

**Post School Education and Training**

**Quality Audit**

**Self Evaluation Form**

***Name of Provider: ............................................................................................***

***Name of Programmes: ............................................................................................***

**QA-Audit**

**SQA Quality Audit Self Evaluation Form**

When completing this form, ensure that all the documents you refer to are either enclosed with your submission, hyperlinked[[1]](#footnote-1), or can be made available to the SQA Audit Team when they visit your organisation. Where verbal evidence is available from students, staff, industry, community groups, etc, please indicate this.

| **Element** | **SQA Audit Standard** | **Evidence/Evaluation Guide Questions** | **Answers to questions and evidence** (documents and/or other information)  **that shows that your programme meets the SQA Standard** | **Standard**  **met?**  (yes/no) |
| --- | --- | --- | --- | --- |
| **1. Organ-isation** | The provider is an enduring legally recognised body with an appropriate name, measureable goals and objectives for the delivery of education and training, and effective governance and management systems to enable the ongoing achievement of its goals and objectives, including self evaluation, review and/or internal quality audit processes | 1. The provider and its governing body is legally established and recognized enduring body[[2]](#footnote-2) |  |  |
| 1. The provider’s educational purpose, goals and objectives are clear | * *Example of evidence: Strategic, Corporate or Annual Plan* |
| 1. The provider has clear performance indicators to measure and monitor the achievement of its goals and objectives | * *Example of evidence: Annual report stating number of graduated students, students finding employment, students retention rate* |
| 1. The provider has a process to ensure that its policies and procedures (quality management system) is being applied in all departments and across all sites | * *Example of evidence: Quarterly monitoring reports or qualiterly review of annual plans, annual reports, internal audit report, self evaluation report* |
| 1. The provider has clear organisational structure of the provider, roles, responsibilities, authorities, lines of reporting and accountabilities of each member of staff.. | * *Example of evidence: Organizational structure* |
| 1. The provider has process(es) to collect feedback from learners, clients, funders and other stakeholders to confirm its effectiveness and further improve its education and training. | * *Example of evidence: Student course review, tracer studies, survey of graduates employers* |
| 1. The provider use self evaluation, review and/or internal audit processes to identify areas for improvement, which are actioned | * *Example of evidence: Quarterly review report, annual report, self review report* |
| 1. The provider use the results of its performance management activities to update its goals, objectives and performance indicators | * *Example of evidence: Strategic, Corporate or Annual Plan, Annual and self review reports* |
| 1. The provider collects information on how well learners achieve and, how learners, graduates and other stakeholders benefit from the programmes | * *Example of evidence: Student course review, tracer studies, survey of graduates employers* |
| **2. Programme development and review** | The provider adequately and appropriately designs, develops and reviews its education and training qualifications, programmes and courses | 1. The purpose, title, structure, outcome statement, credit requirement and SQF level designation of selected qualification(s) are appropriate. | * *Example of evidence: programme document that covers all SQF criteria (see Appendix C)* |  |
| 1. The provider has processes for programme development, approval and review |  |
| 1. All programmes have clearly stated learning outcomes, content and modes of delivery of their components (courses, modules, papers, etc)? |  |
| 1. All programmes have programme length, entry and requirements |  |
| 1. All programmes have considered and accommodated the requirements of industry, professional, technical, quality and/or community groups. |  |

**SQA Quality Audit Self Evaluation Form** *(continued)*

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| --- | --- | --- | --- | --- |
| **3. Programme delivery** | The provider defines and implements effective teaching and learning practices that are educationally sound and appropriate to the programme of study and mode of delivery | 1. All programmes have specified modes of delivery, including off-site practical or work based elements and on-line learning |  |  |
| 1. All programmes have teaching and learning approaches that are relevant to the nature of the programmes, the learning outcomes, the modes of delivery and the learners | * *Example of evidence: teaching and learning materials* |
| 1. How have the learning needs of the students been met? | * *Example of evidence: student interviews* |
| 1. Practical, field-based or work-based components which are based away from the delivery site are integrated into the programme |  |
| 1. Processes are being used for the monitoring and evaluation of programme delivery, including student evaluation of teaching |  |
| 1. The delivery methods do not place learners, teaching staff or the public at emotional or physical risk |  |  |

