

Guidance for External Reviewers

A handbook for members of HMIE reviewer teams

Contents	Page
1 Introduction	1
2 Pre-review briefing meeting	3
3 The external review week	4
4 Reviewer remits	5
5 Reviewing learning and teaching	6
6 Effective learning and teaching	7
7 Meeting with learners	9
8 Engaging with staff	11
9 Identifying, exploring and recording sector-leading and innovative practice and excellence	13
10 Agreeing team evaluations	14
APPENDICES	
Appendix 1 – Reviewing equality and diversity	15
Appendix 2 – Meeting schedule	18
Appendix 3 – Learning and teaching observation record	22
Appendix 4 – Evidence form	25
Appendix 5 – Record of External Review Findings (RERF)	27
Appendix 6 – Pro forma for examples of SLIP/excellence	37
Appendix 7 – SCQF	41

1. Introduction

The purpose of this guidance is to assist you in carrying out the external review of Scotland's colleges. It describes the external review process as well as reviewer activities. It provides advice on carrying out your remit.

It is essential that you are familiar with the publication [*External quality arrangements for Scotland's colleges, September 2008*](#) which provides more information about the context for external reviews. In particular, Annex 1 of the publication sets out the Quality Indicators to which you should refer.

You should bear in mind throughout the external review some key features underpinning the development of the 2008-12 external quality arrangements:

- overall lightening of external scrutiny by HMIE;
- professional engagement between reviewers and college staff;
- greater focus on users, by exploring learner engagement in the enhancement of their own learning and the work and life of the college, as well as the deployment of student team members (STMs); and
- simpler evaluation and reporting.

For reviewers this has meant some changes in approach:

- starting with the college's self-evaluation reports and action plans;
- focusing on the high-level issues of *high quality learning, learner engagement and quality culture*;
- focusing on outcomes and impact on learners and other stakeholders;
- very much less scrutiny of documents, processes and procedures;
- listening to learners and staff explaining and discussing their practices and experiences, rather than questioning them to a prepared agenda; and
- reaching evaluations and confidence statements collegiately in the external review team rather than taking individual responsibility for an element or subject.

Reviewers should apply good practice in relation to equality and diversity in all aspects of the external review. This includes seeking information and views from a diverse range of learners and staff, as well as exploring how the college responds to the spirit and requirements of equalities legislation.

As you know, HMIE has developed the *PRAISE* framework as a best practice guide to inspection and review approaches. The principles are set out overleaf:

Best Practice Framework for HMIE Inspectors

The framework is based on data gathered from: representative samples of experienced inspectors from HMIE and heads of organisations that have been inspected; feedback from post inspection/review questionnaires.

The following principles were identified as underpinning best practice:

Purpose – being clear about the overall purpose of the inspection/review and retaining this throughout. Creating a shared agenda with staff in the organisation and amongst members of the inspection/review team.

Relationships – building and maintaining constructive relationships throughout the process as the basis of a high quality inspection/review.

Awareness – maintaining a high level of awareness of the context in which staff are operating, of their feelings and reactions to the process and of the inspector's own approach and its impact.

Information gathering – careful inquiry to gather and analyse evidence. Retaining an objective stance, testing assumptions and assimilating data before evaluating.

Sharing information – communicating thoroughly throughout the process to prepare and inform staff. Encouraging staff to be open in providing their perspective and providing appropriate feedback as the inspection/review progresses.

Enabling – treating people with respect, engaging them in professional dialogue, recognising their efforts and providing feedback in a constructive way to encourage ownership and learning to take place.

2. Pre-review briefing meeting

You will normally attend a briefing meeting with the Managing Inspector (MI) approximately three weeks in advance of the external review week. The agenda includes:

- information about the college gathered from annual engagement visits and other sources;
- the scope of the external review;
- analysis of FES data and trends;
- allocation of reviewer remits including, lead writers;
- allocation of meetings based on college's draft schedule of discussions;
- planning observations of learning and teaching, based on sampling requirements and college timetables;
- discussions on the generic review of learning and teaching;
- using documentation to record evidence; and
- using the *PRAISE Framework*.

Equipment such as laptops and data sticks which you require on loan from HMIE will be provided.

You will also be issued with any personal protective equipment you may need for reviewing in specific teaching areas.

3. The external review week

The normal pattern of scheduled activities is set out below. Exceptionally, this may be adapted to accommodate particular circumstances.

Monday	1030 hrs	Review team meets principal, senior managers and student association representative(s)
	1100 hrs onwards	Observations of learning and teaching; professional discussions and meetings with learners, staff and managers
	1645–1730 hrs	Review team meeting – share initial findings
Tuesday	0900 hrs onwards	Observations of learning and teaching; professional discussions and meetings with learners, staff and managers
	1645–1730 hrs	Review team meeting – update on initial findings
Wednesday	0900 hrs onwards	Observations of learning and teaching; professional discussions and meetings with learners, staff and managers
	1645–1730 hrs	Review team meeting – share findings Arrangements for Thursday and Friday
Thursday	0900–1730 hrs	Review team evaluation, writing, moderation – in HMIE office space or hotel space
Friday	0900 hrs	MI, one colleague and STM remain. Prepare for discussion of findings with the college
	1100-1300 hrs	MI, one colleague (normally TM1) and STM discuss findings with principal, senior management team and student association president; Share provisional confidence statements with the principal

Discussions and meetings are normally scheduled for 45-60 minutes although they may in practice take less time.

