

GUIDANCE ON.

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.FORMS & DOCUMENTS.

**Version 2.1**

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For external use

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**PROMFORMA 1**

**IQA induction checklist**

IQA name ………………………………………. Date of commencement at centre

|  |  |  |  |
| --- | --- | --- | --- |
|  |  | **Signed by IQA** | **Date** |
| 1 | *Provided:* CV and qualification certificates to prove requirements are met at the appropriate level |  |  |
| 2 | *Provided:* original D34, V1, relevant TAQA or Learning and Development SVQ unit certificate which was checked and photocopied. Original returned and EQA-validated photocopy kept in centre records |  |  |
| 3 | *Received:* the centre organisation chart |  |  |
| 4 | *Received:* the centre equality of access policy |  |  |
| 5 | *Received:* centre internal quality assurance policy, procedures and recording documentation |  |  |
| 6 | *Received*: City & Guilds ‘Our Quality Assurance Requirements’ |  |  |
| 7 | *Received or know where to access*: relevant qualification updates |  |  |
| 8 | *Received*: information about allocated assessors and their learners |  |  |
| 9 | *Received*: information on the processing of records for registration and certification of learners |  |  |
| 10 | *Received*: list of compulsory standardisation meetings/activities |  |  |

Signed by new IQA Date

Signed (countersigning IQAC/IQA)

**PROMFORMA 2**

Qualificationunit or qualification achievement sheet and certification request

This should only be completed when positive unit/qualification internal quality assurance has taken place for qualificationsand the result is to be processed to either update the centre database or for certification purposes. Original unit and qualification achievement summary sheets should be attached as appropriate.

|  |  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- | --- |
| **Learner name** | **City & Guilds registration number** | **Site** | **Assessor** | **Qualification** | **Level** | **Units achieved** | **Full qualification achieved?**  **(YES / NO)** |
|  |  |  |  |  |  |  |  |

Centre administrator: Please enter results for the above learner(s) onto the centre learner database and apply to City & Guilds for certification.

IQA signature Date

Countersigning IQA signature Date

(if necessary)

**PROFORMA 3**

IQA concerns form

Feedback to IQA co-ordinator (IQAC) , quality assurance co-ordinator (QAC) or centre contact (CC)

The areas of concern should be completed by the IQA and handed to the IQA co-ordinator, QAC or CC as appropriate.

Areas of concern:

Agreed action and target date:

IQA signature Date

Countersigning IQA signature Date

(if necessary)

IQAC/QAC signature Date

Action taken:

IQA/IQAC/QAC signatures Date

**PROFORMA 4**

**IQA report form**

**NB This form can be used for single or multiple assessors/learners**

**It is the responsibility of the IQA to complete this form, make copies, send the original to the QAC/IQAC and ensure a copy is given to the tutors/assessor(s).**

Name of IQA Name of countersigning IQA (if necessary)

Date of internal quality assurance

Name of **tutor/ assessor(s)**

(**Please indicate whether tutor or assessor(s) by using T or A after their name.** If assessor is work based or peripatetic **also use WB or P** after their name)

|  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- |
| ***Name of learner(s)***  ***City & Guilds enrolment number*** | ***Title and level of qualification*** | ***Programme/Units/LOs sampled. Include reference numbers*** | ***Methods of delivery or assessment (see key)*** | ***Issues*** | ***Assessment process sampled***  ***(see key)*** | ***Units achieved (including date if full qualification)*** |
|  |  |  |  |  |  |  |

Name of countersigning assessor/IQA(s) (if necessary)

**Please continue on additional sheet(s) if necessary**

**Key:**

**Method of delivery/assessment**

**TS – Training Session GL – Guided Learning P – Planning RPL – Recognition of Prior Learning**

**DO – Direct Observation EWT – Expert Witness Testimony WT – Witness Testimony**

**WP – Work Product S – Simulation A – Assignments PJ – Projects**

**CS - Case Study RA - Reflective Accounts Q – Questioning**

**PD - Professional Discussion ST – Skills Tests**

**Assessment process checked**

**P – Planning F – Feedback FC – Final Check J – Judgement Rec – Records R – Review**

**NB Where more than one tutor or assessor has been involved in this internal quality assurance activity, individual feedback should be given using this form**

