

**A3ES**

Agência de Avaliação  
e Acreditação  
do Ensino Superior

## **AUDITING INTERNAL QUALITY ASSURANCE SYSTEMS**

### **GUIDELINES FOR SELF-ASSESSMENT**

## DESCRIPTIVE ITEMS

### 1. SCOPE OF THE AUDIT

1.1 The institution wishes the auditing of the internal quality assurance system for:

The overall institution:

A Basic Unit:

Which Unit?

### 2. BRIEF CHARACTERIZATION OF THE INSTITUTION

Note: If only a basic unit is to be audited, the information to be included in sections 2.1 to 2.9 will concern the basic unit and not the institution as a whole. In particular, section 2.2 will deal with the subunits of the basic unit.

2.1. Higher education institution:

2.2. Basic units/subunits

2.2.1 Number of units/subunits:

2.2.2 List and characterization of units/subunits:

UNIT/SUBUNIT	STUDY CYCLES (nº)				STUDENTS				ACADEMIC STAFF (FTE)		
	1 <sup>st</sup> Cycle	2 <sup>nd</sup> Cycle	I.M.	3 <sup>rd</sup> Cycle	1 <sup>st</sup> Cycle	2 <sup>nd</sup> Cycle	I.M.	3 <sup>rd</sup> Cycle	Ph.D.	Specialists	Other

2.3. Research Centres

2.3.1 Number of Research Centres:

2.3.2 List and characterization of Research Centres:

RESEARCH CENTRES	Researchers (EFTE)*			Rating FCT
	Ph.D.	Ph.D. students	Other	

\* EFTE – Eligible as Full Time Equivalent, in the terms defined by FCT.

**2.4. Number of students:**

1st Cycle:

2nd Cycle:

Int. Master:

3rd Cycle:

Daytime working regime:

After working hours:

Distance learning:

**2.5. Teaching staff (FTE):**

With a Ph.D.:

Specialists:  *(in the case of polytechnic education)*

Other:

**2.6. Researchers *(with contract, post-doc, grant holders, ..., other than the teaching staff)***

With a Ph.D.:

Ph.D. students:

Other:

**2.7. Non-teaching staff**

With higher education qualifications:

With secondary education qualifications:

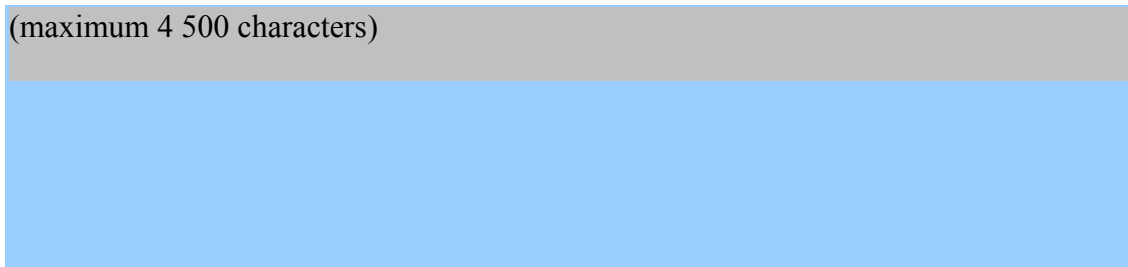
Other:

**2.8. Support Services**

List of Support Services

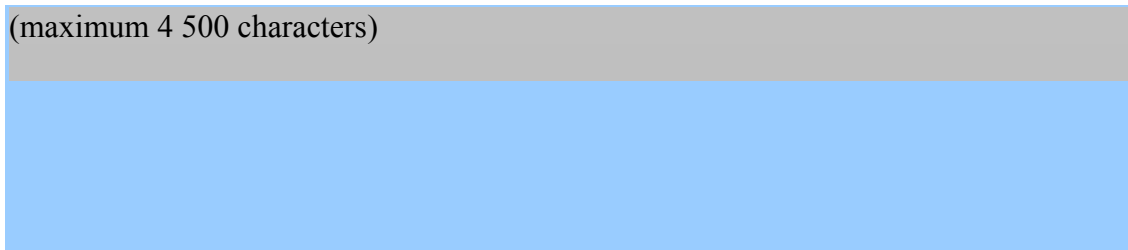
**2.9. Other elements that the institution (or basic unit, if applicable) wishes to point out:**

(maximum 4 500 characters)