Note that external review activities in the college finish by 1645 hrs on Wednesday. It is therefore imperative that you are confident in your evidence base by that time. The Thursday meeting is held elsewhere and normally it is only the MI, one colleague and the student team member who attend the college on Friday.

4. Reviewer remits

The scope of the external review is shared with the college by the MI. This determines the remit planned by the MI for each reviewer. Your remit should not require you to work longer than the normal working day, and, if you observe an evening class you should endeavour to recoup the time.

In the **minimum form of external review** your remit typically involves a number of meetings (about six) and a number of observations of learning and teaching (about five). You have professional discussions with staff whose lessons you have observed, and with other groups of staff. You may request and study documentation to confirm aspects of your discussions, where you feel this is necessary. You meet learners in groups and in the context of lessons observed. You may be a *lead writer*, taking responsibility for coordinating evaluations and writing up findings on specific elements. You complete records of learning and teaching observations using Learning and Teaching Observation Records (LTORs) and of other evidence using Evidence Forms (EFs) and share your findings with the team. Where the scope of the external review is **broader than the minimum**, you may be asked to use additional quality indicators, and one or more reviewers may be given a more focused remit, for example on a particular subject area.

External reviews also serve purposes additional to the main evaluative activity, and in this context reviewers:

- identify, explore and record examples of excellence or sector-leading and innovative practice (SLIP);
- record numbers of learners they meet in discussions or in lessons who fall into particular categories - those on government-funded training programmes, those on Skills for Work or other school-college partnership programmes, ILA-funded learners and international learners;
- gather and record evidence where the college implements credit rating under the Scottish Credit and Qualifications Framework (SCQF);
- explore the effectiveness of the college complaints system; and
- explore the effectiveness of the college's safeguarding procedures.

5. Reviewing learning and teaching

The MI will agree with you which learning sessions to observe and the arrangements for conversations with learners and meeting staff. Make sure you comply with any health and safety requirements relating to your presence in the teaching area, for example wearing protective clothing.

The external review team must demonstrate coverage of particular categories of learners: those on government-funded training programmes (previously LEC-funded), those on *Skills for Work* or other school-college partnership programmes, ILA-funded learners and international learners. You should note the numbers of learners in these categories in the lessons you observe, and note any issues regarding equality and diversity.

The college may credit rate its own programmes under the Scottish Credit and Qualifications Framework (SCQF). In this case, note whether the lesson observed is part of such a programme, and refer to this in your professional discussion with the staff member.

You evaluate the effectiveness of learning and teaching in accordance with the themes in Element 5, regardless of the subject area. It is not necessary to observe a full lesson or to cover all the QIs in Element 5 in each lesson. Observe learner activities and work, invite some of the learners to tell you about their learning experiences, and identify strengths and areas for development. Record your evaluations on the Learning and Teaching Observation Record (LTOR) form. If your observations and discussions include significant points relevant to other QIs, record these also on the form.

In the professional discussion that follows the observation, you exchange views on the learning and teaching activities observed and together identify and explore reasons for areas of strength and areas for development. Your discussions will draw on the professional practice described in the next section, which is applicable to learning and teaching in any subject area. Although you will probably not be familiar with many of the specific issues in a particular subject area, you can explore issues of professional updating and industry links in that area and the availability, currency and use of subject specific resources.

You will probably only have essential documentation in advance, but in the course of professional discussion it may be appropriate to ask to see particular items, for example to consolidate evidence of potential strengths or areas for development, or to demonstrate excellent or sector-leading and innovative practice.

6. Effective learning and teaching

Preparation for learning

Well-prepared learning sessions allow sufficient time for activities and have clearly stated objectives that are discussed with and understood by learners. These objectives fulfill the programme requirements, are well planned and meet the needs of individual learners. Well-prepared learning sessions have appropriate resources prepared in advance of the sessions, and, where possible, build on learners' prior knowledge, skills and experience. Well-prepared learning sessions:

- are the result of discussion and consultation with learners where appropriate;
- avoid unnecessary repetition of what learners already know or can do;
- plan for activities that allow for learners' different abilities and learning styles; and
- build upon what has gone before.

Facilitating learning

Effective learning sessions enable all learners to achieve their maximum potential. Learners contribute to or create their own learning and work independently where appropriate. In effective learning sessions:

- sessions are taught or facilitated by enthusiastic teaching staff with expertise in the subjects;
- teaching staff ensure that all learners are clear about what they are expected to do and involve learners in a variety of constructive activities over a period of time;
- learners develop and apply new skills;
- learners take responsibility for themselves and others; and
- learners and staff work together to create effective learning.

Effective learning sessions avoid long periods of teacher exposition where possible. They begin with a clear introduction linking to previous sessions or prior learning and recognise that people learn in different ways and at different speeds and consequently often provide a range of activities to allow for this. They are delivered at a suitable pace, are stimulating and challenging and enable learners to participate or be otherwise actively involved.

