Internal Quality Assurance Policy and Procedure	Version:	2.1
	Status:	Final
	Date:	18/1/21

1. Approval Record

Name	Role	Date
Rebecca Clake	Head of People	1/8/20
Gemma Higham	Trainer Network and Quality Assurance Lead	1/8/20

2. Version History

Version	Date	Author	Description (nature of change/update)
0.1	1/6/20	Rebecca Clake	Initial Creation – Document design proposal
2.0	1/8/20	Rebecca Clake	Sign off
2.1	18/1/21	Rebecca Clake	Annual review and version control update

3. Related Documents

Document Title	Location	Version Number
Observation of Training and Assessment Policy and Procedure	HR System	V2.1

4. Review and Distribution List

Name	Role	Review Required
Gemma Higham	Trainer Network and Quality Assurance Lead	Reviewer
	All training staff and sub contractor Trainers (where applicable)	For Information Only

5. Regulatory Requirements

This policy will comply with the requirements of OFSTED and any Awarding Organisation standards.

6. Introduction

Internal quality assurance ensures that learners receive fair and equal access to assessment, which is free from discrimination and is made by well-informed and well-supported Assessor/Trainers. It also ensures that the standard of assessment remains consistent across time, and learners with respect to individual Assessor/Trainers, and that there is consistency and standardisation between Assessor/Trainers. This form of standardisation is vital in the maintenance of a national standard of assessment.

6.1 Purpose

The purpose of this internal quality assurance process is to establish and maintain the quality of assessment for internally assessed, and externally accredited learning programmes across all; accredited programmes; nationally recognised qualifications; apprenticeship standards and frameworks.

The policy aims to ensure the consistency of practice by Assessor/Trainers and Internal Quality Assurers (IQA) across all Adult Education Budget (AEB), Traineeships and Apprenticeship Programmes delivered by We are Digital and Sub-contracted Partner / Trainer Providers.

6.2 Scope

This policy incorporates; internal quality assurance processes, procedures and guidelines to support learning funded or subsidised by the Education and Skills Funding Agency and the European Social Fund; and for national qualifications, traineeships and apprenticeships directly delivered by We are Digital, and other Sub-contracted Partners / Trainers where it has been previously agreed they will be delivering the bulk of the qualification standard.

This document should be used in conjunction with the specifications for each national qualification, traineeship and apprenticeship standard or framework being delivered.

7. Roles and Responsibilities

RACI	Role	Role Holder(s)	Key Responsibilities
Responsible	Process SME	Rebecca Clake	• Ensuring process document accurately reflects current practice • Contributing to process changes and improvements, as and when identified
Accountable	Process Owner	Gemma Higham / Rebecca Clake	• Overall ownership and accountability for process definition and execution • Leading change for improving the process • Approval point for any changes/update to the process definition • Ensuring that any changes are properly documented and communicated • Ensuring that ongoing monitoring is in place and carried out
Consulted	Trainer & Quality Assurance Lead	Gemma Higham	• Monitoring adherence to agreed process through periodic quality reviews
Informed	All Staff	All Staff	• Read and accept document • Adhere to all elements of policy • Follow any procedures

8. Instruction

8.1 Role and responsibilities of the (IQA)

The IQA must:

- understand the process of assessment and verification within the context of quality improvement
- have a relevant occupational background which can be related to the vocational area to be verified
- maintain occupational competency relating to the qualification and/or vocational area to be verified

- for qualifications, traineeships and apprenticeship framework and standards, have gained the Level 4 Award in the Internal Quality Assurance of Assessment Processes and Practice
- ensure health, safety and environmental protection procedures are applied within assessment arrangements
- apply and monitor equal opportunities and access procedures throughout all assessment activities
- have a clear understanding of the standards and their associated Knowledge, Skills, and Behaviours to which the learner is being assessed, and ensure that any queries relating to the interpretation of the standards are clarified with the external quality assurer
- work with others to ensure the standardisation of assessment practice and outcomes
- follow agreed procedures for the recording, storing, reporting and confidentiality of information.

8.2 Responsibilities

The IQA has responsibility for the following:

- planning and carrying out the sampling of assessed work
- observing Assessor/Trainer performance
- advising, supporting and providing developmental feedback to Assessor/Trainers
- ensuring Assessor/Trainers interpret, understand and consistently apply the correct standards and requirements
- identifying issues and trends, for example several learners misinterpreting the same thing
- support standardisation activities to ensure the accuracy and consistency of assessment decisions between Assessor/Trainers
- meeting external quality improvement requirements.

