GUIDANCE ON INTERNAL QUALITY ASSURANCE OF QUALIFICATIONS

DOCUMENT CHANGE HISTORY

This is Version 1.1 of the City & Guilds *Guidance on Internal Quality Assurance* document.

It is the centre's responsibility to ensure that all staff involved in the quality assurance of the provision of City & Guilds qualifications and/or assessments is familiar with this version of the document.

This document is subject to regular revision, and maintained electronically. Electronic copies are version controlled.

VERSION 1.1, March 2016

SECTION	TITLE
Introduction	Inclusion of reference to Learning & Development SVQ units as possible alternatives to TAQA or D or V Units
Section 4	Inclusion of reference to Learning & Development SVQ units as possible alternatives to TAQA or D or V Units
Section 6	Inclusion of reference to Learning & Development SVQ units as possible alternatives to TAQA or D or V Units
Section 7	Section added on moderation and standardisation relating to City & Guilds Technical Qualifications

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INTRODUCING CITY & GUILDS

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We adhere to these values in all our dealings with centres, and work hard to achieve the service standards we have set for ourselves in our Customer Service Statement.

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City & Guilds qualifications are valued by employers and delivered through over 10,000 centres around the world to help individuals develop their talents and abilities for future career progression.

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Across 25 industry areas, from entry level to level 7, City & Guilds have thousands of qualifications and support mechanisms enabling centres to deliver the right choice for their learners. The full range of qualifications are available at:

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- Qualifications & apprenticeships
- Delivering our qualifications
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CITY & GUILDS QUALITY TEAMS

City & Guilds Quality Teams are based at offices across the United Kingdom and are on hand to support centres at all stages of the quality assurance process. They are the first point of contact for all quality issues and queries. They work closely with the External Quality Assurers (EQAs) to maintain a high level of quality assurance for all approved centres.

CITY & GUILDS BUSINESS MANAGER

City & Guilds Business Managers look after local customer relationships and are on hand to provide advice and guidance on the portfolio of City & Guilds qualifications and services, as well as to assist centres in identifying the most appropriate solutions to fit their business needs.

CONTACTING CITY & GUILDS

Contact details for the Quality Teams and Customer Services Team are located in the Useful Contacts section of this document.

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If you have any comments, complaints or compliments about our customer service, in the first instance, please email **feedbackandcomplaints@cityandguilds.com**

Alternatively, please write to:

Feedback and Complaints team
City & Guilds
1 Giltspur Street
London
EC1A 9DD

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V1.1, MARCH 2016

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1   INTRODUCTION

The aim of this guidance document is to specify City & Guilds' requirements for the management and delivery of internal quality assurance by centre staff. It offers guidance, support and examples of best practice. This guidance is linked to the Training Assessment and Quality Assurance (TAQA) internal quality assurance requirements in the Level 4 Award in the Internal Quality Assurance of Assessment Processes and Practice and the Learning & Development SVQ units. It should also be read in conjunction with other guidance from standard setting and regulatory bodies.

City & Guilds is committed to ensuring that qualifications retain value and credibility throughout their lifecycle. The key to this is valid and reliable assessment. Effective internal quality assurance plays a vitally important role in achieving and maintaining reliable assessment practice.

Section 7 of this document lists and documents that may be used as part of an internal quality assurance process. They are not intended to provide a comprehensive system but rather to provide examples of key documentation. Centres may wish to adapt some or all of these forms to suit their particular needs, or simply to use them as a benchmark for their existing documentation. Examples of these forms can be found in the City & Guilds *Guidance on Internal Quality Assurance of Qualifications – Forms and Documents* booklet.

Internal Quality Assurers (IQAs) who hold the D34 and/or V1 qualifications may find this document useful as a Continuing Professional Development (CPD) exercise to update themselves on TAQA requirements. Training, Assessment, Quality, Assurance (TAQA) internal quality assurance candidates may find it useful as a source of information and for reference purposes.

Holders of D34 or V1, or relevant Learning & Development SVQ units, are deemed qualified IQAs so do not have to undertake the TAQA IQA qualifications. All IQAs must however ensure that their internal quality assurance practice meets the requirements contained in Standard 11 of the National Occupational Standards (NOS) for Learning and Development March 2010

IQAs must ensure that all assessors are aware that their practice must meet the requirements contained in Standard 9 of the National Occupational Standards (NOS) for Learning and Development March 2010

In this document the following terms are used to cover the following:

- **Tutor** includes everyone on the team who is facilitating or delivering learning in any environment e.g. trainer, coach, teacher, facilitator.
- **Assessor** includes everyone on the team who takes assessment decisions. These decisions could be of competence based performance in a work environment, however they could also be the marking of assignments, assessing simulations, carrying out tests etc.

2   INTERNAL QUALITY ASSURANCE & THE ROLE OF THE IQA

2.1   INTERNAL QUALITY ASSURANCE

Quality assurance is fundamental to City & Guilds as an awarding organisation and is embedded in all of our processes, products and services. It guarantees the integrity and value of our qualifications and/or assessments throughout their life cycle. We ensure that quality is embedded in the design and delivery of our qualifications and programmes, and work with our customers to ensure this.

There are tangible benefits for all from this approach as it means:

- improved learner experience
- raised learner achievement rates
- increased learner retention rates
- more cost effective programmes
- regulatory requirements are met
- support for other planning and monitoring processes such as self-assessment

Centres need to ensure that quality assurance measures need to be built into all processes that affect the 'learner journey'. This includes:

- the recruitment process
- the induction process
- initial assessment
- learning plans
- teaching and delivery
- assessment processes
- facilitating learning
- reviews of progress
- learner achievement
- progression planning

A clearly defined quality assurance strategy will help ensure quality in all aspects of delivery and assessment. To achieve this centres must ensure that quality assurance is factored in at the planning stage of programmes of learning.

