

QCF4



**WAMITAB**



**Assessment Centre Guidance**

**Assessment Centre Guidance for  
all QCF qualifications (including  
all relevant WAMITAB policies  
and procedures)**

# Acknowledgements

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Waste Management Industry Training and Advisory Board

Peterbridge House

3 The Lakes

Northampton NN4 7HE

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# INTRODUCTION

This document has two main functions:

- To support centres through the centre and qualification approval process
- To provide guidance for centres on the delivery and assessment of WAMITAB qualifications

## Introduction to the Qualifications and Credit Framework

The majority of WAMITAB's awarding organisation function is based within the QCF, which means that the qualifications are regulated by Ofqual, the government regulatory body for qualifications.

The QCF allows considerable flexibility in how learners can be awarded credit which is the basis of gaining units and qualifications. Every unit in the QCF has a level and a credit value and every regulated qualification has Rules of Combination which state the credit and level requirements a learner needs to achieve to gain a particular qualification. Credit can, in some cases, be transferred between qualifications and awarding organisations. Further details of how this works can be found at

[http://www.qcda.gov.uk/libraryAssets/images/categories/QCF\\_learning\\_provider\\_pages\\_21.8.09.pdf](http://www.qcda.gov.uk/libraryAssets/images/categories/QCF_learning_provider_pages_21.8.09.pdf) or by talking with WAMITAB's Qualifications Manager.

Units and qualifications in the Qualifications and Credit Framework (QCF) within the WAMITAB scope usually fall into two distinct categories – NVQ style (referred to in this document as Competence Based) units and qualifications, and VRQ style (referred to in this document as Knowledge Based) units and qualifications. The QCF is based on the units and the credit achieved and WAMITAB will offer both unit and qualification registration for learners. Individual units may be used for proof of achievement for small parts of competence or knowledge, and can often be used for CPD.

# CENTRE APPROVAL

## Introduction

This document has been produced to help organisations, which wish to offer WAMITAB QCF units/qualifications to establish an assessment centre and gain WAMITAB approval. Organisations will need to complete a full application for centre approval on first application. However a streamlined procedure, through the additional qualification route, will apply whenever further qualifications are added to the centre portfolio.

Centre approval must be obtained by organisations prior to their registering and enrolling learners for any of the WAMITAB units/qualifications. Approval will usually continue until the centre no longer wishes to offer WAMITAB qualifications. However, WAMITAB reserve the right to suspend or revoke approved centre status should the centre fail to maintain the levels of quality required.

This document sets out the centre approval criteria along with descriptions of the roles of the people involved in the assessment process. Each centre must allocate these roles to individuals and ensure that each individual has the skills, knowledge and responsibility to competently perform their respective role to the level required.

As a minimum, each centre should have the following:

- Learners
- Assessor(s)
- Internal Verifier(s) or Moderators
- Centre Co-ordinator

The number of Internal Verifiers/Moderators and Assessors will be dependent on the number of learners working towards qualifications at any given time.

A centre can be a large or small company, college or training organisation. A centre can be:

- A single company
- A partnership

Any centre may operate on a single site or provide assessment on multiple sites. Each site must be approved for assessment to take place using the appropriate WAMITAB form.

Where a partnership or multiple site arrangement is in place, resources may be combined to provide assessment and verification. Assessment may take place on any site authorised to carry out assessment for that NVQ or units. Under this arrangement, the centre will be allocated one centre number and registered under one single address for communications. The centre should have one single central system for quality, management and administration purposes.

Prior to entering into a partnership or multiple site arrangement you should consider the following:

- Verifiers and assessors at assessment sites must be regarded as centre staff for the purpose of centre approval and verification purposes.

- Centres must accept full responsibility for the quality of the assessment process across all assessment sites.
- Where a site fails to comply with the approval criteria, the approved status of the whole centre may be affected.

## **WAMITAB Responsibilities**

WAMITAB is responsible for ensuring that only those centres that have the necessary resources, systems, commitment and expertise to support the consistent delivery, assessment and quality assurance of a QCF qualification are approved to offer the qualification. WAMITAB will ensure that only those centres that meet the full requirements of the approved centre criteria are:

- given approved centre status;
- authorised to submit claims for certification.

To ensure consistency in the approval process, WAMITAB will use criteria which meets the regulatory requirements as the basis for making the approval decision. Centres should read the criteria (found on the next few pages) to ensure that the centre fully understands its obligations in respect of managing the assessment and quality assurance of a qualification before submitting a formal application for approval.

*WAMITAB provide centres with appropriate guidance and support to enable centres to meet the requirements of the approved centre criteria. In order to minimise unnecessary bureaucracy, WAMITAB will accept a centre's existing systems, or systems developed to meet the requirements of other quality assurance regimes, provided that they are appropriate and fit for purpose in respect of supporting the effective delivery of qualifications.*

WAMITAB undertake to:

- ensure that centres operating outside of England, Wales and Northern Ireland are approved in their own right against the requirements of the approved centre criteria;
- apply the same level of scrutiny to such centre's operations as it would to centres operating in England, Wales or Northern Ireland.

The regulatory authorities reserve the right to take appropriate action in cases where practices in approved centres outside of their territory could bring the education and training system of England, Wales and Northern Ireland into disrepute.

Where qualifications and credit certificates are awarded outside England, Wales and Northern Ireland, WAMITAB will:

- inform its clients that the Ofqual logo on the certificate indicates that the qualification is accredited for use in England, Wales and Northern Ireland;

- ensure that the qualification is offered to the exact specification accredited for use in England, Wales and Northern Ireland. If not, the qualification may carry neither the Ofqual logo nor the same title as that approved for use in England, Wales and Northern Ireland.

WAMITAB will keep an accurate register of the centres they have approved to deliver. This will list the centre's unique identification number, the date of each centre's approval, details of each qualification for which approval has been given and the date of each approval. WAMITAB will require its approved centres to make this information available, in order to contribute to the development of a provider database. WAMITAB will make this information available to the regulatory authorities upon request.

## **The Approval Process for Centre and Qualification Approval**

WAMITAB will require each centre to prepare a formal application for approval. The application for approval requires each centre to:

- establish a single named point of accountability for the overall quality assurance, management and administration of the award
- provide evidence, which demonstrates the centre's compliance against the full requirements of the approved centre criteria;
- declare whether it has had a previous application for approval refused or its approval status withdrawn, and the reasons for the decision. WAMITAB will make centres aware that a failure to provide accurate information will result in the centre having its approval withdrawn.

A checklist (Document 0025) is available from the WAMITAB website

<http://www.wamitab.org.uk/useruploads/files/0025%20Self%20Assessment%20Checklist.doc>.

Once you are satisfied that you can meet all of the criteria you should complete the Application for Centre Approval Form (Form Ref. WAMITAB 0020)

<http://www.wamitab.org.uk/useruploads/files/0020%20Application%20for%20Centre%20Approval.doc>

The centre approval process is conducted by WAMITAB external verifiers using the criteria set out on the following pages. It is the responsibility of the centre to provide evidence that they satisfy these criteria in a manner that makes effective use of the external verifier's time. Each organisation applying for approved assessment centre status must complete an application form and a self-assessment against the criteria. It is this self-assessment form that the external verifier will use as a reference document during the approval visit.

Where a centre is applying to WAMITAB for approval to offer qualifications for the first time, the centre will be visited, by a WAMITAB External verifier, prior to approval. This visit must authenticate the validity of the evidence provided by the centre in its application for approval.

WAMITAB will not grant full approved centre status where this visit indicates that further actions are required in order to meet the approved centre criteria in full. WAMITAB will specify what further actions are required by the centre to meet the requirements of the approved centre criteria and provide appropriate support and guidance. WAMITAB may allow such centres to register learners during this period but will not accept any claims for certification until the approved centre criteria are met in full.

## Centre Approval Criteria

### 1 Planning

#### 1a Management systems

	<i>Criteria</i>	<i>Possible sources of evidence</i>
1.1.1	The Centre's aims and policies in relation to QCF qualifications are supported by senior management and understood by the assessment team, with one member of staff being appointed as the accountable person for management and delivery of quality assurance and assessment	Documented quality procedures Progress reports and staff updates Organisation chart showing points of accountability
1.1.2	The centre's Equality and Diversity policy and practice is understood and complied with by learners and assessors.	Documented policies and procedures Access and fair assessment policy review mechanisms
1.1.3	The roles, responsibilities, authorities and accountabilities of the assessment and verification/moderation team across all assessment sites are clearly defined, allocated and understood.	Documented quality assurance procedures An organisational chart Documented and signed agreements indicating the lines of accountability of partner organisations in relation to the management of assessment and internal quality assurance. Records of all assessment sites and personnel CVs of the assessment team and internal verifiers.
1.1.4	Internal Verification/moderation procedures and activities are clearly documented, consistent with national requirements and ensure the quality and consistency of assessment.	Internal verification/moderation plans and reports A sampling strategy and schedule of activity Records of assessment team meetings Assessor networking opportunities
1.1.5	There is effective communication within the assessment team and with WAMITAB	Staff handbooks and updates Organisation charts Minutes of team meetings Records of communication with WAMITAB

## 1b Resources

	<i>Criteria</i>	<i>Possible sources of evidence</i>
1.2.1	Resource needs are accurately identified in relation to the specific award and resources are made available.	Records of resource availability Evidence of any additional resources obtained
1.2.2	Equipment, accommodation and sites used for the purposes of assessment comply with the requirements of relevant health and safety acts.	Public employee liability certificates Records of equipment and accommodation Maintenance schedules
1.2.3	There are sufficient competent and qualified assessors and internal verifiers/moderators to meet the demand for assessment and verification activity.	CVs and development plans for the assessment team A list of qualified assessors and internal verifiers
1.2.4	A staff development programme is established for the assessment and verification team in line with identified needs.	Staff induction and guidance materials Records of meetings/briefings/updates Records of individual development plans Action plans to acquire the appropriate qualifications
1.2.5	Assessors and verifiers/moderators have sufficient time, resources and authority to perform their roles and responsibilities effectively	A record of assessor/learner allocation Learner/assessor ratios and time allocation
1.2.6	WAMITAB is notified of any changes, which may affect the centre's ability to meet the approved centre criteria.	Notification of changes to the assessment and verification team Notification of changes to resources

## 2 Delivery

### 2a Learner Support

	<b>Criteria</b>	<b>Possible sources of evidence</b>
2.1.1	Information, advice and guidance about qualification procedures and practices are provided to learners and potential learners.	Learner guidance and induction materials Details of support services available Appeals procedures Oral confirmation by learners
2.1.2	Learner's development needs are matched against the requirements of the award and an agreed individual assessment plan is established.	Learner initial assessment procedures Learner assessment plans Learner/trainee contracts RPL procedures
2.1.3	Learners have regular opportunities to review their progress and goals and to revise their assessment plan accordingly.	Learner assessment plan, frequency of review meetings; examples of revisions to assessment plans.
2.1.4	Particular assessment requirements and needs of learners are identified and met where possible.	Materials/equipment/facilities to support learners with particular requirements and needs.
2.1.5	There is an established appeals procedure, which is documented and made available to all learners.	Documented appeals procedure, including details of grounds for appeal and time-scales Records of appeals made and the outcomes

