



D1: INTERNAL QUALITY ASSURANCE POLICY

Version 1.1

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0. SCOPE OF POLICY

This policy sets out the Internal Quality Assurance (IQA) forms one part of our Quality Assurance Process and focuses on our responsibilities as a centre to ensure:

- An appropriate design of a programme to meet ILM qualification or unit specifications and rules of combination;
- Effective delivery that meets learner's expectations of agreed learner journey
- The accuracy and consistency of assessment decisions between assessors
- Assessors are consistent in their interpretation of qualification or national occupational standards
- Maintenance of documentation audit trail to enable certification and distribution to learners
- Monitoring , review and evaluation for continuous improvement

Our internal quality assurance covers conception and design of our programmes, recruitment of learners and team members, to delivery, assessment and evaluation through to certification.

1. IQA POLICY AND STRATEGY

We will have a written and current internal quality assurance (IQA) policy and strategy (see Appendix 1).

The internal quality assurance (IQA) policy will show our commitment to the key principles and shared values required to deliver an effective, risk managed internal quality assurance approach.

The internal quality assurance (IQA) strategy will be planned, risk –managed approach which provides for feedback and evaluation via a clear auditable monitoring system.

The internal quality assurance (IQA) strategy will include:

- a statement indicating a named person (Sascha Benson-Cooper) with the overall responsibility and accountability for your centre's internal quality assurance.
- our commitment to recruit and select occupationally qualified team members and the provision for feedback, on -going support and development
- a communication process for providing key centre policies and information covering items such as equal opportunity policies, health& safety, special assessment arrangements and Regulatory requirements.
- A sampling assessment risk management strategy which includes standardisation, a process for monitoring, reviewing and evaluating the delivery and assessment from both learners and employers perspectives plus accurate documentation showing a clear audit trail.

2. OUR PERSONNEL

There must be a minimum of two personnel at Accipio fulfilling the roles of deliverer and assessor or internal quality assurer per learner. **Occupationally Competent Role profiles are located within the qualification specifications and this should assist your selection of team members.**

Role of the Deliverers/tutors

The role of the deliverer/tutor is to ensure that the programme design is fit for purpose and that indicative content of a unit is delivered ensuring the learner can meet all unit learning outcomes and assessment criteria. The role of the deliverer/tutor is to engage, motivate and provide key information to learners such as the assessment schedule, assessment and mark sheet and sufficiency descriptors. They will provide formative feedback on assessments. The deliverer/tutor sometimes is required to perform the role of the Assessor. Should this be the case, the roles and requirements of the assessor are also required to be met.

Role of Assessors

The role of the assessor is to decide whether a learner has demonstrated competence and capability. This is achieved by judging the learners assignment or evidence against all the learning outcomes and assessment criteria. The assessor must provide support and guidance concerning sufficiency of evidence and provide summative written feedback.

Role and Responsibilities of Internal Quality Assurance (IQA) Personnel

There must be a separation of the assessor and Internal Quality Assurance (IQA) role per learner.

The Internal Quality Assurance (IQA) person (s) must have the authority to implement the Internal Quality Assurance (IQA) policy and strategy and report to senior personnel within your organisation to lead to continuous development. The Internal Quality Assurance (IQA) personnel's role is key and has many responsibilities. Ideally, the person must be employed within the Centre so they can implement their various responsibilities fully.

Responsibilities include:

1. Plan and prepare internal quality assurance activities sampling arrangements in line with your centres risk management strategy thus ensuring and demonstrating that assessment is valid and consistent through monitoring and sampling assessment decisions. Internal Quality Assurance (IQA) sampling must take place at various stages in the learners' journey to gain an overall picture of the quality and delivery – from induction to the learner evaluation process and at various interim stages. Further detail is provided on **risk managed sampling and the CAMERA Acronym can be read in Appendix 2.**
2. Organise standardisation activities to aid interpretation of unit specifications, provide guidance and maintain the accuracy, quality and consistency of assessment decisions.

3. Provide on-going answering of queries relating to assessment or verification process, special consideration or requirements, constructive feedback and advice on a deliverers' and/or assessor's performance to address any identified areas of improvement and maintain good practice. This entails observation, sampling and checking accuracy and completeness of documentation. Written feedback must be provided to assessors and recorded.
4. Take a key role within the internal appeals procedure and judicator in assessment disputes or variances. The internal quality assurance (IQA) personnel assessment decision will override the assessor's decision.
5. Take a lead role by understanding the legal requirements in terms of maintaining records such as data protection, confidentiality, and secure storage of records, transparency. The internal quality assurance (IQA) personnel will maintain all assessment records meeting ILM's requirements
6. Take a lead role in the evaluation of trends in terms of equality, diversity and where appropriate bilingualism in relation to assessment decisions, monitoring retention and achievement rates.
7. Managing communications, both with deliverers, assessors, senior management and the External Verifier. The internal quality assurance (IQA) role still needs to be in place and implemented if Accipio decides to use The Institute of Leadership and Management Assessment (ILMA) assessment rather than centre assessment.

