



Procedure 2.6 Self-Assessment and Annual Programme Monitoring

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- ❖ This procedure is shared with our students and/or can be obtained:
 - on our website <https://docklandsacademy.co.uk/policies-and-procedures>,
 - on the desktops of all computers in the library on the top floor,
 - by emailing us at info@docklandsacademy.co.uk in the case of remote learning.
- ❖ The procedure is reviewed and monitored on a regular basis for currency and fitness as part of our Annual 1.9 Policy and Procedures Review.

1. Introduction

This section describes the annual monitoring procedures for programmes and for modules at Docklands Academy London. As such it includes:

- a definition of monitoring;
- the aims of monitoring;
- responsibilities in monitoring;
- use of evidence to support monitoring;
- stages in the Monitoring Process;
- reporting arrangements.

2. Definitions

Monitoring is the year-on-year process by which the Docklands Academy London (DAL) staff who have responsibility for the delivery of a programme evaluate the effectiveness of the programme in achieving its stated aims, and the success of students in attaining the programme's learning outcomes. Monitoring, which is based on the use of qualitative and quantitative evidence, is conducted by the team of staff responsible for the delivery of the programme in partnership with the Academic Head. The outcomes of monitoring are reported to CEO/Principal and, thereafter, the Board of Governance not after the dates stated in this procedure.

3. Aims of Monitoring

The broad aims of monitoring are to:

- identify problems in the content or delivery of a programme and to take timely action to remedy those problems;
- encourage reflection on student performance in individual modules and the programme as a whole and seek improvements to the programme in the light of that reflection;
- create a self-critical culture: an ethos in which it is possible for staff to be open about weaknesses without feeling vulnerable to criticism or punitive measures
- maintain quality assurance arrangements that operate on the basis of 'bottom-up' self-assessment and reflect a commitment to continuous improvement
- ensure that issues, essential actions or recommendations raised by external examiners are promptly acted
- robust teaching observation that is used to share good practice and support classroom/workshop performance
- ensure judgements that are based on objective evidence, including students' experiences and the views of other customers
- sustain clear action plans with measurable and achievable targets and the rigorous monitoring of progress in reaching these targets
- identify and disseminate innovation and good practice and capture opportunities for enhancement
- contribute to strategic, academic and resource planning and allow the Academy to fulfil its responsibilities for maintaining the standards of its awards

4. Responsibilities in Monitoring

The CEO/Principal has overall responsibility for quality and standards. CEO/Principal delegates to Academic Head the responsibility for the development, maintenance and implementation of the monitoring procedures and any policies related to those procedures. A monitoring team (bodied by the heads of departments) is constituted in the charge of Academic Head. The monitoring team are responsible for the internal implementation of those procedures. As part of this responsibility, the monitoring team will ensure that programmes and modules are monitored effectively by the staff delivering those programmes and modules. Thus:

- monitoring is the responsibility of programme and module teaching teams and the staff within those teams;
- monitoring assumes that an individual will be appointed to take responsibility for the day-to-day management of a programme or, for large or complex programmes, a part of the programme (such as a year of study, a group of modules or placement arrangements). Amongst the duties of this person, will be the responsibility to maintain an ongoing record of monitoring activities and to prepare (or contribute to the preparation of) the annual report;
- It is for programmes to determine how information about modules is collected and used to support programme monitoring;
- In the context of monitoring, programme and module teaching teams are accountable to the Academic Head through, inter alia, the production of an annual report;
- The monitoring team is expected to produce an annual report to CEO/Principal summarizing the outcomes of the committee's monitoring activity for the preceding year;
- CEO/Principal prepares an overview report to the Board of Governance summarising the outcomes of all monitoring activity for the preceding year.

5. Use of Evidence to Support Monitoring

5.1 Monitoring depends on the collection of evidence that confirms the effectiveness of a programme. Evidence is collected from a variety of sources but may include:

- Data on gathered during the application, admissions and enrolment;
- Feedback from students (in staff-student consultations, from evaluation questionnaires and through the National Student Survey, the Student Induction Survey, the Student End of Term Survey and equivalent surveys);
- Student performance (in modules, in any one year and throughout a programme);
- External examiners reports;
- Reports from awarding or accreditation bodies;
- Feedback from placements and employers; (If applicable)

5.2 Admissions office will specify the detailed data requirements for annual programme monitoring and agree the timescales for generating data year on year. Admissions office will agree the means by which data is circulated.

5.3 The professional, educational and research activities of staff (including staff development) can contribute to the development of a programme. Where this is the case, these activities can be reported as part of the monitoring process.

