

**EQA Review**

**Centre Guidance**

**EQA Review Centre Guidance**

We want your review to run as smoothly as possible, therefore we’ve created this guide to provide you with the information you need to know.

Generic policies and procedures under **Management Systems and Administrative Arrangements** and **Resources** must be checked as part of your EQA review. We recognise that much of this information does not change regularly; therefore, you only need to send this information to your EQA once per session, per QA group, unless you received an action on your last report.  If any changes have been made since your last review, please inform your EQA and send them the updated evidence.

The reason for this is we need to ensure that centres are keeping their processes under review to ensure they remain fit for purpose and are improved where necessary. Our EQAs may look at different policies and procedures, lesson plans, schemes of work etc depending on the qualifications under review. They will also look at staff CVs for different qualifications and CPD activities relating to the sector.

We recommend you complete this document for each QA group and just replicate the generic sections. Once prepared it can be updated/amended year on year.

If you need any additional support, please contact your allocated EQA to discuss the required evidence.

This document provides a list of evidence you could make available to your EQA for each criterion on the report. The final column should be updated to state; **the evidence in place to meet the criterion and where it can be located** for example:

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| **Criteria** | **Possible Sources of Evidence** | **Please state the evidence you have in place to meet this criterion and where the EQA can locate this.** |
| *3.1 The Centre’s aims, policies, and procedures in relation to the qualification/award are supported by senior management and understood by the assessment team* | * *Curriculum Development Plans* * *Documented Quality Procedures* * *Organisational Chart* | **EQA review at the centre –** *Our curriculum development plans, and organisational chart will be available to view in our course file during your visit to our centre.*  **Remote EQA review -** *Our curriculum development plans and organisational chart have been uploaded to the Management System and Administration Arrangements zip folder and shared though Serv-U.* |
| *3.7 The centre meets the proposed GLH within the specification (where appropriate)* | * *Lesson plans* * *Schemes of work* | **EQA review at the centre –** *Our lesson plans and schemes of work will be available to view in our course file during your visit to our centre.*  **Remote EQA review -** *Our lesson plans and schemes of work have been uploaded to the Management System and Administration Arrangements zip folder and shared though Serv-U.* |

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| **Management Systems and Administrative Arrangements** | | |
| **Criteria** | **Possible Sources of Evidence** | **Please state the evidence you have in place to meet this criterion and where the EQA can locate this.** |
| 3.1 The Centre’s aims, policies and procedures in relation to the qualification/award are supported by senior management and understood by the assessment team | * Curriculum Development Plans * Documented Quality Procedures * Organisational Chart |  |
| 3.2 There are procedures in place to ensure effective communication systems between all levels of staff and in all directions (including placements and staff who work remotely) | * Staff handbooks and updates * Agendas and minutes of team meetings * Records of emails |  |
| 3.3. Staff responsibilities, authorities and accountabilities of the assessment and internal quality assurance team across all assessment sites are clearly defined, allocated and understood | * Organisational chart * Clear lines of accountability in relation to the assessment and internal quality assurance * Records of all assessment sites and personnel * Staff development policy |  |
| 3.4 Time is allocated for regular team meetings and standardisation for all staff involved in the teaching, assessment and internal quality assurance of the product | * Records/minutes of meetings, briefings and/or updates * Schedule of activity for staff involved in the delivery of the qualification/award |  |
| 3.5 A staff induction and development process is in place for the assessment and internal quality assurance team | * Induction schedule or checklist indicating policies and procedures provided to staff * Records of meetings, briefings and/or updates * Records of individual development plans * Action plans to acquire the Assessor and IQA awards, where appropriate * Staff SLAs |  |
| 3.6 There are documented policies including but not limited to appeals, complaints, health and safety, safeguarding, malpractice and plagiarism, conflicts of interest and equality, diversity and inclusion. | * Documented policies including appeals, complaints, health and safety, safeguarding, malpractice and plagiarism, equality, diversity and inclusion, conflicts of interest * Documented policy review mechanisms. |  |
| 3.7 The centre meets the proposed GLH within the specification (where appropriate) | * Lesson plans * Schemes of work |  |
| 3.8 There are appropriate staff, resources, and systems necessary to support the accumulation and transfer of credits, the recording of exemptions and recognition of prior learning | * RPL Policy * Process for checking and recording of exemptions and credit transfers |  |
| 3.9 Learner personal data is collected and held in accordance with the Data Protection Legislation | * Current data protection policy * Signed declarations from learners * Security and access arrangements |  |
| 3.10 Marketing and advertising of the qualification/award(s) is clear, accurate and not misleading and, where applicable, complies with our guidelines | * All advertising, promotional activity and materials reflects the qualification being offered and, where relevant, adheres to the ‘Stipulations for advertising and promoting un-regulated awards’ in line with Ofqual Conditions of Recognition B5.1 and B5.2 * Use of our logos meet our branding guidelines |  |
| 3.11 The Centre has in place a robust registration and certification process and will register learners in a timely fashion to allow for external quality assurance to take place | * Copies of enrolment forms * Learner registration details * Progress on the qualification/award and estimate timescale for completion |  |
| 3.12 Learner claims for certification are correct and claims are valid | * This will be checked by the EQA once the claims are submitted. * Your EQA may also discuss any grades submitted or certification claims made with you. | NA |
| 3.13 Where product(s) have been written and developed by the centre, there is a robust process in place to ensure the content is fit for purpose | * Clearly stated aims, objectives, learning outcomes and associated assessment criteria for each course * Learning outcomes and assessment criteria are appropriate to the level assigned * Checks are carried out to ensure there’s not a more suitable qualification on the Ofqual register |  |
| 3.14 Learner records and details of achievements are accurate, kept up to date and securely stored in line with our requirements and will be made available for external quality assurance visits and auditing | * Learner registration details * Learner assessment records * Evidence files or portfolios * Security and access arrangements * Assessment outcomes |  |
| 3.15 There is a process in place for withdrawing products and learners from us | * Procedure for withdrawing learners |  |
| 3.16 The centre’s achievements will be evaluated and reviewed and used to inform future product developmental activity | * Internal audit/self-assessment arrangements * Record of findings against the approval criteria * Evidence of corrective actions taken |  |
| 3.17 Feedback will be used to evaluate the quality and effectiveness of product provision against the centre’s stated aims and policies, leading to continuous improvement | * Evaluation forms/surveys * Users charter/customer service statements |  |
| 3.18 Requests are complied with from us or the regulator for access to premises, records, information, learners and staff for the purpose of external quality assurance or other monitoring activities | The EQA will check this during their review and confirm that the correct sample has been sent  You may need to give your EQA access to your e- portfolio systems, therefore you could add here that you have arranged this. | NA |

