

ILM QUALITY ASSURANCE PROCESS GUIDELINES 2008-2009



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ILM QUALITY ASSURANCE PROCESS – GUIDELINES 2008-09

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1 INTRODUCTION

The Quality Assurance (QA) process applies to all qualifications: VRQs, S/NVQs, specialist options, endorsed and development programmes and applies across both centres and providers in the UK. It will be implemented across our international customers during 2009.

The QA process has been developed as good practice in response to customer feedback and will deliver the following benefits:

- Direct claim status to enhance the speed of delivery of certificates, where appropriate
- Reduction in the volume of paper generated
- Each customer treated as an individual centre/provider with the appropriate level of support and monitoring, thus providing tailored support
- Enhanced role for the EVs with a consistent approach

These guidelines have been issued to provide detailed guidance to ILM centres and providers on the new QA process and form part of the QA manual for our team of EVs.

2 QUALITY ASSURANCE FOR CENTRES

2.1 Introduction

The QA process signals a changing role for the ILM EV, focusing on the centre's internal quality assurance processes to ensure the integrity of ILM qualifications. There will no longer be EV involvement in the assessments of unitised VRQ qualifications (however, the EV will be involved in the assessment process for non unitised / old certificate and diploma VRQs).

The QA process is integrated in the Quality Monitoring System (QMS) which includes electronic verifier reporting and allows for a fast-track approval process where a centre has been approved with another awarding body. This is in response to a drive from QCA endorsed by the Joint Council for Qualifications (which includes the largest awarding bodies) to reduce bureaucracy for centres.

2.2 The role of the external verifier (EV)

The new QA approach focuses our EVs on confirming the decisions made by the centre's internal QA staff by undertaking an appropriate sample with pre-planned interventions.

This approach will mean EVs:

- Reviewing internal QA practice and processes within the centre to ensure they are robust and consistent
- Ensuring the centre is delivering the correct number of mandatory and optional units, and for VRQ programmes, meeting the minimum total requirement for guided learning hours (glh) in line with the guidelines for unit-based qualifications
- Monitoring assessment vehicles for optional units
- Confirming through sampling that all learner internally verified/assessed work within a centre meets the assessment criteria (including some non internally verified work)
- Sampling across a range of assessment methodologies

- Confirming that learner induction has been provided satisfactorily
- Ensuring sufficient and satisfactory tutorial support is provided
- Gathering feedback in a range of ways from learners and stakeholders
- Providing support, guidance and share best practice with centres

Fundamental to the new QA approach is a shift in the balance of verification responsibilities, with the centre undertaking planned internal verification and the EV undertaking an appropriate level of external verification in accordance with the QQR Tariff for each qualification or programme.

The key aims are to enhance the role of the EV, to ensure we fully support centres that require additional assistance and to actively encourage EVs to share best practice across all centres. EVs will continue to provide information to centres on added value opportunities eg ILM resources, events, studying membership, corporate membership and additional qualifications or endorsed and development programmes.

2.3 Impact on ILM centres and providers

A critical aspect of the new QA strategy requires all ILM centres or providers (of endorsed programmes), to provide the EV with an electronic copy of the internal quality assurance (IQA) sampling plan at the start of programme. It is anticipated that the IQA sampling plan will be updated in the light of changes of results, staffing, and delivery and/or assessment practices. All changes in the IQA plans should be communicated to the EV.

Because ILM recognises the diversity of practice in our centres it does not prescribe the format of the IQA sampling plan. However, Appendix 2 on IQA has been included for guidance purposes only. Appendix 5 provides guidance on ILM sampling requirements.

ILM has provided an indication of the minimum level of IQA or internal verification to be undertaken by the centre via the QQR Tariff. This is detailed in Appendix 1.

Because ILM is now able to facilitate direct claims status, centres and providers will be required to keep all learner evidence, including assessments, for at least six months or until the EV has completed the required level of verification. This does not impact on the requirement for the centre records to be retained for a 4 year rolling period.

Similarly, centres offering a new qualification will have to keep learner assessments for six months until they have been reviewed by the assessment support team.

3 PRINCIPAL ELEMENTS OF THE QUALITY ASSURANCE PROCESS FOR CENTRES

3.1 Introduction

There are two primary elements within the QA process which relate to each other:

- Qualification Quality Rating (QQR) Tariff
- Centre Support Status (CSS)

The guidelines explain each individually and then explain their interconnection. Details of each QQR Tariff are in Appendix 1.

