Quality Guidance Manual

Quality Assurance Framework

This document provides guidance on completion the Quality Assurance Self – Assessment Report as part of the quality assurance framework.

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Quality Guidance Manual

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Contents

Terminology

Scheme of Work - a scheme of work is a guideline/plan that defines the structure and content of a course. The scheme of work is usually an interpretation of a specification or syllabus and can be used as a guide throughout the course to monitor progress against the original plan.

PDP – Personal Development Plan

CPD – Continuing Professional Development

Malpractice – is the intentional practice of cheating in an exam, plagiarism, fabrication of results or work or impersonation of another learner during an exam (including CBT) by learners, and can also be committed by instructors through given improper assistance to learners during assessments, inventing or changing marks for exams, facilitating or allowing impersonation or falsely issuing certificates.

IQA -Internal Quality Assurer

EQA – External Quality Assurer

Standardisation - is a process which ensures all staff, for example, instructors, assessors and quality assurers interpret and follow the requirements of the programme in the same way. The process helps ensure all those involved are consistent and fair to all learners throughout their time with the organisation.

Training provider - under this framework is an organisation or independent instructor contracted by a directed entity (Airport/Airline/Cargo RA/IFS entity) to provide mandatory aviation security training services on their behalf. If training is conducted in-house by the directed entities' own staff, the entity itself is the training provider. All certificated instructors are required to be linked to a registered training provider - if they work as an independent instructor, they must register as their own training provider.

How to use this guidance

This <u>Quality Guidance Manual</u> has been designed to be used in conjunction with the new quality assurance framework implemented by the CAA in the training remit. It should be used in conjunction with the **Quality Assurance Self-Assessment Report form** (SAR) and the associated **Standards Specification** document. It provides guidance and templates about how to reach, maintain, and exceed the minimum quality assurance standard required with the implementation of the new framework.

The contents are arranged in the same order as the Self-Assessment form so we would recommend that you use the contents page to navigate through the guidance manual to the relevant section as you complete your self-assessment.

[Using materials/templates provided in this manual](#)

You may use any of the materials or templates provided in this manual for your own use. If you utilised the templates the minimum adaption should be to include the date of creation, a projected revision date, the company's logo and the name of the person responsible for the document.

Completing the Quality Assurance Self-Assessment

The Self-Assessment Report form should be completed by the person responsible for quality assurance within the training provider. Only one form has to be completed per training provider even if they operate across multiple sites – please find a definition of what we consider a training provider in the terminology section.

You should use the form to assess your internal quality assurance processes and identify any gaps that you encounter in your operation.

A number of aspects have been deemed **'critical elements'** – these are the fundamental building blocks on internal quality assurance and provide a focus to start with if you are new to quality assurance.

There is no need to send any documents with the SAR form, but you should identify the documents (paper or electronic) on the form and these should be available for the quality assurance visit.

1.1: Management and Governance Structure

Roles and responsibilities of training team

The aim under this section is to establish clearly the staffing structure of the team managing and delivering the training programme. This should differentiate by role with the following roles covered:

- Quality manager
- Internal Quality Assurer (IQA)
- Assessor
- Instructors delivering material
- Course administrator (if applicable)

You should attempt to show which individuals undertake each of these roles. One person may fill more than one role, depending on your set up. If you have it, an organisation chart may be useful to outline the structure of the department/team and how posts relate to each other. There should also be a description of each role.

This Quality Guidance Manual has a template you can use. It sets out the responsibilities of each of the roles and there is a space where you can add the name (and CIN) of those individuals undertaking that role. However, it is important that you take ownership of the content. You should review each of the role descriptions to ensure they apply to your organisation. You may want to add your organisation name and/or a logo.

Documented policies and procedures (critical element):

The self-assessment form separates policies and procedures for a number of areas. The policy refers to your company's overarching approach to dealing with the aspect, and this may be contained in the form of an employee handbook, a statement, or combined with another policy. If your company has a policy in place for the subject, there is no requirement to write a separate one, as long as the one you are utilising is appropriate for use for the training course. You may have organisational restrictions on what can be called a policy. That is not an issue, providing you can refer to a policy related statement that is clear and related to each of the areas specified. It could be called an aim, a statement of intent, your training values, a protocol and possibly other titles.

A procedure refers to the detail of how the policy is implemented in your department, and in particular to the training course. Again, you may already have a procedure and if this specifically applies to the training course and is fit for purpose you do not need to create a separate document.

You will need to have policies and procedures as shown below. These can be separate to the policies or relevant content could be in other documents. For example, there may be a document called 'Training Protocols' or there could be an 'Instructor Handbook':

- Equality
- Health and safety
- Complaints
- Malpractice (see terminology section for a definition)
- Appeals
- Data protection

In the Quality Guidance Manual are suggested procedures that could be applied by training providers. You can present these as your own, but you should read them first and ensure that you are happy to follow the procedures that are included. You will be asked to show evidence of how you are implementing the procedures.

1.2: Assessment and Training materials

This section is all about your course structure, design and training/assessment materials, including their accessibility and management.

For an Overview of training programme we are looking for a plan/timetable or outline which you provide to your clients. It is your promotional material. It could be a leaflet, a page of your website, a timetable, a course agenda or an email. There may be other formats. The overview should cover the key learning aims, the duration, who would benefit from joining the training, what types of instructional techniques would be used and what assessment methods will be in place.

In some situations, for example where there is in-house training, this information may be included with the joining instructions.

Under **Programme Aims and lesson plans (critical element)** we are looking for evidence of your lessons plans and how these link to the aims and objectives of the course as well as how are they reviewed and updated. The lessons plans, when taken together, would show how each of the learning outcomes for the syllabus modules will be covered including those that are not directly assessed as part of the assessment strategy. The lessons plans should show how a variety of instructional techniques are applied across the training programme. They will also show that consideration has been given to learner individual needs.

The Quality Guidance Manual has a lesson plan template that can be used. We appreciate that this is quite simplistic and you may have one that is more sophisticated, so do not change the template to adopt the one in the manual if that is the case.

We are also looking to encourage engagement with the CAA/DfT to provide constructive feedback on any elements of the training syllabus, including areas that require development and where it has supported good training practice and outcomes. This should be evidence based i.e. simply sending an email without evidence of implementation or simply requesting a change as it presents difficulties for you to maintain existing practices is not considered constructive.

For **accessibility of training and assessment materials (critical element)** we are looking for evidence that as a minimum, the accessibility principles in this Quality Guidance Manual have been adopted and that thought has been given to making learning materials accessible to specific learner needs. You may have your own, more detailed accessibility requirements. This is deemed to be a critical element.

For File management we are looking for the requirement to store training materials securely, with only required staff having access and for any redundant materials to be disposed of. We would expect to see any official-sensitive materials to be protected in line with their restrictive marking and for there to be a version control process. Good file management would include a clear folder structure and file naming conventions that support easy access. It would also include version control. For example, policies and procedures may be subject to annual review and so they would show the date approved, when scheduled for review and who has rights to change the document. If the document had been updated, there would be a statement to show what key changes were made and when.

To demonstrate how materials are disposed of securely, there will be a defined, written procedure for disposal of data and information. Alternatively, there might be a contract with an organisation that carries out secure disposal. Details may be in the Data Protection Policy or a separate statement may be provided.

2.1: Resources

This section covers physical and staffing resources for delivery and assessment of the programme.

Under Appropriate physical resources for delivery and assessment we would expect evidence that the training provider has the right resources in place, such as facilities, IT and training aids and that they are fit for purpose. A list of resources, categorised by type, would be sufficient. We would expect to see forward planning to ensure that resources are available in good time for any future courses. For independent instructors this would refer to resources provided to you at the sites where you deliver training.

For **Sufficient occupationally knowledgeable staff (critical element)** we ask that you give details around whether your staff all have CIN or ROC numbers (no need to list all your staff, as you will have done this on the registration form) – if you are not sure we have provided further guidance in this manual, however, we would expect that good quality assurance would involve ensuring that only those eligible to undertake training activities are doing so. To register as a training provider you have already provided a list of your staff and their CIN numbers. This should easily be cross referenced with the names allocated to the job roles (1.1a). Lesson plans and timetables will also show that only that eligible to train have been allocated to that role.

There should be training records for all training staff. This Quality Guidance Manual has a template that can be used for this purpose but we acknowledge that many employers already have training records in place. The training records should reflect their current status such as any refresher training completed, when their CTC is due to expire, when their qualifications expire etc.

For an outstanding rating we would look for all staff to have an instructional techniques qualification, regardless of whether they were certificated by the DfT before 2015 (and therefore may have grandfather rights). We would expect you to have adequate staffing provision in place to conduct the training course you deliver and that you have assessed whether this is in place.