Effective learning sessions make use of good quality, error-free handouts or other pre-prepared material instead of requiring large amounts of copying or dictation. Good quality handouts/presentations and learning materials generally are free from stereotyping and present positive images in terms of equalities. Learners and teaching staff should make good use of current technology, both inside and outside of the teaching environment. They encourage learners to work independently at times, as individuals and collaboratively in teams, both during and after the learning session. Staff/learner relationships are positive, respectful and effective and the sessions contain frequent checks on understanding by the member of teaching staff

and by the learners themselves. Teaching staff communicate a lively interest in the well-being and progress of their learners.

Effective learning sessions ensure that theory and practice are integrated and referred to where possible. Where appropriate, teaching staff make links between classroom learning, the work environment and learners' wider lives and involvements. They deviate from the lesson plan if necessary to ensure learners' understanding and conclude with a clear summing up of what has been covered.

Managing learning and the learning environment

Effective management of learning ensures that staff are suitably experienced, trained and qualified. Unsatisfactory attendance and punctuality are monitored, action taken promptly and learners use their time productively. There is equality of opportunity in terms of the treatment of learners and learners are encouraged to work collaboratively as appropriate.

Equipment and facilities are suitable for the purpose and the accommodation is conducive to good learning.

Effective management of learning provides a stimulating learning environment by, for example, displaying learners' work and other materials in specialist rooms/workshops, where possible. Teaching staff encourage learners to provide peer support.

Assessment for learning

Effective assessment is fair, accurate, valid, reliable, accessible and well planned. It is appropriate for the requirements of the programme and helps learners develop the skills, knowledge and understanding required.

Effective assessment conforms to awarding body requirements and avoids creating assessment overload for learners. Staff use assessed work to monitor learners' progress. It is returned promptly and gives clear information to individuals about progress being made. Teaching staff encourage learners to discuss feedback with them. Individual learners learn how they could improve both verbally and through written comments on work.

Effective assessment enables learners to reflect on and discuss their progress and, where appropriate, gives parents, carers, sponsors or employers clear information about progress being made. Small, frequent assessments are used to check on learning through written work, through questioning by teaching staff or peers, in class or for homework. Targets for learner progress that are challenging but achievable are set and progress is appropriately monitored and recorded.

Effective assessment helps identify additional learning needs. It takes account of the literacy and numeracy needs of individual learners and arranges for appropriate support.

7. Meeting with learners

You are likely to meet learners both in observations of learning and teaching and in small groups for discussion.

As you put learners at their ease in preparation for discussion, check that they have been briefed and go over who you are and why you are there. Be prepared to answer any questions they have, for example about what happens to the feedback they give to you.

Convey that the information and opinions they give you are valued and of key importance to the external review process. Learners are the experts on 'how it is for them', and this is what you want to know. Many aspects of the guidance on professional dialogue with staff are applicable to discussions with learners.

The Student Team Member speaks to many learners. Reviewers will find it helpful to exchange information with him/her.

Meetings with learners from an observed lesson will be quite brief, so should focus on the experience of learners in that lesson, studying that unit. Learners will have views on:

- what they have learned during the lesson observed, as well as during their programme thus far;
- how well they are learning generally;
- how well the teaching approaches suit them;
- how well the subject is resourced;
- the level of challenge and rigour;
- the extent to which they are encouraged to reach high standards;
- how well their learning and assessments are planned and managed;
- whether or not they have opportunities to contribute to the planning and management of their learning;
- how well their needs, goals and aspirations are being addressed
- how much support they receive;
- the impact of their learning on their self-esteem and confidence in their wider lives;
- the impact of their learning in their workplace; and
- how frequently they receive feedback and how helpful it is.

Allow learners to lead the discussion as far as is practicable, prompting and stimulating their thoughts as necessary. Avoid closed questions generally, and allow individual experiences to be offered. Avoid giving the impression that there are particular things you are looking for, and focus on what it is that works well or poorly for the learners.

Meetings with groups of learners will generally be allotted a maximum of 45 minutes and may focus on particular QIs, following the MI's guidance. Set the scene by outlining the agenda you want to explore, and invite the group to add to the agenda if they wish. Allow the learners to lead the discussion as far as is

practicable, prompting and stimulating their thoughts as necessary. Try to make sure that everyone puts forward their views, managing any dominant speakers tactfully and making sure that the group does not fall into inappropriate consensus.

8. Engaging with staff

Reviewers engage with staff in several different ways: after an observation of learning and teaching, in small groups and in individual meetings.

In the meetings not related to observations, the focus will be indicated by the MI. Apart from the college's self-evaluation reports and action plans you will not read extensive documentation in advance, so the discussion will be informed by the three key principles, the issues raised by the staff participant(s), and themes relating to the QIs with which you are working.

In all cases the agenda should be mutually agreed with the staff. You should ask staff to show you documentary evidence in the course of your discussions, where this will help to provide evidence towards an evaluation. However, it may not always be necessary to do so.

All discussions with staff should take the form of **professional dialogue**. This is characterised by open and honest exchange, mutual respect and equity of status in spite of different roles, and focuses on the best interests of learners.

You record your discussion and summary evaluations on the Evidence Form (EF).

