City College Plymouth

Internal Quality Assurance of Assessment Centre Handbook

Incorporating Policy and Procedure

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Centre Handbook**

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Document change history

This is the 2015-16 version of the Internal Quality Assurance of Assessment Centre Handbook (first published 2010)

This version replaces all previous versions

The document is subject to revision and maintained electronically. Electronic copies are version controlled. Printed copies are not subject to this control.

See page 38 for full Policy control information

Next review: August 2016

The key changes are outlined below

Section	Page	Change
Common Inspection Framework	7	Reference to and extracts from the revised Common Inspection Framework and FE and Skills Inspection handbook from Sept 2015
Awarding Organisation & Course Approval	16	Reintroduction of a course approval process with a 'Curriculum Planning / Approval Check List' to complete
Registration & Certification	17	Addition of requirement for staff to inform awarding organisations prior to registering a member of teaching or invigilation staff on one of their qualifications. Staff may not undertake a qualification while they are teaching or assessing that qualification
Appeals	18	Reference to an additional procedure for Pearson Higher Nationals provision - Appeal against the decision of an Assessment Board

Enquiries to Karen Peters, Quality Assurance Co-ordinator

Internal Quality Assurance of Assessment Centre Handbook

Contents

Introduction

This handbook provides information on:
- Roles and responsibilities in Internal Quality Assurance
- Common Inspection Framework for Further Education and Skills
- Equality in Assessment and Access Arrangements
- Assessment Policy
- Internal Quality Assurance procedural statements
- Internal Quality Assurance forms

Key aspects of Internal Quality Assurance:
- Internally assuring the integrity and quality of assessment
- Maintaining and improving the assessment process and the performance of Assessors
- Maintaining and improving national standards of assessment

Benefits of effective Internal Quality Assurance:
- Improved learner experience
- Increased retention, achievement and success rates
- Increased number of high grades achieved
- More cost-effective programmes
- Regulatory requirements being met, minimising risk to learner success
- Support for other planning, monitoring and quality improvement processes such as self-assessment

The Sector Skills Council's (SSCs) will specify in the relevant assessment strategies what the required qualifications are to assess and internally / externally quality assure specific qualifications.

This handbook has been designed to outline core operating principles and offer guidance to staff.

Awarding organisation requirements must also be referred to and complied with. These must take priority as lack of compliance may lead to sanctions resulting in delays to learner success.

In some cases, these may differ to the operating principles in this handbook. For example the practice of "capping" grades where work is submitted late is not acceptable for BTEC programmes but is required for Higher Education (HE) and Access to HE programmes.

Roles and Responsibilities

The **Quality Assurance Co-ordinator** is the Lead Internal Quality Assurer for the College and manages the College's Internal Quality Assurance procedures. The role includes acting as the main link with awarding organisations, keeping abreast of awarding organisation and regulatory authority requirements and disseminating key information to curriculum managers and staff.

Curriculum Directors have ultimate responsibility for the implementation of these policy and procedures, the Internal Quality Assurance and continued improvement of programmes delivered in their area.

Academy Managers are the Lead Internal Quality Assurers for the programmes in their Academies and will oversee and support assessment and Internal Quality Assurance and ensure that all internal and external requirements are met. This will include confirming that staff are operating to the revised National Occupational Standards. **They will play a key role in driving improvements forward.**

Academy Managers will ensure all programmes have a named Internal Quality Assurer approved by the relevant awarding organisation and support them to carry out their role and develop their skills.

Academy Managers will form the core membership of the **College Lead Internal Quality Assurers Group** which will meet termly and report to Academic Board via the Teaching, Learning and Assessment Group / Learner Experience Committee. Other members will be co-opted where relevant.

Lead Internal Quality Assurance Co-ordinators may also be identified to co-ordinate groups of staff carrying out Internal Quality Assurance activities for specific qualifications. This is most likely for programmes such as BTECs, Functional Skills, work-based programmes and qualifications delivered via AptEd.

All members of teaching and assessing staff must engage in some aspects of Internal Quality Assurance as part of their development and to ensure the standardisation of assessment. They must also participate in regular standardisation and review, evaluation and quality improvement activities including sharing of good practice and actively promote Equality and Diversity, challenge discrimination and bias and support the achievement of all learners.

Note: The Internal Quality Assurance of Assessment Checklist (page 5) must be completed for all programmes to ensure all activities are completed

Role of an Internal Quality Assurer

An Internal Quality Assurer is responsible for ensuring:
- Assessment is safe, valid, reliable, fair, authentic and sufficient
- Assessment is consistent across the programme
- Standardisation of Assessors takes place
- Compliance with the Awarding Organisation's requirements

The **National Occupational Standards for Learning and Development** reflect current practice and describe what an individual needs to do, know and understand in order to carry out their role in a consistent and competent way. Standard 11 relates to Internal Quality Assurance.

Standard 11 - Internally monitor and maintain the quality of assessment.

- Plan and prepare monitoring activities according to the requirements of own role

- Determine whether assessment processes and systems meet and operate according to quality requirements

- Check that assessors meet the requirements for their role

- Check that assessments are planned, prepared for and carried out according to agreed procedures

- Check that assessment methods are safe, fair, valid and reliable

- Check that assessment decisions are made using specified criteria

- Compare assessor decisions to ensure they are consistent

- Provide assessors with feedback, advice and support to help them maintain and improve their assessment practice

- Work with others to ensure the standardisation of assessment practice and outcomes

- Follow agreed procedures when there are significant concerns about the quality of assessment

- Follow agreed procedures for the recording, storing, reporting and confidentiality of information.

Internal Quality Assurance of Assessment Checklist

To be completed for each programme and checked by the Academy Manager

Programme / Qualification:	Completed
Named IQA (s) for this programme:	
Ensure each programme has sufficient Assessors and IQAs by maintaining a map of staff, status and allocation	
Check Assessor and IQA CVs to ensure qualifications and experience as required by awarding organisations and Sector Skills Councils – copies of CVs to be held on file for external scrutiny	
Ensure awarding organisations are notified in writing or by email of any changes to staff, locations etc. using the required documentation	
Provide an induction for new team members and nominate a mentor for trainee Assessors and IQAs	
Ensure all members of the team have a clear understanding of their roles and responsibilities	
Ensure a system of professional updating is in place for all Assessors and IQAs using development plans with clear target dates for training and development to address identified needs	
Report CPD requirements and any resourcing requirements needed to maintain the quality of the programme to the curriculum manager	
Ensure each team member is issued with all relevant information including the latest specifications and awarding organisation guidance	
Check awarding organisation approval is in place for all qualifications delivered and monitor expiry dates to ensure there is no delay to achievement – approvals to be applied for via the Quality Assurance Co-ordinator prior to the programme start date	
Ensure learners are registered with the awarding organisation within 10 weeks of starting or the timescales specified by the awarding organisation	
Ensure learners needing access arrangements e.g. concessions for tests / exams have been tested at least 6 weeks before the exam date. Contact the Learning Support office as soon as possible	
Ensure learners are informed about the Appeals Procedure and have a copy for their file	

IQA internally devised assignments to ensure they are fair and fit for purpose prior to issue to learners	
Ensure learners are informed about plagiarism and are given guidance for their file or referred to the Learning Resources guidance on each Moodle site	
Ensure a risk-based sampling strategy and plan is maintained by all IQAs for each programme and that they are evaluated annually	
Sample assessment decisions for all Assessors, units, locations, methods of assessment and types of learner and give constructive feedback to Assessors to support them to improve their practice	
Ensure there are arrangements for the checking and countersigning of decisions made by unqualified Assessors and IQAs - NVQs	
Ensure all summative decisions are made by a qualified Assessor and all validation of summative decisions by a qualified IQA (who has not made the assessment decision) - NVQs	
Observe all Assessors at least annually (in addition to the internal observation of teaching and learning processes) - NVQs	
Interview a sample of learners (in addition to the internal online learner satisfaction surveys), discuss outcomes and themes at standardisation meetings and include in review and evaluation	
Ensure all claims for certification are made by a qualified IQA approved by the awarding organisation	
Ensure regular meetings and standardisation activities take place, are recorded and attended by all team members	
Prepare for and contribute to External Quality Assurance (EQA) visits	
Send all EQA reports to the Quality Assurance Co-ordinator	
Ensure all action points arising from EQA reports are communicated to the team and actioned	
Ensure a written declaration of authenticity is signed by each learner and Assessor	
Maintain records of assessment and internal verification for 3 years after certification and facilitate secure storage for all records	
Evaluate and report on assessment and IQA as part of the review and evaluation and self-assessment processes including learners' views	
Ensure an IQA file is maintained (hard copy or electronic) to inform the management of, and evidence for, review and evaluation processes	

