



# **Assessment & Internal Quality Assurance Procedure 2023-2025**

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## **Content:**

- **Purpose and Scope**
- **Roles and Responsibilities;** Assessor, Internal Quality Assurer, Curriculum Lead/Lead Internal Quality Assurer, Head of Section, Quality Team, Vice Principal.
- **Assessment;** Formative, summative, resubmission, retakes, control assessment/synoptic assessments, external assessment, access to fair assessment, reasonable adjustment and special consideration.
- **Recognition of Prior Learning**
- **Extenuating Circumstances**
- **External Qualification Approval**
- **Internal Quality Assurance;** Internal quality assurance records, sampling rationale and internal quality assurance strategy, IQA strategy, standardisation, *BTEC Qualifications*.
- **Moderation**
- **External Quality Assurance; EQA preparation, during an EQA visits/sample, sanctions levels.**
- **Professional Development**
- **Conflict of Interest**
- **Early Leavers (Work based learning)**
- **Record Retention**
- **General Data Protection Regulation**

## Purpose and Scope:

**Sandwell College, Cadbury Sixth Form College and Saint Michaels Sixth Form** are committed to delivering high quality education that consistently meet the needs of students and employers and the requirements of Awarding Organisation standards. The college will maintain integrity by adhering to Awarding Organisation centre agreement in line with centre approval, through internal policy and procedure on assessment and quality assurance.

The purpose of the Assessment and Internal Quality Assurance Procedure is to provide access to fair assessment and equality of opportunity for all students studying at the college.

This procedure applies to all academic, vocational and competence-based programmes and all students registered for qualifications under the colleges centre numbers for the duration of their time on programme as well as all academic staff involved in the delivery and/or assessment of these qualifications.

## Roles and Responsibilities

It is the responsibility of the **Assessor/Teacher/Lecturer/Tutor** to:

- Ensure all students are registered with the Awarding Organisation prior to undertaking any assessment and registered for externally set assessments or examinations within a timely manner.
- Ensure use of current specification and have a sound understanding of awarding organisation current requirements.
- Participate in regular standardisation activity as required by the College/Awarding Organisation.
- Take account of the needs of all students in designing assessment methods.
- Prepare students for the type of assessment (i.e. exams, written assignments, presentations, practical's).
- Plan the assessment schedule so that the workload of assessment is manageable throughout the programme.
- Ensure that all assignment briefs and assessments have the hand out and submission date clearly indicated.
- Ensure that assignment briefs have been submitted for internal quality assurance and approved prior to use.
- Ensure that students are fully briefed on assessment methods and procedures.
- Train students to avoid assessment malpractice (plagiarism/collusion).
- Ensure all submitted student work contains a signed and dated learner declaration to confirm authenticity and originality.
- Judge students' work against the standard or criteria specified by the awarding organisation.
- Show clear evidence of marking in all assessed tasks, providing formative and summative feedback which will support student progress and development.
- Provide constructive feedback (written and verbal) to students on assessments using awarding organisation criteria/grading; agree targets and areas for development on an individual basis (see additional guidance for BTEC assessments).

- Ensure all work is assessed and returned within 10 working days of the submission date or in line with awarding organisation guidelines where appropriate.
- Ensure feedback includes assessment and development of wider employability skills, English and maths giving specific guidance on how to improve.
- Adhere to the Awarding Organisation assessment specification in the judgement of evidence towards an award.
- Provide opportunity to accredit prior learning or experience where appropriate.
- Ensure access to assessment takes into account a learner's circumstance and where appropriate arrangements should be made with the awarding organisation to ensure equal access.
- Record in-year achievements and outcomes of assessment accurately using appropriate documentation set by the Awarding Organisation where applicable.
- Complete learner tracking documents on Markbook in Pro Monitor. (For Apprentices this should be on 'One File or paper based as appropriate).
- Store all assessment and internal quality assurance (IQA) documentation in accordance with Awarding Organisation requirement.
- Ensure that internal quality assurance is conducted prior to returning assessed learner work, where required by the awarding organisation. (Within 10 working days of submission.)
- Use valid and most current assessment paperwork from the relevant Awarding Organisation. Where this is unavailable (and only in this circumstance), use valid and most current.