2.1   THE ROLE OF THE IQA

The Internal Quality Assurer (IQA) is the one of the key drivers of quality assurance in qualifications, both within national frameworks and within each approved centre. The role, in terms of managing assessment, is key in ensuring the validity and reliability of qualifications. Therefore internal quality assurance is a key factor in managing 'risk' and

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ensuring that when certificates are claimed for learners, the requirements of the national standards have been reliably met. (See *Proforma 2: Qualifications unit and/or qualification achievement sheet and certification request*).

For all qualifications centres must develop a sampling strategy and plan which must be implemented by all those undertaking the internal quality assurance role. Centres with experience of offering N/SVQs will find that their internal verification process can be adapted to establish an internal quality assurance system.

The internal quality assurance system needs to contain documented evidence of:

- A set of written internal quality assurance procedures
- Sample planning based on the principles of 'CAMERA'
- Effective communication strategy
- Interim sampling
- Summative sampling
- Monitoring of assessor practice (including observation)
- Standardisation activities

There are four main aspects to the Internal Quality Assurer (IQA) role:

- Plan, operate and evaluate internal assessment and quality assurance systems
- Support and develop tutors and/or assessors
- Monitor and improve the quality of assessment practice
- Apply policies, procedures and legislation to meet external/regulatory requirements

Each of these key areas are discussed in this document guidance with regards to agreed best practice.

3 PLANNING, OPERATING AND EVALUATE INTERNAL ASSESSMENT AND QUALITY SYSTEMS

This is a primary focus for the IQA which entails ensuring that the centre's internal processes demonstrably meet external regulators' requirements. This includes having the following in place:

- Written procedures or a strategy for internal quality assurance (see *Proforma 13: Exemplar IQA sampling strategies and plans*)
- Quality assurance systems that are 'fit for purpose' and monitor the quality of the learner journey
- A sampling strategy that covers all stages of the learner journey
- Learning and training that meets all requirements , which is regularly monitored
- An objective system for recruiting and selecting assessors
- Assessment practice that is in line with the relevant current NOS for assessment
- Regular observation of tutors and assessors carrying out their roles
- Team members (including assessors) who are supported, get feedback on their practice and investment in their development.
- Record keeping that is maintained as required
- IQA practice which is in line with the current NOS for internal quality assurance
- Continuing Professional Development (CPD) being maintained by all members of the quality team
- Effective communication with city & guilds
- A documented appeals system that is accessible, transparent and understood
- Standardisation activities that develop consistency between assessors
- Systems to promote continuous improvement

Management of resources should also include ensuring that access arrangements, internal quality assurance and appropriate materials/equipment/facilities are available for the duration of the qualification or learning programme.

When applying for centre and qualification approval, centres must ensure that the IQA has a communication channel into the organisation's management systems. This will assist in ensuring that appropriate management decisions concerning resources are made.

The IQA should also have a full and accountable role in managing the qualification delivery team including responsibility for tutors and assessors. To do this effectively the IQA must have access to accurate and meaningful information on a number of key areas such as learner needs and the current workloads of team members.

An essential part of this should be the use of a systematic initial assessment process that identifies any additional or special learning/development needs that learners may have. This includes:

- technical aids
- physical adaptations (e.g. large print materials, ICT equipment)
- extra support
- training and/or assessment taking place in 'unsocial' hours.

Thereafter, the IQA should maintain up-to-date information on:

- individual learner progress
- an overall picture of potential new learners
- average timescales for the achievement of different qualifications
- tutor and assessor availability (both current and projected).

The IQA should monitor learner progress against initial equal opportunities information provided by the learner. Where it is found that learners are not progressing as expected, a plan and then a record of actions taken to support the learners should be made.

The IQA must be able to call meetings of the tutor and assessor team, and have the support of management to require attendance.

The IQA clearly has a key role ensuring quality in the delivery and assessment of qualifications. As such, their duties and responsibilities should be included as an integral part of the organisation's quality procedures and manuals. The IQA should also have the responsibility for carrying out self-assessment of the centre's performance against the requirements of Ofqual 'The General Conditions of Recognition, City & Guilds Centre Manual, City and Guilds Our Quality Assurance requirements.

IQA's must ensure that they have up-to-date information and guidance issued by relevant bodies (including awarding organisations, standard setting bodies, and industry/professional bodies) and that this information is passed on to all team members. In relation to disseminating this information it is good practice to:

- issue relevant documents to team members
- provide website addresses where relevant information can be found
- ensure that team members are registered to receive appropriate updates
- record information relating to accessing up to date information in the minutes of meetings

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3.1   PLANNING

The IQA is responsible for creating sampling plans for the qualification, which should outline what will be monitored and how the sample will be selected. It is important that the plan must be a representative sample based on sound principles and take into consideration the risk factors in the centre or in the qualification team.

Typical risk factors that would be taken into consideration when initially planning the sample would be areas such as:

- the number of learners in the cohort or qualification
- numbers of tutors and assessors
- centre model (including any alternative locations or sub-contracted providers)
- experience and confidence of tutors and assessors
- changes to the qualifications
- known problem areas/units/learning outcomes

When the above has been taken into account then the IQA will use the principles of 'CAMERA' to ensure that the sample is representative. This means that the sample plan must take into account each of the following:

Candidates/Learners
Assessors
Methods of assessment
Evidence
Records
Assessment sites

If a risk management approach is taken and the sample is selected using the principles of 'CAMERA', this sample should be representative of the whole cohort. This should give an accurate picture of the delivery and assessment of the qualifications.

The information found from the sampling exercise can then form the basis of team planning for the IQA and how they can It will also inform how they can support and develop team members to improve their quality assurance practice.

