



QUALITY ASSURANCE & IQA MODERATION STRATEGY

AIM

This strategy is fundamental to the maintenance and improvement of quality, consistency and integrity of assessment, teaching and quality assurance practices across work-based learning provision. This Strategy aims to embed processes that are rigorous, fair and satisfy the requirements of the Awarding Bodies, Code of Practice, Arrangements for Statutory Regulations (QCF) and principles of best practice.

This quality assurance policy outlines the Port Training Services (PTS) commitment to ensure that ongoing quality improvements are an integral part of our organisation. PTS will aim for continuous improvement in the quality of all aspects of its work in relation to training and Apprenticeships in order to help apprentices / learners achieve the highest possible standards.

In accordance with the Education and Skills Funding Agency (ESFA) and the Office for Standards in Education, Children's Services and Skills (OFSTED), PTS aim to deliver training and apprenticeships to an acceptable standard of quality, complying with the funding rules published by ESFA and the Education Inspection Framework.

To maintain Global Wind Organisation (GWO) approval as a certified training provider PTS will be subject to audit processes that fulfil GWO requirements.

To achieve above, PTS will therefore use all reasonable endeavours to ensure the achievement of the following:

- minimise drop-out rates, deliver high completion, achievement and success rates and appropriate progression;
- meet the requirements for quality and standards, as published by ESFA, OFSTED and GWO that apply to the training and delivery programmes delivered;
- ensure competent and appropriately qualified staff deliver and assess learning. PTS shall be responsible for the continuing professional development and relevant training of its staff
- offer equality of access to learning opportunities and close equality gaps in learning and outcomes;
- carry out scheduled internal audits across all areas of delivery (apprenticeship / NPORS and GWO) as minimum of once every 12 months) by personnel external to PTS with an auditing background and with no conflicting interest in the area(s) being audited,

to ensure quality and the objective evaluation of all system activities. This will be conducted in line with the overarching Port of Blyth audit schedule as documented in MS 1 03 MS01 Planning and Review.

OBJECTIVES

PTS Quality Assurance Framework (including outcomes of observations and quality assessments) will be used for a variety of purposes including:

- identifying and sharing good practice;
- providing opportunities for teaching staff to reflect on and improve their practice;
- compare the standard of provision with internal and external benchmarks;
- inform current and future staff development plans.
- Improving course content and delivery methods
- Improving customer satisfaction and service to all learners and service users accessing PTS
- Ensure provision of a safe, healthy and supportive environment, which meets the needs of apprentices
- ensure any sub-contractors delivering the provision on behalf of PTS comply with the requirements above.
- Reviewing and standardising sampling plans

The Quality Assurance framework and associated processes will involve employers, apprentices and collaborative partners, as appropriate. The management of the process will be through the existing Port of Blyth structures for management review and audit as per the IMS arrangements, together with additional specific PTS Apprenticeship Governance. Quality assurance procedures will be founded in a process of regular self-evaluation by staff and internal and external audits and observations and PTS will seek the views and thoughts of learners who are enrolled on an apprenticeship and their employers.

RESPONSIBILITY

The Internal Quality Assurance (IQA) Lead has overall responsibility for the implementation of this Strategy, to oversee the organisation's quality assurance processes including sampling and observation activities in line with Qualification Authorities, Awarding Bodies, Arrangements for the Statutory Regulations (QCF) and the applicable Codes of Practice.

The Business Manager (Port Logistics) has the operational line management responsibility to ensure that IQA's and Moderators within the organisation have responsibility for carrying out the activities as described in this document.

As part of the Port of Blyth overall Quality Management System the Port of Blyth Compliance Manager will support the (IQA) Lead with overall quality assurance of PTS, carrying out internal

audits, staff competency audits and documented information and record control audits. Information from the above arrangements will be discussed as part of the Port of Blyth Integrated Management System review meetings for objective setting and monitoring, continual improvement opportunities and resource allocation requirements.

PROCEDURE

The framework for continuous IQA improvement requires staff to meet on a regular basis to:

- review their own / peers work,
- set standards and
- monitor learner progression, achievements, retention and attrition.

Quality control will be carried out against relevant agreed criteria, which will incorporate appropriate key performance indicators. Such KPIs will be discussed with staff and assessors to ensure they are aware of the KPIS, their role in achieving them and the evidence requirements to demonstrate achievement.

INTERNAL QUALITY ASSURANCE:

Internal quality assurance is carried out on a continuous basis through observation of teaching and learning, assessor / staff continual professional development activities and reviews, assessment and portfolio sampling (formative, interim and summative assessments) and internal audits. The delivery of GWO standards and modules, compliance with certification requirements and the policy and objectives will be reviewed at a minimum of once every 12 months. The (IQA) lead, with support from the Compliance Manager, will set the quality assurance programme and ensure all activities are carried out in line with the schedule, delegating activities where required.

IQA ENCOMPASSES THE FOLLOWING METHODS:

- | | | |
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| ➤ Discussion with learners; | ➤ APL and APA; RPL | ➤ professional discussion; |
| ➤ validation of observation records; | ➤ oral and written questioning; | ➤ training resources availability; |
| ➤ direct observation of Assessor/Trainers; | ➤ written evidence; | ➤ sufficiency of evidence; |
| ➤ work based Assessor/Trainer support; | ➤ portfolio structure; | ➤ validity of evidence; |
| ➤ product evidence; | ➤ case study; | ➤ consistency of evidence; |
| ➤ IAG; | ➤ project work; | ➤ coaching; |
| ➤ Safeguarding | ➤ assignments; | ➤ training and underpinning knowledge delivery; evidence matrices |
| | ➤ witness testimonies; | |
| | ➤ health and safety; | |
| | ➤ equal opportunities; | |
| | ➤ independent assessment (where applicable) | |

On completion of each internal quality assurance activity an applicable report is completed and discussed with the Assessor/Trainer. Any actions are recorded and reviewed within agreed timescales.