Under Induction of new and transferring Avsec training staff we are looking for your procedure of how you induct or plan to induct new staff to your training department **and** the courses you deliver. This may include staff who have 'TUPEd' to your company or new instructors. We would expect you to outline how you support new staff in the initial phase until you have satisfied yourself that they are competent and settled in their role.

This Quality Guidance Manual has an induction checklist that you can use as the basis for planning the induction programme. We would expect to see a planned programme; even if there have been no new staff to induct. We need to confirm that you are ready to undertake this to the required standard. Note that this needs to include observation of new staff and so we would expect to see what you would be looking to see evidence of through this observation.

This is not applicable for independent instructors.

For **Annual CPD for all staff (critical element)** please find guidance provided in this manual – this is aimed at asking details around how your staff remain occupationally competent and current in both their AvSec subject matter areas and as an instructor. There are numerous activities outlined in the guidance section on CPD to guide you through looking at relevant activities. The evidence could be contained in the staff training records for any courses or activities undertaken. The evidence of the development could be through minutes of meetings, presentation materials, blogs, updated training materials and lesson plans etc.

2.2: Internal monitoring and self-assessment

This section covers the internal quality assurance of the programme by the provider, including monitoring activities. The overarching requirement is for there to be a **quality assurance strategy (critical element)** in place, which sets out at a high level what assurance activities are undertaken. This Quality Guidance Manual has a template that sets out what elements of the learner journey should be considered for inclusion in a quality assurance strategy. It also suggests the types of quality assurance activities that should be in place. The template highlights where your own input is needed. However, it is important that you read through the requirements as we will be looking for evidence that you have implemented them or have made progress in implementing them. You should therefore adapt the content to reflect what your approach to quality assurance will be. We have only set out minimum requirements and acknowledge that yours may be more robust.

The Self-Assessment Report form and the EQA visit should only take place when a training programme for the new syllabus is completed. This is so that you can show how the quality assurance process described in the quality assurance strategy has been applied.

If you already have procedures in place which cover the same remit, but they are not altogether in one document, you do not need to rename or rewrite them or create a new document – you just need to show us the separate documents that set out how you quality assure your training programmes.

For the Progress check (Formative assessment) of learners we are looking for the arrangements you have in place for giving feedback to learners throughout the course to support their learning. This might be instructions you give to instructors about how to provide feedback to ensure a standardised approach is used. As a training programme will have been delivered, we would also expect to see evidence of the feedback that has been provided for both practical and theoretical aspects of learning. Lesson plans would show where key milestones have been identified and formative assessment is planned to take place and the learner tracking records will show what the outcomes of formative assessment were and what interventions were used (where appropriate).

Follow up action would be in the form of an analysis of the feedback and learner tracking information and data. If another training programme has already taken place then there would be updated lesson plans and training materials. If there hasn't been another training programme then there might be an issues log or a record in the diary of actions to be taken by a specified date.

A CAA Briefing document has been circulated with further guidance on formative assessment.

Quality of training and assessment materials (critical element) refers to any materials used during the course such as PowerPoints, handouts, exercise briefings, as well as exams and test papers. We want to see that whether for training or assessment they are clear and logically structured. Training materials should be clearly aligned to the learning outcome. We don't mean that the learning outcome has to be stated but it should be possible to see from the content that there is a clear alignment. It also should be aligned to the related lesson plan. The content and language should be appropriate to the level and specific needs of the learner. For PowerPoint presentations we would not expect each slide to effectively be a handout. We should be able to see how all training materials support learning. For assessment materials we are looking to see that exams use best practice guidelines for multiple choice questions given in this Quality Guidance Manual and that the exams meet the requirements of the assessment strategy in terms of types and number of questions for each Learning Outcome. For practical assessments, we will be looking to see that tasks and evidence requirements are clear.

You should be able to show how how you quality assure your training and assessment materials including any sampling strategies in place to ensure they are valid, technically correct and meet your requirements. This information may be in your quality assurance strategy.

If you have more than one assessor making assessment decisions, you will have procedures in place to ensure they make fair and consistent decisions to the same requirements – this is reflected in <u>Assessment standardisation</u>. That standardisation may take place before the training starts, to ensure that the instructors are clear about the standards the learners need to meet and have effective strategies in place to get them there. Effective formative assessment can only take place if those delivering the training are clear about the standards otherwise the feedback will not be appropriate and valid. The syllabus may have been annotated so that there instructors can refer back to it. The lesson plans may also have notes that can be referred to. Standardisation will also take place prior to summative assessment. This may involve a discussion of the mark scheme to ensure it is clear and not open to interpretation. There may have been sample answers or some papers may have been double marked. The same might apply to practical assessments so there will be evidence of two assessment records being completed and a discussion between the assessors to confirm the standard. Evidence would show which assessors/instructors have been involved.

Quality assurance of training delivery and assessment decisions (critical element) refers to your approach to conducting quality assurance of both training and assessment – what arrangements do you currently have in place to observe instructors delivering training in the classroom and an operational setting as well as when conducting assessment. In this Quality Guidance Manual there is a template that could be used for this purpose. This is quite simplistic and yours might be more sophisticated. Your quality assurance strategy will indicate how often observations will take place and after a training programme is completed there will be evidence to show that sessions have been observed.

You should also have evidence of how you quality assured exam papers and practical assessments (where applicable) once completed and marked, to check that the marking is as agreed at standardisation and all learners have been treated fairly. Your quality assurance strategy will indicate how many assessments will be sampled. This Quality Guidance Manual has a template document which you can use to quality assure assessment decisions, but you don't have to use this template. Whatever document you use, this will be the evidence we want to see during the EQA visit.

When completing the forms, the audience is the assessor and so we would expect that they receive constructive but robust feedback in relation to the judgements that are made by those carrying out the quality assurance checks.

If you use CBT training packages that you have designed and maintain in house (e.g. which you do not contract from another training provider) please also complete Quality assurance of CBT – this could be for your 6 x 6 training or any other computer based element you utilise. CBT should be subject to the same quality assurance as other training delivered to check it is still up to date and is an appropriate learning tool for the course. Your quality assurance strategy should show how you quality assure your CBT. As you will be using this resource for the new syllabus, it is highly likely that it has been changed. Any documentation you have which shows a review has taken place is acceptable. For example, there may have been a meeting or a member of staff assigned the task. Minutes or notes of the meeting or perhaps an email or report from the member of staff would indicate the changes that need to be made to meet the requirements of the new syllabus and the new version of the CBT could be shown as evidence that changes have been made.

The **Programme review and evaluation (critical element)** undertaken refers to your overall course review – how do you gather feedback with regards to the quality of the course and identify issues/areas that could be improved? What are your evaluation plans that ensure that the course is regularly reviewed to ensure it still meets the aims and objectives? This does not have to be a separate document and may be part of your QA strategy or other documentation. As a training programme will have already been delivered, there should be some evidence of feedback sought from various stakeholders. Depending on when the visit takes place, the analysis of the feedback may be limited and actions required may not have been implemented but there is likely to be a schedule in place for when that analysis will take place.

3.1: Learner and data management

This section covers the learner journey from registration procedures and tracking their progress to feedback and any issues that may arise. You may already have documentation in place here - we have given guidance and checklists for what should be included as a minimum in joining instructions and learner tracking but if you have your own arrangements in place you do not need to change your documentation as long as it is fit for purpose.

For Documented learner records we are looking for how you organise the required information from learners on the course – this could be as paper files or electronic records. This function may be performed by your HR department – how are you then made aware of the information for the course? You probably already have something in place to show how each member of staff meets regulatory requirements. However, if not, we have provided a template that can be used for this purpose.

This leads to Joining instructions and induction of learners – what information are your learners given prior to attending the course with regards to preparing them and setting expectations. In this Quality Guidance Manual we have set out minimum expectations for the information that should be included. You may provide more detail and that is fine. We don't specify how this information must be provided. You might send it to their employer (your client) to be forwarded, or you might email or send by post.

Once the learners have started, how do you induct them to the training course and allow them to understand the training environment and your expectations of them? We have provided some guidance on items you should include in your documents and activities. We should be able to see the documents that were presented such as a learner handbook or PowerPoint slides and handouts. For longer training programmes (such as GSO) there might be an induction programme that spreads over a number of days, incorporated within other training activities and so a timetable or course agenda and lesson plans would show this. For short courses, the induction might be part of pre-course materials and activities which is fine and we can then see what has been forwarded to learners in advance.

Diagnostic assessment (critical element) asks about your procedures for identifying what needs your learners have that may require special consideration, such as dyslexia, poor reading/writing skills or dyspraxia. We expect that this takes place before training starts so that you are prepared in advance and so we have produced a document in this Quality Guidance Manual that you can send to learners before they start. You may already have your own document and if so, you do not need to change them. You may be working directly with the client so it might be that you don't have your own form as you requested that your client sends details from their HR department they may send it in a spreadsheet or in an email.

