

# **Internal Quality Assurer /Moderator**

## **Policies/Procedures**

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## Introduction

The company is committed to providing learners with the best possible training opportunities designed to meet their individual needs. The company strives to support all assessors and IQAs in order to ensure that the needs of the learners are met and that good working practice is reflected in their work.

As part of this assessors are offered support to enable their learners to complete the QCF programme to the National Occupational Standards. This support and guidance is offered by the Internal Quality Assurer.

The Internal Quality Assurer is integral to all quality assurance within the company and works within the NVQ Code of Practice and Awarding Body guidelines at all times.

As part of the quality assurance process, Internal Quality Assurers will be supported and guided by the lead Internal Quality Assurer.

The IQA will provide assessors with all the paperwork needed to assess and directly observe the learner, support with individual progress and concerns, and standardisation meetings to standardise assessment methods and discuss individual assessment issues. Internal verification feedback will be provided on an ongoing basis. Each assessor will be allocated an Internal Quality Assurer who will make a visit to observe the assessor with their learner at some part through the programme, and will also sample their portfolios.

The Awarding Body visits the company a number of times in the year and may want to meet with assessors to discuss progress of individual learner's and any other assessment related issues.

The Internal Quality Assurer will work closely with the Lead IQA and the Regional Quality Manager to ensure that the company work within the quality assurance framework for the QCF. It is important that the IQA and the Lead IQA work closely together, ensuring that assessors and Internal Quality Assurers are occupationally competent and are up to date with regard to current best practices and QCF processes.

This handbook contains copies of the paperwork needed for all IQA processes for all of the QCF programmes delivered through the company and also guidelines as specified by the awarding bodies. This handbook needs to be read and used in conjunction with the following documents:

- CACHE Centre Information Pack for the Qualifications and Credit Framework (QCF) qualifications
- ASH HCT Assessor handbook
- Skills sector guidance for competency and knowledge
- CACHE document 'How to ... A Guide to Assessing CACHE QCF Qualifications'

## Verification Sampling Strategy

Sampling is a review of the quality of Assessors' judgements at both interim and summative stages. Interim sampling is where an Internal Quality Assurer 'dips in' prior to a summative decision being made. This enables the Internal Quality Assurer to identify and rectify problems early on and share good practice. At the summative stage the Internal Quality Assurer evaluates how an Assessor has reached their decision. IQAs can sample across units, evidence types and completed Learning Outcomes or units. Assessment plans, reviews will be part of this sample.

All assessors are aware of the IQA process. ASH HCT is introducing a system where sampling of portfolios will happen with the assessor present at least once to identify any recurring issues, concerns or overall training and development needs. This may need to be repeated with some assessors until the issues are resolved. A one to one meeting will take place to discuss action points between the IQA and assessor.

In addition IQAs work together and share good practice sampled and any points of concern that need to be discussed further and potentially taken up in the next standardisation meeting.

## Assessor traffic light system

ASH HCT are moving away from 100% IQAing now that the QCF is established. ASH HCT categorise assessors as red, amber or green. A red assessor will be sampled 50%, amber 40% and green 30%. A database has been compiled of assessor competence for all units in the QCF qualifications delivered by ASH HCT following skills sector guidance. In discussion with the IQA team, an assessor can self assess themselves as red, amber or green.

A red assessor may be a new assessor who is new to the award or unit. An amber assessor may be an experienced assessor who is new to the award or unit or the knowledge and competence requirements in the award. A green assessor is experienced and has the necessary knowledge and competence. No experienced assessor will be in the red category as they will have a recognised Assessor qualification and are familiar with the process of assessment.

An IQA will sample an assessor across the range of levels delivered by ASH HCT , including sampling within a qualification to check differentiation between the levels (for example, Level 3 units within a Level 2 qualification).

Where an assessor is not yet certified, they will be assigned learners and will work towards their Assessor qualification. They will work closely with their assessor, who will feedback promptly to the trainee Assessor and ensure any areas of good practise, concern and/or training and development needs are recorded and addressed. The IQA will conduct a full sample of the first unit as soon as it is completed. The IQA cannot be the Assessor for the Assessor award.

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Any one to one meetings between the IQA and assessor will be recorded on a supervision record (**appendix 12**). An assessor can be moved from amber to red if there are recurrent issues and referred to the Director in some cases.

## **IQA Process – step-by-step**

Use this IQA procedure to get started.

Ensure that you have a list of your assessors, their contact details and the names and level of programme that their learners are working towards.

All assessors are aware that IQA takes place every three months for long courses and at the end of each course for short QCF courses. The IQA will send email reminders of dates. Any replacement dates are at the IQA's discretion.

Draw up a sampling grid for each of the assessors in order to track IQA completed and to ensure that each assessor has been sampled across each unit over a period of time. (**appendix 17**)

An IQA visit / Zoom meeting with every assessor should be completed annually and the paperwork passed on to the Lead IQA at the company. (**appendix 11**)

An IQA should also carry out a learner interview annually and the paperwork passed onto the Lead IQA (**appendix 7**)

No portfolios are IQAed before the learner is registered with the awarding body.

### Guidelines when Internally sampling a portfolio

Check that all learner details completed in section 1 of portfolio, including Health and Safety questionnaire in Induction Pack A.

Check assessment plan for learner and assessor signature and dates, PIN and ULN.

Ensure that the assessment plan dates and information match up with the evidence submitted (for example, meetings, professional discussions and observations).

Check the assessor feedback on the assessment plan.

If it is a new award, check each unit. Choose 2 or 3 different evidence methods so that each evidence method has been sampled by the time the portfolio is signed off.

If the folder has been previously IQAed, start by checking action points on sampling report have been followed up by assessor and learner. Sign and date sampling report to say actions complete.

Check that the evidence is valid, fair, reliable, current, authentic and sufficient.

Check signatures, dates, PIN and ULN are on all observations.

You may wish to select particular A.C.'s that are problematic or critical to the occupational role of the learner.

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While checking the evidence method and assessment plans, track the evidence through the learner portfolio – sign iclearly both on the Standards next to the A.C.'s and on the evidence.

Sign using your signature, date and IQA.

The Internal Quality Assurer should then track on their IQA tracking which units they have internally verified for which assessor and learner.

Record any action points on the IQA sampling report form.

The **sampling report should not be given to the learner**. These should be filed in the IQA master folder.

Remember to be constructive and positive in the feedback.

Offer support and encouragement and specific action points if necessary.

Ensure that Awarding Body practice has been adhered to.

Pass on the feedback to the assessor.

If a learner has completed the qualification, write 'signed off' on the sampling report. The assessor can now request certification from Admin.

If in doubt – check with another IQA or the Lead IQA at the company.

## Developing and Supporting assessors

The Lead IQA at the company will provide an induction to newly appointed Internal Quality Assessors and will complete the Induction checklist (**appendices 3 & 4**). The Lead IQA will also conduct a training needs analysis (**appendix 5**) and will be responsible for ensuring the training and development needs of the Internal Quality Assessor are addressed and are reviewed annually.

If an Internal Quality Assessor has not yet achieved their award the Lead IQA will agree a date for their achievement of the award and ensure the Assessor has an action plan in place. In the interim all of their verification/ assessment decisions will be validated by a qualified Internal Quality Assessor.

## Record keeping

The lead IQA will maintain three confidential files:

1. Assessor information including
  - C.V. demonstrating occupational competence
  - Certificates
  - CPD records
  - CRB disclosures
2. Ongoing assessor information including
  - Record of assessor and IQA induction
  - Assessor and IQA training needs analysis
  - Learner interview records
  - Assessor annual visit
3. Lead IQA master folder
  - IQA reports on performance and assessment decisions.
  - IQA sampling grids
  - Standardisation meeting minutes
  - IQA workplan

Other IQAs in the team will also keep an IQA folder containing IQA reports and sampling grids for their assessors.

## **Internal Quality Assurer Responsibilities**

### **Key responsibilities:**

#### **Advice and support for assessors**

- to make contact with assessors by email, telephone in person to confirm IQA dates and requirements.
- to develop a supportive and constructive relationship with each assessor
- to act as first point of contact for assessors in the assessment process
- to make at least monthly contact with the assessor (either in person, phone or email) if they are not based in the ASH HCT office
- to ensure that the assessor has access to full, up-to-date documentation, records and guidelines and is making appropriate use of such guidelines and documentation
- to support assessors to identify learners with special assessment requirements and make arrangements as appropriate
- to make recommendations to assessors and to the company regarding improvements or changes to assessment and verification practice
- to organise and facilitate standardisation activities and meetings.

#### **Processing of assessment and verification documentation**

- to ensure that all records/portfolios are stored securely and are kept confidential
- to supply the company with completed Assessor annual visit records for each observation/support visit undertaken
- to supply the company with Learner interview records completed during/after discussion with learners
- to supply the company with completed IQA sampling report for each portfolio sampled.
- to provide the company with an overview of any verifications carried out on an IQA sampling plan grid

#### **Verify assessment practice**



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- to uphold the company's Equal Opportunities policy at all times and implement the Appeals procedure when appropriate
- to arrange for an assessor observation for each assessor for every twelve month period (**appendix 11**)
- to agree arrangements with the assessor for the verification of completed learner portfolios (full qualification).
- to liaise with the Regional Quality Manager as appropriate
- to be available for Regional Quality Manager visits and for workplace visits - with assessors and learners - as requested by Lead IQA and/or company director.
- to act as a mentor for unqualified IQAs and Assessors as agreed with the company.