The Common Inspection Framework: education, skills and early years
For use from September 2015 (Published June 2015)

Inspectors will make a judgement on the effectiveness of teaching, learning and assessment by evaluating the extent to which:

- Teachers, practitioners and other staff have consistently high expectations of what each child or learner can achieve, including the most able and the most disadvantaged

- Teachers, practitioners and other staff have a secure understanding of the age group they are working with and have relevant subject knowledge that is detailed and communicated well to children and learners

- Assessment information is gathered from looking at what children and learners already know, understand and can do, and is informed by their parents/previous providers as appropriate

- Assessment information is used to plan appropriate teaching and learning strategies, including to identify children and learners who are falling behind in their learning or who need additional support, enabling children and learners to make good progress and achieve well

- Except in the case of the very young, children and learners understand how to improve as a result of useful feedback from staff and, where relevant, parents, carers and employers understand how learners should improve and how they can contribute to this

- Engagement with parents, carers and employers helps them to understand how children and learners are doing in relation to the standards expected and what they need to do to improve

- Equality of opportunity and recognition of diversity are promoted through teaching and learning

- Where relevant, English, mathematics and other skills necessary to function as an economically active member of British society and globally are promoted through teaching and learning

Key aspects to address (information taken from the Ofsted Further education and skills inspection handbook from September 2015):

- Teaching and assessment methods and resources inspire and challenge all learners and meet their different needs, including the most able and the most disadvantaged, enabling them to enjoy learning and develop their knowledge, skills and understanding

- Learners are supported to achieve their learning goals, both in and between learning sessions

- Staff have qualifications, training, subject knowledge and experience relevant to their roles and use these to plan and deliver learning appropriate to learners of all abilities, reflect good industry practice and meet employers' needs

- Staff identify learners' support and additional learning needs quickly and accurately through effective initial assessment, leading to the provision of high quality and effective support to help learners achieve as well as they can

- Staff work with learners to ensure that teaching, learning and assessment are tailored to enable all learners to make good progress and prepare for their next steps

- Staff assess learners' progress and performance and ensure that assessments and reviews are timely, frequent, fair, informative and reliable

- Learners receive clear and constructive feedback through assessment and progress reviews and/or during personal tutorials so that they know what they have to do to improve their skills, knowledge and understanding to achieve their full potential

- Employers, parents and carers, as appropriate, are engaged in planning learners' development; they are kept informed by the provider of each learners' attendance, progress and improvement, where appropriate

- Teaching, learning and assessment promote equality, raise awareness of diversity and tackle discrimination, victimisation, harassment, stereotyping, radicalisation and bullying

- Staff are aware of and plan for individual learners' diverse needs in teaching or training sessions and provide effective support, including
- making reasonable adjustments for disabled learners or those with special educational needs

- Teaching promotes learners' spiritual, moral, social and cultural development

- Teaching, learning and assessment support learners to develop their skills in English, mathematics and ICT and their employability skills, including appropriate attitudes and behaviours for work, in order to achieve their learning goals and career aims

Equality in Assessment

The Equality Act became law in October 2010, replacing the previous acts and regulations that formed the bases of anti-discrimination law in Great Britain.

This new legislation requires equal treatment in access to employment as well as private and public services, regardless of the protected characteristics:
- Race / ethnicity
- Disability
- Gender
- Gender reassignment / transgender
- Age
- Sexual orientation
- Religion / Belief
- Pregnancy / maternity
- Marriage / civil partnership

> "Minimising bias is about ensuring that assessment does not produce unreasonable adverse outcomes for learners that share a common attribute. The minimisation of bias is related to fairness for all learners and is also closely related to statutory equality duties."
> (Ofqual May 2011 General Conditions of Recognition, p71)

Ofsted are interested in the progress of groups of learners who could be vulnerable or disadvantaged. Examples of groups which may be included for evaluation:
- Disabled learners and those with special educational needs
- Boys / men
- Girls / women
- Those who are academically more or less able
- Learners for whom English is an additional language
- Minority ethnic learners
- Gypsy, Roma and Traveller learners
- Learners qualifying for a bursary
- Looked after children
- Lesbian, gay and bisexual learners
- Transgender learners
- Young carers
- Learners from low-income backgrounds
- Older learners
- Learners of different religions and beliefs
- Ex-offenders
- Women returners
- Teenage mothers

Access Arrangements / Special Consideration

Access arrangements are pre-agreed reasonable adjustments that are made for individual learners to ensure that they are able to access **exams** and have the same opportunities to demonstrate their knowledge, skills and abilities, as other learners.

The Equality Act 2010 requires an awarding organisation to make reasonable adjustments where a learner, who is disabled within the meaning of the Act, would be at a substantial disadvantage in comparison to someone who is not disabled.

The Joint Council for Qualifications insists that an exam concession is the learner's "normal way of working" in the classroom.
Examples:
- Extra time for an exam is only available for learners who are given extra time in class to complete coursework
- A reader is only possible if the lecturer or a Learning Support Assistant reads for the learner in class

Learners coming from school with A Statement of Special Educational Needs or a Section 139a report from Careers South West will be tested as a priority so their exam concessions can be put in placed

Next in line for testing will be learners who have disclosed a learning difficulty on their application forms.

All learners will complete an i-screener questionnaire which will form the basis for offering appointments for dyslexia testing.

Following a dyslexia assessment a report will be produced and a copy will be sent to the lecturer. The front of the report will indicate which concessions, if any, have been granted:
- 25% extra time
- A reader / computer reader
- A scribe or use of a word processer
- Coloured overlays (blue)for visual stress

Modified exam papers e.g. enlarged print or Braille must also be arranged with the awarding bodies by the Exams Team

The Learning Support Team and Exams Team must be informed as soon as possible in all cases

Lecturers must give the Exams Office 3 weeks' notice of an exam so they can notify awarding organisations of any access arrangements required **prior** to the exam taking place

A special consideration is an adjustment to a learners' mark or grade to reflect temporary illness, injury or other indisposition **at the time of the assessment**.

Awarding organisations may award up to 5% extra marks.

Examples:

- Family bereavement
- Mental ill health
- Miscarriage

The Exams Team will send information about the learner's condition to the awarding organisation **with** the exam scripts.

Other adjustments that can be managed internally without applying to the awarding organisations

Examples:

- Supervised rest breaks, for learners that have low concentration levels
- A scribe for a learner with a broken arm
- A separate room for a pregnant learner needing to stand up or use the facilities frequently

Note: Unless the condition is visible, a Doctor's letter will be required.