Professional dialogue assumes that:

- all parties are familiar with the language and concepts of the profession (eg pedagogy, curriculum, assessment, reflection and so on);
- no single participant will have all the answers but together we have a better chance of finding them; and
- all participants have the best interests of learners as the primary focus of their professional exchange.

Professional dialogue is facilitated by:

- starting with a clear, shared agenda (with nothing hidden);
- starting with items that all parties will probably agree on; and
- starting where other participants are at and then gently leading them to consider wider, deeper or more complex issues.

Professional dialogue is characterised by:

- mutual respect;
- equity of status in spite of different roles;
- working as equal partners towards common goals (especially quality improvement and enhancement);
- empathy;
- humility (no one knows everything or has the "right" answer to everything);
- giving each speaker undivided attention;
- analytical and critical thinking;
- absence of any sense of threat or blame;

- reviewers sharing non-prescriptive examples of good practice and SLIP;
- reviewers setting out options for improving or enhancing quality; and
- reviewers challenging preconceptions and any complacency with evidence or evaluations.

Professional dialogue is about:

- mutual learning and building the capacity of all participants (including the reviewer);
- the open exchange of information, ideas, perceptions, evaluations and views;
- responding to the input of others;
- supporting any assertions from either party with appropriate evidence and/or examples (including reference to documents and data where appropriate);
- developing a well-informed and shared understanding of the extent and causes of any strengths and weaknesses;
- developing a well-informed and shared understanding of effective strategies to address any issues;
- floating hypotheses and getting reactions;
- discussing plans to address any issues;
- challenging the thinking of others and having one's own thinking challenged; and
- reflecting back to others your understanding of what they have been telling you.

Professional dialogue is intended to:

- produce shared understandings and agreed conclusions (even if occasionally the conclusion is that parties need to agree to disagree).

9. Identifying, exploring and recording sector-leading and innovative practice and excellence

Reviewers should be alert to good practice in any aspect of the college's work. Good practice is recorded and disseminated in two ways.

Examples of **sector-leading and innovative practice examples (SLIPs)** must normally represent practice which is innovative, or certainly not prevalent, which is linked to positive outcomes, and which can be replicated by other colleges.

Examples of **excellent practice** will normally represent excellent practice which may be prevalent in other colleges, but which is done particularly well in this college. In both cases, there should be strong evidence of the positive impact/outcomes of the example.

The development of the *Showcase for Excellence* website remains ongoing. It will feature examples of practice in the form of video presentations and associated CPD toolkits. Some of these examples will be SLIP as defined above. Others will demonstrate and celebrate excellence more generally. In due course, HMIE hopes to link *Showcase for Excellence* to its website and other related resources. In the meantime, all examples of SLIP and excellence will be posted on the HMIE website.

You may be asked to explore a SLIP or example of general excellence that has been proposed by the college. The MI discusses the proposals with the review team at the briefing meeting and provides reviewers with the college's submission. The form used for such submissions is attached as Appendix 6. Your role is to explore the proposal with relevant staff, confirm the details and take a view on whether the practice described meets the criteria for dissemination. The MI then takes the proposal to the next stage and, if successful, arrangements are made to assist the college in preparing materials for dissemination.

You may come across sector-leading and innovative or excellent practice, worthy of dissemination, which has not been identified as such by the college. In this case you should discuss the practice with the MI and the college can be encouraged to submit details on the pro forma. The MI will decide whether this can be taken forward during the time allotted to the external review, or whether further exploration by HMIE should be deferred until after the external review.

10. Agreeing team evaluations

Sharing evidence and reaching agreed evaluations are crucial parts of the work of the review team. You contribute to a team meeting of about 45 minutes at the end of the day on Monday, Tuesday and Wednesday.

The review team spends Thursday together, out of the college. You share evidence across the team and contribute to consensus on team evaluations. Lead writers collate team findings and evaluations in given areas. The evaluations are normally moderated by a Chief/Assistant Chief Inspector/Lead Inspector. Finally, the team agrees provisional confidence statements.

A short discussion is scheduled at the end of Thursday so that the whole team can reflect on their experience and carry out a self-evaluation. Associate Assessors (AAs) and STMs receive feedback from the MI on their performance, and are subsequently invited to provide HMIE with feedback on their experience of the external review.

Activity on the Thursday is managed by the MI in a suitable location away from the college and will typically be planned as follows:

- 0900 hrs to 1100 hrs: writing – finalising LTORs, EFs and RERF - individual
- 1100 hrs to 1500 hrs: moderation of findings – Lead Writers coordinate
- 1500 hrs to 1600 hrs: confirm provisional confidence statements – team
- 1600 hrs to 1615 hrs: evaluation of the external review team activity
- 1615 hrs to 1630 hrs: MI feedback to reviewers

There will be circumstances under which it may not be possible to adhere strictly to the above schedule. In such cases, the MI will clarify alternative timings.

Before leaving the review all evidence notes, data sticks and any other papers relating to the review need to be handed over in their entirety to the MI for safe and secure storage within HMIE. Any electronic files that are required should be provided on the HMIE data stick, and all other electronic files will require to be deleted from laptops. HMIE laptops should be returned.

