Quality Assurance Self-Assessment

This form should be completed in conjunction with the Standards Specification and the Quality Guidance Manual.

Training Provider name:	
Contact responsible for EQA visit:	

- This form is designed to guide you through a self-assessment of your internal quality assurance provision. It should allow you to judge when you are ready for the External Quality Assurance (EQA) visit. Please return the form to the CAA a minimum of two weeks prior to your agreed EQA visit.
- Completion of this form should be conducted by persons in relevant roles, such as the Training manager, Quality manager, Internal Quality Assurers (IQAs) and Assessors (if these roles are held by different persons).
- The form should only be completed by registered Training Providers – if you are not a registered Training Provider please check with the CAA. If you are an Independent Instructor, but exclusively deliver under the umbrella of a Training Provider and their Quality Assurance programme, you do not need to complete this form (unless you are a registered Training Provider yourself).
- Please assess whether you currently meet standards for:
  - Requires Improvement - Does not meet baseline requirements
  - Good – meets requirements
  - Outstanding – exceeds requirements
- The requirements for each level are detailed in the specification document.
- All aspects are mandatory for completion, with the exception of those specifically marked as not applicable for certain types of providers.
- **Aspects highlighted in Bold are designated as Critical Elements (aspects which are fundamental to a robust internal Quality Assurance process).**

Ref	Aspect	Evidence required for EQA visit	Comments	Level (tick)
1.1	**Management and Governance Structure**			
1.1a	Roles and Responsibilities of Training Team	- *Description/diagram/flowchart indicating job roles (and post holder) and responsibilities*		☐ Requires Improvement ☐ Good

		(including assessment, training delivery, quality assurance, admin – one person may hold more than one role) - *Recorded job descriptions for relevant staff including reference to their training role and responsibilities.*		☐ Outstanding
1.1b	**Documented Policies (Critical Element):** • Equality • Health and Safety • Complaints • Malpractice • Appeals • Data protection	- *Hardcopy or electronic versions of the policies listed to the left – these may be called another name or be included in another document (e.g. staff handbook) as long as they are applicable* - *Evidence of regular (every 2 years) review of policies* - *Evidence that all stakeholders know how these are applied.*		☐ Requires Improvement ☐ Good ☐ Outstanding
1.1c	**Documented Procedures (Critical Element):** • Equality • Health and Safety • Complaints • Malpractice • Appeals • Data protection	- *Hardcopy or electronic versions of the procedures listed to the left – these may be called another name or be included in another document (e.g. staff handbook) as long as they are applicable* - *Evidence of regular review (every 2 years) of procedures* - *Evidence that all stakeholders know how these are applied.* *Policies and Procedures may be contained in one document.*		☐ Requires Improvement ☐ Good ☐ Outstanding

1.2	Assessment and Training materials			
1.2a	Overview of Training Programme	- *Description/Programme/Timetable giving an overview of the course and its key stages, including assessment elements* - *Evidence that overview documents/timetables are reviewed at the end of each course.*		☐ Requires Improvement ☐ Good ☐ Outstanding
1.2b	**Programme Aims and Lesson Plans (Critical Element)**	- *Lesson/Session plans (and evidence of their regular review) including evidence of how these cover the relevant syllabuses/modules* - *Evidence of training provider contributing to aims/objectives through feedback to CAA.*		☐ Requires Improvement ☐ Good ☐ Outstanding
1.2c	**Accessibility of Training and Assessment materials (Critical Element)**	- *Examples of training materials evidencing how they are/have been made accessible* - *Evidence of process used to ensure that any training and assessment materials are accessible* - *Any other evidence showing how a proactive approach has been taken to anticipate learner needs.*		☐ Requires Improvement ☐ Good ☐ Outstanding
1.2d	File Management	- *Examples of documents showing version control measures* - *Evidence of how data protection policy is implemented* - *Examples of how restricted materials and personal data are stored securely*	.	☐ Requires Improvement ☐ Good ☐ Outstanding

		- *Evidence of how restricted materials are disposed of* - *Evidence of a process for version control/archiving.*		
2.1		**Resources**		
2.1a	Appropriate Physical Resources for Delivery and Assessment (classrooms, facilities, technology etc.)	- *Description of classroom and operational training facilities used, technologies employed during training and physical equipment such as simulant devices. This should be in the form of a list* - *Evidence of sufficiency e.g. how many learners do you typically have on a course in relation to available resources* - *Evidence of any strategic planning for future requirements.*		☐ Requires Improvement ☐ Good ☐ Outstanding
2.1b	**Sufficient Occupationally Knowledgeable Staff (Critical Element)**	- *Documentary evidence of number of instructors (including sub-contractors used) and their CIN/ROC numbers* - *Documentary evidence of any training/qualifications/experience of relevant training staff (e.g. CV)* - *Documentary evidence of an assessment of sufficient numbers of staff.*		☐ Requires Improvement ☐ Good ☐ Outstanding
2.1c	Induction of new and transferring Avsec Training Staff (This is not applicable for	- *Evidence of induction programme for new training staff (including sub-contractors) to your training team and local procedures e.g.*		☐ N/A ☐ Requires Improvement ☐ Good