### **Lead IQA key responsibilities**

In addition to the above:

- Produce, review and amend work plan
- Allocate and agree responsibilities with team members (in the future)
- Communicate changes.

## Standardisation of assessment process

Standardisation meetings are held three monthly, or more often if required. All assessors and IQAs ASH HCTend across all courses offered by ASH HCT One of the IQAs will email the agenda before the meeting. The meeting includes the following:

- Reading of previous minutes.
- IQA feeds back any IQA findings based on sampling, for example on evidence used or on assessment judgements.
- Discuss agreed approach to QCF qualification
- Share good practice
- Discuss problem criteria
- Any actions agreed
- Minutes taken

Now that the QCF qualification is established, standardisation meetings will also include standardisation activities. These should cover all assessment methods and levels. This involves the following:

Planned activity with a clear aim  
Activity using varied material  
Agreed outcome and rationale recorded on proforma  
Actions and by whom agreed

This forms part of a cycle. Any agreed changes will be sampled by the IQA and discussed at future standardisation meetings.

## Standardisation of IQA process

- All IQAs follow the guidelines in this handbook and standards outlined in the IQA qualification
- Regular IQA meetings
- IQA happens together where possible, or feedback and discussion afterwards.

## Internal Moderation Guidance

### PTLLS/CTLLS/DTLLS

Internal Moderators must

- Have a thorough understanding of the internal assessment requirements
- Have a thorough understanding of the level or work expected from the learners
- Have current occupation competence in order to make reliable decisions
- Sample 10% or 5 assignments, whichever is the greater of the group submitting assignments.
- As many learners as possible during the award.
- The assessment decisions of each marker of the unit
- Ensure that the assessment decision is valid, fair, reliable, current, authentic, sufficient, accurate and consistent.
- Ensure that the marker has provided constructive feedback to the learner.

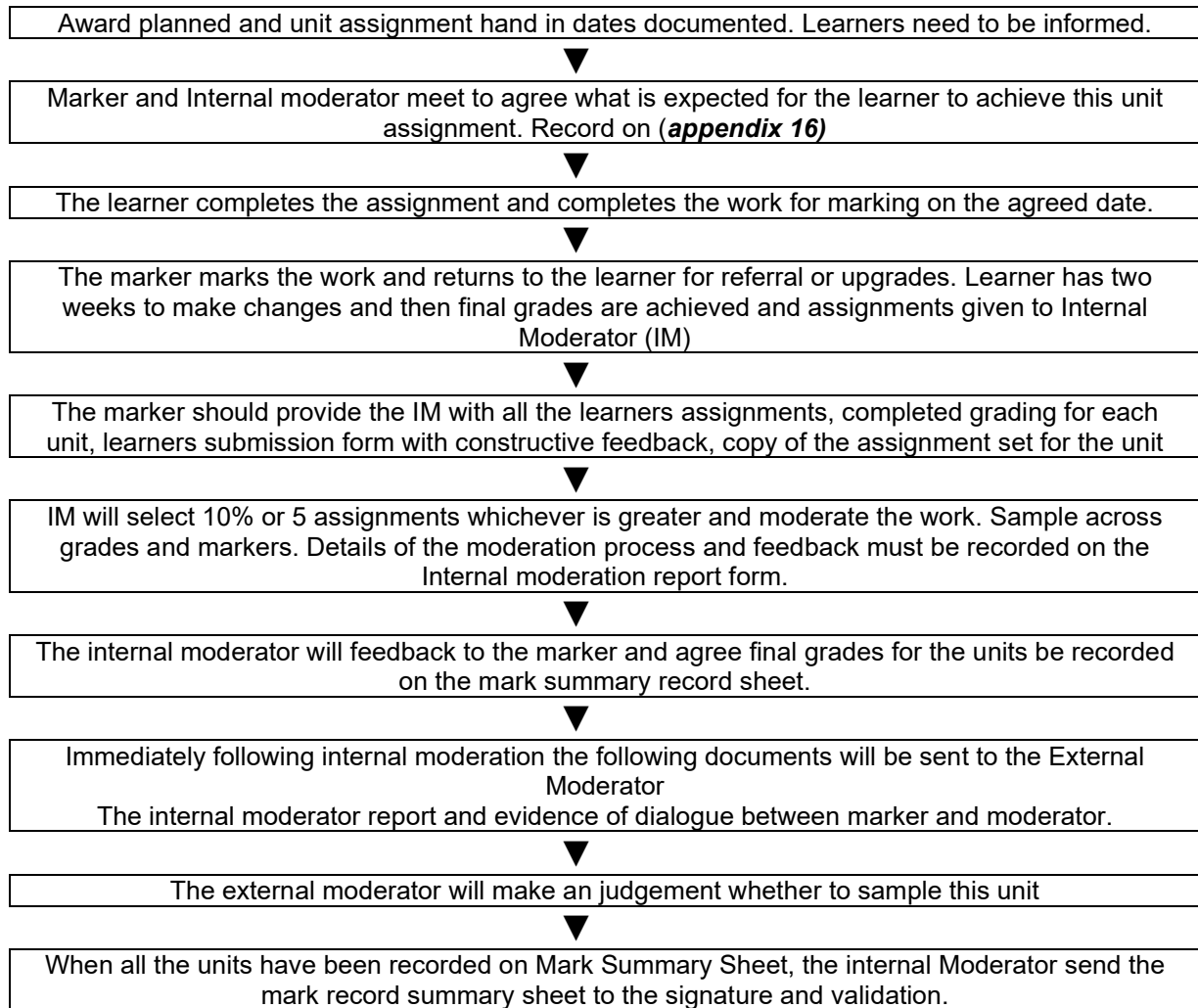
### FUNCTIONAL SKILLS (Apprenticeships)

Internal Moderators must

- Have a thorough understanding of the internal assessment requirements
- Have a thorough understanding of the level or work expected from the learners and assessors
- Have current occupation competence in order to make reliable decisions
- Moderate records of Speaking and Listening assessments
- Make contact with assessors by email, telephone in person to confirm moderation dates and requirements.
- Ensure that the assessment decisions are valid, fair, reliable, current, authentic and sufficient.
- Ensure that the assessor has provided constructive feedback to the learner in the assessment plan and feedback record.
- Make recommendations to assessors and to the company regarding improvements or changes to assessment and moderation practice, including any recommended training and development
- Follow awarding body guidelines
- Organise and facilitate standardisation activities and meetings
- Be available for Regional Quality Manager visits as requested by Lead IQA and/or company director

## Internal Moderation Process

### PTLLS/CTLLS/DTLLS



## Continuing Professional Development

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- All staff qualified according to skills sector and awarding body guidance and hold or will be working towards a relevant assessor, IQA or teaching qualification.
- The company strives to maintain and update training with current legislative changes, and reflect Assessor and IQA qualifications.
- Yearly Internal Quality Assurer visits will be carried out with all assessors to ensure they are working to the agreed standards.
- The Internal Quality Assurer will sample assessors practice (please see IQA Sampling Strategy) on an on-going basis.
- All staff will be required to complete and update a CPD log on a regular basis, ensuring that activities such as attending Awarding Body standardisation days and completing Occupational competency days (three times a year) etc are logged on their CPD to ensure quality assurance.
- The training needs analysis provides assessors with the opportunity to discuss any needs. Some development needs may also be discussed with the company director.

## Quality assurance and the learner

It is the company's aim to provide good quality assessment and training opportunities for all its learners. This means ensuring the following:

- All subject matter is current and in line with the National Occupational Standards (where appropriate).
- All learners receive prior information about aims and objectives of the QCF Programme and/or training session(s), to ensure the relevance and appropriateness of the training to the learners' needs.
- All learners complete an evaluation form at the start, midpoint and end of their learning journey. This encourages feedback regarding quality of training, training needs and barriers to training via methods such as questionnaires, evaluations and progress reviews. In addition the IQA will interview a sample of learners.
- Learners progress will be monitored and reviewed throughout their programme, and on-going feedback, advice and actions will be given in order to achieve successful outcomes.
- All assessors complete assessor course monthly reports. Any issues will be flagged by Admin to the IQA and/or company director.

# Trainer / Assessor Observation Policy

## 1. Policy Statement

The purpose of Lesson Observation is to quality assure the delivery of teaching and learning; to develop and drive high standards of learning and teaching in all delivery and identify and share good practice

The Chief Operations Operator is responsible for reviewing this policy every two years as a minimum.

All direct delivery trainer/assessor will have two lesson observations each academic year. The trainer/assessor who have not taught before at ASH HCT Ltd will be observed during their first teaching programme. (One will be unannounced observation and the second will be arranged with the trainer/assessor)

All trainer/assessor delivering ASH HCT programmes should be observed delivering a programme at least once during the year. Exceptions-

- Where trainer/assessor also teach on a range of other programmes delivered by ASH HCT and have been observed doing so; this can be accepted but the tutor's assessment practice will then need to be observed by their designated IQA.

## 2. Responsibility

The observation and maintenance of the quality assurance process is management led and the overall responsibility for monitoring the implementation of the scheme rests with the Chief Operations Officer.

## 3. Procedures and Outcomes

Classroom observation is an essential element in the continuous process of improving standards of teaching and learning.