It is the responsibility of the **Internal Quality Assurer** to:

- Provide feedback to the delivery team on the assessment schedule confirming that the workload of assessment is manageable throughout the programme.
- Ensure that assignment briefs and assessments are internally quality assured prior to use, with identified actions checked for completion, dated and signed off.
- Ensure all new assessors have a copy of the most up to date specification and standards.
- Induct new assessors to the curriculum area.
- Meet with assessors on a regular (at least termly) basis. Meetings will focus on planning assessment and IQA, monitoring progress and resolving issues of interpretation, validity, sufficiency and reliability of evidence. These meetings will be documented and will provide a forum for review and refinement of assessor practice.
- Own the student journey, checking registrations prior to conducting IQA and prompting withdrawals from the Awarding Organisation.
- Produce sampling plans and a timetable for IQA by no later than 1 month into a long course and prior to the start of a short or very short course.
- Make judgments on the marking of evidence in all tasks by the assessor.
- Adhere to the Awarding Organisation assessment specification in the judgement of evidence tracked by the assessor.
- Provide constructive feedback to the assessor and programme manager/course team leader on all quality assured elements.
- Support assessors, especially those that are new to the qualification.
- Keep records of all standardisation, assessment and IQA records.
- Receive External Quality Assurance (EQA) reports from the Quality Team and ensure that assessors are aware of any actions or recommendations arising from the EQA or quality reports.
- Complete a post EQA Action Plan, following an Awarding Organisation sanction and

- return a copy to the Quality Team.
- Keep up-to-date with Awarding Organisation guidance. (Guidance is available on each awarding organisation website).
- Use valid and most current IQA paperwork from the relevant Awarding Organisation.

It is the responsibility of the **Curriculum Lead/Lead Internal Quality Assurer** to:

- Coordinate the internal quality assurance (IQA) approach and procedures within the allocated curriculum area.
- Prepare a local rationale and sampling strategy based on the risk rating of the team and in line with Awarding Organisation procedure.
- Coordinate and monitor IQA sampling plans. (risk-based).
- Coordinate, implement, document and run timely standardisation and IQA meetings.
- Coordinate timely IQA of assignment briefs and assessments prior to issue.
- Coordinate IQA observations as required by the Awarding Organisation.
- Coordinate timely IQA of learner work throughout the academic year with interim and summative sampling.
- Monitor completion of assessment plans.
- Monitor sampling completed by IQAs within allocated curriculum area, to ensure constructive and accurate IQA feedback.
- Mentor new and/or other IQAs.
- Induct new IQAs.
- Provide IQAs with guidance on summative and formative feedback to learners and sample throughout the academic year.
- Ensure documentation and processes used for assessment and IQA conforms to college and Awarding Organisation requirements, with most recent versions used.
- Ensure electronic records of assessment outcomes and IQA documentation are maintained for at least 5 years following learner certification.
- Authorise and record learner re-submission and approval of extenuating circumstance.
- Take the role of the second assessor in the event of an appeal on assessment decisions where vocationally competent and lead the Stage 2 of the academic appeal process.
- Coordinate External Quality Assurers (EQAs) to maintain and/or monitor the success of visits and or remote sampling.
- Coordinate and support the supply of sampling information to Quality Portals or sending to the EQA.
- Disseminate updates to IQAs, including Quality Nominee updates, Awarding Organisation email alerts, networks, webinars, face to face training events.
- Cascade information to the team and implement documentation to meet Awarding Organisation standards and changes.
- Ensure Course Quality Files are consistently robust and up to date.