3. SAMPLING STRATEGY

Sampling across all qualifications whether Scottish/National Vocational Qualifications (S/NVQ's) or Vocationally Related Qualifications (VRQ's) should be managed in line with the following principles:

- Sampling is representative of all activities, is based on the CAMERA rationale, takes account of The Awarding Organisation qualification tariff percentages and provides evidence of both interim and summative sampling.
- The sampling must be planned however should be flexible to take account of changes in risk. There should be a clear rationale indication in your records as to how your centre decided upon the internal quality assurance (IQA) sampling plan.
- The sampling plan will be requested and must be forwarded to the External Verifier (EV) when the Centre completes the form Centre Activity Form (CA2).

For both Scottish/National Vocational Qualification's (S/NVQ's) and Vocationally Related Qualifications (VRQ's) the sampling strategy covers the following approach: **CAMERA** is an acronym for the sampling strategy

C candidates or learners – sampling must cover ethnicity, gender, employed full or part time and special arrangements, all referrals.

A assessors – sampling will cover all assessors taking into account a higher risk of new assessors or feedback from External Verifier (EV) reports, across all assessment sites, occupational and qualification, experience, evidence of countersigning of unqualified Scottish/National Vocational Qualification (S/NVQ) Assessors.

M- Methods of assessment- sampling will cover all Vocationally Related Qualifications (VRQ's) and National Vocational Qualification (NVQ) units assessments, a higher percentage if the method of assessment has been adjusted in terms of agreed flexible assessment method, questioning, observation, product evidence or evidence of Recognition of Prior Learning (RPL).

E- Evidence types- written confirmation that Vocationally Related Qualification (VRQ) assignments and Scottish/National Vocational Qualification (S/NVQ) evidence is valid, authentic, current, sufficient, plus a focus on any special requirements and identified problem units.

R-Records – all documents relating to assessments and assessor feedback to learners.

A-Assessment locations- across different assessment locations, main centre location and satellite centres

Interim sampling must be built into the plan and will occur at both the early and middle stages of your qualification assessment. Interim sampling enables you to check formative assessment or part of a unit (Scottish/National Vocational Qualification (S/NVQ)) and identify consistency or issues at an early stage for corrective action

Summative sampling will occur at the end of the qualification assessment.

Appendix 2, 3 and 4 provides an example of a sampling strategy, sampling plan and sampling rationale form.

The Qualification Risk Rating (QQR) will determine the degree of Internal Quality Assurance (IQA) sampling or the recommended percentage sampling across a group of learners for a qualification over time.

Quality rating	Certificate status	Centre's minimum sample	EV minimum sample
00	Direct claims (DCS)	10%	5%
01	Direct claims (DCS), with an action plan	15%	10%
02	External Verifier (EV) sign-off	20%	15%
3a/3b	External Verifier (EV) sign-off	30%	20%

For new centres the risk rating is usually 02. Once the External Verifier (EV) is confident that the qualification or programme is operating successfully and the centre is carrying out their assessments to the right standard consistently, then your ILM Quality and Compliance Manager (QCM) can agree with your Centre's External Verifier's (EV) recommendations and change your risk rating to direct claims status (DCS 01 or 00). This can happen at any point and is dependent upon External Quality Assurance (EQA) judgement. For new Providers offering just the Development Programmes these will automatically be risk rated to direct claims status (DCS 01 or 00) as there is no assessment involved with these programmes.

4. STANDARDISATION AGENDA

Standardisation meetings must be planned and occur at regular intervals in line with your internal quality assurance (IQA) strategy. There must be evidence of these meetings through minutes and your External Verifier (EV) will ask to view these and actions required.

The internal quality assurance (IQA) personnel must ensure all assessors attend including associates and that an agenda is set which covers standardisation of judgements, external quality assurance (EQA) reports and assessor feedback plus other pertinent issues such as ILM qualification updates

The standardisation agenda is included as **Appendix 5**.