Should any training or development actions be identified, a coaching and learning activity is completed and they are entered within the Assessor/Trainer Development Plan. This process is implemented and reviewed by the IQA Lead.

IQA Lead

The IQA Lead will oversee the internal quality assurance activity at PTS and ensure that it is applied consistently. The IQA Lead is not expected to undertake all the quality assurance activities themselves but to ensure that there are suitable quality assurance processes and sampling plans in place across all qualifications and assessors of PTS.

The IQA Lead will:

- Undertake any training specified by awarding body organisation.
- Train other staff, including those new to PTS, to ensure that the assessment across the centre meets national and PTS standards.
- Support the development of staff through standardisation meetings / exercises, observations of teaching and learning and internal quality assurance.
- Work with the Compliance Manager to ensure that there is an agreed internal quality assurance and assessment strategy, and observation of teaching and learning strategy which are fit for purpose and meets awarding body organisation requirements.
- Ensure the above strategies are carried out effectively.
- Ensure records of assessment, internal quality assurance reports, current learners work, and assessor observation records are available for the applicable awarding body organisation.
- Liaise with external verifiers/ standards verifiers to ensure appropriate samples of assessed and quality assured learners work is made available.
- Ensure that awarding body organisation regulations regarding re-submission of work are adhered to.
- Checking the eligibility of assessors to undertake assessment against Awarding Organisation Requirements.

INTERNAL QUALITY ASSURANCE SAMPLING STRATEGY (Vocational qualifications)

Overall, the IQA Lead must ensure that the sampling strategy:

- Meets Awarding Organisation requirements.
- Covers, as a guide 25-50% of assessment decisions.

- Covers all assessors, candidates, units, assessment methods and locations for each programme to ensure consistency between assessors over time and with different learners.
- Is an on-going process and includes formative/interim assessment decisions as well as summative/final assessment decisions.
- Includes an increased ratio of assessment decisions made by new or inexperienced assessors.
- Includes an increased ratio of assessment decisions for new qualifications/units.
- Checks that the evidence is valid, authentic, current, reliable and consistent.
- Is implemented effectively and adhered to.

PTS recognises that it is rarely a good use of resources to maintain 100% checks on assessment decisions, as it implies a lack of confidence in both Assessor/Trainers practice/expertise and quality assurance strategy and can become resource intensive. Therefore, the amount of work sampled will vary depending on experience and knowledge of individual assessors, ranging from 10% to 100%. The IQA lead is responsible for setting the agreed levels for the individual and document the required % ration of assessments to be sampled per assessor. This will take a risk-based approach and focus on the following criteria:

- assessor experience / competence (i.e., higher ration for newly appointed assessors)
- number of learners assessing
- complexity of the assessment criteria

Qualified and experienced assessors will require a smaller sample of the assessment work to be completed. This would be regarded as the minimum standard and not less than 10% or 50%. Any relevant factors would only cause the sampling percentage to be increased, it would never fall below the 10%.

Qualified and in-experienced assessors with limited experience in either assessing or the subject area would require a higher percentage of sampling. This percentage would be determined following a risk-based approach ranging from 50 to 100%.

Unqualified assessors who are working towards their qualifications would require all their assessment decisions (100%) to be endorsed and counter signed by a fully qualified assessor. All new assessors will be supporting by a mentor until deemed competent.

New or updated qualifications that have been newly issued to PTS would require a higher sampling ratio (50 – 100%) regardless of the expertise of the assessor until the programme is fully embedded into the centre.

Any of the above ratios could be modified following any quality issues raised from either internal or external verification processes.

The % sample criteria awarded to each Assessor/Trainer will be monitored and reviewed as part of IQA standardisation process and staff appraisal process utilising internal quality assurance RAG reports.

Band	Band	Assessor/Trainer
RED	Newly appointed or newly qualified assessor / Tutor - Significant Risk to assessment process / decisions	100%
AMBER	Qualified assessor / tutor requiring additional support - some risk to assessment process / decisions	50%
GREEN	Competent qualified assessor / tutor - no risk posed by assessment decisions / process	25% / 50%

Internal quality assurance Sample Plan and records are maintained for all Quality Assurance Activity. This reflects the planned internal quality assurance schedule, including range of sample and methodology. The findings are then highlighted at regular standardisation meetings.

When a Learner commences on programme they are registered onto the internal quality assurance sample plan (Form IQ23) either individually against an existing cohort. The IQA Lead has responsibility for the updating and reviewing the plan, disseminating such to the allocated IQA and ensuring the planned sampling dates are adhered to, escalating any issues with availability or learner portfolios or documentation to the Compliance Manager for action.

Formative, Interim and Summative sampling are carried out, reviewing the audit trail, quality of assessment planning, submission and acceptance of plans, and evidence to ensure the Learner and the Assessor/Trainer understand the processes fully. Sampling is completed in the following timescales:

- Formative – 8 weeks following enrolment
- Interim – 12 weeks form formative date and 12 weeks after for the duration of the programme
- Summative – 4 weeks prior to completion

Formative and interim sampling assessment should enable the IQA to evaluate the quality of guidance on the course criteria and assessment requirements given to the learner and enable the IQA to draw attention to any problems at an early stage, so as not to disadvantage the learner or put PTS at risk. It will also highlight individual Assessor/Trainer needs for support or training which in turn may be used to develop the assessment team as a whole.