3.2 Qualification Quality Rating (QQR) – Tariff for centres

The QQR Tariff indicates the 'status' of a qualification within a centre. It determines:

- The minimum level of IQA sample and the minimum level of EV sample
- The certification status for each qualification and indicates whether or not direct claim status is allocated

The QQR Tariff categories apply to active qualifications (those with current learner registrations) and are based on the QCA Code of Practice and Tariff of Sanctions (November 2006).

There are five QQR Tariffs that directly link to the Tariff of sanction codes:

- None No EV signature required: direct claims status - no action plan
- 01 No EV signature required: direct claims status - with action plan
- 02 EV signature required
- 3a Suspend registrations
- 3b Suspend certification

In addition, two further codes, again drawn from the QCA Code of Practice can be used:

- 04 - Withdraw qualification approval
- 05 - Withdraw centre approval

Codes 04 and 05 will only be applied as a joint decision by the Head of Quality & Administration and the relevant Quality Manager (QM), following recommendations by the EV.

3.3 How QQR Tariffs are allocated

The QQR Tariffs for each qualification level are recommended by the EV on the electronic reporting system and confirmed by the QM. QQR Tariffs of 3a and above have to be confirmed by the Head of Quality & Administration.

All QQR Tariffs for new qualifications offered by a centre default to 02, and cannot have direct claim status initially.

3.4 When QQR Tariffs can be changed

The rating may change during the 12 month annual centre review period as a result of further EV activity: centre visits, remote monitoring, the annual centre review or possibly feedback received from the assessment support team or quality assurance team. The decision to amend any ratings would be that of the EV and be confirmed by the QM.

3.5 When the centre disagrees with the QQR Tariff

The centre has the opportunity to raise a query via phone or email within 10 working days of receipt of the electronic report with the QM or the quality assurance manager, should there be an issue relating to the QQR Tariff. The QM will review the evidence and rationale supporting the EV recommended quality rating and discuss with the centre within a further 5 working days. If no agreement is achieved the query may be escalated to an appeal and an independent representative will be identified via the Head of Quality & Administration to review the QQR Tariff appeal. This process forms part of the overall ILM appeals process outlined in the centre manual, section 14.

3.6 Qualification approval

Approval for any new VRQ qualifications will be for the complete suite ie award, certificate and diploma at level 3 for a common subject area. If the centre is only delivering the award initially, then the certificate and diploma level 3 are held on the system as pending.

To change this status from pending to active, the centre will only need to send a scheme of work to the EV to review. If all the requirements are met then the EV will email the appropriate administration co-ordinator and copy in the QM, to ensure the change to the system is made.

When this occurs the QQR Tariff will be the same as allocated to the L3 award, except where Direct Claim Status (DCS) is allocated. In this instance the EV will undertake an initial sample of candidates assessed work and then apply DCS when appropriate to the new qualification.

Approval for any S/NVQs or add-on is undertaken on an individual basis per qualification at the required level and the standard fee applies to each S/NVQ qualification.

3.7 Qualification add-ons

A qualification add-on, outside the existing suite, will automatically default to QQR Tariff 02 requiring 15% for EV sampling and 20% for IQA sampling, and no direct claim status. This will require approval from the QM (Quality Consultant (QC)) and the published fee will apply. However, this rating could be reviewed at 6 months after either a remote monitoring or a centre visit and taking into account the feedback from the assessment support team.

The QQR Tariffs for all qualifications impact on the overall centre support status.

3.8 Higher level qualification approval

All Level 6 or Level 7 qualification approval requests will be reviewed by a panel of higher level experts who will meet twice per month to review all submissions for new qualification programme approvals and re-approvals.

Your local BM will outline the process in more detail, as all new qualification approval requests should be discussed with the BM initially and then relayed via the QM/QC to the panel.

3.9 Centre Support Status (CSS)

The centre support status (CSS) is a descriptor that indicates the EV activity pattern in terms of verification. It is determined by QQR, evidence from verifier reports, quality assurance team reports, date of centre approval, significant changes in staffing (increases/decreases). There are three descriptors:

- Low centre monitoring status
- Moderate centre monitoring and support status
- Enhanced centre monitoring and support status

3.10 How Centre Support Status is allocated

The CSS is determined at the annual centre review and does not change throughout the year, unless something significant occurs within the centre. The CSS will be recommended by the EV and confirmed by the QM. Each new centre will default to CSS: moderate and this will be reviewed following each annual centre review visit.