	Independent Instructors)	*policies* - *Evidence of how new staff are supported proactively in assuring their capability is at the correct standard, including observations.*		☐ Outstanding
2.1d	**Annual (Continuous Professional Development) CPD[1] for all relevant Training Staff (Critical Element)**	- *Evidence of how annual CPD is planned for relevant training staff* - *Documentary evidence of subject matter (Avsec) and instructional techniques CPD undertaken in the last year.*		☐ Requires Improvement ☐ Good ☐ Outstanding
2.2	**Internal Monitoring and Self-assessment**			
2.2a	**Quality Assurance Strategy (Critical Element)**	- *Documentary evidence of your Quality assurance strategy, showing how your training programme is quality assured and how this is evidenced* - *Evidence of how the strategy addresses continuous improvement in the training programme.*		☐ Requires Improvement ☐ Good ☐ Outstanding
2.2b	Progress check (Formative Assessment) of Learners	- *Evidence of what formative assessment activities are undertaken (progress checks such as quizzes and feedback etc.)* - *Evidence of how any problems identified from these activities are resolved – how any learner needs are) identified* - *Evidence of how you identify*		☐ Requires Improvement ☐ Good ☐ Outstanding

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[1] For a definition on what can be considered as CPD please see the Quality Manual.

		appropriate formative assessment points in your scheme of work.		
2.2c	**Quality of Training and Assessment materials (Critical Element)**	- *Documentary evidence of quality assurance checks conducted on training and assessment materials, including an overview of planned sampling activities and past examples* - *Evidence of how the findings of the quality assurance sampling are reviewed* - *Evidence of any formal/informal training in place for the person/s conducting the quality assurance.*		☐ Requires Improvement ☐ Good ☐ Outstanding
2.2d	Assessment Standardisation (if applicable e.g. there is more than one Assessor)	- *Documentary evidence of year plan for standardisation (moderation for consistency) activities* - *Documentary evidence of any standardisation training undertaken to ensure your assessors are fair and consistent in how requirements are interpreted* - *Evidence of any formal/informal training in place for the person/s conducting the standardisation training.*		☐ N/A ☐ Requires Improvement ☐ Good ☐ Outstanding
2.2e	**Quality Assurance of Training Delivery and Assessment decisions (Critical Element)**	- *Documentary evidence of quality assurance checks conducted on training delivery and assessment decisions, including an overview of planned activities and past*		☐ Requires Improvement ☐ Good ☐ Outstanding

		examples - *Evidence of how the findings of the quality assurance sampling are reviewed* - *Evidence of any formal/informal training in place for the person/s conducting the quality assurance.*		
2.2f	Quality Assurance of Computer Based Training (CBT) (if applicable) – for any internally created CBT Training, including but not limited to 6 x 6.[2]	- *Documentary evidence of how the CBT package is kept up to date* - *Evidence that any CBT training is included in the quality assurance strategy* - *Evidence of how delivery to trainees is monitored including measures to deter malpractice* - *Evidence of how the CBT is reviewed to ensure it remains an effective training tool.*		☐ N/A ☐ Requires Improvement ☐ Good ☐ Outstanding
2.2g	**Programme Review Evaluation undertaken (Critical Element)**	- *Documentary evidence of how programme review and evaluation is undertaken* - *Evidence of feedback collected from stakeholders and analysed* - *Examples of past evaluations and actions taken based on the outcome* - *Evidence of how the evaluation reflects any changes made after feedback.*		☐ Requires Improvement ☐ Good ☐ Outstanding

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[2] 6 x 6 in this context refers to image recognition training for x-ray screeners as required by EU 2015/1998 11.4.1

3.1	**Learner and data management**			
3.1a	Documented Learner Records	- *Evidence of procedure for collating training records for learners, including examples* - *Evidence of any analysis undertaken of the records e.g. pass/failure rates.*		☐ Requires Improvement ☐ Good ☐ Outstanding
3.1b	Joining Instructions and Induction of Learners	- *Evidence, including examples of joining instructions provided to learners prior to commencing the course* - *Evidence of how learners are inducted to the training course at the start* - *Evidence of how the joining instructions are reviewed before each course.*		☐ Requires Improvement ☐ Good ☐ Outstanding
3.1c	**Diagnostic Assessment (Critical Element)**	- *Evidence of any diagnostic activities undertaken as part of the recruitment/booking and/or induction process, including examples (application forms, induction activity etc.)* - *Evidence of how the instructor has access to any relevant information provided to Human Resources (HR) as part of the recruitment process (e.g. specific learning needs).*		☐ Requires Improvement ☐ Good ☐ Outstanding
3.1d	Learner Tracking	- *Documentary evidence of how learners are tracked throughout*		☐ Requires Improvement

		the training and relevant key stages e.g. assessment.		☐ Good ☐ Outstanding
3.1e	Records of Feedback provided to Learners	- *Evidence of feedback provided to learners after assessments* - *Evidence of how the feedback includes any support requirements identified for learners.*		☐ Requires Improvement ☐ Good ☐ Outstanding
3.1f	Records of Assessment problems (where applicable)	- *Evidence of any assessment problems identified and dealt with* - *Evidence of how any assessment problems have been fed into the continuous improvement process.*		☐ N/A ☐ Requires Improvement ☐ Good ☐ Outstanding
3.2	**Certification**			
3.2a	Documented Procedure for issuing Certificates	- *Evidence of your procedure for issuing certificates, including examples of how this is managed* - *Evidence of how any reissuing requests are handled (e.g. lost certificates.)*		☐ Requires Improvement ☐ Good ☐ Outstanding
3.2b	Format of Certificates	- *Examples of certificate formats used.*		☐ Requires Improvement ☐ Good ☐ Outstanding