**3. BRIEF HISTORICAL NOTE ON THE DEVELOPMENT OF MECHANISMS FOR INTERNAL QUALITY ASSURANCE WITHIN THE INSTITUTION**

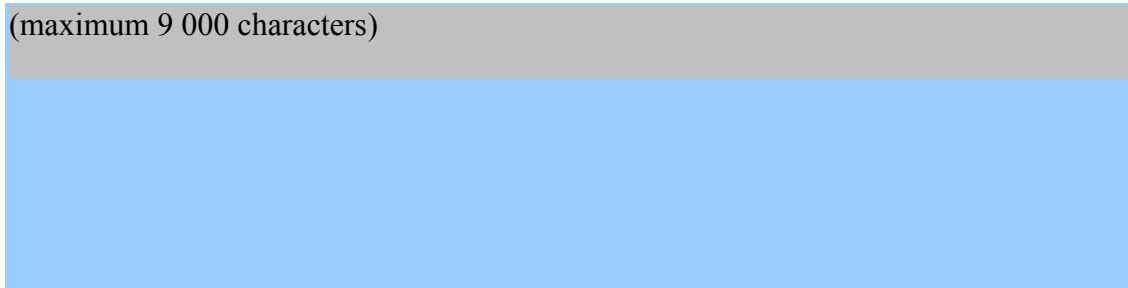
(maximum 4 500 characters)



**4. BRIEF DESCRIPTION OF THE QUALITY ASSURANCE SYSTEM**

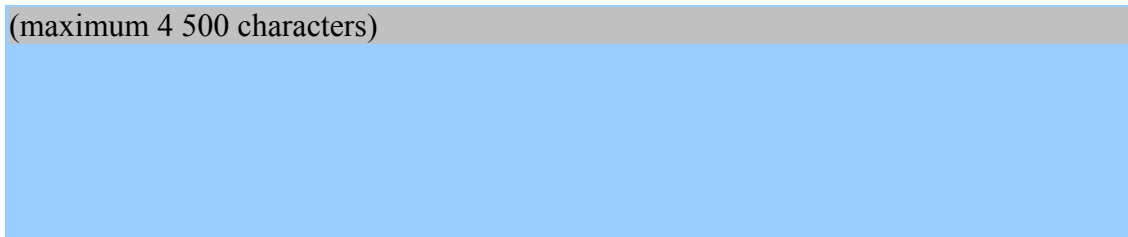
*The institution should include, as Annex I, the quality manual or an equivalent document on its institutional policy for quality.*

(maximum 9 000 characters)



**5. BRIEF CHARACTERISATION OF THE ORGANIC STRUCTURE OF THE INSTITUTION AND OF ITS INTERCONNECTION WITH THE SYSTEM OF QUALITY ASSURANCE**

(maximum 4 500 characters)



## ANALYTICAL ITEMS

### 1. SELF-ASSESSMENT OF THE DEGREE OF DEVELOPMENT OF THE INTERNAL QUALITY ASSURANCE SYSTEM

*In this section, the institution is invited to present a self-assessment of the degree of development of its internal quality assurance system for each of the target areas, making use of the 4-level scale defined in the Manual for the Audit Process.*

*In its analysis, the institution should take into consideration the criteria matrix and the reference points included in the Manual for the Auditing Process, as well as the provisions in Law 38/2007 (Juridical Regime for the Assessment of Higher Education), namely the parameters for quality assessment stated in article 4 of the aforementioned law.*

*The self-assessment should be based on evidence and examples, chosen by the institution, that substantiate the performance of the system.*

*The institution may include, as annexes, documents related to the evidence and examples.*

#### 1.1 Definition and documentation of the institutional policy for quality (*objectives, functions, actors and levels of responsibility within the internal quality assurance system*)

Perceived degree of development:

Insufficient -

Partial -

Substantial -

Very advanced -

Grounding (*evidence and examples*):

(maximum 4 500 characters)

#### 1.2 Scope and effectiveness of the procedures and structures for quality assurance

##### 1.2.1 In teaching and learning

Perceived degree of development:

Insufficient -

Partial -

Substantial -

Very advanced -

Grounding (*evidence and examples*):

(maximum 9 000 characters)

### 1.2.2 In research and development / targeted research and high level professional development

Perceived degree of development:

Insufficient -       Partial -       Substantial -       Very advanced -

Grounding (*evidence and examples*):

(maximum 4 500 characters)

### 1.2.3 In the interaction with society

Perceived degree of development:

Insufficient -       Partial -       Substantial -       Very advanced -

Grounding (*evidence and examples*):