- Attend external training delivered by the Awarding Organisation, where necessary.
- Attend termly Curriculum Lead quality assurance networks or provide a suitable representative to feedback at team level.
- Support Annual Awarding Organisation Centre Quality visits, where required.
- Receive EQA reports from the Quality Team and ensure that assessors and IQAs are aware of any actions or recommendations arising from EQA or quality reports.
- Coordinate the completion and submission of a post EQA action plan to the Quality Team when instructed to do so, and monitor the completion of actions with team.
- Ensure EQA reports are sent to the Quality Team, where received direct from an awarding organisation.
- Liaise with the Quality Team and Quality Nominee when required.
- Report all cases of suspected assessment malpractice or maladministration to your line manager and Quality Nominee and maintain copies of related records.



**A BTEC Lead IQA will also be required to complete the following in addition to the above duties:**

- Coordinate and check BTEC Lead IV's have registered via Edexcel online prior to the deadline.
- Coordinate the completion and review of standardisations materials for NQF and RQF qualifications with all assessors on the relevant BTEC programme, by the deadline specified by the Awarding Organisation.
- Maintain attendance and records of standardisation activities.
- Support the BTEC Annual Review Visit and/or Annual Work Based Learning Visit from Pearson.

It is the responsibility of the **Head of Section/Head of Curriculum** to:

- Support assessors and IQAs through the staff development process where training needs are identified or where performance continues to require improvement.
- Audit and evaluate the IQA processes at team level to ensure that standards are continually met.
- Ensure all staff have an understanding of, and comply with, the Assessment and Internal Quality Assurance Procedure.
- Produce and monitor improvement plans, if required, in response to feedback from EQA visits and sanctions imposed.
- Liaise with the Quality Team on action taken following essential actions and any

sanctions imposed.

- Monitor assessment documentation to ensure learners are provided with robust formative and summative feedback to aid progress and development.
- Ensure that provision is made to share 'best practice' and areas of concern between teams. This will be achieved through IQA meetings, standardisation meetings and team meetings.
- Ensure the colleges internal quality assurance and standardisation processes operate within their departments.
- Acts as the centre coordinator (where required) and main point of contact for all programmes delivered within their department/subject area.

It is the responsibility of the **Quality & Standards Manager** to:

- Liaise with the Head of Section/Head of Curriculum and Curriculum Leads to ensure implementation of the policy into operational practice.
- Act as Quality Nominee for awarding organisations ensuring there is a main point of contact within the organisation.
- Inform awarding organisations of incidents of suspected Malpractice or Maladministration.
- Support Curriculum Leads/Lead IQAs where required.
- Disseminate information and updates from awarding organisations.
- Maintain a database of actions arising from EQA visits and samples and ensure compliance with any actions arising from these visits.
- Maintain an overview of EQA visits to ensure they are effectively planned and implemented.
- Drive continuous improvement for excellence in assessment and IQA.
- Support curriculum areas for development and to take action to improve the quality of assessment and/or IQA.
- Monitor the implementation of action plans resulting from EQA reports.
- Produce a yearly update for the college's leadership team of EQA visits, detailing outcomes and responses to sanctions/actions and cases of suspected assessment malpractice or maladministration.
- Lead awarding organisation centre quality review visits and internal investigations instigated by awarding organisations.
- To inform the relevant awarding organisation in the event of any changes that may affect the centres ability to meet quality assurance criteria which includes; change of premises, change of head of centre, Quality Nominee, awarding organisation coordinator, change in centre name or business, change in centre contact details, internal/external investigations, change in assessors or internal quality assurers or any change in the arrangements for secure storage of examination papers and candidate evidence

## Assessment

The assessment process must be planned and fair both in intent and outcome, conducted in a valid, timely, consistent and reliable manner to provide all students with an equal opportunity to demonstrate their learning and achievements. All planning and assessment activity must be completed in accordance with requirements of the Awarding Organisation.

For regulated qualifications, all students **MUST** be registered with the Awarding Organisation prior to assessment taking place.

**Formative assessment:** should be regular and timely to recognise positive achievement and provide support for areas requiring further development. The outcomes of formative assessment should be used to inform future learning and development and support successful achievement during summative assessment. Formative assessment should link to specific assessment criteria as well as wider employability, maths and English skills.