We would also be looking for evidence of a diagnostic activity that allows learners to be supported, even if they may not realise themselves and therefore may not be able to tell you in advance. This would be evidenced in the training materials and lesson plans.

Ensuring you know where each learner is in a course, is the fundamental basis for <u>Learner tracking</u> and this also applies for later confirmation that learners have attended the correct modules for their job function. You will already have a system of tracking your learners and this may be in simpler form if you only have small numbers of learners, or more complex and database driven if you have large numbers. You do not need to change the system you use if it is fit for purpose. Further details are provided in this Quality Guidance Manual.

For <u>Records of feedback provided to learners</u> we are looking for how you feedback to learners after assessments – there is no need to change your process if you already have this in place and it is fit for purpose. Some of this may be evidenced through 2.2b but as that element only relates to formative assessment, there is likely to be additional feedback recorded following the summative assessments.

<u>Records of assessment problems</u> relate to the process you have in place for identifying and dealing with issues such as malpractice or attempted malpractice, complaints or appeals – this may form part of other policies as long as this is fit for purpose and allows you to adequately respond to identified problems. It may be that you haven't had any issues to date so that this is not applicable. Where there have been issues, there will be evidence of how you followed your own procedures.

3.2: Certification

The <u>Documented procedure for issuing certificates</u> section refers to your internal process of how you control the issue of certificates (and replacements). How do you confirm that a learner has completed all required aspects of the training course and how do you record which certificates have been issued? This may have been covered in your quality assurance strategy or you may have the procedures set out in a different document.

For <u>Format of certificates</u> please detail what your current training record and/or certificates include – please refer to the template DfT certificate to information.

Template – Roles and Responsibilities in the Training Department

Please note that one person may perform more than one role.

Instructor

<mark>Our Instructor(s) are:</mark>

The role of the Instructor is to deliver the content of the syllabus. They are required to:
- Develop a scheme of work showing how the syllabus content will be delivered
- Develop lesson plans for each session delivered
- Provide an induction that includes all requirements
- Deliver learning sessions that engage, motivate and provide key information to learners against the learning outcomes and requirements of the syllabus
- Provide formative assessment activities and use these to provide feedback to learners on their progress and how to improve their learning
- Monitor learner's progress, identifying any support needs and updating learner records with details of progress
- Attend and contribute to any team meetings
- Comply with all policies and procedures
- Contribute to procedures related to complaints, appeals, malpractice, and programme review and evaluation
- Identify any CPD needs and ensure they stay up to date with developments in Aviation Security
- Ensure their certification (CIN/ROC number) with the CAA remains current and valid

Assessor

<mark>Our assessor is/are:</mark>

The role of the assessor is to decide whether a learner has demonstrated competence and capability. Specifically:

- Producing summative assessment tasks and submitting for internal quality assurance within the required deadlines

- Making changes to assessment tasks and assessment decisions, as required by the Internal Quality Assurer

- Judge the learners assignment or evidence against all the learning outcomes and assessment criteria. The assessor must provide support and guidance concerning sufficiency of evidence and provide summative written feedback

- Complete required documentation, including feedback to learners and assessment tracking documentation
- Provide support to learners seeking recognition of prior learning
- Participate in standardisation meetings.

Internal Quality Assurer (IQA)

Our IQA(s) is/are:

There will be designated Internal Quality Assurer(s) (IQA). Specifically they will:

- Monitor regulatory requirements for programmes to ensure any changes to assessment requirements are communicated to instructors and assessors

- Quality assure the delivery of training to ensure effective learning is taking place

- Quality assure assessment tasks written by instructors/assessors, providing feedback using standard documentation

- Quality assure assessment decisions, providing feedback using standard documentation

- Liaise with the External Quality Assurer (EQA) regarding any evidence requirements or visits

- Highlight any assessment issues to the Quality Manager

- Produce a summary report on completion of the programme

- Identify any training needs of instructors and assessors.

- Participate in and assist with standardisation meetings.

Quality Manager

Our Quality Manager (QM) is:

The QM is responsible for:
- Ensuring all policies and procedures are in place and are followed
- Ensuring all staff carry out their responsibilities effectively
- Monitoring the activities of assessors and IQAs e.g. session observations
- Liaising with regulatory organisations regarding approval has taken.

<u>Administrator</u>

<mark>Our Administrator(s) is/are:</mark>

The administrator is responsible for:

- Maintaining records of learners and staff
- Maintaining quality assurance records
- Enrolling learners onto programmes
- Ensuring the accuracy of registration entries are checked
- Submitting certification claims
- Ensuring the accuracy of certification claims
- Ensuring the accuracy of certificates received
- Notifying learners of certificates received
- Maintaining a clear and secure folder structure.

Templates – Policies and Procedures

Appeals Policy

Scope

This policy applies to training programmes based on CAA syllabuses. It should be read in conjunction with all other policies in this Quality Manual, particularly:

- Assessment Policy
- Equality Policy
- Malpractice and Maladministration Policy
- Data Protection Policy
- Complaints and Whistleblowing Policy

An appeal is a request from a learner to revisit an assessment decision which s/he considers is disadvantaging him/her.

This policy sets out our commitment to learners who wish to enquire, question or appeal against an assessment decision.

Our commitment

We will show transparency and fairness in our assessment practices by allowing anyone who feels this is not achieved the right to appeal.

Our procedures

- We will provide our training and assessment staff with the expertise needed to comply with this policy and related procedures.
- We will provide our stakeholders with details of how to appeal and assessment decision. This will include:
  - contact details of a named representative
  - the timescales for any investigation to be undertaken
  - the timescales for the outcome to be communicated
  - the process to follow if the outcome is deemed to be unfair, including the ultimate right of appeal to the CAA.
- We will have clear, consistent and transparent procedures for learners to enable them to enquire about, question or appeal an assessment decision, including requests for reasonable adjustments or special consideration.
- We will provide information to learners at induction and prior to each summative assessment, of the contents of this policy and related procedures.
- We will ensure that any appeal is recorded and documentation is retained for 18 months following the resolution of the appeal.
- We will maintain confidentiality of any learner information related to an appeal.

- We will take appropriate action to protect the interests of other learners and the integrity of the training, when the outcome of an appeal questions the validity of other results.
- We will monitor our compliance with this policy by collecting data through learner and employee applications, feedback and outcomes.

Supporting Documentation

- Appeal Against an Assessment Decision Form

Hints and tips

This policy cannot be superseded by an employee grievance policy, unless it makes specific reference to assessment.

Amend the policy to refer to specific roles/names that have key responsibilities for each commitment.

A suggested procedure could be:

Stage 1

The learner is responsible for initiating the appeal procedure.

- An appeal must be made within seven days of receiving feedback on a summative assessment by use of the appeals form or by email. There will then be an informal discussion between the instructor/assessor and learner
- The discussion must take place within seven days of the request
- A note of the discussion must be maintained by the instructor/assessor
- If the issue is not resolved, move to Stage 2

Stage 2

The learner is responsible for initiating the second stage of the appeals procedure:

- The learner must complete the Appeal Against an Assessment Decision Form and submit to xx within seven days of the informal discussion
- XX reviews the assessment. If xx has already reviewed the assessment as part of the sampling process, the appeal should move to Stage 3
- XX completes the Appeal Against an Assessment Decision Form and responds to the learner and instrauctor/assessor within seven days of the appeal
- The learner acknowledges the recommended outcome and signs the form. If resolved, no further action is required. If unresolved move to Stage 3.

Stage 3

- The appeal is now escalated to the CAA

APPEAL AGAINST AN ASSESSMENT DECISION

This form should be completed by a learner wanting to appeal against an assessment decision. The appeal must be made by the learner.

Name of Learner:	
Syllabus:	**Assessment Details:**
Please state the grounds for appeal:	
Learner declaration I confirm that I understand the purpose of the appeal will be to decide whether the process used for the internal assessment conformed to CAA requirements. I also understand the appeal may only be made against the marking/assessment process.	
Signature:	Date of signature:
Investigating Officer:	
Summary of information obtained: Outcome of appeal: Next step:	
Signature:	Date of signature:
Learner acknowledgement I have received the details of the investigation and outcome of the appeal. ☐ I accept the recommended outcome of appeal ☐ I wish to appeal to the CAA	
Signature:	Date of signature:

Assessment Policy

Scope and Context

This policy document provides information about how we will assure the quality of the assessments we make for CAA syllabuses we are approved to deliver. It should be read in conjunction with all other policies in this Quality Manual, particularly:

- Equality Policy
- Malpractice and Maladministration Policy
- Data Protection Policy
- Appeals Policy
- Complaints and Whistleblowing Policy

Our commitment

We will adopt best practice principles of assessment including:

- Quality assured assessment systems and practices
- Standards based and criterion referenced assessment
- Monitoring and evaluation of assessment
- Appeal procedures
- Review and improvement mechanisms.