Please give as much notice as possible to the Learning Support Team and Exams Team

Assessment Policy

Purpose / Scope

- This policy applies to all programmes that are internally assessed

- Whilst this policy provides the core guidance for assessment in the College, it should be noted that awarding organisations may have additional requirements that need to be met

- Staff are required to ensure they refer to and comply with awarding organisation requirements

- The Higher Education provision, including HNC / HNDs must comply with the policies and requirements / regulations of their awarding organisations; in most cases, the University of Plymouth

This policy is designed to ensure:

- A consistent and standardised cross college approach to ensuring high quality and rigorous standards in assessment

- Assessors are operating to the revised National Occupational Standards

- Assessment is inclusive, personalised and challenging so that learners are supported to take responsibility for their own learning and reach levels of achievement better than predicted by their prior attainment

- Assessment is accurate, consistent, current, timely, regular, valid, fair, reliable and meets national and awarding organisation standards

- There is open and fair access to assessment for all learners which does not disadvantage or advantage any group of learners or individuals

- Assessment is planned and regular. Designed to stretch learners and promote deeper learning, and measures progress towards the intended learning outcomes

- Feedback is frequent, detailed and accurate, informing learners of their progress and gives constructive feedback on how to improve to support learning and progression

- Feedback on learners' work includes the correction of spelling, grammatical errors and inaccuracies

- Accurate and detailed recording and tracking of assessment decisions and achievement that is easily accessible to staff involved

- Accurate, valid and timely registrations and certification claims

- Information and feedback is collected to inform quality improvement

Definitions / Terminology

- The Assessor is the person appointed by the College to work with the learner to advise and assess them

- The Internal Quality Assurer (IQA) is the person appointed by the College to ensure the consistency and quality of the assessment process

Key Points

Information at start of programme

- Programme information will give learners a clear and accurate overview of the assessment process and their responsibilities, their right to appeal, the support available and the equality of opportunity offered at City College Plymouth. These may be electronic or hard copy

- Every programme will have a clear assessment plan or schedule outlining when and how assessment will take place including timescales for submission and resubmission

- All learners will be made aware of the internal quality assurance process, be given the name of their IQA and information about the appeals procedure

- All learners will be made aware of plagiarism, the potential consequences and referred to guidance on presenting and referencing work

- The importance of managing own work and meeting submission deadlines will be reinforced and information given about the process of negotiating an extension and what counts as extenuating circumstances

Initial assessment

- All learners will undergo initial assessment prior to, or at the start of their programme, to ensure that they are placed on the right programme at the right level, and receive the literacy, numeracy, language, ICT and / or additional support they need to achieve

Planning Assessment

- Assessment will be inclusive, fair and appropriate to the needs of each learner

- Assessment and assignments will be planned at regular intervals to avoid overloading learners or staff and to allow for a resubmission opportunity

- Assignments should provide opportunities for learners to achieve at the highest level and should promote stretch and challenge

- All internally designed assignments will be internally quality assured prior to issuing to learners

- Assessment will comply with the awarding organisation scheme specifications in providing a variety of assessment methods and in accordance with awarding organisation access to assessment arrangements

Formative Assessment "Assessment <u>for</u> Learning"

- "Informative assessment" is feedback information for the teacher and the learner and includes a range of methods utilised by teachers during the learning process in order to modify and improve teaching and learning activities

- The focus should be on learning and the application of knowledge and skills rather than achievement of the assessment criteria / grades

Formative Assessment Feedback

- Regular, informal feedback as part of the on-going teaching and learning process designed to support learning and progression

- Feedback will be honest, open and constructive, and given in a sensitive and supportive manner so that the dignity of a learner is respected at all times

- Feedback will identify and praise what learners have done well, and explain where they have gone wrong and how they can improve

- Feedback will be tailored to meet the needs of the individual, often written as well as verbal, to help learners who may not remember what was said

- Marked work will be returned to learners so they can see specific directional comments as well as spelling / grammatical corrections annotated on their work

Summative Assessment "Assessment of Learning"

- Once learners are working on assignments that will be submitted for summative assessment, they must work independently

- There must be a clear line between helping a learner achieve their full potential, and doing the work for them

- Assessors will support learners to take responsibility for their own learning by dealing effectively with work that is submitted late or not completed

- All work submitted in hard copy will be recorded and a receipt issued, however, wherever possible, work should be submitted electronically e.g. to the programme Moodle site or via email

- All learners' work must be authenticated; a declaration of authenticity must be signed and dated by both learners and Assessors

- Achievements towards learning goals and qualifications will be recorded and accredited where relevant, with effective tracking of learners' progress must be maintained and shared with relevant staff

- Awarding organisation regulations regarding controlled assessments, examinations and external assessments, including security arrangements will be complied with

Summative Assessment Feedback

- Learners will receive timely feedback i.e. within a week but no more than three weeks after the hand-in date

- Summative feedback formally confirms achievement of specific assessment and grading criteria and must not include specific and detailed guidance on how to improve the evidence to achieve higher grades

See also Late Submission of Work and Resubmission of Work Procedures

Note: There are specific new rules around assessment, feedback and submission of work for BTEC programmes from September 2014

Awarding Organisation and Course Approval

Purpose / Scope

- To ensure all courses meet the minimum standards required by the College

- To ensure that learners are correctly enrolled on an approved programme

- To ensure that awarding organisation approval is in place prior to the programme commencing

- To ensure no awarding organisation sanctions are incurred for assessing learners prior to them being registered with the awarding organisation – or the assessments being declared invalid

- To ensure that there are appropriately qualified and experienced staff in place that meet the requirements of the Codes of Practice and Sector Skills Council's (SSCs)

- To ensure there is no negative impact on learner achievement by qualifications expiring before they have completed their studies

Definitions / Terminology

- Awarding organisation approval is granted externally for specific qualifications by the awarding organisation.

- Course approval is granted internally by the Vice Principal, Curriculum and Quality after discussion at Directors' meetings

Key Points

- The curriculum manager must complete the 'Curriculum Planning / Approval Check List' and meet with the Quality Assurance Co-ordinator who will support the process of applying for awarding organisation approval

- The checklist must be signed by the Head of MIS, Quality Assurance Co-ordinator and then final sign off by the Vice Principal, Quality and Curriculum after discussion at the next scheduled Directors meeting

Registration and Certification

Purpose / Scope

- To ensure the timely certification of our learners' achievement

- To ensure learners are registered before a qualification's expiry date and requests for certification are received by the awarding organisation prior to the qualification's certification end date

- To ensure that accurate, up to date and auditable registration and certification records are maintained with no late registration penalties incurred

Note: assessments completed prior to the learners being registered with the awarding organisation could be declared invalid and a sanction applied

Definitions / Terminology

- Registration is the process to inform awarding organisations about learners beginning a programme of study at an approved centre and generally triggers the appointment of an external quality assurer

- Certification is the issue of a nationally recognised qualification from an awarding organisation

Key Points

- Learners must be registered with the awarding organisations as soon as possible after enrolment – note that some awarding organisations specify timescales

- Exams generate registration documentation from enrolments on MIS and send to the curriculum teams for confirmation of which learners to register

- Awarding organisations will specify the timescales for registration and certification. Ofqual have issued a directive that all late registrations must be accompanied by a valid reason

- All claims for certification will be processed by the Exams team on receipt of completed relevant documentation from the IQA

- Staff must inform awarding organisation prior to registering a member of teaching or invigilation staff on one of their qualifications. Staff may not undertake a qualification while they are teaching or assessing that qualification

Appeals

Purpose / Scope

- To provide an opportunity for learners to appeal against the outcomes of assessment (or refusal to allow a resubmission of work)

- Complaints about members of teaching staff which do not relate directly to assessment decisions and judgements should be addressed using Talkback - the Formal Complaints Policy by completing a Talkback form

- In the case of external assessments / examinations, the system for appeal would be in accordance with the regulations and procedures laid down by the relevant examining or awarding organisation and dealt with by the Exams team

Note: There is an additional procedure for Pearson Higher Nationals provision; Appeal against the decision of an Assessment Board

Definitions / Terminology

- An appeal is a procedure through which a centre or Assessor may be challenged on the outcome of an enquiry about results or, where appropriate, other procedural decisions affecting an individual learner

- A complaint is where a criticism of the services a centre provides is received, when a reply is expected and there is an expectation that things may need adjusting

- All learners have the right of appeal against the outcomes of an internal assessment:
  - If they believe that their performance in assessment was adversely affected by illness or other mitigating circumstances
  - If there is evidence that there has been an internal administrative error, or that the assessment was not conducted in accordance with the regulations of the College or the relevant awarding organisation, or that some other material irregularity relevant to the assessment has occurred; **disagreement with the academic decision of Assessors or examiners is not in itself grounds for appeal**
  - If they believe the assessment to be inaccurate and / or unfair due to the assessment criteria relating to the specific assessment being incorrectly applied in awarding a grade or mark