**Summative assessment:** should be timely and planned to ensure assessment dates are evenly spread in order to support and promote opportunities for high achievement. Summative assessment should be included within an assessment plan/assignment schedule and include hand out dates and completion deadlines which are issued to students on commencement of programme. Summative assessment against specific standards or criteria should be completed within 10 working days after student submission, providing clear and constructive feedback which confirms positive achievement and informs future learning and development where required. Summative assessment should link to specific assessment criteria as well as wider employability, maths and English skills.



### **Teaching and Learning**

During teaching and learning, the assessor will use their professional judgement about the nature, quantity and level of feedback to fully support each individual student and the progress they are capable of.

For example;

Areas for progression (challenge).

BTEC assessment rules; Pass Merit and Distinction criteria.

Set dry run or mock tasks and scenarios to support students to understand what level they have reached and prepare for final assessment.

Knowledge, skills, understanding, behaviour, approach, grammar.

### **During Assessment**

While students are working on an assessment, general feedback and support (Particularly around the development of knowledge, skills, understanding and grammar can be expected where appropriate.

For example;

Guidance on how to approach the knowledge and skills requirements.

Guidance on appropriate behaviour and approach, and confirmation of deadlines.

Confirmation of which criteria the assessor is targeting and clarification of what the assignment brief requires.

### **Following Assessment**

On the assessment records, students can expect feedback on the criteria achieved (explaining assessment decisions), the criteria not achieved (and why) although a list will not be provided on how to get a higher grade.

For example;

Which assessment criteria the student has achieved and what the student has done well.

Which assessment criteria the student has not achieved and what was missing.

Information or guidance available to the student that they could have drawn on (e.g. class notes; handouts; resources in assignment brief).

General behaviour and conduct, approach and grammar.

Areas for development that may support progress in the next assessment.

[See BTEC Centre Guide to Internal Assessment for full and further details.](#)

**Resubmission:** some qualifications may permit students to resubmit their work in order to fully achieve the assessment criteria or improve a grade. In all cases, specific Awarding Organisation assessment guidance should be reviewed and adhered to. Where students are permitted to re-submit/retake work, they should be informed of the assessment and resubmission rules during induction and provided with written guidance in line with Awarding Organisation requirement. Where an Awarding Organisation does not stipulate specific assessment and resubmission criteria, the college policy will be adopted. One resubmission opportunity can be offered if the student has met the initial deadline set or met an agreed extension, with a signed and dated declaration of authenticity submitted and authenticated by the assessor. All resubmission deadlines should be within 15 working days of the student receiving feedback and results of the original assessment. Resubmissions and agreed deadlines will be recorded on assessment plans.



**For BTEC qualifications** students may be eligible for one resubmission of evidence for each assignment submitted. The Lead Internal Quality Assurer within the subject area can authorise a resubmission if the following criteria has been met;

- The student has met the initial assignment deadline or met an agreed extension.
- The assessor judges that the student will be able to provide improved evidence without further guidance.
- The assessor has authenticated the original student assignment work submitted which is accompanied by a signed and dated student declaration of authenticity.

If a student has not met all 3 criteria, the Lead Internal Quality Assurer will not authorise a resubmission.

**Retakes:** some qualifications offer students an opportunity to re-take an assessment, which is an opportunity for students to undertake a different assessment activity to achieve the targeted assessment criteria up to a pass grade. In all cases, specific Awarding Organisation assessment guidance should be reviewed and adhered to.

**Controlled or Synoptic Assessment:** requires students to demonstrate that they can identify and use effectively, in an integrated way, an appropriate selection of skills, techniques, concepts, theories and knowledge, applying learning in realistic contexts using scenarios and activities to draw on and apply learning whilst in a controlled setting under supervision by the centre. Most qualification specifications will formally identify units to be a focus for controlled or synoptic assessment and this should be planned appropriately around any deadlines provided by the Awarding Organisation. Controlled or Synoptic units may be assessed internally or externally and in all cases the Awarding Organisation specification should be reviewed for specific details.