3.2   INTERNAL QUALITY ASSURANCE SAMPLING

The IQA must record and report on all sampling and monitoring undertaken in sufficient detail to justify their decisions. Underpinning all IQA activity is the validity of the internal quality assurance sample. It is not a good use of IQA resources to maintain 100% checks on assessment decisions as this implies a lack of confidence in both assessment practice and the internal quality assurance strategy. The assessment process must be left to assessors following feedback by the IQA. Quite often, centres maintaining 100% checks

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are simply adding a second signature to each and every learner's work at the summative stage rather than carrying out effective internal quality assurance.

3.3   REFERENCING

The audit trail must be clear and accessible to all. Poor referencing that is difficult to follow can raise queries as to how well assessors and IQAs understand the assessment requirements as well as the validity of the internal quality assurance process undertaken. The best approach to referencing is to 'keep it simple'.

Whilst it is imperative that learners should not be prevented from achieving qualifications simply because they reference evidence, a balanced approach should be taken. Both assessors and the IQA must also consider whether the qualifications being claimed include a requirement to reference or organise evidence (e.g. customer service or administration qualifications demand the ability to file and retrieve information; learners undertaking management qualifications need to gather and present information to aid decision making). It may therefore indicate a potential development need if learner work is not clearly organised. However, if this skill is not assessed in the qualifications then learners should not be disadvantaged because they do not clearly reference their work. In these instances, assessor records and reports must clearly indicate the basis for their decision, i.e. where the evidence is to support each unit. It is not acceptable for the IQA (and then the EQA) to have to search extensively to find what has been assessed and what criteria informed the decision.

An IQA sampling strategy which involves reviewing the quality of assessor judgements at both interim and summative stages is a key part of this process.

3.4   IQA REPORTING

The IQA report must be completed for every IQA activity. A copy of the report should be given to each tutor or assessor and the appropriate IQAC/QAC. Learners should not be given copies of IQA report forms as they are written to address tutor or assessor practice and may therefore contain comments that might undermine learner confidence in team members.

- The IQA must ensure that their written feedback to team members is recorded on the IQA report form. The feedback must be directed to each person and should address their practice. The IQA should avoid generalised statements
  (e.g. '*Well done to both of you. Lots of hard work undertaken*').
- Precise, focused comments on the work sampled will support tutor/assessor development and evidence the rigour of internal quality assurance activity.
- The IQA is required to check some part of the unit(s) identified in the sampling plan. The IQA should indicate the actual items of work or evidence sampled by initialling and dating what has been reviewed.
- The IQA must record the unit and learning outcomes sampled on the report form to ensure that an auditable system exists in the centre records.

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- Depending on the experience and qualifications of tutors and assessors, the IQA may review more than one unit during an internal quality assurance session, and should indicate all the units reviewed on the report form.
- In addition to the sampling of work or evidence the IQA will also record (by ticking as appropriate) the method of assessment used, the assessment focus (and whether the evidence is valid, authentic, reliable, current and sufficient), and that there is evidence of consistent practice.
- The IQA will also note whether the records have been signed and dated by tutors (where required) and assessors, and authenticated by learners.
- Where necessary the IQA will check that assessments are countersigned and that the appropriate records are made on the countersigning report form.
- If a standardisation issue is identified, the IQA will need to record and discuss this at the IQA meeting with tutors and assessors.
- On action plans for tutors and assessors, the IQA will record what action is required and by what date it must be completed. Once this action has been completed, the IQA will also record this.
- When observation of tutor or assessor practice is undertaken during the internal quality assurance, the outcomes should be recorded on the IQA observation and questioning checklist (*Proforma 10*).
- On completion of the portfolio/qualification, the IQA final portfolio/qualification report form (*Proforma 5*) should be completed.
- Occasionally the IQA may have serious concerns which need to be brought to the attention of the QAC and/or centre management group. In this situation the IQA concerns for (*Proforma 3*) should be completed and passed on to the QAC.
- Unit achievement should be recorded on the Qualifications unit and/or qualification achievement sheet and certification request (*Proforma 2*), and passed to the centre administrator in order that they can update the centre learner database.
    - Where unit achievement is to be certificated, the IQA must ensure that the statement at the bottom of the sheet remains undeleted.
    - Full certification requests should also be recorded on this form and sent to the centre administrator/exam secretary.
- On completion of qualifications or periods of assessment, all original IQA records must be passed to the IQAC/QAC who will store them with the learner assessment records for the period required by the regulator.
- Learners who leave or withdraw from assessment, prior to the achievement of their full qualification, are entitled to have achieved units certificated. The IQA must ensure that the same process identified for unit and qualification completion is followed, to ensure certification takes place and the necessary records are retained by the centre. A written declaration that the evidence is authentic and that the assessment was conducted under the specified conditions or context should be recorded on the Unit Assessment and Verification Declaration (*Proforma 11*).
- Learners may have their completed portfolios and other work returned after the EQA activity following the claim but must be advised by the centre to keep them intact and safe for a period of three years.

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3.5 INTERIM SAMPLING

In order to enable the IQA to evaluate the quality of formative guidance given to learners, it is vital that the IQA participates in the process at different stages in their work. This might include reviewing learner work:

- early on in the programme;
- before decisions have been made on any unit and
- sampling evidence once one or two of the units or requirements are completed.

It will also include checking progress review reports given to learners by tutors and assessors. Interim internal sampling enables the IQA to pick up problems at an early stage and so avoid the potential situation of disagreeing with tutor practice or assessment judgements. It can also highlight individual team member needs for support or development which in turn may be used to develop the team as a whole. Similarly it provides an opportunity to identify and share good practice within the team, particularly where one or more of the team members have wider or more extensive experience.

3.6 SUMMATIVE SAMPLING

Summative sampling includes reviewing the quality of learning completed and assessment judgements taken in their entirety. The IQA must be able to follow an audit trail which clearly demonstrates that tutors and assessors have covered all the relevant requirements and checked that all work presented meets the rules of evidence, whatever format it is presented in.

