QUALITY ASSURANCE & IQA MODERATION PROCEDURE

AIM

This procedure 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 procedure aims to embed processes that are rigorous, fair and satisfy the requirements of the Awarding Bodies, Code of Practice, Arrangements for Statutory Regulations and principles of best practice.

This quality assurance procedure 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 to help apprentices / learners achieve the highest possible standards.

In accordance with the Department for Education (DfE) 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 DfE 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 the 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 DfE, Ofstedand 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 schedule 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 Procedure (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 procedure 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 Quality Assurance Leader (QA Leader) has overall responsibility for the implementation of this procedure, 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 and the applicable Codes of Practice.

The Head of Training 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 QA Leader 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 procedure 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, instructor/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 QA Leader, 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:

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

On completion of each internal quality assurance activity an applicable report is completed and discussed with the Instructor/Assessor. 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 Instructor/Assessor Development Plan. This process is implemented and reviewed by the QA Leader.

QA Leader

The QA Leader will oversee the internal quality assurance activity at PTS and ensure that it is applied consistently. The QA Leader 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 QA Leader 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 Quality assurers 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 instructor/assessors to undertake assessment against Awarding Organisation Requirements.

INTERNAL QUALITY ASSURANCE SAMPLING STRATEGY (Vocational qualifications)

Overall, the QA Leader must ensure that the sampling strategy:

- Meets Awarding Organisation requirements.
- Covers, as a guide, 25-100% of assessment decisions.
- Covers all assessors, learners, 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 Instructor/Assessor 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 25% to 100%. The QA Leader 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 ratio 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 25% or 50%. Any relevant factors would only cause the sampling percentage to be increased; it would never fall below the 25%.

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 supported 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 Instructor/Assessor 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 instructor/assessor - Significant Risk to assessment process / decisions	100%
		3 observations/annum
AMBER	Qualified instructor/assessor requiring additional support - some risk to assessment process / decisions	50%
		2 observations/annum
GREEN	Competent qualified instructor/assessor - no risk posed by assessment decisions / process	25%
		1 observation/annum

Internal Quality Assurance Observation sessions of instructors/assessors are to be carried out as detailed in the above table. Observations are logged on the Assessor IQ30 Observation schedule plan and a formal report completed (IQ19).

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 (IQ23) either individually or against an existing cohort. The QA Leader 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 Head of Training 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 Instructor/Assessor understand the processes fully. Sampling is completed in the following timescales:

- Formative – 8 weeks following enrolment
- Interim – 12 weeks from 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 Instructor/assessor needs for support or training which in turn may be used to develop the assessment team.

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

Summative assessment sampling should entail reviewing the quality of the assessment decision by evaluating how the Instructor/ Assessor has reached that decision. It focuses on the completeness of learner evidence, ensures assessors are meeting the current requirements and assessment decisions are compliant, in relation to awarding body requirements.

The IQA must be able to follow an audit trail, which clearly demonstrates that Instructor/Assessor 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 Instructor/Assessor'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.

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.
- **Reliable** – would different assessors reach the same conclusion.

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 learner, as measured by inspection of learner 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 learner file
- Ensure quality of feedback given to learner 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 QA Leader 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 / learners are included.

Sampling plans also include planned observations of the assessment, learner 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) Learner 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 that AP04 Personal Learning Plan – Appendix A is regularly reviewed and updated by the assessor to reflect the apprentice's current outcomes, revised timescales and progress reviews, with any changes being recorded within AP04.

Following any summative sampling an Internal Quality Report – Summative Final (IQA18) will be completed and stored alongside the Learner 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 QA Leader processes certification following QA procedures.

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 QA Leader must inform the Compliance Manager and the Head of Training 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 the learner 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 Head of Training/QA Leader 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 internal audits. Feedback shall be logged and reported at the standardisation meetings for further discussion.