### 3.1 Procedure for Lesson Observation

- Observations will be carried out by a core team of experienced observers including the Chief Operations Officer and Lead Internal Quality Assurers
- Observations will not necessarily last for the entire duration of a teaching session but tutors can expect to be observed for a minimum of 45 minutes
- A provisional grade (1-4) will be given for each observation and be confirmed to the tutor on the observation record following moderation by a Senior Manager
- All observation records and feedback are confidential.
- The Action Plan resulting from the observation will be monitored by the line managers and recorded.

### 3.2 Procedure Before the visit

- Notice of three working days will be given for the Observation visit, except during Inspection.
- All teaching and course documentation should be available to the Chief Operations Officer and Tutors on the T drive.

### 3.3 During the visit

- The observer can arrive at any time during the session and will introduce themselves to the trainer/assessor.
- The observer will observe for a minimum of 45 minutes
- The trainer/assessor will make the learners aware of a possible visit and reassure them of the process.
- The trainer/assessor file and all materials appropriate to that session should be available to the observer.
- The observer will make notes during the session
- The observer will talk to the learners and look at their work and Individual Learning Plans. The questioning of learners by the observer will be informal but professional. It will not personalise issues to do with the tutor or raise doubts in learners' minds about the programme of learning.

### 3.4 Feedback

- Feedback arrangements to the trainer/assessor will be agreed at the observation and the extent of the initial feedback will depend on the available time and circumstances of the class. However the major strengths, areas for improvement and provisional grade should be discussed.
- Trainer/assessor should be advised that the observer may reflect on the observation before detailed feedback is provided and a provisional grade decided. Trainer/assessor will be reminded that they will receive written feedback after moderation
- Trainer/assessor should also take an active part in the evaluation during the feedback of their performance and be involved in the review of the session and their subsequent actions for improvement.

### 3.5 Moderation

- The observer will complete the observation record form and send it to the designated Senior Managers for moderation within 5 working days of the observation.
- The Senior Manager will review the grade and evidence provided within 5 working days of receiving the observation report. Where further clarification is required, if the evidence is not sufficient to justify the grade, this is discussed immediately with the observer, who provides further evidence or alters the grade. The observer then feeds back to the trainer/assessor and Provider Manager the moderated grade
- A copy of the moderated report will be sent by email to the tutor within 5 working days from moderation
- If the trainer/assessor requests it, the observer will discuss the observation further with the tutor in a meeting or by phone, depending on availability and circumstances
- General trainer/assessor development needs identified through the Observation process will be collated and discussed at standardisation meetings by the Chief Operations Officer

### 3.6 Appeals



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If the trainer/assessor disagrees with the observer's provisional grade then initially this should be discussed with the observer at the observation.

If after subsequent discussion the tutor still disagrees with the provisional grade the tutor must contact the Chief Operations Officer by email within 5 working days. The Observation paperwork will be reviewed, and the Chief Operations Officer will contact the tutor to discuss the issues within 5 working days.

Following the discussion and review of the evidence, the decision by the Chief Operations Officer will be made and communicated to the trainer/assessor within 5 working days to uphold the original grade or to carry out a second observation by an alternative observer.

## **4 Outline Responses to Lesson Observation Ratings for Teachers**

### **4.1 GRADE 1 - Outstanding**

Teaching staff who receive a rating of 'Outstanding' may be invited to share their good practice with colleagues during tutor meetings/events, and the opportunities for sharing good practice will be discussed and recorded at the feedback session.

### **4.2 GRADE 2 - Good**

Trainer/assessor who receives a rating of 'Good' are demonstrating a high standard. However, advice on areas for further development will be given on the observation form to move practice from 'Good' to 'Outstanding' wherever possible. Opportunities for sharing good practice may also be identified.

### **4.3 GRADE 3 - Requires improvement**

Trainer/assessor who receives a grade 3 rating will be given a set of recommendations for improvement by the observer. An action plan will then be agreed with the tutor with actions which may include mentoring to improve the teaching to a grade 2.

The trainer/assessor will be re-observed within 3 months and if this results in a further Grade 3 the support and/or mentoring must continue and a further re- observation within two months arranged.

A further grade 3 would result in the tutor no longer being approved to teach ASH HCT classes.

Progress against the plan/s and further staff development needs will be reviewed by the line manager and the progress discussed with the Contract Manager at the termly contract monitoring meetings.

### **4.4 GRADE 4 - Inadequate**

Trainer/assessor achieving a rating of 'unsatisfactory' will be provided with a more intensive action plan. The observer will agree the support required with the trainer/assessor and their line manager, if appropriate. A detailed action plan will be drawn up and the line manager will be responsible for informing the Chief Operations Officer on the progress made within the agreed timescales.

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A further observation date will be agreed with the observer to identify progress made within three months. If this results in a further grade 4 the trainer/assessor will be unable to teach ASH HCT classes.

If this results in a grade 3 the support and/or mentoring must continue and a further re-observation within two months arranged. Trainer/assessor with this grade will be required to undertake a range of monitored activities with a view to improving their rating to 'Good'.

These activities must include some of the following:

- ongoing support/mentoring from an appropriate manager
- external mentoring /coaching
- taking part in an internal/external CPD training activity
- e-learning modules
- working with a best practice peer, including peer observations
- engaging in team teaching activities
- Attending meetings/briefings.

Note: The re-observation grades for grades 3 & 4 will replace the original grades.

## 5 – Grading

Refer to the table of grading criteria for further details.

### Grade 1: OUTSTANDING

- Consistently outstanding session.
- Very well planned, using a wide variety of teaching and learning and assessment strategies.
- ASH HCTention to individual learner needs and learning styles.
- Regular, precise learner feedback recorded.
- Learners indicate high satisfaction levels with and proactive involvement in the learning.
- A “wow” factor.

### Grade 2: GOOD

- Consistently good with some very good elements.
- Well planned, using some variety in teaching and learning and assessment strategies.
- A learner-centred approach with regular learner feedback recorded and some differentiation.
- Learners are satisfied and aware of their progress

### Grade 3: REQUIRES IMPROVEMENT

- Session is well planned but there is little variety in teaching and learning strategies.
- Assessment strategies are in place but not focused.
- The session appears too teacher-centred or not sufficiently managed.
- Minor breach in H&S or E&D requirements
- There are missed opportunities to facilitate learning

### Grade 4: INADEQUATE

- Insufficient planning and attention to learner needs.
- Many missed opportunities to facilitate learning.
- Poor recording of learner progress and lack of feedback.
- Serious breach in H&S or E&D requirements.

- Inadequate response to administration requirements

## **6 Mentoring for Newly Appointed trainer/assessor**

Line managers will ensure that newly appointed trainer/assessor will be supported and have regular reviews of their schemes of work and session plans including a review of the teaching and learning strategies planned.

## **7 Peer Observations**

Managers should facilitate teaching staff to participate in Peer Observations where possible. This enables teaching staff to informally, but systematically, observe other teaching staff teaching, particularly those teaching in other subject areas. Trainer/assessor participating in this activity are expected to reflect on their learning from observing other staff and to identify how their teaching skills will develop as a result. As good practice, Curriculum Managers should ensure that all substantive and sessional tutors complete at least one peer observation a year.

## **8 Formal Observation Training**

ASH HCT observers are encouraged to undertake formal accredited observation training where possible. Updating workshops will also be arranged by the Chief Operations Officer for all ASH HCT staff designated as observers. This includes the sharing of best practice and standardisation meetings. Trainer/assessor may also receive updates through observation training packages which include giving feedback and general good practice.

All ASH HCT observers are expected to participate in the updating workshops and external updating on best practice is encouraged.

## **9 Standardisation of Lesson Observations**

### **9.1 Joint Lesson Observations (JLO)**

All observers will be observed via Joint Lesson observations. This will involve a lead educator or other senior staff accompanying observers from Providers to carry out dual observations. This process involves observing a lesson alongside the regular observer then discussing the strengths and areas for development each has identified and the overall judgements of the observer.

Both observers will record the observation and make a judgement. The Provider observer's rating for the observed lesson will be the accepted rating for that lesson and that observer will give feedback to the tutor as per their observation procedure.

Both observers will discuss, at an appropriate time after the lesson, and feedback to each other, comparing identified strengths and areas for improvement and justifications for ratings given. A summary JLO record will be completed by the observer and returned once the observation report has been received.

If the grade is not agreed and the grade awarded by the ASH HCT staff is lower, then a second joint lesson observation with the observer will be arranged within one month. If on this occasion the ASH HCT grade is still lower, then the observation grades for that observer will be

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moderated down according to the difference in the observations, and will affect the quality risk rating of the Provider. .

## **9.2 Standardisation of Observations**

ASH HCT may organise a yearly standardisation meeting. All observers should attend to share and discuss the observation and moderation practice and to reach a common understanding of the standards.

Observation activities will include:-

- Observing Observation training videos and follow up activities e.g. reviewing observed strengths and areas for improvement.
- Reviewing observation records to compare written comments and feedback
- Sharing Good Practice e.g. activities from Observation training events
- Reviewing Professional Standards guidance

## Lost Portfolio Procedure

Learners are responsible for their own portfolios and documentation therein.

However, on-going progress of the learner is recorded on the assessment plan and feedback records and learner evidence form (**appendix 14 and 15**)

These forms are completed by the Assessor and a copy of the assessment plan is submitted to admin once a month. These are kept by the centre in the learner files. When possible, the assessor will also submit a copy of the learner observations.