3.11 Centre Support Status descriptors

Low centre monitoring status

Low centre monitoring status: These centres will have an annual centre review and routine visit when appropriate and remote monitoring to look at specific qualifications with all this activity typically over a 12 month period. There is no requirement to sample every cohort or group but the minimum percentage for IQA must be met. Centres with a low centre monitoring status are likely to be those with qualification ratings of none/01 (ie direct claim status) with some 02 for new qualifications and add ons.

Moderate centre monitoring and support status

The cycle of support will be planned over a one year period. These centres will have an annual centre review and an annual programme of remote monitoring and routine visits covering every qualification where there are registrations. Centres with a moderate centre support status would mainly have QQR Tariffs of 02, with some none/01. Existing centres will normally have two visits a year, ie the annual centre review and one routine visit.

Enhanced centre monitoring and support status

The cycle of support would be planned over a maximum one year period. In addition to the annual centre review, the routine visits and remote monitoring would be planned more frequently and certainly within a 4 month period of the status being allocated. Centres are also likely to be required to attend ILM centre support or network events as part of the support package offered. Centres with an enhanced CSS would mainly have QQR of 3a or 3b and some 02 ratings, dependent on the circumstances. They will almost certainly have action planning and where appropriate, emergency support and monitoring will be agreed with Head of Quality & Administration.

4 ILM EXTERNAL VERIFIER VISIT PATTERN AND REPORTING STRUCTURE

4.1 Impact of QQR – Tariff on Internal Quality Assurance and level of external verification:

The table below summarises the minimum level of internal quality assurance and external verification by each rating. It is detailed in Appendix 1.

QQR	Descriptor	<u>Minimum sample for IQA</u>	<u>Minimum sample for external verification</u>
None and 01	Direct claim status: no EV signature required	15%	10%
02	EV signature required	20%	15%
3a	Suspend registration	30%	20%
3b	Suspend certification	30%	20%
04	Withdraw qualification approval	Level agreed with centre	Level agreed with EV
05	Withdraw centre approval	Level agreed with centre	Level agreed with EV

4.2 EV reporting system

Reference has been made previously to the new pattern of external verification. There will be three distinct activities each with their own reporting system:

- Annual centre review visit
- Routine visits
- Remote monitoring

The responses entered by the EV to the questions on the EV report forms (Routine and Remote), will determine the QQR Tariff. The electronic forms are set up to calculate the QQR Tariff based on the combination of answers given and the EV will be required to agree or amend the recommended Tariff.

The key questions are weighted and a negative response to these questions will directly result in a higher QQR Tariff. These key questions have been identified via the QCA Code of Practice (ref: page 33). The EV is able to over-ride the automatically determined rating, but would need to justify the reasons for doing this in the comments box on the EVR form. The evidence is also recorded for learners and programmes, so this will be taken into account in deciding the recommended Tariff. The operation of the QMS captures the electronic reports and is detailed in Appendix 3.

All QQR Tariffs have to be confirmed by the QM and QQR Tariffs of 3a and above are conformed by the Head of Quality & Administration.

4.3 The Annual Centre Review

The annual centre review is carried out against the approved centre criteria and is recorded on the annual centre review report form. It also incorporates developments within the QCA for common centre recognition and qualification approval across all awarding bodies and the new NVQ Code of Practice published Dec 2006. The annual centre review report form uses the same questions as for approved centre criteria.

The annual centre review report monitors the continued implementation of the approved centre criteria and takes place once a year on the anniversary of the centre's approval (within 4 weeks either side of the approval date). All aspects of the centre's quality systems and processes are reviewed and it includes questions on the following areas:

- Management systems
- Resources (including staffing)
- Learner support
- Assessment and verification
- Records (including feedback and evaluation).

The report is completed during the annual centre review visit at the centre. Evidence for many of the criteria reviewed at the annual centre review visit can be derived from EV activity during the year, eg remote sampling, routine visits and any additional monitoring. In addition, the QQR will be taken into account. As such, the form can be partially completed immediately prior to the visit by the EV. If sampling is completed during the annual centre review, the EV will also have to complete an EV routine visit report to record the sampling activity, as the annual centre review does not contain candidate assessment sampling.

4.4 The effect of the Annual Centre Review on the Centre Support Status

Because it is a review of the approved centre criteria within the centre, the outcome will be to allocate a CSS. The annual EV activity plan is an overview of the planned EV activity for that centre and the timescale for that plan is determined by the CSS.

