



# Skills and Training Services (STS)

## Local Operating Procedure

### Internal Quality Assurance (IQA) Strategy and Procedures

---

#### Version Control Sheet

Document Title	Internal Quality Assurance (IQA) Strategy and Procedures
Author	Jacqueline Beavis & Debbie Illidge
Owner	Mike Hampton
Doc version/status	V2.0
Date issued	20/01/2025
Renewal Date	31/07/2025

#### Version History

Version	Date	Summary of changes
V1.0	30/10/2023	First Issued
V1.1	30/10/2024	Annual Review
V2.0	20/01/2025	Annual Review

#### Approval

Name	Job Role	Date	Signature
Mike Hampton	Quality Improvement and Audit Manager	20/01/2025	<i>M. Hampton</i>

#### Change Control

Any requested changes to this document should be emailed to: [mike.hampton@serco.com](mailto:mike.hampton@serco.com)



**Contents**

Introduction ..... 3

Objective ..... 3

Responsibilities ..... 3

Procedure ..... 4

Plan, operate and evaluate internal assessment and quality assurance systems ..... 4

Support and Develop Delivery Staff ..... 6

Monitor and Improve the Quality of Teaching, Learning and Assessment Practice ..... 7

Apply Policies, Procedures and Legislation to Meet External and Regulatory Requirements ..... 7

---

## Introduction

The term “learner,” within this policy, is used to describe all learners and apprentices involved with Skills and Training Services, this also includes those learners enrolled with subcontractors.

Internal Quality Assurance (IQA) forms one part of Skills and Training Services Continuous Improvement Framework and focuses on Skills and Training Services responsibilities, as a centre, to ensure optimum delivery and assessment of qualifications as required by its awarding organisations.

Individual contracts, for example Skills Bootcamps, may require an amended sampling strategy, this will be reflected within the individual sampling plans.

This policy must be read in conjunction with the following:

- CPD Policy
- OTLA Policy
- Recognition – Accreditation of Prior Learning (RPL) Policy
- Assessment, Marking and Invigilation Policy
- Safeguarding Policy
- Complaints and Appeals Policy

---

## Objective

The IQA strategy and procedure is intended to ensure:

- Effective delivery that meets learners’ expectations of the agreed learner journey.
- The accuracy and consistency of assessment decisions.
- That delivery staff are consistent with their interpretation of the qualification and/or national occupational standards.
- The maintenance of documentation and audit trail to enable certification and distribution to learners.
- Monitoring, review, and evaluation for continuous improvement.

---

## Responsibilities

The role of the Continuous Improvement Team and IQA is key and has many responsibilities. The four main aspects are to:

- Plan, operate and evaluate internal assessment and quality assurance systems.
- Support and develop delivery staff, this is also the responsibility of line managers.
- Monitor and improve the quality of assessment practice, which includes monitoring of EQA reports and actions.
- Apply strategy, procedures, and legislation to meet external/regulatory requirements.

## Procedure

### Plan, operate and evaluate internal assessment and quality assurance systems.

The IQA is responsible for creating a representative sampling plan for each member of the delivery staff, either as part of the e-portfolio system or manually (either way this must be readily available to the business).

The sample will include interim, formative, and summative sampling in line with the strategy. All new delivery staff will be rated red, and the percentage of sampling will be reduced once the risk assessment has been completed.

RAG rate	Percentage of units sampled*	Supportive sessions
Green	20%	6 months
Amber	50%	3 months
Red	100%	monthly

*\*% of sample is based on the number of units in the qualification*

The sampling strategy can be amended based on the contract the programme is being delivered under and other stakeholder requirements. Any deviance to the above sampling strategy must be outlined in the individual sampling plans. For example, some Higher Education institutions will sample 10% of passes and all the fails.

The IQA will sample across all qualifications based on the CAMERA rationale. Sampling must ensure it is covering all stages of the learner's journey.