**Tutor/Assessor name**

**Details of any problems regarding learner access to the learning or assessment process**

**Details of any disagreements/appeals and outcome of action taken**

**Summary of comments/action plan for the tutor or assessor**

**Action plan with target dates**

**If necessary, please continue on an additional page**

**Confirmation of previous identified action being achieved**

**All the above has been discussed (please sign as appropriate)**

IQA signature Date

Countersigning IQA signature (if necessary) Date

Tutor/assessor signature Date

Countersigning assessor/IQA signature (if necessary) Date

**The countersigning IQA must check all the activities of the unqualified IQA whom they are supporting.**

**Countersigning IQA feedback on the internal quality assurance process and any necessary action required.**

**The methods and processes used by the unqualified IQA have been checked and quality assured by a qualified IQA.**

Countersigning IQA signature Date

**PROFORMA 5**

IQA final qualification sample report form

IQA name

Countersigning IQA name (if necessary)

Tutor/Assessor name

Countersigning assessor/IQA name (if necessary)

Learner name and City & Guilds enrolment no

Learner assessment location

Title of qualification

Full qualification IQA sampled 🞎 Yes 🞎 No

|  |  |  |
| --- | --- | --- |
|  | **Yes** | **Not yet** |
| Training/learning records are complete and available for storage in centre records. |  |  |
| Evidence/portfolio is clearly sectioned and easily accessed. An effective referencing system is in place. |  |  |
| Decisions of unqualified assessors have been countersigned by a qualified assessor. |  |  |
| Initial assessment, access to appeals and witness status list are complete. |  |  |
| Documents confirming assessor involvement in the full assessment cycle (planning, review, feedback) are available for storage in centre records |  |  |
| Records of assessment decisions are complete and accurate. |  |  |
| All relevant documentation is dated and signed. |  |  |
| Qualification/unit summary achievement sheet is complete. |  |  |
| Assessment process documents are complete and available for storage in centre records. |  |  |
| Internal quality assurance process documents are completed and available for storage in centre records. |  |  |
| **Action for tutor/assessor (if any)** | **Plan achieved** | |
|  |  | |
|  |  | |
|  |  | |

IQA signature Date

Countersigning IQA signature Date

(if necessary)

PROFORMA 6

Tutor/assessor induction agreement

Tutor/Assessor name

Telephone number

E-mail

The qualification title and level that I will be delivering or assessing is

Centre name and contact details

Address Telephone

E-mail

Centre number

My countersigning assessor/IQA is Telephone

E-mail

My IQA is Telephone

E-mail

The centre quality assurance co-ordinator is

Telephone

E-mail

The external quality assurer is

The awarding organisation is City & Guilds which can be contacted at their local office

Telephone

I have completed the whole induction programme and am now fully familiar with my responsibilities as a qualificationstutor and/or assessor.

I understand the procedures for monitoring the standard of my delivery/assessment practice and for seeking immediate help, should either I or my learner experience difficulty.

Signed Date

PROFORMA 7

Tutor/assessor induction checklist

Tutor/Assessor name

Date of commencement at centre

|  |  |  |  |
| --- | --- | --- | --- |
|  |  | **Signed by assessor** | **Date** |
| 1 | *Provided*: CV and qualification certificates to prove required knowledge and skills at appropriate level |  |  |
| 2 | *Provided*: original D32, D33, A1or relevant TAQA certificate which was checked and photocopied. Original returned and EQA-validated photocopy kept in centre records |  |  |
| 3 | *Received*: centre organisation chart |  |  |
| 4 | *Received*: centre equality of access policy |  |  |
| 5 | *Received*: centre assessment procedures, recording documentation and qualification standards |  |  |
| 6 | *Received or know where to access*: relevant qualification updates |  |  |
| 7 | *Received or know where to access*: City & Guilds’ Supporting Customer Excellence Centre Manual and Our Quality Assurance Requirements |  |  |
| 8 | *Received*: information about allocated learner(s) |  |  |
| 9 | *Received*: a copy of the qualificationstutor,assessor and learner induction programmes and packs |  |  |
| 10 | *Received*: information on the processing of records for registration and certification of learners |  |  |
| 11 | *Received*: list and dates of compulsory standardisation meetings/activities |  |  |

Signed by new tutor/assessor Date

Signed by IQA

PROFORMA 8

countersigning report form

Trainee assessor name

Countersigning assessor/IQA name

Learner name(s)

Unit numbers/titles and level

Check and countersign assessment decisions made in each unit by the unqualified assessor ensuring that all the assessment methods used are checked in rotation. The assessment process should also be checked.