Feedback from learners, 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 feedback forms
- minutes of meetings
- Observation of teaching and learning records
- Customer satisfaction records

STANDARDISATION MEETINGS

Quarterly internal quality assurance and standardisation meetings are chaired by the QA Leader, 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.
- Discuss assessment and delivery activities.
- 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 arise 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/instructors
- All assessment sites.
- A variety of assessment methods.
- All units / modules of all programme types and levels.
- Assessor/instructor 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 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 Head of Training maintains overall responsibility for staff development, responsible for the induction period and on-going development and up-skilling of all Assessor/Instructors 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 instructor/assessors, IQAs and monitored by the QA Leader and Head of Training.

Awarding Body Requirements

The QA Leader 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 QA Leader 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 learner 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 assurer 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, learners 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 learners – 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 QA Leader 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 Quality Assurer .

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 learner 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, Head of Training, 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 storage area 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
Planning & Contact Log	Contact Log • Contact log not complete • Insufficient contact recorded. • Type of contact not recorded. Planning • 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.	Contact Log • 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 Planning Planning evident but. • 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.	Contact Log • 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 Planning • Contains how, why, what and where. • Detail of the criteria evidence will cover. • Evidence types selected. • Holistic planning. • Individual to learner. • SMART planning. • Details format of test and timings • Details planned target date.
Review	• Plans not reviewed after target date. • Plans not modified to reflect any changes in units. • Plans reviewed but any issues not dealt with	• Reviewing evident but insufficient. • Reason for reviewing not detailed • Reviewed continuously	• Reference to the planned actions completed/updated. • Plans reviewed after passed due date.

Judgements / Assessment Decisions	• 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 types incorrectly identified	• Sound judgements but not assessed holistically. • Evidence relevant to award. • Evidence. • Valid • Sufficient • Reliable • Current	• Sound judgement. • Assessed holistically if appropriate. • Evidence. • Valid • Sufficient • Reliable • Current • Authentic • Contextually correct.
Feedback to learner	• 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.	• 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.	• 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.

APPENDIX B - IQA Forms

CENTRE IQA SAMPLING STRATEGY

PTS has defined procedure 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 25% to 100%.

The QA Leader 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 25%.** 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 QA Leader 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 assessor qualification, 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 a annual basis, each assessor should be observed giving feedback to learners 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 Assurer.

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 learner evidence, ensures assessors are meeting the current requirements and assessment decisions are compliant in relation to an awarding organisation regulation (VAS - Valid, Authentic & Sufficient).

4. COMMUNICATION AND RECORDING

Each new learner 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 learners fulfil skill and knowledge requirements of the awarding organisations performance criteria.

Assessors support learners 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 learner, as measured by inspection of learner 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 learner file.
- Quality of feedback given to learner 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 QA Leader 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 PTS 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 PTS employee will be presented to the External Quality Assurer 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 QA Leader must inform the Head of Training of any concerns forms relating to any assessor.

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/learner)
- 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 QA Leader 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 25%.** 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 QA Leader 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 or equivalent assessor qualification, 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 learners 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 Assurer.

3. TIMING OF SAMPLING

See attached Individual IQA sampling plan

4. CONTENT OF THE SAMPLING

Sampling Ethos

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

Assessors support learners 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 learner, as measured by inspection of learner 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 learner file.
- Quality of feedback given to learner 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 QA Leader 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 PTS 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 PTS 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 QA Leader 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.**	
Learner Name	**Learner No.**	
Award		
Learner Enrolled		**Y/N**
Countersigning IQA Name		
Action Plan / Initial Assessment plan completed		
IQA Portofolio Visit		

Checklist	**Y**	**N**	**Examples**
Learner details – start date, registration details			
Is there a record of induction?			
Learner induction to the award is adequate			
Has Initial Assessment been carried out?			
Has the learner 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			

Learner Interview			
Is the learner aware of the expected achievement outcomes			
Does the learner understand the Appeals Procedure			
Does the learner know the extent of their achievements			
Does the learner 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 learner on any visit*

IQ17 - INTERNAL QUALITY REPORT (INTERIM)

IQA Name	**IQA No**	**Date of Visit**
Assessor Name	**Assessor No.**	
Learner Name	**Learner 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 learners work been marked & dated			
Has the learner received feedback after assessment			
Is the assessor performing to A1 standards			
IQA report on assessor performance complete			