4.5 The effect of the Annual Centre Review on the QQR – Tariff

The annual centre review does not directly affect the QQR. However the QQR Tariff may change as a result of the annual centre review if sampling activity has been undertaken on the same day. (The QQR can be changed at any time during the 12 month period as a result of further centre visits, remote monitoring, or possibly feedback received from the assessment support team or quality assurance team). The decision to amend any ratings would be that of the EV and be confirmed by the QM.

4.6 Routine visits

This is a planned EV visit which will be recorded on the centre EV report. It will include activity checks and sampling of learners' assessed work. At the end of the verification visit the EV will provide an overview of the outcomes of the visit for discussion and agreement with the centre. Where the report form is not fully completed at the visit, the EV will provide the centre with an indication of what the recommended QQR Tariff is likely to be.

However, there may be a requirement for additional visits where remote monitoring has highlighted areas of concern, or where QM/QC approval has indicated a need for an early visit. It might also be initiated if concern has been raised through other means e.g. quality assurance team, assessment support team or the visits may be justified by a high volume of candidates.

Additional visits can also be requested by the centre, via the EV and will be chargeable at £300 per day.

4.7 Remote monitoring

Remote monitoring is desk based verification/sampling of learners' assessed work. Having a dedicated reporting form will make the activity easier to record for both centres and verifiers. The level of remote monitoring activity undertaken by the EV is indicated by the QQR Tariff and dependent on the volume of candidate registrations.

4.8 Additional support

In addition to the EV interventions it is anticipated that EVs will provide email and telephone support to all active centres and providers. The following sources of additional support are available for centres / providers:

- ILM open days, networks, centre support events
- Assessment support team
- Local quality and business manager
- ILM web-site – centres resources
- ILM centre manual
- Named customer service coordinator
- Named quality and admin coordinator
- Additional visits by EV, chargeable at £300 per day if requested by the centre
- In house training event(s) chargeable at £500 per day
- A consultancy service is available from ILM on any aspect on our qualifications including delivery, IQA, staff development and assessment

4.9 Primary and specialist EVs

It is expected that the primary EV will undertake the annual centre review visit and routine visits. The specialist EVs will usually undertake appropriate remote monitoring/sampling of specific units or qualifications and where necessary undertake a routine visit.

4.10 Inactive centres

Where a centre is inactive and has no plans for any registrations the QM will agree with the centre to withdraw the EV and give the centre inactive status. Centres who plan to become active again should inform the QM. If only a short time has elapsed an EV will be reallocated. If the dormant time is significant, the centre may require re-benchmarking to ensure it still meets ILM approved centre criteria, for which a fee will be charged.

4.11 Satellite centres

There will be an overall CSS and QQR Tariff (per qualification suite at each level) which will apply to the main centre and any satellite sites linked to the main centre number. This is to encourage the main centre to ensure that all sites operate to the required quality assurance standards.

The allocated QQR Tariff will automatically default to the lowest denominator and be applied across all sites.

5 EXTERNAL VERIFICATION OF (OLD) NON UNITISED VRQS

5.1 QQR Tariffs for (old) non unitised VRQs: certificates and diploma

QQR Tariffs for non unitised certificates and diplomas will default to **QQR 02**, and not have direct claim status. Because the EV is directly involved in the assessment of VRQ certificates and diploma they can not be allocated DCS. This QQR Tariff will only apply to the 'old' VRQ and will not transfer to the unitised equivalent.

EVs will continue to undertake the group meetings (level 3 certificate), individual interviews (level 5 diploma) and panel interviews (level 7 executive diploma) which form part of the assessment strategy for the 'old' qualifications as learners work towards completion. This activity forms part of the QCA approval for those qualifications. **However, the requirement for EVs to approve of terms of reference will be waived with immediate effect.**

5.2 'Old' intro VRQs

Centres that have been awarded DCS for the 'old' intro VRQs will have to provide sufficient evidence of the quality of the new unitised qualifications before being awarded none or 01 QQR-Tariff. Also, centres will have to provide evidence of the quality of delivery and assessment of at least one completed unitised qualification before being considered for DCS for the unitised VRQs.

