



Quality Assurance
Policy
(Work Based Learning)



Introduction

This handbook and the documentation contained within it are a guide to the systems that should be adopted to achieve a sound quality assurance system to our quality assurance/moderation process.

It should provide procedures and guidance for all courses that require both moderation of assessment grades and quality assurance of assessment processes.

The aim is to establish quality assurance mechanisms through a system of internal quality assurance to support the assessment process of competence based and internally assessed qualifications. Assessment decisions should be based on the validity, reliability, authenticity and currency of evidence against specified performance criteria, range/scope and knowledge. It is essential that there is an effective system to monitor and review moderation and quality assurance reports, to secure improvements. The IQA process should ensure that learners receive fair and reliable assessment that meets the requirements of the Awarding Bodies and where necessary the National Occupation Standards.

For the purposes of this handbook the term IQA will be used to cover both verifiers and moderators of programmes.

Further reading to support this handbook:

- CSkills Awards RAC 2012
- QCA NVQ Code of Practice (2006) (replaces the previous version) a copy can be obtained from QCA Publications (01787 884444)
- Joint Awarding Body Guidance for Internal Verification (IQA) of NVQs (QCA)
- Awarding Body Guidance
- National Occupational Standards

Verification Role of the Quality Nominee

The Quality Nominee will act as the main external contact and internal coordinator to assure quality is maintained by monitoring:

- IQA and moderation policy and procedures
- Ensuring compliance to IQA, EQA and assessment procedures both in house and Franchise contracts
- Internal audit on quality assurance and assessment processes and practices
- Ensuring appropriate action plans are produced and acted upon to respond effectively to EQA feedback
- Providing support and guidance on assessment and quality assurance practice
- Sharing good practice internally and through external networking

The Role of the Lead IQA

The Lead IQA will be appointed where a programme requires there to be more than one IQA, the Lead IQA will be responsible for the full programme/scheme. The Lead IQA should:

- Follow policies and procedures set internally for IQA and Management of EQA reports
- Appoint IQA to the relevant programme depending on their experience and vocational competences
- Ensure all Assessors/Tutors/IQA's and Moderators have the required qualifications and occupational background to deliver the subjects in which they have a direct input.

- Provide advice and support to IQA's, Assessors and training staff, including all new IQA's, Assessors and training staff to the programme, of the procedures and practices
- Hold a quality file that contains copies of the assessor and IQA qualifications and sample signatures
- Cascade information from the EQA and awarding bodies as appropriate
- Provide information, as required, to EQA's and plan required EQA visits
- Arrange and chair meetings on receipt of EQA/Moderator reports. The purpose of these meetings will be to complete the EQA reports to show how the awarding body actions are to be addressed. Once agreed the EQA report is to be submitted to the Director of Quality. The original EQA sampling report with the action plan must be available in the IQA file for audit purposes
- Ensure all assessments are countersigned when the Assessor/IQA is not yet qualified
- Identify the training needs of the programme, IQA's and Assessors
- Provide advice and guidance on assessment and candidate appeals
- Provide advice and assistance to IQA's and Assessors about candidates with special assessment needs
- Support IQA's assisting Assessors to ensure the quality of their assessment design and element/unit coverage
- Provide guidance to IQA's on the exemption process in line with national requirements
- Attend good practice meetings to discuss current quality assurance, assessment issues and to share good practice and knowledge
- Ensure IQA's have the relevant and correct documentation to pass on to Assessors
- Ensure all assessment documentation maintained by IQA's and Assessors is complete, up-to-date and legible
- Maintain an up-to-date record of the quality assurance process within the team, for this purpose an IQA File has been established.

Role of the IQA

If there is not a lead QA within the team, their role should be considered along with this. The IQA should:

- Coordinate the processes for registering and certificating candidates
- Understand the nature of the programme and the subject content
- Ensure rules of combination have been adhered to
- Ensure the correct credits have been achieved
- Not to quality assure his or her own assessments
- Ensure the IQA sample matrix is up to date to show planning for both interim and summative quality assurance
- Ensure interim quality assurance is planned to occur 12 weeks after the induction of the learner. It is the Assessors responsibility to ensure the IQA is informed if learners are in danger of completing their qualification prior to the 12 week due date. It is the Assessors responsibility to ensure this communication provides the IQA with enough time to reschedule the learner's quality assurance plan
- Ensure consistency and reliability of assessment. This could be facilitated by team meetings to discuss the suitability of assessments and their design
- Identify where Assessor training and development is required and arrange where applicable training suitable to the needs of the Assessor. If the training identified is a certificated programme the Assessor is required to complete a training request form which must be