(maximum 4 500 characters)

### 1.2.4 In the policies for staff management

Perceived degree of development:

Insufficient -       Partial -       Substantial -       Very advanced -

Grounding (*evidence and examples*):

(maximum 4 500 characters)

### 1.2.5 In the Support Services

Perceived degree of development:

Insufficient -

Partial -

Substantial -

Very advanced -

Grounding (*evidence and examples*):

(maximum 4 500 characters)

### 1.2.6 In internationalisation

Perceived degree of development:

Insufficient -

Partial -

Substantial -

Very advanced -

Grounding (*evidence and examples*):

(maximum 4 500 characters)

### 1.3 The relationship between the quality assurance system and the governance and management bodies of the institution

Perceived degree of development:

Insufficient -

Partial -

Substantial -

Very advanced -

Grounding (*evidence and examples*):

(maximum 4 500 characters)

**1.4 The participation of internal and external stakeholders in the quality assurance processes**

**Perceived degree of development:**

Insufficient -       Partial -       Substantial -       Very advanced -

**Grounding (*evidence and examples*):**

(maximum 4 500 characters)

**1.5 The information system (*mechanisms for the collection, analysis and internal dissemination of information; scope and relevance of gathered information*)**

**Perceived degree of development:**

Insufficient -       Partial -       Substantial -       Very advanced -

**Grounding (*evidence and examples*):**

(maximum 4 500 characters)

**1.6 Publication of information relevant to external stakeholders**

**Perceived degree of development:**

Insufficient -       Partial -       Substantial -       Very advanced -

**Grounding (*evidence and examples*):**

(maximum 4 500 characters)



**1.7 Monitoring, evaluation and continuous improvement of the internal quality assurance system**

**Perceived degree of development:**

Insufficient -       Partial -       Substantial -       Very advanced -

**Grounding (*evidence and examples*):**

(maximum 4 500 characters)

**1.8 The internal quality assurance system, taken as a whole**

**Perceived degree of development:**

Insufficient -       Partial -       Substantial -       Very advanced -

**Grounding (*evidence and examples*):**

(maximum 9 000 characters)

## 2 – SWOT ANALYSIS OF THE INTERNAL QUALITY ASSURANCE SYSTEM

*In this section, the institution (or basic unit) is invited to present a brief critical analysis of the perceived strengths, weaknesses, opportunities and threats of its internal quality assurance system.*

### 2.1 Strengths

(maximum 3 000 characters)



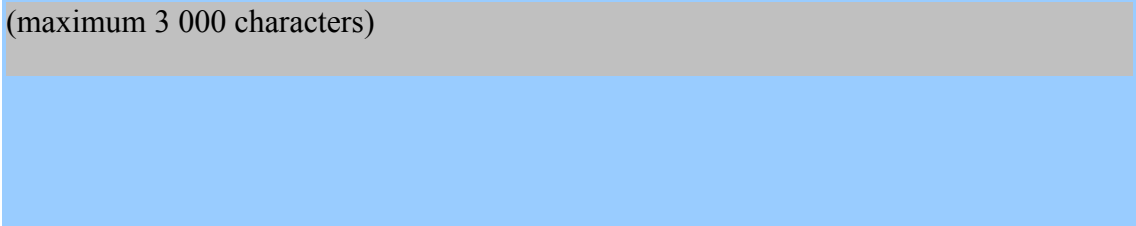
### 2.2 Weaknesses

(maximum 3 000 characters)



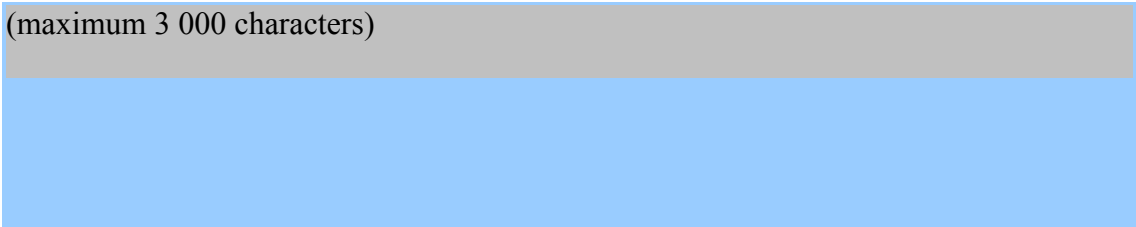
### 2.3 Opportunities

(maximum 3 000 characters)