This focuses on formal induction, enrolment and registration processes, to assessment decisions and learner progress. Such should include assessor/trainer observations.

Summative assessment sampling should entail reviewing the quality of the assessment decision by evaluating how the Assessor/Trainer has reached that decision. It focuses on the

completeness of candidate evidence, ensures assessors are meeting A1 requirements and assessment decisions are complaint, in relation to awarding body requirements.

The IQA must be able to follow an audit trail, which clearly demonstrates that Assessor/Trainers have clearly discussed the assessment and qualification criteria with the learner and checked that the evidence presented meets the rules of evidence outlined in the national standards. It is important to ensure that the IQA reviews the Assessor/Trainer's decisions using different assessment methods. This is particularly important where there are "problem" units e.g. where evidence specifications require very specific evidence, or the standards are often misinterpreted.

Internal Quality Assurance Observation sessions of assessors are to be carried out on an annual basis, ensuring each assessor is observed giving feedback to candidates for each subject they are assessing. This observation is to be logged on the Assessor IQ30 Observation schedule plan and a formal report completed (IQ19 Assessor Observation Record).

Within all internal quality assurance activities the evidence must be verified as:

- **Valid** – relevant to the standards for which competence is claimed;
- **Authentic** – produced by the Learner;
- **Current** – sufficiently recent for Assessor/Trainers to be confident that the same level of skills, understanding or knowledge exists at the time of claim;
- **Sufficient** - meets in full all the requirements of the standards.

Internal Quality Assurers

The role of the internal quality assurer (IQA) is to ensure the quality of assessment by ensuring the accuracy and consistency of assessment decisions of the assessor and ensure that the assessor is consistent in their interpretation and application of the national standards set as monitored by the awarding body. In addition, the IQA ensures that PTS requirements for assessment and assessment feedback are met consistently across all courses/qualifications

Internal quality assurance is a process undertaken to ensure that:

- Assessment and grading are consistent across a course/programme.
- Assessment instruments (assignments) are fit for purpose- i.e., they enable the learner to produce evidence which meets the grading criteria/learning outcomes/assessment criteria etc.
- Assessment decisions accurately judge learner work/evidence against the grading criteria/learning outcomes/assessment criteria etc.

The internal quality assurer should have a good understanding of awarding body assessment requirements, have subject specific knowledge of the qualification being delivered and have a formal internal verification / quality assurance qualification.

The internal quality assurer will carry out the following activities in line with PTS IQA requirements:

- Sampling assessments.
- Observing assessors carrying out assessments.
- Ensuring standardisation of assessment tasks and assessment judgements.
- Ensuring evidence of good working relationships between assessor and candidate, as measured by inspection of candidate contact records and / or observations of feedback sessions
- Ensure accurateness, completeness and promptness of record keeping by the assessor, as measured by inspection of contact reports and candidate file
- Ensure quality of feedback given to candidate both verbally and / or written, as measured by contact reports and / or direct observation

All assessors are allocated a nominated Internal Quality Assurer. It is the responsibility of the IQA Lead to complete an assessor sampling plan for all assessors following the risk matrix in terms of % ratio of sampling to be carried out.

Sampling plans should be reviewed and updated on a quarterly basis to ensure that new learners / candidates are included.

Sampling plans may also include planned observations of the assessment, candidate interviews and evidence sampling during visits.

Following any formative / interim sampling an Internal Quality Report – Formative (IQ16) / Interim (IQ17) will be completed and stored alongside the IQA Summary Sheet (IQ21) Candidate Interview Record (IQ20) and Assessors observation Report (IQ19). Where any actions are required the IQA Summary Sheet (IQ21) will be completed with agreed actions and timescales signed and dated by both the IQA and the Assessor. The IQA must also ensure the Candidate Portfolio Tracking sheet is up to date (IQ25).

Following any summative sampling an Internal Quality Report – Summative Final (IQ18) will be completed and stored alongside the Candidate Interview Record (IQ20) and Assessors Observation Report (IQ19).

For all IQA activity carried out for NVQ qualification any relevant awarding body documentation may also be required such as EAL Portfolio Sampling Form (IQ06).

All Portfolios should be presented for Final Moderation checks before being submitted for certification. The Education Coordinator processes requests for certification made by the IQA Lead.

Internal quality assurance documentary evidence should be kept in a secure location for 3 years after certification.

Any areas of non-compliance from an assessor in terms of action requests from an IQA must be recorded on a Quality Concerns Form (IQ22). Any trends will be raised at the Standardisation / Quality Meeting.

Where an issue is deemed serious to require escalation the IQA Lead must inform the Compliance Manager who will liaise with the relevant Departmental Manager for action and raise a non-conformance report where required.

It is noted that internal quality assurers cannot verify evidence that they have assessed.

SINGLE UNIT ACCREDITATION

It is PTS policy to award single units to Learners on request, where full award accreditation fails to be met or at the request of the learner. *If candidate is unsuccessful in gaining all units, they will be awarded the units they did achieve*

EVALUATION

Feedback is sought from Learners during observation of teaching and learning sessions and as part of PTS course / programmes evaluation process. Feedback is analysed by the Business Manager /IQA lead and any trends or opportunities for improvement are communicated to all staff via standardisation meetings.