<b>C</b>	Candidates	All Learners will, during their programme, be sampled regardless of Ethnic origin, gender, employed full or part time, special requirements
<b>A</b>	Assessors	Experience, qualifications workload, occupational experience, location, CPD
<b>M</b>	Method of Assessment	Oral and written questioning, observation, RPL, product evidence, professional discussion, assignments, projects, witness testimony
<b>E</b>	Types of evidence	Written confirmation that the evidence is valid, authentic, current, and sufficient, problem areas, special requirements
<b>R</b>	Records	Reports from assessors, correct assessment practice, Continuous Improvement Team records, learner portfolios and files
<b>A</b>	Assessment locations	Workplace assessments, other assessment locations

## Apprenticeship Provision

### 4 Week Check (completed as part of 4-week progress review carried out by Coach)

- Correct awards assigned for the qualification/standards as required – for example main Aim/Diploma, Functional Skills, and Technical Certificate/mandatory qualifications.
- Subsequent sessions/contact has been planned.
- Rules of Combination are correct.
- Any exemption certificates uploaded and valid, including change of name evidence.
- Individual target dates set for each element of the qualification, including Functional Skills, depending on level/ability of the learner.
- Learner induction completed.
- Initial and diagnostics assessments completed as required and recorded, including ALS (as required).

### Interim Sample: 4 months from Start Date (completed as part of caseload review with Apprenticeship Manager and Coach)

- 10-week progress review has been completed.
- Registration with awarding body is correct and complete.
- 20% off the job recorded – minimum 6 hours per week if full time, pro-rated for part time (see funding rules).
- Workshops, Learning Sessions, and Assessment records in place and added in a timely manner, detailing intended learning outcomes and feedback from the session.

### Formative/Interim Sample (completed once first/draft submission and marked by tutor, per module, carried out by IQA)

- Quality of evidence sampled against criteria claimed.
- Marking and feedback of work is appropriate and in line with Assessment, Marking and Invigilation Policy.

### Formative/Interim Sample (completed as part of caseload review with Apprenticeship Manager and Coach)

- Functional Skills (FS) tests sat or planned.
- EPA readiness reviewed.
- A variety of evidence types are available for review.
- Session records in place and added in a timely manner.
- 20% off the job recorded - minimum 6 hours per week if full time, pro-rated for part time (see funding rules).
- Completed units' evidence has been checked and signed off.
- Previous IQA actions completed.
- Quality of evidence sampled against criteria claimed.

Any Apprenticeships where the duration is more than 12 months will have regular samples, as deemed appropriate, based on RAG rating of the delivery staff or planned end date.

### Summative Sample (completed once final submission and marked by tutor, per module, carried out by IQA)

- Quality of evidence sampled against criteria claimed.
- Marking and feedback of work is appropriate and in line with Assessment, Marking and Invigilation Policy.

### Summative Sample upon Submission (completed by Coaches, working with Skills Admin team at Gateway)

- All Functional Skills tests achieved (where applicable).
- A variety of evidence types meets the minimum requirements.
- All previous IQA actions completed.
- 20% off the job recorded - minimum 6 hours per week if full time, pro-rated for part time (apprenticeships).

- Final session record in place.
- All required completion paperwork for funding purposes.
- Gateway documents completed and EPA readiness is determined.
- Check duration is at least 1 year and 1 day.
- All records of sampling should show a planned date and actual date of sampling.

## Non-Apprenticeship Provision

### Interim within 4 weeks of commencement of learning (IQA)

- All learners are registered with the awarding body as appropriate and in line with awarding body & contract requirements.
- Registration numbers are logged on the IQA tracking system.
- Review of Assessment tools to ensure all criteria is covered and appropriate to meet the certification requirements set out in the qualification specification.