Therefore, if the worst happens and a portfolio is lost, the Centre would be able to provide details of progress by the learner to date, and may, in exceptional circumstances, be able to claim certification from the Awarding Body for the work already completed. This would only be able to happen if it is agreed by all parties that there is sufficient information/ evidence recorded on the form to prove competence.

Therefore, it is paramount that Assessors record sufficient information on the assessment, evidence and learner progress, including Assessment criteria covered and units completed.

If a learner's portfolio (or part thereof) is lost, stolen or missing the assessor records can be used to confirm the learner's competence.

1. When it is established that a learner's portfolio (or a part or section of the portfolio) is lost, stolen or missing, the assessor must meet with the learner within 2 weeks and plan next steps.
2. If a portfolio goes missing the IQA should be notified.
3. The assessor must obtain copies of the learner assessment records from the centre files and place these in the new portfolio. This will include assessment plan and feedback records and learner observations.
4. The assessor should also refer to any IQA sampling reports and grids.
5. They should then write a summary of progress to date with the learner.

## Confidentiality and Security Statement

A portfolio of evidence is the personal property of the learner undertaking the QCF.

There may be occasions when evidence is of a sensitive or confidential nature and it will be important that material is treated in an appropriate way.

The learner will delete names or sensitive information from documents being used as evidence. Where evidence is of a highly sensitive nature it is essential for the learner to simply refer to the evidence, stating where the information is held or show the assessor who will record that they have seen it on the evidence record form.

The Assessors and Internal Quality Assurers need to have access to the learner's portfolio on a fairly regular basis. It is important that the learner's portfolio is kept secure and therefore, while in the possession of Assessors or IQAs, will be kept under lock and key when not being worked on.

When learners require the involvement of clients and customers, children or their parents/carers those involved should be fully informed as to the purpose of their involvement when appropriate. Agreement should be sought prior to observation of parent/carer and learner and requests for statements should be made explaining what use will be made of any information provided.

### **Please note that photographs of children are not permitted**

Assessors will monitor confidentiality and security of information on an ongoing basis. Internal Quality Assurers will ensure that this monitoring takes place.

Where funding is involved, our contractual obligations means that we may have to share information, i.e. attendance and progress reviews. The employer, and the learner, is covered by the 1998 Data Protection Act.

Any evidence containing confidential/sensitive information can be (a) presented in photocopy form with all of the confidential/sensitive information omitted, or (b) left in the workplace with a reference to its location being made in the learner's portfolio of evidence.

## Appeals and Complaints Procedure

Appeals procedures are in place to allow learners to challenge the outcomes of any assessment if they consider that the assessment has not been carried out properly.

Every attempt will be made to ensure that the procedures will adhere to the principles of natural justice, fairness, equity, independence, objectivity, equal opportunities, anti-racism and anti-discrimination and special needs.

Appeals are allowed on the following grounds:

- The conduct of the assessment.
- Adequacy of the range, nature and comprehensiveness of the evidence.
- Adequacy of the opportunities offered to demonstrate competence.

Appeals and complaints can be made using The Students' Complaint Procedure and Form in ASH HCT's Induction Pack A.

The outcomes of the appeal may be:

1. Confirmation of the original decision.
2. Instructions that the competence be re-assessed by the same or a different assessor.
3. A judgement that the evidence presented is an adequate demonstration of competence and a recommendation that the assessment decision be reconsidered.

If learners consider that the appeal procedures have not been carried out properly they can complain firstly to the centre and, if still dissatisfied, directly to the awarding body.

ASH HCT also adheres to the award body appeals and complaints procedure's which can be located on the awarding body's website.

## Withdrawal and break in learning procedure

1. If a learner chooses to withdraw from a course the assessor will first ascertain the reasons why and see if an agreement can be reached that will keep the candidate on the course.
2. If the assessor does not reach an agreement with the learner Admin will be informed the learner does not wish to continue and the reasons for this. A review will be completed.
3. Admin will remove the learner from the course; informing the funding and awarding bodies.
4. In some cases it may be more appropriate to put the learner on a break from learning and the assessor will keep in regular contact and keep Admin updated.
5. When the learner wishes to return to the course, the assessor is to complete a 'reinstatement form' and update their ILP.

## Equal Opportunities Policy

ASH HCT welcomes the opportunity to invest in the advancement of individuals and sectors of the community and is committed to opposing discriminatory practices.

It is a fundamental belief of ASH HCT that only through a positive approach, can sections of the community that have traditionally been excluded from training and employment opportunities fulfil their true potential in life.

We believe that all sections of the community irrespective of:-

- gender, age, race, ethnic or national background, physical and learning disabilities.
- marital status, family responsibilities, sexual orientation, HIV status, AIDS, unemployment or trade union activities.
- religious or political beliefs, unless in exercising those beliefs an individual offends the terms or spirit of this statement.
- or any other factor which may be considered to be a drawback,

should have equal provision and access to education, related services, training and advancement.

ASH HCT fully understands all aspects of the issues of equal opportunities and endeavours to ensure that all those who participate in the training both understand and abide by the general standards of good equal opportunities practices and have a healthy respect for individuals' rights and beliefs.

ASH HCT makes it the responsibility of all individuals included in training and associated services to fully support and abide by the terms and spirit of this statement.

Our Aims:



- To promote our commitment to providing equality of all staff
- Support staff in understanding, fulfilling and improving their role within the company
- Striving to remove physical and attitudinal barriers
- To eliminate unfair discrimination, direct or indirect, on the grounds of sex, colour, race, ethnic and national origins, disability, age or other personal characteristics.

Equal Opportunities in Employment.

Our approach follows these guidelines:

- Recruitment will be business driven and will be within all the local and national legal requirements
- Our equal opportunities will not discriminate against any groupings or individuals
- We will not tolerate prejudice in the form of victimisation or harassment from employees of the company on the grounds of personal differences
- Equality of opportunities is the responsibility of all people and organisations working for, with or on behalf of the company
  
- All staff will be aware of this policy and will support its implementation
- We will have an open and trusting environment in which individuals are encouraged to challenge inequality and have the freedom to discuss equal opportunities where appropriate

Failure by staff to follow the guidelines set out in this policy in carrying out their role within the company will be taken very seriously and could lead to disciplinary action.

### Recruitment and Selection

When recruiting for any available position the primary objective is to find a person most suitable for the job. Our objective is to provide all staff that have an active role in recruitment and selection be provided with suitable training. Such training will include the legislation and other issues incorporated within the companies Equal Opportunities outlook.

### Recruitment of Ex-Offenders

#### Purpose

ASH HCT is committed to the principle of equality of opportunity and, subject to the overriding consideration of protecting children and vulnerable people, undertakes to treat all applicants for positions fairly and not discriminate unfairly against any subject of a Disclosure on the basis of conviction or other information revealed.

#### Scope

All potential job applicants. This policy has particular reference to those concerned with recruitment.

### Policy Statement

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As an organisation using the Criminal Records Bureau (CRB) Disclosure service to assess applicants' suitability for positions of trust, the company complies fully with the CRB Code of Practice.

The company is committed to the fair treatment of its staff, potential staff or users of its services, regardless of gender, disability, race, colour, ethnic or national origin, nationality, sexuality, marital status, age, religious or political beliefs or offending background.

This written policy on the recruitment of ex-offenders is made available to all Disclosure applicants at the outset of the recruitment process.

A Disclosure is only requested after a thorough analysis has indicated that one is both proportionate and relevant to the position concerned. For those positions where a Disclosure is required applicants will be informed that a Disclosure will be requested in the event of them being offered the position.

Where a Disclosure is to form part of the recruitment process, we encourage all applicants called for interview to provide details of their criminal record at an early stage in the application process. We request that this information is sent under confidential cover to a designated person within the company and we guarantee that this information is only seen by those who need to see it as part of the recruitment process.

Unless the nature of the position allows the company to ask questions about your entire criminal record, we only ask about "unspent" convictions as defined in the Rehabilitation of Offenders Act 1974.

We ensure that all those in the company who are involved in the recruitment process have been suitably trained to identify and assess the relevance and the circumstances of offences. We also aim to ensure that they have received appropriate guidance and training in the relevant legislation relating to the employment of ex-offenders, eg the Rehabilitation of Offenders Act 1974.

At interview, or in a separate discussion, we ensure that an open and measured discussion takes place on the subject of any offences or other matter that might be relevant to the position. Failure to reveal information that is directly relevant to the position sought could lead to withdrawal of an offer of employment.

We make every subject of a CRB Disclosure aware of the existence of the CRB Code of Practice and make a copy available on request.

We undertake to discuss any matter revealed in a Disclosure with the person seeking the position before withdrawing a conditional offer of employment.

Having a criminal record will not necessarily bar applicants from working with us. This will depend on the nature of the position and the circumstances and background of the offences with due consideration given to our responsibilities to protect children and vulnerable people.

**ASH HCT is committed to the following principles of equality:**

**DIVERSITY:** recognising difference in needs, values, beliefs, abilities; respecting and celebrating those differences. Responding to diversity by adapting our courses appropriately and providing support to meet different needs

**EQUALITY:** preventing and challenging discrimination – people who participate in our courses are entitled to do so free from discrimination and harassment. Ensuring that all our communications use images and language which promote a positive message on diversity and inclusion

**ACCESS AND INCLUSION:** ensuring there are no barriers to participation in the company's courses; offering to meet individual needs to enable participation. Ensuring that all venues are physically accessible and are culturally appropriate

**COMMUNICATION:** ensuring that information about our courses is accessible through using language that is easily understood and providing appropriate options for people with disabilities. Should English not be a first language then we may arrange for an interpreter to translate the course for you.