Key Points

- All learners must be made aware of the internal quality assurance process, be given the name of their IQA and information about the appeals procedure

Stage One – Informal

- If a learner believes that the result of an internal assessment is inaccurate and unfair they should discuss this with the staff member who made the assessment decision within **ten working days** of the assessment results being received by the learner

- If the issue is unresolved, it must be documented before moving to stage two

Stage Two – Review

- The learner should appeal in writing to the IQA who will conduct a review of the assessment or a re-assessment and give a written response within **ten working days**

- The IQA must refer the issue to the Academy Manager prior to giving a written response and inform the Quality Assurance Co-ordinator that an appeal has reached stage two

- If the issue is unresolved; the learner will be advised to write to the Quality Assurance Co-ordinator who will arrange an appeal hearing

Stage Three – Appeal Hearing

- The learner will be invited to a meeting where a member of the Senior Leadership Team will hear the appeal and will give a written response within **ten working days**

- This is the last stage of the internal appeals procedure

- The learner is entitled to be accompanied by a member of staff, friend, College mentor, learner representative or relative

- If the issue is unresolved, the learner will be advised how to appeal to the awarding organisation

Stage Four – External Appeal

- Each awarding organisation has its own appeals process with differing timescales and costs; however, they all require the internal centre's process to have been completed prior to involving them

Recognising Prior Learning (RPL)

Purpose

- To enable learners to avoid duplication of learning and assessment for the purposes of awarding credit

- This may be due to previous **accredited** achievement (QCF or non-QCF) or **unaccredited** prior learning and experience

- The use and application of RPL is of particular value to learners without formal qualifications, who are either in employment, preparing to enter or return to employment. It enables them to gain all or part of a qualification on the evidence of their past achievements

Definitions / Terminology

> "RPL is a method of assessment (leading to the award of credit) that considers whether a learner can demonstrate that they can meet the assessment requirements for a unit through knowledge, understanding or skills they already possess and so do not need to develop through a course of learning."
> (Ofqual, Regulatory arrangements for the Qualifications and Credit Framework, August 2008)

- **Credit Transfer is t**he process of using credit(s) awarded in the context of one qualification (or awarded by a different awarding organisation) achieved **within the QCF** towards the achievement requirements of another qualification

- **Exemption** is the facility for a learner to claim exemption from some of the achievement requirements of a **QCF** qualification, using evidence of certificated, **non-QCF** achievement deemed to be of equivalent value (Acceptable exemptions and equivalences will be included in the rules of combination of a qualification)

- **Rules of Combination** support the mechanism of credit accumulation and transfer. They provide a structure within which the accumulation and transfer of credits between qualifications and awarding organisations can take place. They make explicit opportunities for learners to accumulate and transfer credit

- **Credit Accumulation and Transfer (CAT)** is the system by which learners can accumulate and transfer credits over a period of time, in differing locations and contexts, in order to gain qualifications

- **Shared Units** are units that a recognised organisation places in the unit databank and makes available to all other recognised organisations for access for use in the development of its rules of combination and to award credit for

- **Unique Learner Number (ULN)** is a 10-digit reference number allocated to each individual over the age of 14 undertaking education and training and allows learners to build a lifelong record of their participation and achievements

- **Personal Learning Record for the QCF (PLR)** is a simple means of recording all QCF learner achievement. It shows all qualifications they have registered for with the awarding organisation and the training provider plus the date achieved.

- **Managing Information across Partners (MIAP)** is a service supported by government which provides streamlined information management systems for the education sector. MIAP is responsible for the creation of the ULN through its Learner Registration Service (LRS) which is an internet-based facility that allows the storage of all details related to a learner's identity in a single place

Note: Prior attainment for full-time learners must be verified by accessing their PLR. College Learning Agreement forms give permission to access a learner's to verify their prior attainment. The Course Interview checklist includes the following question;

"Have you previously studied this qualification, or part of this qualification at any other time? If yes, please provide details"

Key Points

- Where previous certificated achievement is to be used towards a QCF qualification, this must be referred to the Academy Manager for advice and guidance as there may be implications on funding

- The learner may be exempt from learning and assessment for some units of the intended qualification due to previously achieving equivalent non-QCF units

- Learners must be asked about relevant prior learning, experience and achievement at entry (interview, induction, initial assessment, skill scan)

- The learner may be exempt from some learning hours due to prior experience and learning. In which case the assessments planned may be:
  - The same as the rest of the learners
  - Individualised

- If the assessment is planned to be individualised, then the Principles of RPL apply

Principles of RPL

Principle 1: RPL is a valid method of enabling individuals to claim credit for units irrespective of how their learning took place. Achievement of the learning outcomes is no different to that achieved through a formal programme of study

Principle 2: RPL Policies and procedures are rigorous, fair, transparent and accessible to ensure that all users can be confident in the decisions and outcomes of RPL

Principle 3: RPL is a learner centred, voluntary process; enough information advice and support is offered to enable the individual to make a claim

Principle 4: The process of RPL is subject to the same quality assurance arrangements as any other form of assessment

Principle 5: Assessment methods for RPL are equally as rigorous as other assessment methods, are fit for purpose and relate to the evidence of learning

Principle 6: Credit can be claimed for any unit through RPL provided the assessment requirement of the unit allows this. (As set out in the specification for the qualification)

Key Points

- Learners must be asked about relevant prior learning, experience and achievement at entry (interview, induction, initial assessment, skill scan)

- Any evidence of unaccredited previous knowledge, understanding or skills may be presented for assessment

- Any evidence of unaccredited knowledge, understanding or skills gained prior to the date of registration with the awarding organisation and assessment planning must be considered as RPL evidence and treated as such by the Assessor

- Assessment for RPL must be of equal rigour as other assessment methods and Assessors should record how they have checked the retention of knowledge and skills presented through the evidence

- Evidence of learning must be valid and reliable

- Given the considerable changes in theory and practice within all occupational sectors it is vital that the issue of currency of evidence is clearly established by the Assessor. **This will normally be within the last three years**

- The nature of evidence of prior learning (and any assessment of that evidence) would need to:
  - Match the requirements of a specified unit in the framework set out in its learning outcome and assessment criteria and reflect the level and credit value of that unit
  - Match any assessment specifications or strategies set by the awarding organisation and / or Sector Skills Council (SSC) and / or Standard Setting Organisation (SSB) or professional organisation

- Learners can claim RPL against any whole unit unless the assessment criteria of the unit states otherwise e.g. if an external test is part of the assessment to achieve the unit

- RPL is an assessment method and must be included in IQA sampling plans

Process of supporting a learner to make an RPL claim

Stage 1: General information advice and guidance about claiming credit
Learners will need to know about:
- The process of claiming credit through RPL
- The sources of professional support and guidance available
- The administrative processes for RPL applications
- Timelines, appeals processes and any fees and / or subsidies available

Stage2: Pre-assessment – gathering evidence and giving information
Once the learner decides to claim credit through RPL, they must collect evidence against the requirements of the unit(s). The learner must have sufficient support to be able to make decisions about how to collect and present evidence and be supported to make a viable claim. During this stage the learner will carry out the evidence collection and develop an assessment plan

Stage 3: Assessment / documentation of evidence
Assessors will follow a structured process for gathering and reviewing the evidence and making judgements about the learner's prior learning and experience in relation to unit standards. They will use the same process for reaching an assessment decision as they would for any other learner. The assessment process must be subject to the same quality assurance as any other assessment. It must be valid and reliable to ensure the integrity of units and qualifications

Stage 4: Feedback
After assessment, the Assessor will give feedback and confirm whether or not they will recommend that credits be awarded. At this point the Assessor will give support and guidance on the options available including further learning and development (particularly in cases where the recommendation is not to award credit)

Stage 5: Awarding Credit
This process is the same as for other forms of assessment. The award of credit through RPL will not be distinguished from any other credits awarded

Stage 6: Appeal
If learners wish to appeal against a decision made about their claim for credit, they must follow the standard College appeals procedure

Electronic Assessment

Purpose / Scope

This guidance is for the internal use of technology as a tool to support aspects of the learning, assessment and internal quality assurance processes such as submission and collation of learner evidence, assessment and internal quality assurance and electronic record keeping on the College VLE, Moodle or other platforms

Definitions / Terminology

JISC / QCA definition of e-assessment - the end-to-end electronic assessment processes where ICT is used for the presentation of assessment activity, and the recording of responses. This includes the end-to-end assessment process from the perspective of learners, tutors, learning establishments, awarding bodies and regulators, and the general public

The term e-assessment denotes any type of assessment that has an electronic component and incorporates one or more of e-testing, e-portfolios and e-marking. The following examples of e-assessment illustrate the potential scope and the range of its different uses. This list is not intended to be exhaustive.

