

A3ES

Agência de Avaliação
e Acreditação
do Ensino Superior

AUDITING INTERNAL QUALITY ASSURANCE SYSTEMS

GUIDELINES FOR THE AUDIT REPORT

1. DESCRIPTIVE ITEMS

1.1. Higher Education Institution:

(filled in automatically)

1.2. Higher Education Institution or Basic Unit to be audited:

(filled in automatically)

1.3. Brief comment on the auditing proceedings:

(3000 characters)

2. ASSESSMENT OF THE DEGREE OF DEVELOPMENT OF THE INTERNAL QUALITY ASSURANCE SYSTEM

In this section, the Auditing Team presents the outcomes from its judgements in relation to each target area, formulated and grounded in accordance with the criteria defined in the Auditing Manual.

2.1 Definition and documentation of the institutional policy for quality (*institutional strategy for quality and quality objectives; organization of the quality assurance system, actors and levels of responsibility; system documentation*)

Appraisal of the degree of development of this item of the internal QA system:

Insufficient - Partial - Substantial - Very advanced -

Grounds for the judgement issued by the Auditing Team:

(maximum 9 000 characters)

2.2 Scope and effectiveness of the procedures and structures for quality assurance

2.2.1 In teaching and learning

Appraisal of the degree of development of this item of the internal QA system:

Insufficient - Partial - Substantial - Very advanced -

Grounds for the judgement issued by the Auditing Team:

(maximum 9 000 characters)

2.2.2 In research and development / targeted research and high level professional development

Appraisal of the degree of development of this item of the internal QA system:

Insufficient - Partial - Substantial - Very advanced -

Grounds for the judgement issued by the Auditing Team:

(maximum 4 500 characters)

2.2.3 In the interaction with society

Appraisal of the degree of development of this item of the internal QA system:

Insufficient - Partial - Substantial - Very advanced -

Grounds for the judgement issued by the Auditing Team:

(maximum 4 500 characters)

2.2.4 In the policies for staff management

Appraisal of the degree of development of this item of the internal QA system:

Insufficient - Partial - Substantial - Very advanced -

Grounds for the judgement issued by the Auditing Team:

(maximum 4 500 characters)

2.2.5 In the Support Services

Appraisal of the degree of development of this item of the internal QA system:

Insufficient - Partial - Substantial - Very advanced -

Grounds for the judgement issued by the Auditing Team:

(maximum 4 500 characters)

2.2.6 In internationalisation

Appraisal of the degree of development of this item of the internal QA system:

Insufficient - Partial - Substantial - Very advanced -

Grounds for the judgement issued by the Auditing Team:

(maximum 4 500 characters)

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

Appraisal of the degree of development of this item of the internal QA system:

Insufficient - Partial - Substantial - Very advanced -

Grounds for the judgement issued by the Auditing Team:

(maximum 4 500 characters)

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

Appraisal of the degree of development of this item of the internal QA system:

Insufficient - Partial - Substantial - Very advanced -

Grounds for the judgement issued by the Auditing Team:

(maximum 4 500 characters)

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

Appraisal of the degree of development of this item of the internal QA system:

Insufficient - Partial - Substantial - Very advanced -

Grounds for the judgement issued by the Auditing Team:

(maximum 4 500 characters)

2.6 Publication of information relevant to external stakeholders

Appraisal of the degree of development of this item of the internal QA system:

Insufficient - Partial - Substantial - Very advanced -

Grounds for the judgement issued by the Auditing Team:

(maximum 4 500 characters)

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

Appraisal of the degree of development of this item of the internal QA system:

Insufficient - Partial - Substantial - Very advanced -

Grounds for the judgement issued by the Auditing Team:

(maximum 4 500 characters)

3. STRENGTHS AND BEST PRACTICES

In this section, the Auditing Team presents a synthesis of the main strengths of the internal quality assurance system, as well as of identified best practices that the Team considers worth of general diffusion.

3.1 Main strengths of the audited system:

(maximum 4 500 characters)

3.2 Best practices recommended for diffusion:

(maximum 4 500 characters)

4. RECOMMENDATIONS FOR IMPROVEMENT

In this section, the Auditing Team presents recommendations considered to be essential to solve detected deficiencies, particularly recommendations related to each of the areas assessed as in partial development, as well as suggestions of other recommendations for improvement of the internal quality assurance system.

4.1 Recommendations considered being essential (issues requiring corrective action):

(maximum 4 500 characters)

4.2 Additional recommendations for the consideration of the higher education institution:

(maximum 4 500 characters)

5. OTHER COMMENTS

In this section, the Auditing Team may include some additional comments, particularly on aspects raised in the response from the institution if appropriate.

(maximum 9 000 characters)

6. CONCLUSION

In this section, the Auditing Team presents an explicit and justified conclusion on the fulfilment, or not, of the minimal requirements for the system certification.

6.1 The internal quality assurance system fulfils the requirements for its certification, in accordance with the criteria defined in the Audit Manual?

Yes / No / Yes, subject to conditions

6.2 Conditions to be met by the institution and the corresponding deadline, in case a conditional certification is proposed:

(maximum 4 500 characters)

6.3 Grounds for the judgement issued in 6.1:

(maximum 4 500 characters)

APPENDIX – instructions for filling in the report

A number of guidelines for the preparation of the audit report are set out in this appendix, having in mind, particularly, to avoid duplication of analysis between Sections 2, 4 and 6 of the report.

Section 2 – Assessment of the degree of development of the internal quality assurance system

The rationale for the assessments of the degree of development in each of the twelve specific target areas should be succinct, based on the A3ES's reference points for internal quality assurance systems and on the criteria for analysis contained in the Manual for the Audit Process, identifying the elements of quality assurance effectively implemented within the scope of the item under analysis and the evidences that demonstrate they have been achieved, *i.e.*, it should focus on the explicit identification of the aspects of the assessment criteria that are observed by the quality assurance system at the stage in which it is.

The assessment should be complemented by an enumeration of less developed aspects, where appropriate, cross-referenced to section 4 where these aspects will be dealt with in detail in terms of recommendations.

Section 4 – Recommendations for improvement

In this section, the *essential recommendations* will be presented in relation to aspects where it is necessary to promote improvement action that the EAT considers necessary to overcome detected deficiencies. In principle, there should be a one-to-one relationship between *essential recommendations* and "partial development" areas.

Additional recommendations may also be made for any of the areas, even those under "substantial development".

The aggregation of the recommendations in this section, instead of being scattered in the assessments in section 2, is intended to facilitate their implementation by the institution and its follow-up by the Agency. This aggregation should not represent duplication of text, since the recommendation seeks to deepen what, in the assessment of the state of development of the item, was only itemised.

Section 5 – Observations

In case the institution submits a response to the preliminary report, the EAT should present in this section an appreciation of the HEI's response.