Feedback from employers will be gathered during structure reviews, contract meetings and at the end of all apprenticeship programmes, such will be analysed and fed into the quality meetings for areas of good practice discussions and potential areas for improvement.

Feedback from staff can be gathered during team meetings appraisals sessions and via internally audits. Feedback shall be logged and reported at the standardisation meetings for further discussion.

Feedback from candidates, employers (customers) and staff must be sought and used to inform improvement across all of PTS services.

Examples of evidence include:

- feedback procedure
- PTS learner / candidate feedback forms
- minutes of meetings
- Observation of teaching and learning records
- Customer satisfaction records

STANDARDISATION MEETINGS

Quarterly internal quality assurance and standardisation meetings are Coordinated by the Education Coordinator and chaired by the IQA lead, for current active assessors, internal verifiers and PTS delivery staff. The meetings are held to promote continuous development, ensure consistency and standardisation of assessment / training delivery, disseminate and share good practice and ensure that all learners have comparable learning experiences resulting in similar learning outcomes.

These meetings are designed for staff to:

- Discuss qualification requirements.
- Prepare materials for induction and initial assessments.
- Create schemes of work, session plans and course materials.
- Interpret policies and procedures.
- Discuss decisions made by other assessors and IQAs as well as
- Share information on new and current “hot topics”.
- Share any other issues that may be arising within the area of delivery.

The previous quarter’s internal quality assurance activity is analysed during the meeting and reviewed to plan quality assurance activities and samples required for the coming months.

The samples will encompass:

- All assessors/trainers.
- All assessment sites.
- A variety of assessment methods.
- All units / modules of all programme types and levels.
- Assessor/trainers experience and competence.

The purpose of internal quality assurance is to verify the flexibility, standardisation and consistency of all assessment decisions whilst effectively demonstrating the validity of the assessment process. The quality assurance framework ensures that problematic units and newly accredited QCF or other Qualifications are sampled with rigour.

Where appropriate guest speakers and industry experts will be invited to attend standardisation meetings to share information with staff and advise on any current topics and agendas. Such sessions will be logged on staff CPD logs.

Copies of all minutes and supplementary information will be retained.

STAFF DEVELOPMENT

The Business Manager maintains overall responsibility for staff development, responsible for the induction period and on-going development and up-skilling of all Assessor/Trainers and IQA's.

Competency and continuous professional development are assessed during the initial induction stage then formally reviewed at probationary reviews and thereafter during one to ones and annual appraisals.

Any training needs identified during internal quality assurances processes or general upskilling of staff will be logged on the training matrix and relevant courses identified. Copies of all training certificates will be retained.

Training requiring scheduled fresher courses will be logged on the training matrix.

Guidance information, industry standards and resources that support staff CPD will be stored centrally to ensure availability to all staff.

All continual professional development will be logged on a CPD log for all assessors/trainers and IQAs on and monitored by the IQA Lead and Business Manager.

Awarding Body Requirements

The Education Co-ordinator is responsible for controlling and disseminating documents relating to quality assurance of Awarding Bodies' qualification and any feedback relating to policies and procedures and changes to processes will be discussed during standardisation meetings.

The Education Coordinator will be a liaison between PTS and the applicable awarding body, to be the first point of contact between the centre, applicable awarding body and the candidate to:

- Ensure policies and procedures are in place to support the quality assurance process
- Ensure that policies and procedures are reviewed regularly and updated in line with current awarding body guidance and centre decisions
- Ensure that the most current version of all documentation is used
- Enable internal quality assurers and assessors to meet on a regular basis
- support the sharing of best practice amongst assessors and internal quality assurers
- Ensure awarding body quality assurance personnel have access to relevant information, records, evidence, candidates and staff and premises as requested
- circulate the subsequent quality assurance report to appropriate personnel
- Ensure that any required actions and development points identified in a quality assurance report are discussed and acted upon
- Ensure all data passed on by internal quality assurers and assessors is processed and submitted to the applicable awarding body according to the centre data management policy
- Ensure relevant centre staff check for Scottish Candidate Number (SCN) of new candidates – SQA ONLY

- Notify the applicable awarding body of any changes which may affect the centres' ability to meet the criteria
- Maintain the security of the SQA Secure Site, user ID and password as provided by SQA, ensuring only authorised access, and inform SQA of any breach in security

It is the responsibility of the Education Coordinator to inform the awarding body in writing of any staffing or operational changes, which may affect PTS's ability to meet the approval conditions agreed by the external Moderator.

The awarding body must be notified if there are any changes to procedures or roles and responsibilities to the following:

- Change to premises
- Change to head of centre (EAL/ Highfield / SQA Co-ordinator)
- Change of name of centre or business
- Change of contact details
- Outcome of internal/external investigations
- Removal of centre and/or qualification approval by another Awarding body
- Lack of appropriate assessors or internal verifier
- Changes to centre arrangements for secure storage of candidate evidence

STANDARDS MODERATION

Standards/ External Moderation takes place approximately twice per year per sector delivery area. Additional visits are arranged in conjunction with the Awarding Body, Business Manager, Operational Managers, IQA's and Assessors/Trainers.

PORTFOLIO STORAGE (NON-ELECTRONIC)

When a learner's paper-based portfolio is requested to be brought into PTS Head Office for audit or moderation purposes, the files are placed into the secure internal quality assurance cupboard to await internal audit.

Upon completion of an award, each Learner (paper based and e-portfolio) is required to sign a Declaration Form which confirms they have completed the portfolio in line with the requirements. This declaration form is retained for at least three years following submission and may be requested by the awarding body for audit purposes.