5. APPOINTMENT OF OUR TEAM, ON-GOING FEEDBACK AND DEVELOPMENT

The appointment of occupationally competent and qualified staff is vital. We will retain team member Curriculum Vitae's (CV's) plus Continuous Professional Development (CPD) records on file. These can either be electronic or paper based. The External Verifier (EV) may request to see these during their activities with the centre. Updating knowledge of qualifications and procedures must be on going so Curriculum Vitae (CV) and Continuous Professional Development (CPD) records must be updated to capture this.

We will maintain a staff list of staff delivering and assessing or internal quality assurance (IQA) against each qualification. We will update ILM of changes at our centre by completing the Centre Update Form (CUF) available via the online Forms tab within Walled garden.

All new team members must have induction to cover our centre policies on internal appeals, Health and Safety (H&S), special requirements. Team members must receive feedback on the consistency of assessment judgements and/ or delivery observations. The internal quality assurance (IQA) person must also use learner, employer feedback plus External Verifier (EV) reports as a basis for feedback.

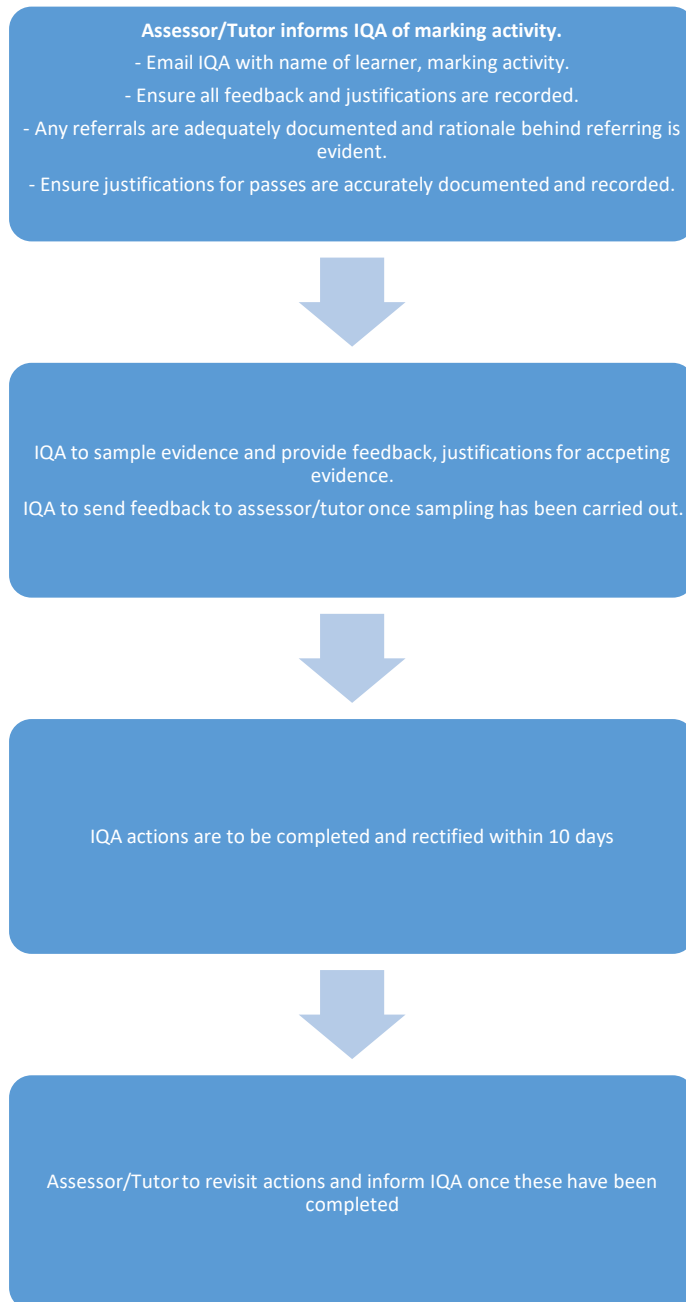
6. DOCUMENTATION AND RECORDS

We will have the following as a minimum to ensure clarity of the audit trail

- Registration list
- Induction and enrolment records
- Tutorial records Vocationally Related Qualification (VRQ) or Individual Learning Plan (ILP) records (Scottish/National Vocational Qualifications S/NVQ's)
- Sampling plan
- Assessment tracking record
- Assessment feedback sheets
- Internal quality assurance (IQA) feedback documentation

Standardisation meetings calendar, agenda and minutes from the meetings •
Assessment Appeal records

7. REPORTING PROCESS



Tutors and Assessors to inform IQA that sampling is required. Email to be sent to IQA and D&AM informing them that sampling is required. All information to be included in the email:

- Learner Name
- Unit Title
- Accuarate feedback to be included on the assessment
- IQA to reject assessments that do have sufficient feedback to learner from assessor/tutor



IQA is to carry out sampling activity based on the rationale.
IQA to provide developmental feedback to assessor and set any corrective actions.
IQA actions to be rectified within 10 days.
Fill out all relevant forms and documentation ensuring that all the evidence meets the requirements of Accipio and the awarding body.