We will ensure:

- Our assessment design meets CAA syllabus requirements
- Our policies and practices support fair and consistent engagement with learners
- Our assessment decisions are accurate and consistent across assessors
- Our assessors are consistent in their interpretation and applications of CAA syllabuses
- We maintain a documentation audit trail to enable certification and distribution to learners
- We monitor, review, and evaluate our programmes, their delivery and assessment, for continuous improvement.

Assessment Planning

We will ensure that each programme will apply the following:

- Produce a coordinated assessment plan that includes assessment timings and ensures full coverage of assessment requirements whilst avoiding over-assessment
- Provide learners with opportunities for formative assessment which supports their learning

- Select assessment methods appropriate for the syllabi and registered learners.
- Use language and expressions appropriate to the needs of learners in all assessment materials
- Ensure that assessors are conversant with the content and standards that are required
- Have a planned approach to quality assurance, ensuring that all assessment materials are quality assured before presentation to learners.

Recognition of prior learning

Where it meets requirements of the syllabus, assessment processes recognise prior learning.

Making assessment decisions

We will ensure the following good practice principles apply:
- Sufficient authenticated evidence will be gathered upon which to make an assessment decision
- Assessment marking will be consistent/reliable across internal assessors
- Assessment decisions will be internally quality assured
- Accurate and reliable records of learner progress will be produced and maintained for certification claims
- A system will operate for learners wishing to appeal the outcome of an assessment.

A sampling assessment risk management strategy will be implemented which includes:

- Standardisation
- A process for monitoring, reviewing and evaluating the delivery and assessment from both learners and employers' perspectives
- Accurate documentation showing a clear audit trail.

Providing feedback

We will ensure the following good practice principles apply:

- Assessment will be transparent and all relevant information will be made available to learners, prior to the assessment
- Processes are in place to ensure clear results are given to learners
- Constructive formative feedback as appropriate will be given to learners.

Security

We will ensure that systems are in place for the secure recording, storing and accessing of learners' assessment records.

Provision of resources

We will ensure that appropriate physical, technological, financial and human resources are available to support fair assessment and to cater for the needs of learners.

Learner roles

In order to meet our policy requirements for fair assessment, learners also have responsibilities. Learners will:

- Follow the required procedures for fair and consistent assessment.
- Engage with assessment information to ensure familiarity with requirements. including authentication, deadlines, standards etc.
- Request an alternative means of assessment if it is shown that the planned assessment method does not provide opportunity to demonstrate that s/he has reached the required standard.
- Appeal against assessment decision through the established procedures.

Complaints and Whistleblowing Policy

Scope

This policy applies to training programmes based on CAA syllabi. It should be read in conjunction with all other policies in this guidance manual, particularly:

- Assessment Policy
- Equality Policy
- Malpractice and Maladministration Policy
- Data Protection Policy
- Appeals Policy

A complaint relates to any dissatisfaction with the provision of our training that has been drawn to the attention of a member of the training team but where the complainant is not satisfied with the outcome.

Whistleblowing relates to disclosures regarding any action that an individual considers to be illegal, unethical or not in line with company policies. In legal terms, whistleblowing relates to workers, however we will recognise disclosures from any learners, members of staff or the public.

Our Appeals Policy addresses issues with assessment decisions and is not part of the scope of this policy.

The purpose of this policy is to demonstrate our commitment to ensuring any concerns and complaints are dealt with efficiently and that we operate to the highest standards of openness, honesty and accountability.

Our commitment

We aim to ensure learner and client satisfaction at all times. Anyone involved in any aspect of the delivery, assessment and outcomes has the right to complain if they are dissatisfied about any aspect of the service they receive.

Our procedures

- We will ensure that our staff are fully conversant with our policy and how to follow the procedures. We will:
- Provide our stakeholders with details of how to appeal an assessment decision.
- Informally discuss any concerns with learners or other stakeholders with a view to resolving concerns before a formal complaint is made.
- Only address a formal complaint when informal discussions and actions do not resolve the issue and if the stakeholder makes a request to do so.
- Follow our complaints and whistleblowing procedure to ensure timely and transparent decisions are made and so that any required actions can be carried out without adverse effect on learners' progress.

- Ensure that any complaints and disclosures are handled confidentially and only provide to others the information needed to carry out a full investigation and make a response.
- Ensure that any documentation related to the complaint is maintained confidentially. Full details will only be held for three months after the resolution of the complaint. Anonymised details will be maintained for one year after resolution of the complaint to contribute to our continuous improvement process.
- Ensure that any complaint or disclosure made in good faith will not disadvantage the complainant or lead to victimisation.
- Monitor complaints and disclosures we receive to review our service and contribute to continuous improvement.

Supporting Documentation

- Complaint Form

Hints and tips

The policy should be amended to refer to specific roles/names that have key responsibilities for each commitment.

A suggested procedure could be:

Stage 1

This process only applies after an informal discussion has taken place.

- The complaint/disclosure must be made to xx. Complaints must be made using the Complaint Form. Disclosures must be made by email. If the complaint/disclosure relates to xx, initial communication should be made to xx.
- XX carries out an investigation, collating all relevant evidence
XX completes the Complaint Form (for complaints, or send an email for Disclosures) and responds to the stakeholder within seven days of the complaint/disclosure
- The stakeholder acknowledges the recommended outcome and signs the form (or responds by email in respect of Disclosures). If resolved, no further action is required. If unresolved move to Stage 2.

Stage 2

- The complaint is now escalated to the CAA

COMPLAINT FORM

This form should be completed by the person wanting to make a formal complaint. It should be used only after an informal discussion has taken place.

Name of Complainant:	
Please give details of the initial discussion that has taken place: Who was engaged in the discussion? When did the discussion take place?	
Please state details of the complaint:	
Signature:	Date of signature:
Investigating Officer:	
Summary of information obtained: Outcome of complaint: Next step:	
Signature:	Date of signature:
Complainant acknowledgement I have received the details of the investigation and outcome of the appeal. ☐ I accept the recommended outcome of complaint ☐ I wish to progress my complaint to the CAA	
Signature:	Date of signature:

Data Protection Policy

Scope

This policy applies to training programmes based on CAA syllabi. It should be read in conjunction with all other policies in this Quality Manual, particularly:

- Assessment Policy
- Equality Policy
- Malpractice and Maladministration Policy
- Appeals Policy
- Complaints and Whistleblowing Policy

This policy relates to the requirements under the General Data Protection Regulation (GDPR).

Our commitment

We are committed to best practice in ensuring the protection of data in relation to our stakeholders (employees, learners, contractors). We will handle, process and protect personal data in line with the related legal and regulatory requirements.

Our procedures

We will;
- Ensure all of our staff are trained in their requirements under the relevant legislation and regulations.
- Use the personal data provided to us for a specified purpose.
- Create an electronic record of your training programme(s). It may also be used to compile statistics, or to assist awarding organisations to do so, provided that no statistical information would identify you as an individual.
- Only collect the personal data we require to meet our regulatory requirements under relevant legislation and to provide the best service and support to learners.
- Keep personal data for only as long as necessary and keep it safe from unauthorised processing and accidental loss, damage or destruction.
- Ensure the personal data we hold is accurate and current. We will ensure that personal data held is monitored on a regular basis and make changes in a timely manner.
- Allow stakeholders to access any personal data we hold on them, subject to a written request to the Quality Manager. We will respond to requests within xx working days, unless there is a valid reason for a delay. Any delays will be explained in writing by the Quality Manager.
- Ensure our stakeholders are aware of their responsibilities under the General Data Protection Regulation during induction and through Learner Handbooks and the Quality Manual.

- Store materials containing personal or protectively marked information securely. If the materials are no longer needed we will dispose of them securely.

Equality Policy

Scope

This policy applies to training programmes based on CAA syllabi. It should be read in conjunction with all other policies in this Quality Manual, particularly:

- Assessment Policy
- Malpractice and Maladministration Policy
- Data Protection Policy
- Appeals Policy
- Complaints and Whistleblowing Policy

The scope of this policy covers discrimination on the grounds of sex, gender, marital status, civil partnership, physical status or any disability, racial or ethnic origin, nationality, creed or religious belief, sexual orientation, age, pregnancy and maternity/paternity or employment status. It applies to our employees, learners and other stakeholders.

This policy shows how we comply with the Equality Act 2012.

This policy includes reference to reasonable adjustments and special consideration:

Reasonable adjustments refer to maximising the potential for all learners to participate in assessment by making interventions before training and/or assessment commences.

Special consideration refers to actions taking after an assessment, as a result of unforeseen circumstances outside the control of the learner, to ensure they achieve their potential outcome.