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| **Resources** | | |
| **Criteria** | **Possible Sources of Evidence** | **Please state the evidence you have in place to meet this criterion and where the EQA can locate this.** |
| 4.1 The product is adequately staffed | * Staff CVs and CPD records together with copies of relevant certificates * A record of Assessor/learner ratios and time allocation * Confirmation from Assessors and IQAs * List of qualified Assessors and IQAs |  |
| 4.2 Assessors are occupationally competent and knowledgeable | * Staff CVs and CPD records together with copies of relevant certificates * A record of Assessor/learner ratios and time allocation * Confirmation from Assessors and IQAs * List of qualified Assessors and IQAs |  |
| 4.3 Internal Quality Assurers are occupationally competent and knowledgeable | * Staff CVs and CPD records together with copies of relevant certificates * A record of Assessor/learner ratios and time allocation * Confirmation from Assessors and IQAs * List of qualified Assessors and IQAs |  |
| 4.4 There is appropriate Continued Professional Development (CPD) provision for staff involved in the delivery of the product | * Copy of your staff development plans * Records of training undertaken such as CPD records. * Records of meetings, briefings and/or updates |  |
| 4.5 Equipment and accommodation used for the purposes of assessment comply with the requirements of relevant business legislation and qualification/award requirements | * Public employee liability certificates * Records of equipment and accommodation * Evidence of any additional resources obtained * Maintenance schedules |  |