### 2.4 Threats

(maximum 3 000 characters)



### 3 – SYNTHESIS OF ASPECTS SIGNALLED FOR IMPROVEMENT

*In this section, the institution is invited to present a synthesis of aspects that were identified for improvement of the internal quality assurance within each target area as a consequence of meta-assessment procedures, and the consequent improvement measures already implemented or under way.*

#### 3.1 Definition and documentation of the institutional policy for quality (*objectives, functions, actors and levels of responsibility within the internal quality assurance system*)

(maximum 3 000 characters)

#### 3.2 Scope and effectiveness of the procedures and structures for quality assurance

##### 3.2.1 In teaching and learning

(maximum 3 000 characters)

##### 3.2.2 In research and development / targeted research and high level professional development

(maximum 3 000 characters)

##### 3.2.3 In the interaction with society

(maximum 3 000 characters)

### **3.2.4 In the policies for staff management**

(maximum 3 000 characters)

### **3.2.5 In the Support Services**

(maximum 3 000 characters)

### **3.2.6 In internationalisation**

(maximum 3 000 characters)

## **3.3 The relationship between the quality assurance system and the governance and management bodies of the institution**

(maximum 3 000 characters)

## **3.4 Participation of internal and external stakeholders in the quality assurance processes**

(maximum 3 000 characters)

**3.5 The information system (*mechanisms for the collection, analysis and internal dissemination of information; scope and relevance of gathered information*)**

(maximum 3 000 characters)

**3.6 Publication of information relevant to external stakeholders**

(maximum 3 000 characters)

**3.7 Monitoring, evaluation and continuous improvement of the internal quality assurance system**

(maximum 3 000 characters)

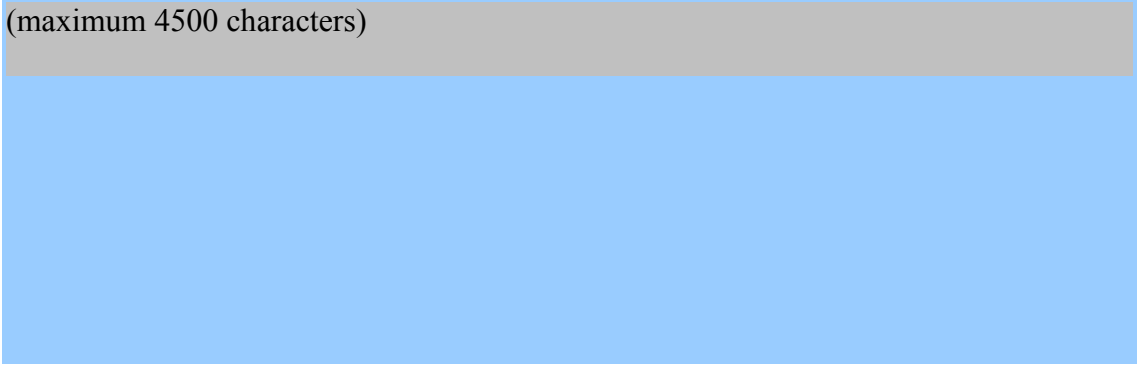
**3.8 The internal quality assurance system, taken as a whole**

(maximum 3 000 characters)

#### **4 – SUMMARY OF ASPECTS IDENTIFIED FOR IMPROVEMENT OF THE INSTITUTION**

*In this section, the institution is invited to present a synthesis of aspects that, as a consequence of the internal quality assurance procedures, were identified for improvement of the institution's activities and results, and the corresponding improvement measures already implemented or under way.*

(maximum 4500 characters)



#### **5 – OBSERVATIONS (*Comments, observations or clarifications on any item of the guidelines*)**

(maximum 9 000 characters)



## 6 – ANNEXES

*In this section, the institution (or basic unit, if applicable) is invited to present any additional information it considers to be relevant to the audit process. The annex in 6.1 is compulsory.*

**6.1. Quality Manual or an equivalent document on the institutional policy for quality, which clearly identifies the institutional strategy for quality and the way it develops into an internal quality assurance system (including the procedures involved).**

**Annex PDF file – Portuguese version**

**Annex PDF file – English version**

### 6.2. Other annexes

The institution may include other PDF files with relevant information as annexes, up to 50 files of up to 4 Megabytes each. These documents may be presented in either Portuguese or English.

Reference	Title	PDF

### 6.3. Links

The institution may include up to 50 links to documents in its Webpage. These documents may be available in either Portuguese or English.

Reference	Title	Link