8.3 Carrying Out and Evaluating Internal Assessment and Quality Assurance

The IQA must ensure that:

- arrangements for carrying out internal quality assurance meets We are Digital's requirements, and those of the external awarding organisation administrative and recording arrangements meet external audit requirements
- the eligibility of Assessor/Trainers to undertake assessment is checked against awarding organisation requirements
- appropriate support for Assessor/Trainers is available
- standardisation of assessments is carried out
- a procedure for complaints and appeals, which meets the requirements of awarding organisations, is in place and is followed when necessary
- appropriate recommendations to improve internal quality assurance arrangements are made.

8.4 Supporting Assessor/Trainers

The IQA must ensure that:

- Assessor/Trainers have appropriate technical, and vocational experience
- Assessor/Trainers are familiar with and can carry out specific assessments and follow the recording and internal audit procedures
- the development needs of Assessor/Trainers are identified in relation to: principles of assessment; needs of learners; their technical expertise and competence
- Assessor/Trainers have the opportunity to develop their assessment experience and competence and their progress is monitored
- Assessor/Trainers have regular opportunities to standardise assessment decisions
- Assessor/Trainers are able to maintain quality standards.

8.5 Monitoring the Quality of Assessor/Trainers' Performance

The IQA must ensure that Assessor/Trainers:

- plan and prepare for assessment opportunities effectively
- have effective processes for making assessment decisions
- apply valid, authentic, current, sufficient and reliable methods of assessing learners' competence in the learning outcomes of National Qualifications and Frameworks
- ensure that knowledge, skills and behaviours for Traineeship and Apprenticeship standards are embedded well within the programme
- set up and maintain effective working relationships with learners at all stages of the assessment process
- apply relevant health, safety and environmental protection procedures,
- meet equality and access criteria
- give timely and effective feedback to learners
- maintain accurate and secure records
- receive accurate and helpful feedback on their assessment decisions.

The IQA will carry out the following activities:

- ensure We are Digital's standards are maintained against our quality assurance framework and Awarding Organisations, as appropriate
- create sampling plans for their area of responsibility and qualification/standards they are quality assuring on the e-portfolio, or where applicable paper-based
- sampling assessments on e-portfolios, and where applicable, in paper-based portfolios to verify assessment decisions and manage the quality of both qualification delivery, traineeship and apprenticeship frameworks knowledge, skills and behaviours
- monitor and maintain learner records, and track progress against the qualification or knowledge, skills and behaviours
- carry out Quality Assurance interviews with learners and employers
- support and mentor assessors
- observing Assessor/Trainers carrying out assessments
- ensuring full embedding of wider subjects e.g. Equality, Safety, Safeguarding, Prevent
- deliver a system of standardisation of assessment judgement deal with appeals, complaints and problems, as appropriate
- liaise with External Quality Assurers during awarding body EV visits.

8.6 Sampling Assessments

The IQA must ensure that the sampling strategy:
- meets awarding organisation requirements
- covers all Assessor/Trainers, learners, units, assessment methods and locations for each programme
- is an on-going process
- includes an increased ratio of assessment decisions made by new or inexperienced Assessor/Trainers
- checks that evidence is valid, sufficient, authentic, current, reliable and consistent
- guarantees that IQAs do not verify evidence that they have assessed.

8.7 Formative and Summative Sampling

Sampling assessments should involve reviewing the quality of Assessor/Trainers' judgements at both formative and summative stages.

Formative sampling:
- It is important the IQA samples assessment activity at different stages of the assessment process.

Summative sampling:
- The IQA should review the quality of the final assessment decision by evaluating how the Assessor/Tutor has reached that decision.

8.8 Sampling Across Assessor/Trainers

For national qualification traineeship or apprenticeship frameworks or standards the IQA should sample at least one complete portfolio as well as comparing evidence across units, elements, performance criteria or knowledge, skills and behaviours across Assessor/Trainers to ensure consistency between Assessor/Trainers over time and with different learners. This process also assists in identifying the most appropriate forms of evidence that can cover the requirements of the qualification/scheme.

8.9 Observation of Assessment Practice

By observing the Assessor/Tutor at work, a greater understanding of the assessment process is gained, particularly in the area of decision making; the IQA also achieves a greater understanding of how the diverse needs of learners are met.