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| **Assessment** | | |
| **Criteria** | **Possible Sources of Evidence** | **Please state the evidence you have in place to meet this criterion and where the EQA can locate this.** |
| 5.2 Assessors have full, up-to-date documentation | * Assessment plans and learner assessment records * Confirmation from Assessors and IQAs |  |
| 5.3 There is a planned programme of delivery and assessment methods available for the qualification/award which meets our guidelines | * Schedule for qualification/award delivery, teaching plans * Assessment plans and learner assessment records * Provision for learners with particular assessment requirements * Records of assessment team meetings * Internal quality assurance plans and schedules of activity |  |
| 5.4 Information, advice and guidance about qualification/award procedures and practices will be provided to learners and potential learners | * Learner guidance and induction materials showing the types of information, advice and guidance provided to learners to include information around policies and procedures and where these can be accessed. * Details of support services available * Appeals procedures * Oral confirmation by learners, if available |  |
| 5.5. Learners’ development needs will be matched against the requirements of the qualification/award and an agreed individual assessment plan established | * Learner initial assessment procedures * Learner assessment plans * Learner/trainee contracts |  |
| 5.6 Learners have regular opportunities to review their progress and goals and to revise their assessment plan accordingly to meet their chosen product | * Learner assessment plan, frequency of review meeting, examples of revisions to assessment plans * Learner record * System to track learners’ progress |  |
| 5.7 Any achievement for Recognised Prior Learning (RPL) has been recognised, recorded and checked for appropriateness (where applicable) | * Records from RPL |  |
| 5.8 Assessment methods will be valid and reliable and will allow access to assessment for learners | * Assessment plans and learner assessment records * Provision for learners with particular assessment requirements * Access and fair assessment policy |  |
| 5.9 Assessment including any grading decisions have been applied in accordance with national standards as outlined in the specification | * Assessment plans and learner assessment records * Evidence files or portfolios |  |
| 5.10 Learners will receive regular verbal and written feedback after assessment | * Assessment plans and learner assessment records * Evidence files or portfolios |  |
| 5.11 Each unit of assessed evidence is named, signed and dated by the Assessor and learner | * Assessment plans and learner assessment records * Evidence files or portfolios |  |
| 5.12 Assessment records are in place which will show accurate assessment tracking, progress and achievement | * Learner assessment records * System to track learners’ progress and assessment outcomes |  |
| 5.13 Adequate procedures exist to ensure secure and safe storage of current and completed learner assessment records and examination materials | * Details of the security and access arrangements for the storage of current and completed learners assessment records and examination materials |  |
| 5.14 There are suitable arrangements to administer exams to ensure compliance with our external assessment regulations | * Our up to date Regulations for the Conduct of External Assessment * Arrangements for storage and return of external assessment materials * Understanding of the process for external assessments * Current JCQ report |  |

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| **Internal Quality Assurance** | | |
| **Criteria** | **Possible Sources of Evidence** | **Please state the evidence you have in place to meet this criterion and where the EQA can locate this.** |
| 6.2 An appropriate IQA strategy and sampling plan is in place which will be reviewed regularly and corrective measures implemented | * IQA plans and reports * A sampling strategy and schedule of activity * Records/minutes of assessment team meetings * Internal reviews of sampling strategies * External Quality Assurer reports * Evidence of corrective actions taken |  |
| 6.3 Suitable arrangements are in place to ensure adequate liaison, consistency and standardisation will take place across all sites including satellite Centres | * Documented quality assurance procedures * Schedule for standardisation between satellite Centres * Records of all satellite sites and personnel |  |
| 6.4 Allocation of Assessor responsibilities are clear and will meet the needs of learners and Assessors | * Organisational chart * Records of all assessment sites and personnel * CVs of the assessment team * Signed agreements indicating the lines of accountability for partner organisations in relation to the management of assessment |  |
| 6.5 Assessors will be provided with accurate advice and support to enable them to identify and meet their training and development needs | * Individual development plans for the assessment team * Records of meetings, briefings or updates * Action plans to acquire the Assessor and IQA awards, where appropriate |  |
| 6.6 Assessors have been assisted with arrangements for learners with special assessment requirements (where applicable) | * Communications with Assessors and IQAs |  |
| 6.7 Assessors have been assisted in resolving disputes and appeals (where applicable) | * Communications with Assessors and IQAs |  |
| 6.8 Assessors are provided with clear and constructive feedback on the use of different types of assessment methods, judgement of evidence and assessment decisions | * Internal quality assurance plans and sampling records * Individual development plans for the assessment team * Records of meetings, briefings or updates * Action plans to acquire the Assessor and IQA awards, where appropriate |  |
| 6.9 Assessment is internally quality assured, and each unit of internally quality assured evidence is named, signed and dated by the Internal Quality Assurer | * Internal quality assurance plans and sampling records |  |
| 6.10 Sample dates are consistent with dates in the IQA sampling plans | * Internal quality assurance plans and sampling records |  |
| 6.11 Up to date records of internal quality assurance and feedback to Assessors have been maintained | * Internal quality assurance plans and sampling records * Minutes of assessment team meetings |  |
| 6.12 Adequate time has been allocated to carry out internal quality assurance duties | * Schedules/plans for internal quality assurance activities * Records/minutes of IQA meetings |  |

