Centre Self-Assessment guidance for Work-based Learning Programmes

Year 2020 – 21
## Version Control

<table>
<thead>
<tr>
<th>Version and Date</th>
<th>Summary of changes</th>
<th>Section/Page number</th>
</tr>
</thead>
<tbody>
<tr>
<td>October 2019 V2.0</td>
<td>Date change – front cover&lt;br&gt;Amended feedback narratives&lt;br&gt;New table to capture staffing details by programme area.&lt;br&gt;Examples provided</td>
<td>Page 1&lt;br&gt;Page 8 - Section 3 Assessment and Internal Verification</td>
</tr>
<tr>
<td>August 2020 V3.0</td>
<td>Date change- front cover&lt;br&gt;Date changed on footers</td>
<td>Page 1&lt;br&gt;All pages</td>
</tr>
<tr>
<td>September 2020 v4.0</td>
<td>Revised list of qualifications under WBL QA model</td>
<td>Page 4</td>
</tr>
</tbody>
</table>
Contents

Introduction .................................................................................................................................................. 4
Management Arrangements ......................................................................................................................... 5
Learner Support ........................................................................................................................................... 8
Assessment and Internal Verification ........................................................................................................... 11
Introduction

The Lead Standards Verification (LSV) Quality Assurance framework covers all aspects of our Work Based Learning qualifications.

**Work-based learning programmes are defined as:**

- Level 1 – 7 Pearson Edexcel and Pearson NVQs and competence-based qualifications regulated by Ofqual
- Pearson Scottish Vocational Qualifications (SVQs) regulated by SQA Accreditation
- BTEC Apprenticeship frameworks (except the Functional skills suite)
- BTEC Security and Fire qualifications
- BTEC Taxi*
- Personal and Social Development
- BTEC WorkSkills
- BTEC Entry Levels 1–3
- BTEC Introductory Level 1
- BTEC specialist qualifications including:
  - Cleaning, facilities and hospitality
  - Goods, warehousing, transport and logistics
  - Business Admin, Team Leading, Customer Service and Management
- On programme qualifications for the new apprenticeship standards

Standalone BTEC Specialist (where you do not offer BTEC Firsts or Nationals)

*If you deliver BTEC Specialist qualifications as part of an apprenticeship or alongside other Work-based Learning qualifications, then your Work-based Learning Lead Standards Verifier will include these within their review.

If your centre also delivers BTEC qualifications, you may be aware that the Quality Management Review (QMR) process and the Centre Engagement Document was previously removed from September 2019. This has been replaced by a new and more streamlined approach, with the introduction of the BTEC Lead Standards Verifier (BTEC LSV) and an Annual Centre Declaration.

If your centre delivers both WBL and BTEC qualifications, your centre will receive support from a Work Based Learning Standards Verifier, and either a BTEC Lead Standards Verifier, or a Pearson QA Advisor (depending on learner numbers). This is to provide you with the best support for the qualifications that you deliver.

In September 2019 we reviewed and revised our LSV quality assurance framework to take account of new technologies and our changing portfolio of qualifications. Please see key changes below:

- The first page of the centre self-assessment record requires your centre details and programmes; it would be helpful if you included future projected learner numbers by programme in this section.
- The next section gives you the opportunity to list any learners registered on individual units rather than the full qualification. Again, it would be helpful if you included future projected learner numbers by programme / units in this section.
- We have introduced the contextualised information section this year. Please consider using this section to tell us about your company, include information about your organisational plans for 2020/21, for example any changes to your delivery staff, centre mergers etc.
1. Management Arrangements