6 NEW CENTRES

6.1 QQR Tariffs for new centres

For new centres, the QQR would default to **QQR Tariff 02** (no direct claim status). The EV would arrange an early visit to support the centre and if necessary would be able to increase the minimum sample sizes suggested for QQR Tariff. This rating would normally last for 12 months but in exceptional circumstances might be reviewed after six months, and the same guidelines would apply as set out for centre support status (section 6.1).

Please also refer to section 3.2 for more information on the how the QQR Tariff applies to new qualification approvals.

6.2 Centre Support Status for new centres

New centres will default to **moderate** CCS and will normally retain that rating for the first year. The first EV intervention would normally be within three months of approval, to provide support and guidance.

In exceptional cases it might be possible to move from the moderate centre status to the low centre support status after the first EV intervention at the six months point. This would only happen if the first visit showed outstanding quality and would normally only be considered if the centre staff have has experience in delivery or assessment of the programmes **either with ILM or another awarding body within the last three years as evidenced by EV reports.**

6.3 Assessment support

New centres that select the independently assessed route will have additional support from the assessment support team.

Assessment for key components from the first cohort per qualification will be sent (retrospectively) to the assessment support team to confirm that requirements are met and feedback will be provided via the QM and EV to the centre. There is an option to include a second cohort if deemed advisable by the assessment support team/QM.

7 QUALITY ASSURANCE FOR ENDORSED AND DEVELOPMENT PROVIDERS

7.1 Introduction

The two primary elements within the quality assurance process are identical to those applicable to centres:

- Qualification Quality Rating (QQR) Tariff
- Centre Support Status (CSS)

7.2 QQR Tariff

The Tariffs that apply to providers will be none, 01 and 02.

- none No EV signature required: DCS – no action plan
- 01 No EV signature required: DCS – with action plan
- 02 EV signature required

7.3 How QQR Tariffs will be allocated

All new providers for **Endorsed Programmes** will default to **QQR 02** (EV sign off of SoR) until the first EV intervention (likely to be remote monitoring), following the completion of the first group or cohort undertaking the programme. At this point the EV is able to allocate a QQR Tariff none/01 enabling DCS where appropriate.

All new Providers for **Development Programmes** will default to **QQR none/01** and will be allocated DCS unless the EV recommends a QQR of 02 as a result of an EV intervention (remote monitoring for high volume and an annual review visit – recorded on the annual/remote monitoring report).

7.4 When QQR Tariffs may be changed

The QQR Tariff may change as a result of further EV activity either at the annual monitoring review visit or remote monitoring. The decision to amend the QQR Tariff would be that of the EV and confirmed by the QM.

7.5 Centre Support Status (CSS) for endorsed and development providers

The centre/provider support status descriptor is identical to that applied to centres.

- Low centre/provider support status
- Medium centre/provider support status
- Enhanced centre/provider support status.

7.6 How Centre Support Status can be allocated

The CSS will default to Low. It will be reviewed as part of the annual monitoring visit to the provider by the EV who will complete an annual monitoring report, on or near the anniversary of the date of recognition of the programmes. Where a provider is also a centre this activity may be undertaken at the same time as the annual centre review.

8 QQR TARIFF APPEALS PROCEDURE

The centre/provider has the opportunity to raise a query via phone or email within 10 working days with the QM, EV or the QSM, should there be an issue relating to the QQR Tariff. The QM will review the evidence and rationale supporting the EV recommended quality rating and discuss with the centre within a further 5 working days. If no agreement is achieved the query may be escalated to an appeal and an independent representative will be identified via the Head of Quality & Administration to review the QQR Tariff appeal. This process forms part of the overall ILM appeals process outlined in the centre manual, section 14.

APPENDIX 1: ILM QQR TARIFF

QQR – Tariff	Certificate status	IQA minimum sample	EV minimum sample
None	DCS	15%	10%
01	DCS	15%	10%
02	EV sign off	20%	15%
3a/3b	EV sign off	30%	20%

None direct claim status (no action plan)

- Sample size: minimum 10% of candidates
- Minimum 15% internal quality assurance sample

01 direct claim status (with action plan if applicable)

- EV sample size: : minimum 10% of candidates
- Minimum 15% internal quality assurance sample

02 EV signature required

- EV sample size: minimum 15% of candidates work
- Minimum 20% internal quality assurance sample

3a Suspend registration or 3b suspend certification

- EV sample size: minimum 20% of candidates assessed work across all candidates to be certificated; i.e. every candidate should have some part of their assessed work externally verified
- Emergency level of support depending on the non compliance.
- Minimum 30% internal quality assurance sample
- Where risk of invalid certification exists, suspension of certification (Sanction L3b) or where threat to learners exists, suspension of registration (Sanction L3a) for specific qualifications

04 Withdraw qualification approval

- Continued non-compliance to result in withdrawal of centre approval for specific qualifications and notification to RAs (Sanction L4)

05 Withdraw centre approval

- Further continued non-compliance to result in withdrawal of centre approval for all ILM qualifications and notification to Regulatory Authorities (Sanction L5)

Codes 04 and 05 will only be applied as a joint decision by the Head of Quality & Administration and the relevant QM, following recommendations by the EV.