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| **Checklist to send to EQA for remote review or to have available at your centre for review** | |
| Centre policies, including safeguarding, appeals, equality, diversity and inclusion, reasonable adjustments & malpractice |  |
| All learners on programme are registered |  |
| Scheme(s) of work, staff CVs/CPD records, minutes from meetings and recorded standardisation activities |  |
| Assessment & IQA recording and tracking systems/copies of equivalent documentation, including your sampling strategy |  |
| Completed Assessment Tracking Document has been sent to EQA **2 weeks prior to the EQA review** (Functional Skills only) |  |
| Audio or video recordings of assessments are available, where applicable |  |
| Completed Learner Observation and Achievement Records (Functional Skills only) |  |
| IQA documentation requested available for EQA review |  |
| Samples chosen are available for EQA review for all qualifications |  |
| Samples are across all sub sites, where applicable |  |
| Samples are across a range of mid and completed portfolios |  |
| Samples are across a range of assessment methods used |  |
| Samples include Professional Development Profiles for qualifications requiring this form of evidence |  |
| Contact details for some of the learners have been sent to the EQA (ensure learners are aware the EQA may be contacting them) |  |

**Additional information and support**

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| EQA Reviews | Centres have up to 2 free reviews per session for each Quality Assurance (QA) group. If you are delivering Customised Qualifications, you will receive one free review per session.  NCFE academic session runs from 1 August to 31 July. |
| EQA Report | Following the review, you will receive an EQA report to outline how you have met the criteria required. Where applicable the EQA may make recommendations to help you to improve your practice. Where any criteria have not been achieved in full, an action plan will be set, with clear timescales to address these actions. |
| User Guide to the External Quality Assurance Visit Report | Our EQAs use this guide to complete the report. You may find it useful to view this to understand what EQAs are looking for during their review. |
| Preparing for a remote review guide | This guide explains how to upload documents required for your review. |
| Sampling plan | Prior to your EQA review, your EQA will send you their sampling plan. When choosing their sample, EQAs will select their sample size based on a percentage of learners registered to the qualification/s and sample across all:   * Assessors * Internal Quality Assurers * components of the qualification/s * learner attainments |
| NCFE Portal | You can view previous reports and planned review dates via the NCFE [portal](https://portal.ncfe.org.uk/Login.aspx). You should refer to any previous reports, prior to your review to ensure any actions have been addressed. |
| EQA Support | Your EQA is there to support you, help you to prepare for the review and supply the information you need. As most reviews will take place remotely, your EQA will discuss their agenda for the review with you, so you can plan your day. At the start of the review, they will aim to talk to you to collect information and ensure they have everything they need. Time will also be planned at the end of the review to provide feedback. They may also arrange times throughout the review to catch up with you. |
| Certification claims | If you do not have DCS, please do not make any claims for certification until after the EQA review as these will need to be rejected. Once you have received your EQA report, you can claim for any relevant learner certificates through the [portal](https://portal.ncfe.org.uk/Login.aspx). Once received your EQA will review the claims and accept or reject these. If accepted certificates will be sent to your centre to distribute to your learners. If rejected, you will be sent an automatic message to explain why these claims have been rejected. |
| Continuous Professional Development | Our qualifications are a great way to update your team’s CPD. If any of your team members have completed qualifications, covered during this review, since the last EQA review, please complete the [conflicts of interest declaration for centres form](https://www.qualhub.co.uk/delivery-and-learner-support/forms/conflict-of-interest-declaration-for-centres/), so I can include these in my sampling plan. |
| Special considerations and reasonable adjustments | If you have applied any special considerations or reasonable adjustments, to internal assessments, since the last EQA review, please provide these for sampling. You must refer to our [special considerations](https://www.qualhub.co.uk/media/16016/special-considerations-policy.pdf) and [reasonable adjustments policy](https://www.qualhub.co.uk/media/1109/access-arrangements-reasonable-adjustments-policy-08112019.pdf) prior to applying any changes to assessments. |
| Teacher Assessed Grades (TAG) | Where applicable, you must include a sample of TAG evidence from learners who have undergone this process. |