Evidence must be confirmed by assessors as:

Valid	-	relevant to the standards for which competence is claimed
Authentic	-	produced by the learners
Current	-	sufficiently recent for assessors to be confident that the learner still has that same level of skills or knowledge
Reliable	-	genuinely representative of the learner's knowledge and skills
Sufficient	-	meets in full all the requirements of the standards

The sampling strategy for each centre will vary according to the needs of the centre and the particular qualifications or programme, but in all cases must be agreed with the EQA. In defining the strategy all the following should be taken into account.

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IQA needs to select a representative sample of:

Candidates	-	A selection of all candidates (gender, age, ethnicity etc.)
Assessors	-	Experience and qualifications, workload, occupational experience
Methods of assessment	-	Questioning, observation, testimony, Recognition of Prior Learning (RPL), use of simulation, product evidence, assignments, projects and tests
Evidence	-	All types of evidence
Records	-	Plans, reports from tutors, assessors, correct assessment practices, IQA records, learner and assessment records
Assessment locations	-	Workplace assessments, college, other assessment locations

3.7 SAMPLING PLAN

To help monitor the overall sampling strategy all centres must produce and maintain sampling plans which will be implemented by the IQA and recorded on the Internal Quality Assurance Sampling Plan and Record (*Proforma 13*)

This section gives guidance about internal quality assurance strategies or rationales. Deciding on the most appropriate size of internal quality assurance sample can be difficult, especially if the centre team is new to qualification delivery and assessment. Ultimately, the sample must represent a sufficiently accurate picture of the quality of delivery and assessment in order for the centre to be confident that all work meets the required standards.

It is important that the IQA looks at the decisions of the entire team in any given period (either on a calendar basis, or by learner cohort). Once the other sampling factors are taken into account, the sample size will effectively decide itself. It is essential that the process follows this route rather than deciding on a set sample size and trying to fit a strategy to it. The sampling process must not be determined by any 'rule of thumb' such as 10% or a square root.

The IQA must sample the full range of delivery and assessment methods used for any qualification e.g

- Learning delivery
- Observation of performance
- Use of witness testimony
- Professional discussion
- Oral and written questioning

- Assessment of learner work
- RPL
- Examination of work products
- Reflective accounts
- Candidate reports
- Assessments of projects
- Assessment of case studies
- Assessment of simulated activities

The range and frequency of use of particular assessment methods may vary depending on the level and requirements contained in the qualifications. For example, a Level 2 Award in Sports Activity Leadership or Health and Social Care may draw heavily on observation of learners' performance, whereas a Level 4 Diploma in Administration may include assignments, products from the workplace and witness testimony. The internal quality assurance sample must take all this into account, and it is crucial therefore that the IQA must know the qualifications thoroughly and be fully aware of which learning and assessment methods are acceptable for use.

All tutors and assessors should be included in the sample, but a number of other factors must be considered when the sample is selected. For example;

a) Experience

If tutors and assessors are qualified and experienced it may not be necessary to look at more than one or two decisions per learner and in a selection of learner portfolios, not all of them. If tutors and assessors have less than 12 months' experience, are new to either the centre or a particular qualification or are out of practice, the IQA will need to sample substantially more of their decisions for the first 6 – 12 months. This ensures that the IQA reviews activity and decisions in all units in any qualification. This is particularly important where there are 'problem' units. These might be where specifications require very particular work or evidence or where the standards are often misinterpreted.

b) Workload

The IQA needs to look at the workload of each tutor/assessor so that the total sample also fairly reflects the amount of work and number of decisions being made by individuals. Increasing the ratio of learners to tutors and assessors needs to be carefully planned and managed as it can result in an increase in problems. Sampling may need to be increased where workloads have been raised to ensure that quality is not compromised.

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c) Specialist Assessors

Some tutors and assessors may only work with certain units in a qualification, such as specialist units on first aid or health and safety. In some centres there will be a division of duties with some staff delivering learning sessions, others carry out observations, whilst others assess only specific parts of the qualification. This can be a highly effective use of time and expertise. However the IQA must then ensure that all delivery and assessment requirements are being fully met and that assessment judgements are consistent. Once this is established then it is reasonable to reduce the amount of sampling that takes place.

d) Location

The location, method of delivery and type of tutors/assessors also factor into deciding the sampling strategy. In some centres the learners and staff members are based in different geographical locations. Some centres have satellite centres (sub-centres of a Centre that are involved in the delivery and assessment of City & Guilds training programmes or qualifications). Other centres will work with subcontractors (organisations contracted by a Centre for the delivery and assessment of a City & Guilds training programme or qualification on their behalf). In addition, centres might be linked through franchise agreements and partnerships with organisations for funding reasons.

The internal quality assurance sample must capture an accurate picture of the delivery of assessment across the whole centre. The strategy for IQA should be consistent across all sites. If these arrangements are complex, then the strategy needs to be carefully thought through in order to reflect this complexity. It is a good idea to discuss it with the EQA who can offer advice about the frequency of sampling across locations.

Some team members are peripatetic and visit across a number of locations. Others may be workplace-based or located in one main site such as a college. The IQA must look at the pattern of learning delivery and assessment and take this into account in their sample.

3.8   REQUIREMENTS OF QUALIFICATIONS

The sample also needs to take into account the requirements in the qualifications themselves. It is imperative that tutors, assessors and IQAs know the specified requirements well and agree the interpretation of areas where outcomes are not prescribed such as expected length of assignment answers, where content is not prescribed in assignment answers, what must be included in any outcome from assessment etc.

In addition, there may be changes to requirements when qualifications are revised. This can be particularly difficult for tutors and assessors during the transitional phase, since

they will often be working with learners on both sets of standards simultaneously. It is important that the IQA is fully aware of any areas of potential confusion and includes these in the sample. Equally, it is important for the IQA to be aware of the last registration and certification dates for each qualification.