6. Stages in the Monitoring Process

The following are the key stages in the monitoring process presented chronologically:

- allocation of responsibilities for monitoring by the Academic Head (October, after the academic year starts);
- ongoing collection of evidence, record of issues, and action taken through the use of monitoring diaries or logs (all year activity);
- circulation of report forms, guidance notes for completion; (all year activity)
- submission of final annual report by the related departments to the Academic Head by the end of Summer Term);
- submission of summary report by the Academic Head to CEO/PRINCIPAL (end of August);
- preparation by CEO/Principal of an overview report to the Board of Governance (before the new academic year).

7. Reporting Arrangements

The following reports are produced in the context of monitoring:

- The annual programme monitoring report form;
- Monitoring team report template summarising issues arising from the monitoring of all programmes within its remit (guidance on these summary reports appears below);
- Academic Head's report top CEO/Principal
- The CEO's overview report to the Board of Governance (tackling institutional issues; providing feedback to the monitoring team; identifying training and staff development needs; promoting good practice; including modifications to the monitoring procedure);
- Minutes of the Board of Governance consideration of the CEO's report.

8. Guidance on the Monitoring Academic Head's Report to CEO

The report should normally:

- list all the programme and module reports considered by the teams, and any reports not received or found unsatisfactory;
- summarise the key findings of the reports (for example as they relate to curricular

issues; teaching and learning; student achievement; resources);

- comment on any trends apparent from the statistics on student entry, progression and achievement;
- comment on the extent to which action plans from previous year(s) have been met;
- note any areas of good practice and innovation;
- note any follow-up planned by the committee for enhancement purposes in the light of its reading of the annual reports;
- make recommendations to the Board of Governance about matters that should be followed up at institutional level (e.g. in areas related to academic policy, procedures such as monitoring, regulations, staff development).

A template is available to provide structure and continuity to monitoring committee reports (**Appendix 1**).

9. Procedure to be Followed if an Annual Programme Monitoring Report is not Submitted

- 9.1** CEO/Principal is informed by the chair of the relevant monitoring team that an Annual Programme Report has not been submitted. CEO/Principal will then identify a senior member of staff to carry out a brief preliminary to establish the reasons why the report was not submitted. The preliminary enquiry would take the form of a discussion with the Head of Academic Administration
- 9.2** The member of staff carrying out the preliminary enquiry would be asked to make a recommendation about follow up action to CEO/Principal. A report should be received within 10 working days of any request to carry out a preliminary enquiry. Recommendations might be:
- a.** No action if there is evidence that steps are already in place to ensure future reports are submitted on schedule;
 - b.** The development of an action plan with clear timelines that addresses the reasons why the report was not submitted;
 - c.** Suspension or closure of the programme (as a last resort). If there were other indications, e.g. from student feedback and external examiner reports, that quality and standards were not at risk., a programme was unlikely to be closed;
 - d.** Other actions as appropriate.
 - Actions at each stage of the procedure should be taken to ensure that issues are resolved quickly. To ensure against delays, CEO/Principal will have the authority to take necessary actions at any stage.
 - The operation of the procedure is the responsibility of CEO/Principal other than in relation to the suspension or closure of a programme. The suspension or closure of a programme requires approval from the Board of Governance.

10. Compliance with QAA's UK Quality Code

- 10.1** Compliance with the Expectations and Core practices of the UK Quality Code for Higher Education (Quality Code) will be monitored by the Academic Head from time to time.
- 10.2** Monitoring and evaluation of higher education is an essential process within providers, forming a fundamental part of the academic cycle. It can, and should, look at all aspects of the higher education experience. All higher education providers are involved in course monitoring and review processes as these enable providers to consider how learning opportunities for students may be improved. (QAA Advice and Guidance for "Monitoring and Evaluation")

11. Related Documents

11.1 Policies

- 2 Academic Management
- 5 Student Support, Engagement and Learning Resources
- 7 Information

11.2 Procedures

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| <ul style="list-style-type: none"> • 1.3 Boards and Committees ToR • 1.5 Equal Opportunities • 1.6 Ethics Protocols • 1.7 Data Protection • 1.9 Review and Revision of Policies and Procedures • 2.2 Academic Regulations • 2.4 Appeals • 2.5 Complaints • 2.7 Program Design and Approval • 2.10 Special Circumstances Affecting Study • 2.11 Pearson Registration • 2.12 Contingency and Adverse Effects • 2.13 Access and Participation Statement • 3.6 Internal Verification • 3.7 External Examiners • 4.1 Enrolment and Selection | <ul style="list-style-type: none"> • 4.4 Attendance Monitoring • 4.6 Student Induction • 4.7 Student Disciplinary • 5.1 Student Code of Conduct • 5.2 Welfare Services and Pastoral Care • 5.3 Equality, Diversity and Special Needs • 5.7 Reviewing Learning Resources • 6.1 Recruitment and Selection • 6.3 Equality and Diversity • 6.9 Continuous Professional Development • 6.10.1 HE Lesson Observation • 6.10.3 GE Lesson Observation • 6.11 Requests for Training • 6.12 Evaluation of Training • 6.13 Staff Code of Conduct • 7.1 Review and Sign off PI • 7.4 HE Public Information |
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11.3 External Reference Points

