Crossfields Institute

Assessment and Quality Assurance Resource Pack

Contents

Note: The exemplar forms included in this resource pack may be amended to suit the individual needs of the CFI approved centre. Any amendments must maintain the integrity of the assessment and quality assurance processes. Your EQA is available for advice and guidance on any changes you may wish to make.

Fig. 1 Exemplar Assessment Plan

Unit /Module	Assessment task	Learning outcomes covered	Planned completion date

Add more rows as required

Fig. 2 Exemplar Standardisation Agenda

Attendees:

Apologies:

Venue and date of meeting:

Agenda:

- Quality of assessment feedback
- Good assessment practice for the qualification or programme
- Methods of assessment
- Hot spots for difficult learning outcomes/assessment criteria
- Training needs and CPD
- Updates to the qualification or programme
- Updates to centre systems and procedures
- Standardisation activity*

*The simplest means of completing a standardisation activity is to collate copies of evidence presented for unit accreditation and ask each Assessor to make a decision based on what is in front of them. It is also helpful to ask them to note any queries they may have e.g. further information needed or authentication of a piece of evidence. This enables the IQA to check that Assessors are asking the right questions when looking at portfolio evidence as well as arriving at the correct decisions i.e. that the process as well as the judgement is sound. The following examples should provide ideas for IQAs to carry out such an exercise.

Example A

Select a "problem" unit from a qualification, which many of the team assess and ask each to bring along two examples of completed units they have signed off. The units are then passed around the group and each Assessor completes an assessment feedback form as if they are assessing a unit and providing feedback to a candidate. Discussion follows.

Example B

Concentrate at one session on particular types/sources of evidence and how they are assessed, including the recording of the assessment. For example, each Assessor could bring a number of witness testimonies from their candidates', or examine observation records. The group then share constructive criticism about each example (which may be made anonymous for the purpose of the exercise).

Example C

If, on the introduction of new standards, there is a unit(s) in the new qualification which appears to be similar to a unit(s) from the old standards, take the evidence brought forward for the old unit by a number of candidates. As a team, then evaluate the evidence against the new standards. Aim to highlight the different requirements between old and new standards.

These exercises should be repeated at intervals to ensure that there is a consistent approach to assessment.

Fig. 3 IQA Rationale

The following section gives guidance/answers to questions often raised about verification strategies or rationales.

Q: What is an appropriate IQA sample size?

A: Deciding on the most appropriate size of sample can be difficult, especially if the Centre assessment team is new to qualification/programme delivery. The "acid test" is **whether or not the sample presents a sufficiently accurate picture of the quality of assessment to be confident that those decisions not sampled also meet the requirements.**

It is important that the IQA looks at assessment decisions of all assessors in any given period (possibly on a calendar basis, or by candidate cohort). Once the other sampling factors are taken into account, the sample size will almost decide itself. It is critical that the process follows this route rather than the other way round i.e. deciding on a set sample size and trying to "fit" a strategy round this. It is crucial that the sampling process is not determined by any rule of thumb such as 10% or a square root.

Q: Does it matter what type of assessment methods are sampled?

A: The IQA must sample the full range of assessment methods used for any one qualification/programme e.g. direct observation, professional discussion/Q & A, assessment of portfolio evidence, RPL, witness testimony or personal reports. The range and frequency of use of particular assessment methods will vary depending on the level of the qualification/programme and the knowledge/skills being assessed. It is likely, therefore, that portfolios will contain a mixture of evidence, assessment activity and assessment decisions. The IQA sample must take this into account when creating a rationale and deciding what to sample.

Q: Which Assessors should be included in the sample?

A: All the Assessors should be included in the sample, but a number of other factors must be considered. If Assessors are qualified and experienced it may not be necessary to look at more than one or two decisions per candidate, and only one or two candidates (depending on candidate numbers). If Assessors are inexperienced or new to a particular qualification/programme, the IQA may need to sample substantially more of their decisions for the first 6-12 months. The objective would be to ensure that the IQA reviews the new assessor's decisions on all areas of a qualification/programme. This is particularly important where there are "problem" areas e.g. where evidence specifications require very specific evidence, or the learning outcomes/evidence requirements may be misinterpreted.