## 2b Assessment and Verification

<i>Criteria</i>	<i>Possible sources of evidence</i>
2.2.1 Access to Assessment is encouraged through the use of a range of valid assessment methods.	Assessment plans and learner assessment records Provision for learners with particular assessment requirements RPL recording mechanisms
2.2.2 Queries about the qualification specification, assessment guidance or related WAMITAB material are resolved and recorded.	Records of queries raised with WAMITAB Records /minutes of queries raised with the internal verifier
2.2.3 Assessment and verification/moderation is conducted by qualified and occupationally competent staff.	Details of the assessment team including occupational background, experience, possession of assessor/internal verifier qualifications. Details of countersigning arrangements for any assessment decisions made by unqualified assessors.
2.2.4 Assessment decisions and practices are regularly sampled and findings are acted upon to ensure consistency and fairness.	Sampled assessments (observation, learner portfolios, knowledge evidence, etc) Internal verification plans and records of internal verification activity Records of assessment sampling strategies Minutes of assessment team meetings
2.2.5 Internal verification/moderation is conducted by appropriately qualified and experienced staff.	Details of Internal Verifier occupational background, experience and qualifications obtained. Details of countersigning arrangements for any internal verification decisions made by unqualified internal verifiers
2.2.6 Requests are complied with for access to premises, records, information, learners and staff for the purpose of external verification	Data and information management systems Learner tracking systems Assessment and internal verification records
2.2.7 Unit certification is made available to learners.	Records of units registered, claimed and awarded Induction materials

### 3 Monitoring & Review

#### 3a Records

<i>Criteria</i>	<i>Possible sources of evidence</i>
3.1.1 Learner records (including MIAP learner record, and ULN) and details of achievements are accurate and kept up to date and available for external verification and auditing.	Learner registrations Learner assessment records Evidence files/portfolios Security and access arrangements MIAP procedure for applying for ULN and checking learner records for previous achievements
3.1.2 Records of internal verification activity/moderation are maintained and made available for the purpose of auditing.	Internal verification plan and sampling records Minutes of assessment team meetings
3.1.3 Information supplied to WAMITAB for the purposes of registration and certification is complete and accurate.	Records of learner registration details and certificate claims.
3.1.4 Information and recording systems enable learners' achievements to be monitored and reviewed in relation to the centre's Equality and Diversity policy	Achievement records in relation to the access and fair assessment policy Statistical information rates analysed by factors such as ethnic origin, disability and gender.

### 3b Review

	<b>Criteria</b>	<b>Possible sources of evidence</b>
3.2.1	Actions identified by external verification visits are disseminated to appropriate staff and corrective measures are implemented.	External verifier reports circulated to the assessment team and senior management. Action plans
3.2.2	The effectiveness of the internal verification/moderation strategy is reviewed against national requirements and corrective measures are implemented.	Internal reviews of sampling strategies External verifier reports Evidence of corrective actions taken
3.2.3	Learner, employer and other feedback is used to evaluate the quality and effectiveness of qualification provision against the centre's stated aims and policies, leading to continuous improvements.	Evaluation forms Survey reports Users' charter or customer service statements
3.2.4	The centre's achievements are monitored and reviewed and used to inform future centre development activity.	Internal audits and self assessment arrangements Records of findings against the approval criteria Evidence of corrective actions taken or implemented

**The outcomes of the approval visit will be one of five decisions:**

<b>Grade</b>	<b>Definition</b>
<b>A</b>	Exceeds the criteria and has some examples of best practice - Centre can be approved and examples of best practice maybe used by WAMITAB in publications and presentations
<b>B</b>	Satisfies all of the criteria as defined - Centre can be approved
<b>C</b>	Minor shortcomings - Centre may be approved provided all corrective actions can be carried out within 6 months
<b>D</b>	Major shortcomings - Centre will not be approved until corrective actions.
<b>E</b>	Unsatisfactory - Centre will not be approved.

The External Verifier will explain the reasons for and implications of their decision to you at the end of the visit. You will then be asked to sign the self-assessment form to agree the decision and any conditions required.

An appeals procedure is in place through WAMITAB. Should you wish to make an appeal against the decision of the external verifier you should contact WAMITAB direct.

### **Additional qualification approvals for existing Centres**

Where WAMITAB receives an application from one of its existing approved centres to extend its range of qualification provision, WAMITAB will take into account the findings of its post approval monitoring activities. Where this indicates that the centre has a strong track record in managing the quality of its existing provision, all new approvals will focus on compliance with qualification specific requirements - in particular, the competence and occupational expertise of assessors and internal verifiers and the centre's ability to provide access to the required assessment opportunities for its learners. Awarding bodies will be required to keep records of, and evidence to support, such decisions.

WAMITAB will inform each centre, to which it grants approval to deliver a qualification, of its decision in writing for each qualification that the centre is approved to offer.

### **Post approval monitoring of centres and qualifications**

WAMITAB will monitor and maintain the quality and consistency of assessment practices and decisions, within and between their approved centres offering the same qualification, as part of their quality assurance and external verification arrangements.

WAMITAB will provide centres with details of their post approval monitoring activities and ensure that centres are aware of their obligation to provide WAMITAB, and the regulatory authorities as appropriate, access to premises, meetings, learner assessment records, records of achievement, internal verification/moderation records, documents and data, learners and staff. Where a centre fails to respond to a request, WAMITAB will suspend the centre's right to claim certification until such access is given.

Part of the post approval monitoring of centres will involve a Risk Assessment of centres. Details of this can be found later in this document.

WAMITAB will require centres to inform them of any change that affects the centre's ability to continue to meet the full requirements of the approved centre criteria. WAMITAB will keep a record of such information and any response agreed with the centre to rectify this situation.

Where WAMITAB's external verification/quality assurance activities provide evidence that a centre is failing to meet the full requirements of the approved centre criteria, WAMITAB will institute procedures to maintain the integrity of the qualifications. These will be commensurate with the nature of the identified problem, as well as establishing dates by which the centre must implement the required corrective action. In order to ensure consistency of response between verifiers to identified shortcomings. These represent the response expected by the regulatory authorities of awarding bodies to specified centre transgressions.

In circumstances where the nature of the centre's failure to comply with the requirements of the approved centre criteria requires WAMITAB to formally withdraw the centre's approval to offer a particular qualification, WAMITAB will inform, as appropriate, the relevant public funding body and the regulatory authorities.

### **External Quality Assurance of Units/Qualifications**

WAMITAB will carry out External Quality Assurance through a network of External Verifiers and Examiners.

### **Arrangements for External Verifier visits following Centre Approval (for centres offering competence based qualifications)**

The EV will make arrangements for, and structure the visit to ensure that the Centre's assessment practice and decisions are adequately monitored. Before contacting the Centre the EV will review reports of previous visits and agree the information, records and observations to be carried out in conjunction with IV sampling strategies.

The EV will contact the centre allowing sufficient time to enable appropriate arrangements for observation etc. to be arranged. However, with agreement by WAMITAB, a small proportion of visits may be conducted at short notice. The Centre should be aware of this.

When contacting the Centre the EV will confirm details such as:

- The date, time and probable length of the visit
- The structure of the visit
- Those aspects of the Centre's systems to be verified
- The learners whose assessment records and evidence will be looked at
- Which learners, assessors and internal verifiers the EV will want to meet
- The satellite Centres to be visited, and
- The opportunity for the Centre to seek guidance and advice

The External Verifier will make arrangements for Centre visits based on the minimum requirement of two visits per annum, typically every six months. WAMITAB will be informed by the EV of visit

dates and any re-scheduling of visits, especially those which fall within WAMITAB's policy for: 'Short notice cancellation of EV visit by a Centre'.

**Where competence based qualifications are offered** a centre will be allocated an External Verifier who will provide advice, information and support to ensure that each centre complies with the assessment criteria laid down by WAMITAB.

External Verification will take place at least twice each year through pre-arranged visits. During these visits an External Verifier will quality assure the management and delivery of assessment through inspection of records, questioning and direct observation.

A centre may request that additional External Verifier visits are carried out. These additional visits are provided by WAMITAB as optional extras and a rate for the visit which is specified in WAM prior to the visit being carried out. The purpose of these visits could be to:

- Provide general guidance and advice on setting up a centre.
- Identify specific assessment centre operations that need further attention.
- Provide developmental opportunities for staff involved in the assessment process.
- Provide briefings to potential learners
- Assist in the consultative process when bidding for contracts.

**For centres offering non-competence based qualifications** a moderator or examiner will be allocated who can also offer advice and guidance for assessment. Moderation of internally assessed coursework will normally be done remotely, with centres given feedback regarding the effectiveness of their assessment decisions

### **Requirements for External Verifiers**

External verifiers will be selected and contracted by WAMITAB. The requirements are given here for guidance only. The requirements for External Verifiers are that they must hold an External Verifiers award, such as V2, be technically competent in the occupational area for which they intend to provide external verification and have had considerable recent experience in that occupational area. They should also have an up-to-date and relevant CPD record in both the technical and assessment fields (including a thorough knowledge and understanding of the requirements of QCF unit assessment processes and regulatory requirements). All External Verifiers will be asked to declare any conflicts of interest where they have a personal connection with a centre or a learner.

### **Requirements for Moderators/Examiners**

Moderators and examiners will be selected and contracted by WAMITAB. The requirements are given here for guidance only.

The requirements for Examiners and Moderators are that they have a good understanding of the occupational area for which they intend to develop or moderate assessments (including a thorough knowledge and understanding of the requirements of QCF unit assessment processes and regulatory requirements). They should also have an up-to-date and relevant CPD record in both the technical and assessment fields.

Their role will be to develop and write assessments for non-competence based qualifications, and to moderate and standardise any internal assessments produced by centres. This will usually be done as a postal sampling exercise.

All Moderators and Examiners will be asked to declare any conflicts of interest where they have a personal connection with a centre or a learner.

# **GUIDANCE FOR DELIVERY AND ASSESSMENT OF QUALIFICATIONS**

## **General Format for the assessment of non-NVQ units/qualifications**

The norm for these types of qualifications will be Assessments written by WAMITAB, marked by centres, and moderated by WAMITAB.

The assessments for the non-NVQ type qualifications will be written by WAMITAB's examiners. Each unit will have its own assessment. Units will comprise Learning Outcomes and Assessment Criteria. To achieve each unit all assessment criteria must be achieved. Marking criteria to provide guidance on what is required to meet the assessment criteria will be provided by WAMITAB. The assessments may have a time limit associated with them (ie one month for example) but will not be required to be done under invigilated conditions. The assessments will be given to learners after any relevant training course or when they wish to register for the assessment. Assessments are likely to use a work place or work scenario. Centres will then mark these assessments using relevant assessors (see below for details).