- **Office for Students (OfS) Requirements and Guidance** at <https://www.officeforstudents.org.uk/advice-and-guidance/regulation/>
- **British Accreditation Council (BAC) Accreditation Handbook** at <http://www.the-bac.org/wp-content/uploads/2021/04/Accreditation-Handbook-2019-webcompressed.pdf>
- **UK Quality Code for Higher Education** at <https://www.qaa.ac.uk/quality-code>
- **Higher Education Code of Governance** (Committee of University Chairs, December 2014) at <https://www.universitychairs.ac.uk/wp-content/uploads/2020/09/CUC-HE-Code-of-Governance-publication-final.pdf>
- **Association of Employment and Learning Providers (AELP) principles of Good Governance for Independent Training Providers** at <https://www.aelp.org.uk/media/2595/code-of-governance-final-sept-2018.pdf>
- **OIA The Good Practice Framework: Handling Students Complaints and Academic Appeals** at <https://www.oiahe.org.uk/media/1859/oia-good-practice-framework.pdf>
- **OIA Disciplinary Procedures** at <https://www.oiahe.org.uk/media/2045/good-practice-framework-disciplinary-procedures-section.pdf>
- **UKCISA Code of Ethics** at <https://www.ukcisa.org.uk/Membership/Codes-of-practice/Code-of-ethics>
- **Equality Act – 2010** at <https://www.legislation.gov.uk/ukpga/2010/15/contents>
- **Competition and Markets Authority Guidance for HE Providers** at <https://www.gov.uk/government/publications/higher-education-consumer-law-advice-for-providers>



Appendix 1

Annual Programme Monitoring – Overview Report from the DAL Monitoring Team

Academic Session:	2021-22	
Monitoring Team:		
Report completed by:		
Part 1: INFORMATION UPDATE		
Submission of forms		
Has each programme (including programmes delivered by collaborative partners) submitted an annual programme monitoring report?	Yes/No (delete as appropriate)	
If a report has not been received, briefly summarise steps to be taken to ensure that the report will be submitted.		
Please confirm that all programme reports were approved (with or without any requests for amendments or clarifications). (See attached checklist – annex 1)	Yes/No (delete as appropriate)	
If a report was unsatisfactory, briefly summarise steps to be taken to ensure that the report is amended and resubmitted?		
Quality Concerns		
In its consideration of the annual programme monitoring reports, did the Team identify any significant concerns about the quality and standards of any programme that CEO/Principal should be aware of?	Yes/No (delete as appropriate)	
If significant concerns about quality and standards of a programme were identified, outline the basis for the concerns and summarise steps to be taken to address them.		
Part 2: THEMES, ISSUES AND ENHANCEMENT PLANS		
Based on its review of annual monitoring reports, please summarise the Academic Head's enhancement plans for the current year?		
Please summarise the issues identified by programme teams for escalation to CEO/Principal.		

Please highlight common themes and cross cutting issues recurring in programme level action plans.

Please provide a brief commentary on issues related to the student experience that have been appeared in annual programme monitoring reports.

Please comment on any changes in the proportions of good honours degrees awarded.

Based on its consideration of the annual monitoring reports, please summarise any additional issues for escalation to CEO/Principal?

Good practice

Please identify areas of good practice identified in individual annual monitoring reports, including their origin, which can be usefully shared with other monitoring committees and programmes?

Part 3: PROCESS REVIEW

On the basis of the implementation of the annual programme monitoring procedures in the current year, are there any improvements to any aspect of the procedure that you would like to propose?

Are there any amendments to the annual programme monitoring report form that you would like to propose?



Annex 1

In reviewing an annual programme monitoring report, the monitoring team is inter alia considering:

1. the achievement of recruitment targets and the adequacy of plans to address any shortfalls in recruitment.
2. the adequacy of the analysis of progression and retention rates and graduate outcomes.
3. the extents to which the programme meets the need of all students.
4. the resource base for the programme.
5. the effectiveness of the opportunities available to students to comment on their experience as learners.
6. the adequacy of the response to issues raised by students.
7. the views of external examiners and the response to external examiner reports.
8. effective quality management and governance arrangements.
9. the adequacy of the programme level action plan as a vehicle for achieving improvements to the programme.