3.9   ASSESSMENT ISSUES

Some qualifications contain units which include requirements that are difficult to assess. This may be for confidentiality reasons (counselling, patient care), safety considerations (using hazardous machinery, appliances and materials) or infrequent occurrence (emergency evacuations, injuries). In these situations it is important that all required learning is covered and that assessors do not compromise or use assessment methods which are not acceptable. The IQA must specifically ensure that they sample any such units, across all assessors, to ensure that requirements are consistently complied with for all learners. The IQA should also ensure that issues such as these are discussed fully with the whole qualification team at an early stage.

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4 SUPPORTING AND DEVELOPING TUTORS AND ASSESSORS

4.1 CONTINUING PROFESSIONAL DEVELOPMENT

The second duty of the IQA is to guide, support and ensure the continuing professional development (CPD) of team members. This CPD must include updating of occupational competence in line with relevant regulatory and professional requirements and ensuring that good practice is maintained in relation to facilitating learning and assessment. There are a number of points where this is particularly pertinent:

- When assessors are new – either to the team, to the centre, or to the qualifications
- When programmes or qualifications change or guidance is revised
- Following external quality assurance activities or other inspections.

New tutors and assessors should complete an induction process. What this induction process involves will depend on their previous experience, both of qualifications generally and/or a particular suite of qualifications. As with the learner induction the process is more effective if it is coherent and structured. It is therefore good practice for centres to have an induction programme or pack which contains relevant data and plans for what a new team member will undertake in their induction and what the expected outcomes are.

The IQA must ensure that all tutors and assessors in the centre have access to:

- Copies of the relevant qualification handbook(s) or requirements for the qualifications they are delivering
- City & Guilds Centre Manual
- City & Guilds Our Quality Assurance Requirements document
- Ofqual's General Conditions of Recognition document
- SQA's Regulatory Principles (if relevant)
- Directory pages of relevant qualifications
- Copies of any qualification updates/ alerts
- A set of all required tools e.g. course outlines, assignment/assessment requirements, observation records, questions, mapping documents, report forms, guidance notes used by the centre
- Copies of the centre's appeals procedures, and relevant organisational procedures e.g. equal opportunities and diversity policy, health and safety policy, emergency evacuation procedures, lone worker safety policy etc.
- Information about available support resources for learners and team members, equipment and facilities e.g. recording devices, interview rooms, library resources, subscriptions to sources of information (such as SmartScreen).
- Information about the relevant awarding organisation and the EQA(s)
- Information about their learners including:
  - existing achievements

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- Any learning or assessment needs, access arrangements etc.
- contact details of workplace supervisors/managers
- contact point for advice from IQA or experienced senior team member

The IQA must also check and hold on file the following information for team members:

- Personal profiles or CVs demonstrating skills, knowledge, experience and competence (where required) at an appropriate level
- Original assessor certificates (D units, A1, V1 TAQA or Learning & Development SVQ units). When the originals have been viewed by an external quality assurer then copies signed by the EQA can be maintained in place of originals.
- CPD records that demonstrate that all team members have completed development activities required by the relevant assessment strategies.

This information may be held electronically or on paper but must be accessible and available for examination at all times.

Where assessors need to achieve an assessor qualification but have not yet completed it, it is important that the IQA agrees realistic target dates for them to achieve it. In addition assessors should also draw up personal action plans to evidence how they will achieve this. In the interim period, decisions taken by unqualified assessors must be checked, authenticated and countersigned by a qualified assessor. This person is known as the countersigner. If the countersigner is also an IQA they must not be the same person who then carries out the internal quality assurance activity.

Where there are new tutors or assessors in the team, the IQA must increase the amount of sampling and monitoring that takes place regardless of whether or not the assessors are qualified. This additional monitoring and support should take place earlier in the qualification process than would usually be the case. This ensures that new tutors and assessors have access to additional support and enables the IQA to identify any training and development needs that these assessors may have. If a newly appointed tutor or assessor has experience, this period of additional sampling may be quite short. However whatever the level of experience, the incoming tutors and assessors will value additional support whilst they become familiar with the centre's systems. Similarly there should be a mentoring process for newly appointed IQAs. An example of the Countersigning report form (*Proforma 8*) is available in the *Guidance on Internal Quality Assurance of Qualifications Forms and Documents*.

The EQA will expect to see evidence that the IQA has identified and addressed the learning and development needs of all tutors and assessors for a qualification. To do this a systematic process has to be in place to identify CPD requirements. Once identified, the development needs must be transferred on to a development plan which includes details of the type of activity that will meet this need, with realistic timescales outlined. This plan may include specific training e.g. guided discussion techniques, alternative assessment methods, or updating on awarding organisation/standard setting body requirements. It may also include opportunities to update vocational knowledge such as individual research, webinars, or taking part in standardisation events.

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It is the responsibility of the IQA to monitor tutors and assessors' completion of the planned CPD activities. This should be completed as part of the ongoing support provided by the IQA to team members. During support meetings the IQA will review and update the content of the CPD plans accordingly. By the end of a year all team members should have completed the activities listed on the plan in order to meet the CPD requirements of the qualification and satisfy their own development needs. Also on an ongoing basis throughout the year, every team member should transfer the detail of what activities they have completed on to their CPD records. CPD plans and records will be requested by the EQA as part of every sample.

4.2   INTERNAL QUALITY ASSURANCE CO-ORDINATORS

Where the centre has a large team, including a number of IQAs, it is helpful to appoint a senior IQA who is often known as a Quality Assurance Co-ordinator (QAC) or the Internal Quality Assurance Co-ordinator (IQAC). There are many benefits to this model. Among the most obvious are that the IQAC is able to:

- Support, guide and develop other IQAs
- Monitor internal quality assurance practice
- Manage the workload of the IQA team
- Sample IQA plans to ensure standardisation
- Maintain CPD plans and records for the other IQAs
- Organise standardisation activities between IQAs
- Ensure no duplication between IQAs

4.3   ASSESSOR JUDGEMENTS

IQAs also support assessors by standardising assessment judgements. This is to ensure that:

- Assessors consistently make valid decisions
- Assessors make the same decisions when given the same learner work or evidence
- All learners are assessed fairly.