**Method(s) of assessment and evidence sources sampled (please tick)**

Direct observation 🞎 Expert witness testimony 🞎 Witness testimony 🞎

Work product 🞎 Simulation 🞎 RPL 🞎

Assignment/Projects/Case Study/Learner/Reflective accounts 🞎

Questions/Professional discussion 🞎

**The evidence is** (please tick or cross as appropriate)**:**

Valid 🞎 Authentic 🞎

Current 🞎 Reliable 🞎 Sufficient 🞎

**Is there evidence of consistent practice?**

Yes 🞎 No 🞎

**Are all requirements met?**

Yes 🞎 No 🞎

**Part of assessment process checked** (please tick or cross as appropriate)**:**

Planning 🞎 Reviewing/feedback 🞎

Recording 🞎 Judgement 🞎

**Evidence / work is correctly** (please tick or cross as appropriate)**:**

Recorded 🞎 Referenced 🞎 Marked🞎

Signed/dated by unqualified assessor and the learner 🞎

**Summary of advice, and if necessary, action required**

**Confirmation of identified action being achieved**

The evidence, methods and process used by this unqualified assessor have been checked and authenticated by a qualified assessor.

Countersigning assessor/IQA signature Date

Trainee assessor signature Date

PROFORMA 9

continuing professional development record

**(NB This form can be used by tutors, assessors and IQAs, delete as appropriate)**

Tutor/Assessor/IQA name

Last IQA observation date Next IQA observation date

Dates of standardisation meeting(s) attended since the last review

If the tutor/assessor/IQA is unqualified, record the date when they were registered with the awarding organisation

**Details of any CPD activities undertaken and their relevance**

Training needs and/or identified CPD opportunities

**Action plan for meeting training needs and CPD opportunities**. Identify date for review and/or achievement and ensure that the what, when and who of the target action required is recorded.

Evidence of achievement (attach evidence where appropriate)

**All the above has been discussed and agreed**

IQA signature Date

IQAC signature Date

Tutor/ Assessor signature Date

Date of next review

Where training needs or CPD opportunities have resource implications, eg time/finance please ensure a copy of this form is passed to the Quality Assurance Co-ordinator.

PROFORMA 10

IQA observation and questioning checklist

IQA name Unit(s) reviewed

Assessor name Learner name(s)

|  |  |  |  |
| --- | --- | --- | --- |
| **Did the assessor:** | **Yes** | **No** | **Evidence** |
| Develop and agree an assessment plan with the learner(s) using appropriate assessment methods? |  |  |  |
| Agree when assessment will take place with learner(s) and other people involved? |  |  |  |
| Agree arrangements with the learner(s) for reviewing progress against the assessment plan? |  |  |  |
| Review and update assessment plans to take account of learner achievements? |  |  |  |
| Give the learner(s) feedback at an appropriate time and pace? |  |  |  |
| Give feedback in a constructive and encouraging way? |  |  |  |
| Give feedback to the learner(s) which met their needs and was appropriate to their level of confidence? |  |  |  |
| Clearly explain the assessment decisions? |  |  |  |
| Encourage learner(s) to get advice on the assessment decisions? |  |  |  |
| **Can the assessor explain:** | | | |
| How to operate the centre standardisation and internal quality assurance procedures? |  |  |  |
| How to access the centre appeals and access to fair assessment policy? |  |  |  |
| What information is made available by the awarding organisation and QAC? |  |  |  |
| How to identify and gain resources to support learners who have special assessment needs? |  |  |  |