Appendix 1

Reviewing equality and diversity

The issue of consistency in our approaches to reviewing equality and diversity

It is important that every reviewer has the same expectations from a college, and that their approaches to the review of equality are the same. It is possible that consistency of approach could be compromised, not because we are unaware of what is required by public sector duties, but because we may be unclear about how much progress colleges should have made in equalities and related issues, and what does *reasonable progress* look like.

The equalities landscape is ever-evolving and it is therefore essential that reviewers check that their knowledge is up to date prior to commencing the review. In July 2009, *Equality Forward* ceased to operate. Their website can still be accessed for reference purposes through a search engine, and through the SFC website, although information has not been updated since before July 2009. A useful site for reference is the *Equality Challenge Unit*, which provides equality and diversity information to universities. It can be accessed at <http://www.ecu.ac.uk/>

Below is a table which indicates the minimum requirements for a college to meet their *specific duties*.

In addition to aspects of equality and diversity associated with QI 1.3, reviewers should be mindful that the team is looking to find evidence that equality and diversity are well-embedded in the college's culture and in the curriculum, generally. Specifically, reviewers are prompted to explore equality and diversity in the curriculum, and in learning and teaching through QI 5.1.

If you are any doubt about reviewing any aspect of equality and diversity, you should consult your MI.

Meeting the specific duties

	RACE	DISABILITY	GENDER
Develop a scheme/policy to describe how the general and specific duties will be met	Race Equality Policy	Disability Equality Scheme	Gender Equality Scheme
	Consult and involve people from minority ethnic backgrounds	Actively involve a diverse range of disabled people. Detail in the scheme how disabled people have been involved in its development.	Consult men and women
Monitoring – gather, analyse and act on data and information	Monitor the admission, progress and attainment of learners, the opportunities available to them. Monitor the recruitment, career progress/development and retention of staff.	Monitor the admission, progress and attainment of learners, the opportunities available to them. Monitor the recruitment, career progress/development and retention of staff.	Gather and use information on how policies and practices affect gender equality in the workforce and in the delivery of services, including education.
Impact assessment – assess the impact or likely impact of policies and procedures on equality for learners and staff.	Ensure the scheme includes a statement of the organisation’s method of assessing and consulting on the impact or likely impact of its policies, and practices, and arrangements for monitoring policies for adverse impact.	Ensure the scheme includes a statement of the organisation’s method of assessing and consulting on the impact or likely impact of its policies, and practices, and arrangements for monitoring policies for adverse impact.	Assess the impact or likely impact of policies and procedures on equality for learners and staff
	Ensure the policy/scheme includes a statement of the college’s arrangements for publishing results of any	Ensure the policy/scheme includes a statement of the college’s arrangements for publishing results of any	

	impact assessments and monitoring exercises and its methods for conduction impact assessments.	impact assessments and monitoring exercises and its methods for conduction impact assessments.	
Action	Indicate arrangements for monitoring by reference to racial groups, admission and progress of learners and recruitment and career progress of staff.	Within 3 years, take steps set out in action plan and put into effect arrangements made for gathering and making use of information.	Consider the need for any objectives that address gender pay gap. Within 3 years, take steps set out in action plan and put into effect arrangements made for gathering and making use of information.
Reporting		Report annually on progress, results of information-gathering and how information has been used.	Report annually on progress, results of information-gathering and how information has been used.
Reviewing		Review scheme every 3 years and revise if necessary.	Review scheme every 3 years and revise if necessary.
		Regularly review effectiveness of steps set out in action plan (by 4 December 2009)	Review scheme by 30 April 2010 or earlier.
Publishing	Take steps to publish results of monitoring each year. Indicate arrangements for publishing results of impact assessments (including assessment of the policy itself, which must be available to the public)	Publish each Disability Equality Scheme and annual report.	Publish gender equality scheme, including objectives.

Appendix 2

Review activities and the three key principles

The college arranges the following review activities in conjunction with the Managing Inspector. You should make sure that the composition of your discussion groups reflects equality and diversity.

Meeting schedule: information for college review coordinator

Information

All members of the external review team will be present at the opening meeting on Monday at 1030 hrs.

Proposed discussions:

Discussions with learners, staff and managers may be scheduled to take place between **Monday at approximately 1100 hrs and Wednesday at 1645 hrs**. All should be allocated one hour although, in reality, some may be shorter. The external review team will have a daily meeting at 1645 hrs. Learning and teaching observations will be carried out by reviewers over the three days and evenings, in addition to the discussions with managers, staff and learners. It may be useful to have only two or three review team members scheduled for discussions at any one time.

Nature of discussions:

In each of the discussions, **all 17 reference quality indicators may be considered**, but the details below give an idea of the priority in each session.

Learner profile:

It will be important for reviewers, where possible, to have discussions with learners on government-funded training programmes, those on Skills for Work or other school-college partnership programmes, ILA-funded learners and international learners. If the college has credit rated its own provision within the SCQF, reviewers will be interested in speaking to learners on some of these programmes. Protocols between HMIE and Skills Development Scotland (SDS) require the managing inspector (MI) to record the numbers of learners from each of these categories who have been present in discussion groups and learning and teaching observations. The MI will provide the review coordinator with a record of all observations undertaken. The review coordinator should then complete the number of learners within each category for each group observed.