APPENDIX A – Assessment Process RAG Matrix for NVQ / SVQ sampling strategy

	RED	AMBER	GREEN
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Planning & Contact Log	<p><u>Contact Log</u></p> <ul style="list-style-type: none"> Contact log not complete Insufficient contact recorded. Type of contact not recorded. <p><u>Planning</u></p> <ul style="list-style-type: none"> No planning or audit trail Minimal planning – lack of detail Type of evidence required not identified Evidence links not identified. Target dates not specified. Generic planning – not individual to learner Planning does not link in any way to qualification. 	<p><u>Contact Log</u></p> <ul style="list-style-type: none"> Insufficient contact recorded. Guide learning hours not recorded. Incorrect information recorded e.g. feedback Inconsistent contact. Completed by learner but not assessor Completed by assessor but not learner <p><u>Planning</u></p> <p>Planning evident but;</p> <ul style="list-style-type: none"> Plans not individual to learner Detail insufficient does not include how, what, where, how, why. Plans unclear Plans do not include evidence links Plans not holistic. 	<p><u>Contact Log</u></p> <ul style="list-style-type: none"> Contains variety of contact types. Contact recorded by learner and assessor. Guided learning hours recorded. Monthly entry to meet audit requirements. Times of contact Duration of contact <p><u>Planning</u></p> <ul style="list-style-type: none"> Contains how, why, what and where. Detail of the criteria evidence will cover. Evidence type selected. Holistic planning. Individual to learner. SMART planning. Details format of test and timings Details planned target date.
	<p><u>Review</u></p> <ul style="list-style-type: none"> Plans not reviewed after target date. Plans not modified to reflect any changes in units. Plans reviewed but any issues not dealt with 	<ul style="list-style-type: none"> Reviewing evident but insufficient. Reason for reviewing not detailed Reviewed continuously 	<ul style="list-style-type: none"> Reference to the planned actions completed/updated. Plans reviewed after passed due date.
	<p><u>Judgements / Assessment Decisions</u></p> <ul style="list-style-type: none"> Evidence does not meet criteria claimed. Evidence not relevant to award. Units over assessed. Plagiarism issues not identified End loading of assessments. Severe literacy issues are not identified. Insufficient evidence in units Evidence type incorrectly identified 	<ul style="list-style-type: none"> Sound judgements but not assessed holistically. Evidence relevant to award. Evidence; Valid Sufficient Reliable Current 	<ul style="list-style-type: none"> Sound judgement. Assessed holistically if appropriate. Evidence ; Valid Sufficient Reliable Current Authentic Contextually correct.

Feedback to learner	<ul style="list-style-type: none"> • No feedback given. • Insufficient detail in feedback i.e. well done. • Not individual to learner • IQA feedback copied and pasted. • Severe literacy issues not identified by assessor. • Feedback contains severe literacy errors by assessor. 	<ul style="list-style-type: none"> • Constructive feedback given but criteria numbers used. • Good feedback given but not individual to learner • Moderate literacy issues not identified or commented upon by assessor. • Feedback contains moderate literacy errors by assessor. 	<ul style="list-style-type: none"> • Detailed feedback given stating; • How evidence met/did not meet plan. • How evidence met/did not meet criteria. • Constructive and positive comments. • Feedback directed to individual learner. • Holistic feedback given. • Any literacy issues identified and commented upon. • Good literacy standards shown by assessor.
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CENTRE IQA SAMPLING STRATEGY

Port Training Services has defined and agreed strategy for internal quality assurance of assessment.

1. SAMPLING PERCENTAGE LEVELS

The amount of work sampled will vary depending on experience and knowledge of individual assessors, ranging from 10% to 100%.

The IQA Lead and Education Coordinator is accountable for setting the agreed levels for individual assessors.

1.1 Qualified and Experienced Assessors

A smaller sample of the assessment work would be completed, when the assessor is fully qualified and has extensive assessment experience. This should be regarded as the **'minimum standard' and not less than 10%**. Any relevant factors can only cause the sampling percentage to be increased, never decreased.

1.2 Qualified and Inexperienced Assessors

This group of assessors could be inexperienced as an assessor, or inexperienced in a particular award. For either scenario, the Education Coordinator should review their knowledge level and assess the risk. Based on this information they should set a higher sampling level, which is reflective of the level of risk.

1.3 Unqualified Assessors

For assessors who are working towards achievement of their A1/A2 award, all of their assessment decisions should be endorsed and counter-signed by a fully qualified assessor. A mentoring program is in place for all new assessors.

1.4 New or Updated Awards

Any awards that have been newly issued to the Centre, should have a higher sampling level than the minimum standard.

1.5 In Response to Internal/External Quality Feedback

The sample percentage would be modified following poor IQA or EV comments.

2. FAIR AND CONSISTENT SAMPLING

2.1 Sampling Framework

Refer to V2

2.2 Observation of Assessors

On an annual basis, each assessor should be observed giving feedback to candidates for each subject that they are assessing.

This observation must be carried out by an internal quality assurer and must be documented and filed for inspection by External Quality.

3. TIMING OF SAMPLING

The sampling should take place throughout the award period, not just at the point of completion. There should be a spread of formative, interim and final summative sampling by the internal quality, to ensure that the learner journey is monitored continually. Each assessor in every subject area should be sampled during each stage of the IQA process.

3.1 **Formative Sampling**

The first sampling should take place either when the first selected units/elements have been completed by the learner or no later than one-third through the duration of the award.