<table>
<thead>
<tr>
<th>Centre self-assessment criteria</th>
<th>Centre guidance</th>
</tr>
</thead>
</table>
| **1.1** Certification claims on each programme area are confirmed by an appropriate Internal Verifier/IQA. | Consider:  
- Evidence, which shows accurate data in respect of certification, claims.  
- Providing an organisational chart showing each accountable Internal Verifier by programme.  
- Your centre's documented systems with regard to certification claims. |
| **1.2** A coherent administrative system is used for all qualification programmes that captures and securely stores learner details from enrolment to completion of their award(s). | Showcase your administration systems.  
Consider:  
- Discussing how you monitor learners on their programme at all stages.  
- Referring to your quality management, data management or equivalent strategy.  
- Consider any learner engagement or experience surveys.  
**When your LSV visits**  
Summarise your administration system and be prepared to show examples of data records and storage. |
| **1.3** The programme's Internal Verifiers and Assessors from all sites are effectively standardised to deliver programmes to national standards | Consider outlining any planned quality calendar events regarding team standardisation events.  
Reference your last 12 months team standardisation events and comment on themes.  
Which units have you standardised within which programme over the last 12 months?  
**When your LSV visits**  
Provide written procedures and meeting notes to show that all assessment decisions are consistent when your LSV visits. |
| **1.4** There are appropriate and adequate resources allocated to each qualification programme | How/Where can learners and staff access resources?  
Summarise by programme or sector what resources are available.  
It may be helpful if you review the detail on your programme approval form to ensure the resources noted are still available.  
Resources may include work-based materials, equipment/machinery, clothing, learning support materials, IT, staffing (assessors, tutors, IVs). |
<p>| | |</p>
<table>
<thead>
<tr>
<th></th>
<th></th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>1.5</strong> The centre has a written code of practice and/or contract is in place between any satellite, outreach, linked centres/sites and work placements</td>
<td>Ensures that staff are and continue to be competent in the subject/occupational areas within which they operate and that they are competent to assess and internally verify, using appropriate assessment approaches.</td>
</tr>
<tr>
<td></td>
<td>If appropriate: • There should be a written code of practice in place to support any sub-contracting. • There should be a responsible officer/person who monitors any contracts. • List the number of satellite centres. • What workplace checks are completed prior to the learner commenting their work-based learning programme?</td>
</tr>
<tr>
<td><strong>When your LSV visits</strong></td>
<td>You may be asked for addresses of any sub-centres (sub-sites). Your LSV may recommend a sector SV visit to one of your satellite locations or learner work places so an observation of assessment practice can take place.</td>
</tr>
<tr>
<td><strong>1.6</strong> Operational centre planning considers recommendations/reports of the Standards Verifier, the Internal Verifier and other inspection agencies</td>
<td>Identify if the Internal Verification reports are used to continually develop the assessor and the programme as a whole. Show how you have used your SV reports to drive internal quality and excellence in programme delivery. If you have had any recommendations from inspection agencies, how have these been implemented, tested, and measured?</td>
</tr>
<tr>
<td><strong>When your LSV visits</strong></td>
<td>Your programme leaders may be asked to outline any quality improvements made as a result of an inspection agency visit i.e. Ofsted</td>
</tr>
<tr>
<td><strong>1.7</strong> Action points from the Standards Verifiers are addressed within the timescales given.</td>
<td>Detail how your quality assurance model deals with any action points from your SV.</td>
</tr>
<tr>
<td><strong>When your LSV visits</strong></td>
<td>You may be asked for any internal reviews of sampling strategies. Any evidence of corrective actions as identified within your SV reports.</td>
</tr>
<tr>
<td><strong>1.8</strong> Within the last 2 years, have you had any level 2 or above sanction attached to your programmes?</td>
<td>Standards Verifiers will provide support, advice and guidance to centres to achieve Direct Claim Status (DCS).</td>
</tr>
</tbody>
</table>
DCS is reviewed annually. Once DCS is confirmed it generally lasts for 365 days.

Certificates for all newly approved qualifications are automatically blocked until the Standards Verifier is satisfied that national standards are being consistently met and that internal quality assurance is robust.

**Detailed below is a list of sanctions at level 2 and above.**

**Level 2 Sanction**

**Removal of direct claims status**, i.e. claims for certification must be authorised by the external verifier

**Limited Certification** in some situations, for example where learner evidence meets national standards, but this has not been demonstrated consistently over time, the Standards Verifier may recommend limited certification for individual learners.

**NYFS** meaning that the programme is not yet fully sampled.

**Level 3 Sanction**

- (a) Suspension of registration
- (b) Suspension of certification

**Level 4 Sanction** - Withdrawal of qualification approval of specific programmes

<table>
<thead>
<tr>
<th>1.9 Does each Assessor and Internal Verifier have an up-to-date and recorded CPD / personal development plan?</th>
<th>You must provide appropriate training and development opportunities to enable assessors and IVs to meet their responsibilities and gain a common understanding of relevant standards and other assessment requirements. Outline how staff are and continue to be competent in the subject/occupational areas within which they operate. <strong>When your LSV visits</strong> You will be asked for records of all staff development.</th>
</tr>
</thead>
<tbody>
<tr>
<td>1.10 Has your Pearson Annual Terms and Conditions been signed by Head of Centre?</td>
<td>For centres delivering qualifications on EOL, the Head of Centre is required to sign and submit the Pearson Terms and Conditions annually. For centres delivering qualifications on QMA, guidance on this process will be provided to you in due course.</td>
</tr>
</tbody>
</table>
2. Learner Support

