

## Internal Quality Assurance Policy

### Introduction

#### **Scope:**

This policy applies to any programme which includes any accredited qualifications, including those which are subcontracted from another provider.

#### **Purpose:**

The purpose of this policy is to ensure that all stakeholders in the assessment process understand their roles within it, and that our internal quality assurance resource is deployed where required and focuses on support, guidance and develops continuous improvement, whilst ensuring compliance with NOCN and Pearson Qualifications standards and Floorskills Limited procedures.

### Procedure

#### **Allocation**

The Director of Apprenticeships (DA) is responsible for the allocation of Tutors, Trainers and Assessors to an appropriate Internal Quality Assurer (IQA). The Office Manager (OM) is responsible for the allocation of learners to the Tutors, Trainers and Assessors. All parties should be made aware of any changes to caseloads. The IQA policy will be carried out using the IQA Process map (**Appendix 1**)

#### **Qualification Sampling**

The IQA will raise an internal quality assurance sampling and feedback record (**Appendix 2**) for every award and Tutors, Trainers and Assessors, along with an IQA Sampling Rationale (**Appendix 3**) outlining the reasoning behind the sampling strategy, per Tutors, Trainers and Assessors, per qualification. These will be stored in the Internal Quality Assurance folder on the company One drive by the IQA.

The internal quality assurance sampling and record (**Appendix 2**), will be used to update where any sampling has taken place and record any assessment method, assessment process element, Individual Learning Plan (ILP) checks along with the dates these checks have been carried out. The record will also indicate a check of the learner's registration (for those within the sample) to ensure a learner has been registered for each element of their qualification Framework / Standard, prior to any summative assessment.

These measures will allow both IQA and DA to make judgements of any trends, which, may occur against awards, units, or any individual's performance. Results of such interventions will support the IQA / DA to identify areas for development and where corrective action may be required and implemented through individual feedback and standardisation sessions. Formal record keeping will also support the IQA in determining their confidence level in the Tutors, Trainers and Assessors, teaching and assessment skills, which in turn will justify any decrease or increase in sampling. Where assessment practice is identified as being high risk the IQA will escalate to the DA and OM for operational action / intervention. It is the responsibility of the IQA to make arrangements with the relevant Tutors, Trainers and Assessors to carry out the agreed sample, according to their sampling plan.

## Sampling Strategy – Tutors, Trainers and Assessors

Category	Sample required
<p>Office Manager – Emma Bourne</p> <p>New in the role and to Tutors’ assessment.</p>	<ul style="list-style-type: none"> <li>✓ Prior to the portfolio being submitted to the IQA, it is essential that the units requiring verification are countersigned. It is the responsibility of the OM to ensure countersigning of unqualified staff takes place.</li> <li>✓ 50% of all portfolio submitted for each qualification for summative IQA.</li> <li>✓ Sample to include a minimum of 2 units per portfolio ensuring all units/assessment methods per the qualification are sampled within a 12-month period</li> <li>✓ Four observations of the Tutors, Trainers and Assessors applying assessment practice using a variety of assessment methods within a 12-month period</li> <li>✓ Four learner interviews carried out over 12-month period (<b>Appendix 4</b>)</li> <li>✓ Three Employer interviews carried out over a 12-month period (<b>Appendix 5</b>)</li> <li>✓ Monthly support/feedback sessions by the IQA over a 12-month period</li> <li>✓ Countersigner will be allocated for all unqualified by the DA</li> </ul>
<p>Qualified and experienced but new to Floorcovering Industry</p> <p>Quality Manager – Emma Bourne</p> <p>New in the role and to Tutors’ assessment.</p>	<ul style="list-style-type: none"> <li>✓ 30% of all portfolios submitted, for each qualification for summative IQA.</li> <li>✓ Sample to include a minimum of 1unit per portfolio ensuring all units/assessment methods per the qualification are sampled within a 12-month period</li> <li>✓ Three observations of the Tutors, Trainers and Assessors applying assessment practice using a variety of assessment methods within a 12-month period</li> <li>✓ Three learner interviews carried out over a 12-month period</li> <li>✓ Three Employer interviews to be carried out over a 12-month period</li> <li>✓ Monthly support/feedback by the IQA over a 12-month period</li> </ul>