**External Assessment:** Please refer to the [JCQ ICE \(instruction for conducting exams\) document](#)

**Access to fair assessment, reasonable adjustment:** The College promotes equal opportunities in education, training and employment and is committed to supporting students to gain achievement and qualifications. There are a number of access arrangements and reasonable adjustments available to eligible learners, which ensure that they are not disadvantaged in any way. Access arrangements are pre-examination adjustments for learners based on evidence of need and normal ways of working. In all cases, the latest awarding organisation guidance on access arrangements and reasonable adjustments should be reviewed and applications made through the Exams team in a timely manner and in accordance with awarding organisation regulations. See Exams Policy for further details.

**Special Consideration:** The College will negotiate special arrangements with awarding organisations for students with specific needs and secure appropriate arrangements for access to, and support in, the assessment process as laid down in awarding organisations procedures. See Exams Policy for further details.

## Recognition of Prior Learning

RPL is the process by which individuals can gain credit towards qualifications based on evidence from their summative assessment and achievements. The process recognises the achievements of an individual by comparing knowledge, skills and competencies against the requirements of a standard. RPL should be used as a method of assessment (leading to the award of credit) that considers whether learners can demonstrate that they can meet the assessment requirements for a unit or parts of a unit through the knowledge, understanding or skills they already possess and so do not need to develop through a course of learning

The College is committed to ensuring that all learners have access to individual; learning programmes which consider prior learning, knowledge and skills. Learners will be supported and encouraged at interview and enrolment to reflect on their experiences and identify their learning achievements. In doing so, a student's RPL may:

- Enable them to access a particular course.
- Provide evidence of accreditation/formal credit towards nationally recognised qualifications.

- Exempt them from the normal entry requirements, or from part of a course.

In looking at RPL as a route to accreditation, the Assessor has to undertake a range of activities, which may not have the same emphasis as in more traditional practices.

Acceptable evidence of RPL includes:

- Students have successfully completed the assessment criteria for a whole or part of a unit within a qualification.
- Students have evidence of recent prior study within the last two years which meets assessment criteria of the current programme of study being undertaken in full.
- RPL must be included on the appropriate sampling plan as an assessment method and is subject to IQA.

Circumstances when prior learning will not be recognised includes, but is not limited to:

- Learning that is similar to assessment criteria but which has been met at a level lower than the current programme of study being undertaken by the student.
- Prior learning that is more than 2 years old.
- Prior learning that has been referred by an assessor.
- Prior learning that has not been assessed by an assessor.

All prior learning that is submitted as evidence by a student must be complemented by a professional discussion to ensure the student's knowledge of the application meets the requirements of the assessment criteria.

The assessor receiving the students' prior learning must be satisfied that the evidence provided meets the assessment criteria for which it has been submitted and where evidence from prior learning is weak, the receiving assessor must plan further work with the student as appropriate.

Any assessor applying RPL should check specific requirements with the relevant awarding organisation on all occasions.

## **Extenuating Circumstances**

Students should raise any potential problems with the completion of their module or course at the earliest possible date. When non-completion becomes a real possibility, due to extenuating circumstances course tutor should be notified. This must be at least 15 working days before the date set for the relevant examination/external assessment or internal submission deadline. Circumstances and unforeseen events outside of the 15 days will be considered on an individual basis.

Typical examples of mitigating circumstances might include, but are not limited to; bereavement of a close family member; terminal or critical illness of student or a close family member; family breakdown (such as divorce of a parent or students' relationship, but not

extended family); enforced eviction from housing; student is a victim of trauma (Eg a serious crime – rape, assault, mugging); serious mental or new physical health issues.

## External Qualification Approval

The responsible Head of Section/Head of Curriculum or Curriculum Lead must ensure all qualification approval documentation is completed in line with the individual Awarding Organisation guidelines and the correct process followed through to completion and student registration, ensuring the correct qualification is approved.

## Internal Quality Assurance

Internal quality assurance (IQA) is the process of monitoring assessment practice to ensure that assessment decisions meet national standards as well as assuring the integrity and value of qualifications.