Agreeing evaluations:

The external review team will not be in the college on Thursday of the review week. Team members will be writing, discussing, agreeing evaluations and provisional confidence statements. The MI, a colleague and the student team member (STM)

Appendix 2

will return to the college on Friday at approximately 1100 hrs to discuss the findings from the external review.

The following discussions will be required by the review team. Please use this table as guide to the discussions which you need to arrange. You may wish to transfer the information into your own table, showing the plan for the meetings by each day. You should return this information to the MI, who, in turn, will allocate each discussion to a member of the review team.

Discussion number	College participants	Day and time	College location	External review team member <i>To be completed by MI</i>
1	Student President Vice President 6 x class representatives			
2	Group of approx 8 learners (all modes)			
3	Group of approx 8 learners (all modes)			
4	Group of 6 programme/course leaders or equivalent			
5	Group of 4-6 HoDs or equivalent			
6	Strategic manager with responsibility for progress and outcomes (or equivalent)			
7	Programme/Course Team 1			
8	Programme/Course Team 2			
9	Programme/Course Team 3			
10	Programme/Course Team 4			
11	Strategic manager with responsibility for learning and teaching			

12	Internal team that evaluates quality of learning and teaching			
13	Strategic manager with responsibility for learner engagement			
14	Strategic manager with responsibility for quality enhancement			
15	Chair of Board Chair of relevant sub-committee			
16	Principal			
17	SMT			
18	All HoDs (unless met in SMT)			
19	Teaching staff (10 FT and PT)			
20	Support staff (10 FT and PT)			
21	Quality manager (or equivalent)			
22	Govt-funded training managers from SDS (by telephone or VC meeting)			
23	Local head teachers (by telephone or VC meeting)			
24	Local employers (by telephone or VC meeting)			
25	Local community organisations (by telephone or VC meeting)			

26	Local authority Director of Education (by telephone or VC meeting)			
27	Senior manager with responsibility for safeguarding.			
28	Consideration of SLIP/excellence			
	Approx 20-30 learning and teaching observations			
	Professional discussions with staff after 20-30 learning and teaching observations			

Other discussions may be required where additional QIs are considered.

APPENDIX 3

Learning and Teaching observation record

College:		Date:		Confirmed by RC:	
Reviewer:		Lesson start:		Govt-funded:	
Reference:	LTOR/	Observation start		ILA-funded:	
Programme:		Room no:		School pupils:	
Topic		Initial enrolment:		International learners:	
		Current roll:			
		Total present			

- 5.1 How well does the college develop and deliver programmes and services to meet the needs of learners from all backgrounds?
- 5.2 How well do learners learn?
- 5.3 How well do teaching and the use of resources ensure effective learning?
- 5.4 How effective is the context and planning for learning and teaching?
- 5.5 How well is assessment used to promote effective learning?
- 5.6 How well are potential and current learners provided with information, advice and support?
- 5.7 How well does the college sustain continuous enhancement through self-evaluation and internal review activities?

Strengths	Reference QI

Areas for development	Reference QI

Summary of professional discussion	Reference QI

ADDITIONAL REFERENCE QUALITY INDICATORS	
<i>How well are learners progressing and achieving relevant, high quality outcomes?</i>	Reference QI
Strengths	
Areas for development	
<i>How well are learners engaged in enhancing their own learning and the work and life of the college?</i>	
Strengths	
Areas for development	
<i>How well is the college led and how well is it enhancing the quality of its services for learners and other stakeholders?</i>	
Strengths	
Areas for development	

OTHER SIGNIFICANT QUALITY INDICATORS	Additional QIs
Strengths	
Areas for development	

APPENDIX 4

EVIDENCE FORM: discussions, documentation, visits

College:		Reviewer:	
Date:		Reference:	EF/

Participants:	
Job titles (if staff)	Profile (if learners)
	Govt-funded:
	ILA-funded:
	School Pupils
	International learners:
	Total:

Evidence source:	
-------------------------	--

Summary evaluations:	Reference QIs	Other QIs

Report on external review findings (RERF)

College		
External review dates		
External review team members (and reference initials)	MI	
	TM1	
	TM2	
	TM3	
	TM4	
STM		
Completed by (initials)		

Section 1

Evidence base

(Double left click to enter information into the table below)

Learning and teaching observations	FE	HE	Total
Monday			0
Tuesday			0
Wednesday			0
Totals	0	0	0

Additional meetings and discussions (not already on schedule)

College staff	Discussion topics

Learner groups	Discussion topics

Learner profile – please include all observations, meetings and discussions

(Double left click to enter information into the table below)

	Learners Observed - from LTORs	Learners in scheduled groups	Other Discussions	Totals
Govt-funded				0
ILA-funded				0
School pupils				0
Learners in college *SCQF credit rated provision				0
International				0
Other				0
Totals - all categories added together				0



* SCQF credit rating – carried out by the college themselves



End of section 1



High quality learning



Section 2

How well are learners progressing and achieving relevant, high quality outcomes?