<p>(b) Qualified and experienced but assessment practice not consistently good</p>	<ul style="list-style-type: none"> <li>✓ Increased portfolio sample, which will be decided by the IQA; 50%, 70% or 100%, this will be formally communicated to the Tutors, Trainers and Assessors by the IQA and the sampling rationale record will be updated to reflect this by the IQA</li> <li>✓ In cases of consistently weak/poor assessment practice, a countersigner will be allocated for a specified period of time and carry out 100% across the standard where there is cause for concern (100% on full qualification may be applied where there is a high risk)</li> <li>✓ In cases where there is no improvement of assessment practice after countersigning support, qualification approval will be removed until sufficient CPD and development of assessment is achieved.</li> <li>✓ Sample to include a minimum of 1 unit per portfolio ensuring all units/assessment methods per the qualification are sampled within a 12-month period</li> <li>✓ Three observations of the Tutors, Trainers and Assessors applying assessment practice using a variety of assessment methods within a 12-month period</li> <li>✓ Three learner interviews carried out over a 12-month period</li> <li>✓ Three Employer interviews to be carried out over a 12-month period</li> <li>✓ Monthly support/feedback by the IQA over a 12-month period</li> </ul>
<p>Qualified and experienced</p>	<ul style="list-style-type: none"> <li>✓ 10% of all portfolio submitted for each qualification for summative IQA.</li> <li>✓ Sample to include a minimum of 1 unit per portfolio ensuring all units/assessment methods, per the qualification, are sampled within a 12-month period</li> <li>✓ Two observations of the Tutors, Trainers and Assessors applying assessment practice using a variety of assessment methods within a 12-month period</li> <li>✓ Two learner interviews carried out over a 12-month period</li> <li>✓ Two Employer interviews to be carried out over a 12-month period</li> <li>✓ Monthly support/feedback by the IQA over a 12-month period</li> </ul>
<p>The IQA will utilise the Sampling Rationale when setting up and updating the sampling plan for each Tutors, Trainers and Assessors and for each programme and qualification/level they deliver. This policies sampling strategy supersedes the Sampling Rationale where required by exception.</p> <p>The internal quality assurance team will also choose some units throughout the year, based on Sampling Rationale discussions and based on External Quality Assurers (EQA) feedback in order to establish standardisation of delivery</p> <p>IQA / OM's to carry out dual test invigilation for each Tutors, Trainers and Assessors twice per year</p> <p>100% IQA sample of evidence on the first two full qualification/new award per Tutors, Trainers and Assessors</p>	

### Sampling and Feedback

Based on the arrangements, the IQA will decide the most appropriate sampling method to suit each individual, these methods will be direct observation, evidence sampling, learner/employer discussion

or any other means that the IQA finds appropriate. The findings of the sample will be recorded on the appropriate form.

OTL – Grading / Cycle	Frequency of OTLA
Grade 1	Once per year
Grade 2	Every 6 months
Grade 3	Every 3 months
Grade 4	Every month

**Internal Quality Assurance Observation Record (Appendix 6)** – this record will be completed by all IQA’s when carrying out direct observation of both actual and virtual observations of practice, through planned and unplanned visits. After feedback has been given to the Tutors, Trainers and Assessors, this document will be uploaded to the learner’s file by the IQA, thus creating an IQA visit, which will ensure the feedback is confidential. This record will also be stored in the Internal Quality Assurance folder on the company One drive by the IQA.

**Internal Quality Assurance – IQA Sampling Feedback Record (Appendix 2)** - this record will be completed by all IQA’s, when sampling a portfolio on the assessment processes and assessment decisions. Once feedback has been provided to the Tutors, Trainers and Assessors, this document will be saved in the relevant learner’s portfolio by the IQA, thus creating an IQA visit and will ensure the feedback remains confidential. It is the Tutors, Trainers and Assessors responsibility to read and acknowledge the feedback along with following up on any actions given. It is the responsibility of the Tutors, Trainers and Assessors to follow future recommendations given in feedback, as opposed to a direct referral/action; and to incorporate the directions given into assessment practice in all subsequent summative portfolio submissions.

All of the IQA sampling activities will be recorded on the Internal Quality Assurance Monthly Summary Activity Record (**Appendix 7**). This will be stored in the Internal Quality Assurance folder on the company One drive, on a monthly basis by the IQA.

Following any internal quality assurance activity, the IQA will give feedback to Tutors, Trainers and Assessors. Feedback shall be given in a manner which is supportive and constructive and highlights good practice and any assessment practice developmental areas. The feedback will be given applying the most appropriate communication method; face to face, virtual discussion or email. Where actions are identified it is essential for suitable arrangements to be made to follow up and support. Feedback acknowledged by the Tutors, Trainers and Assessors is required.

## Appeals

The IQA will check within their sample activities that the Tutors, Trainers and Assessors is ensuring learners know they have the right to appeal against an assessment decision and that they understand the appeals procedure, the IQA will record this check on the relevant sampling activity feedback record. The IQA will inform the QM of any appeal escalated to them, following the appeals procedure laid out in the learner handbook.

If a Tutors, Trainers and Assessors wishes to challenge an IQA's decision against an assessment decision they firstly are encouraged to do that with the IQA directly, if this does not result in clarity the Tutors, Trainers and Assessors needs to put the challenge in writing to the DA.

## **Records**

Following internal quality assurance, it is the responsibility of the IQA to add an IQA visit to the learner portfolio, to update the sampling plan and to ensure that all documentation is uploaded to the relevant learner's portfolio via and IQA visit, along with any required documentation to be saved within the Internal Quality Assurance folder on the one drive.

