

Para in QAF	Requirement	Documentation etc	Frequency Check
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Checklist for self-employed support tutors¹ (sole traders) re DSA-QAG QAF
(Sally Daunt. March 2016)

Para in QAF	Requirement	Documentation etc	Frequency & check
Background/preparatory requirements			
1.1	Register with DSA-QAG Maintain these details	£100 +VAT fee	ongoing
	Be audited by DSA-QAG	£? fee	Every 12-24 months
1.7	Supply details of rates charged to DSA-QAG	doc correspondence SFE/DSA etc)	Annual audited
1.8	Notify any changes in rates. (This can be checked monthly)	(doc correspondence SFE/DSA etc)	Can be checked monthly
1.12	Document a lone working policy and show how this is being met.	See HSE (?) http://www.hse.gov.uk/pubns/indg73.pdf	audited
1.13	Have a documented risk assessment policy	Find relevant docs	audited
1.14	Have relevant insurance (public liability; professional indemnity)	Through ADSHE (Hiscox) £146.50	audited
1.15	Register under Data Protection Act. Adhere to this	£35 fee See https://ico.org.uk/registration/new security no	Annual audited
1.16 3.5	Have done training relevant to <ul style="list-style-type: none"> ○ Confidentiality ○ Data protection ○ Health and safety ○ Lone worker ○ Safeguarding ○ Disability awareness 	Records of such training to be documented	Records audited
1.17	Market services appropriately including recording details of students wishing to change supplier.	Documentation where appropriate	Audit
1.18 2.1	Must ensure that one only works in the role that one is registered for	Clear documentation of role on time sheet/checklist (see 'working with students' 1.2)	audited
1.19 2.1 4.3	Complete training on professional boundaries & provide evidence of this showing how they're managed in practice including student feedback.	Documentation	audited

¹ Self employed tutors are both 'NMH provider's and 'NMH support worker's

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1.23 2.7	Must be familiar with info from HEI about working on-site	Look at docs on HEI website	audited
1.29 4.3	Demonstrate appropriate professional boundaries	????	
Ongoing			
1.6	Queries from SFE, DSA-QAG or BIS: Response must be within 5 working days	Correspondence to be documented and recorded doc correspondence SFE/DSA etc	audited
1.21 2.5 4.5	Maintain CPD and training records	Documentation	audited including CPD records for last 12 months
1.24 2.9	Respond to HE provider feedback twice a semester or termly including records of how this is acted on	Documentation including how this is acted on	audited
1.25 2.9	Report on student support to HE provider if student agrees	Documentation	audited
New students			
1.9	Assessor contacts tutor requiring support for a student	Must respond within 1 working day To be documented (doc correspondence SFE/DSA etc)	audited
1.2	Only DSA-funded support that has been authorised should be supplied.	Keep up to date records (by student) of quantity and type of support that has been approved and delivered time sheet/checklist	audited
1.13	Do a risk assessment before providing support for new student	Risk assessment document	audited
1.20 2.4 4.4	Support to be provided in suitable confidential environment. [Not Skype unless specifically recommended in Needs Assessment]		Audited through student records
1.4 3.2	Give new student copy of cancellation procedure. Student to sign 2 nd copy (to be filed) to show s/he understands	Cancellation procedure doc File copy with student signature	audited
1.11	Give new student copy of complaints procedure Student to sign 2 nd copy (to be filed) to show s/he understands	HEI complaints procedure Check this against Appendix 1 which gives minimum content for such a doc File copy with student signature	audited

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1.28 4.2	Agree a work plan with student.	Document: student work plan	Revise every 3 months audited
Working with students (ongoing)			
1.3	Keep record of booking and confirmation of sessions with students: date, time, location and support role. Records to be kept of arrangement of support session within 1 working day of receipt of request from student	Document recording dates/times of contact (email, text, phone) and details of session time Keep all emails and texts doc: record of sessions arranged	Sample checks
1.26 3.1	Only attend session booked and confirmed by student		Check of booking response time
1.2 1.10 3.3	Keep up-to-date records for each student of quantity and type of support approved and delivered	Time sheet/checklist (including student feedback) Ensure that invoices and session sheets tie up Exemplar: Appendix 2 time sheet/checklist	audited
	Create invoice for each student. Keep record of these	Invoice.	
1.5	Missed sessions: notify SFE	Document correspondence with SFE doc correspondence SFE/DSA etc	audited
1.5	Support terminated by student: notify SFE	Document correspondence with SFE Must be within 10 working days of student declaring that they wish to terminate support. doc correspondence SFE/DSA etc	audited
1.27 3.4	Advise students what to do when additional NMH support is required	Documentation: contact with student (on record of sessions arranged??)	audited
1.22 2.6	Provide <ul style="list-style-type: none"> formal feedback facility for all students twice a semester or termly informal feedback records of how the tutor has acted on the feedback. 	Documentation: student feedback	audited