### Summative (IQA)

- Timely review & IQA of learner work in line with assessment deadline
- A variety of Assessment formats are reviewed.
- Quality of evidence sampled against criteria claimed.
- Completed evidence is signed by both Tutor and Learner
- All previous IQA actions have been completed.
- Evidence is saved on the appropriate Serco platform and is accessible for review.

### Formative (IQA)

- All required completion paperwork is complete.
- Certification approval is completed on the IQA tracking tool.
- Any withdrawals are completed with the Awarding organisation.
- Certificates are claimed with the Awarding body or completed on the Serco template where there is no aligned awarding body within 4 weeks of completion of learning.

## Support and Develop Delivery Staff

The IQA, Skills and Training Services Continuous Improvement Team and Line Managers all have the responsibility to guide, support and monitor the continuing professional development (CPD) of delivery staff. CPD must include occupational updating in line with the regulatory and professional requirements, and the Skills and Training Services CPD Policy, including:

- New delivery staff to the team, centre, or qualification.
- Programme or qualification changes.
- Following an External Quality Assurer (EQA) activities or other inspections.

Line Managers must ensure that all delivery staff have:

- A thorough and structured induction.
- A tailored support session completed with an action plan to support areas for development.

The Line Managers, IQA and Skills and Training Services Continuous Improvement Team must ensure:

- All delivery staff CVs are on file, and demonstrate skills, knowledge, experience, and competence (where required) at an appropriate level. The CV must be updated annually as a minimum.
- Copies of original certificates, including assessor awards and subject specific, are on file.
- A support strategy record which details their strategy for each delivery staff and the qualifications they are delivering.
- CPD records that demonstrate that all team members have completed development activities

required by the relevant assessment strategies, and in line with the Skills and Training Services CPD Policy.

The IQA will also support delivery staff by standardising assessment judgements. This is to ensure that:

- Consistent and valid decisions are made.
- There is continuity in judgement.
- All learners are assessed fairly.

Any relevant changes to staffing will be reported to the awarding body, in line with each awarding bodies requirements.

Standardisation meetings must be undertaken with all team members on a regular basis, in line with awarding body requirements. All standardisation activities should be recorded in sufficient detail so that third parties such as the EQA can fully appreciate what has been carried out and the outcome. The minutes of each meeting must be uploaded to the appropriate folder on the electronic platform, showing examples of good assessment practice, preparing for external verification visits, feedback from awarding body visits, actions etc. changes of qualification and requirements.

---

### **Monitor and Improve the Quality of Teaching, Learning and Assessment Practice**

The IQA, Skills and Training Services Continuous Improvement Team and Line Managers are responsible for monitoring and improving the quality of teaching, learning and assessment practice. The Skills and Training Services Continuous Improvement Team will carry out observations of both teaching, learning delivery and progress reviews, as outlined in the OTLA policy. The IQA will carry out observations of Assessment (where required), following the same principles outlined in the OTLA Policy.

---

### **Apply Policies, Procedures and Legislation to Meet External and Regulatory Requirements**

All staff within Skills and Training Services are responsible for ensuring that policies and procedures are implemented, including legislation and those of the awarding organisation, e.g., secure transport and storage of learner work, maintaining confidentiality, implementing the requirements for data protection etc.

When inspected, audited, or monitored by an external agency, the following range of information will be made available:

- Numbers of current registered learners per qualification and level.
- Centre enrolment and awarding organisation registration details.
- Delivery staff details – specifically CVs, CPD records, assessor qualifications (D units, A1, V1 or relevant TAQA units), development plans and workloads.
- Progress reviews and achievements, special assessment requirements and equal opportunities monitoring information.
- Details of learning and assessment sites.
- Details of satellite, franchise, or partnership arrangements.
- IQA sampling strategy.
- IQA records including feedback to delivery staff.
- Records of claims for certification.
- Learner work and/or portfolios.
- Minutes of relevant internal meetings.
- Records of standardisation activities/meetings.

---

## **Complaints and Appeals**

Skills and Training Services Complaints and Appeals Policy to be followed.