- Assessments that are distributed, completed, marked automatically and administered electronically using local intranets / networks and individual workstations
- Assessments that are distributed, completed, marked automatically and administered electronically using the internet
- Assessments – comprising a combination of automatic marking and manual marking that are delivered in either of the two ways described above
- Electronic test delivery, with all marking completed manually on screen or on paper
- A range of multimedia formats for submitting assessment
- Electronic scanning of completed assessments for marking
- Tests downloaded from the internet by the centre
- Delivery of assessments' and submission of completed assessments by secure email
- E-portfolios to store and manage candidates' evidence electronically.
- Assessments that are automatically marked and react adaptively to learner performance

Regulatory Principles for e-assessment QCA April 2007

Effective Practice with e-assessment JISC 2007

Key Points

- There must be adequate access to IT facilities to allow the learner to participate and for the team to conduct assessment and IQA

- No learner should be disadvantaged by any barriers such as lack of IT skills and / or equipment or a disability and / or difficulty

- The system must be easily accessible and user-friendly for all users; learners, tutors, assessors, IQAs and external quality assurers

- Evidence must be maintained in a secure environment, access to which is limited through:
  - a defined hierarchy of user access
  - unique security passwords / IDs provided for each user
  - read-only rights provided to those with limited access
  - 'isolation' of completed units following final (summative) assessment

- Electronic evidence is subject to the normal requirements for authenticity and learners must complete a declaration of authenticity (which could be a tick box or a yes / no response)

- The platform must be capable of:
  - storing the full range of file types: text, sound, scanned images, digital pictures, video, templates and standard software applications, as required
  - being customised for learners with special access requirements
  - providing links to other documents/areas, such as centre policies and procedures, awarding organisation qualification documentation and the relevant Sector Skills Council, Professional Bodies' and other websites, as required

- Adequate training and / or technical support must be provided for all users where required

- Contingency plans should be in place to mitigate the risks associated with the loss of learners' work through:
  - the use of back-up facilities in the event of system failure
  - the facility to archive individual learner evidence on appropriate media

- There must be a clear assessment tracking system that enables an audit trail of the assessment and internal quality assurance process

- Assessment evidence must meet the requirements of the qualification and be valid, reliable, sufficient, current and authentic

Learner Malpractice (Plagiarism and Academic Dishonesty)

Purpose / Scope

- To identify and minimise the risk of malpractice to protect the integrity of the centre and qualifications by responding to any allegations promptly and objectively

- Cheating during exams will be subject to the College's Examinations Policy and procedures

- Under the Statutory Regulation of External Qualifications 2004, section 29: Centres must inform the awarding organisation of all cases of suspected malpractice. Failure to co-operate can lead to certificates not being issued and future registrations not being accepted

Definitions / Terminology

Plagiarism is defined as:
- Submitting someone else's published or unpublished work, in whole, in part, or in paraphrase, as one's own without fully and properly crediting (referencing) the author
- Submitting another person's written work as one's own original work
- Using the idea of someone else without proper referencing of the source
- Using pictorial work without permission or referencing of the source

Academic Dishonesty is defined as:
- The use or possession of unauthorised material during an examination
- Obtaining help with or answers to examination questions from another person with or without their knowledge
- Impersonation of a learner in an examination
- Deliberate falsification of evidence / data
- Using unauthorised aids in examinations
- Bribery (buying off or paying off) or collusion (conspiracy)
- Fraudulent use (or purchase) of electronic materials
- Any falsification / fabrication of any information within work being assessed

Key Points

- All learners must be made aware of plagiarism and academic dishonesty, and the penalties for attempted and actual incidence of malpractice, at the start of their programme during induction, in the course handbook and with assignment and assessment schedules

- Guidance and examples must be given to learners on the appropriate formats to record cited texts and other materials or information sources including websites. This includes directing them to the Learning Resources button on each Moodle site (click on Study Tips and Advice)

- Assessors must introduce processes for assessing work in a way that reduces or identifies malpractice. These may include:
    - Periods of supervised sessions during which evidence for assignments is produced by the learner
    - Altering assignments and tasks on a regular basis
    - Assessing work for a single assignment in a single session for the whole cohort of learners
    - Using oral questions with learners to ascertain their understanding of the concepts, application etc. within their work
    - Assessors getting to know their learners' styles and abilities

- Submitted work must represent the learner's own work and the learners must provide a written declaration that the evidence is authentic. Assessors are responsible for checking the validity and authenticity of the learners' work

- Learners are responsible for reporting anything they think is plagiarism

- Allegations of malpractice (plagiarism or academic dishonesty) must be referred to the Quality Assurance Co-ordinator

- The work / materials in question will be re-inspected and a copy of the unmarked work will be given to the learner with the original being retained by the tutor

- Penalties for malpractice (plagiarism and academic dishonesty) will follow awarding organisation malpractice guidelines and may include:
    - Work will not receive a grade
    - Learner retake of assignment or module
    - New assignment may be set to meet the target assignment
    - Failure for the assignment / module
    - A reduction in the final course grade

- The Student Disciplinary Procedure may be invoked for misconduct

- A record of a proven allegation of malpractice (plagiarism or academic dishonesty) will be kept on the learner's file in accordance with the Disciplinary Procedure

- The right of appeal will apply under the Student Disciplinary Procedure

Staff Malpractice

Purpose / Scope

To identify and minimise the risk of malpractice to protect the integrity of the centre and qualifications by responding to any allegations promptly and objectively

Definitions / Terminology

'Malpractice', which includes maladministration, means any act, default or practice which compromises, or attempts to compromise the process of assessment, the integrity of any qualification, or the validity of a result or certificate; and / or damages the authority, reputation or credibility of any awarding body or centre or any officer, employee or agent of any awarding body or centre

Examples of malpractice:
- Alteration of assessment and grading criteria
- Assisting learners in the production of work for assessment, where support influences the outcomes of assessment
- Falsifying entries
- Allowing evidence which is known not to be the learner's own, to be included in a learner's assignment / portfolio
- Failing to keep learner computer files secure
- Falsifying records / certificates
- Fraudulent certificate claims, e.g. claiming prior to completion
- Obtaining unauthorised access to assessment / exam / test material prior to assessment / exam / test

Note: Failure to deal with identified issues may in itself constitute malpractice

Key Points

- Staff are responsible for reporting anything they think is malpractice

- Allegations of malpractice will be reported to the Curriculum Director who will inform the individual in writing of the allegation, the process, the possible consequences and the right of appeal

- The Curriculum Director will conduct an internal investigation and inform the Quality Assurance Co-ordinator

- The individual will be given the right to respond to the allegations made during the investigation

- The Quality Assurance Co-ordinator will liaise with the awarding organisation where necessary to report any malpractice suspected or proven

- The Staff Disciplinary Procedure may be invoked for proven malpractice

- The right of appeal will apply under the Staff Disciplinary Procedure

The guidance should be read in conjunction with the JCQ document Suspected Malpractice in Examinations and Assessments – Policies and Procedures, the latest issue (www.jcq.org.uk).