| COVID update | Following the recently published [Vocational and Technical Contingency Regulatory Framework (VCRF)](https://ncfemail.org.uk/ncfelz/lz.aspx?p1=MNzDUxMzk2OTFTMjU1OjQzOTJENDFBMzc1OURBNkU3RjY5QzU5Q0Q5OTVDNzdB-&CC=&w=9166), we’ve updated our [Approach to Awarding for 2020-21](https://ncfemail.org.uk/ncfelz/lz.aspx?p1=MNzDUxMzk2OTFTMjU1OjQzOTJENDFBMzc1OURBNkU3RjY5QzU5Q0Q5OTVDNzdB-&CC=&w=9167) and [Quality Assurance Policy for Awarding for 2020-21.](https://ncfemail.org.uk/ncfelz/lz.aspx?p1=MNzDUxMzk2OTFTMjU1OjQzOTJENDFBMzc1OURBNkU3RjY5QzU5Q0Q5OTVDNzdB-&CC=&w=9203) These documents provide all of the information you need, regarding adaptions and Teacher Assessed Grades (TAG).  Please refer to our dedicated COVID page on our website, where we’ll continue to provide key updates and reminders.  For adaptions, you can also find qualification-specific advice on the qualification page for each qualification in QualHub, under the tab ‘adaptation addenda.’  To prepare for your first EQA review, I will provide a sampling plan, that I will ask you to review to ensure that it includes a range of learners which have achieved through, business as usual, had assessments adapted and which learners have been awarded through a Teacher Assessed Grade (TAG). |
| Cancelling your review | If you need to cancel this review you must do this within **10 working days of the review**to avoid a cancellation charge**.**For further information, please visit our website [here](https://www.qualhub.co.uk/delivery-and-learner-support/support-visits-training-and-events/external-quality-assurance/cancelling-a-planned-visit/).  It’s important that you are fully prepared for your EQA review, and all information is sent to me **one week in advance** of the review. Any delays or missing evidence may result in:   * a delay to your EQA report * your EQA review being rescheduled * actions on your EQA report * a delay to learner certificates * a cancellation fee. |
| Frequently Asked Questions | View our [FAQs](https://www.qualhub.co.uk/delivery-and-learner-support/faqs/) section on our website where you should be able to find answers to most of your questions |
| Assessor and IQA Training Events | View our list of [training events](https://www.qualhub.co.uk/delivery-and-learner-support/support-visits-training-and-events/events/) that you can attend or listen to via our YouTube channel |
| Support reviews | Some centres like a support review prior to their EQA review, especially if they are running the qualification for the first time. Support reviews can be booked [here](https://www.qualhub.co.uk/delivery-and-learner-support/support-visits-training-and-events/events/) |
| Print Shop | Our online [Print Shop](https://www.qualhub.co.uk/policies-documents/support-guides/) allows you to order professionally printed materials and resources across both NCFE and CACHE brands which will be delivered directly to you. We have a range of products available and are continuously adding more products to the catalogue |
| Webinars | View any webinars relating to your qualification via QualHub |
| Monthly newsletters | Sign up to receive our monthly newsletter where we share important updates. You can do this by contacting our Customer Support team on [customersupport@ncfe.org.uk](mailto:customersupport@ncfe.org.uk?subject=EQA), phone them on 0191 239 8000 or use our [webform or live chat](https://www.ncfe.org.uk/contact-us) facility |
| LinkedIn | Follow us on [LinkedIn](https://www.linkedin.com/company/ncfe/) for updates across the business |
| QualHub | Visit [QualHub](https://www.qualhub.co.uk/" \t "_blank) and read all associated supporting documents e.g. the qualification specification, any external assessment timetables, guidelines for conducting controlled assessments etc, as this will provide you with all of the information you need for each qualification. |
| Additional reviews, where applicable. | An [additional EQA review](https://www.qualhub.co.uk/delivery-and-learner-support/support-visits-training-and-events/external-quality-assurance/additional-external-quality-assurance-request/) can be requested once you’ve used your 2 free EQA reviews for the session.  There may be many reasons you need an additional EQA review eg you have learners outstanding who require certification or the EQA has identified actions that need to be completed prior to certification taking place |
| Customer Support team | If you have a generic question please contact our Customer Support team on [customersupport@ncfe.org.uk](mailto:customersupport@ncfe.org.uk?subject=EQA) |
| Functional Skills | For more information please visit our [Dedicated Functional Skills page](https://www.ncfe.org.uk/coronavirus-information-and-advice-for-customers-and-learners/functional-skills) |
| T-Levels | For more information please visit our [Dedicated T-Levels page](https://www.ncfe.org.uk/t-levels) |

**Version control:**

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| **Date approved** | 27.8.21 |
| **Approved by** | Kay Barrass |
| **Review date** |  |

Only approved versions of this document should be documented in the below table:

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| --- | --- | --- | --- |
| **Version** | **Date** | **Revision author(s)** | **Summary of changes** |
| V2 | 1.8.21 | Kelly Graham | The following links have been updated:  User Guide to the External Quality Assurance Visit Report  Preparing for a remote review  Special consideration policy |
| V3 | 7.2.22 | Kelly Graham | Update to 5.4 to include how learners are informed about policies and procedures |
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