Our commitment

We are committed to equality in all our engagements with stakeholders (employees, learners, contractors). Our expectation is that all stakeholders promote equality and challenge any suggestion of anti-discrimination. We expect all stakeholders to ensure everyone feels included and that no learner or group of learners is disadvantaged.

We will treat all learners as individuals and will provide all reasonable support to enable them to successfully complete the training programmes and related assessments.

Our procedures

- We will provide our training and assessment staff with the expertise needed to comply with this policy. This includes the ability to:
  - o identify discriminatory behaviour
  - o identify learners with support needs
  - o support learners with specific needs and
  - o manage reasonable adjustments and special considerations.

- We will ensure that any recruitment practices, including entry requirements, take account of the potential for anti-discrimination and we will publish our commitment to equality in any materials promoting our training.
- We will use our recruitment and learner review processes to actively identify those who may be vulnerable to discrimination
- We will work with those engaged in recruiting new employees to ensure:

  - They appreciate the physical and intellectual demands of the training programme and any risks to success.
  - They provide opportunities for individuals to identify support needs.
  - They provide the training team with details of support needs identified.

- We will provide our stakeholders with details of how to raise issues related to equality. This will include:

  - Contact details of a named representative.
  - The timescales for any investigation to be undertaken.
  - The timescales for the outcome to be communicated.
  - The process to follow if the outcome is deemed to be unfair.

- We will work with learners to determine any specific support needs they may have by:

  - Asking them to complete a self-declaration.
  - Encouraging our instructors to reviewing learner progress with a view to identifying specific learning needs.

- We will ensure our induction and review processes for instructors and learners include reference to this policy and anti-discriminatory practice.
- We will be inclusive in the way we provide support and endeavour not to highlight to others any individual's support needs. We will ensure that details of support needs and support provided is recorded and documentation is retained for 6 months following end of employment.
- We will work with individuals to remove, where practicable, barriers to achievement. Details of any special considerations and reasonable adjustments will be recorded and made available to the CAA if requested.
- We will use our recruitment and learner review processes to review the provision of resources needed to support learning and assessment and ensure we have in place appropriate physical resources needed to support learners.
- We will maintain confidentiality of any learner information related to additional support needs.
- We will monitor our compliance with this policy by collecting data through learner and employee applications, feedback and outcomes.
- We will ask all of our stakeholders to affirm their commitment to equality and diversity.
  - For learners this will be during induction.

- o For instructors, this will be through the application process, when signing contracts of employment, induction and during the performance review meetings.
- We expect our stakeholders to treat people as they would like to be treated – fairly, equally, with courtesy and respect, challenging inappropriate behaviour, being open and honest in dealing with other people and organisations, protecting personal privacy and keeping commercial confidence.

Supporting Documentation

- Induction checklist
- Special consideration request
- Reasonable adjustment request
- Learner registration form
- You may wish to refer to further sections of the guidance manual for diagnostic assessment guidance

Hints and tips

- Ensure joining instructions include a statement giving a commitment to equality.
- Maintain records of any communication with Human Resources regarding the requirements for the training programme.
- Maintain anonymised data related to equality for analysis.
- Maintain records of any analysis undertaken and follow-up actions required.

https://www.gov.uk/government/organisations/home-office/about/equality-and-diversity.

Training Providers may wish to refer to their own or contractors Equality Policy within this section.

Malpractice and Maladministration Policy

Scope

This policy applies to training programmes based on CAA syllabuses. It should be read in conjunction with all other policies in this Quality Manual, particularly:

- Assessment Policy
- Equality and Diversity Policy
- Data Protection Policy
- Appeals Policy
- Complaints and Whistleblowing Policy

Our commitment

Valid and reliable assessment occurs when learners present authentic and current evidence of their knowledge, understanding and skills which are assessed by assessors against specified standards.

The purpose of this policy is to limit the threat to the integrity of those assessment decisions.

Our procedures

- We will inform learners and employees what constitutes malpractice.
- We will inform learners and employees of the implications of malpractice.
- We will regularly review our procedures and documentation to minimise the risk of malpractice.
- We will ask our learners to confirm the authenticity of all evidence submitted for assessment by signing an authenticity statement.
- Where malpractice is suspected, a formal procedure is to be followed.

Malpractice procedures

- Learners will be provided with examples of malpractice during induction
- Learners will be provided with information to support their use of appropriate referencing of sources
- Instructors/assessors will be trained on how to identify malpractice
- Team meetings will be used to assess the risk of malpractice through the design of summative assessment activities
- Learners will sign a declaration of authenticity when any evidence is submitted for summative assessment.

A standard, time limited, sequenced and documented process for the centre and learner to follow when malpractice is suspected.

Where malpractice from a learner is suspected:

Stage 1

1. The individual will be notified of the issues and possible consequences. This will be added to the assessment feedback sheet. The learner will have the opportunity to present a case to ==xx==
2. ==xx== will be notified of the issues. ==xx== investigates by
   - Scrutinising evidence
   - Discussing with the instructor/assessor
   - Discussing with the learner
3. ==xx== makes a decision and informs both the learner and instructor/assessor and a sanction. Sanctions include:
   - A warning
   - A Fail grade given to the summative assessment with no opportunity for resubmission
   - A Fail grade given to the summative assessment with an opportunity for resubmission
   - Exclusion from the programme
4. A record of the process, the evidence and the conclusion will be maintained and contribute to the Programme Review and Evaluation.

Stage 2

1. If the learner disagrees with the outcome of the investigation by ==xx== and/or the sanction to be applied, they must submit an appeal to the ==xx.==
2. ==xx== review will include
   - a scrutiny of all documentation
   - an interview with the learner
   - an interview with the instructor/assessor
   - an interview with the IQA
3. ==xx== makes a decision and informs the learner, instructor/assessor and ==xx.==
4. A record of the process, the evidence and the conclusion will be maintained and contribute to the Programme Review and Evaluation.

Stage 3

Where the learner disagrees with the outcome of the investigation, they must notify ==xx.== ==xx== will refer the issue to the CAA.

Hints and tips

Examples of Malpractice by Learners

- Plagiarism of any nature, for example
  - Taking extracts from another person's work, published or unpublished without using quotation marks and/or acknowledging the source
  - Using ideas of another person without acknowledgement
  - Copying or using the work of another learner without their permission
  - Purchasing essays or downloading them
- Working collaboratively with other learners to produce work that is submitted as individual learner work

- Copying (including the use of ICT to aid copying)
- Deliberate destruction of another's work
- Fabrication of results or evidence
- False declaration of authenticity in relation to the contents of a portfolio or coursework
- Impersonation by pretending to be someone else in order to produce the work for another or arranging for another to take one's place in an assessment/examination/test.

Examples of malpractice by employees

- Inventing or changing marks for internally assessed work (coursework or practical observations) where there is insufficient evidence of the candidates' achievement to justify the marks given or assessment decisions made
- Failure to keep candidate's evidence secure
- Fraudulent claims for certificates
- Assisting learners in the production of work for assessment, where the support has the potential to influence the outcomes of assessment
- Producing falsified witness statements, for example for evidence the learner has not generated
- Allowing evidence, which is known by the staff member not to be the learner's own, to contribute to assessment decisions for a learner

Guidance - Training course overview checklist

An overview of the training programme should be given to a client and/or learners before the start of the course. You may already have a document that includes these elements (such as a day by day timetable) and there is no need to draw up a new document if the existing one is suitable.

Typically, this is the information you use to promote your training offer. It sets out to potential learners and/or clients the key information they need

a) To decide if the training programme is appropriate for them (client)
b) To prepare for the training (learner)

What to include in the overview:

- Purpose of the course
- Key learning aims
- Who would benefit from attending
- Duration
- Instructional techniques
- Any assessment methods

The overview can be in different formats eg

- Web page
- Marketing leaflet
- Email
- With joining instructions

Template - Lesson Plan

Syllabus:	Module:		Instructor:	
Learning outcome	**Session objectives:** By the end of the session, all learners will be able to: • Xx • Xx • Xx • Etc.			
Date	**Duration**			

Formative assessment:
The achievement of the above learning outcome(s) and session objectives will be formatively assessed by:
- Xx
- Xx
- Etc.

Group characteristics
[Add details of any specific learning needs or individual characteristics that will be taken into account when planning and delivering the session]

Time	Instructor activities	Resources	Learner activities	Assessment method	Adaptation for specific needs

Instructor evaluation:

Guidance - Best practice for accessibility requirements of training materials

<u>PowerPoints:</u>

• Limit the amount of information on each slide and avoid long sentences.

• Use plain English and avoid the use of abbreviations, unless they have already been explained or are common.

• Ensure writing is in a dark font and that the background is light enough to provide clear contrast. A cream background is often more accessible than pure white. Avoid backgrounds which are overly 'fussy'.