In all cases, an increased sample may be necessary to support EV confidence in all results on basis of the sample taken

APPENDIX 2: INTERNAL QUALITY ASSURANCE (IQA)

This Appendix on IQA has been included for guidance purposes only. ILM recognise that our many centres have a diversity of IQA policies which are equally valid. However, it is recognised that all IQA systems must be fit for purpose in that they ensure the integrity of the qualification or programme, are robust, auditable and have provision for feedback and review

What is IQA?

It is a monitoring process which takes place through a candidate programme. IQA activities should not be confined to the end of a programme, but should be an integral part of every stage of the process. This involves a range of monitoring activities including the stages listed below:

- Initial candidate advice and guidance
- Provision of training and development opportunities for candidates which meet ILM Qualification Specifications
- Planning of assessment and internal verification activities (for all ILM qualifications there has to be a separation of role between the internal verifier and assessor)
- Sampling assessments
- Standardisation activities to ensure appropriate and consistent decisions across the assessment team

NVQs pro-formas for the recording of such activities appear in the NVQ Qualifications specifications or on the 'centres central' section of the website at www.i-l-m.com. Centres may like to devise their own forms for unitised VRQs on the basis of these examples.

Initial candidate advice and guidance

The IQA process ensures that only appropriate candidates are selected for the qualification programme and that the advice and selection process complies with equal opportunities. A candidate profile is contained in each qualification specification in order to assist with this process

Provision of training and development opportunities for candidates which meet ILM qualification specifications

IQA includes monitoring that the scheme of work complies with that submitted to ILM for approval. Variations of less than 20% can be agreed by the EV and variations of 20% or more must be approved by the BM.

Planning of assessment and internal verification activities

The pre-planning of assessment, assessment decision sampling, and the recording of all internal verification activities.

As part of the QA process centres will be required to submit this IQA plan to the EV in advance of routine visits and remote monitoring so that the EV can plan and agree their activities with the centre. Guidance on sampling is given in Appendix 2.

The QQR-Tariff allocated to each qualification in the centre will determine the sampling requirements. See Appendix 1.

Sampling assessments

- Internal verifiers (IVs) must sample as per the QQR Tariff (Appendix 1) across a broad range of candidates and assessors. All cases where special assessment arrangements have been employed must be included – even if this means increasing the sample size
- EVs will sample as per the QQR Tariff across a broad range of candidates and assessors, and this must include some units that have been internally verified and some that have not. All cases where special assessment arrangements have been employed must be included – even if this means increasing the sample size
- The IV and EV **must use the same sample base** – this may be a single programme, or several programmes, or simply a certain number of candidates where the centre operates ‘roll-on, roll-off’ provision. This sample base should be extended to include candidates who have not been internally verified
- The candidates’ names and registration numbers should be listed, and the plan will remain ‘active’ until all candidates listed have completed or left the programme
- The IV should then complete a record of verification activity. A pro-forma Internal Verification Evidence Summary is contained in the NVQ qualification specifications or on the ‘centres central’ section of the website at www.i-l-m.com. Centres may devise their own on the basis of this example
- Adjustments to the plan may be necessary, in the light of changes to the cohort, assessors, and candidate progress and assessment activity. However, this does not necessarily mean increasing the size of the sample. However, it may mean that a larger sample is required, if early samples indicate the need for further improvement in procedures
- IVs will need to ensure they monitor the early assessments of new assessors
- The IV is required to liaise with the awarding body through the EV to ensure that consistent standards of assessment between other centres are maintained
- The CAMERA principle is proposed as a basis for risk management, but any suitable alternative basis for IQA sampling will be recognised