If centres use more than one assessor for the assessment then they should use a moderator to go through a standardisation process to ensure all assessors are using the marking criteria correctly and marking to the required standard and level. If there is only one assessor for a group of learners for each unit then it is good practice for someone else within the centre to quality assure that marking. The learner can be given the results of the assessment at this point but they must be made aware that centre results are only provisional until agreed by WAMITAB.

Marks will then be submitted to WAMITAB and WAMITAB will then request samples of the assessment of each group of learners for their own moderation process. Once the centre assessments are agreed as valid by WAMITAB the final results can be given to the learner and the credit can be applied for.

If the learner does not agree with the centre's assessment results then they should use the Centre's Appeal process.

Each assessment will have its only detailed guidance notes for the assessment, obtainable at time of registration of candidates. Sample assessments will be available from WAMITAB to aid centres and candidates.

To gain approval for one of these qualifications the Centre-Co-ordinator will be required to complete the form **AVR1(VRQ)** and submit this with a copy of the relevant staff's CVs and other supporting documentation to the EV for approval.

## **Internal Quality Assurance requirements for centres offering QCF non-competence based qualifications and units**

### **Centre Internal moderators**

The requirements for Internal Moderators are that they have a good understanding of the occupational area for which they intend to moderate assessments. They should also have an up-to-date and relevant CPD record in both the technical and assessment fields.

This role is to ensure that when centres internally assess qualifications set by WAMITAB examiners, there is a quality assurance/standardisation process. When learners are entered for these qualifications centres will receive the relevant assessments with instructions as to how they should be marked, including marking criteria. Once the assessments have been marked they should be quality assured using sampling and, if more than one assessor is involved in the marking, then all assessors' work should be standardised, again using sampling.

## **Assessors**

The requirements for Internal Assessors are that they have a good understanding of the occupational area for which they intend to assess assessments. They should also have an up-to-date and relevant CPD record in both the technical and assessment fields.

The centre assessor will usually do some or all of the assessments for non-competence based qualifications. The centre will be supplied with marking criteria and full instructions regarding the assessment of the qualification.

A presenter for one of the non-NVQ courses cannot also be the assessor for that group of candidates.

## **Assuring quality in internally assessed coursework**

Centres must confirm that evidence provided by learners for assessment has been produced and authenticated in accordance with the requirements of the assessment specification. Assessors and learners must provide a written declaration that the evidence is authentic and that the assessment was conducted under the specified conditions or context. Centres must understand that a failure to comply with such requirements constitutes grounds for the suspension or withdrawal of a centre's approved status for the qualification in question.

The Centre must ensure that people involved in the assessment process are not responsible for the conduct of assessment or the quality assurance of assessment decisions at a centre in which they have a personal interest, or, where this happens, they must ensure that the assessment process is subject to scrutiny by those without a personal interest.

*Centres must provide appropriate training and development opportunities to enable assessors to meet these requirements and to ensure that they have a common understanding of the standards and other assessment requirements that apply. WAMITAB will monitor a centre's compliance with this requirement and require centres to keep relevant records of such activity, such as staff development records, as evidence.*

All internally assessed coursework will be externally moderated by WAMITAB using a sampling process. Until moderation has taken place all internal assessment results will be provisional and learners must be made aware of this. Once results are submitted to WAMITAB centres will be advised which learners' work is required for moderation. This should then be submitted to WAMITAB within one week and moderation results and feedback will be returned to the centre within 28 working days of receipt of the work.

**Guidance for delivery of Level 3 VRQ's (two awards currently):**

It is anticipated that where existing Centres are applying for approval to offer the Level 3 VRQ(s), presenters have technical competence associated with the assessment of the COTC 'Waste Management Operations Managing Treatment Hazardous Waste'. Centres may choose to use Subject Specialist Presenters although Centres may not always choose to deliver the level 3 programme in this manner.

**Guidance for delivery of Higher Award at Level 4 (one award currently):**

It is anticipated that two presenters will facilitate the training and assessment phases for this course in a similar manner to the Level 3 award. However, due to the in depth technological content of units it is envisaged that Centres will call on Subject Specialists to deliver specific content.

## **QUALITY ASSURANCE GUIDANCE FOR CENTRES TO ENSURE COMPLIANCE WITH WAMITAB REQUIREMENTS FOR NVQs**

### **Internal Quality Assurance requirements for centres offering QCF competence based qualifications and units**

The following staff should be established in a centre:

#### **Internal Verifiers**

- Internal Verifiers are required for all centres operating competence based qualifications. The requirements for Internal Verifiers are that they must hold an Internal Verifiers award, such as V1/D34, and it would also be beneficial for them to hold the assessor awards, such as A1 and A2/D32 and D33 (however, this is not mandatory), plus considerable recent experience in that occupational area. They should also have an up-to-date and relevant CPD record in both the technical and assessment fields. In addition they must meet any requirements for occupational expertise as specified by the relevant standards setting body before commencing their role;

Centres must operate explicit and documented internal verification procedures to ensure:

- the accuracy and consistency of assessment decisions between assessors operating within the centre;
- that assessors are consistent in their interpretation and application of the national occupational standards which will be addressed within the qualification.

Centres must provide evidence that demonstrates the effectiveness of the centre's internal verification procedures against these requirements. Where this indicates that a centre's internal verification procedures are failing to meet the requirements specified above, WAMITAB will implement the appropriate sanction or penalty as specified in this document to secure the integrity of assessment decisions within the centre.

In addition Centres must appoint internal verifiers who will be responsible for:

- regularly sampling evidence of assessment decisions made by all assessors across all aspects of assessment in order to monitor, and ensure consistency in the interpretation and application of standards within the centre. Sampling must include direct observation of assessment practice;
- maintaining up-to-date records of internal verification and sampling activity and ensuring that these are available for the purposes of external verification;
- establishing procedures to develop a common interpretation of the Assessment Criteria and Learning Outcomes between assessors;
- monitoring and supporting the work of assessors within the centre;
- facilitating appropriate staff development and training for assessors;

- providing feedback to the external verifier on the effectiveness of assessment;
- ensuring that any corrective actions required by the awarding body are implemented within agreed time-scales.

### **Assuring quality in internal verification processes**

Centres must ensure that the individuals appointed to perform the internal verification function are competent to do so. Centres will provide appropriate training and development opportunities in order to ensure that internal verifiers understand the content, structure and assessment requirements for the qualifications/units they are verifying.

Centres must ensure that the decisions of unqualified internal verifiers are checked, authenticated and countersigned by an internal verifier who has the appropriate internal verification qualification and occupational expertise as specified by the standards-setting body for the qualification in question.

WAMITAB will monitor a centre's compliance with these requirements and require centres to provide evidence of development activities undertaken, and qualifications held, by their internal verifiers.

**Internal verifiers may undertake assessment within the centre. In such circumstances the centre must ensure that the internal verifier meets any requirements for occupational expertise as specified by the relevant standards-setting body and is qualified to the appropriate national standard for internal verifiers. Centres must ensure that internal verifiers do not verify evidence that they have assessed.**

Centres must ensure that all claims for certification have been confirmed and authenticated by an appropriately qualified and occupationally expert internal verifier (where applicable). WAMITAB will not accept claims for certification submitted by centres that do not meet this requirement. Where a newly approved or small centre does not have a qualified internal verifier, WAMITAB will ensure that the internal verifiers decisions are subject to close monitoring by the external verifier through sampling the internal verifier's decisions and formally confirming the validity of **all** claims for certification.

In exceptional circumstances the internal verification function may be performed by an external verifier. WAMITAB may charge a centre for providing this service in line with their published costs and charges. In such cases, WAMITAB will ensure that the external verifier is competent to perform the internal verification function. WAMITAB will ensure that the decisions and work of the external verifier are subject to independent scrutiny by a different external verifier.

### **Assessors**

The requirements for Assessors are that they must hold an assessor's qualification, such as A1 and A2/D32 and D33, and be technically competent in the occupational area for which they intend to provide assessment and have had considerable recent experience in that occupational area. The qualifications must be achieved within 18 months of commencing their role. They should also have an up-to-date and relevant CPD record in both the technical and assessment fields.

Centres must appoint assessors to carry out internal assessment. Assessors will be responsible and accountable for:

- managing the system of assessment from assessment planning through to making and recording assessment decisions as required by the awarding body;
- assessing evidence of learner competence against the national standards of occupational competence within the qualification;
- ensuring the validity, authenticity and sufficiency of evidence produced by learners;
- maintaining accurate and verifiable learner assessment and achievement records as required by the awarding body.

### **Countersigning Arrangements**

Where un-certificated Assessors or Internal Verifiers have been appointed by the Centre, i.e. those who have yet to qualify in accordance with the 'A' or 'V' units, their work must be countersigned by a qualified person. The Centre will be required to inform the External Verifier, of details of these 'trainee' Assessors and Internal Verifiers along with the countersigning arrangements. EV's have a responsibility to report countersigning arrangements for un-certificated persons to WAMITAB

### **Assuring quality in internal assessment**

Centres must ensure that assessors are fully familiar with awarding body requirements for the recording of assessment decisions and the maintenance of learner assessment records.

Centres must ensure that all assessment decisions of unqualified assessors are checked, authenticated and countersigned by an assessor or internal verifier who has the appropriate assessor and/or internal verifier qualification and relevant occupational expertise as specified by the standards-setting body for the qualification in question. The internal verifier must sample an increased ratio of assessment decisions by unqualified assessors and must be responsible, and accountable, for arranging the checking and countersigning process. **It is a mandatory requirement that internal verifiers do not verify evidence that they have assessed.**

Centres must confirm that evidence provided by learners for assessment has been produced and authenticated in accordance with the requirements of the assessment specification. Assessors and learners must provide a written declaration that the evidence is authentic and that the assessment was conducted under the specified conditions or context. Centres must understand that a failure to comply with such requirements constitutes grounds for the suspension or withdrawal of a centre's approved status for the qualification in question.

The Centre must ensure that people involved in the assessment process are not responsible for the conduct of assessment or the quality assurance of assessment decisions at a centre in which they have a personal interest, or, where this happens, they must ensure that the assessment process is subject to scrutiny by those without a personal interest.

*Centres must provide appropriate training and development opportunities to enable assessors to meet these requirements and to ensure that they have a common understanding of the standards*

*and other assessment requirements that apply. WAMITAB will monitor a centre's compliance with this requirement and require centres to keep relevant records of such activity, such as staff development records, as evidence.*

# CENTRE MANAGEMENT AND ADMINISTRATION

## Introduction

This section gives details of the roles and responsibilities required for managing, administering and delivering QCF assessment. Additional information is also provided to assist centres in establishing suitable high quality administrative systems.