The IQA must be satisfied that comparable standards are being applied across units, including for merit and distinction grades. The IQA will also record statistical information relating to the pass/merit/distinction grades for each marker. Assessors cannot internally verify their own work. Feedback is provided from the IQA to the assessor where they have verified the students work. This process does not involve the student.

**Internal quality assurance records:** will be correctly maintained in a secure place for 3 years after certification. The standard excel form will be used for this purpose.

IQA should be implemented and overseen by each curriculum team, using a local sampling rationale and IQA strategy for each qualification delivered. A Lead IQA MUST be in place at all times for each qualification whilst there are active students registered with an awarding organisation. Any students withdrawn from a programme internally must also have registration withdrawal from the awarding organisation.

**Sampling rationale and internal quality assurance strategy** is based on the CAMERA rationale, which ensures that the sample is representative. '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 of assessment	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 and 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.

There is no overall fixed percentage ratio of sampling across qualifications; the sampling ratio will be based on individual risk. The risk assessment carried out on each assessor will clarify the percentage of sampling relevant and plans will be adjusted accordingly. Risk will be managed by the Lead IQA who will review the sampling strategy in line with internal and external requirements, to ensure the quality of assessment is maintained. The risk rating should also be used as part of performance management to help staff understand which level they are working at.

**An IQA Strategy** should be planned and reviewed, continuously monitored for compliance, be communicated to the IQAs and made available to EQAs.

An IQA strategy must contain:

- Sampling rationale for all qualifications
- Sampling plans based on CAMERA
- Systems for monitoring assessment practice, e.g. IQA observation
- Standardisation activity
- CPD monitoring
- Any other relevant information related to IQA procedure, and how record keeping will take place



**Standardisation** is a compulsory requirement for all internally marked units or modules in order to ensure that all work has been marked to the same standard. Standardisation meetings must be planned and occur at regular intervals in line with your internal quality assurance (IQA) strategy and include timely interim and summative sampling of qualifications. The Lead IQA takes responsibility during standardisation for ensuring a single approach and standard is achieved. If there is a disagreement, the Lead IQA will have the final decision. For standardisation purposes, before final marking takes place, common pieces of work must be selected and marked by all assessors and any differences between



**For BTEC qualifications** there is an OSCA requirement to complete a pre-set standardisation activity issued by Pearson. awarding organisation guidance should be reviewed and standardisation deadlines and requirement checked annually for latest requirements.

**For BTEC** internal quality assurance processes please also see;  
[BTEC Centre Guide for Lead Internal Verifiers](#)  
[BTEC Centre Guide to Internal Verification.](#)

interpretation and marks awarded must be discussed and reconciled at an internal standardisation meeting in which all assessors on the qualification participate.

Standardisation meetings must be recorded appropriately, which includes a minimum of date, time, assessors present and activity completed. Copies will be maintained within the curriculum course quality file.

## **Moderation**

Moderation is the process by which internal assessors are standardised to a national standard in order to review centre marking of internally marked assessments. External Moderators will mark a representative sample of centre marked, candidates' work from every centre. Their marks act as a benchmark to inform the awarding organisation 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 external moderator, or carried out by the external moderator directly. Moderation applies to all internally marked assignments.

Following standardisation and marking, the centre submits all marks and candidates' work to the awarding organisation. In some instances, there may be a 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 college staff are assessing the practical skills to the required standards, and to provide the external moderators with additional evidence to be used during moderation. These visits will be planned in advance with the awarding organisation for all relevant qualifications. In all cases, awarding organisation guidance for moderation should be reviewed and adhered to.

## **External Quality Assurance**

The collection, tracking and monitoring of all external quality assurance plays a key part in ensuring the smooth running of all qualifications across the college and contributes to student's certification.