## **Certificate Claim**

It is the responsibility of the Claims team to follow the correct process map / procedure to enable certificate claim to be carried out.

## **Qualification Complete**

When a qualification has been completed it is the responsibility of the Tutors, Trainers and Assessors to communicate the completed portfolio to the IQA. All completed portfolio submissions to the IQA need to be received by 20<sup>th</sup> of each month, to ensure timely feedback and the IQA will refer to the individual sampling plan, to identify an appropriate sample for the individual's portfolio.

The IQA will complete the sampling according to the sampling strategy and plan. All feedback will be recorded into the learner portfolio. Where requirements have not been met, it is essential for the IQA to determine whether it is assessment practice oversight, whether the Tutors, Trainers and Assessors has not shown good assessment practice, by accepting insufficient evidence from the learner to show their competence and meet the required standard. Where oversight occurs, it is important that this is not detrimental to the learner progression and effective feedback is given in a timely manner.

When the learner portfolio is deemed complete by the Tutors, Trainers and Assessors or by the IQA post actions sign off, the IQA will accept all units as complete for the main aim. The IQA will save this within the portfolio and input the last day of learner activity within the IQA sign off box and then save for claim

It is essential to remember that an unqualified verifier requires 100% countersigning. See countersigning process.

## **Withdrawal of Qualification**

Should Insert name Ltd no longer work with a specific Awarding Organisation, registered learner would remain protected. The learners' qualification would be transferred to an alternative Awarding Organisation 'Learners choice'. Where the learner preferred to remain with Insert name Ltd. Insert name Ltd would refer an alternative Tutors, Trainers and Assessors who works with the newly chosen Awarding Organisation, at the learner's request.

## **Standard**

- Internal Quality Assurance in the main will be planned in advance with all parties being aware that the activity will take place, the IQA will from time to time also carry out a random sample.
- The most effective method of IQA is direct observation of the assessment activity. This enables the IQA to take a holistic view of the environment, learner and assessment practice. This will also enable the IQA to give direct support where appropriate.
- Virtual portfolio IQA is also an acceptable method. This can be done online. The advantage of this is the accessibility of a wider range of evidence and assessment over a period of time. This is best used when a large sample is required and where learners are in virtual locations.
- Where requirements have not been met, it is essential for the IQA to determine whether it is assessment practice oversight or whether the Tutors, Trainers and Assessors has not shown good assessment practice by accepting insufficient evidence from the learner to show their competence and meet the required standard. Where oversight occurs, it is important that this is not detrimental to the learner progression.
- Feedback shall be given in a manner which is supportive and constructive and highlights good practice. Where actions are identified it is essential for suitable arrangements to be made to follow up and acknowledgement and feedback from the Tutors, Trainers and Assessors is recorded.
- Where development and progression cause for concern needs are identified, these should be reported to the appropriate OM. The IQA at this point may review the IQA Rationale and increase sampling percentage for that Tutors, Trainers and Assessors.
- Where reoccurring development areas in the same specified areas of practice are identified the IQA will escalate to the appropriate OM for operational action.
- Good practice is best shared across the IQA team, as well as across sector delivery areas through standardisation of practice. See standardisation process.

### **Malpractice/Maladministration**

Any malpractice concerns regarding assessment practice need to be reported to the Compliance Team, please refer to Whistleblowing Policy which can be located on our Intranet.

### **Conflict of Interest**

A conflict of interest arises when the best interests of an individual are or could be different from the best interests of the organisation and those stipulated by the Awarding Organisation; e.g. personal relationships, gifts, hospitalities, business interests etc.

Any identified conflicts of interest concerns regarding assessment practice need to be reported to the Compliance Team, please refer to Whistleblowing Policy which can be located on our Intranet.

### **Plagiarism**

Plagiarism arises when an individual present someone else's work or ideas as their own, with or without their consent, by incorporating it into their work without full acknowledgement. It is the responsibility of the Tutors, Trainers and Assessors to ensure they sample and check for plagiarism within any submitted work from their learner, it is the IQA's responsibility to ensure this is happening.

### **Standardisation**

Standardisation will be planned and carried out a minimum of twice per year, for each qualification we deliver, this will be recorded on the Standardisation Planner held within the company one drive in the Internal Quality Assurance folder. Standardisation will include standardised units/assessment methods based on the IQA sampling activity identification of good practice and developmental practice trends or changes in qualification standards. The standardisation will be delivered using a combination of face to face and virtual activities.

### **Quality**

Compliance against this procedure will be monitored by the QM.

### **Documents**

- IQA Process Map - Appendix 1
- IQA Sampling Feedback Record - Appendix 2
- IQA Sampling Rationale - Appendix 3
- IQA Learner Interview Record - Appendix 4
- IQA Employer Interview Record - Appendix 5
- IQA Observation Record - Appendix 6
- IQA Monthly Summary Activity Record - Appendix 7

### **Glossary**

IQA	Internal Quality Assurer
DA	Director of Apprenticeships
OM	Office Manager
EQA	External Quality Assurer