Fig. 4 Exemplar IQA Sampling Plan

Assessor Name		Assessor Status		New Staff Qualified Not Qualified
Programme				
IQA Name				

Learners	Units sampled										
	1	2	3	4	5	6	7	8	9	10	11
	12.08.20					08.01.21					
		14.09.20					14.03.21				
			09.10.20								
				15.11.20							
	12.08.20				10.12.20						

Learners	Units sampled										
	1	2	3	4	5	6	7	8	9	10	11
		14.09.20				08.01.21					
			09.10.20				14.03.21				
				15.11.20							
					10.12.20						

Fig. 5a Exemplar IQA Sampling Report (1)

Assessor		IQA	
Programme		Learner	
IQA sample date		Date Learner registered	

Units/modules completed		IQA agrees decision
Units/Modules sampled		Yes/No

Interim IQA Yes/No	**Final IQA** Yes/No

Evidence**:**

Valid Yes/No **Reliable** Yes/No **Sufficient** Yes/No **Authentic** Yes/No **Current** Yes/No

Assessment decisions	Yes	No	Comments or Action Points
Assessment tasks relate to all assessment criteria			.
Evidence of formative assessment feedback to learner			
Evidence of summative assessment feedback to learner			
Assessment decisions consistent and reliable			
Evidence suitable standard for level			
Evidence meets criteria for assessment			

Assessment methods sampled – please tick:

Observation	RPL	Reflective account	Examination of products
Witness testimony	Written/oral questioning	Professional discussion	Project/simulation
General Feedback:			

Action Points:	Timescale	Assessor Comments
IQA Signature:		Date:
Assessor Signature:		Date:

Confirmation of completed action points:	
IQA Signature:	Date:
Assessor Signature:	Date:

Fig. 5b Exemplar IQA Sampling Report (2)

Qualification/Programme title			
Assessor:	IQA:	IQA date:	

Unit(s) sampled:			
Interim sampling IQA Yes/No		Final Sampling IQA Yes/No	
Learners		**Evidence is:**	
		Valid Relevant to the criteria being assessed	Yes/No
		Reliable An accurate reflection of a level of performance which has been consistently demonstrated	Yes/No
		Sufficient Is enough to meet in full all of the requirements of the criteria	Yes/No
		Authentic Directly attributable to the learner	Yes/No
		Current Is current at the time of assessment	Yes/No
Assessment decisions	**IQA Comment**		
Assessment tasks relate to all assessment criteria			
Evidence of formative assessment feedback to learner			
Evidence of summative assessment feedback to learner			
Assessment decisions consistent and reliable			
Evidence suitable standard for level			
Evidence meets criteria for assessment			

Assessment methods – please tick:

Observation	RPL	Reflective account	Examination of products
Witness testimony	Written/oral questioning	Professional discussion	Project/simulation

General Feedback regarding IQA sample of assessed evidence:				
Action Points for the Assessor	**Timescale**	**Assessor feedback**		
IQA signature:	**Date:**	**Assessor signature:**	**Date:**	

Confirmation of completed action points:			
IQA Signature:	**Date**	**Assessor Signature:**	**Date:**

Fig. 6 Exemplar New Assessors Induction

Suggested Induction Programme for new /trainee assessors within the Centre

Assessor:	Date commenced:	
Induction programme	**Signed by assessor**	**Date completed**
Introduction to the centre by the centre co-ordinator		
Qualification certificates produced and occupational competence noted		
Mentor assigned to new assessor		
Centre documentation and procedures explained		
Assessment and Internal Quality Assurance paperwork explained		
Assessment and IQA procedures explained		
Centre organisation chart shared		
Roles and responsibilities, processes for centre staff and learners received, discussed and understood		
Resources available for assessors and learners accessed		
Copy of relevant qualification specification received		
Occupational competence and CPD discussed and reviewed		

Signed:	Date:
New/trainee assessor	
Signed:	Date:
Centre Co-ordinator/IQA	

Fig. 7 Exemplar CPD

Date	Subject area	Content	Delivered by (organisation and/or person)	No of Hours	Reflection and benefit of CPD activity

Fig. 8 IQA competency self-assessment checklist against the national occupational standards

	As an IQA, think about your responses to the following questions…	Assess your competence			
		Always	Some-times	Never	How?
1	**Plan and prepare monitoring activities with the centre** *Can you explain what should be included in the IQA plan?* *Do you understand all the preparations needed for IQA?* *What information will you collect as evidence for sampling?* *How will you use technology to support you?* *How will you select a sample for a range of assessment evidence?* *What are the organisation's arrangements for student feedback?* **Determine whether assessment processes and systems meet and operate according to quality requirements** *What are the arrangements for information management, data protection and confidentiality in relation to the assessment process?* *Have you a good working knowledge of the QA regulations, and internal and CFI requirements of the qualification?* **Check that assessors meet the requirements for their role** *Are staff qualified and experienced to assess on the programme? Are new assessors given support to develop in their role? Do you understand the role and responsibilities of all the staff involved in the QA process?*				