## Learner registration and certification

All learners have the option of obtaining a Unique Learner Number (ULN). This allows them to bank credit, transfer it between qualifications (where appropriate) and keep an on-going record of their achievements. This database is run by MIAP - <http://www.miap.gov.uk/products/uln/>. Centres should register with MIAP in order for them to obtain ULNs for their learner. This number will be required when learners register with WAMITAB.

WAMITAB will require centres to ensure that all learners working towards a competence based qualification are entered into the awarding bodies' registration system for a minimum of 10 weeks before a claim for certification can be made. Where a centre is attempting to utilise unit registration to circumvent the 10 week rule by registering learners unit by unit for the whole qualification, WAMITAB will deem the 10 week rule to be effective from the date of registration for the full certificate. WAMITAB will ensure that the issue of certificates of unit credit, that list all the units and their credit values, observe the 10 week rule. All competence based qualifications or unit registration dates will be entered as the date the registration is input onto the database. Where registration applications are accompanied by a cheque in payment of the fees, entry onto the database will be held until cheque clearance has been confirmed. The 10-week rule will be determined by the date of database entry and not date of receipt at WAMITAB offices.

WAMITAB will require centres to inform learners of their registration status. Centres must make learners aware of the value and availability of unit credit accumulation. WAMITAB will make unit certification available in addition to certificates for learners achieving the full qualification.

## Administration

The administrative requirements on a centre involve the setting up of a learner and assessment record system. This can be computer based or manual. The most common solution is a combination of these with manual records being completed by learners, assessors, moderators and internal verifiers and relevant personal and achievement data being transferred to a computer based system.

All records must be retained in a manner that enables ease of access to the external verifier for a minimum period of at least 3 years, from the date of completion of the qualification.

Where assessment takes place on more than one site, the centre must approve each site. Records of assessment site approval must be complete and retained for external verifier inspection.

Records of all active assessors and internal verifiers and details of their CPD activities must also be maintained. Records of CPD activities are the responsibility of the individual, however reporting of CPD activities to WAMITAB is the responsibility of each centre.

WAMITAB do not intend to be prescriptive about the forms used within each centre. However, there is a minimum amount of information that WAMITAB must gather. Therefore a set of master forms has been produced by WAMITAB. These forms will be distributed to all WAMITAB centres and are also available in electronic format direct from WAMITAB. Centres must ensure that their in-house forms record all the information that WAMITAB require.

## **Record Keeping**

WAMITAB requires that its Approved Centres establish and maintain appropriate systems for tracking, recording, retaining and transmitting assessment decisions and exemptions. These must be reliable, secure and auditable.

Centres must also be able to access the MIAP database to:

- Obtain ULN and learner record for learners
- Search and validate existing relevant credit
- Track award of credit for current qualification

WAMITAB requires that Centres maintain records, which as a minimum include that information listed below, to track learner progress and to allow for the independent authentication of any claims for certification. The information to be maintained must include:

- Lists of all learners registered with WAMITAB for each qualification offered, including:
  - Learner name
  - Date of birth
  - Contact address
  - Workplace address and contact details
  - Assessor(s) name
  - Internal Verifier(s)/moderator's name
  - Date of registration with WAMITAB
  - Ethnic Group
  - ULN (where learner agrees to have a Learner Record on MIAP)
  - WAMITAB'S learner identifier
  - Registration date
  - Date of the award of credit
- Learner assessment records detailing:
  - who assessed what and when
  - the assessment decision
  - the assessment methods used for each unit and the location of the supporting evidence
- For all qualifications records of internal verification/moderation activity detailing:
  - who verified/moderated what and when
  - details of the sample selected and its rationale

- records of standardisation meetings
- records of assessor support meetings
- assessor and verifier competence records
- monitoring records of assessor/internal verifier progress towards achievement of the relevant assessor and internal verifier qualifications (for competence based qualifications)

**Requirements for the retention of learner evidence:**

Centres are required to retain performance evidence and the associated controlling documentation for each learner's records and make them available to the External Verifier for the purposes of resolving any issues arising from External Verification or appeals. Such records may be required by the regulatory authorities and must be made available upon request.

Following External Verifier review of the learners performance evidence, (as determined by the appropriate use of evidence sampling techniques) the Controlling Documentation must be **retained by the Centre for a minimum of 3 years**, from the date of completion of the qualification.

This information may be stored electronically in preference to hard copy format where appropriate.

## QUALITY GUIDANCE

### Management and quality assurance

***The centre specifies and maintains an effective system for managing quality assurance and course development.***

#### (A) Organisational structures and staff roles

- a) Responsibility for overall management and quality assurance is located at senior level and ensures operational support and effective co-ordination by having one point of accountability for the qualifications offered
- b) The centre has an explicit policy for promoting and implementing qualifications.
- c) Roles, responsibilities, authorities and accountabilities are clearly defined, allocated and understood.
- d) Procedures are specified for communicating with senior management about the implementation of qualifications.
- e) There are procedures for effective communication and meetings within the qualifications team.

#### (B) Administrative arrangements

- a) Records of learner details and achievements are complete, securely stored and available for audit.
- b) Records of learners are used to track learner progress to ensure prompt award of credit when required
- c) Information supplied to WAMITAB is complete and accurate and can be transmitted securely.
- d) All of the WAMITAB administrative requirements are fulfilled promptly and correctly.
- e) Procedures for maintaining and updating databases (IT or manual) are specified.
- f) Information is stored securely and disclosed only to those who have a right to it.
- g) Learners have the option to gain a ULN and Learner Record on MIAP
- h) Arrangements are put in place to manage RPL, Exemptions and Credit Transfer

### (C) Equality and Diversity

- a) The centre is committed to equality and diversity and has an explicit policy to promote these.
- b) The policy is clearly communicated to staff, learners and others concerned with the qualifications.
- c) Information, guidance and advice on equality and diversity are provided for new learners, centre staff and others involved in the centre's work.
- d) There is an action plan for the implementation of the equality and diversity policy.
- e) Implementation of the policy is monitored and reviewed regularly.
- g) There is a system for monitoring and evaluating achievement rates of learners in relation to equality and diversity
- h) Requirements of learners with special needs or reasonable adjustments for assessment are identified and met where possible.

### (D) Assuring standards

- a) The work of internal verifiers, moderators and assessors is co-ordinated and monitored to ensure consistent assessment standards across the centre.
- b) Procedures are implemented to ensure an effective response to issues raised by internal and / or external verifiers or moderators.
- c) Learner, employer and other feedback is used to evaluate the quality and effectiveness of qualification provision against the centre's quality system, leading to continuous improvement.
- d) The centre's achievements against the action plan are monitored and reviewed and used to inform future development activities.

### (E) Assuring programme quality

- a) Systems and procedures that assure and continually improve the quality of qualifications are established
- b) Procedures are defined for implementing and monitoring the quality assurance system.
- c) There are procedures to decide which new qualifications the centre will be offering and is capable of supporting, before approval of WAMITAB is sought.

- d) There are procedures to ensure regular evaluation, review and improvement of the quality of all qualifications
- e) Systems are in place to ensure effective action on and response to quality issues.

## Resources

***Staff and physical resources are maintained, reviewed and developed to support quality of qualifications.***

### (A) Staff resources

- a) Staff resources are sufficient to deliver and assess units/qualifications, plus ensuring the award, accumulation and transfer of credits, and recording of exemptions
- b) Staff resources are allocated appropriately to ensure quality in delivery and assessment of qualifications.
- c) Sufficient staff time is available to provide information, advice and support to learners.
- d) There are sufficient competent and qualified assessors and internal verifiers/moderators to assess for the units/qualifications and ensure quality assessments.
- e) Internal verifiers/moderators have appropriate access to assessors.
- f) All staff delivering and contributing to qualifications are familiar with the QCF structure and requirements and have qualifications, experience and expertise that equip them effectively for their work.
- g) Sufficient time is allowed for administering the qualifications.
- h) Staff development needs are systematically reviewed.
- i) A staff development program is provided.
- j) Staff involved in the assessment process will declare any conflicts of interest in terms of personal interest of the centre or learner, and ensure that all assessments are open to scrutiny from people without a personal interest.

### (B) Physical resources

- a) Sufficient resources are available to train and assess learners for the qualifications.
- b) Resource needs are identified in relation to qualifications requirements and are made available.

- c) Equipment and accommodation is safe and fit for use and complies with the requirements of relevant health and safety regulations.
- d) Resources are regularly reviewed and steps are taken to improve or update them as necessary. Programme design and delivery

***Learners are supported and have access to appropriate assessment, verification and training that is designed to meet learners' needs and enable successful achievement.***

(A) Target group, access and selection

- a) Information, advice and guidance about unit and qualification procedures and practices are provided to potential customers and learners in a language that is understandable to the customer or learner.
- b) Decisions on selection and allocation to a specific unit/qualification and level take into account learners' needs and abilities as well as their job role.
- c) Procedures are in place to facilitate transfer between units/qualifications in response to a review of learners' needs or changes in job role.
- d) Procedures are in place to ensure that appropriate credit can be transferred, exemptions are recognised and RPL (Recognition of Prior Learning) can be administered.

(B) Designing programmes

- a) Delivery programme structure, content and allocated times are clearly specified and are related to unit/qualification requirements and learners' needs.
- b) Unit certification is available through the centre.
- c) Unit/Qualification delivery programmes provide learning and assessment opportunities related to learners' needs.
- d) The workplace and the local environment are used as a resource for learning and assessment activities to meet the requirements of the units/qualifications.
- e) Assessments are tailored to meet unit requirements and learners' needs and to ensure there are no barriers to assessment.
- f) Unit/Qualification programmes are regularly reviewed to improve their quality.

(C) Induction

- a) A structured induction procedure is in place to introduce learners to the unit/qualification and to give them an effective base for development and achievement.

- b) The demands, activities and methods of assessment for the unit/qualification are clearly communicated to learners.
- c) Particular learning and assessment requirements of individual learners are identified and met where possible.

#### (D) Learning activities and support

- a) Where necessary trainers and mentors provide training, tutorials and other sessions to cover the unit/qualification requirements.
- b) The usage of work placements for learning in real work environments is maximised where appropriate.
- c) Effective systems are in place for planning, feedback and review sessions with learners to maximise learners' opportunities for RPL, exemptions, credit transfer, achievements and respond to learners' needs
- d) Specialist inputs, tutor guidance and workshops are provided to support learners' development.
- e) Learners are encouraged to take an active part in their own learning and assessment.
- f) Counselling, advice and guidance are available to learners throughout the programme.
- k) There is an established centre appeals procedure, which is documented and made available to all learners.
- l) Learners are made aware of the WAMITAB Enquiry About Results (EAR)/Appeals Service

#### **Assessment and internal verification**

***A system for valid and reliable assessment and quality assurance is specified and maintained.***

#### (A) Assessment planning

- a) An overall assessment plan is produced and agreed for each learner showing clearly how coverage of unit specifications will be achieved
- b) The assessment plan is clearly linked to and based upon the learner's individual learning plan.
- c) When it is necessary and appropriate, assessment plans are reviewed and adapted to learners' needs.