Agreed Action and date required

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 learner on any visit*

IQ18 - INTERNAL QUALITY REPORT (SUMMATIVE - FINAL)

IQA Name	**IQA No**	**Date of Visit**
Assessor Name	**Assessor No.**	
Learner Name	**Learner No.**	
Award		
Learner 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 learners 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 learner on any visit*

IQ19 - REPORT ON ASSESSOR OBSERVATION PERFORMANCE (LEARNER)

QA name			
Site name			
Assessor		**Assessor number**	
Learner name		**Learner number**	
Qualification title		**Date**	

CHECKLIST	**YES**	**NO**	**EXAMPLES**
Learner put at ease			
Assessment procedure explained and negotiated			
Learner 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			
Cleary explain if evidence was good enough			
Give advice as to how to improve or get more evidence			
All possible sources of evidence considered			
Encourage learner to seek feedback			
Further action agreed with learner 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

Learner Feedback
Feedback Outcomes
Further Action/Training Need
QA Signature
Assessor's Signature

IQ20 - LEARNER INTERVIEW RECORD

QA name			
Site name			
Assessor		**Assessor number**	
Learner name		**Learner 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?		
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)		

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**

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*

IQ34 REPORT ON ASSESSOR OBSERVATION Performance (Teaching)

Observer	Observed	Date
Course Type	Course level	Subject

Room capacity	Planned Learners	Actual Learners	Observation Time	Paired Observation Yes/No
				By Whom

Introduction

	Y	N
Were the objectives of the session made clear to the class?		
Were the anticipated learning outcomes for the session identified?		
Did the session begin on time?		
Was the structure of the session clear?		
Comment		

Planning and Organisation

	Y	N
Did the tutor relate the session to previous sessions and set it in the overall context of the Unit/Module?		
Did s/he set out the structure of the session at the start?		
Did the session appear to be well-planned and organised		
Comment		

Methods/Approach

	Y	N
Were the methods/approach taken suitable to achieve the learning objectives set?		
What other alternative approaches could have been taken?		
Comment		

Delivery and Pace

	Y	N
Did the pace and delivery seem appropriate for the candidates present?		
Were any aspects, in your view, dealt with too briefly/with too much elaboration?		
Did the session seem rushed/too drawn out?		
Comment		

Content

	Y	N
Where you feel qualified to make comment, did the content seem accurate, up-to-date?		
Were examples given?		
Was the session pitched at the appropriate level for the candidates present?		
Did the content match the needs of the candidates?		
Comment		

Student Participation

	Y	N
Were candidates invited to participate?		
How was participation managed? Did it appear to be carefully planned?		
Did participation enable the tutor to check the candidates' understanding of the material/approach?		
Comment		

Use of Learning Resources

	Y	N
Were PowerPoints used?		
Were they professionally produced and free from error?		
Were they clearly produced and in a suitable font size?		
Were other resources used, e.g. slides, video?		
Did the candidates get hand-outs?		
Were they well-produced?		
Comment		

Use of Accommodation

	Y	N
Was the accommodation suitable for the session?		
Were the seating arrangements appropriate?		
Did there appear to be any Health and Safety issues?		
Comment		

Overall style and ambience

	Y	N
Did the tutor appear confident in delivery?		
Did s/he convey enthusiasm? Was s/he clear and audible?		
Did the session seem to "go well"? Was there good rapport with the candidates?		
Were candidates attentive/bored? Did they seem to "engage with the session"?		
Did the tutor seem sensitive to the "mood" of the candidates?		
Comment		

Summary

Summarise the main points which you wish to feed back to the tutor Identify key strengths

Areas for Improvement (All areas for development to be implemented straight away)	
1	
2	
3	

4	
5	
6	

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 QA Leader.

Areas of concern

_____

_____

_____

_____

_____

_____

_____

_____

_____

_____

Agreed action and target date:

_____

_____

_____

_____

_____

_____

_____

_____

I.Q. signature…… Date……

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

QA Leader signature…… Date……

Action taken
QA Leader 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.

IQA Flow Chart