• Use a sans serif typeface (Arial is best) of font size 24 or above (45 bold for titles).

• Bullet points assist in making slides easier to follow.

• Do not use colour as the only indicator of meaning, such as priority items shown in red.

<u>Handouts</u>

It is best practice to type word documents in font size 14, and no smaller than font size 12, to assist readers with visual impairments.

Remember that no one font size will suit everyone. However, it should be easy to provide the document in an alternative font size upon request.

Font type

- It is best to avoid the use of non sans-serif fonts, such as Times New Roman.
- The more ornate the font, the fewer the number of individuals who will be able to read it.
- The recommended fonts are:
  - o Arial
  - o Verdana
  - o Calibri
  - o Universe
  - o Helvetica
- Wherever possible use bold to emphasise items or create headings as this is the most accessible type of formatting.
- It is usually best to use dark ink against a pale background as this is best for users with specific learning difficulties such as dyslexia, although some users with visual impairments may find a pale font on a dark background easier.
- It is important that there is sufficient contrast between the font colour and the background colour. For example, black font on a cream or yellow background is a good contrast. Backgrounds should always be plain.
- Some individuals may require printed documents on different coloured paper as this can assist those with dyslexia and other specific learning difficulties.

- Do not use justified text as this makes the spaces between words uneven which can make it difficult for some individuals to read. By aligning to the left you ensure the spaces between words are equal.
- Double or 1.5 spacing between lines can make a document more accessible. One line space at least should always be left between paragraphs.
- Avoid glossy paper or laminated documents as these produce glare which can make them inaccessible. Uncoated paper is best.
- In addition, make sure the paper is thick enough that print from one side of the paper does not show through to the other side. The Royal National Institute for the Blind recommends paper over 90gsm.
- Avoid the use of abbreviations which have not been given in full the first time they are used in the document.
- Avoid the use of particularly long sentences and use words and phrases that best suit your audience.

Guidance - Certification and training qualifications for instructors

As a minimum training providers are expected to assure themselves that their Instructors, whether permanent staff or on contract, are in possession of a valid Certified Instructor Number (CIN) or Recognition of Competence (ROC) number issued by the DfT (through the CAA) for the correct syllabuses.

If you need to check whether your Instructors are on our CIN list, please follow the link below:

http://publicapps.caa.co.uk/modalapplication.aspx?appid=11&mode=detail&id=6151

If you need to check the validity of an ROC number, please contact the CAA.

There are occasions when an Instructor may not appear on the list – this is most likely because we await their confirmation that their details are correct or because they have changed their email address and failed to keep us updated. If you need to check the status of an Instructor not on the list, please contact the CAA at the email below.

Avsec.training@avsec.caa.co.uk

If you have an instructor designing or delivering training under any of our syllabuses, you must obtain a CIN (or ROC number if the syllabuses grants this option).

Further training and/or qualifications staff may wish to consider are:

- Assessor qualifications
- Internal Quality Assurer (IQA) and Internal verifier (IV) qualification

Template – Checklist for induction of a new Aviation Security Instructor

	Tick when complete
Name: Induction date:	
Course:	
Certified Instructor Confirmation	
Instructor has obtained CIN Number? If no, complete section below	
a) Qualification in Instructional Techniques	
b) Subject Matter Competence element	
c) Background Check declaration	
d) Counter Terrorism Check (once applicable)	
e) If instructing RFX – RFX Instructor's course	
f) Notified CAA at Avsec.training@avsec.caa.co.uk	
g) CIN received	
Induction to training department	
Induction to department and work area	
Health and Safety requirements, including RFX materials if needed	
Induction to other training staff (organisation chart, responsibilities)	
Performance Standards explained (job description, QA monitoring approach)	
Learner Registration process including IT systems	
Arrangements for diagnostic assessments	
Learner journey	
Learner tracking system in place	
Induction to policies and procedures in place for staff and learners	
Induction to course(s)	
Aims and Objectives	
Training and assessment materials used for course	
Assessment arrangements	
Quality Assurance processes	
Equipment and procedures in place at entity if not familiar	
Training aids available	
Other	
Observation of training delivery	
Certification process	
Malpractice	
Support and CPD process including standardisation	
File management	
Data protection	

Guidance - Continuing Professional Development (CPD)

CPD is the learning activities professionals engage in to develop and enhance their abilities, and are not 'business as usual' activities that further knowledge and understanding of both the subject matter (aviation security) and instructional techniques. CPD ensures that both academic and practical qualifications do not become out-dated or obsolete; allowing individuals to continually 'up skill' or 're-skill' themselves, regardless of occupation, age or educational level. It is key that after completing a CPD activity the learning is consolidated by reflected upon or actively practicing it.

Active CPD includes:
Training workshops
Conferences
Events
E-learning
Trying new techniques
Seminars
Lectures
Work experience
Shadowing
Mentoring
Coaching
Consultations
Professional body meetings
Research projects
Networking
Systems development
Contributing to consultations

Passive CPD includes:
Reading articles/industry updates
Listening to podcasts

Guidance - Quality Assurance and Evaluation

The aim of this section is to provide you with a number of templates/examples of various quality assurance documents, which you can use to create your own or adopt and adapt to your own requirements.

Template - Quality Assurance Strategy

The purpose of this document is to set out the procedures in place to quality assure the training programme and ensure both current and future learners from a secure certification.

You will wish to include other quality assurance points during the training course as appropriate and adapt the template to your requirements.

Guidance - Internal Quality Assurance Procedures

Internal Quality Assurance (IQA) is the process of ensuring that training delivery and assessment practice is monitored in order to ensure that they meet national standards.

Throughout the learner journey we will have in place Internal Quality Assurance Procedures.

1.   Recruitment

This section relates to both learner and employee recruitment.

We will publish marketing material for our training courses and employee vacancies. These will be quality assured for accuracy and inclusion. We will clearly specify entry requirements for learners and person specifications for employees. xx will check that these materials comply with our policies as well as legal and regulatory requirements.

We will interview all prospective learners and potential employees that have been shortlisted.   The interview will be used as an initial screening for any

additional physical, medical and learning support that may be required as appropriate for the job role.

We will ensure all employees have the appropriate recruitment and vetting checks and relevant experience claims are verified.

2. Registration

This section relates to learners.

We will check the authenticity of those we register on our programmes in line with the regulation requirements of the NASP.

We will ask learners to complete registration documentation. Documentation will be maintained securely throughout the course duration and for the duration of the person's contract.

3. Induction

This section relates to both learner and employee recruitment. Instructors/assessors will be provided with:

- An induction meeting
- The relevant syllabuses with associated assessment requirements as delivered locally
- Any existing schemes of work and assessments
- Any relevant course handbooks
- Training on how to implement our policies and procedures
- Details of how to apply special consideration and/or reasonable adjustments
- A mentor for the first 6 months of their employment
- Course review and evaluation Reports
- External Quality Assurer Reports.

Learners will be provided with:

- A course handbook
- An induction session
- An opportunity to engage with other learners on their programme
- A personal mentor if appropriate
- A diagnostic assessment used to identify learning and assessment support needs. Where required, an appropriate support plan will be developed jointly with the learner.

The induction and course handbook will include details of our policies and procedures and our expectations of learners in relation to:

- Equality
- Data protection
- Malpractice
- Appeals
- Complaints and Whistleblowing
- Programme content
- Programme assessment, including quality assurance

The induction process and content will be reviewed through one of the following forms, as appropriate:

- One to one discussion
- Group discussion
- Completion of a questionnaire.

4.   Assessment Planning

- A scheme of work will be produced at least two weeks before the programme commences. This will be checked for coverage by <mark>xx.</mark>
- Session plans will be produced for each session and they will be quality assured by <mark>xx</mark> in line with the sampling strategy. They must be available for scrutiny by the <mark>xx</mark> in the course folder.
- <mark>xx</mark> must provide a cohort profile for all instructors/assessors involved in delivery and assessment. This will include results of diagnostic assessment and any identified additional learning and assessment support needs.
- <mark>xx</mark> must develop a meeting schedule that covers the duration of the course delivery period, including a meeting for post-programme review and evaluation.
- All instructors/assessors must attend a Standardisation meeting led by the <mark>xx.</mark> This will involve a discussion of:

  - o the assessment requirements
  - o any controls that need to be in place
  - o the assessment criteria against which decision will be made
  - o potential for malpractice
  - o any inclusion issues

- The key points of discussions will be recorded and maintained by the xx.
- xx will implement a sampling assessment risk management strategy. This will include:
  - Standardisation activities
  - A process for monitoring, reviewing and evaluating the delivery and assessment from both learners and employers perspectives
  - Accurate documentation showing a clear audit trail.
- xx will produce a Sampling Plan. This will be stored securely in the course folder and will not be accessible to any instructors/assessors. A minimum of 20% of assessment decisions will be sampled. This percentage may increase for new courses and new instructors/assessors for quality control purposes.
  The sample includes:
  - Monitoring at interim and summative stages or post certification
  - All marked assessment components
  - All assessment methods
  - A representative spread across learners
  - Decisions from all instructors/assessors, and all assessments sites (if applicable)
  - Monitoring of instructors/assessor observations
- The registration lists will be used to pre plan the internal quality assurance samples of each marked assessment component of the course, and will indicate which candidate's work will be selected for internal quality assurance checks.
- xx will review any assessments produced by instructors/assessors before the programme training commences. Where changes are required, the xx will set clear actions and timescales for completion and monitor that actions have been completed appropriately. All assessments must be approved before the training course commences.
- Documentation must be signed and dated by both the instructor/assessor and xx and maintained in the course folder.