8.10 Standardising Assessment Judgements

The IQA must ensure that:
- consistency and reliability of assessment is maintained
- records of standardisation meetings/exercises are kept
- feedback is provided to Assessor/Trainers
- problems encountered with individual learners are discussed and appropriate action taken.

8.11 Frequency and Volume of Internal Quality Assurance Activity

IQAs should ensure that We are Digital and/or the Awarding Organisation and End Point Assessment organisation requirements are met. The frequency and volume of internal quality assurance activity is dependent upon the duration and intensity of the course, as well as the number of learners being assessed.

As a guide, the sample of assessment decisions which are internally verified is usually between 20% and 40%.

For national qualifications, traineeships and apprenticeship framework; the IQA should sample at least one complete portfolio, as well as comparing evidence for across units, elements or performance criteria across Assessor/Trainers to ensure consistency between Assessor/Trainers over time and with different learners. For apprenticeship standards the above sampling ratio will be the same but will comparing evidence across knowledge, skills and behaviours for each standard.

New qualifications, standards, and newly appointed Assessor/Trainers/IQAs
When undertaking a new qualification, standard, or where Assessor/Trainers are newly appointed, IQAs should quality assure 100% of assessment decisions, in order to have confidence that judgements are consistent, and assessments are appropriate. Where an IQA is newly qualified, they will be mentored by an experienced IQA and 100% of their work will be countersigned for an agreed minimum period of not less than 3 months.

8.12 Meeting External Quality Improvement Requirements

The IQA must:
- identify how internal assessments will be checked externally and the information needed for this purpose
- plan, collect and analyse information on internal assessment decisions
- agree the timing and nature of external verification arrangements
- give supporting background information to external quality assurers about the assessment process
- explain any issues raised by external quality assurers and give them supporting information as necessary
- raise concerns and disagreements about external audit decisions in a clear and constructive way
- refer any questions or concerns, which could not be dealt with internally, to the awarding organisation
- give Assessor/Trainers feedback on external verification decisions
- ensure external verification decisions are included in internal reviews of procedures.

8.13 Recording Quality Assurance Activity

Recording mechanisms/documentation should provide evidence that internal quality assurance has been carried out regularly and systematically and should show that it has occurred across learners, units and Assessor/Trainers.

8.14 Evaluation of Procedures

It is good practice to evaluate the reporting procedures regularly to ensure that the recording mechanisms are fit for their purpose and that the information recorded is appropriate and useful.

8.15 Currency and Security

Records of all assessment and verification activity must be kept both current and secure and be made available only to appropriate personnel and for external verification purposes.

8.16 Quality Audits

Quality audits are an integral part of the Service's robust and effective quality assurance framework. The regularity of each quality audit activity is agreed annually with the senior management team and are used to quality assure and support improvement across all aspects of service delivery.

Outcomes of the audits will recognise areas of strengths and highlight good practice to be shared, as well as to identify those areas of weakness that require improvement. Actions developed to address any areas requiring improvement will feed into the ongoing quality improvement plan which is tracked and monitored through the performance management group.

8.17 End Point Assessment (EPA) for Apprenticeship Standards

Where applicable, when an apprentice reaches the end of their training, it is the employer (supported by the training provider's Assessor/Tutor and IQA) who will make the decision on whether the apprentice is ready to enter the "Gateway" and to undertake their EPA.

To be eligible to pass through the Gateway an apprentice must have achieved all the criteria as described in the relevant assessment plan, and all internal quality assurance activity must have been completed and recorded on the relevant system. This will ensure apprentices are put forward only when they are ready for the assessment.

8.18 Awarding Organisation Requirements

All necessary information, portfolios of evidence, learner records, and internal quality assurance records must be made available to the External Quality Assurance (EQA) and awarding organisation requirements must be met before, during and after the visit.

9. Quality Control Log

No	Risk/Issue	Control	Control in Place Y/N
1	Failure to comply with Awarding Organisation requirements	• Regular reviews of requirements and policy. • Regular meetings with those involved in process. • Awarding Organisation completing EQA visits	Y
2	*Inconsistent execution of the process by different people/departments*	• Regular reviews of requirements and policy. • Regular meetings with those involved in process	Y
3	*Reliance on key individuals (single point of failure)*	• Ensure Trainer and Quality Assurance Lead completes IQA training	N

10.   Glossary

Term	Description
IQA	Internal Quality Assessor
EQA	External Quality Assessor
ESFA	Education and Skills Funding Agency
AEB	Adult Education Budget