4.4   STANDARDISATION

Standardisation is an important part of the IQA duties. In some centres, this aspect of the IQA role has been substantially underdeveloped, often relying on informal contact between the IQA and the qualification delivery team to ensure a common standard of decision making. Also, while team meetings may be held, these will often focus on relaying information and tracking learner progress. These are clearly important elements of internal quality assurance but it is also crucial that standardisation activities are

undertaken with all team members on a regular basis, particularly for centres with a number of dispersed, peripatetic, part time, contracted or inexperienced assessors. All standardisation activities should be included on relevant agendas and recorded in sufficient detail so that third parties such as the EQA can see evidence of what has been carried out and the outcome.

The simplest means of completing a standardisation activity is to copy pieces of learner work or evidence (say for one Learning Outcome or one Element) and ask assessors to make an assessment decision for this work. It is also helpful to ask them to record what actions they would give the learner resulting from this assessment. In addition it is helpful to ask them to record what feedback they would give the learner if they were the actual assessor of the work. This enables the IQA to check that assessors are:

- Asking the right questions
- Forward planning with learners
- Making accurate assessment decisions
- Providing suitably detailed and specific feedback
- Fully recording the outcome of the assessment process

Standardising in learning starts when the content of the programme is agreed between team members and the IQA. The IQA would expect regular data from the tutor (attendance, progress, which topics interested learners etc), in order to make comparisons between sessions or programmes delivered by different people. In addition they would observe tutors delivering learning and, having observed everyone in the team, be able to guide individual's work to improve consistency.

In addition the IQA could organise standardisation activities which may include

- Assessing each other's candidates
- Judging evidence together
- Working through the standards together
- Agreeing on assessment decisions

The frequency and type of standardisation activity should depend on a range of considerations such as:

- Feedback from the EQA or IQA sampling and monitoring
- Any new requirements in the qualifications
- Changes within the qualification delivery team
- Outcomes of external audits
- Previous standardisation activities and findings
- The need for continuous improvement.

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5 MONITORING AND IMPROVING THE QUALITY OF ASSESSMENT PRACTICE

The third responsibility of the IQA is to monitor and improve the quality of assessment practice. However ensuring the quality of the entire learner journey means that the quality of the entire process must also be monitored. This includes the delivery of learning and the validity, safety and reliability of assessment practice. Where possible this should include the IQA carrying out observations of both learning delivery and assessment practice. An example of the IQA observation and questioning checklist (*Proforma 10*) is available in the *Guidance on Internal Quality Assurance of Qualifications Forms and Documents*.

The aims of this are to:

- Ensure that high standards of learning delivery are maintained
- Ensure that the national standards for are adhered to by all assessors
- Identify problems or areas where tutors and assessors require advice or development
- Ensure that learners are aware of, and satisfied with, the assessment process.

5.1 MONITORING ASSESSMENT PRACTICE

Monitoring assessment practice to identify areas for improvement involves the IQA undertaking a range of activities, including:

- Evaluating assessor expertise
- Evaluating the planning and preparation of the assessment process
- Determining whether assessment methods are 'fit for purpose'
- Ensuring assessment decisions are carried out effectively
- Comparing assessment decisions
- Giving feedback
- Carrying out standardisation

This will involve observing assessors in action, looking at how they conduct the assessment process and giving them feedback on their performance. It also includes reviewing the internal quality assurance records completed with all assessors and evaluating every aspect of their performance as recorded.

The quality and accuracy of programme plans, session plans and assessment plans should be included in the sample. The IQA should observe the individual tutor and assessor's assessment and interpersonal skills, with a view to identifying any areas which would benefit from advice or further development. The IQA must also note any problematic areas (e.g. within the qualifications) which could create difficulties for other tutors and

assessors. Identifying such trends and areas for development is a crucial part of improving the practice of tutors and assessors.

Following the monitoring exercise, it is important that constructive and positive feedback is given to enable team members to develop. The discussions should be held in private and should not be relayed to the learners or other team members. The IQA should keep a record of this and ensure that it forms part of the tutor and assessor's individual development plan.

Monitoring also creates the opportunity to liaise with learners to ensure that their learning and assessment needs are being properly met.

In particular the IQA should check that learners:

- Know which qualifications they are working towards, and have a copy of the relevant standards
- Are aware of the roles of everyone involved in delivery and assessment
- Understand the programme of learning that they are following
- Understand the assessment process
- Know who, besides the assessor, contributes towards the assessment process (e.g. witnesses)
- Know what progress they have made towards achievement and when this will next be reviewed
- Are aware of their rights to access unit certification
- Understand their role in completing work as planned, generating evidence and completing referencing
- Have confidence in their tutor and assessor
- Understand the appeals process
- Have no learning needs not currently being met.

5.2   MONITORING QUALITY PROCESSES

It is extremely important that the quality of the entire learning delivery and assessment process is monitored. Therefore the IQA needs to consider how they will monitor learning materials used by team members throughout the programme. In addition they must establish a realistic timescale for doing this. This might include monitoring the quality of:

- Attendance records
- Programme outlines
- Session plans
- Handouts
- Slides or other audio visual material
- Online learning
- Guidance given to learners
- Reviews
- Marking/assessment

- Assessment plans
- Feedback records

Sometimes reviewing this material first can give an insight into areas of other sampling that might prove useful. For example, if attendance is poor for a particular session, the IQA could look at the sessions that are better attended to see why this might be. By sampling learner work from these sessions and carrying out interviews with learners. This type of sampling can yield interesting rewards for an IQA who wants to look in depth at what is happening on a programme or qualification. The outcome could be one-to-one discussions with tutors or assessors. Alternatively it could be a meeting where all team members can discuss approaches, standardise methods and share good practice.

