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Visit Guidance Document

External Quality Assurance

External Quality Assurance Visit Guidance Document

This form is intended for use as guidance to enable you to prepare for your External Quality Assurance Visit, which will be undertaken by your External Quality Assurer.

Your visit will focus on 4 key areas:

Management Systems and Administrative Arrangements
Resources
Assessment
Internal Quality Assurance

It is not mandatory for you to complete this prior to your External Quality Assurance Visit, but you may find it a useful tool to support preparation.

Useful Documents/Links

[User Guide to the External Quality Assurance Visit Report](#)
[Course File Documents](#)
[Direct Claim Status (DCS) Guidance](#)
[GDPR Information](#)

Management Systems and Administrative Arrangements

Criteria	Possible Sources of Evidence*	Centre Comments/Notes
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	
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	
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	
Time will be allocated for regular team meetings and standardisation for all staff involved in the teaching, assessment and internal quality assurance of the qualification/award	• Records/minutes of meetings, briefings and/or updates • Schedule of activity for staff involved in the delivery of the qualification/award	
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 qualifications, where appropriate • Staff SLAs	

There are documented policies including but not limited to appeals, complaints, health and safety, safeguarding, malpractice and plagiarism, conflicts of interest and diversity and equality	- Documented policies including appeals, complaints, health and safety, safe guarding, malpractice and plagiarism, diversity and equality, conflicts of interest - Documented policy review mechanisms.	
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	
Learner personal data is collected and held in accordance with current legislative requirements.	- Current data protection policy - Signed declarations from learners - Security and access arrangements	
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 customised qualifications' in line with	
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	
There is a process in place to notify us of any changes in relation to the delivery of the qualification/award which may affect the Centre's ability to meet	- Documented processes - Record of communication with us	

Where qualification/award(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	
Learner records and details of achievements will be accurate, kept up to date and securely stored in line with our requirements for a minimum of 3 years 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	
There is a process in place for withdrawing qualifications and learners from us	• Procedure for withdrawing learners	
The Centre's achievements will be evaluated and reviewed and used to inform future qualification/award developmental activity	• Internal audit/self-assessment arrangements • Record of findings against the approval criteria • Evidence of corrective actions taken	

Feedback will be used to evaluate the quality and effectiveness of qualification/award provision against the Centre's stated aims and policies, leading to continuous improvement	• Evaluation forms/surveys • Users charter/customer service statements	
Actions identified by external quality assurance visits will be disseminated to appropriate staff and corrective measures implemented	• External Quality Assurer visit report(s) circulated to the assessment team and senior management • Action plans • Minutes of team meetings	

Resources

Criteria	Possible Sources of Evidence*	Centre Comments/Notes
There are sufficient competent and knowledgeable Assessors and Internal Quality Assurers to meet the demand for assessment and internal quality assurance activities	- Staff CVs and CPD records together with copies of relevant certificates - A record of Assessor/learner ratios and time allocation - Oral confirmation from Assessors and IQAs - List of qualified Assessors and IQAs	
Assessors and Internal Quality Assurers will have sufficient time, resources and authority to perform their roles and responsibilities effectively	- Scheme of work/lesson plans - Sampling matrix and tracking sheets - Learner feedback	
There will be appropriate continued professional development (CPD) provision for staff involved in the delivery of the qualification/award	- Copy of your staff development plans - Records of training undertaken such as CPD records. - Records of meetings, briefings and/or updates	
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	

Assessment

Criteria	Possible Sources of Evidence*	Centre Comments/Notes
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	
Information, advice and guidance about qualification/award procedures and practices will be provided to learners and potential learners	- Learner guidance and induction materials - Details of support services available - Appeals procedures - Oral confirmation by learners, if available	
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	
Learners will have regular opportunities to review their progress and goals and to revise their assessment plan accordingly to meet their target qualification/award.	- Learner assessment plan, frequency of review meeting, examples of revisions to assessment plans - Learner record - System to track learners' progress	

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	
Learners will receive regular verbal and written feedback after assessment	- Assessment plans and learner assessment records - Evidence files or portfolios	
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	
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	
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	

*Please note that possible sources of evidence are given as examples and are not intended to be exhaustive.

Internal Quality Assurance

Criteria	Possible Sources of Evidence*	Centre Comments/Notes
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	
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	
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	

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 qualifications, where appropriate	
Internal quality assurance procedures and activities are clearly documented, consistent with national requirements and will ensure the quality and consistency of assessment	• IQA plans and reports • A sampling strategy and schedule of activity • Records of assessment team meetings • Assessor networking opportunities.	
Records of internal quality assurance activity will be maintained in line with our requirements and will be made available for the purposes of auditing	• Internal quality assurance plans and sampling records • Minutes of assessment team meetings	
Adequate time will be allocated to allow for internal quality assurance duties to take place	• Schedules/plans for internal quality assurance activities • Records/minutes of IQA meetings	

*Please note that possible sources of evidence are given as examples and are not intended to be exhaustive.

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Checklist	
Provide at least 3 samples of Learner work which has been IQA'd from every qualification delivered since the last quality visit	
Provide at least 2 samples from each IQA	
Provide the IQA report for each sample provided	
Ensure all Learners are registered	
Provide a sample across all sub sites where applicable	
Provide a range of active and completed portfolios	
Provide samples across the range of assessment methods used	
Provide samples of Longitudinal Studies for the EYE qualifications where applicable	
Provide samples of Direct Observation for qualifications requiring this form of evidence	
Provide samples of Professional Development Profiles for qualifications requiring this form of evidence	
Provide a sample of the research task for qualifications requiring this	
Your scheme(s) of work, staff CVs/CPD records, minutes from meetings and recorded standardisation activities	
Access to/copies of relevant centre policies, including **safeguarding**, appeals, equality/diversity, reasonable adjustments & malpractice	
Access to your assessment & IQA recording and tracking systems/copies of equivalent documentation, including your sampling strategy	
Contact details for some of the learners (please ensure that learners are aware I may be contacting them)	

Please ensure all qualifications offered are available for sample.
If 12 months elapse without a sample taking place, DCS will lapse.
For DCS, refer to the Direct Claim Status Guidelines.