The Curriculum Lead/Lead IQA will be the initial point of contact for the Standards Verifier/External Quality Assurer and will liaise with appropriate assessors and IQA's, to ensure that the Standards Verifier (EE) is able to carry out the sample

### **In preparation for an EQA visit:**

- The IQA must prepare and maintain a record of all dates of planned EQA visits/samples, and send these to the colleges Quality and Standards Manager at [externalquality@sandwell.ac.uk](mailto:externalquality@sandwell.ac.uk) or [externalquality@cadbury.ac.uk](mailto:externalquality@cadbury.ac.uk) for recording centrally.
- The Lead IQA must prepare for the visits, including the agenda for the day, supported by other IQA's in the curriculum team.
- The Lead IQA must ensure they are available to be present during the EQA visit
- The Lead IQA must complete the EQA visit planner checklist.
- The Lead IQA must make arrangements for Assessors and other IQA's where required, to be available during the visit.
- Arrange for the Head of Section to meet with EQA.

### **During a visit or sample, the External Quality Assurance (EQAs) will:**

- Conduct and document qualification specific and advisory support activities.
- Complete and document systems activities in centres.
- Conduct and document exam audits where relevant.
- Sample and document internal assessment decisions.
- Sample and document internal quality assurance activities.
- Provide advice and support on all internal quality assurance requirements, issuing actions and recommendations where necessary.
- Support the training and development of new and existing centres.
- Provide advice and support to centres on quality assurance management systems.

Following on from visits, all EQA reports should be received by the Quality & Standards Manager in the first instance. The Head of Section and Curriculum Lead will then receive notification or a copy of the report from the Quality & Standards Manager. (Many awarding organisations have online portals from which reports can be downloaded by curriculum teams.) On occasion, Awarding Organisations send the reports directly to the Lead IQA and if this is the case the Lead IQA must forward a copy to the Quality & Standards Manager. (Please note all external quality assurance correspondence is received through a Quality team email inbox: [externalquality@sandwell.ac.uk](mailto:externalquality@sandwell.ac.uk) or [externalquality@cadbury.ac.uk](mailto:externalquality@cadbury.ac.uk))

When a report has been received from an EQA, and either essential actions or recommendations have been allocated or a sanction imposed on the qualification the Quality & Standards Manager will send the Lead IV/IQA an action plan to be completed and returned to the Quality & Standards Manager within 7-10 working days.

Sometimes the outcome of an EQA visit/sample involves actions which require immediate action. Awarding organisations use different terminology when referring to these outcomes, some use the term 'sanction', others use the term 'block' or 'DCS (direct claims status) removed'.

For consistency, the college will refer to these as 'Sanctions' with a level attached as follows



**Level 1:** minor actions with no direct effect on the qualification as long as actions are completed before the next scheduled visit.

**Level 2:** issues that affect the quality of the programme such that certification cannot proceed until the specified improvements are completed (usually within a timeframe dictated by the EQA). If the programme has DCS this is removed (for this programme only) and certification only proceeds after the EQA has verified all achievements.

**Level 3:** issues that result in all further enrolments and achievements being blocked until the sanction is lifted. It may also prevent external approval of any new qualifications in a similar programme area.

**Level 4:** the removal of centre approval for all qualifications offered by the awarding organisation concerned. The college would no longer be able to offer these programmes until the centre had been through a full approval visit.

**Level 5:** withdrawal of centre approval for all similar qualifications offered by the awarding organisation. This would involve intervention by Ofqual.



For BTEC external quality assurance processes please also see;  
[BTEC Centre Guide to Quality Assurance](#)

## Professional Development

Assessors and IQAs are responsible for ensuring that their own practice is maintained in order to meet changing requirements in their role. This means undertaking CPD and /or industry updating as required by the qualifications that they internally quality assure. There are a range of ways that an IQA can maintain their CPD. Such activity should be individually recorded within curriculum team/s and presented to an EQA on request.

Examples include:

- Reflective practice.
- Requesting feedback.
- Undertaking training courses.
- Individual research.
- Attending forums or conferences.
- Completing related qualifications.
- Shadowing another IQA.
- Standardisation activities.
- Industry updating.

## Conflict of Interest

A conflict of interest is defined as a conflict between the official responsibilities of a tutor, assessor, teacher and IQA and any other interests the individual may have and which could compromise, or appear to compromise, their assessment decisions.