5.3 MONITORING PRACTICE BY SAMPLING LEARNERS WORK AND PORTFOLIO EVIDENCE

Traditionally this has been the sampling method carried out by most IQAs. Many IQAs only carry out this method (particularly in large centres). It involves the IQA looking at learner work and ensuring the assessor's judgements are fair, valid, reliable and safe. It then requires the IQA to give feedback to the tutors/assessors

In some qualifications learner work could be the completion of assignments, case studies, exams, skills tests etc. This work may be stored in a range of different ways. The requirements of the qualification must be followed and the IQA must include the sampling of this work in their sample plan. In addition to the IQA sample they may need to arrange for moderation to take place. Alternatively 'blind' or second marking could be completed. If it is an area where team members have less experience then this should form the focus of the initial sampling.

For competence based qualifications, a portfolio of work is often the main source of evidence of competence and is the basis on which the assessment decisions are taken. A portfolio may be stored on paper or electronically.

A portfolio of evidence may be stored in one place such as in a file or folder or it might be comprised of evidence that is found in a number of locations, for example in the work environment. The evidence must however be linked by the audit trail provided through the assessment and quality assurance records so that it can be identified, located and sampled.

In sampling portfolio evidence that is located away from the main premises there are some practical implications for the IQA to consider:

- If evidence is left in its usual location then the internal quality assurer will have to sample it in its usual location. This will require QA staff to plan for and carry out visits to other premises as part of their sampling
- The QA audit trail still has to be clear and trackable through the evidence and the planned sampling must be carried out as required by the qualification

- It is crucial that the evidence is kept safely in its usual location and is readily available for sampling whenever the internal quality assurance sampling takes place. It is the responsibility of the IQA to put in place arrangements to ensure this.
- The evidence must also ensure that the records provide an audit trail that is readily accessible to the EQA. It is not acceptable for an EQA to have to search for evidence or records during monitoring activities.

When deciding what to monitor or sample, the IQA can use a range of techniques and will select the ones that best suit the activity being monitored.

There is a range of sampling techniques that an IQA can use. These include:

- Observation of tutors and assessors
- Sampling product evidence
- Sampling records
- Discussions with candidates
- Discussions with witnesses

5.4   FEEDBACK TO TUTORS AND ASSESSORS

Whatever is being sampled or monitored by the IQA, it is important that feedback given to tutors and assessors as a result of the activity is of an appropriate quality. All feedback needs to be detailed, specific and designed to improve practice. It should be provided in both written and verbal format. IQAs should always:

- Produce detailed written and verbal feedback
- Aim feedback at tutors/assessors, not learners
- Be honest
- Be factual
- Ensure comments are constructive and positive
- Ask the tutor/assessor what they themselves think about their work
- Talk through each point of the feedback
- Give clear details of what was found/seen
- Specify good practice as well as areas for improvement
- Seek to improve practice over the long term
- Agree next steps and realistic timescales for change

In addition where the sampling or monitoring identifies development needs these should then be entered on to the tutor or assessor's CPD development plan.

6 APPLYING POLICIES, PROCEDURES AND LEGISLATION TO MEET EXTERNAL / REGULATORY REQUIREMENTS

All IQAs are required to implement the policies and procedures of their own organisation and those of the awarding organisation. This may be in relation to areas such as secure transport and storage of learner work, maintaining confidentiality, or implementing the requirements for data protection. In addition IQAs are responsible for ensuring that all team members carry out their responsibilities in relation to relevant legislation. In particular this includes requirements for health & safety and welfare & equality issues (including bilingualism). IQAs should check that all requirements continue to be met as part of the ongoing monitoring carried out in the centre. The IQA also has a supporting role by creating and maintaining complete and up to date records of information is a particularly important function. When the centre is inspected, audited or monitored by an external agency, the following information will need to be available upon request:

- The written IQA procedures including the internal quality assurance sampling strategy
- Numbers of current registered learners per qualification and level
- Learner centre enrolment and awarding organisation registration details
- Tutor and assessor details – specifically CVs, CPD records, assessor qualifications (D units, A1, V1 TAQA or Learning & Development SVQ units), development plans and workloads
- Learner progress reviews and achievements, any access arrangements requirements and equal opportunities monitoring information
- Training programmes, assessment records, plans, reviews and tracking sheets
- Available learner support resources
- Details of all learning and assessment sites
- Details of alternative locations subcontractors or franchise and partnership arrangements
- IQA records including feedback to tutors, assessors, discussions with learners
- Records of claims for certification
- Learner work and/or portfolios
- Minutes of internal quality assurance meetings
- Records of standardisation activities
- Procedures for storage and retention of centre records.

Following monitoring activities by EQAs it is vital that any relevant information, feedback or actions are promptly disseminated to the team in the centre. In some centres any action points are agreed with a programme co-ordinator or qualification manager then individual IQAs have responsibility to communicate pertinent parts of the EQAs report to those tutors and assessors for whom they are responsible.

Any action points raised by the external quality assurer must be acted upon within the timescales specified. Failure to do so may result in an increase in the Qualification Approval Risk Status as specified in Section 9 of *Our Quality Assurance Requirements*.

For security reasons, it is extremely important that no claims for certification are made without the clearance of the IQA for the qualification. It is not acceptable for any claim for certification to be made by an IQA who does not meet the requirements specified in the qualification strategy. This includes them holding an appropriate qualification.

Of equal importance is the need to maintain security of learner work and assessment records. Work and portfolios for learners who have been certificated in between external quality assurer activities must be kept intact until the next activity so that they can be examined if requested. Original assessment records must be retained for at least three years and be made available for external quality assurance and/or to allow for any appeals or complaints to be progressed and resolved.