Additional comments

Assessor signature Date

IQA signature Date

**PROFORMA 11**

internal quality assurance sampling plan and record

**INTERNAL QUALITY ASSURANCE SAMPLING PLAN AND RECORD**

**Qualification: Standardisation unit:** Unit 1 (Communication) across all levels

**Name of IQA:**

| **Assessor** | **Assessor Status** | **Assessment Site** | **Candidate** | **Units that have been assessed. Units to be sampled by the IQA according to the sampling plan are shaded.**  **Any variations from the plan are in bold** | | | | | | **Assessment process reviewed** | **Method of Assessment checked** |
| --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- |
| E. Xample | Q | Leeds | L. Earner | 1 | 2 | 3 | 4 | 5 | 6 | P    R | WT  DO |
|  |  |  |  |  |  |  |  |  |  |  |  |
|  |  |  |  |  |  |  |  |  |  |  |  |
|  |  |  |  |  |  |  |  |  |  |  |  |
|  |  |  |  |  |  |  |  |  |  |  |  |
|  |  |  |  |  |  |  |  |  |  |  |  |
|  |  |  | Key - agreed sampling    additional sampling until assessor  confident re: centre practices | | | | | | |  |  |

**Assessor Status Method of Assessment**  **Assessment Process**

Q – Qualified DO – Direct Observations P – Planning

NQ – Not Qualified RPL – Recognition of Prior Learning R – Review

NSQ – New staff qualified EWT – Expert Witness Testimony F – Feedback

NSQ – New staff not qualified WP – Work Product FC – Final Check

WT – Witness Testimony

Q – Questions

APCS – Assignment / Project / Case Study

S - Simulation

PROFORMA 12

internal quality assurance learner interview record

Learner name Qualification & level

Assessor name IQA name:

|  |  |
| --- | --- |
| **When did you begin the programme?** |  |
| How were you introduced to the programme? What topics were covered in your induction? |  |
| Was any of your prior experience considered or used towards the qualification? |  |
| Did anyone find out about any training you needed? |  |
| Did you complete a training programme whilst working towards your qualification? If so, what? How was it delivered? |  |
| Who delivered the training? Where and when was it carried out? |  |
| Was equality law and the centre’s equality policy explained to you? What do you think it meant? |  |
| Was the process of getting your qualification explained to you? If so, what do you understand this process to be? |  |
| Did you draw up a plan to achieve the qualification with your assessor or supervisor? |  |
| Does your assessor or supervisor involve you in planning assessments in advance? |  |
| When, where and how does assessment take place? |  |

*Continued on next page*

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

I agree for this information to be shared with my tutor and/or assessor.

Learner signature Date…………………………………..

IQA signature Date……………………………………

PROFORMA 13

Exemplar IQA sampling strategies and plans

This exemplar describes the implementation of an appropriate sampling strategy and the resulting plans developed for two different types of centre:

* A small single qualification centre
* A large, complex, multi-qualification, multi-size, multi-agency centre

These exemplars provide a thorough approach for those sectors where each learner is subject to internal quality assurance. In those sectors where it is not required that all learners are internally quality assured an appropriate sample of learners will be identified within the IQA sampling strategy. All other sampling principles should then still apply.

Please note that this document is exemplar material **only**.

**Introduction**

In order to improve and standardise the role of the IQA within centres City & Guilds delivers generic Internal quality assurance workshops –‘Introduction to IQA practice’ for new or unqualified IQAs and ‘Improving IQA practice’ for experienced practitioners.

**Exemplar centre one**

Our first centre is employer-based and has two qualified IQAs, one of whom acts as the quality assurance co-ordinator.

The two IQAs each lead a team of one tutor/assessor and two work-based assessors who in turn have six learners, all undertaking the same qualification, but at different levels (Levels 2, 3 and 4).

• Assessors A and B are qualified, experienced and regarded as effective within the centre

• Tutor/assessor C is registered for and working towards TAQA 6317-31 ‘Award in assessing competence in the work Environment’.

**The strategy**

As all personnel are work-based, with assessment and internal quality assurance forming only a minor part of their ordinary work roles, the IQA strategy is designed to ensure consistent support for the tutor, assessors and learners by regular contact. Experience has proven that an absence of IQA/tutor/assessor/learner interaction leads to inconsistent practice and a real slow down in learner progress.