This may include but is not limited to the following examples, which could lead to actual or perceived conflict of interest:

- Tutors, teachers or assessors working with a business outside of the college that is in direct competition.
- Tutors, teachers or assessors having a close or familial relationship with a learner on programme, or learners' family whilst being involved in decisions about the outcome of their qualification.
- Tutors, teachers or assessors using privileged information or college learner records for personal gain or advantage.

The existence of such interests, does not necessarily imply conflict, but is likely to give an appearance of conflict and as such should be declared. It is therefore the duty of all tutors, teachers and assessors to disclose any actual or potential conflict of interest to the Quality & Standards Manager, who will record and inform the relevant awarding organisation.

## Early Leavers (Work based learning)

All curriculum areas will ensure all learners who leave before their planned end date (early leavers) have the same access to unit accreditation for completed units as learners who complete their programme (achievers).

Early Leavers are defined as;

- A student who loses their job through redundancy.
- A student who suffers ill health and cannot complete the qualification through a physical disability or continuing health issues.
- A student who has been dismissed or contract of employment withdrawn.
- A student who changes their work, and this work falls outside of the range of work required to complete the registered qualification.
- A student who is in prison.
- A student who leaves their employment of their own free will and no longer wishes to complete their qualification.
- A student who cannot complete their programme due to course closure by the College.

### Curriculum teams will:

Ensure any student who has achieved the credit value for a given unit will receive recognition of this achievement through claiming of individual units. It is the responsibility of the assessor to ensure every student receives recognition of every unit they have

successfully completed as soon as possible after achievement of that unit. Each unit should be claimed as soon as reasonably practicable after completion by the learner to ensure they receive full credit for every unit completed.

## Record Retention

Assessed learner work will be retained for at least 12 weeks after learner certification and assessment and IQA records retained for at least 3 years. Where a qualification is selected for external quality assurance, the learner assessment evidence including learner work must be retained for the external quality assurance visit or sample.

In the case of extenuating circumstances, all records must be retained by the curriculum area for at least 3 years, including supporting evidence and decision outcomes.

Where an investigation of suspected malpractice or maladministration is carried out, related records and documentation must be retained for at least 3 years. Records should include any work of the student and assessment or internal quality assurance records relevant to the investigation. In the instance of an investigation involving a criminal prosecution or civil claim, records and documentation will be retained by the Quality Team for at least 6 years in line with Ofqual regulation after the case has been heard. In the case of an appeal to an awarding organisation against the outcome of a malpractice of maladministration investigation, assessment records will be retained for at least 6 years by the Quality team.

Tracking of every unit should be kept up to date by the assessor to ensure that recognition of every unit completed is claimed against the correct criteria with the awarding organisation.

The assessor is responsible for ensuring early leavers are fully aware of units completed and units still to be achieved to ensure full RPL for that learner if they choose to carry on their qualification with another provider.

The assessor is responsible for liaising with the exams team to ensure all unit credits are claimed against the relevant Awarding Organisation.

## General Data Protection Regulation

In accordance with the GDPR effective from 25th May 2018, any personal data shall be;

- Processed lawfully, fairly and in a transparent manner in relation to individuals.
- Collected for specified, explicit and legitimate purposes and not further processed in a manner that is incompatible with those purposes.
- Adequate, relevant and limited to what is necessary in relation to the purpose for which they are processed.

- Accurate and where necessary, kept up to date, every reasonable step taken to ensure that personal data that are inaccurate, having regard to the purpose for which they are processed, are erased or rectified without delay.
- Processed in a manner that ensures appropriate security of the personal data, including protection against unauthorised or unlawful processing and against accidental loss, destruction or damage, using appropriate technical or organisational measures.
- Uploaded to a secure Awarding Organisation online portal (where facility allows) for external quality assurance activity.
- Password protected where individual personal data is sent to an Awarding Organisation or External Quality Assurer via email.

Individuals have a right to be informed about the collection and use of their personal data. See full General Data Protection Regulation. <https://ico.org.uk/for-organisations/guide-to-the-general-data-protection-regulation-gdpr/principles/>