**ASH HCT works within the remit of:**

1. Disability Discrimination Act 1995
2. Mental Health Act 1983
3. Sex Discrimination Act 1975
4. Sexual Offences Act 2003 – came into effect 1 May 2004
5. Race Relations Act of 1965, 1968 and 1976
6. Age Discrimination Legislation 2006
7. Children's Act 1989
8. Freedom of Information Act 2000
9. Data Protection Act 1998
10. Human Rights Act 1998

We would like all members of our centre to be treated with respect and are opposed to all forms of racism, sexism and discrimination of any kind. We wish to promote good relations between people from differing backgrounds and circumstances, and we value the variety of language and experience which go to enrich the training we deliver through this centre. All teaching and learning strategies will promote anti-discriminatory practice and the resources reflect the community we live in.

## Disability Statement

ASH HCT is committed to meeting the requirements of the Disability Discrimination Act 1995 (2005) and to the implementation of a policy to achieve equality of opportunity for staff and students.

This commitment is set out in the company's Equal Opportunities Policy, which affirms that discrimination is unacceptable within the centre and that it represents a waste of human resources and a denial of individual opportunity.

Disability discrimination: covers discrimination against people with disabilities who on account of injury, illness or inherited conditions may be disadvantaged in obtaining or keeping employment for which otherwise suitable. Disability covers physical or mental impairment which has a substantial or adverse effect upon the person's ability to carry out normal day to day activities.

In relation to disability, discrimination occurs if, for a reason which relates to a disabled person's disability, that person is treated less favorably than others to whom the reason does not apply and this treatment can not be justified.

The company values the contribution of all individuals irrespective of disability and affirms that staff should be able to participate in the life and work of the Centre. ASH HCT is therefore committed to ensuring that appropriate and reasonable support is offered to members of staff and learners with disabilities.

The following definition of disability is drawn from the Disability Discrimination Act (DDA), 1995.

*“A physical or mental impairment which has a substantial and long term adverse effect on a person's ability to carry out normal day to day activities.”*

The Disability Discrimination Act 2005 (DDA 2005) builds on and extends earlier disability discrimination legislation, principally the Disability Discrimination Act 1995. the company is aware of the principles of this Act.

Long term means that it must have lasted, or be expected to last, at least 12 months. Progressive conditions can qualify also where there are likely to be future substantial adverse effects.

For the purposes of this policy, however, disability is broadly defined. It includes not only those disabilities which may immediately be apparent, but also conditions such as dyslexia, diabetes, asthma, epilepsy, hearing or sight impairments and mental health difficulties. Members of staff and students of the centre are encouraged to seek advice, even if they do not meet the formal definition given in the legislation or the condition is not among those listed above. It is the intention of the company to offer appropriate support based on individual requirement.

ASH HCT has a positive duty to ensure that the individual needs of students and staff are met within the remit of the centre. This includes ensuring appropriate recruitment and retention strategies, safety aspects and logistics to enable work requirements to be met by the individual, obtaining guidance in relation to reasonable and practicable adjustments to the centre environment in order to ensure that staff and student needs are met etc.

## **Statement for Learners with Special Assessment requirements.**

Learners with special assessment requirements include people with physical disabilities, people with global or specific learning difficulties, shift workers, voluntary workers, workers whose normal job does not enable them to cover all aspects of their proposed QCF qualification and those working within small scale settings. Learners with low levels of confidence and self-esteem may also be deemed as having special assessment needs.

It would be necessary to consider these needs when planning assessment for these learners and the following issues may need to be discussed:

- the arrangements of assessment times to meet the learners needs e.g. arranging assessment outside normal working hours.
- the location of assessments may sometimes need to be changed
- liaison may be needed with learners' supervisors, line managers and colleagues
- for learners a with sensory disability, it may be necessary to use Braille, enlargements, oral text, visual clues etc.
- bilingual learners or those for whom English is not their first language may need special consideration
- Assessors may need specific additional training to be able to meet the needs of learners
- Equal Opportunities Policies should be presented to learners in a form that is easily understandable
- The appeals procedure should be presented to learners in a form that is easily understandable

## Safeguarding Children and Young People Statement

*“The support and protection of children cannot be achieved by a single agency .... Every service has to play its part. All staff must have placed upon them clear expectations that their primary responsibility is to the child and his or her family” (Lord Laming 2003)*

All children and young people have a right to be safe and happy while at activities outside of the family – school, nursery, play scheme, college etc and parents and carers have a right to believe that the organisations that their children and young people are involved with is safe.

ASH HCT has a responsibility to ensure that the training and assessment programmes that are offered to those learners working with children 0 – 19 years, ensure that the needs of the clients are at the forefront of the delivery and that this is reflected throughout. ASH HCT, therefore has a responsibility to ensure that the work places that learners are placed in work within this remit and that young people are safe.

Whilst most organisations are run by well intentioned, honest and reliable people, it is known that the few who are determined to harm children and young people, deliberately seek out groups and organisations where they can meet children. A safeguarding culture will discourage them from becoming involved and make it harder for them to harm or abuse children or young people. (NSPCC 2006)

This organisation will therefore ensure that practices throughout will endeavour to keep the safety and well being of children and young people as pivotal.

The delivery and assessment of ‘Safeguarding the welfare of children and young people’ units within the QCF at all levels is mandatory. This unit must be assessed competently and within the remit of the Awarding Body and the Skills Sector guidance. Safeguarding and promoting of the welfare of children needs to be focused and pivotal throughout all assessments holistically throughout the award and direct observations and other appropriate evidence gathering methods need to be used. IQA procedures need to ensure that these units are assessed to the standards required.

While working with learners at work placements, assessors must be mindful of the safeguarding of children and young people; and sensitive to the children and young people that their learners are working with. Sensitivity and confidentiality is key.

Identification should be shown by assessors before entering a workplace and appointments booked through the learner and their supervisor.

When delivering Child protection units for this organisation guidelines must be followed.

One to one tutorials need to be conducted in areas that the learner feels comfortable in – in view of other tutors, assessors or staff members.

Internal Quality Assurers have a responsibility to be familiar with the company’s “Safeguarding Children and Young People Statement” and ensure that Assessors have read and understood this statement.

## Recognition of Prior Learning

RPL should be learner-initiated. It means learners can have prior learning recognised and meet learning outcomes without having to repeat learning.

The assessor will determine together with the learner and IQA whether the evidence can be used for the award and identify together how further evidence might be collected in order to prove competence.

Learners will need to provide relevant evidence/certificates that are current and authentic.

The assessment process for RPL is subject to the same IQA process. Each unit achieved using RPL is quality assured by the IQA.

ASH HCT aims to use RPL as partial evidence for a unit in combination with other assessment methods, however learners are made aware that the process of RPL may not always be possible for all or part of the award and they may have to complete the entire programme.

Where there are any discrepancies the Awarding Body will be contacted to seek clarification.

## Certification Statement

Certificates will be requested from the awarding body online. This will be carried out within the guidelines set by the awarding body and in line with the requirements set by the Regional Quality Manager.

All learners will be registered with the Awarding Body at the initial stages of the QCF programme after the induction period has been completed satisfactorily. Learners will be informed of their Personal Identification Number as allocated by the awarding body and this will be recorded on all work submitted for the QCF. The candidate logbook will be completed on an ongoing basis and units signed off once the assessor and learner have collected evidence to show the learner is competent. During IQA, a completed unit will be 'signed off' on the sampling grid and when a completed portfolio is sampled and verified, the IQA will write 'signed off' on the sampling report. The assessor can now request certification.

Before certification is requested from the awarding body the portfolio must first be presented to the nominated independent body along with the list of requested units. The units within the portfolio can then be cross checked with the units being requested by the assessor.

Once the audit has been completed the certificate request will be forwarded by the nominated body to admin authorising the request of the certificate.

Learners will be recruited and supported to complete the full award but when necessary or specifically requested by a learner, unit certification will be administered.

Data on number of certificates requested and number of completers will also be collected and maintained through the company's admin system.

## Health and Safety Statement

The Company is committed to provide a safe and risk free working environment. We place the responsibility on the employee to positively contribute positively to this aim by respecting the needs of others and by conducting yourself in a safe and responsible manner.

The company has a duty to ensure so far as is reasonably practicable the health, safety and welfare of their employees at work, under section 2 of the Health & Safety at Work etc. Act 1974. The company has control of non-domestic premises and therefore has a duty under section 4 of the act towards people who are not their employees but use their premises.

The Company aims to maintain a high standard of health and safety and recognises the importance of all staff, students and visitors adhering to the policies, rules and regulations of the appropriate centre or college with which the students are enrolled.

The company will endeavour to ensure that all training centres have adequate lighting, heating, space and ventilation for the number of students present and that a floor plan and emergency procedures are displayed in all training rooms on company managed premises.



## **Length of retaining centre documentation and portfolios**

We have the following policy for Assessors and IQAs regarding retention of Centre documentation for the awards we deliver.

### **Assessor / IQA Records**

Once the Centre has made a claim for certification, the Centre will retain both Assessor and IQA Records (including copies of certificates) relating to individuals for a period of 3 years.

### **Certificates**

The centre will inform learners when certificates are received at the Centre from the Awarding Body. If requested to do so, the Centre will send the Certificates to learners, however, if a learner wishes to collect from the Centre, these original certificates will be retained for a period of up to 1 year.