IQA to send monthly report to the Delivery and Assurance Manager by the 25th of each month.



Delivery and Assurance Manager will complete a 20% dip sample every month on all IQA activity and developmental feedback will be provided to IQA.

APPENDIX 1: IQA STRATEGY

Accipio commits to providing an accurate representative spread of sampling. A minimum of 20% of assessments will be sampled. This percentage may increase for newly approved qualifications and new assessors for quality control purposes.

The sample includes:

- Monitoring at interim and summative stages or post certification
- All centre marked assessment components
- All assessment methods
- A representative spread across registered candidates
- Decisions from all Assessors, and all assessments sites

The registration lists are to be used to pre plan the internal quality assurance samples of each Accipio marked assessment component of the qualification, and will indicate which candidate's work will be selected for internal quality assurance checks.

This plan is to be sent to the External Verifier in order that they can establish their external quality assurance sampling plan.

The sampling plan is to be revised when changes take place with Assessors or candidates.

Sample size is determined by the Qualification Quality Rating – Tariff allocated to every programme delivered by ILM requirements taking into consideration circumstances.

The plan may also be subject to change based on a candidates progress and assessment activity. This may be earlier completion in the programme, and possibly mean that a larger sample is required if early samples evidence the need for further improvements in procedures.

A current IQA plan must be provided to the appointed External Verifier in order that they may establish their own sampling plan.

The registration lists will facilitate an effective path to fair sampling.

Assessments

Monitoring is to occur at interim and summative stages.

Interim sampling will highlight any problems at an early stage so that corrective actions may take place, and for the communication of good practice.

Monitoring assessments are to include Assessor observations, and also the provision of feedback to the Assessors, evaluating all aspects of performance as recorded in the IQA records.

Accipio will also ensure that candidates are aware of:

- The qualification they are working towards and the associated assessment process

- The progress that they are making toward achievement
- Their right to unit or module certification (where the qualification allows this)
- Their own role in meeting the assessment requirements
- The role of their Assessor/s
- The appeals procedure
- How to request additional support for learning needs that are unable to be met

Assessment Judgements – Standardisation

Whilst Accipio have an ongoing set agenda for team meeting in order to help achieve standardisation we recognise that these meetings may not satisfy all requirements

Support is to be provided for the development of all members of the assessment team, and they are to have:

- Copies of the ILM Qualification Specifications and its assessment requirements
- All information produced by the centre in connection with the assessment process, including guidance to candidates, records/report forms
- Information about appeals, equal opportunities, health & safety, quality and any other relevant policies applicable within the centre
- Information about ILM and the appointed External Verifier/s
- Information about the candidates, including special learning or assessment needs

All new Assessors are to undergo a thorough induction and mentoring process. This will involve feedback being provided to all Assessors following completion of internal quality assurance activities. Ongoing development and improvement of assessment practices are to be implemented.

IQA Activities

Accipio commits to the formal and proper recording of IQA activities – the qualities and information that these are to include as follows:

- Clear, comprehensive and relevant to the specific programme
- Maintained consistently with meaningful comments providing a clear audit trail
- Signed and dated
- Made available to the centre's Assessors as and when appropriate
- Made available to the External Verifier and other ILM representatives on request

Dedication to CPD

Accipio supports its Assessors and Internal Quality Assurance personnel to continually improve and develop their skills and includes the achievement of relevant assessment and quality assurance qualifications.

All qualification certificates (validated copies) are held at the offices Accipio with CV's and/or profiles which evidence appropriate levels of occupational competence and current/relevant experience.