#### (B) Assessment process

- a) Information, advice and guidance on assessment are provided to learners.
- b) Assessment is conducted by qualified and occupationally competent staff which have been approved for assessment purposes by the centre Internal Verifier/Moderator.
- c) Access to assessment is encouraged through the use of a range of valid assessment methods.
- d) There is a system for reviewing the quality and fairness of the assessment process.
- d) WAMITAB is notified of any changes to the assessment team.
- e) Assessment decisions are checked for validity of evidence

### (C) Internal verification/moderation

- a) Internal verification/moderation is conducted by appropriately qualified and experienced staff, who have been approved for internal verification by a WAMITAB external verifier (for competence based qualifications).
- b) Time is scheduled and allocated for internal verification/moderation throughout the Programme and assessment process.
- c) An effective system for quality assurance of assessment is in place.
- d) The quality of assessment is systematically reviewed and monitored
- e) Records of internal verification/moderation activity are maintained, up to date and made available for auditing.
- f) The effectiveness of the internal verification/moderation system is reviewed regularly against qualification requirements and corrective measures are implemented.
- g) WAMITAB is notified of any changes to the verification/moderation team.

## **RESPONSIBILITIES**

The following describes the roles and responsibilities that need to be carried out within the assessment centre. Prior to application to be approved as an assessment centre, individuals would need to be inducted and if necessary trained to carry out these roles.

### **Learners**

Learners are the individuals who are working towards the award of credit through either units or whole qualifications, through an approved assessment centre. The main role of the learner is to provide high quality and well-organised evidence to demonstrate workplace competence.

Learners are responsible for:

- Discussing and agreeing an assessment plan with the assessor.
- Confirming to the assessor that they understand the standards within the qualification.
- Identifying with the assessor the relationship between the qualification and any relevant workplace tasks that they carry out to ensure cost effective assessment.
- Identifying, and providing possible sources of evidence where required to do so.
- Producing evidence from a variety of sources in good time for assessment to take place.
- Providing the opportunity for observation of workplace practices for assessment purposes (where relevant).
- Presenting evidence in a well-organised manner.
- Ensuring that evidence presented is valid, attributable to them, current and sufficient to demonstrate competence.
- Making themselves available for discussion and assessment.

## **Assessors**

Assessors are responsible for:

- Ensuring that learners are aware of their responsibilities for the collection and presentation of evidence.
- Fully briefing the learner on the assessment requirements of the qualification.
- Agreeing with the learner what naturally occurring evidence exists to satisfy the standards within competence based units.
- Agreeing with the learner what additional evidence must be produced to satisfy the standards within competence based units.
- Developing, agreeing and reviewing the assessment plan.
- Ensuring that the assessment guidance in the qualification is satisfied.
- Observing the learners' performance in a manner that provides a cost-effective solution to assessment.
- Recording questions and answers given (where appropriate) in a manner that ensures that effective verification/moderation can take place.

- Maintaining records of assessment in a manner that ensures that effective verification/moderation can take place.
- Providing learners with immediate, clear and constructive feedback.
- Judging evidence and making assessment decisions against the Assessment Criteria and Learning Outcomes standards within each unit.
- Confirming when learners have demonstrated achievement and completing the appropriate documentation.
- Making themselves available for internal and external verification/moderation processes.
- Communicating with the centre co-ordinator on all assessment matters.

### **Internal Verifiers**

Internal verifiers monitor the work of assessors operating within the centre to ensure that, on a day to day basis, they are applying the standards within the competence based units and qualifications consistently.

Internal verifiers are responsible for:

- Verifying assessment

Monitoring assessment practice, planning the sample to be taken, sampling assessment decisions, ensuring assessments are in line with the standards and WAMITAB requirements.

- Advising and supporting assessors

Helping assessors to identify their training needs, providing feedback on their performance, arranging training for them, briefing them, giving them advice and guidance.

- Keeping accurate records of assessment and verification

Ensuring that assessors use appropriate documentation agreed with the external verifier, and that documentation is fit for purpose, checking that learner records and requests for certification satisfy WAMITAB requirements. Maintaining records of internal verification and sampling activities in agreement with the external verifier.

- Liaising with the external verifier

Clarifying WAMITAB requirements for assessment, discussing interpretation of standards, obtaining updates and guidance for the assessment and internal verification processes.

## **Internal Moderators**

Internal moderators are responsible for:

- Ensuring that all work assessed for non-competence based units and qualifications is standardised across the centre and all assessors involved with particular units/qualifications
- Ensuring that there is a sampling policy and procedure in place which addresses any WAMITAB requirements
- Ensuring that moderation decisions are communicated to all relevant assessors
- Ensuring that learners are aware that internally assessed decisions for non-competence based units/qualifications are not valid until WAMITAB accepts the assessment decisions through its external moderation process
- Ensuring all moderation processes and decisions are recorded and submitted to WAMITAB as required.

## **Centre Co-ordinator**

The centre co-ordinator is the person responsible for ensuring that the management, administrative and quality assurance systems for the WAMITAB qualifications are satisfied throughout the assessment centre. The centre co-ordinator may also be the single named point of accountability for the quality assurance and management for the assessment of units qualifications. However, this could be a separate person at a higher level. In which case the Centre Co-ordinator should be accountable to that person.

The person responsible for this role will need to:

- Have an understanding of QCF assessment (for both competence and non-competence based assessments), verification/moderation administration and quality procedures.
- Possess the necessary authority to ensure that the centre is managed correctly and that assessment is delivered consistently.
- Ensure that Reasonable Adjustments and Special Consideration policies are understood, communicated to all relevant people, and applied for learners as required
- Ensure that the centre's internal appeals policy and procedure is communicated to all relevant people and monitored
- Ensure that exemptions and RPL are identified and implemented as required
- Have regular contact with the centre assessors and internal verifiers/moderators.
- Provide the external verifier with detailed information on the overall operation of the centre.
- Co-ordinate and manage the external verifier visits.
- Manage the workload of all assessors and internal verifiers/moderators within the centre.

- Forward all documentation on learner registration and achievement to WAMITAB as required.
- Ensure that all invoices for payment to WAMITAB are paid within agreed payment terms.
- Ensure that the centre achieves the learner throughput required to maintain approved centre status.

## RELEVANT POLICIES AND PROCEDURES

### WASTE MANAGEMENT INDUSTRY TRAINING AND ADVISORY BOARD

#### Enquiries about Results and Appeals Procedure

**Competence Based Qualifications:** Most assessment decisions are determined through the usual assessment process and controlled by the Centre, with learners having the option to use the Centre's Appeals process if they disagree with assessor's decisions. As part of that process the Internal Verifier has the option to contact the External Verifier for advice and guidance but should then make the final decision with appropriate support from the EV.

If a centre wishes to appeal against an EV decision then they have the right to use the WAMITAB Appeal Process (see next page)

#### For Non-Competence based Qualifications:

##### a) Qualifications which are totally or partially externally marked:

- If after receiving the learner's results the learner or the Centre feels that the results are incorrect the Centre Co-ordinator, or must request in writing to WAMITAB's Qualifications Manager on the EAR/Appeals form the request to seek a check on assessment decisions affecting learner results.
- The written request from the Centre must be received by WAMITAB within a period of 30 days following the issue of the results to the Centre
- Where a request to check on the results is made, WAMITAB will instigate a review to check the results. The results will be reviewed by an examiner approved to assess the results, who was not involved with the original decision.
- Following this review by the appointed examiner, the Centre will be informed of the result and whether the original decision is to be modified.
- Should the original result be found to be incorrect, the Qualifications Manager will investigate the factors leading to the results and implement any changes needed to ensure no further occurrence.
- Following an investigation of this nature and where the results identify that other learners may also be affected, WAMITAB will review all results affected and take appropriate measures to safeguard the consistency and integrity of the awarding process.
- The timeframe for completion of investigations and subsequent actions by WAMITAB will be a maximum of 8 weeks from the date of the original enquiry.

- There will be a charge for this process but the charge is refundable if the Enquiry about Results identifies that the original decision was incorrect.

### **Appeals procedure:**

If an Enquiry About Results (EAR) has been rejected or a centre wishes to appeal against an EV's decision to impose sanctions or put approval conditions on a centre then the WAMITAB formal appeal process should be used. This process however, is not about another re-assessment but of questioning whether WAMITAB's stated procedures for assessment either of learners or a centre have been correctly implemented, and meet the Regulatory requirements.

The Appeal should be submitted through the centre on the WAMITAB appeal form and should outline exactly where WAMITAB's procedures have not been correctly applied in terms of making the assessment decision.

The form will be administered by the Qualifications Manager, who will initially respond stating the estimated time it will take to have an Appeal panel meeting. Three out of four members of the panel must all be involved in the meeting for the meeting to be valid.

The appeal will be heard by a panel consisting of:

Chair: an independent person not involved in WAMITAB or its assessment and qualifications for the past 7 years (must be at the meeting for it to be valid)

The Director General

The Qualifications Manager

An EV or Examiner not involved in the assessment decision

The person making the appeal will be invited to attend the panel meeting to answer any questions required. All relevant information will be submitted to the panel at least one week before the meeting.

At the end of the meeting the Chair will ask for a decision to be made to either support the appeal or to reject it. If the appeal is supported then the Director General will ensure that the relevant procedures and monitoring process be reviewed to ensure any problems identified are dealt with.

The person making the appeal will receive written confirmation of the Appeal panel decision within 5 working days of the Appeal panel meeting. The letter will confirm that if the appeal is rejected then a further appeal can be put to the Regulator, Ofqual for an independent review.

## WASTE MANAGEMENT INDUSTRY TRAINING AND ADVISORY BOARD

### EQUALITY AND DIVERSITY POLICY

WAMITAB is committed to complying with all equality and diversity law which is operational at the time.

WAMITAB 's objectives include the desire to reach the status of an equal opportunities employer and provider of qualifications and assessment. All staff, learners, irrespective of age, sex, race, marital status, religion, disability or sexual orientation, are entitled to receive equal treatment. Every effort has been made to ensure that the systems and procedures are objective and consistent. However, it is the responsibility of all the staff within WAMITAB to ensure that the entire system is implemented with fairness and equity and that any appraisals or assessments are objective and free from bias or discrimination. Particular care should be taken to guard against the more subtle and unconscious types of discrimination that can result from preconceptions about the capabilities or characteristics of particular groups.

WAMITAB recognises that specific and positive programmes of action are necessary to ensure that the aims of its Equality and Diversity policy are achieved. We recognise that the process requires the participation and commitment of all the staff to the policy as well as the development of these procedures and structures.