Formative Sampling focuses on the compliance of the formal induction, enrolment, and registration processes. (Some observation could occur here, e.g., of induction/enrolment processes)

Interim Sampling focuses on assessment decisions & learner progress, and this IQA period should contain observations of each assessor/trainer. (The majority of observation should occur here)

Summative Sampling focuses on the completeness of candidate evidence, ensures assessors are meeting A1 requirements and assessment decisions are compliant in relation to an awarding organisation regulations (VAS - Valid, Authentic & Sufficient).

4. **COMMUNICATION AND RECORDING**

Each new candidate should be entered onto the relevant sampling matrix at the point of their commencement of the award.

5. **CONTENT OF THE SAMPLING**

Sampling Ethos

Assessors ensure candidates fulfil skill and knowledge requirements of the awarding organisations performance criteria.

Assessors support candidates in the learner journey in developing the appropriate skills/knowledge in meeting performance criteria.

IQAs monitor and support assessors in ensuring learner evidence demonstrates quality and is Valid, Authentic & Sufficient.

The sampling should include inspection and verification of the following:

- Evidence of a good working relationship between assessor and candidate, as measured by inspection of candidate contact records and/or observation of feedback sessions.
- Accuracy, completeness and promptness of record-keeping by the assessor, as measured by inspection of contact reports and candidate file.
- Quality of feedback given to candidate both verbally and written, as measured by contact reports and/or direct observation.

Roles of Quality Team

Internal Quality plan and complete IQA activity in line with the sampling strategy and ethos.

The IQA Lead is responsible for summary and audit of all IQA activity and the reporting through management lines any non-compliance from assessors or IQA's.

6. **CLAIMS ON BEHALF OF PORT TRAINING SERVICES STAFF/CONFLICT OF INTEREST**

Any claim of any award on behalf of a Port Training Services employee will be indicated in a sampling plan and will be subject to Internal Quality assurance in addition to the percentage sample. Any claim of an award on behalf of a Port Training Services employee will be presented to the External Quality for counter signature and verification.

7. REPORTING LINES FOR ASSESSOR NON-COMPLIANCE

Any non-compliance from an assessor in terms of an action request from and IQA must be recorded on a concerns form. The Education Coordinator must inform the appropriate line manager of any concerns form relating to any assessor they have line management responsibility for.

INTERNAL QUALITY ASSURANCE SERVICES

AIMS

- Meet the award body criteria
- Facilitate external audits and address external action plans
- Review I.Q.A strategy
- Develop individual assessor strategies (observation & sampling)
- Instigate standardisation activities
- Develop I.Q. plans for formative, interim and summative sampling

ACTION PLAN

- Review I.Q.A strategy
- Review I.Q. allocations (assessors/group)
- Review assessor allocations (class/group/candidate)
- Update Centre File – re-staff qualifications – index
- Update individual staff CPD logs
- Develop cross referencing system for evidence to performance criteria for all qualifications and levels

PROFORMA'S REQUIRED

- Staff qualification index
- Index for individual CPD log
- Portfolio content checklist



IQ15 - INDIVIDUAL IQA SAMPLING STRATEGY

1. SAMPLING PERCENTAGE LEVELS

The amount of work sampled based on individual assessor's experience and knowledge will be:

ASSESSOR NAME	SUBJECT	MINIMUM IQA PERCENTAGE

The Education Coordinator is accountable for setting the agreed levels for individual assessors.

1.6 Qualified and Experienced Assessors

A smaller sample of the assessment work will be completed, when the assessor is fully qualified and has extensive assessment experience. This should be regarded as the **'minimum standard' and not less than 10%**. Any relevant factors can only cause the sampling percentage to be increased, never decreased.

1.7 Qualified and Inexperienced Assessors

This group of assessors could be inexperienced as an assessor, or inexperienced in a particular award. For either scenario, the IQA Lead should review their knowledge level and assess the risk. Based on this information they should set a higher sampling level, which is reflective of the level of risk.

1.8 Unqualified Assessors

For assessors who are working towards achievement of their A1/A2 award, all of their assessment decisions should be endorsed and counter-signed by a fully qualified assessor. A mentoring program is in place for all new assessors.

1.9 New or Updated Awards

Any awards that have been newly issued to the Centre, should have a higher sampling level than the minimum standard.

1.10 In Response to Internal/External Quality Assurance Feedback

The sample percentage would be modified following poor IQA or EQ comments.

2. FAIR AND CONSISTENT SAMPLING

2.3 Sampling Framework

Refer to V2

2.4 Observation of Assessors

On an annual basis, each assessor should be observed giving feedback to candidates for each subject that they are assessing.

This observation must be carried out by an internal quality assurer and must be documented and filed for inspection by External Quality.

3. TIMING OF SAMPLING

See attached Individual IQA sampling plan

4. CONTENT OF THE SAMPLING

Sampling Ethos

Assessors ensure candidates fulfil skill and knowledge requirements of the awarding organisations performance criteria.

Assessors support candidates in the learner journey in developing the appropriate skills/knowledge in meeting performance criteria.

IQAs monitor and support assessors in ensuring learner evidence demonstrates quality and is Valid, Authentic & Sufficient.

The sampling should include inspection and verification of the following:

- Evidence of a good working relationship between assessor and candidate, as measured by inspection of candidate contact records and/or observation of feedback sessions.
- Accuracy, completeness, and promptness of record-keeping by the assessor, as measured by inspection of contact reports and candidate file.
- Quality of feedback given to candidate both verbally and written, as measured by contact reports and/or direct observation.