Manager responsible for this document – Stephen Maddocks (Compliance Manager)

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- submitted to his/her line manager
- Ensure that Assessors are occupationally competent if applicable
 - Ensure all Assessors/Tutors/IQAs are IFL registered and are recording minimum 30 hours CPD records
 - Carry out verification observations on each Assessor
 - Carryout quality assurance on learners' portfolio's in situ
 - Ensure on a monthly basis the Compliance Manager is updated to show planned IQA observations
 - Attend standardisation meetings with IQA's from all the programmes and discuss current quality assurance, assessment issues and to share good practice and knowledge
 - Arrange and chair meetings with Assessors from the programme to consider the consistency of assessment practice, development needs of assessors and documentation
 - Ensure both in house and Franchise partners standardise EQA reports, assessment methods and good practices
 - Use the approved IQA documentation, which covers all the requirements of the IQA role.
 - Ensure all IQA reports for all programmes are signed by both the Assessor and QA on receipt of the quality assurance feedback. All IQA reports should be retained in the specific course IQA file and the learners individual files
 - Ensure that candidates are aware of and are satisfied with the assessment process
 - Where appropriate enable the assessment team to sample and evaluate each other's assessment evidence by multi-marking and team sampling exercises
 - Ensure the IQA sample plan takes into account the ratio of learners per Assessor per qualification to meet the IV requirements to cover all units delivered
 - The IQA will need to agree and evidence:
 - A timetable of key dates for standardisation
 - Guidance on sample size for quality assurance
 - Processes for quality assurance and feedback
 - Liaison with EQA
 - Keep a log to track all IQA activity and ensure the Lead QA is informed

Sampling: Sampling Strategy

Assessors

Stephen Maddocks (Lead IQA)

Paul Beaumont (IQA)

Andrew Pealing

David Walker

Clint Swindlehurst

Jimmy Kelly

Thomas Whelan

Stephen Bailey

Ian Williams

Roy Charnock

Paul Wiggins

Lianne Busby

Tim Hardman

Lloyd Millership

All experienced assessors with multiple years' experience, all portfolios will be 100% sampled over all qualifications including Level 2,3,4,5 & 6

Rationale: Decision has been made to avoid unforced errors by assessors.

Trainee Assessors

All learners and all units to be sampled 100% (until the assessor becomes qualified).

All Learners are to be included in the sampling plan. 100% learners are to be included in the Formative, interim and summative quality assurance. Formative date is to be planned 6 weeks from assessment date. Interim date is to be planned mid-point between induction and planned completion date and summative sampling in month of expected end date. Portfolio's which exceed their expected end date by a month require an additional interim quality assurance to ensure the NOS have been met and support fair assessment.

IQA observation to be carried out within eight weeks of the first allocated learner. This observation will be carried out in the learner's workplace, whilst the assessor is carrying out a true assessment. The IQA observation will be repeated on a minimum monthly basis until the WT assessor becomes qualified. After the observation the NVQ candidate will have a private meeting with the IQA to carry out the required Candidate interview. Where observations have not occurred for all subjects due to assessors assessing multiple qualifications, the IQA is required to carry out telephone learner interviews to ensure feedback is generated for all qualifications.

For trainee TAQA Assessors, units/portfolios must be submitted for second line assessment on an ongoing basis. All files submitted for quality assurance must be second line assessed. The purpose of second line assessment is to ensure all decisions made by the trainee assessor are checked by a qualified assessor to ensure the programmes criteria has been met and at the same time offering the trainee assessor support and guidance.

Newly Qualified Assessors.

Assessors new to the centre or Assessors experiencing difficulties and/or continually not following assessment and quality assurance procedures. Assessors who are delivering a new qualification: All learners, Assessors, Sites and all units to be included on the IQA matrix of which 100% will be selected for quality assurance sampling 50% of the qualification. Quality assurance must ensure, over time, all assessors, all assessment methods and all units are included in the sample (until competency demonstrated).

100% = 4 in 4 Learners who will receive interim and summative quality assurance. Interim date is to be planned mid-point between induction and planned completion date and summative sampling in month of expected end date. Portfolio's which exceed their expected end date by a month require an additional interim quality assurance to ensure the NOS have been met and support fair assessment.