### **Financial Records**

Any financial records relating to an individual will be kept for 6 years by the Centre Managers.

### **Unclaimed Portfolios**

Unclaimed Portfolios will be retained by the Centre for at least 6 months after which time they will be disposed of. This will be communicated to learners via the Assessor Agreement.

## Plagiarism Statement

Every learner should adhere to the plagiarism statement when attending training courses.

Plagiarism means using the work of others in preparing an assignment and presenting it as your own without acknowledging or referring where it came from. It is the presentation of another person's thoughts, opinions, ideas or words as though they were your own

When enrolled on a course, learners are expected to produce original work.

The following practices are prohibited:

- Copying word for word directly from a text or other source.
- Using text from the Internet
- Using diagrams produced by others.
- Copying from essays, notes and exercises of a fellow learner, from the current or previous courses.
- Preparing a piece of work with others, and then claiming it to be your own.
- Allowing someone to copy your work, which they then present as being their own.

If a learner suspects any fellow learners of cheating or plagiarism, they should report the incident to their assessor.

All learners are expected to complete the Plagiarism declaration and submit with their portfolio of evidence.

For additional support and information regarding issues of plagiarism learners are advised to use the following:

[www.mantex.co.uk/samples/plgrsm.htm](http://www.mantex.co.uk/samples/plgrsm.htm)

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**Managing External Quality Assurance Visits**

**During EQA visits Internal Quality Assurance Verifiers will take an active part working alongside the Quality Assurance Coordinator to ensure arrangements are in place**

**Pre visit arrangements:**

- Make sure all information related to learners and programme approval held by the awarding body is up to date including registrations and completions.
- Ensure any actions from previous reports have been addressed
- Ensure centre organisation chart and files are up to date including team structure, qualifications and responsibilities
- Evidence of good practice is collated and records of professional development undertaken by team members
- All assessment and verification records are up to date demonstrating a clear audit trail through learner and assessor verification documents
- Ensure sample assessor and IQA signatures are in portfolios
- Visit plan received and schedule prepared accordingly. IQA and assessors are included and have set interview times
- Policies and procedures folder updated
- Ensure assessors are prepared and make sure they understand what the EQA has asked for whether it is an assessor interview or an assessor observation
- Assist assessors in ensuring learners are made available for interview if required
- Book facilities; car park, meeting room, refreshments

**During visit arrangements:**

- All required information available; copy of last EQA report with details of actions completed, staffing structure, learners registration, original certificates for new / newly qualified assessors
- Internal Quality Assurance Sampling plans and reports including feedback to assessors, actions and completions
- Minutes of IQA and Assessor standardisation meetings and quality assurance meetings
- Make sure the EQA understands centre paperwork and knows where to find information
- Required portfolios are available; those stipulated by EQA, and those where there has been an appeal against an assessment / IQA decision
- Have an auditable trail of achievement for all learners on programme requests for certification and withdrawals
- All interviewees know where to meet, and are presented promptly
- Keep to the schedule and promptly provide each requirement at the allocated time

**Post visit activity**

- Obtain copy of the EQA Report from the Quality Assurance Coordinator and discuss.
- Prepare schedule for completion of any actions
- Communicate contents of report to team

## Monitoring EQA Reports

- All EQA reports are monitored and saved in the EQA reports file electronically
- It is expected that actions indicated by an EQA will be managed within the award area by the lead IQA and progress reports completed. This will be retained by the Quality Assurance coordinator for discussion with Awarding Body

## Security of Records

It is the IQA's responsibility to maintain the security of candidates' portfolios and their assessment records, candidate portfolios which have been certificated in between EQA visits must be kept intact until the next external verifier visit so that they can be examined or produced for inspection purposes if needed. Assessor records must be retained for at least three years and be made available for the purposes of external quality assurance and to allow for any appeals to be progressed and resolved.

Portfolios and copies of assessment records must be kept on the centre premises and not by individual assessors or internal verifiers.

## Plagiarism (appendix 1)

### Definition

The Oxford Dictionary defines plagiarism as “the practice of taking someone else's work or ideas and passing them off as one's own”

There are two forms of plagiarism:

- Work submitted that was written by someone else
- Copying material from books or the internet, where there is no referencing of the source.

### Consequences

If plagiarism is discovered, the work will not be accepted and you may be withdrawn from the course. ASH HCT has an obligation to inform the awarding body who may also take further action.

### Plagiarism declaration

I declare and confirm that all the work in this portfolio, other than the information sheets and handouts given to me by my trainer as sources of research and underpinning knowledge, will be my own work. It will not be taken or copied from another person or person's work.

If I suspect any fellow learners of cheating or plagiarism, I will report the incident to my assessors.

I declare that I will not sell or purchase assignments from internet sites such as eBay.

Candidate Name: \_\_\_\_\_

Signature: \_\_\_\_\_

Date: \_\_\_\_\_

(appendix 2)

## Assessment Agreement

Candidate:

QCF and Level:

Assessor:

Units to be assessed:

This agreement outlines the commitments made between the candidate and the assessor, in order to ensure the smooth running of the assessment process.

We, (the assessor and candidate) agree to work to these commitments.

### Target date for completion of QCF :

- We agree to make time for regular meetings,
- At each meeting we will agree a time and date for the next meeting,
- We will discuss assessment issues openly,
- The assessor will only assess with the agreement of the candidate and the candidates workplace/manager – that is in line with the usual daily activities of the candidate,
- Only evidence put forward by the candidate will be assessed,
- It is acceptable for both assessor and candidate to make mistakes,
- We will both give and welcome positive feedback,
- The candidate has the right to appeal against assessment decisions through the assessment centres appeals procedure.
- Candidate files will be stored at the centre for 6 months, if unclaimed these will then be destroyed.

### The assessor will:

- Plan assessments and evidence gathering with the candidate,
- Give advice, support and guidance to the candidate,
- Provide positive and constructive feedback throughout the assessment process,
- Observe the candidate through their usual work practices, question the candidate, assess the evidence against the national standards and make a decision about the candidates competence,
- Ensure that all evidence is Sufficient, Authentic, Current, Valid, Reliable and Fair,
- Abide by policies and procedures,
- Work within the guidelines of the QCF Code of Practice and Awarding Body guidelines,
- Inform the candidate and the workplace, if an assessment or meeting needs to be rearranged,
- Ensure positive links with workplaces and minimum disruption to the usual work routines within the place of work
- Gain advice and support from their internal verifier or centre co-ordinator as necessary.

### The candidate will:

- Plan assessments and evidence gathering with the assessor,
- Collect evidence as outlined in the assessment plans,
- Organise evidence into a structured and indexed portfolio as recommended by their assessor,
- Work to improve performance, skills, and ASH HCTitude where required to reach competence,
- Abide by any other agreements as set down by the assessor,
- Contact the assessor in advance if a meeting time or assessment needs to be rearranged,
- Agree targets with assessors for completion of work,
- Ensure that the assessor is kept informed of change in circumstances e.g. address, new workplace etc
- Abide by policies and procedures,
- Ensure that workplace manager/supervisor is kept informed of assessments and that these do not disrupt the usual work routine with the place of work,
- Take functional skills English, Maths and ICT tests (as relevant) as part of the Apprenticeship framework.

### Additional comments:

Candidate signature:

Assessor signature:

Date:

## QCF Assessor induction Checklist (appendix 3)

Assessor Name.....

	Signed by Assessor	Date
1. <u>Provided</u> : CV and qualification certificates to prove required occupational competence.		
2. <u>Read</u> : The centre organisation chart.		
3. <u>Received and read</u> : ASH HCT Equal Opportunities, Disability, Safe Guarding and Health and Safety policies.		
4. <u>Received and read</u> : QCF appeals & complaints procedure.		
5. <u>Received and read</u> : ASH HCT Assessment and IQA policies and procedures.		
6. <u>Received and read</u> : Awarding Body guidance for QCF and assessing		
7. <u>Received</u> : Guidance on accessing award resources and recording documentation on ASH HCT shared drive.		
8. <u>Received</u> : Information about allocated QCF learners and how to access this on the ASH HCT shared drive.		
9. <u>Received</u> : Details of IQA dates		
10. <u>Received</u> : List and dates of standardisation meetings		
<u>Reviewed by Internal Quality Assurer</u>  IQA signature: ..... Date: .....		



## Internal Quality Assurer Induction Checklist (Appendix 4)

Name: \_\_\_\_\_ Date started: \_\_\_\_\_

	Signed by IQA	Date
Initial contact made by the Lead IQA		
Production of sample signature and certificates.		
Received ASH HCT procedures and IQA guidance.		
Centre documentation and procedures explained and understood.		
Received centre assessment and IQA documentation.		
Internal quality assurance procedures explained.		
Received the centre organisation chart.		
Equal opportunities policy and monitoring procedures explained and understood.		
Received appeals procedure which was explained and understood.		
Aware of QCF resources available.		
Received personal copy of QCF standards		
Received list and dates of meetings.		

Lead IQA signature: \_\_\_\_\_ Date: \_\_\_\_\_

## Training Needs Analysis for Assessors (appendix 5)

Assessor Name
Internal Quality Assurer Name
How long have you worked for the organisation?
How many learners have you assessed/or are you assessing?
What Levels?
Describe briefly the main purpose of your job.
List in order of importance the main tasks within your job role.
What qualifications do you have?
List the skills, knowledge, abilities and experience necessary to do your job effectively.
What in your opinion are your present training needs?
Can you identify any area of training for the future?
Have you ASH HCT ended any training on Equality and Diversity? if yes, when and where?