Roles of Qualification Team

Internal Quality plan and complete IQA activity in line with the sampling strategy and ethos.

The IQA Lead is responsible for summary and audit of all IQA activity and the reporting through management lines any non-compliance from assessors or IQA's.

5. CLAIMS ON BEHALF OF PORT TRAINING SERVICES STAFF

Any claim of any award on behalf of a Port Training Services employee will be indicated in my sampling plan and will be subject to internal quality assurance in addition to the percentage sample. Any claim of an award on behalf of a Port Training Services employee will be qualified and counter signed.

6. REPORTING LINES FOR ASSESSOR NON-COMPLIANCE

Any non-compliance from an assessor in terms of an action request will be recorded on a concerns form. I will inform the Education Coordinator of any non-compliance in relation to an action I request.

VERIFIER NAME	SIGNATURE	DATE



IQ16 - INTERNAL QUALITY REPORT (FORMATIVE)

IQA Name	IQA No	Date of Visit
Assessor Name	Assessor No.	
Candidate Name	Candidate No.	
Award		
Candidate Enrolled		Y/N
Countersigning IQA Name		
Action Plan / Initial Assessment plan completed		
IQA Portfolio Visit		

Checklist	Y	N	Examples
Candidate details – start date, registration details			
Is there a record of induction?			
Candidate induction to the award is adequate			
Has Initial Assessment been carried out?			
Has the candidate signed for Appeals procedure & Equal Opportunities			
Is there a structure portfolio which includes -			
• A progress tracking sheet			
• Types of evidence required			
• Planning for assessment			
• Review & action planning proformas			

Candidate Interview			
Is the candidate aware of the expected achievement outcomes			
Does the candidate understand the Appeals Procedure			
Does the candidate know the extent of their achievements			
Does the candidate have access to their portfolio			

Agreed Action and Date Required

IQA Signature		Date	
Assessors Signature		Date	
Countersigning Assessor signature (if necessary)		Date	

Actions Completed

IQA signature		Date	
Assessor signature		Date	
Countersigning IQA signature (if necessary)		Date	

**To be completed for each candidate on any visit*



IQ17 - INTERNAL QUALITY REPORT (INTERIM)

IQA Name	IQA No	Date of Visit
Assessor Name	Assessor No.	
Candidate Name	Candidate No.	
Observer Name		
Award		
Countersigning IQA Name		

Evidence observed

Observation Report		Work Based		Witness Test		UPJKQ & A		Project	
Video		Professional Discussion		Simulation		Product		Photographs	

Were Assessment decisions VAS?

	Y	N	Comments
Valid			
Authentic			
Sufficient			

Checklist	Y	N	Examples
Is there progression of achievements recorded on the tracking sheet			
Is there evidence referenced to the p.c.'s			
Was an observation carried out			
Is there evidence of planning for assessment (signed & dated)			
Has the assessor recorded his reviews & action planning			
Is there evidence of underpinning knowledge			
Has the candidates work been marked & dated			
Has the candidate received feedback after assessment			
Is the assessor performing to A1 standards			
IQA report on assessor performance complete			

Agreed Action and date required

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IQA Signature		Date	
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Assessors Signature		Date	
Countersigning IQA signature (if necessary)		Date	

Actions Completed			
IQA signature		Date	
Assessor signature		Date	
Countersigning IQA signature (if necessary)		Date	

**To be completed for each candidate on any visit*



IQ18 - INTERNAL QUALITY REPORT (SUMMATIVE - FINAL)

IQA Name	IQA No	Date of Visit
Assessor Name	Assessor No.	
Candidate Name	Candidate No.	
Award		
Candidate Enrolled		
Countersigning IQA Name		
Action Plan Completed		
IQA Portfolio Visit		

Checklist	Y	N	Examples
The portfolio is clearly sectioned and easily accessed			
Evidence is referenced			
Has the assessment decisions been countersigned by a qualified assessor, if necessary			
The candidates resume & initial assessment is complete			
There is complete evidence of the assessor being active in the full process / cycle from planning to review & feedback – in line with A1 standards (VAS)			
The assessor records of assessment decisions are completed and available for storage			
The qualification / unit summary / sign-off sheet is complete			
Internal quality process documents are completed & available for storage			

Agreed Action required	Target Date	Completion Date

IQA Signature		Date	
Assessors Signature		Date	
Countersigning IQA signature (if necessary)		Date	

Actions Completed			
IQA signature		Date	

Assessor signature		Date	
Countersigning IQA signature (if necessary)		Date	

**To be completed for each candidate on any visit*



IQ21 - IQA SUMMARY SHEET

QUALITY IMPROVEMENT ACTIONS

IQA Name:	IQA No.:	Date of Visit:
Assessor Name:	Assessor No:	
Award		

Feedback to Assessor from IQA

Actions from Previous Visit

Agreed Action and date required

IQA Signature		Date
Assessors Signature		Date

Countersigning IQA Signature (If required)		Date
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ACTIONS COMPLETED		
IQA Signature		Date
Assessor Signature		Date
Countersigning IQA Signature (If required)		Date

**Include an observation of at least 1 professional discussion completed in Port Training or on-site*



IQ20 - CANDIDATE INTERVIEW RECORD

QA name			
Site name			
Assessor		Assessor number	
Candidate name		Candidate number	
Qualification title		Date	

Subject	Comment	Y/N-
PROGRESS		
Was the process of getting your qualification explained to you?		
Do you have a target date for completion?		
Are you progressing in accordance with your assessment plan?		
Do you know the title of the qualification you are doing?		
PLANNING		
Did you draw up a plan with your Assessor, taking any Particular requirements into account?		
Is the plan regularly reviewed? How often? On average how much time is spent reviewing your progress?		
Does your assessor(s) involve you in planning assessments in advance?		
Do you have an input into what evidence to collect?		
TRAINING		
Is the Tutor well prepared?		
Does the Tutor present information clearly and accurately?		
Does the Tutor use visual aids?		
Does the Tutor involve you by asking questions?		
Does the Tutor use tests/exercises?		
ASSESSMENT		
Do you discuss the types of evidence requirements with the assessor?		
Do you understand what your qualification covers?		