IQA observation to be carried out within eight weeks of the first allocated learner. This observation will be carried out in the learner's workplace whilst the assessor is carrying out a true assessment. The IQA observation will be repeated on a minimum two monthly basis until the Assessor demonstrates competency. After the observation the NVQ candidate will have a private meeting with the IQA to carry out the required Candidate interview. Where observations have not occurred for all subjects due to Assessors assessing multiple qualifications, the IQA is required to carry out telephone learner interviews to ensure feedback is generated for all qualifications.

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Qualified and experienced Assessors

All learners, Assessors, Sites and all units to be included on the IQA matrix of which 50% will be selected for quality assurance sampling 50% of the qualification. Quality assurance must ensure, over time, all assessors, all assessment methods and all units are included in the sample (until competency demonstrated).

50% = 1 in 2 Learners who will receive interim and summative quality assurance. Interim date is to be planned mid-point between induction and planned completion date and summative sampling in month of expected end date. Portfolio's which exceed their expected end date by a month require an additional interim quality assurance to ensure the NOS have been met and support fair assessment.

IQA assessor observation to be carried out on a minimum of four monthly basis. This observation will be carried out in the learner's workplace whilst the Assessor is carrying out a true assessment. After the observation the NVQ candidate will have a private meeting with the IQA to carry out the required Candidate interview. Where observations have not occurred for all subjects due to Assessors assessing multiple qualifications, the IQA is required to carry out telephone learner interviews to ensure feedback is generated for all qualifications.

All Categories

During all IQA/moderation the sampling records will be completed and maintained. All records will be provided to assessor/tutors and all reports are to be signed and dated by both assessors/tutors and QA's/moderators

Interim Moderation Request

The named IQA will request Interim quality assurance on a monthly basis two weeks before the planned quality assurance month. This request will be formally requested via e-mail using information from the IQA sample plan. Assessors are requested to acknowledge receipt of the quality assurance request via email to the named IQA.

IQA/Moderation Sampling Strategy from all programmes Not Meeting Programme Criteria

If sampling is not satisfactory, sample other elements BUT only enough to be able to give the Assessor constructive robust feedback to show how the verification decision was made. Return the file to the Assessor to address any actions. All feedback must be robust and recorded on the sampling report ensuring SMART objectives shown. If the quality assurance sample is complete and all units are submitted. The IQA is required in the feedback to make suggestions to improve good practice and record specific information relating to NOS verified.

Standardisation Meetings

Standardisation meetings must be held at least every two months and provide written guidance for all those involved in the assessment process. Subjects to be covered in standardisation must cover:

- Induction activities that explain the assessment process and the part played in it by all involved parties (learners, assessors, employers, IQA's and Lead IQA's). This should include good understanding by learner's appeals procedures, induction activities, learner handbook and/or portfolio etc.
- Identifying good practice and areas of improvement in assessment, which is disseminated to all parties involved, for example carryout activities on specific units to reinforce assessment methods are consistent with the assessment strategy and national standards, Taking a sample of units, assessment activities and learners rather than checking all assessments, Focusing on observation of assessment practices rather than written portfolio evidence, updates in specific sectors areas, EQA reports
- Encouraging diversity of evidence such as photographs, video and audio to demonstrate assessment products rather than expect to see written evidence in a portfolio
- Linking staff development planning and reviews to ensure qualification specific requirements for assessment are met in line with the Awarding Body and IFL criteria

All Documents must be kept in the IQA File

Registration and Certification

Candidates should be registered according to their awarding body procedure. The IQA should work with the team to ensure there is a clear transparent approach with individual responsibilities. Claims for certifications will be made by the IQA following summative IQA's.

Storage of Assessment Records

All assessment records relating to individual candidates should be retained for three years. The records should be held in a secure place and contain details of candidate, assessor, IQA, enrolment, registration and certification. These records should be supported by assessment records and quality assurance documentation.

Meetings and Communications

A copy of all minutes and quality assurance reports must be available in the IQA file for the following people:

- Compliance Manager
- Lead QA
- IQA
- EQA
- Performance Manager
- All team members

This will give opportunity for issues and concerns to be shared in order to achieve consensus and consistency with regard to assessments. All candidates should have access to a responsive appeals procedure.

Documentation

The associated documents listed at the back of this guide must be used or an application made to the Compliance Manager to use awarding body specific paperwork or paperwork specifically designed to meet additional course requirements. Copies of any non-standard paperwork must be held centrally. Please contact the Compliance Manager if you intend to use non-standard documentation.

Franchise Requirements

The use of Franchise documentation for quality assurance can only be used on approval from the Compliance Manager. A copy of the blank quality assurance records are required as proof of approval. These documents must be maintained in the qualification IQA file for inspection when requested.