#### **Responsibilities for implementation of Equality and Diversity**

Strategy: Director General

Operational: Qualifications Manager/Business Development Manager

#### **Provision of Services**

WAMITAB is committed to providing services that are relevant, attractive and accessible to all those who might wish to use them, and which meet the requirements of all current equality and diversity legislation. Staff are required to be fully aware of their responsibilities in this respect, to ensure that the systems of recruitment or referral to our services do not operate to exclude or discourage participation, and that our qualifications and projects are welcoming to all potential participants.

WAMITAB will work with appropriate Assessment Centres to ensure that the implementation of occupational standards and all qualifications are:

1. Available to all those who are able to achieve the required standard by whatever means.
2. Free from barriers, which restrict access and progression.
3. Free from overt or covert discriminatory practice.
4. Free from age or other restrictions unless legally required.

5. Pay due regard to the special requirements of individuals, who may require support to undertake assessments.
6. Able to provide adequate mechanisms to guarantee the consistency of assessments across the languages of English, Welsh and Irish (Gaeilge) where appropriate.

## **Development of Qualifications**

Within WAMITAB's unit and Rules of Combination development processes Equality and Diversity is embedded and monitored at every stage, including the review process.

## **Staff Training for Equality and Diversity**

All staff training is the responsibility of the Director General. As part of the staff appraisal process, all staff will have access to Equality and Diversity training as required. Those staff and associates developing units, Rules of Combinations and assessment will be required to indicate their understanding and acceptance of the Equality and Diversity requirements and to request training in any issue of Equality and Diversity when required. This training will be implemented by the Qualifications Manager, using partnerships with relevant organisations or consultants.

## **Equality and Diversity Guidelines for Centres**

### **Compliance**

It is a requirement of the Centre Recognition process that the Assessment Centre must have an Equality and Diversity policy, which must cover all of its processes for the delivery and assessment of units and qualifications (including centre learning materials, assessments, etc).

For competence based qualifications there must be an agreement between the Assessment Centre and a learner's employer that specifically includes adherence to the centre's Equality and Diversity policy for assessment and verification purposes.

Assessment Centres will be audited at least annually against their understanding of, and ability to deliver, their Equality and Diversity policy and to adhere to WAMITAB Equality and Diversity Policy. This auditing will be part of the External Verifier visit to each centre.

### **Support Mechanisms**

Assessment Centres must have a clear informal counselling and grievance procedure for dealing with allegations of discrimination, both unlawful and non-contractual, which is communicated to all participants in the assessment process.

Assessment Centres have a clear procedure for dealing with allegations of victimisation or harassment, which is communicated to all participants in the assessment process.

Assessment Centres must have a strategy to regularly monitor and evaluate the implementation and effectiveness of their Equality and Diversity policy and working practices, with procedures for amending these practices if they are shown to be unfairly discriminatory.

If a learner exits any qualification prematurely, the reasons are ascertained and recorded and made available to WAMITAB if requested.

## SANCTIONS FOR NON-COMPLIANCE WITH THE APPROVED CENTRE CRITERIA

### Introduction

Following consultations with awarding bodies, the regulatory authorities have developed a tariff of sanctions for dealing with approved centres whose competence based qualification management, assessment and quality assurance systems fail to meet the requirements of the approved centre criteria. Based directly upon the approved centre criteria, which were seen to be tried and tested and widely accepted, the tariff is designed to ensure:

- transparency, equity and consistency of treatment between awarding bodies and their approved centres in response to identified shortcomings;
- public confidence in the quality assurance and control arrangements that underpin the implementation and assessment of QCF units and qualifications.

For all qualifications within the QCF, WAMITAB will monitor each Approved centre's progress against the tariff as part of their ongoing post-approval monitoring arrangements. The existence of the tariff does not preclude WAMITAB from withdrawing approval from centres for reasons not directly related to the quality of assessment, such as a failure to meet the WAMITAB'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 of sanctions links five levels of transgression against the requirements of the approved centre 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 Approved Centre to a particular shortcoming or problem.

**Table 1**

<i>Tariff/Level of Transgression</i>	<i>Sanction</i>	<i>Rationale</i>
1	Entry in Action Plan	Non-compliance with approved centre criteria but no threat to the integrity of assessment decisions.
2	Removal of direct claims status (where appropriate)	Close scrutiny of the integrity of assessment decisions required
3	Suspension of Registration Suspension of Certification	Threat to learners Loss of integrity of assessment decisions - danger of invalid claims for certification
4	Withdrawal of Centre Approval of specific qualifications	Irretrievable breakdown in management and quality assurance of specific qualifications
5	Withdrawal of Centre Approval for all qualifications	Irretrievable breakdown in management and quality assurance of all qualifications run by the centre.

## Sanctions and Approved Centre Criteria

### Tariff Levels 1-3

For tariff levels 1-3, Table 2 links specific failure to meet criteria (non-compliances) with specific sanctions. With some criteria more than one level of sanction may apply depending on the gravity of the infringement as indicated in the table.

### Tariff Levels 4 and 5

For tariff levels 4 and 5 the non-compliances may be evidenced across a range of the approved centre criteria. These would need to indicate significant faults in the management and quality assurance which result in an ongoing failure to meet the core requirements for the conduct of assessment. This would apply to a specific qualification at tariff level 4, or across all qualifications at tariff level 5. A failure to rectify non-compliances at tariff level 4 constitutes a reason for applying a sanction at tariff level 5.

## **Guidance on Interpretation**

The above sanctions represent a *minimum* tariff of response to identified non-compliances, but there will be circumstances in which an External Verifier may judge that a higher level of tariff is appropriate and justified:

### **Combinations**

A combination of non-compliances at a particular tariff might call for a more serious response. A judgement should be made against the rationale of the sanction. Thus a combination of infringements at tariff 2 could be such as to give rise to a *loss of integrity of assessment decisions* and thus merit a response at tariff 3.

### **Persistence**

A failure to implement action plan requests at tariff level 1 should invoke a tariff level 2 response. Similarly a failure to rectify faults that have given rise to a level 2 sanction must invoke a tariff level 3 response.

### **Reoccurrence**

A centre may temporarily rectify non-compliances in response to action plans (or higher level sanctions) only to display the same weakness again at a later date. WAMITAB will take into account the track record of a centre in considering whether to impose a higher level sanction.

### **Malpractice**

Where the circumstances and nature of non-compliance indicate that fraudulence is involved the procedures for dealing with malpractice should be invoked.

## Tariff of Sanctions for Non-Compliance

Non-Compliance and Reference to Approved Centre Criteria	Sanction	Rationale
Centre's aims, policies and assessment practices and responsibilities of personnel are not clear or well understood by assessment team (1.1.1 - 1.1.3)	Level 1	Non-Compliance with approved centre criteria but no threat to the integrity of assessment decisions.
Internal verification procedures and activities not clearly documented (1.1.4)	Level 1	Non-Compliance with approved centre criteria but no threat to the integrity of assessment decisions
Communication within the assessment team and with WAMITAB is ineffective (1.1.5)	Level 1	Non-Compliance with approved centre criteria but no threat to the integrity of assessment decisions
Equipment and accommodation do not comply with Health and Safety Acts (1.2.2)	Level 1	Non-Compliance with approved centre criteria but no threat to the integrity of assessment decisions
Insufficient qualified assessors (1.2.3)	Level 1	Non-Compliance with approved centre criteria but no threat to the integrity of assessment decisions
Assessors/Internal Verifiers do not have adequate development plans (1.2.4)	Level 1	Non-Compliance with approved centre criteria but non threat to the integrity of assessment decisions
Learners are not aware of their rights and responsibilities eg no appeals procedure (2.1.1 and 2.1.5)	Level 1	Non-Compliance with approved centre criteria but no threat to the integrity of assessment decisions
There is inadequate assessment planning with learners (2.1.2 and 2.1.3)	Level 1	Non-Compliance with approved centre criteria but no threat to the integrity of assessment decisions
Queries are not resolved or recorded (2.2.2)	Level 1	Non-Compliance with approved centre criteria but no threat to the integrity of assessment decisions
Range of assessment methods is insufficient to encourage access (2.2.1)	Level 1	Non-Compliance with approved centre criteria but no threat to the integrity of assessment decisions

Non-Compliance and Reference to Approved Centre Criteria	Sanction	Rationale
Changes to personnel of the assessment and verification team are not notified to WAMITAB (1.2.6)	Level 1	Non-Compliance with approved centre criteria but no threat to the integrity of assessment decisions
Unit certification is not made available to learners (2.2.7)	Level 1	Non-Compliance with approved centre criteria but no threat to the integrity of assessment decisions
There is inadequate monitoring or review of procedures (3.2.1 - 4)	Level 1	Non-Compliance with approved centre criteria but no threat to the integrity of assessment decisions
Assessors have insufficient time, resources or authority to perform their role (1.2.5)	Level 2	Close scrutiny of the integrity of assessment decisions required.
Decision of unqualified assessors have not been countersigned by qualified assessor (2.2.3)	Level 2	Close scrutiny of the integrity of assessment decisions required
Assessment decisions are not consistent (2.2.4)	Level 2	Close scrutiny of the integrity of assessment decisions required
Insufficient qualified internal verifiers (1.2.3)	Level 2	Close scrutiny of the integrity of assessment decisions required
Decisions of unqualified internal verifier have not been countersigned by qualified internal verifier (2.2.5)	Level 2	Close scrutiny of the integrity of assessment decisions required
Records are insufficient to allow audit of assessment (3.1.2)	Level 2	Close scrutiny of the integrity of assessment decisions required
Previously agreed corrective measures relating to Level 1 sanctions are not implemented (3.2.1)	Level 2	Close scrutiny of the integrity of assessment decisions required
Assessment process disadvantages learners (2.1.1 - 5)	Level 3a Level 3b	3a - Threat to learners 3b - Loss of integrity of assessment decisions - Danger of invalid claims for certification
Assessment decisions are unfair (1.1.2, 2.1.1 - 5, 2.2.1 and 2.2.4)	Level 3a Level 3b	3a - Threat to learners 3b - Loss of integrity of assessment

Non-Compliance and Reference to Approved Centre Criteria	Sanction	Rationale
No qualified internal verifier (1.2.3)	Level 3a Level 3b	decisions - Danger of invalid claims for certification  3a - Threat to learners 3b - Loss of integrity of assessment decisions - Danger of invalid claims for certification
Assessment does not meet national standards (2.2.1 - 4)	Level 3a Level 3b	3a - Threat to learners 3b - Loss of integrity of assessment decisions - Danger of invalid claims for certification
The centre fails to provide access to requested records, information, learners and staff (2.2.6)	Level 3a Level 3b	3a - Threat to learners 3b - Loss of integrity of assessment decisions - Danger of invalid claims for certification
Assessed evidence is not authentic work of learner (3.1.1)	Level 3a Level 3b	3a - Threat to learners 3b - Loss of integrity of assessment decisions - Danger of invalid claims for certification
Records of assessment show serious anomalies (3.1.1 - 4)	Level 3a Level 3b	3a - Threat to learners 3b - Loss of integrity of assessment decisions - Danger of invalid claims for certification
Certification claims made before all the requirements of assessment are satisfied (3.1.3)	Level 3a Level 3b	3a - Threat to learners 3b - Loss of integrity of assessment decisions - Danger of invalid claims for certification
Previously agreed corrective measures relating to Level 2 sanctions are not implemented (3.2.1)	Level 3a Level 3b	3a - Threat to learners 3b - Loss of integrity of assessment decisions - Danger of invalid claims for certification.
Significant faults in the management and quality assurance of the QCF programme, which result in an ongoing failure to meet the core requirements for the core requirements for the conduct of assessment	Level 4	Irretrievable breakdown in management and quality assurance of specific qualifications

Non-Compliance and Reference to Approved Centre Criteria	Sanction	Rationale
Previously agreed corrective measures relating to level 3 sanctions have not been implemented.	Level 4	Irretrievable breakdown in management and quality assurance of specific qualifications
Significant faults in the management and quality assurance of all NVQ programmes	Level 5	Irretrievable breakdown in management and quality
Previously agreed corrective measures relating to a level 4 sanction have not been implemented.	Level 5	Irretrievable breakdown in management and quality

## RISK ASSESSMENT OF CENTRES

Once centres are approved they will be monitored for compliance with the approval evidence and responsibilities using a risk management procedure.