Conflict of Interest

Purpose / Scope

To ensure assessment and internal quality assurance is free from conflicts of interest that could adversely affect judgement or objectivity and advantage / disadvantage a learner

Definitions / Terminology

A conflict of interest may generally be defined as a conflict between the official responsibilities of a tutor, Assessor or internal quality assurer and any other interests the particular individual may have that could compromise or appear to compromise their decisions

Examples of conflicts of interest

- Tutors, Assessors or IQAs participating in the appointment, promotion, supervision or evaluation of a person with whom the person, has close or familial ties

- Tutors, Assessors or internal quality assurers having a close or familial relationship with a learner , or learner's family whilst being involved in decisions about the outcome of their qualification

Key Points

- It is the responsibility of each individual to recognise situations in which they may have a conflict of interest, or might reasonably be seen by others to have a conflict; to disclose this conflict and to take such further steps as may be appropriate

- When this is the case, the individual should complete a Conflict of Interest in Assessment / Internal Quality Assurance Record and Action Plan form (See forms section of this handbook)

- This information should be submitted to the Academy Manager to be evaluated to identify if any further action is required and a written record of the outcome of the evaluation is kept

- Most situations require no further action than the completion of the form. In some instances, however, the information declared will require some follow up action, in order for the conflict of interest to be managed appropriately

Late Submission of Work

Purpose / Scope

- To ensure no learner gains advantage over another learner

- To encourage learners to take responsibility for their learning

- Applies to all learners' work that is submitted for internal assessment

Definitions / Terminology

Submission of work for assessment after the agreed deadline without prior agreement for extension or extenuating circumstances

Examples of extenuating circumstances:

- Personal health issues – normally supported by a medical certificate or doctor's letter

- Personal issues – legal, victim of crime, financial hardship, accommodation problems, bereavement or a serious health problem of close family member

Key Points

- All learners must be clearly informed of the following at induction, in the course handbook and with assignment and assessment schedules:
  - Assignment submission dates
  - The requirement to submit work to the specified deadlines
  - The process of negotiating an extension
  - The potential consequences of late submission without an agreed extension or extenuating circumstances

- If a learner does not submit work by the deadline, no extension has been agreed and there are no extenuating circumstances, the following courses of action **MAY** be taken:
  - The work will not be accepted for assessment
  - The work will be assessed, however there will be no opportunity for resubmission to improve grades
  - Disciplinary action will be taken

- Applying for an extension:
  - o Learners must complete an Application for Extension / Extenuating Circumstances Form (see forms section of this handbook)
  - o The form must be given to the tutor with corroborating evidence (e.g. a medical certificate, an official document such as a police report or a court summons)
  - o The tutor will make a decision about the validity of the request for an extension and will sign the form if they grant an extension
  - o Applications for extensions should be recorded on the eILP

- Clear guidelines must be issued to staff and learners as to what constitutes extenuating circumstances

- Extensions may only be granted once and will normally be no longer than 14 days

- After an extension has been granted, no further work will be done on the assignment but instead the learner may be required to undertake an alternative assessment covering the relevant outcomes

- The learner has a right to appeal against the decision not to grant an extension. The appeal should be in writing to the Head of Faculty

Note: Work that is accepted for assessment must not be penalised for late submission, with the exception of Higher Education and Access to HE programmes

Note: Access to HE learners who submit work late with no agreement for an extension or extenuating circumstances, will have the grade capped at a Pass. If the submission is unsuccessful, there is no opportunity for resubmission.

Resubmission of Work

Purpose / Scope

- To ensure no learner gains unfair advantage over another learner

- To maximise opportunities for learners to achieve high grades

- Applies to all learners' work that is submitted for internal assessment

Definitions / Terminology

Resubmission of a completed assessment after a summative grade has been given

Key Points

- All learners must be clearly informed about this procedure at induction, in the course handbook and with assignment and assessment schedules

- Learners may be given **one** opportunity for a further submission to improve grades provided they have met initial deadlines or an agreed extension

- Resubmission opportunities must be authorised by the Lead IQA after discussion with the delivery and assessment team

- The learner must work independently on the assignment for resubmission without further teacher support and guidance

- Resubmitted work must be included in IQA sampling

- All submitted work must be retained for external scrutiny

Note: Access to HE learners may resubmit their work if they only achieved a level 2, however it must be an alternative assignment.

Note: There are specific new rules around assessment, feedback and submission of work for BTEC programmes from September 2014

Note: New BTEC rules also allow one opportunity to retake failed pass criteria for QCF programmes only

Lost or Destroyed Learner Work

Purpose / Scope

- To ensure no learner is disadvantaged by losing work or portfolios of evidence

- To avoid unnecessary duplication of effort by learner or Assessor

- Applies to all learners' work that has been submitted for internal assessment

Note: Work that has never been seen by a member of staff is not covered by this procedure

Key Points

- All work submitted for evidence must be recorded and a receipt issued

- Accurate records of tracking of progress and assessment and internal quality assurance must be kept separately from the learners' portfolios

- Ascertain from the learner that the loss is genuine and the work cannot be retrieved electronically

- Investigate fully the circumstances of the loss and report to the Internal Quality Assurer

- Collate any formative and summative assessment records showing progress and achievement, together with registers and tutorial records including in-year reports

- Hold a meeting for Assessors, teachers, tutors involved to discuss the progress and achievement of the learner and agree which units have been completed and are recommended for claiming credit from the awarding organisation. Comprehensive notes of this meeting must be retained

- Inform the learner of the outcome of the investigation and meeting in writing

- Complete a final report summarising the loss, actions taken, progress and achievement and outcomes of the meeting and attach all relevant evidence

- Ensure the members of staff and learners concerned are available for the external quality assurer's next visit

Retention of Assessment and Internal Quality Assurance Records

Purpose / Scope

To ensure compliance with external requirements for retaining records of learners' assessment and IQA

Definitions / Terminology

The retention period for records of learners' assessment and IQA is 3 years

> "Centres to retain records for a minimum of 3 years in case any
> Issues arise from external verification or appeals."
> (QCA, NVQ Code of Practice, 2006 Para.23)

Key Points

- Centres are required to retain the following records of assessment and IQA:
  - Registration and certification records
  - Name of learner, date of birth and contract address
  - Title and accreditation number of each qualification and unit studied
  - Name(s) of Assessor(s)
  - Assessment records, including planning, assessment decision and tracking of progress
  - Exams papers and centre devised assignments
  - Name(s) of IQA(s)
  - Internal quality assurance reports

- Assessed and IQA'd work to be retained:
  - Awarding organisations generally require learners' assignments / portfolios of evidence to be retained for 6 months post course completion or at least until the next sampling activity

- Records are to be securely stored in a locked cabinet or office

Glossary

CAT	Credit Accumulation and Transfer
CPD	Continuing Professional Development
CV	Curriculum Vitae
GCE	General Council of Education
GLH	Guided Learning Hours
GNVQ	General National Vocational Qualification
ICT	Information and Communication Technology
IQA	Internal Quality Assurance / Assurer
IT	Information Technology
LLUK	Lifelong Learning UK
MIAP	Managing Information across Partners
NOS	National Occupational Standards
NVQ	National Vocational Qualifications
Ofqual	Office of Qualifications and Examinations Regulation
PLR	Personal Learning record
QCA	Qualifications and Curriculum Authority
QCF	Qualifications and Credit Framework
RPA	Recognising Prior Achievement
RPL	Recognising Prior Learning
SSC	Sector Skills Council
ULN	Unique Learner Number
VCE	Vocational Certificate of Education
VLE	Virtual Learning Environment

Policy control

Author: Quality Assurance Co-ordinator

Approving Body: Senior Leadership Team

Monitoring Officer: Director of Quality Improvement

Review & Evaluation Body: Senior Leadership Team

Targets for Continuous Quality Improvement:
As outlined in the following:
- Strategic Plan
- Quality Improvement Plan
- Key Performance Indicators

Monitoring, Review and Evaluation:
This policy will be monitored and reviewed through:
- College Lead Internal Quality Assurers Group
- External centre quality reviews
- Review of external quality assurance reports
- Curriculum review and evaluation process
- Self-Assessment Process
- Learner voice
- Assessment appeals and complaints