6.1 CONTINUING PROFESSIONAL DEVELOPMENT (CPD)

IQAs are responsible for ensuring that their own practice is maintained in order to meet changing requirements in their role. This means undertaking CPD as required by the qualifications that they internally quality assure. There is a range of ways that an IQA can maintain their CPD, including:

- Reflective practice
- Requesting feedback
- Undertaking training courses
- Individual research
- Attending forums
- Completing related qualifications
- Shadowing another IQA
- Training as an EQA
- Standardisation activities
- Undertaking related reading
- Attending relevant meetings or conferences
- Being observed

IQAS must be familiar with up-to-date requirements and best practice in:

- Assessment
- The vocational area they quality assure
- IQA practice

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7   MODERATION AND INTERNAL STANDARDISATION

The new City & Guilds Technical Qualifications can be taken as part of the TechBac, or as standalone qualifications. This new classification of vocational qualifications, designed for learners aged 16 to 19 who wish to specialise in a technical occupation or occupational group, will provide opportunities for the learner to progress to employment, an Apprenticeship, or further learning.

7.1   MODERATION AND STANDARDISATION OF ASSESSMENT

City & Guilds' externally set assignments for Technical Qualifications are designed to draw from across the qualifications' content, and to contribute a significant proportion towards the learner's final qualification grade. They are subject to a rigorous external quality assurance process known as external moderation. This process is detailed below.

7.2   INTERNAL STANDARDISATION

For internally marked work the centre is required to conduct internal standardisation to ensure that all work at the centre has been marked to the same standard. If two or more tutors are involved in marking assessments, one must be designated as the lead tutor responsible for internal standardisation. The lead tutor takes responsibility during standardisation for ensuring a single approach and standard is achieved. If there is a disagreement the lead tutor will have the final say.

For standardisation purposes, before final marking takes place, common pieces of work must be selected and marked by all tutors, and any differences between interpretation and marks awarded must be discussed and reconciled at an internal standardisation session in which all tutors must participate.

The Internal Quality Assurer (IQA) must ensure that the training includes the use of reference and archive materials such as work from previous years as appropriate.

The IQA must sign the Centre Declaration Sheet (CDS) to confirm that internal standardisation has taken place. If only one tutor has undertaken the marking, that person must sign this form.

The completed record form must be attached to each candidate's work and the CDS must be submitted to City & Guilds during the moderation. The record form and CDS must be signed in order for the candidate's results to be processed.

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7.3   SUPERVISION AND AUTHENTICATION OF INTERNALLY ASSESSED WORK

The Head of Centre is responsible for ensuring that internally assessed work is conducted in accordance with City & Guilds' requirements.

City & Guilds requires:

- candidates to sign the Declaration of authenticity form to confirm that any work submitted is their own
- tutors to confirm on the record form that the work assessed is solely that of the candidate concerned and was conducted under the conditions laid down in the assessment documentation

The tutor must be sufficiently aware of the candidate's standard and level of work to make a judgement whether the work submitted is within the expected ability and style of the candidate or whether a further investigation into the authenticity of the work is required.

If the tutor is unable to sign the authentication statement for a particular candidate, then the candidate's work cannot be accepted for assessment.

7.4   MODERATION

Moderation is the process where external examiners are standardised to a national standard in order to review centre marking of internally marked assessments. These examiners are referred to as 'moderators'. Moderators will mark a representative sample of centre marked, candidates' work from every centre. Their marks act as a benchmark to inform City & Guilds whether centre marking is in line with the national standard.

Where moderation shows that the centre is applying the marking criteria correctly, centre marks for the whole cohort will be accepted.

Where moderation shows that the centre is either consistently too lenient or consistently too harsh in comparison to the national standard, an appropriate adjustment will be made to the marks of the whole cohort, retaining the centre's rank ordering.

Where centre application of the marking criteria is inconsistent, an appropriate adjustment for the whole cohort may not be possible on the basis of the sample of candidates' work. In these instances a complete remark of the candidates' work may be necessary. This may be carried out by the centre based on feedback provided by the moderator, or carried out by the moderator directly.

Moderation applies to all internally marked assignments. Following standardisation and marking, the centre submits all marks and candidates' work to City & Guilds. This may involve digital or postal submission. The deadline for submission of evidence will be available on Walled Garden.

In most cases candidates' work will be submitted directly to the moderator for moderation, either postally or electronically. This includes written work, photographic and pictorial evidence, or video and audio evidence. For some qualifications there will be a

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requirement for moderators to visit centres to observe practical assessments being undertaken. This will be for qualifications where the assessment of essential learner skills can only be demonstrated through live observation. The purpose of these visits is to ensure that the centre is assessing the practical skills to the required standards, and to provide the moderators with additional evidence to be used during moderation. These visits will be planned in advance with the centre for all relevant qualifications.

Detailed information can be found in the *Technical Qualifications – Guide to Marking and Moderation* document, available on the City & Guilds website.

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8   SAMPLE FORMS AND DOCUMENTS

Proformas can be found the *Guidance on Internal Quality Assurance of Qualifications: Forms and Documents* booklet, available on the City & Guilds website. These may be used as part of an internal quality assurance process. They are not intended to provide a comprehensive system but rather to provide examples of key documentation. Centres may wish to adapt some or all of these forms to suit their particular needs, or simply to use them as a benchmark for their existing documentation.

The booklet includes the following sample forms and documents:

Proforma 1	IQA Induction Checklist
Proforma 2	Qualification unit or achievement sheet and certification request form
Proforma 3	IQA concerns form
Proforma 4	IQA report and guidance
Proforma 5	IQA final portfolio/qualification report form
Proforma 6	Assessor induction agreement
Proforma 7	Assessor induction checklist
Proforma 8	Countersigning report form
Proforma 9	Continuing Processional Development (CPD) record
Proforma 10	IQA observation and questioning checklist
Proforma 11	IQA sampling plan and record
Proforma 12	IQA learner interview record
Proforma 13	Exemplar IQA strategies and plan

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