The IQA will undertake an IQA activity involving each team member and some of their learners every three months. These activities will include:

• Sampling the units as identified on the centre sampling plan (*Proforma 11*).

• Observing practice at least once per year (*Proforma 10*).

• Interviewing learners about their experience of assessment practice (*Proforma 12*).

Each internal quality assurance plan applies to all learners registered within an identified 6 month period. This plan follows them until they complete or leave.

Learners registered after this six month period will be allocated to the next internal quality assurance plan.

The following plan covers January – July 2011.

The unit that will be sampled at all levels is Unit 1; a mandatory unit which covers communication. This will form the basis of the IQA and assessor standardisation activity for this group of learners. The aim will be to identify any problems which may be common (eg appropriate interpretation of the standards.) and then to take any required remedial actions.

The focus of the IQA sampling within Unit 1 will be:

• Method of assessment

Direct Observation / Expert Witness Testimony – as these form the main required assessment methods.

• Stage of the assessment process

Appropriateness of assessment planning – as this has proved problematic in the past with assessors being too vague leaving learners uncertain as to how to proceed.

• Sampling of other units

As the centre is small, learners will have one other unit sampled to ensure that over the period, the IQA is sampling **all** the other units which are undertaken by the learner group; **all** the assessment methods and **all** stages of the assessment process.

• Additional sampling for new or unqualified assessors

The plan also indicates additional sampling for:

- The unqualified assessor (who is also the tutor) during the period that the TAQA units are being undertaken. This will be reduced when they achieve the qualification and the IQA is confident that they are secure within their practice.

NB The assessment decisions taken by unqualified assessors, must be confirmed and countersigned by a qualified assessor.

**Exemplar plan**

**INTERNAL QUALITY ASSURANCE SAMPLING PLAN AND RECORD**

**Qualification: Health &Social Care Standardisation unit:** Unit 1 (Communication) across all levels

**Name of IQA:**

| **Assessor** | **Assessor Status** | **Assessment Site** | **Candidates** | **Units that have been assessed. Units to be sampled by the IQA according to the sampling plan are shaded.**  **Any variations from the plan are in bold** | | | | | | | | | | | | **Part of the assessment process reviewed** | **Method of Assessment checked** |
| --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- |
| A | Q | Leeds | L2 TS | 1 | 2 | 3 | 4 | 5 | 6 |  |  |  |  |  |  | 1. DO/EWT 2. WP | P  R |
|  |  |  | L3 AG | 1 | 2 | 3 | 4 | 5 | 6 | 7 | 8 |  |  |  |  | DO/EWT S | P R |
|  |  |  | L4 RA | 1 | 2 | 3 | 4 | 5 | 6 | 7 | 8 |  |  |  |  | DO/EWT RPL | P R |
| B | Q | Bradford | L2 AX | 1 | 2 | 3 | 4 | 5 | 6 |  |  |  |  |  |  | DO/EWT PD | P R |
|  |  |  | L2 BX | 1 | 2 | 3 | 4 | 5 | 6 |  |  |  |  |  |  | DO/EWT | P F |
| C | NSNQ | Barnsley | L2 JG | 1 | 2 | 3 | 4 | 5 | 6 |  |  |  |  |  |  | DO/EWT | P R FC |
|  |  |  |  | 1 | 2 | 3 | 4 | 5 | 6 |  |  |  |  |  |  | DO/EWT | P F |
|  |  |  |  | 1 | 2 | 3 | 4 | 5 | 6 | 7 | 8 |  |  |  |  | DO/EWT | P R |
|  |  |  | Key - agreed sampling    additional sampling until tutor/assessor confident re: centre practices | | | | | | | | | | | | |  |  |

**Assessor Status Method of Assessment**  **Assessment Process**

Q – Qualified DO – Direct Observations P – Planning RPL – Recognition of Prior Learning