Dates of review:

Issue Date	September 2010
Review Dates	September 2011, November 2011, August 2012, June 2013, August 2014, August 2015
Equality & Diversity Impact Assessment	June 2010
Next Review	August 2016

Primary Distribution to:
- Curriculum Directors
- Academy Managers (Lead Internal Quality Assurers)
- Lead Internal Quality Assurance Co-ordinators
- Key Partners

Posted on the Quality Improvement Moodle and College intranet sites

Related Documentation

Internal:
- Quality Improvement Strategy
- Initial Assessment Procedure
- Teaching and Learning Policy
- Tutorial Policy and Procedure
- Equality & Diversity Policy
- Accessibility Commitment
- Exams Policy
- Staff Development Policy
- Talkback (Complaints)
- Student Disciplinary Procedure
- Staff Disciplinary Procedure

Note: The above documentation can be found on the Staff intranet site

External:
- The Common Inspection Framework: education, skills and early years for use from September 2015 (Published June 2015)
- Ofsted Further education and skills inspection handbook for use from September 2015 (Published June 2015)
- General Conditions of Recognition (Ofqual, November 2014)
- The Equality Act (2010)
- Assessing and Assuring the Quality of Assessment (LLUK 2010)
- National Occupational Standards for Learning and Development (2010)
- Regulatory arrangements for the Qualifications and Credit Framework (Ofqual, August 2008)
- NVQ Code of Practice (2006)

Note: The above documentation is available on the Quality Improvement Moodle site

Resources:
- The best Assessor's guide ISBN 978 1 8726 7826 9
- The best quality assurers guide ISBN 978 1 87267 827 6
- The Vocational Assessor Handbook ISBN 978 0 7494 6165 2
- Achieving your TAQA Assessor & Internal Quality Assurer Award
- ISBN 978 0 85725 717 8
- Assessing Learning in the Lifelong Learning Sector
- Quality Assurance and Evaluation in the Lifelong Learning Sector

These books can be found in both Kings Road and Goschen Libraries

Standard forms

These forms are designed for use across the College in all teams

Approval is required from the Quality Assurance Co-ordinator before using amended forms

In some cases it will be agreed that the use of awarding organisations forms is preferable, however, where possible, agreement should be reached with the External Quality Assurer to use the standard College forms

Form	Title
IQA 1	IQA Sampling Strategy
IQA 2	Assessor / IQA Induction & Training Needs Identified
IQA 3	IQA of Assignment Briefs
IQA 4	Application for Extension / Extenuating Circumstances
IQA 5	Conflict of Interest in Assessment / Internal Quality Assurance Record & Action Plan
IQA 6	IQA Sampling of Assessment Decisions
IQA 7	IQA Observation of Assessor
IQA 8	IQA Learner Interview Record
IQA 9	IQA Final Portfolio Review
IQA 10	IQA File Contents
IQA 11	IQA Sampling Plan & Tracking of Progress

Note: These forms have been configured to fit on one or two pages. You may wish to enlarge the text boxes in order to be able to make effective notes or complete by hand

IQA 1 - IQA Sampling Strategy

IQA	
Qualification(s)	
Location(s)	

Assessor name	Qualification Unit(s)	Risk Rating & Reason	% and frequency of sampling and observation

Risk rating

Red   New Assessor / working towards Assessor award / frequent actions identified on sampling / unsafe decisions identified by EQA / new qualification for Assessor

Amber   Qualified Assessor / low caseload / new to centre / newly qualified Assessor / few actions identified on sampling

Green   Experienced, qualified Assessor, rare actions identified on sampling

Planning activities	Autumn	Spring	Summer
Learners to be sampled			
Assessors to be sampled			
Assessment methods to be sampled			
Units to be sampled			
Assignments to be sampled			
Locations to be visited			
Standardisation activities			
Assessor meetings			
Assessor observations			
Learner interviews			
Review and evaluation of strategy			

Note: Learners from relevant protected characteristic groups that may be at risk of being disadvantaged should be identified in sampling plans

Confidentiality may be maintained by using a symbol as an alert that they may be at risk without identifying the reason the sampling plans

IQA 2 - Assessor / IQA Induction & Training Needs Identified

IQA	43
New Assessor / IQA	
Qualifications	

Activity	Date completed
Initial contact made by IQA	
Produced CV, sample signature and authenticated copies of certificates	
Received Internal Quality Assurance of Assessment Centre Handbook	
Received team handbook for Assessors / tutors	
Centre documentation and procedures explained	
IQA / improvement procedures explained	
Equality & Diversity policy explained and understood	
Made aware of resources available	
Received personal copy of qualification specifications	
Counter signer allocated if required	
Mentor allocated if required	
Received guidance on CPD requirements and opportunities	
Academy Manager informed of training needs	

Training and development needs identified, including target date to achieve assessment or IQA units if required			
Confirm activities completed		Date	
Assessor signature		Date	
IQA signature		Date	

IQA 3 - IQA of Assignment Briefs

Qualification		Assessor	
Unit(s)		IQA	
Assignment Title:			

Questions	Yes / No	Details:
Is the course planner clearly referenced to cover the whole or unit syllabus?		
Does the course planner clearly show how Equality & Diversity is embedded?		
Is the assessment schedule effectively planned to optimise achievement and not place unreasonable workload on learners?		
Are accurate qualification and unit details shown?		
Are clear and realistic timescales for assessment given?		
Is this assignment for whole or part of a unit?		
Are the assessment criteria to be addressed listed?		
Does each task show which criteria are being addressed?		
Are tasks clearly linked to the prescribed assessment methods? (Where relevant)		
Are these criteria actually addressed by the task?		
Where relevant, do the tasks clearly identify the requirements to achieve a merit or distinction?		
Is it clear what evidence the learner needs to generate?		
Is the language and presentation appropriate for the level?		
Is there a scenario or vocational context? Preferably linked to employment.		
Does the assignment contain opportunities to explore equality and diversity issues?		
Is the language in the assignment neutral and bias-free, avoiding discrimination and stereotyping?		
Is there the opportunity to submit evidence in alternative formats?		
Overall, is the assignment fit for purpose?		
Are any remedial actions required?		

I confirm that this assignment has been checked, no action is required and the assignment is approved

IQA signature		Date	
Lead IQA signature (if sampled)		Date	

Action required	By Whom	By When	Completed

Lead IQA feedback

I confirm that the remedial actions required have been carried out and the assignment is now approved

Assessor signature		Date	
IQA signature		Date	
Lead IQA signature (if sampled)		Date	

IQA 4 - Application for Extension / Extenuating Circumstances

Learner			
Course		Tutor / Assessor	
Unit(s)		Submission date	
Assignment Title:			

Please indicate why this form is being completed by highlighting one of the following:
1. Explanation for absence from an examination / assessment
2. Claim for extenuating circumstances to be taken into account when an assessment has been attempted
3. Request for extension to assessment deadline

Details

Evidence to support this application

Extenuating circumstances valid   Yes / No

New submission date:

If not valid – actions to be taken

Tutor / Assessor signature		Date	
Learner signature		Date	

IQA 5 - Conflict of Interest in Assessment / Internal Quality Assurance Record & Action Plan

- This document is to be completed in discussion by all relevant parties.
- The outcomes should be recorded in the minutes of the team and IQA meetings.
- The completed form should be retained by the IQA and a copy should be placed in the learner's portfolio

Learner	
Tutor	
Assessor	
IQA	
Course	

What is the conflict of interest that may advantage / disadvantage the learner?

How will this conflict of interest be managed?

What IQA strategy has been agreed?