2	**Checking assessment decisions, e.g. that assessments are planned, prepared for and carried out according to agreed procedures** *Are assessment plans in place? Does the assessor plan and use a variety of assessment approaches to meet learner needs? Are you confident to recommend alternative methods of assessment if needed?* **Check that assessment methods are safe, fair, valid and reliable, and that assessment decisions are made using specified criteria and are consistent** *Are you familiar with the awarding organisation standards for the qualification?* *Are you able to clearly explain when standards of assessment are not met and set up procedures with appropriate staff to manage the situation?*				
3	**Provide assessors with feedback, advice and support to help them maintain and improve their assessment practice** *How will you support assessors to improve the quality of assessment?*				
4	**Ensure the standardisation of assessment practice** *Are you able to describe the requirements of the standardisation process? Can you justify its value in the assessment process?* *How does the organisation monitor and develop quality improvement?*				

5	**Follow agreed procedures when there are significant concerns about the quality of assessment**				
	Are you confident of the procedure to manage a dispute/appeal/complaint relating to assessment in the organisation, and to meet external requirements?				
	Are there organisational policies and procedures in place to support Health & Safety (H&S) & welfare? Can assessors explain H&S in practice?				
	Are you familiar with relevant legislation and regulations relating to Equality & Diversity, bilingualism and H&S?				
	Do you understand forms of inequality and discrimination and their impact on individuals?				
	Are there any areas of good practice?				
	Follow agreed procedures for the recording, storing, reporting and confidentiality of information				
	How do assessors use technology with their learners?				
	How is information kept safe and secure?				
	How do assessors ensure learner's work is authentic?				

Fig. 9 Exemplar Programme pre-delivery checklist

Areas to prepare	Before programme delivery starts ensure that:	Responsibility	Date completed
Induction	Staff are inducted to the programme, understand their roles and responsibilities, have discussed the assessment and programme procedures and are familiar with documentation		
Qualification/Programme Delivery	Staff are issued with key documents: • Qualification or Programme Specification • Awarding Organisation QA guidance • Staff handbook • Student Handbook • Assessor Toolkit • IQA handbook		
	Staff are issued with qualification/programme information: • List of learners enrolled and individual support requirements • Delivery schedule/ timetable • Reading lists • Access to resources & equipment		
	Staff are issued with assessment information: • Schedule of assessment • Assessment plans • Assessor feedback forms		
Management	Staff are issued with the: • Meeting schedule – for the team, IQA, programme review		
	Staff plan opportunities for their professional development: • Training • CPD		

Fig. 10 Tariff of Sanctions

The regulatory authorities have developed a tariff of sanctions for dealing with approved centres whose management, assessment and quality assurance systems of regulated qualifications fail to meet the centre approval criteria. Based directly upon these requirements, which are seen to be tried and tested and widely accepted, the tariff

is designed to ensure:

- a transparent, fair and consistent response by all awarding bodies when specific shortcomings are found at their approved centres
- public confidence in the quality assurance and control arrangements underpinning Regulated qualifications

The regulatory authorities will monitor each awarding body's use of the tariff as part of their ongoing post-accreditation monitoring. An awarding body may withdraw centre approval for reasons not directly related to the quality of assessment, such as a failure to meet the awarding body's commercial terms of business. The tariff will be reviewed and updated as necessary in the light of operational experience.

The tariff of sanctions

The tariff links five levels of transgression against the centre approval criteria with a required sanction. These are set out in detail in Table 1 below, together with a rationale for the sanction, and represent the minimum response required of an awarding body to a particular shortcoming or problem.

Table 1: Levels of transgression

Tariff/level of transgression	Sanction	Rationale
1	Entry in action plan	Non-compliance with centre approval criteria but no threat to the integrity of assessment decisions
2	Removal of direct claims status, i.e. claims for certification must be authorised by the EQA	Close scrutiny of the integrity of assessment
3	a) suspension of registration b) suspension of certification	a) threat to candidates b) Loss of the integrity of assessment decisions – risk of invalid claims for certification
4	Withdrawal of centre approval of specific qualifications	Irretrievable breakdown in management and quality assurance of specific programmes
5	Withdrawal of centre approval for all qualifications	Irretrievable breakdown in management and quality assurance of all programmes run by the centre

Further information of levels of transgression and non-compliance issues can be requested from Crossfields Awarding.