<i>How well does the college perform against its educational aims, objectives and targets?</i> Reference QI: 1.1	Evidence Reference
Strengths <ul style="list-style-type: none">• Insert bullet points	
Areas for development <ul style="list-style-type: none">• Insert bullet points	



<i>How effective is the college at achieving and maintaining high levels of retention, attainment and progression?</i> Reference QI: 1.2	Evidence Reference
Strengths <ul style="list-style-type: none">• Insert bullet points	
Areas for development <ul style="list-style-type: none">• Insert bullet points	

<i>How well does the college fulfill its statutory duties?</i> Reference QI: 1.3	Evidence Reference
Strengths <ul style="list-style-type: none">• Insert bullet points	
Areas for development <ul style="list-style-type: none">• Insert bullet points	

<i>How accessible, flexible and inclusive are college programmes and services?</i> Reference QI: 2.1	Evidence Reference
Strengths <ul style="list-style-type: none">• Insert bullet points	
Areas for development <ul style="list-style-type: none">• Insert bullet points	

--	--

How well do programmes and services meet learner needs? Reference QI: 2.2	Evidence Reference
Strengths • Insert bullet points	
Areas for development • Insert bullet points	

How well do learners make progress, attain qualifications and achieve more widely? Reference QI: 2.3	Evidence Reference
Strengths • Insert bullet points	
Areas for development • Insert bullet points	

Please ignore/delete when minimum form of review is taking place









Where QIs additional to the 17 reference QIs are added please record findings and evidence as above for:



- **Element 3** **Impact on staff**
- **Element 4** **Impact on employers and communities**



End of section 2



Section 3

How effective are the college's learning and teaching processes?

<p><i>How well does the college develop and deliver programmes and services to meet the needs of learners from all backgrounds?</i> Reference QI: 5.1</p>		Evidence Reference
<p>Strengths</p> <ul style="list-style-type: none"> • Insert bullet points 		
<p>Areas for development</p> <ul style="list-style-type: none"> • Insert bullet points 		
<p><i>How well do learners learn?</i> Reference QI: 5.2</p>		Evidence Reference
<p>Strengths</p> <ul style="list-style-type: none"> • Insert bullet points 		
<p>Areas for development</p> <ul style="list-style-type: none"> • Insert bullet points 		
<p><i>How well do teaching and the use of resources ensure effective learning?</i> Reference QI: 5.3</p>		Evidence Reference
<p>Strengths</p> <ul style="list-style-type: none"> • Insert bullet points 		
<p>Areas for development</p> <ul style="list-style-type: none"> • Insert bullet points 		
<p><i>How effective is the context and planning for learning and teaching?</i> Reference QI: 5.4</p>		Evidence Reference
<p>Strengths</p> <ul style="list-style-type: none"> • Insert bullet points 		
<p>Areas for development</p> <ul style="list-style-type: none"> • Insert bullet points 		
<p><i>How well is assessment used to promote effective learning?</i> Reference QI: 5.5</p>		Evidence Reference

Strengths • Insert bullet points	
Areas for development • Insert bullet points	

<i>How well are potential and current learners provided with information, advice and support?</i> Reference QI: 5.6	Evidence Reference
Strengths • Insert bullet points	
Areas for development • Insert bullet points	

<i>How well does the college sustain continuous enhancement through self-evaluation and internal review activities?</i> Reference QI: 5.7	Evidence Reference
Strengths • Insert bullet points	
Areas for development • Insert bullet points	

End of section 3

Learner engagement

Section 4

How well are learners engaged in enhancing their own learning and the work and life of the college?

<i>How well are learners engaged in enhancing their own learning?</i> Reference QI: all 17 as appropriate	Evidence Reference
Strengths <ul style="list-style-type: none"> • Insert bullet points 	█
Areas for development <ul style="list-style-type: none"> • Insert bullet points 	█

<i>How well are learners engaged in enhancing the work and life of the college?</i> Reference QI: all 17 as appropriate	Evidence Reference
Strengths <ul style="list-style-type: none"> • Insert bullet points 	█
Areas for development <ul style="list-style-type: none"> • Insert bullet points 	█

Please ignore/delete when minimum form of review is taking place

Where QIs additional to the 17 reference QIs are added please record findings and evidence as above for:

- Element 3 Impact on staff
- Element 4 Impact on employers and communities
- Element 6 Providing direction and facilitating change
- Element 7 Management and support of staff
- Element 8 Partnerships and resources

End of section 4

Quality culture

Section 5

How well is the college led, and how well is it enhancing the quality of its services for learners and other stakeholders?

<p>How appropriate and influential are the college aims, objectives and targets? Reference QI: 9.1</p>	<p>Evidence Reference</p>
<p>Strengths</p> <ul style="list-style-type: none"> • Insert bullet points 	<p>█</p>
<p>Areas for development</p> <ul style="list-style-type: none"> • Insert bullet points 	<p>█</p>
<p><i>How effective is the leadership for learning and teaching?</i> Reference QI: 9.2</p>	<p>Evidence Reference</p>
<p>Strengths</p> <ul style="list-style-type: none"> • Insert bullet points 	<p>█</p>
<p>Areas for development</p> <ul style="list-style-type: none"> • Insert bullet points 	<p>█</p>
<p><i>How effective is the leadership for services to support learners?</i> Reference QI: 9.3</p>	<p>Evidence Reference</p>
<p>Strengths</p> <ul style="list-style-type: none"> • Insert bullet points 	<p>█</p>
<p>Areas for development</p> <ul style="list-style-type: none"> • Insert bullet points 	<p>█</p>
<p><i>How well does the quality culture in the college lead to quality improvement and enhancement?</i> Reference QI: 9.4</p>	<p>Evidence Reference</p>
<p>Strengths</p> <ul style="list-style-type: none"> • Insert bullet points 	<p>█</p>
<p>Areas for development</p> <ul style="list-style-type: none"> • Insert bullet points 	<p>█</p>