Confirm activities completed		Date	
Learner signature			
Tutor signature		Date	
Assessor signature		Date	
IQA signature		Date	

IQA 6 - IQA Sampling of Assessment Decisions

Qualification			Assessor	
Unit(s)			IQA	
Assignment Title				
Learner			Registration No	

Which criteria has the Assessor awarded?	Pass		Merit		Distinction

Assessment methods used		

Questions	Yes / No	Details:
Were the assessment methods been planned in advance?		
Were the assessment activities inclusive and take into account the individual learner needs?		
Were any adjustments made to the assessment methods in response to the support requirements of disabled learners?		
Do the criteria awarded match those targeted by the brief?		
Has the work been assessed accurately?		
Has the Assessor checked the authenticity of the evidence?		
Is the feedback to the learner: • Timely i.e. no more than 3 weeks later • Constructive? • Linked to relevant grading criteria? • Identifying opportunities for improvement? • Supporting development of literacy and numeracy? • Promoting equality and diversity? • Sensitive and supportive, respecting the learner's dignity?		
Does the assessment / grading decision need amending?		
Are any remedial actions required?		

I confirm that these assessment decisions have been agreed and no action is required

IQA signature		Date	
Lead IQA signature (if sampled)		Date	

Action required	By Whom	By When	Completed

Lead IQA feedback

I confirm that the remedial actions required have been carried out and the assessment decision is now approved

Assessor signature		Date	
IQA signature		Date	
Lead IQA signature (if sampled)		Date	

IQA 7 - IQA Observation of Assessor

Qualification		Assessor	
Unit(s)		IQA	
Learner			
Location			

Did the Assessor:	Y / N	Details
Carry out effective pre-assessment arrangements?		
Give clear and accurate information to the candidate about the process?		
Encourage the learner to identify and present evidence?		
Refer to the standards for the unit(s) being assessed?		
Use questions that were clear, open and not leading?		
Make accurate judgements based on the evidence seen?		
Ensure evidence was reliable, authentic, sufficient and current ?		
Ensure that all possible sources of evidence were considered?		
Clarify and resolve any inconsistencies with the evidence		
Confirm the outcome of the assessment?		
Give feedback that was honest, open and constructive, in a sensitive and supportive manner?		
Encourage the learner to ask any questions?		
Agree further actions?		
Complete all assessment records fully and accurately?		
Operate according to the revised National Occupational Standards?		

Remedial action required:			
Confirm action completed		Date	
Assessor signature		Date	
IQA signature		Date	

IQA 8 - IQA Learner Interview Record

Qualification		Assessor	
Unit(s)		IQA	
Learner			
Location			

Select from the following questions:
1. What did you cover in your induction?
2. Was any of your prior experience considered / used towards this qualification?
3. Are you having any training whilst working towards this qualification? If yes, please describe
4. Do you know how to appeal if you disagree with an assessment decision?
5. Was equal opportunity explained to you at any stage?
6. Were any learning needs identified before you were assessed?
7. If yes, who is delivering the support and where?
8. Was the assessment process explained to you? What do you understand it to be?
9. How soon after you started was your first assessment?
10. What involvement do you have in planning your assessments?
11. When, how and where does assessment take place?
12. Who assesses your evidence? Does anyone else check it?
13. How often do you see your Assessor? Is this enough?
14. When does your Assessor give you feedback on assessments?
15. How do they do this? Is it written down for example?
16. Were you told what criteria you had met or not met?
17. Were you told what you needed to do to improve?
18. What types of evidence have you collected so far?
19. What units have you achieved so far?
20. What help and guidance have you had with putting your evidence together?
21. What kind of help and guidance have you had to put your portfolio together?
22. Do you think this qualification will help you to progress to another qualification or job?

Indicate the number of the question asked, and summarise the response below

IQA signature		Date	

IQA 9 - IQA Final Portfolio Review

Qualification			Assessor	
Unit(s)			IQA	
Learner				

Checklist	Y / N	Details
Countersigning Assessor details		
Awarding organisation registration number		
The portfolio is clearly sectioned and easily accessed. An effective referencing system is in place		
For unqualified Assessors the assessment decisions have been countersigned by a qualified Assessor		
All learner / Assessor authentication requirements are in place		
The learner CV, initial assessment contract agreement, access to appeals and witness status and participants list are complete		
There is complete evidence of the Assessor being active in the full assessment cycle (from planning to review and feedback)		
The Assessor records of assessment decisions are complete and accurate		
All key documentation is dated and signed by Assessor		
The qualification / unit summary achievement sheet(s) is complete		
Assessment documents are complete and available for storage		
IQA records are complete and available for storage		

Remedial action required / taken by the Assessor:			
Confirm action completed		Date	
Assessor signature		Date	
IQA signature		Date	

IQA 10 - IQA File Contents

	Title	Documents
1	Awarding organisation approvals	• Awarding organisation approval documents • Approval as Accredited IQA with the awarding organisation
2	Overview	• Extract from Directory or print-out from internet • Page of text outlining the programme and progression route e.g. term 1 - award, term 2 - certificate, diploma • List of units with GLH and credit value • Class Profile form or text explaining the type of learners • Table showing the units, Assessors, IQA • **IQA checklist** from the IQA of Assessment Centre Handbook
3	IQA strategy & sampling plans	• IQA Sampling Strategy form • Text explaining why you do what you do and when • Ensure this includes the model of IQA used e.g. each Assessor IQAs the assessment decision of another Assessor
4	CVs	• If you only have a small team it would be good to have these in the file, if you feel there are too many, then you may want to put them on a USB stick so that the external reviewer can see them quickly • Awarding organisation or SSC Assessment Strategy outlining the requirements for Assessors and IQAs
5	Assessor / IQA induction & training needs identified record plus development plans	If you have no new staff – you should still have a mechanism for identifying training needs – the College form is useful for this

6	Awarding Organisation registrations	• List of learners with registration numbers • Copy of registration confirmation from awarding organisation
7	Assessment	• Assessment / Assignment Schedule / Plan showing when the assignments will be issued and expected in • Course / Programme Handbook or information sheets for learners showing units, assignments and information given about appeals, plagiarism late submission, resubmission and extenuating circumstances • Course Planner to show that all aspects of the specification will be covered in delivery, where E&D is embedded and when assessment will take place • List of assignments and dates of IQA prior to issue – need to be able to check that all assignments have been done • Please include all assignments and the IQA of assignment brief form for each – if they are too numerous; put them in a second file or on a USB stick
8	IQA sampling of assessment	• IQA sampling of assessment forms
9	IQA observations of assessment	• Only currently required for NVQ programmes but good practice to do, especially peer observations
10	IQA learner interviews	• Only currently required for NVQ programmes but good practice to collect course level satisfaction, as the College surveys only produce results at programme area level • Could also take notes from "focus group" type discussion perhaps during tutorial or ask learners for a "reflection" on their programme of study
11	Minutes of meetings and standardisation activities	• Schedule of meetings • Minutes of meetings / records of standardisation activities

12	Tracking of progress documents	• Spread sheet or table showing learners' progress through the units and where relevant, grades achieved
13	External awarding organisation reports	• Recent reports plus evidence of addressing any actions
14	Applications for certification	• Copy / print outs of the documentation passed to Exams to claim
15	Evaluation of assessment & IQA of assessment including learner views	• Required as part of course self-assessment process

IQA 11 - IQA Sampling Plan & Tracking of Progress

IQA: **Assessment Site(s):**

Qualification/level: **Sampling period:**

Assessor	Assessor status*	Counter signer	Learner	Awarding organisation Registration number	Location	Award level	Enrolment date	Target date for completion	Equal Opportunities monitoring*	LI – Learner Interview Planned AO – Assessor Observation	Completed units/date achieved (units highlighted for predicted sampling) OB – Observation / WQ – Written questions / OQ – Oral questions / WT – Witness testimony / WP – Work product / RA – Reflective account / S – Simulation / PD – Professional discussion / PA – Project / assignment / RPL – Recognising prior learning												IQA Date/s	Final	Award claimed	IQA Name
										AO / CI Dates conducted	Unit	Unit	Unit	Unit	Unit	Unit	Unit	Unit	Unit	Unit	Unit	Unit				

*Assessor Status   ***Equal Opportunities monitoring – insert a * as an alert to a relevant protected characteristic**

Red
Amber
Green