This guidance formalises the procedure to grade and risk assess Approved Centres during External Verifier visits.

External Verifiers will use the following Risk Assessment Grading for all EV visits. This guidance is for clarification on the procedure to specify grades by your EV

Your External Verifier will review each criterion within the External Verifier Report specified under the main headings:

### Planning:

- 1a. Management systems
- 1b. Resources

### Delivery:

- 2a. Learner Support
- 2b. Assessment and Verification

### Monitoring and Review

- 3a. Records
- 3b. Review

### Information to be recorded alongside each criterion:

Alongside each criterion on the EV form there is a box for recording '**Observed evidence**'. This is to allow space for the evidence reviewed to be noted. The box to record the risk grade is headed '**Grade**'. This is determined by the External Verifier. A risk grade must be entered for all approval criteria. Where no evidence for particular approval criterion is offered up, the EV will risk grade that criterion as grade '**E**'

External Verifiers have been instructed to record objective comments only in the main body of the report. I.e. The only information to be specified against each criterion is the 'Observed evidence' and the 'Grade'. Subjective comments may be added by the EV within the section headed 'External Verifier Notes', found at the end of the document.

### Risk assessment for each approval criterion

Each criterion will be graded using the following grading system which remains unchanged:

Grade	Definition
A	Exceeds the criteria and has some examples of best practice
B	Satisfies all of the criteria as defined
C	Minor shortcomings
D	Major short comings
E	Unsatisfactory

### **Overall risk assessment for each section (Section defined as 1a; 1b; 2a; 2b; 3a; & 3b)**

The overall risk assessment for each section will then be identified and entered into the box at the end of the section.

*Note: The overall risk assessment grade for each section, under normal circumstances, will not be greater than the lowest risk assessment grade for any of the criteria within that section. Exceptionally, where an External Verifier feels that the lowest risk assessment grade does not reflect the overall risk for that section the EV may increase the risk assessment grade to reflect the average of the risk grades*

### **Determining the overall Risk Assessment for the Centre**

The **Overall Risk Assessment** for the Centre is determined by taking **the average risk grade for all 6 sections.**

'**Table 5**' within the 'External Verifier Report' has boxes for the EV to record each sections grade as determined during the Centre Visit. The 'Overall Risk Grade' is then specified.

## **AWARDING BODY CENTRE GUIDANCE:**

### **MALPRACTICE**

WAMITAB requires its approved Centres to report any malpractice suspected after candidates have been registered. Failure to co-operate will have implications on the issuing of certificates and the registering of candidates.

Where maladministration or malpractice is suspected in a Centre or partner organisation, WAMITAB will immediately suspend the Centre from making any claims for certification. This will allow an investigation to be carried out and WAMITAB to ensure that adequate safeguards are in place in the Centre to guarantee the validity of the certificates being claimed.

WAMITAB has a responsibility to notify the Regulatory Authorities (Ofqual) when commencing an investigation of a Centre. Furthermore, notification of the Regulatory Authorities is also a mandatory requirement if ever, or whenever evidence is found that certificates may be invalid.

Credit and Qualification Certificates (which include Unit Certificates) are in principle deemed invalid in the following circumstances:

- The evidence assessed is not the candidate's own work
- The candidate is still working towards the qualification after the certificate has been claimed
- The certificates have been claimed on the basis of malpractice, or falsified records
- WAMITAB has issued certificates contrary to the Regulatory requirements and the accreditation agreement

The above guidance sets out the reasons why a certificate may be judged to be invalid. WAMITAB's policy regarding the investigation of these instances is specified in document 'Awarding Body Policy: Malpractice' Document 0030 and is to be read in conjunction with this Centre Guidance document.

## WASTE MANAGEMENT INDUSTRY TRAINING AND ADVISORY BOARD

### Awarding Organisation Policy: Malpractice

#### **WAMITAB policy and procedure for responding to instances of malpractice\* or maladministration**

*\*Note: 'Malpractice' here is used generically. The use of the term includes all aspects of irregularity that could arise following the registration of a learner by a Centre. Eg from maladministration, through to contrived malpractice including the possibility of fraudulent claim of certification.*

#### **WAMITAB (The 'Awarding Organisation') POLICY STATEMENT**

**WAMITAB aims to ensure the full and consistent investigation of all cases involving malpractice, maladministration or other irregularities (which could include falsification of database entries and/or documentation). In all instances WAMITAB will act to protect the integrity of its qualifications, which could otherwise allow these awards and the Qualifications and Credit Framework to fall into disrepute.**

**This policy provides guidance on the procedures to report to the Awarding Organisation suspected cases of malpractice or maladministration. Centres should be aware that failure on their part to co-operate with any investigation process can lead to the Centre being suspended from making any claims for certification.**

WAMITAB's adopted procedures relating to Centre Approval and the on-going delivery of qualifications coupled with the External Verification controls have been carefully designed to pinpoint any instances of malpractice or maladministration within a Centres operational process.

However, Centre Staff and others involved in delivering a WAMITAB qualification also have a duty to report, in confidence, instances where malpractice or maladministration is suspected. If unchecked, this could lead to Centre irregularities, incorrect candidate certification or in the extreme, the fraudulent claim of certificates.

To alleviate the opportunity for instances of malpractice, maladministration or indeed a deliberate act to falsify documents or attempted counterfeiting, WAMITAB has established a process, in three stages, for carrying out checks where irregularities have been notified.

- Stage 1 Receiving notification of a potential claim of an irregularity
- Stage 2 Carrying out additional checks on any awarding documents available
- Stage 3 Processing instances of confirmed malpractice or maladministration

On all occasions when information regarding an irregularity is received by WAMITAB it will be treated as a potential case for maladministration or malpractice until such time as the outcome of the investigation confirms that the Centre actions or award document(s) is authentic.

#### **PROCEDURE:**

##### **Stage 1: Receiving notification of a potential case of irregularity**

- 1 A request for a check on the authenticity of the potential irregularity may be received **in writing** by any member of WAMITAB staff from:
  - a centre representative
  - a learner
  - an external organisation
  - a member of the public
  - a colleague.
- 2 The request for a check, or notification of a potential problem, is immediately passed to the Office Manager for processing to ensure consistency of review and independence from the routine lines of communication with Centres. The Office Manager will inform the Director General of the claim and include other members of WAMITAB administrative staff as required in carrying out the review.
- 3 It is the responsibility of the Office Manager to
  - check that the person initiating the request or notification\*\* has formally submitted the request in writing. (\*\*thereafter referred to as the *original correspondent*)
  - request a photocopy of the award document pertaining to the irregularity, where this is available,
  - acknowledge and log the written request or notification, once received

There may be special circumstances whereby the original correspondent prefers to use alternative methods than submitting the request in writing. WAMITAB is prepared to accept alternative submissions as long as these can be authenticated. In this instance, the Office Manager should be contacted at WAMITAB for further guidance.

- 4 The Office Manager will arrange to:
  - open a secure file for all on-going correspondence and supporting evidence
  - carry out initial checks on the irregularity to confirm or otherwise, a match with the information provided against historical database records (i.e. identification of candidate, date of any appropriate documentation, centre number and title, the title of the award and any inconsistencies in the design of documentation provided or features that would distinguish this from original documentation used within the Centre or Awarding Body).

### **Stage 2: Carrying out additional checks on award documents (e.g. candidate registration documents or certificates etc.)**

- 1 Where the initial checks do not confirm conclusively the authenticity or otherwise of the document(s), it is additionally checked against the original number allocated to the candidate registration document, or certificate if one has been issued.
- 2 Where the checks still call into question an irregularity, or do not confirm authenticity of an awarding body document, a letter is sent by the Office Manager to the *original correspondent* :
  - advising them that the document was not issued by WAMITAB, or that it was issued to a candidate other than that named on it. (Note: This aspect of correspondence will be ultimately determined by WAMITAB's Data Protection Act registration).

- asking for *additional information* including the person whose name appears on the award document, their address and date of birth.
- 3 On receipt of *additional information*, a simple letter of acknowledgement is sent by the Office Manager.
  - 4 If the award is confirmed as authentic, a letter of confirmation is sent by the Office Manager to the original correspondent.

### **Stage 3: Processing instances of confirmed malpractice award documents**

- 1 WAMITAB will inform the Regulatory Bodies if ever, or whenever, it finds evidence that certificates may be invalid and agree the appropriate action necessary
- 2 If *additional information* is provided, a letter is sent to the person named on the malpractice award document by the Office Manager, advising them that:
  - WAMITAB has received a request to confirm the authenticity of an award or document bearing the person's name and that investigations in WAMITAB records have shown that the document was not issued by WAMITAB, or that it was issued to a candidate other than that named on it
  - Unless the person is able to supply evidence that the award was made with the full approval and knowledge of WAMITAB, the document must be considered invalid. Such evidence should include the name and contact details of the organisation through which the candidate was assessed and which registered the candidate on an assessment programme leading to the award offered by WAMITAB. (This process would cover the situation where a centre had perpetrated a fraud on an unsuspecting candidate)
  - It is possible that a criminal offence may have been committed by whoever issued the award document or certificate if it is found to be fraudulent.
  - They must send the original document to WAMITAB together with any copies that have been made and a statement as to how they acquired the award document
  - If WAMITAB does not receive acknowledgement and the document(s) is not returned by a given date, it reserves the right to take legal advice which may result in further action as considered necessary.
- 3 Where malpractice is suspected, a further check is made against any records of previous documents maintained by WAMITAB to identify any previous attempts of fraud made by the same candidate or centre.
- 4 The Office Manager will take any further follow-up action necessary to notify colleagues who need to be alerted to the situation.