Please ignore/delete when minimum form of review is taking place

Where QIs additional to the 17 reference QIs are added please record findings and evidence as above for:

- **Element 3** **Impact on staff**
- **Element 4** **Impact on employers and communities**
- **Element 6** **Providing direction and facilitating change**
- **Element 7** **Management and support of staff**
- **Element 8** **Partnerships and resources**

End of section 5

Section 6

Showcasing excellence/SLIP

Individual summary of each example for further consideration

- SLIP/EXCELLENCE 1

Text Here (approx 200 words – including impact)

- SLIP/EXCELLENCE 2

Text Here

- SLIP/EXCELLENCE 3

Text Here

- SLIP/EXCELLENCE 4

Text Here

End of section 6

Appendix 6

SLIP example/Excellence worthy of dissemination

Annual Engagement Visit/External Review

(Please delete as required)

Insert college name **College**

Element from Quality Framework: 1-9*(Please specify)*

The focus of this example is: SLIP Celebration of Excellence

Title

Details provided by the college:

As briefly as possible and in no more than 400 words, please provide an overview (description of the key features) of the example and then answer the following questions, as appropriate.

(Note that not every question may be relevant to your example. HMIE will delete any unanswered questions before mounting on the website)

Overview:

To which of the key principles does the work relate?
(may be more than one)

High quality learning

Learner engagement

Quality culture

To which specific quality indicators of the elements (1-9) in the [quality framework](#) does the work relate?
(may be more than one)

How does the work contribute to the achievement of college strategic and/or operational objectives?

Does the work support any current government agenda? Please describe.

Does the work support any other national agenda or the priorities of external partners? Please describe.

Has the work been delivered in partnership with any external agency or other educational institution? Please describe.

Describe the demonstrable/evidenced impact on learners, staff and/or other stakeholders.

Summarise the contribution made by the work to quality enhancement in the college.

How was the work planned and resourced?

What lessons were learned by the college?

How will the activity develop in the future?

**How might the work be replicated elsewhere?
or Why is this example of excellence worthy of celebration?**

Name of college key contact:	
Address:	
Postcode:	
Email address:	

APPENDIX 7

Scottish Credit and Qualifications Framework

The SCQF guidelines require a credit rating body to have:

- rigorous processes to ensure that the stated levels and volumes of outcomes will accurately reflect the intended purpose and aims of the learning experience being credit rated
- rigorous, secure and appropriate arrangements for assessing learner achievement against those outcomes that are consistent internally and aligned with those of other credit rating bodies; and
- sound evidence to support the credit rating, supported by peer judgment.

Expectations of a college carrying out credit rating are set out overleaf.

Arrangements	Indicative evidence	Links to the SCQF handbook reference (Section 1)
1. Processes are rigorous to ensure that the stated levels and volume of outcomes will accurately reflect the intended purpose and aims of the learning experience being credit rated.	Flowchart or description showing the process addresses guidelines 1- 12 in section 1 parts 1-3 of the SCQF credit rating handbook.	"shared confidence" Page 3 Also the guidelines 1-12 in Part 3 of Section 1
2. Credit rating is based on sound evidence and includes peer judgment. A peer may be a member of staff from the college or from another organisation.	Flowchart or description showing the process.	"shared confidence" Page 3
3. The panel or group of staff involved in making judgements about level and number of credits have sufficient specialist knowledge and appropriate experience and training	Qualifications, teaching experience, evidenced in a mini CV. Evidence of attendance of these staff at the launch seminars, involvement in capacity-building workshops, involvement in HN developments on secondment to SQA.	Guideline 10 "professional judgment"
4. Staff involved in peer judgment are suitably experienced and qualified.	Qualifications, teaching experience, subject knowledge of peers, role in credit rating arrangements, mini CV.	"shared confidence" Page 3
5. Suitable methodologies are in place.	Flowchart or description showing the process	"shared confidence" p3
6. Outcomes will be consistent with the level descriptors in the SCQF guidelines, section 1.	Flowchart or description of the process, demonstrating how the level descriptors would be used.	Appendix 2, Pages 22 - 33
8. The assessed learning the applicant is seeking to credit rate (for the pilot only).	List of assessed learning that the organisation or group is intending to credit rate.	CCRIG minute of meeting of 3 Oct 2005
9. A commitment to participating fully in the external quality assurance arrangements which will form part of the pilot (in the pilot these arrangements are likely to include a visit from HMIE).	Statements in processes.	CCRIG minute of meeting of 3 Oct 2005
10. Arrangements for record keeping are robust and linked with internal quality arrangements.	Details of how records of outcomes will be kept and how these may be accessed.	
11. A demonstration of how the arrangements for credit rating fit within the organisation's core quality assurance system.	Overview of QA arrangements and the location of credit rating activities within these arrangements: diagram.	Guideline 12 Page 11