5.   Training Delivery

All training materials will be checked by xx prior to being approved for delivery or use, to ensure they are technically correct and meet internal standard requirements.

Each instructor/assessor will be observed a minimum <mark>xx</mark> time(s) during the training by <mark>xx</mark>. If required, additional session observations will take place. A sampling plan will be developed and lesson observation forms will be completed.

At least <mark>xx</mark> example(s) of formative feedback provided by each Instructor/Assessor during the training will be reviewed by <mark>xx</mark>. If required, additional reviews will take place. A sampling plan will be developed and review forms completed.

Learners will be monitored throughout their training programme. A learner tracking system will be used. Learners will be provided with written, constructive feedback at key milestones in their programme. These milestones will be specified in schemes of work. A copy of feedback will be held with the tracking system.

This process will apply whether the training is 'on-the-job' or classroom based. Where an instructor/assessor operates in both contexts, the quality assurance process will apply for each context ie they will be observed both 'on-the-job' and in the classroom.

6.   Making Assessment Decisions

Instructors/assessors will make assessment decisions against training course criteria/standards. Learner Feedback forms will be completed and clearly indicate summative decisions made and formative feedback, as appropriate.

Assessment decisions will be made within <mark>xx</mark> working days of submission. <mark>xx</mark> will complete the Internal Quality Assurance of Assessment Decisions Form for each assessment decision sampled. The document must be signed and dated and maintained in the course folder. Feedback to the assessor should be included on the form.

Internal quality assurance of assessment decisions will be made within <mark>xx</mark> working days of assessment.

All instructors/assessors must attend meetings according to the meeting schedule for the course. These will be used to discuss assessment decisions made and any standardisation issues that have arisen. If appropriate, anonymised samples of learner work will be scrutinised. Minutes of meetings will be produced and maintained in the course folder.

Instructors/assessors will maintain details of learner performance on a tracking document. This will be reviewed periodically. If required, additional support will be provided to support learners' progress.

The assessment process will be reviewed regularly. For short courses, this will be at the end of the process. For courses that involve staged achievement (modular delivery) this will be on completion of each stage. The review will involve:

- Learners
- Instructors/assessors
- Other stakeholders as appropriate e.g. employers

The review will be conducted through one or more of the following forms, as appropriate:

- One to one discussion
- Group discussion
- Completion of a questionnaire
- Scrutiny of data e.g. results, External Quality Assurer Reports, appeals, complaints.

All learner produced assessment documentation will be maintained in line with regulations.

7.   Certification

On completion of the course, the instructors/assessors and Internal Quality Assurer will meet to agree certification. The Internal Quality Assurer will produce a document confirming the names of those to be certificated. This document will represent all learner achievements, including full and partial achievement. This will be signed and dated by the Internal Quality Assurer and all instructors/assessors involved. The document is used to enter certification details.

On receipt of certificates, the details are checked against the Certification document by the Administrator (or post holder). Learners are notified of the availability of certificates. Learners will sign to confirm receipt of the certificates.

8.   Review and Evaluation
The programme is reviewed at different stages:

- Induction
- Delivery and assessment (Classroom/on the job)
- Post completion

- Following regulation changes

Information and data will be collected from

- Learners
- Instructors/assessors
- Other stakeholders e.g. employers, line managers.

All feedback and information available will be used to review and evaluate the course at appropriate stages, with any changes to the course made based on this evidence. All proposed changes will be considered in the overall context of the course, regulatory requirements and local operating procedures. A log will be maintained highlighting changed made to the course to enable an audit trail to be established.

Template - Internal Quality Assurance of Assessment Brief Form

Assignment Title	
Type of assessment	Exam Practical
Course Details	
Assessment Requirements	
Assessor	
Internal Quality Assurer	

Criteria	Y/N	Comments
Are the assessment requirements clearly identified?		
Do the tasks/questions provide appropriate opportunity to produce evidence to meet the assessment requirements? Does it meet the requirements of the assessment strategy?		
Are the questions/tasks written (or verbally briefed) clearly and unambiguously? Are they technically correct and current?		
Is there evidence of bias?		
What is the risk of plagiarism?	L M H	
For exams Is the mark scheme clearly written and not open to interpretation?		
Do all questions apply best practice principles?		
For practical assessments Is it clear what evidence is required?		
IQA Comments		

Approved/Not approved

If not approved, what action is required?

When do these actions need to be completed?

Signed: **Date:**

Assessor comments:

Signed: **Date:**

Second review comments

Approved/Not approved

If not approved, what action is required?

When do these actions need to be completed?

Signed: **Date:**

Template - Internal Quality Assurance of Assessment Decisions Form

Course Details	
Assignment Title	
Assessor	
Internal Quality Assurer	
Learner name(s)	
Assessment requirements awarded by assessor	
Is the assessment decision accurate?	Y/N
Is there evidence of malpractice?	
Is the feedback to the learner appropriate?	
IQA comments If assessment decisions are not accurate, a second sample must be internally quality assured. Signed:　　　　　　　　　　　　　　　Date:	
Assessor comments Signed:　　　　　　　　　　　　　　　Date:	

Template - Internal Quality Assurance of Training Materials Form

Course Details	
Type of training material	
Developer	
Internal Quality Assurer	
Targeted learning outcomes	
Accessibility	
Has an appropriate font been used?	Y/N
Is the language appropriate to the level of the programme?	
Are the training materials free from bias?	
Content	
Is the content technically accurate?	
Does the content reflect current thinking and/or practice in aviation security?	
Is the content aligned to the learning outcomes?	
Is the content appropriate for the lesson plan?	
For PowerPoint slides: Is the number of slides in the presentation appropriate for the content and the learner?	
Learning	
Is the content logically structured?	
Is the content clear?	
Is the design of the training material engaging to the learner?	
Does the training material support good learning?	
IQA Comments Approved/Not approved If not approved, what action is required?	

When do these actions need to be completed?

Signed: **Date:**

Assessor comments:

Signed: **Date:**

Second review comments

Approved/Not approved

If not approved, what action is required?

When do these actions need to be completed?

Signed: **Date:**

Template – Lesson observation feedback form

Observer:	Instructor:
Date **Observation time** **Planned session times**	**Session type** **(theory/practical/other)**
Syllabus details **[module, learning outcome,** **assessment criteria]**	**Learner details** **[number, specific needs, attendance** **patterns]**
Key strengths	**Key areas for improvement**
Overall evaluation of session [how well is learning promoted and achieved, how is progress demonstrated, what level of progress and engagement is evident for all learners, how well is learning monitored and assessed for all learners? Consider: objectives, planning, content, preparation, relationships, learner experience, resources, differentiation, support for specific needs, achievement of intended objectives, acknowledgement of achievement by all]	
Health and safety considerations	**Equality considerations**
Feedback from learners	

Words to use to ensure consistency and standardisation

Outstanding	Good	Satisfactory	Inadequate
Excellent	**High quality**	**Acceptable**	**Poor**
Exceptional	**Positive**	**Adequate**	**Unacceptable**
Exemplary	**Superior**	**Suitable**	**Weak**
Superb		**Appropriate**	**Deficient**
		Average	**Incomplete**

Template - Evaluation Strategy

The purpose of this document is to set out the procedures that should be in place to review the training programme and ensure both current and future learners benefit from the feedback and review.