I certify that this is a true record of the discussion and do not object if this information is discussed with a) Lead IQA or b) Awarding Body

Signed Assessor.....Date.....

Signed Internal Quality Assurer .....Date.....

## Identification of IQA training and development needs (Appendix 6)

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Internal Quality Assurer name:.....

Lead IQA/ASH HCT director

name:.....

Date: .....

Summary of qualifications and experience as an Internal Quality Assurer:

Please answer the following questions by placing a circle around the number which most appropriately applies to you:

**1 = confident; 2 = fairly confident; 3 = not very confident; 4 = not at all confident**

- a) Do you know how to work with assessors to ensure the quality and consistency of assessment? **1 2 3 4**
- b) Do you regularly sample learner assessments to ensure consistent assessment? **1 2 3 4**
- c) Are you certain that your own practice meets the IQA qualification standards? **1 2 3 4**
- d) Are you sure that the assessment and sampling records and documents meet the awarding body requirements and are fit for their purpose? **1 2 3 4**
- e) Are you confident that your requests for learner certificates to the awarding body are based on assessments of consistent quality? **1 2 3 4**
- f) Are you able to regularly provide support and guidance for your assessors? **1 2 3 4**

3. Outline of training and development needs identified:

Internal Quality Assurer signature..... Date .....

Lead IQA/

Company director signature..... Date .....

## Internal Quality Assurance – Learner Interview record (Appendix 7)

To be completed by Internal Quality Assurer during / following discussion with Learner.

Learner:	QCF/Level:
Assessor:	Internal Quality Assurer:

When did you begin the programme?	
How were you introduced to the programme? What topics were covered in your induction?	
Was any of your prior experience considered/used towards the qualification?	
Did anyone find out about any training you needed?	
If your course is part of an Apprenticeship programme, what progress have you made in Functional skills English, Maths and ICT? When are you taking your exams?	
Were the Equality Opportunities and Health and Safety statements, and the Safeguarding code of good practice explained to you? Did you understand it?	
Was the process of getting your qualification explained to you? If so, what do you understand this process to be?	
Did you draw up a plan to achieve the qualification with your assessor?	
When, where and how does assessment take place?	

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What types of evidence have you collected so far?	
Do you understand what aspects of your QCF the evidence covers?	
How soon after you started was your first assessment?	
Who assesses your evidence? Does anyone else see your portfolio?	
How often do you see your assessor? Do you feel this is often enough? If not, how often would you like him/her to visit?	
Does your assessor give you feedback after assessment? Is this feedback in written form?	
What units have you completed so far? Have you signed any documentation to confirm completion?	
What kind of help and guidance have you received to put your portfolio together?	
Do you think the qualification will help you in your work now and in the future?	

I agree that the contents of this form may be shared with my assessor. <b>Learner Signature:</b>  <b>Date:</b>	<b>Internal Quality Assurer Signature:</b>  <b>Date:</b>
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## Internal Quality Assurance Sampling report (appendix 8)

**Assessor Name:** \_\_\_\_\_ **Date:** \_\_\_\_\_

**Candidate Name:** \_\_\_\_\_ **Award:** \_\_\_\_\_

**Internal Quality Assurer Name:** \_\_\_\_\_ **Unit:** \_\_\_\_\_

<b>Assessment Planning Process:</b>	<b>Yes</b>	<b>No (see action points)</b>																		
Was the assessment plan followed and regularly reviewed?																				
Was regular feedback provided to the candidate, including feedback on learning outcome and assessment criteria/competence/knowledge met and good practice?																				
Is there clear evidence that the candidate was involved in the assessment process?																				
Is there evidence of progress reviews being carried out?																				
Does the assessor consider learners needs and develop their understanding of Equality and Diversity?																				
Is there evidence of functional skills support and development?																				
Is there evidence of ERR and PLTS?																				
<b>Evidence:</b>	<b>Yes</b>	<b>No (see action points)</b>																		
Has the assessor confirmed authenticity, sufficiency and validity? Is the evidence fair, reliable and current?																				
Is there evidence that writing skills such as grammar and punctuation are being marked and monitored?																				
Has work been signed and dated by assessor and candidate?																				
Is the unit indexed correctly?																				
Is the unit completed and signed off by the assessor and signed by the candidate?																				
Where the assessor is not yet qualified, has a qualified assessor countersigned the evidence?																				
IQA has sampled the following evidence and found it to be valid, fair, reliable, current, authentic and sufficient. <table style="width: 100%; border: none;"> <tr> <td><input type="checkbox"/> Direct observation</td> <td><input type="checkbox"/> Learners own work products</td> <td><input type="checkbox"/> Oral Questioning</td> </tr> <tr> <td><input type="checkbox"/> Expert witness evidence</td> <td><input type="checkbox"/> Portfolio evidence</td> <td><input type="checkbox"/> Reflection on own practice</td> </tr> <tr> <td><input type="checkbox"/> Written &amp; pictorial information</td> <td><input type="checkbox"/> Professional discussion</td> <td><input type="checkbox"/> Simulation</td> </tr> <tr> <td><input type="checkbox"/> Scenario or Case Studies</td> <td><input type="checkbox"/> Learner log or reflective diary</td> <td><input type="checkbox"/> Task set by CACHE</td> </tr> <tr> <td><input type="checkbox"/> Oral questions and answers</td> <td><input type="checkbox"/> Activity plan or planned activity</td> <td><input type="checkbox"/> RPL</td> </tr> <tr> <td><input type="checkbox"/> Observation of children/YP by learner</td> <td></td> <td></td> </tr> </table>			<input type="checkbox"/> Direct observation	<input type="checkbox"/> Learners own work products	<input type="checkbox"/> Oral Questioning	<input type="checkbox"/> Expert witness evidence	<input type="checkbox"/> Portfolio evidence	<input type="checkbox"/> Reflection on own practice	<input type="checkbox"/> Written & pictorial information	<input type="checkbox"/> Professional discussion	<input type="checkbox"/> Simulation	<input type="checkbox"/> Scenario or Case Studies	<input type="checkbox"/> Learner log or reflective diary	<input type="checkbox"/> Task set by CACHE	<input type="checkbox"/> Oral questions and answers	<input type="checkbox"/> Activity plan or planned activity	<input type="checkbox"/> RPL	<input type="checkbox"/> Observation of children/YP by learner		
<input type="checkbox"/> Direct observation	<input type="checkbox"/> Learners own work products	<input type="checkbox"/> Oral Questioning																		
<input type="checkbox"/> Expert witness evidence	<input type="checkbox"/> Portfolio evidence	<input type="checkbox"/> Reflection on own practice																		
<input type="checkbox"/> Written & pictorial information	<input type="checkbox"/> Professional discussion	<input type="checkbox"/> Simulation																		
<input type="checkbox"/> Scenario or Case Studies	<input type="checkbox"/> Learner log or reflective diary	<input type="checkbox"/> Task set by CACHE																		
<input type="checkbox"/> Oral questions and answers	<input type="checkbox"/> Activity plan or planned activity	<input type="checkbox"/> RPL																		
<input type="checkbox"/> Observation of children/YP by learner																				

**Overall Feedback to Assessor:**

Supervision arranged for: \_\_\_\_\_

Portfolio signed off: \_\_\_\_\_

Assessor Signature:

Date :

IQA Signature:

Date:

**Action points to be completed:**

Deadline for action: \_\_\_\_\_

Assessor Signature:

Date:

IQA Signature:

Date:

**Was the action point (s) completed? Yes/No**

Assessor Signature:

Date:

IQA Signature:

Date:



**Standardisation Activity** (appendix 9)

Date	
attendees	
Assessment method and level	
Aim of activity	
Resources used	
Learner PINs (if applicable)	
Activity	
Outcome and rationale	
Actions Who by	

**Review of Standardisation Activity** (appendix 10)

Date	
Activity being reviewed	
What actions have been implemented?	
Has everyone implemented the outcome?	

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## Internal Quality Assurance – Assessor annual visit (Appendix 11)

To be completed by Internal Quality Assurer on visit to observe Assessor in action/meet with Assessor.

Assessor: \_\_\_\_\_

Learner: \_\_\_\_\_ PIN No: \_\_\_\_\_

Internal Quality Assurer: \_\_\_\_\_

QCF: \_\_\_\_\_

Units: \_\_\_\_\_

CHECKLIST		YES	NO	EXAMPLES
1	Learner put at ease			
2	Assessment procedure explained and negotiated			
3	Learner encouraged to relate evidence to standards			
4	Relevant questions asked			
5	Evidence requirements met			
6	Clear, evaluative feedback provided			
7	All possible sources of evidence have been considered			
8	Further action agreed with learner where appropriate			
9	Necessary assessment documentation completed			

Assessment activity observed

Learner: \_\_\_\_\_ Date: \_\_\_\_\_

Assessor: \_\_\_\_\_ Date: \_\_\_\_\_

Internal Quality Assurer: \_\_\_\_\_ Date: \_\_\_\_\_

**SUPERVISION SHEET**

Name:

Date:

<b>Subject</b>	<b>Action and timescale</b>	<b>Name</b>

Name of supervisor:- .....

Name of supervisee:- .....

Date of next supervision:- .....