Standardisation/team meetings

- The IV is responsible for ensuring meetings of the centre staff team occur at regular and appropriate intervals - depending on the volume of activity. Centres are advised to have a standard ILM agenda item
- These meetings must be documented, with actions agreed, recorded and followed up. Assessment and verification process outcomes must be monitored and evaluated.
- The meeting should consider feedback from reports from the ILM EV including reasons for the allocation of CSS and QQR Tariff
- Meetings should also be used for staff development purposes and for up-dating centre staff on all ILM related issues. It is the responsibility of the IV to ensure all staff are occupationally competent to operate as assessors and have evidence of on going CPD

- Between meetings the IV should ensure that all the team are circulated with relevant updates from ILM

IVs are also responsible for monitoring equal access to assessment which is a wider remit than the statutory monitoring of the equal opportunities policy by the centre as a whole. Equal opportunities should be a standard agenda item at team meetings, and all discussions and actions must be recorded.

The EV's role is one of quality assurance, support and auditing and will concentrate on the internal verification process of the centre. For audit purposes it is therefore essential that IVs are absolutely precise in the nature and accuracy of their record keeping.

Appeals

ILM expects that centres will provide candidates and their sponsors with opportunities to discuss delivery, assessment and administrative issues in an informal way. However, there may be occasions when a candidate wishes to take an appeal to a formal stage, and so all centres are required to have an effective internal appeals procedure in place, and to ensure that all candidates and staff are fully aware of it.

Full details of the requirements for centres, and ILM's own appeals procedure are set out in section 14 of the ILM centre manual which is provided to all centres.

Further guidance and details of ILM's internal verification/quality assurance requirements can be found in section 5.2 of the centre manual.

APPENDIX 3: OPERATION OF THE QUALITY MONITORING SYSTEM (QMS)

Electronic EV reporting system

The QA process is implemented through an electronic QMS. Ideally, we would ask that the EV has access to one of your PCs for on-screen verification during centre visits and will need to use a memory stick, or alternatively, give permission for the EV to use their own laptop during visits (where EV requests this).

If the centre PC is used, it will be necessary to install the appropriate version of Adobe (as advised by the EV) for the QMS forms to function properly and the EV will undertake this action during the visit with your agreement.

When the EV submits the completed form to QMS, the centre will receive an email, to which the report is attached. In order to view the attached report, it is necessary to open the document in Adobe and a link is included on the email to download the appropriate Adobe version.

Should your PCs operate on Adobe V6.0 or an earlier version, then the form will not open correctly and we would ask you contact gms@i-l-m.com and request a copy of the report form.

ILM recognises that in some centres only the use of paper forms will be allowed and we have catered for this.

Your EV will take you through the detail of the QA system and QMS on his/her first visit. If you have any other queries in the meantime please contact your EV in the first instance, or alternatively your QM.

APPENDIX 4: RESULTS PROCEDURE

Schedules of results (see examples in centre manual section 8) are produced automatically by ILM following receipt of the candidate registration form, and are sent to the centre with a registration list via e-mail. Centres should keep the schedule of results securely until the completion of the programme.

Schedules of results for new unitised/S/NVQ Qualifications – the form has been produced to minimise paper and improve the speed of delivery of certificates, therefore you may use this for one or more candidates by copying the form as appropriate.

Where the units for a cohort are all the same, use just one schedule of results to reflect this by simply entering the appropriate candidate(s) numbers at the top section of the form. Where there are differences, then an individual schedule of results needs to be completed for each of the differences.

For example:

Two candidates from a programme of five may complete different units to the rest of the candidates, therefore you would need to supply one schedule of results for two candidates showing the two candidate numbers at the top and the units achieved and a further version of the schedule of results to show the remaining three candidates with numbers entered at the top of the form and the appropriate units achieved. Data can be directly in-put and signatures added.

The form can be e-mailed to your EV and also to your ILM administration co-ordinator for processing.

If you have been granted DCS for any of the qualifications that you are approved for, then you may email your completed schedule of results direct to the administration co-ordinator, copying in to the EV. The EV will need to have copies of all completed candidates through direct claims as this will form part of their sample to satisfy external quality assurance.

