government identified that the main reason for such poor retention and attainment in schools and colleges, nationally, was the quality of teaching. *Wet BIO* introduced a set of seven national, core competences to ensure a minimum standard of quality and competence in teaching staff. As well as the legal obligation to meet the core competences, *Wet BIO* requires colleges to put in place a range of cultural, structural and reporting aspects in order to enable staff to achieve these competences. To do this, colleges, to differing degrees, have had to implement strategies, policies and changes – from strategic to operational levels – that staff in Scotland's colleges would consider to be second-nature. As a result, the learning curve and the journey for Dutch colleges have been complex and challenging, and some cases, daunting.

The seven national competence areas of *Wet BIO* are:

- interpersonal skills (in leadership, in teaching teams and with learners);
- pedagogic competence;
- professional competence;
- organisational skills;
- teamworking skills;

- communication skills (with external stakeholders, including employers, parents, other institutions); and
- skills of reflection and development (including responsibility for own CPD and continuing professional standards).

As well as attempting to raise the minimum standard of teaching staff, *Wet BIO* has been introduced to address the problem of teaching staff absence in Dutch colleges. To date, colleges have not operated absence management policies, or equivalent, and there has been no diagnostic exercises sector-wide or within colleges to

establish the cause of such high absence rates. Reasons are anecdotal within colleges and therefore measures to obviate this significant problem have not been introduced.

Already, *Ivho* is finding a range of progress across the 43 colleges. A few are making good progress, but almost all have made slow progress to date. This is attributable to the scale of the challenge before them. Most colleges have had to formally develop missions and visions, formulate meaningful strategic and operational plans, and align resources and activities to strategic and operational aims. For many, this has necessitated a major change in the college's culture and, with *Wet BIO* being implemented only two years ago, it is not surprising that some continue to struggle. Those who have made good progress are now at the stage of implementing or piloting systems for performance review, measuring staff's performance against the seven competences. They have made progress in aligning the results of performance review to CPD. However, progress has been slower in aligning curricular portfolios to strategic vision, an issue with which Scotland's colleges wrestled during the post-incorporation period. Developing cohesion between strategic direction, staffing, resources for learning and teaching remains challenging and inchoate. Cases of good progress are attributable to visionary leadership of principals and senior managers. Often, these colleges have developed their own supplementary set of competences to support those of *Wet BIO*. *Wet BIO* also requires colleges to produce an action plan detailing how they will fulfil these legal obligations, as well as mechanisms for reporting progress to *Ivho*.

Dutch colleges which have progressed well describe the main challenges as:

- how to measure competence or how to know when a teacher is competent?;
- how to align this with the culture of the college or how to work towards a new culture; and
- how to report effectively on progress?

Professional standards for lecturers in Scotland's colleges

In Scotland, in November 2002, the then Minister for Enterprise, Transport and Learning announced a full-scale review of the occupational standards for college lecturers. The main aims of this review were to expand provision for continuing professional development and update the content of the standards in light of recent developments in the policy, legislative, and learning and teaching contexts. The review began with a large scale consultation exercise with the college sector and other stakeholders in 2003. Following the analysis of responses to this exercise,

a set of five working groups - comprising a mix of practitioners and experts from the college sector and beyond - was set up to revise the occupational standards in terms of the areas of priority that the consultation exercise had identified. This work culminated in June 2006 with the publication of the *Professional Standards for Lecturers in Scotland's Colleges*,⁸ which replaced existing guidelines as the key

source of information on all matters pertaining to the professional training of college lecturers in Scotland. The standards include:

- **Standards for initial teacher training/education**
 - guidance and support;
 - planning and preparing the learning experience;
 - teaching/facilitating learning;
 - assessment;
 - quality and standards; and
 - professional practice and development.

- **Standards for continuing professional development**
 - managing an inclusive learning environment;
 - promoting good relations between people of different racial and ethnic groups;
 - promoting learning and equality for people with disabilities;
 - managing and leading a curricular team;
 - teaching children and young people; and
 - the use of information and communications technology for learning and teaching.

⁸ <http://www.fepdfscotland.co.uk/documents/Professional%20Standards%20for%20Lecturers.pdf>
Professional standards for lecturers in Scotland's Colleges

Participating colleges

HMIE and *Ivho* wish to thank the following colleges which took part in this task

Colleges visited by Scottish and Dutch inspectors:

Clydebank College, Scotland
Reid Kerr College, Scotland
Eindhoven School, Eindhoven, NL
MBO Hout en Meubileringscollege, Rotterdam, NL

Colleges who returned statistical information:

Aberdeen College
Angus College
Anniesland College
Ayr College
Banff and Buchan College
Barony College
Borders College
Cardonald College
Carnegie College
Dumfries and Galloway College
Dundee College
Edinburgh's Telford College
Elmwood College
Forth Valley College
Glasgow College of Nautical Studies
Glasgow Metropolitan College
James Watt College of Further and Higher Education
Langside College
Moray College
Motherwell College
Perth College
South Lanarkshire College
Stevenson College, Edinburgh
West Lothian College
Eindhoven School, Eindhoven, NL
MBO Hout en Meubileringscollege, Rotterdam, NL