## CANDIDATE AND CENTRE DETAILS (appendix 13)

**Title:** \_\_\_\_\_

**Learning Aim Ref:**

--	--	--	--	--	--	--	--	--

**Level**

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**Candidate Name**

<b>First Name(s)</b>	
<b>Surname</b>	

**Candidate Contact Details**

<b>House No./Street</b>	
<b>Post Code</b>	
<b>County</b>	

**CACHE pin number**

--	--	--	--	--	--	--	--

**Date enrolled with centre**

		/			/		
--	--	---	--	--	---	--	--

**Date registered with CACHE**

		/			/		
--	--	---	--	--	---	--	--

**Centre Name:**

**ASH HCT**

**Centre Number:**

<b>1</b>	<b>7</b>	<b>9</b>	<b>4</b>	
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**Centre contact/quality assurance co-ordinator (QAC) name**

Malcolm Day
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**Centre contact/quality assurance co-ordinator (QAC) contact details**

As above
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**Centre contact/quality assurance co-ordinator (QAC) contact details**

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**Assessor Details:**Assessor Name Position 

Centre address

ASH HCT  
Gravel Pit Farm,  
Heath Road,  
Burwell

Telephone

**0844 800 9223**Email Address **Internal Quality Assurer Details:**IQA Name 

Position

Quality Assurance

Contact details

Centre Details as above

**Regional Quality Manager Details:**Name 

Position

Regional Quality Manager on behalf of CACHE

**Assessment Plan and Feedback record**(appendix 14)

Candidate Name:	Cache Pin:
Level:	Location:
Date:	ULN:

Progression Status: <input type="checkbox"/> Green <input type="checkbox"/> Amber <input type="checkbox"/> Red
Comments:

Planned Activities / Feedback	Units/Assessment Criteria

Candidate Signature .....	Date.....
Assessor Signature .....	Date.....

## QCF

### Candidate Evidence Record Form

Candidate Name:		Assessor Name:	
Qualification :		Level:	Cache Pin:
ULN:		Date:	
Assessment Method: <input type="checkbox"/> Direct Observation <input type="checkbox"/> Professional Discussion <input type="checkbox"/> Reflection on own practice <input type="checkbox"/> Expert Witness evidence		<input type="checkbox"/> Learner's plans / records <input type="checkbox"/> Recognition of prior learning <input type="checkbox"/> Other (please state) .....	
Details			Units/ Assessment criteria
Signature of Candidate			Date
Signature of Assessor			Date
Countersignature of Qualified Assessor			Date
Signature of IQA (if sampled)			Date



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(Appendix 16)

ASH HCT Internal Quality Assurance Sampling Plan:

Qualification: STL QCF L2				Internal Quality Assurer:									
Assessor: Red/Amber/Green (new/trainee)				Sampling From: Sampling to:				Planned date: Actual date:					
Evidence Key: A– Observation, B– Professional Discussion, C – Expert witness evidence , D –Learners own work products, E-Learner log or Reflective diary , F-Activity plan or planned activity, G-Observation of children by the learner, H -portfolio evidence, I-Recognition of prior learning, J- Reflection on own practice, K – Written and pictorial information, L- Scenario or case study, M-Task set by CACHE, N – Oral questions O-Assessment method devised by Centre													
Candidate Name	Pin number	Unit 2.1	Unit 2.2	Unit 2.3	Unit 2.4	Unit 2.6	Unit 2.7	Unit 2.8	Unit 2.9	Unit 2.10	Optional Group A Unit 2.5 or 3.2	Optional Group B	Assessment plan and feedback

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ASH HCT Internal Quality Assurance Sampling Plan:

Qualification: QCF Certificate in SWCS L2				Internal Quality Assurer:						
Assessor: Experienced/in-experienced (new/trainee)				Sampling From: Sampling to:				Planned date: Actual date:		
Evidence Key: A– Observation, B– Professional Discussion, C – Expert witness evidence , D –Learners own work products, E-Learner log or Reflective diary , F-Activity plan or planned activity, G-Observation of children by the learner, H -portfolio evidence, I-Recognition of prior learning, J- Reflection on own practice-, K – Written and pictorial information, L- Scenario or case study, M-Task set by CACHE, N – Oral questions O- Assessment method devised by Centre										
Candidate Name	Pin number	Unit 2.1	Unit 2.2	Unit 2.3	Unit 2.4	Unit 2.8	Unit 2.9	Optional Group A Unit 2.5 or 3.2	Optional Group B	Assessment plan and feedback

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Qualification: STL QCF L3							Internal Quality Assurer:						
Assessor: Red/Amber/Green (new/trainee)							Sampling From:			Planned date:			
							Sampling to:			Actual date:			
Evidence Key: A– Observation, B– Professional Discussion, C – Expert witness evidence , D –Learners own work products, E-Learner log or Reflective diary , F- Activity plan or planned activity, G-Observation of children by the learner, H -portfolio evidence, I-Recognition of prior learning, J-Reflection on own practice-, K – Written and pictorial information, L- Scenario or case study, M-Task set by CACHE, N – Oral questions O-Assessment method devised by Centre													
Candidate Name	Pin number	Unit TDA 3.1	Unit TDA 3.2	Unit TDA 3.3	Unit TDA 3.4	Unit TDA 3.5	Unit TDA 3.6	Unit TDA 3.7	Unit SHC 32	Unit CYP CORE 3.1	Unit CYP CORE 3.3	Unit CYP CORE 3.4	Assessment plan and feedback

ASH HCT Internal Quality Assurance Sampling Plan:

Qualification: QCF Certificate in Cover Supervision of pupils L3							Internal Quality Assurer:						
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Assessor: Red/Amber/Green (new/trainee)					Sampling From: Sampling to:					Planned date: Actual date:			
Evidence Key: A– Observation, B– Professional Discussion, C – Expert witness evidence , D –Learners own work products, E-Learner log or Reflective diary , F-Activity plan or planned activity, G-Observation of children by the learner, H -portfolio evidence, I-Recognition of prior learning, J- Reflection on own practice-, K – Written and pictorial information, L- Scenario or case study, M-Task set by CACHE, N – Oral questions O- Assessment method devised by Centre													
Candidate Name	Pin number	Unit TDA 3.1	Unit TDA 3.2	Unit TDA 3.4	Unit TDA 3.5	Unit TDA 3.6	Unit TDA 3.8	Unit TW3	Unit SHC 32	Unit CYP CORE 3.1	Unit CYP CORE 3.3	Unit CYP CORE 3.4	Assessment plan and feedback

ASH HCT Internal Quality Assurance Sampling Plan:

Qualification: Certificate in CYPW QCF L2		Internal Quality Assurer:	
Assessor:		Sampling From:	
		Planned date:	

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Red/Amber/Green		(new/trainee)				Sampling to:				Actual date:							
Evidence Key: A– Observation, B– Professional Discussion, C – Expert witness evidence , D –Learners own work products, E-Learner log or Reflective diary , F-Activity plan or planned activity, G-Observation of children by the learner, H -portfolio evidence, I-Recognition of prior learning, J- Reflection on own practice-, K – Written and pictorial information, L- Scenario or case study, M-Task set by CACHE, N – Oral questions O- Assessment method devised by Centre																	
Candidate Name and Pin number	SHC 21	SHC 22	SHC 23	TDA 2.1	TDA 2.2	TDA 2.7	TDA 2.9	CCLD MU 2.2	CCLD MU 2.4	CCLD MU 2.8	CCLD MU 2.9	PEFAP 001	MPII 002	Optional Unit	Optional Unit	Optional Unit	Assess plan and feedback

ASH HCT Internal Quality Assurance Sampling Plan:

Qualification: Diploma CYPW QCF L3 Early Learning and Childcare pathway		Internal Quality Assurer:	
Assessor: Red/Amber/Green (new/trainee)		Sampling From: Sampling to:	Planned date: Actual date:

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Evidence Key: A– Observation, B– Professional Discussion, C – Expert witness evidence , D –Learners own work products, E-Learner log or Reflective diary , F-Activity plan or planned activity, G-Observation of children by the learner, H -portfolio evidence, I-Recognition of prior learning, J- Reflection on own practice-, K – Written and pictorial information, L- Scenario or case study, M-Task set by CACHE, N – Oral questions O- Assessment method devised by Centre

Candidate Name	Pin number	Unit SHC 31	Unit SHC 32	Unit SHC 33	Unit SHC 34	Unit CYP CORE 3.1	Unit CYP CORE 3.2	Unit CYP CORE 3.3	Unit CYP CORE 3.4	Unit CYP CORE 3.5	Unit CYP CORE 3.6	Unit CYP CORE 3.7	Assessment plan and feedback	
		EYMP 1	EYMP 2	EYMP 3	EYMP 4	EYMP 5	Optional unit	Optional unit	Optional unit	Optional unit	Optional unit	Optional unit	Optional unit	
		Unit SHC 31	Unit SHC 32	Unit SHC 33	Unit SHC 34	Unit CYP CORE 3.1	Unit CYP CORE 3.2	Unit CYP CORE 3.3	Unit CYP CORE 3.4	Unit CYP CORE 3.5	Unit CYP CORE 3.6	Unit CYP CORE 3.7	Assessment plan and feedback	
		EYMP 1	EYMP 2	EYMP 3	EYMP 4	EYMP 5	Optional unit	Optional unit	Optional unit	Optional unit	Optional unit	Optional unit	Optional unit	