Subject	Comment	Y/N-
Do you have access to the standards for the qualification?		
Is the number of Assessors that you have appropriate?		
Is the quantity and frequency of assessment sessions appropriate for you? Approx how many have been done?		
Is observation the main assessment method?		
Does your assessor give you feedback after an assessment?		
Is the feedback in written form?		
Does the feedback identify the things that you did satisfactorily?		

Subject	Comment	Y/N-
Does the feedback identify the areas where you need to improve?		
Does the assessor advise you how you may be able to achieve the improvements?		
Does your assessor give you help and guidance?		
Do you look at other types of evidence with your assessor		
Is there sufficient time to do the assessments?		
If you have more than one assessor how do they differ in how they do planning, assessments and feedback? In your opinion is this appropriate?		
PORTFOLIO BUILDING		
Do you reference your own evidence to the standards?		
Do you get help from the assessor with referencing?		
Are you invited to sign paperwork after an assessment?		
Do you keep your own portfolio?		
RIGHTS AND OPINIONS		
Do you know you have the right of appeal?		
Do you feel you are being fairly treated?		
Do you require any further help and guidance?		
Comments/Actions? (Transfer to Analysis & Actions)		



**IQ19 - REPORT ON ASSESSOR OBSERVATION
PERFORMANCE (CANDIDATE)**

QA name			
Site name			
Assessor		Assessor number	
Candidate name		Candidate number	
Qualification title		Date	

CHECKLIST	YES	NO	EXAMPLES
Candidate put at ease			
Assessment procedure explained and negotiated			
Candidate encouraged to relate evidence to standards			
Relevant questions asked			
Evidence requirements met			
Give feedback at appropriate time and place			
Give encouraging, constructive feedback appropriate to level			
Clearly explain if evidence was good enough			

Give advice as to how to improve or get more evidence			
All possible sources of evidence considered			
Encourage candidate to seek feedback			
Further action agreed with candidate where appropriate			
Agree when assessment will occur and others needed			
Necessary assessment documentation completed			
Has the observed activity impacted learners and supported their progress			

Assessment activity observed

Candidate Feedback

Feedback Outcomes

Further Action/Training Need

QA Signature
Assessor's Signature

Part B



IQ19 - REPORT ON ASSESSOR OBSERVATION TEACHING

Observer	Assessor / Instructor	Date
Course Type	Course Level	Subject

Room Capacity	No of learners planned	No of learners actual	Type of Observation		Previous Grade	Paired Observation: Yes/No By Whom
			Teaching Learning & coaching		Observation Time	
			Work based assessment			
			IAG / Interview		Current Grade	
			Review			
			Other:			

Preparation Note if appropriate

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Areas for Improvement <i>(All areas for development to be implemented straight away)</i>		Timescale for completion
1		
2		
3		
4		
5		
6		

Recommended Training from previous observation - How has this improved delivery?

Paired Observer - Comments: -

Observer Notes

Part C



IQ19 - REPORT ON ASSESSOR OBSERVATION
TEACHING

Observer	Observed	Date
Course Type	Course Level	Subject

Room Capacity			Type of Observation	Previous Grade	Paired Observation: Yes/No
			Teaching Learning & coaching		

	No learners planned	of No learners actual	Work based assessment		Observation time	By Whom
			IAG / Interview			
			Review			
			Other:			

Grade and Outcome					
	Inadequate	Requires Improvement	Good	Outstanding	
Scale	4	3	2	1	
For gradings of 3 and 4 has a re-observation date been agreed?			Yes	No	Date:

Context of this Session

Summary

Areas of Good Practice

To what extent did the Assessor/Instructor	Inadequate	Requires Improvement	Good	Outstanding
Develop learner independence				
Use their expertise to contextualise learning				

Set challenging tasks to enable learners to develop their knowledge, skills and understanding				
Motivate learners to learn and achieve				
Assess understanding and provide feedback to enable learners to improve their work and/or performance				
Develop learners maths, English and ICT skills				
Promote inclusive behaviour				
Extend learners wider knowledge of equality and diversity				
Safeguard learners physical and emotional safety				
Develop learner skills for employment and or future prospects				

Areas for Improvement <i>(All areas for development to be implemented straight away)</i>			Timescales for completion	
1				
2				
3				
4				
5				
6				
Further Training Recommended / Required			Delivered By	By When
Feedback given to			Date	



IQ22 - Internal Quality - Concerns Form

Feedback to Co-ordinator (IQAC)

The areas of concern should be completed by the Internal Quality Assurer and handed to the IQA Lead.

Areas of concern

Agreed action and target date:

I.Q. signature..... Date.....

C/S I.Q. signature (if necessary)
..... Date.....

IQA Lead signature.....Date.....

Action taken

IQA Lead signature Date

This document will be completed if there are any incomplete actions from a previous visit or if deadlines have not been met or if there are any significant issues within six weeks of a learner's completion date.