| **Element** | **SQA Audit Standard** | **Evidence/Evaluation Guide Questions** | **Answers to questions and evidence** (documents and/or other information)  **that shows that your programme meets the SQA Standard** | **Standard**  **met?**  (yes/no) |
| --- | --- | --- | --- | --- |
| **4. Assessment and moderation** | The provider has fair, valid and effective systems for assessing learners against the programme outcomes  3 | *What does the organisation do to ensure that, for each programme:* |  |  |
| 1. Assessment methodology and planning is appropriate to the learning outcomes of each course within the programme | * *Example of evidence: assessment regulations* |
| 1. Required standards for assessment are observed in all courses within the programmes:  * Criteria for awarding merit, distinction and other grades * Procedures for reassessments and appeals of assessment results * Processes for credit transfer, recognition of prior learning and recognition of current competency (where appropriate) * How learners are informed of the above |  |
| 1. Learners are provided with fair and regular feedback on their progress |  |
| 1. Assessment materials and judgements are internally moderated to ensure they are fair,valid and consistent, given the stated learning outcomes   External moderation requirements are complied with, where necessary  Student work is adequately stored to meet moderation, reassessments and learner appeals requirements |  |

**SQA Quality Audit Self Evaluation Form** *(continued)*

| **Element** | **SQA Audit Standard** | **Evidence/Evaluation Guide Questions** | **Answers to questions and evidence** (documents and/or other information)  **that shows that your programme meets the SQA Standard** | **Standard**  **met?**  (yes/no) |
| --- | --- | --- | --- | --- |
| **5. Reporting learner achievement** | The provider adequately and appropriately reports learner achievement | *What does the organisation do to:* |  |  |
| 1. Accurately and promptly record and report each programme’s learner achievement | * *Example of evidence: examination committee minutes* |
| 1. Hold each programme’s achievement records securely and ensure that that they are accessible to individual learners |  |
| 1. Ensure feedback to programme learners is regular, understood, relates to current levels of achievement and supports the learning process |  |
| 1. Ensure completing learners have met all the requirements for the award of the qualification   Are the systems stated in a-d are adequate to record and report learner achievement? |  |

**SQA Quality Audit Self Evaluation Form** *(continued)*

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| --- | --- | --- | --- | --- |
| **6. Financial resources** | The provider allocates adequate financial resources to achieve the outcomes of its education and training programmes | 1. The provider has funds to deliver its programmes.   The requirements of funding organizations are met (where relevant). |  |  |
| 1. Financial management practices are used, for example for the control and approval of expenditure.   Financial management practices processes used are of acceptable standards |  |
| 1. All programmes have budgets for their financial requirements   There is sufficient financial resources committed to deliver all programmes | * *Example of evidence: annual business plans and budgets* |
| 1. Student fees protected, so that they can be refunded if necessary |  |

**SQA Quality Audit Self Evaluation Form** *(continued)*

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| --- | --- | --- | --- | --- |
| **7. Physical and learning resources** | The provider has adequate and appropriate physical and learning resources to support the delivery of its education and training programmes | 1. The physical resource requirements of each programme are clearly defined:  * premises * teaching facilities * equipment, and * other learning resources | * *Example of evidence: organisation’s annual plan and budget* |  |
| 1. The physical resource requirements (including those stated above) are adequate and appropriate for the delivery of the programmes. |  |
| 1. How does the organisation ensure that the buildings and equipment have met appropriate levels of health, safety and comfort including for example:  * meeting building requirements * safety equipment * safety zones around power equipment * safety zones identified for natural disasters such as earthquake, tsunami, etc… |  |
| 1. How does the organisation ensure that learners, including those with special needs, will have adequate access to facilities and physical resources to complete their programmes (where relevant)? |  |

**SQA Quality Audit Self Evaluation Form** *(continued)*

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| --- | --- | --- | --- | --- |
| **8. Personnel** | The provider recruits, manages and develops its people to enable quality delivery of its education and training programmes | 1. How have appropriate skills[[3]](#footnote-3), experience, subject knowledge and qualifications of staff been defined?   Is the teacher-student ratio appropriate for each course of the programme? | * *Example of evidence: person specifications for tutors/lecturers* |  |
| 1. What experience, relevant expertise and expertise in teaching do teaching staff have? |  |
| 1. How have teaching staff for all programmes been recruited, appraised, supported and provided with relevant staff development? | * *Example of evidence: staff interviews* |
| 1. What evidence is available that staff conditions of employment are fair and that the provider is complying with the provisions of current employment legislation, including the Labour and Employment (Labour and Employment Act 2013 |  |