Stakeholder Phase	Learner	Instructor/Assessors	Employer (Line Manager)	Quality Manager/Senior Instructor/Assessor
Training phase (classroom/on the job)	1. If appropriate learners will engage in either a classroom based discussion or complete an end of module questionnaire. Not all modules will be evaluated, because of the length of the module. 2. A 'Suggestion Box' will be made available in the classroom. Learners can use this to make anonymous comments in relation to the training course. 3. Learners can send an email to the Quality Manager if there are any issues with the training course 4. Learners will complete a formal end of training questionnaire	1. Instructors are required to complete an evaluation at the end of each training session, noting comments on the lesson plan. 2. Instructors complete an evaluation of the training programme. Where more than one Instructor is involved, there is a formal discussion with notes taken.	n/a	1. Development of questionnaires for formal feedback. 2. Meeting between Quality Manager and Senior Instructor/Assessor to review feedback from learners and Instructors/SMEs. 3. Decisions will be made regarding any changes that can be made to the current training course and changes to be made to future training courses. A log of issues, compliments, decisions and actions will be maintained.
Post Training Phase	Complete questionnaire after one month of operational working	Complete questionnaire after one month of operational working	Complete questionnaire after one month of operational training	• Produce questionnaire for each stakeholder to complete • Collate information from questionnaire • Update issues log • End of training summary report

Guidance - Performance Indicators

This guidance sets out what is considered to be good practice when reviewing different aspects of the training. It can be used to develop specific quality standards that individuals or their outputs are measured against.

Scheme of Work	Comprehensive scheme which includes sequenced teaching and learning methods, resources and planned assessment.
Lesson Plan	Highly detailed with an excellent range of activities planned to meet different learning style/needs.
Learning Environment	Professional learning environment, wholly relevant, fit for purpose, accessible and excellently and safely equipped.
Introduction, Aims and Objectives.	Comprehensive introduction with learners displaying very clear understanding about learning purpose.
Pace and Structure of Learning	Pace clearly matches subject and learner level with activities very well-structured and timed to maintain interest and stimulate learning for all learners.
Learning Methods	Excellent range/creative approaches used to maximise learning and involve learners. Highly effective use of questioning techniques to check all learners knowledge/progress throughout. Previous knowledge and experience referred to throughout with excellent links between theory and practice. Instructor uses inclusive language, attitudes and terminology. Highly effective review of learning at intervals throughout the session and very clear summary linked to next session.
Learning materials/resourced	Excellent range and high quality (creative) materials clearly presented and well-used to promote learning.
Instructor Style and	Outstanding oral presentation skills which engage

Communication Skills	learners and promote sustained motivation and concentration (strong voice, fluent speech patterns, clear eye contact, enthusiastic manner and open body language and expression). Highly effective group/individual management with high mutual Instructor/learner value/respect.
Instructor Knowledge	Very knowledgeable and up-to-date in subject area evidence by very effective reference to examples to interest learners and extend their awareness.
Learner Involvement and Response	All learners actively involved and engaged, taking initiative and responsibility for their own learning including asking and answering questions well.
Standard of Learning	Outstanding standards of work. All learners demonstrating excellent knowledge and skills which illustrate working above standard for level and stage of training.

Guidance - Multiple Choice Questions Principles

Questions are made up of:
Stem: The question
Options: The possible answers
Key: The right answer
Distractor: The wrong answers

Principles – each questions should be written so that it
• is based on a syllabus topic or objective
• is testing knowledge important for the candidate to know and understand
• is technically correct and current
• is appropriate for the level of the candidates
• has distractors which are plausible to the level of candidates being examined
• has a key which is not a matter of opinion – e.g. choose the main or best
• has one option which is correct, and only one!
• has a stem which is in the form of a question – avoid incomplete sentences where possible.
• does not have obvious clues relating the key to the stem e.g. give the answer away
• is in clear, simple language and includes only relevant information
• has options which grammatically complete the stem (for incomplete statement type only) correctly
• does not have a negative stem.   If this is unavoidable, emphasise the negative term in bold e.g. which of the following are **not**…'
• has options which are, as far as possible, parallel in content and wording does not have options which stand out because of length
• does not have options which overlap
• has all numerical options in ascending or descending order
• avoids the use of 'you' as in 'what would you do'
• does not have as options 'all of these', 'none of these' or made-up words

Guidance – Checklist for Learner Joining Instructions

You may already be providing joining instructions for your learners prior to the start of the course – these can be combined with other communications such as from HR, and you may already have a suitable document in place – there is no requirement to draw up additional documents if existing ones are fit for purpose.

What to include on Joining Instructions:

- Date/Time/Place of course start
- Dress code
- Any document that learners need to bring on Day 1
- An overview of the programme including length of classroom section, on the job training and assessment points
- A diagnostic element/self-declaration of learning difficulties/barriers
- A contact point for any queries
- If required, relevant information on completion of the background check/CTC
- Information on behaviours and values such as a training charter, equality policy etc.

Template - Learner Induction Checklist

Learner Name:

Course:

Please tick the boxes when you feel comfortable that you have been given information about, understand and are familiar with the following:

Policies and procedures

Equality	
Data protection	
Appeals	
Malpractice	
Health and safety	
Complaints and whistleblowing	

Training environment information

Layout of the training centre	
Location of training rooms	
How to evacuate the training area	
Where to locate first aid information and resources	
Location of and access to learning aids	
Availability of ICT resources	

Training programme information

Roles of responsibilities of the training team	
Course aims	
Structure of the training course	
Assessment requirements including dates	
Support available	
How and when to contact key personnel	
Attendance requirements	
Course content	
Feedback provided to you	
How your feedback can be provided and used	

Comments:

Student Signature: Date:

Instructor Signature: Date:

Template – Training Record

Employee Name:	CIN:
Approved syllabuses:	

Qualifications and training	Date
Subject matter related	
Instructor related	
Assessor related	
Quality assurance related	
Other	

Experience	Date
Occupationally related	
Instructor related	
Assessor related	
Quality assurance related	

Occupational CPD

Date	Learning activity	Development activity

Instructional CPD

Date	Learning activity	Development activity

Template – Learner Record

Learner Name:	Employer:
Specific needs	

Training programme 1

Syllabus title:	
Date	
Initial	Refresher
Modules completed	
Certification issued	
Comments	

Signed: Date:

Training programme 2

Syllabus title:	
Date	
Initial	Refresher
Modules completed	
Certification issued	
Comments	

Signed: Date:

Template – Special consideration/ Reasonable Adjustment Request

Learner:

Course:

I wish to request a:

- ☐ Special consideration
- ☐ Reasonable adjustment

Reason for request

Supporting evidence

Signed: Date:

Instructor to complete

The request is

- Approved

Provide details of support to be provided

- Denied

Reason for decision

Signed   Date

Guidance - Diagnostic assessment for learning barriers

Diagnostic assessment is a form of pre-assessment that allows a teacher to determine students' individual strengths, weaknesses, knowledge, and skills prior to instruction. For the purposes of our training it is primarily used to diagnose learner difficulties and learning barriers.

You may already do this as part of your current arrangements. The diagnostic assessment can take place either prior to the course start (by asking the new learners to return a diagnostic document) or at the start of the classroom session (by having the learners complete this in the classroom). Keep in mind that with the latter option, this may draw unwanted attention to learners who would prefer not to share their learning difficulties with the class. The same would apply for voluntarily asking learners to declare their difficulties in the classroom – and they may also not be aware they have a learning difficulty.

- The British Dyslexia Association has resources available on their website which you may find useful, including a self-checklist:

http://www.bdadyslexia.org.uk/screening

- Dyspraxia UK, similar to the above has resources and a short quiz that can be used for assessment:

http://www.dyspraxiauk.com/adults.php

- Please find below a self-declaration that can be used with your learners.

Template - Learner Self Declaration

This information will be made available to our training team to assist them in preparing the training course. You can additionally contact the training team to discuss any learning difficulties you may have.

Please indicate if you consider yourself to have a disability.

- ☐ Social and emotional difficulties
- ☐ Mental health difficulty (please state) _____
- ☐ Asperger's Syndrome
- ☐ Temporary disability (e.g. after illness or accident)
- ☐ Other medical conditions (e.g. epilepsy, asthma, diabetes)
- ☐ Other (please state disability) _____

Please indicate if you consider yourself to have a learning difficulty.

- ☐ Moderate learning difficulty (please give details) _____
- ☐ Dyslexia (difficulty with words)
- ☐ Dyscalculia (difficulty with numbers)
- ☐ Autistic Spectrum Disorder
- ☐ Speech, language and communication needs
- ☐ Other specific learning difficulty (e.g. Dyspraxia – difficulties with physical coordination)

Have you ever had extra support for reading and writing?	☐ Yes	☐ No
Have you ever had extra support for numeracy?	☐ Yes	☐ No
Have you ever had special arrangements in exam such as extra time, a reader, or help with writing? If yes, please give details.	☐ Yes	☐ No

Would you like us to contact you about any of the above?

Guidance - Learner Tracking principles

You should have a system in place for tracking the progress of your learners through the different stages, until they are certificated – and you may wish to consider tracking learner though their recurrent training cycles as well. You may already have a system in place and there is no need to adapt to a new system if you have a suitable alternative. The tracking system can be electronic or on paper but should address the following key stages:

- Registration
- Module completion
- Formative assessment (progress check)
- Summative Assessment (classroom and practical)
- On the job training
- Resits (if applicable)
- Certification