| 2.1 Is there a structured induction process, which provides information about the Centre, the qualification(s) programme, assessment process, appeals procedure, equality of access to assessment and advice/support available? | Review and summarise the information, advice, and guidance about qualification procedures and practices, which are provided to learners and potential learners. Consider your learner guidance and induction materials, reference any induction workbook or similar. Add any details of support services available. How is the learner informed about of Appeals / complaints procedure? *When your LSV visits* Showcase:  
- your induction material, workbooks etc  
- learner complaints procedure  
Outline any appeals received within the last 12 months and explain how these were recorded and dealt with. |
<table>
<thead>
<tr>
<th></th>
<th></th>
</tr>
</thead>
<tbody>
<tr>
<td>2.2 Are learners informed of progression and development opportunities?</td>
<td>Explain how your learners have regular opportunities to review their progress and goals and to revise their assessment plans / structured reviews accordingly. <em>When your LSV visits</em> Be prepared to showcase a selection of learner reviews and revised assessment plans. Have access to any systems used to store information.</td>
</tr>
<tr>
<td>2.3 Learners’ individual needs are systematically assessed, and positive action taken to provide appropriate support.</td>
<td>Explain any reasonable assessment adjustments made for learners. Reference assessment policy, procedure and practices, when were these last reviewed? Did you include any user involvement in the review i.e., learners, assessors, employers, IVs etc? Do you have any examples of developing arrangements for learners with protected characteristics as defined within the Equality Act 2010? <em>When your LSV visits</em> Showcase any examples of the above Have a copy or access to your documented assessment policy, procedure and practices. Programme leaders may be interviewed.</td>
</tr>
</tbody>
</table>
| 2.4 There is an effective system in place, which monitors and records all work / assessment and learning placements are suitable and safe. | Outline what systems you have in place to ensure that equipment and facilities comply with relevant safeguarding, health and safety and other regulatory requirements. **When your LSV visits**  
You may be asked for evidence of:  
Workplace Public employee liability information  
Reviewed Health and Safety policy |
|---|---|
| 2.5 Learners have access to equipment, support materials, resources (including I.T.) needed for their programmes | Outline what checks and balances you undertake to ensure your equipment and accommodation used for the purposes of assessment comply with the requirements of relevant health and safety regulations.  
Consider listing some of the assessment equipment used by programme. **When your LSV visits**  
A range of contemporary, industry-standard services, professional products, tools, materials, equipment, and ICT facilities must be available for use to enable learners to properly develop the full range of skills required for the occupational sector.  
You may be asked to provide assurance that the equipment is in place and utilised. You may be asked how learners and staff are supported to access and use any e-portfolio systems. |
| 2.6 Learner assessment tools are suited to the programme and learners receive appropriate and regular guidance and support which is monitored for quality and timeliness. | Evidence drawn from 2.1, 2.2 and 2.3  
Any evidence of learner experience / engagement survey data.  
Review previous SV reports to identify any assessment, feedback developmental or action comment. **When your LSV visits**  
You may be asked to identify your assessment and internal verification records how they track additional support requirement. |
| 2.7 Assessment and Internal verification records and learner progress are recorded and tracked on all programmes | Evidence will be drawn from Criteria 2.2 and 2.6  
Evidence of team meetings where learner progress is discussed.  
Any examples of action taken when assessment or IV records failed to meet the organisational requirements.  
Outline your learner management system, and consider explaining if this links to any e-portfolio system etc |
<table>
<thead>
<tr>
<th>When your LSV visits</th>
</tr>
</thead>
<tbody>
<tr>
<td>You may be asked for a selection of evidence tracking records by programme and copies of team meeting notes.</td>
</tr>
</tbody>
</table>
3. Assessment and Internal Verification

The table provided will allow you to complete the required information.

**Top Tips**
Within the Centre Self-Assessment template, we have included an example of the information required.

<table>
<thead>
<tr>
<th>Name</th>
<th>Role</th>
<th>Qualified</th>
<th>Full / Part Time / Sub contracted</th>
<th>Programme area / caseload</th>
</tr>
</thead>
<tbody>
<tr>
<td>Example</td>
<td>Assessor</td>
<td>Yes</td>
<td>FT</td>
<td>Business Improvement</td>
</tr>
<tr>
<td>John Smith</td>
<td>IQA</td>
<td>Yes</td>
<td>Sub-Contracted</td>
<td>Business Suite</td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
<td>Hospitality</td>
</tr>
</tbody>
</table>

When answering these questions, please consider the qualifications that belong to each programme sector.

**For example, Business Suite to include:**
- L2 Team Leading, L2 Business Administration
- L3 Management, L3 Business Administration
- L4 Management NVQ and BTEC
- L5 Management and Leadership NVQ and BTEC

Please list all Assessors qualified and unqualified.

Please state if the assessor works:
- Full Time (FT)
- Part Time (PT)
- Sub-contracted

Please state the number of learners per assessor per programme area.

**Top Tip**
**Dedicated** = Those assessors allocated to the delivery of the programme or programmes within the sector, include subcontracted, full time, part time and associate freelance assessors.

Please list all Internal Verifiers qualified and unqualified.

Please state if the IV works:
- Full Time (FT)
- Part Time (PT)
- Sub-contracted

Please state the number of assessors supported by each IV for each programme area.