APPENDIX 5: EV SAMPLING PLAN

- The size of the sample is based on the minimum sampling percentage, as indicated by the QQR. However, any of the CAMERA criteria set out below may impact on the sample size
- Although the minimum sampling percentage is 10% it is not valid in a cohort of less than 20 to only sample one candidate. Therefore the minimum actual candidates sampled will always be two
- **Note:** The percentages are of candidates' assessed work or assessment decisions. The choice should include all the variables highlighted by CAMERA methodology (or a suitable alternative mechanism). The basis could be on registered candidates or units or whatever the Centre chooses, **providing** that it is robust and covers all the possible variables and risks to integrity of the assessment decisions
- External verification will consist of sampling across a given time period (in accordance with centre activity). The start of the 'time period' should never be later than the date of the EV's last activity with that centre
- Where the EV has previously sampled from a cohort the subsequent samples should include some of the same candidates or same assessor, in-order to confirm that EV feedback has been taken on board and actioned
- For roll-on/roll-off programmes, the period over which the sample is taken will be determined by the CSS
- When a centre has a high volume of candidates, then use either the date range on QMS for sampling or the cohort to devise the sample. Where a smaller number of candidates are involved, use the cohort to devise the sample

Candidates	Assessor	Method	Elements/ Exceptions	Records	Assessment Locations
<p>One candidate should always be sampled throughout the programme (for the majority of units to provide a benchmark).</p> <p>EVs will then select a further sample to achieve the minimum sampling percentage as indicated by the QQR.</p> <p>However, should there be any issues, changes or areas of concern then the EV sampling plan should be extended to cover these risk areas</p> <p>The overall EV sample must include candidates who have been IV'd and candidates that have not been IV'd.</p> <p>The choice of sample should reflect other factors such as borderline marks, special assessment requirements etc as covered in CAMERA. Also the sample will include certificated candidates if DCS is allocated</p>	<p>Sampling must cover all assessors and IVs (including new or inexperienced) over the period indicated by the CSS, even if this has the effect of expanding the minimum sample size.</p>	<p>Sampling must cover a range of, assessment methods for optional units. Eg onsite observation of any presentations if they are used.</p> <p>For SNVQs, assessment methodology may be more variable than VRQ programmes.</p>	<p>Samples must cover all units (including optional). However, where the mandatory units are externally assessed, these units will not be included in the calculation of the external verification sample.</p> <p>Any other 'exceptions' could be covered here also e.g. new centre/contact/EV/assessment</p>	<p>Both the assessment and IV records, together with the attendance / tracking progress records for all candidates must be checked by the EV either prior or post certification to ensure all documents are in place and completed satisfactorily. The sample of candidates and assessed work is in addition to this.</p>	<p>The sample must include differing locations where centres have satellites or additional assessment locations.</p>

INTERNAL QUALITY ASSURANCE SAMPLING PLAN (L3 Cert FLM)

Qualification:	Level 3 Cert FLM	C – candidates	10 started 15/01/07, registered 16/02/07
Internal Verifier	D B Checker	A – assessor	Terry Rainer and Diana Lever
		M – method	all candidates the same WBAs, Change Mgt Rep, Reflective Reviews
		E – exceptions	all candidates completing same units, no other issues
		R – records	ILM mark sheets, assessment docs, IV docs
		A – assess sites	all from standard office services (in-company programme)

The following matrix shows one of many possible sampling plans, but it demonstrates CAMERA principles

Assessor	Candidate	M3.01 WBA	M3.02 M3.03, M3.04 Change Mgt Report	M3.10 M3.26 M3.12 M3.31 WBA	M3.21 M3.31 WBA	M3.27 M3.28 M3.29 WBA	M3.30 Reflective Review	M3.34 Reflective Review
T Rainer	Terry Ancheler	EV	EV	EV	EV	EV	EV	EV
T R	Penny Forthem							
T R	Poppy Topen							
T R	Lady Chatterley							
T R	Charlie Ton							
D Lever	Charles Darwin					EV		
D L	Rose Garden	EV						EV
D L	Dustin Hoffman		EV	EV				
D L	Doug Itover				EV			EV
D L	Chester Field							

The IV sample will follow the path of the grey shaded boxes and covers a 20% sample. While the EV sample represents 15% across candidates and assessed work – therefore covers both assessors, IV'd and non IV'd work, a range of candidates and should include special requirements or exceptional circumstances.

This is a minimum sample to meet the requirements of QQR Tariff 02 (15% EV or 20% IV) – however, should there be any issues, changes or areas of concern then the IV and EV sampling plans should be extended to cover these risk areas. A further random selection of assessed work would be expected.

Contact ILM www.i-l-m.com

The ILM Customer Service and Membership Teams are dedicated to providing the very best in customer care. If you need guidance on any aspect of leadership and management products and services, including fees, please contact us:

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