## **CUSTOMER CARE POLICY**

**WAMITAB'S Customer Care Policy can be located at**

<http://www.wamitab.org.uk/useruploads/files/0047%20Customer%20Care%20Code%20of%20Practice.pdf>

If you require a written copy of this document please contact the office for this.

## WASTE MANAGEMENT INDUSTRY TRAINING AND ADVISORY BOARD

### STATEMENT ON PROVISION FOR SPECIAL NEEDS AND REASONABLE ADJUSTMENTS

WAMITAB will in conjunction with its approved Assessment Centres consult with relevant learners and/or their representatives to ensure that there are no barriers to entry to units and qualifications offered for disabled people, for women or men, or people from different racial groups, other than those directly related to the integrity of units or qualifications.

The nature of any barriers must be stated and the inclusion of the requirements that create the barrier justified only and explicitly in terms of the integrity of the unit or qualification.

Any details of how the effect of any barriers will be mitigated, including access arrangements, will be determined as 'reasonable adjustments', and recorded using document 0050a.

Full guidance on Special Needs and Reasonable Adjustments can be found at [http://www.awarding.org.uk/documents/files/Documents/FAB\\_Guidance/FINAL%20Good%20Practice%20Guide%20on%20Reasonable%20Adjustments.pdf](http://www.awarding.org.uk/documents/files/Documents/FAB_Guidance/FINAL%20Good%20Practice%20Guide%20on%20Reasonable%20Adjustments.pdf). This is produced by the Federation of Awarding Bodies and is used by most Awarding Organisations.

#### Special Needs

WAMITAB will make provision for special consideration to ensure that candidates who suffer temporary illness, injury or indisposition at the time of independent or external assessment are treated fairly in accordance with guidelines from the regulatory authorities particular to the qualification.

This document specifies the requirements for any special consideration that may be considered necessary for candidates that are unavoidably indisposed at the time of assessment.

Usually, under these circumstances the Assessor in association with other Centre Staff will arrange a mutually convenient date for the deferred assessment to take place.

Where the candidate is indisposed for a relatively short period of time it is expected that the Centre will be able to accommodate assessments at a later date. Where this is not possible and the Centre cannot resolve the issue internally, the Centre should discuss specific requirements with WAMITAB's Qualifications Manager, to agree a resolution.

#### Conditions for eligibility:

Candidates will be considered for 'Special Consideration' pertaining to assessments for the following reasons:

- **Temporary illness/injury:** Conditions - provision of Doctor's Certificate or information pertaining to hospitalisation requirements
- **Indisposition:** Conditions: documented proof that can substantiate the reason for the indisposition

### **Minimum requirements for an award to be made:**

If the candidate's indisposition is long term then this could have an effect on the attainment of the qualification. Where the candidate's indisposition could affect the outcome of the full award, then the Centre will be required to review the evidence produced to date, such that Unit Certificates may be issued, if appropriate.

Unit Certificates will only be issued subject to the minimum requirements being met. E.g. that the evidence produced for the Unit(s) is signed off by the Centre as having fully met VARS and audit requirements.

### **Reasonable adjustments:**

Centre staff should consider the adjustments required in association with the parameters specified below. Where a candidate requires some adjustment to the method by which assessment is usually provided, then this must be discussed with the External Verifier and where appropriate with the Awarding Organisation.

Where adjustments to the assessment process are required, the following requirements must be met:

The 'adjustments':

- a. do not invalidate the assessment requirements set out in the specification for the relevant qualification
- b. reflect the current needs of the individual candidates and, as far as is reasonably possible, their usual methods of working
- c. do not give the candidates an unfair advantage compared to candidates for whom reasonable adjustments are not being made
- d. maintain the relevance, reliability and comparability of the assessment

### **Guidance to Centres on issues that should be able to be addressed by the EV**

In the first instance, Centres should discuss the particular requirements with their EV, along with proposals to resolve the candidate needs.

Centres will be given a level of discretion to incorporate 'reasonable adjustments' that relate to overcoming specific candidate needs that do not give the candidate an unfair advantage over candidates for whom no adjustments are made. E.g.:

- assisting with access to assessment locations where these are external to the regular place of work and outside the area where competence would normally be demonstrated
- Changes to the assessment materials/documentation to meet the candidate needs (e.g. changing the font size of assessment documents to match that produced by the candidate as naturally occurring evidence)
- Meeting language and other literacy issues. (Note consideration of the use of an interpreter during assessment must be raised with the WAMITAB.)

Examples of instances where the WAMITAB must be contacted:

- Use of simulation (where permitted)
- Use of an interpreter
- Use of a surrogate site for assessment where the usual site does not provide suitable resources
- Anomalies identified within the awards which may have an affect on other candidates.

All learners with Reasonable Adjustments should be documented by the centre, granted adjustments according to the Federation of Awarding Bodies guidance (as listed in first paragraph of this document) and provide evidence of any reasonable adjustments to WAMITAB as required (this may be medical evidence, assessment by educational psychologist, etc)

## GUIDANCE ON EXEMPTIONS AND RECOGNITION OF PRIOR LEARNING

### Exemptions

The requirements and expectations for exemption in the QCF are set out in the Regulatory arrangements for the Qualifications and Credit Framework (Ofqual/08/3726). They are based on the following definition of exemption:

*The facility for a learner to claim exemption from some of the achievement requirements of a QCF qualification, using evidence of certificated, non-QCF achievement deemed to be of equivalent value.*

This means that learners who have certificated achievements outside of the QCF can claim exemption from units within QCF qualifications that are deemed to be of equal value. Therefore a learner could achieve a qualification through a combination of credits awarded for one unit within the QCF, and exemption from the requirement to achieve credits for a unit or units based on certificated achievements outside the QCF. The sort of qualifications which may fall into this category are University Degrees or Awards, HNDs, older style NQF qualifications from other awarding organisations or professional bodies, etc. The key is that they must be at the same level and value as the unit against which exemption is requested.

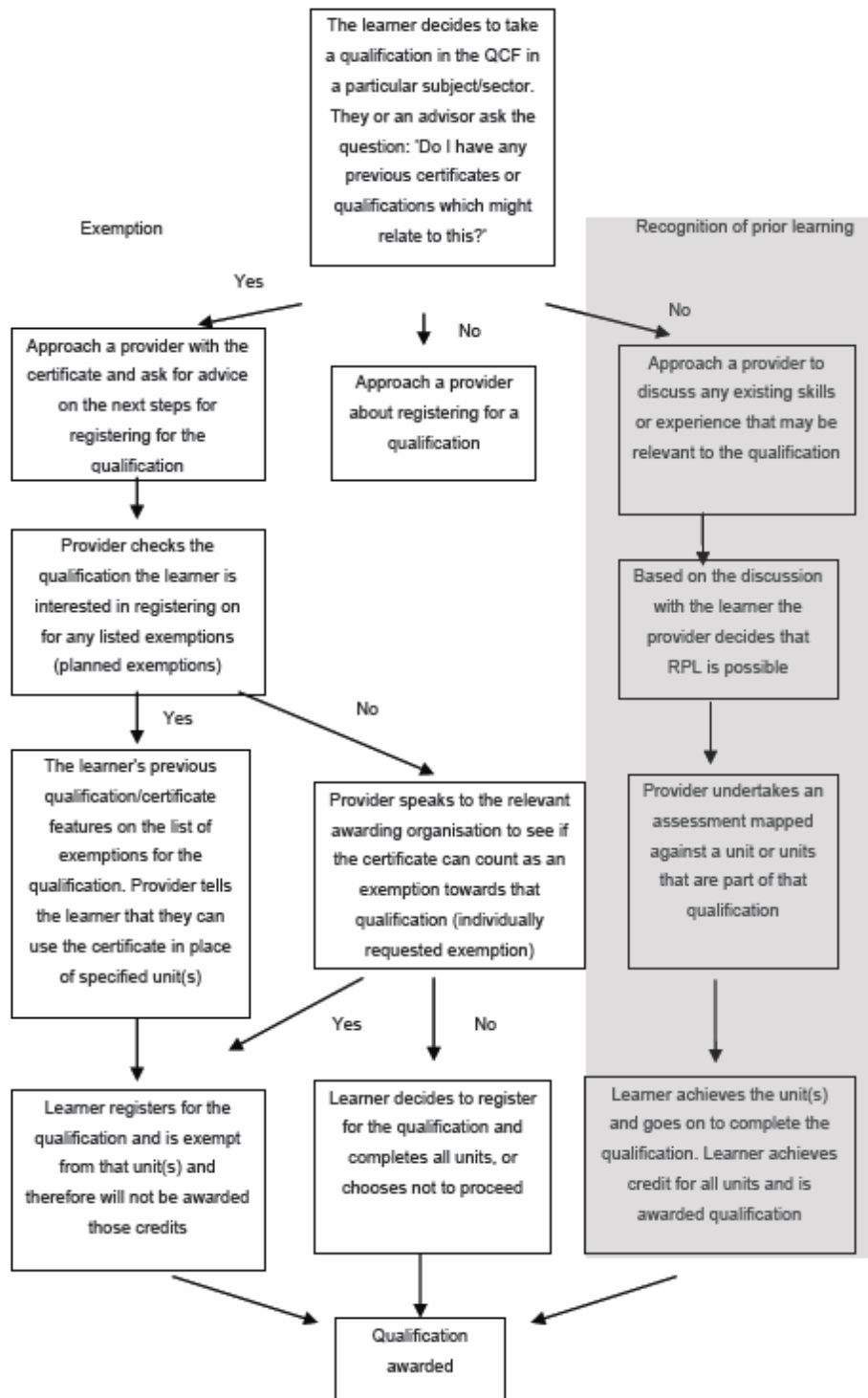
### Recognition of Prior Learning (RPL)

RPL is defined as a method of assessment that considers whether a learner can demonstrate that they can meet the assessment requirements for a unit through knowledge, understanding or skills they already possess and do not need to develop through a course of learning. The process for this is illustrated in the document on the following page.

### General

Centres must ensure that they have arrangements in place to:

- a) Communicate the understanding of Exemptions and Recognition of Prior Learning to Learners and relevant staff
- b) Allow learners the option of both Exemptions and Recognition of Prior Learning for units. These must be discussed with WAMITAB and recorded on the learner's assessment records.



Note: Learners cannot be awarded credit for exemption because awarding credit for certificated learning outside the QCF would mean awarding credit for achievements twice.



**WAMITAB**  
Peterbridge House  
3 The Lakes  
Northampton  
NN4 7HE  
Tel: 01604 231950  
Fax: 01604 232457  
E: [info.admin@wamitab.org.uk](mailto:info.admin@wamitab.org.uk)  
[www.wamitab.org.uk](http://www.wamitab.org.uk)