We are committed to complying with the following requirements:

- Recruiting occupationally competent team members for the specific qualification
- The decisions of unqualified Assessors are countersigned by a qualified Assessor – and will not be the Internal Verifier
- All decisions made by unqualified Team Members will be countersigned by a qualified Internal Verifier

APPENDIX 2: SAMPLING STRATEGY

Sampling across all qualifications should be managed in line with the Quality Assurance Sampling Strategy. Our sampling strategy is based on the **CAMERA rationale** and the sample being **representative**. There is no overall fixed percentage ratio of sampling across qualifications; the sampling ratio will be based on individual risk. The risk assessment that will be carried out on each assessor will clarify the percentage of sampling relevant and plans will be adjusted accordingly. Risk will be managed overall by the IQA Personnel who will review the sampling strategy in line with internal and external changes to ensure the quality of assessment is maintained. CAMERA should be used as a basis for sampling. The risk rating should also be used as part of the performance management to help staff understand which level they are working at. CAMERA is an acronym for the sampling strategy

C	Candidates	Ethnic origin, gender employed full time /part time, special requirements
A	Assessors	Experience, qualifications, workload, occupational experience, location, CPD, evidence of countersigning unqualified TAQA assessors
M	Methods assessment of	Questioning, observation, the evidence is RPL, product evidence, Professional discussions assignments, projects , product evidence Written Reflective reviews, oral presentations
E	Evidence types	Written confirmation that the evidence is valid, authentic, current and sufficient, problem areas, special requirements
R	Records	Reports from assessors, correct assessment practice, internal quality assurance records, learner portfolios and files
A	Assessment locations	Workplace assessments, other assessment locations

- Prior to risk assessment taking place each unqualified assessor could be sampled on every unit assessed across all qualifications at some point

throughout the year. Once risk assessment has taken place the percentage of sampling will be reduced to the recommendation and will alter if risks change.

- The qualification sampling plan should be used to identify which assessors, which units, which learners and what methods will be sampled at each sampling session and will be adapted to deal with change. This should be developed at the start of the programme.
- The qualification sampling plan should be developed by initially consulting the Qualification Training Plan to identify when induction took place followed by unit training as the assessments will be planned after training. Sampling should ensure it is covering all stages of the learner's journey. The first sampling takes place at the formative stages of the programme to monitor assessment planning.
- Assessment may be holistic so interim sampling should be based on looking at the safety and consistency of decisions made rather than full unit completion.
- Sampling may take place across cohorts (roll- on off).
- Assessors decisions should be judged formatively, interim and at summative stages so that assessment planning can be checked early for risks that may lead to inconsistencies in assessment practice.
- The quality of assessment should be maintained through IQA observation, risk assessment, sampling, monitoring assessment practice and standardisation of judgments across all qualifications.
- All records of sampling should show a planned date and the actual date of sampling.
- ILM sampling plans should select one learner whose work is sampled through the programme for the majority of units to provide a benchmark.
- ILM sampling plans will depend on the centre quality rating and certificate status of the centre, with minimum sampling requirement ranging from 10% to 30%. Borderlines, fails and special requirements. May be larger sampling required if risk is viewed as high.

The sample size will be determined as a result the IQA monitoring reports results – grading of assessors, countersigning of assessments.

APPENDIX 3: EXAMPLE IV ATTENDANCE SCHEDULE

ILM Award in First Line Management COHORT ONE - N31203XXXXXX																				
Name	Tutor	Start Date	Induction	Attendance (date)					Assessments (marks)				Assessor		Ivd		Evd	Certificates Received (date)	Certificates issued (date)	Details audited (course manager or Quality)
				Day 1	Day 2	Day 3	Day 4	Tutorial one	M3.11	M3.30	M3.04	M3.01	Name	Date completed	Name	Date completed	Date			

APPENDIX 4: RATIONALE FORM

Qualification:			
IQA:		Start/End Date:	
Candidates: Explain here how you will take into account the diversity of candidates e.g. particular assessment needs, age, gender, ethnicity etc.			
Assessors: Explain here how you will differentiate between trainee, inexperienced and experienced assessors. Which assessors you plan to observe and when.			
Methods: Explain here how you will ensure you sample all assessment methods/units.			
Evidence: Explain here which units you have chosen to sample and why!			
Records: Explain here how you will monitor assessor records.			
Assessment Sites: Explain here how you will cover all sites i.e. visit dates and number of visits.			

APPENDIX 5: STANDARDISATION AGENDA FOR IQA TEAM

IQA meetings will be held for all IQA staff and agenda may include the following items:

- Standardisation of practice
- Updating interpretation of the standards (Qualification specifications/NOS)
- Discussing standardisation of judgments especially problem units
- Reviewing any marginal evidence or marks(borderline less than 55% or fails) that may give cause for concern and appeals
- Reviewing the consistency of sampling
- Identify Training needs
- Discussing opportunities for staff development and associated workshops
- Progression and sharing good practice
- Monitoring and Equal Opportunity and Diversity
- Sector updates
- Awarding organisation updates
- Qualification IQA updates
- EQA – External verifier reports and ILM updates
- Coaching and mentoring new IQA staff or those progressing to be IQA personnel
- Updating CPD Consider
- RPL provision