**SQA Quality Audit Self Evaluation Form** *(continued)*

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| --- | --- | --- | --- | --- |
| **9. Learner information, entry and support** | Adequate and relevant information, entry and support services are provided to learners | *Information (including publicity material) is available for all programmes about the following:* | (See explanatory endnote) |  |
| * Programmes, courses and qualifications | * *Example of evidence: programme brochure or information leaflet* |
| * Student recruitment and enrolment |  |
| * Entry and selection criteria |  |
| * Pastoral care, welfare and student support services (including for those with special needs) |  |
| * Rules and regulations |  |
| * Total costs for enrolment and pursuing each course of study |  |
| * Withdrawal and refunds |  |
| * Opportunities to provide feedback for improvement |  |
| * Disciplinary procedures |  |
| * Complaint procedures |  |
| * Assessment and reassessment procedures |  |
| * Procedures for appealing quality results |  |
| * Procedures for recognition of prior learning or current competency *(where appropriate)* |  |
| * Student fee protection arrangements *(see 6 (d)* |  |
| * Health and safety requirements? |  |

**SQA Quality Audit Self Evaluation Form** *(continued)*

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| --- | --- | --- | --- | --- |
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| **10. Research** | Adequate and appropriate research is conducted to meet the requirements of degree and postgraduate qualifications and programmes | *How does the organisation ensure that:* | * *Example of evidence: research plan* |  |
| 1. Teaching staff involved in a degree and/or postgraduate programmes are/will be engaged in research activities within their areas of expertise |  |  |
| 1. Research activities are/will be conducted in accordance with recognized ethical and cultural standards and are open to peer and public scrutiny |  |  |
| 1. Adequate and appropriate research facilities and time are/will be provided to enable staff and students to undertake relevant research |  |  |

**Explanatory endnote:**

* *Total Costs of Enrolment:* The information provided to all learners before enrolment should include the full cost of tuition and all other course-related costs that may be incurred during the course of study.
* *Withdrawal and Refunds Policies and Procedures:* These must cover withdrawal by a learner prior to and after each programme has started; and cancellation by the provider of a programme before or after it has started.
* *Student Fee Protection:* The information provided to learners must state the arrangements in place for student fee protection, before and after each programme has started *(see Criteria 4.1)*.
* *Recruitment and Enrolment Information:* Enrolment information provided to prospective learners must be clear, complete and accurate. Learners should be informed in writing of the outcome of their application and, if accepted, be given clear and accurate information about start dates, times, venues and contact details.
* *Pastoral Care, Welfare and Learner Support Services:* Learners must be provided with information about welfare and support services both within and outside the provider. The services should include quality support as well as support for personal issues that may impact on the learner’s ability to learn and complete their study.
* *Health and Safety Requirements:* Information about the provider’s policies and procedures for health and safety.
* *Rules and Regulations:* Copies of the provider’s rules and regulations must be available to students. They should include regulations relating to individual programmes, if these are different from the overall regulations.
* *Disciplinary Procedures:* Information about disciplinary procedures must clearly describe behaviour that would lead to formal disciplinary procedures being used and should make the distinction between serious and minor misconduct. Information should describe the steps taken when the discipline procedures are implemented.
* *Complaints Procedures:* The provider’s internal complaints procedures must be available in writing and made known to students. They should include details of what the learners should do if they wish to make a formal complaint and how the provider will respond and process the complaint.
* *Reassessment:* Procedures for reassessment should be provided to learners. Procedures for reassessment should be clear, detailed and unambiguous to ensure that all learners are treated the same.
* *Appeals of Assessment Results:* Information about appeal procedures must clearly describe the process learners will follow if they wish to lodge a formal appeal about their results. Appeals of assessment results procedures should be different from those for reassessment or for lodging complaints about other matters, and may require independent input to ensure objectivity and lack of bias.
* *Publicity Material:* All publicity material must provide a true and accurate representation of the organisation and the programmes and courses it offers. Information about progamme accreditation must be accurate.
* *Cross-Crediting and Credit Transfer:* Information regarding cross-crediting or entry to other organisations must be clear and accurate.

1. For hyperlinked evidence, ensure that they can be accessed externally [↑](#footnote-ref-1)
2. Alternativelythe Provider Registration Checklist can be used as a guide for evaluation of Element 1 [↑](#footnote-ref-2)
3. For example: teaching, assessment, reporting, research, management, administration [↑](#footnote-ref-3)