NQ – Not Qualified EWT – Expert Witness Testimony R – Review WP – Work Product

NSQ – New staff qualified WT – Witness Testimony F – Feedback Q – Questions

NSNQ – New staff not qualified APCS – Assignment / Project / Case Study FC – Final Check S - Simulation

**Rationale/reasons for varying from the plan:**

|  |  |
| --- | --- |
| **Date**  **15/05/11** | **Tutor/assessor is unqualified so will be subject to additional sampling and early observation by IQA. All his decisions will be countersigned until he is qualified.** |

**Exemplar centre two**

There are extra layers of planning which need to be undertaken by the centre quality assurance co-ordinator and the team of IQA co-ordinators, designed to ensure that there will be standardisation of activity across the **whole** centre i.e. **all** qualifications, **all** satellites or assessment locations and **all** IQAs.

Accordingly, at the stage when the IQA sampling plan is in the hands of the individual IQA, it will look no different to the plan agreed for the small centre as all the same requirements need to be met, namely:

* Additional support / scrutiny of qualified but new assessors
* That a suitable amount of the judgements made by unqualified assessors is overseen and countersigned
* Standardisation activities across the tutors/assessors and IQAs within each qualification.

**QAC/IQAC planning**

This centre wishes to focus upon health and safety. Therefore for this year the health and safety unit will be sampled for all learners and all qualifications / levels.

The purpose is to:

• Standardise tutor delivery and assessment practice

• Review health and safety practice and training across all assessment sites particularly as there have been concerns that in one area or qualification assessors are either too lenient or demanding when reaching assessment judgements.

The following policy consists of the instructions to each IQA, outlining responsibilities to ensure compliance with the strategy agreed by the QAC and IQAC team.

**The plan**

This IQA plan outlines the internal quality assurance procedures and record keeping requirements agreed by the quality assurance co-ordinator and IQACs for this S/NVQs/VQs/Framework qualificationsassessment centre.

Each IQA must use the centre internal quality assurance procedures and associated recording documentation.

IQA induction:

• IQACs must ensure that the IQA has a copy of this document and understands the procedures and record keeping requirements described.

• All unqualified IQAs will have their internal quality assurance decisions overseen and countersigned by a qualified IQA.

**Procedure for implementing the qualifications****internal quality assurance procedure and sampling plan**

(This should be used in conjunction with the centre learner database)

This plan identifies the centre strategy for internal quality assurance. It is developed and monitored by the QAC/IQAC team to ensure that the internal quality assurance procedure is standardised throughout the centre. Each IQA is responsible for working to the agreed sampling plan.

The IQA must check with the IQAC/QAC if unclear about the procedures and/or recording requirements.

• The IQA is reminded that when using the minimum internal quality assurance processes allowable, the activities must be carried out throughout the period of assessment. Under no circumstances must internal quality assurance only take place towards, or at the end of learner assessment.

• A single unit will be identified by the IQAC/QAC for all IQAs to sample across all tutors and/or assessors. This will form part of the centre standardisation process. The IQA must ensure this unit is included in their sample. For this year the unit will be the health and safety unit.

• For unqualified assessors or assessors who are qualified but new to the centre, sampling a minimum of three units at different points in each learner’s period of learning and assessment is required.

• For qualified assessors who have current experience of assessing within the organisation a minimum of two units will be sampled at different points in each learner’s period of learning and assessment.

• In both instances the IQA will also need to focus on all additional areas of internal quality assurance responsibility, eg monitoring practice by carrying out observations.

• The IQA may increase the extent of the sampling beyond the above if there are concerns about practice.

• The sampling rationale identified will be reviewed every 12 months.

• The IQA must complete the internal quality assurance sampling plan and record at the beginning of the qualification for all their tutors and assessors.

• The internal quality assurance sampling plan and record ensures that all aspects of the learning and assessment process are sampled. Keeping records will allow the IQA, the IQAC/QAC and external quality assurer to ensure that the agreed process is being applied.

• Where it is necessary to vary from the sampling plan, the reasons should be recorded and the variations added to the internal quality assurance sampling plan and record.

The qualified assessor supporting unqualified assessor judgements must countersign all the relevant units on Form S/NVQs/VQs/Framework qualifications12 – Summary of Achievement.