

Safety Training Awards Internal Quality Assurance Procedures for Centres



Safety Training Awards (STA) require all centre co-ordinators to assist in meeting the requirements of our regulators in terms of monitoring the delivery, assessment and quality assurance (condition C2.3(c)) of all STA regulated qualifications that are made available. It is the centre co-ordinators responsibility to ensure that an appropriate, risk based system of internal quality assurance is implemented which seeks to monitor all aspects of the learner journey to ensure that:

- Assessments take place in line with STA procedures and are fair
- Assessment decisions within the centre are reliable
- Certificates claimed are on the basis of verifiable learner achievement
- Training and assessment practices are of a high standard, and meet learner needs
- Records are maintained in line with STA procedures
- Learners are registered accurately and can be uniquely identified.

Roles and Responsibilities

There are four roles which are fundamental to the success of the delivery, assessment and quality assurance of STA regulated qualifications. Where permitted by STA, and in line with the conflict of interest policy some of these roles may be performed by the same person, please see the approved training centre manual and the policies section on the Safety Training Awards website for further details.

Tutor and Assessor

The course tutor and / or assessor may also wish to fulfil the role of centre co-ordinator, where an independent assessor is required within the qualification specification, this role must be performed by an individual who is independent of both the tutor and quality assurer.

- To plan, deliver and assess qualifications that they are registered to tutor / assess in line with STA qualification specifications, assessment guidance, STA policies and procedures and any relevant Sector Skills Council or Industry Body assessment strategy
- Ensure delivery and assessment activities meet the needs of the learner, keeping the learner fully informed of the assessment process, requirements and when this will be taking place
- To maintain accurate, authentic, up to date records of the training and assessment that has taken place in line with STA requirements
- To make learners aware of STA policies and procedures, especially those relating to equal opportunities, reasonable adjustments, special considerations, complaints and appeals
- Comply with any relevant legislation, including that for health, safety and welfare, equality, and GDPR and data protection 2018
- Report any concerns relating to tutor, assessor or quality assurer performance or conduct and any concerns of malpractice or maladministration to Safety Training Awards immediately in line with STA's Malpractice and maladministration policy

- Provide timely, constructive and accurate feedback to learners in respect of their performance
- Maintain own competency and currency through keeping qualifications up to date (as detailed in the qualification specification and assessment strategy) participating in appropriate professional development and standardisation activities.

Internal Quality Assurer (IQA)

- Plan and execute internal quality assurance activities in line with STA procedures, qualification specification, and applicable Sector Skills Council and Industry Body requirements
- Keep accurate, authenticated and up-to-date records of planned and completed internal quality assurance activities in line with STA requirements and GDPR legislation
- Develop sampling plans which use appropriate methods to monitor the quality of assessment, in line with STA procedures, Sector Skills Council and Industry Body requirements
- Ensure an effective system of recording learner achievement is in place and the delivery and assessment processes are implemented by the tutors and assessors in line with STA requirements and procedures
- Advise and standardise assessors on the appropriateness of assessment evidence with regard to level, validity, authenticity, reliability, consistency and sufficiency
- Sample assessments to assure assessors' judgements, ensuring that they are impartial, consistent, fair and reliable
- Observe assessors carrying out assessment activities with learners and providing feedback
- Interview learners
- Report any concerns relating to tutor, assessor or centre co-ordinator performance or conduct and any concerns of malpractice or maladministration to Safety Training Awards immediately in line with STA's Malpractice and maladministration policy
- Maintain own competency and currency through keeping qualifications up to date (as detailed in the qualification specification and assessment strategy) participating in appropriate professional development and standardisation activities
- Provide standardisation activities for assessors to ensure consistency in the assessment process, ensure that any appropriate corrective action is taken where necessary
- Take part in the formal stages of any appeal when required
- Liaise with the centre co-ordinator to provide samples for external quality assurance monitoring, as required by STA
- Provide the centre co-ordinator, tutor, assessor and STA with feedback as appropriate
- Provide support, guidance and action plans to assessors in light of quality assurance activities
- Undertake any remedial action as required by STA as a result of EQA activities within the timeframe dictated by Safety Training Awards
- Share good assessment practice between all tutors / assessors
- Ensure resources are available that assessment can be performed accurately and appropriately
- Check tutors and assessors have the appropriate qualification, competence and are up to date in line with the qualification specification and appropriate assessment strategies.

Centre Co-Ordinator

- Ensure that the approved training centre (ATC) agreement, legislation, including that for health, safety and welfare, equal opportunities and GDPR, STA policies and procedures and requirements, including those of Sector Skills Councils and Industry Bodies, where appropriate are adhered to at all times during the training, assessment and quality assurance monitoring of STA qualifications
- Be the authoritative point of contact for all courses registered on your STA online account
- Ensure the course venue meets the requirements for the delivery of the qualification, is healthy, safe and fit for purpose, this includes completing / having sight of appropriate risk assessments
- Retain all required paperwork, including evidence of valid assessment and quality assurance monitoring that has taken place, data retention requirements can be found at appendix I
- Ensure all learners are registered in a timely fashion in line with STA procedures
- Ensure all learners registering on to the course have the correct pre-requisites
- Ensure all learners are aware of the requirements, policies and information that is applicable to them for the qualification they are undertaking
- Ensure that all the equipment required is made available and is in a good state of repair in line with the qualification specification
- Ensure that sufficient numbers of appropriately qualified tutors, assessors and quality assurers to guarantee that STA qualifications are delivered and assessed in line with the qualification specification
- Liaise with STA to arrange an EQA visit / request for sampling and make any necessary arrangements as required by STA
- Be available during the visit and ensure that all evidence related to learners' portfolios and assessment, the internal verification and quality assurance processes are available
- Receive feedback at the end of the visits
- Receive the report of the visit and disseminate its findings to appropriate individuals
- Ensure that there is no conflict of interest within the quality assurance, tutoring, assessing and invigilating teams, all conflicts of interest must be managed in line with STA's conflict of interest policy
- Report any concerns relating to tutor, assessor or centre performance or conduct and any concerns of malpractice or maladministration to Safety Training Awards immediately in line with STA's Malpractice and maladministration policy
- Assist Safety Training Awards and regulatory bodies with any investigations or requests for information which are deemed necessary
- Address any action points within the time frame agreed between the centre co-ordinator and Safety Training Awards
- If for any reason the course cannot be completed, make arrangements for learners to continue their learning at another site without extra cost or inconvenience
- Ensure any information communicated to potential / current learners is accurate and up to date.

External Quality Assurer (EQA)

External quality assurers (EQA's) are assigned by Safety Training Awards. A full explanation of the role and responsibilities of an EQA can be found in the centre quality assurance section of the ATC manual.

What follows is a summary of the ways this individual engages with centre co-ordinators and internal quality assurers.

- Plan external quality assurance activities and communicate these with the centre co-ordinator and internal quality assurers (IQA) involved in accordance with STA external quality assurance procedures
- Monitor the delivery, assessment and quality assurance procedures implemented by STA's centre co-ordinators and IQA's
- Provide feedback and support for centre co-ordinators and IQA's, including providing a written report, action plans and recommendations where appropriate
- Monitor the completion of action plans and recommend sanctions to Safety Training Awards where necessary
- Standardise assessment and quality assurance practice between IQA's and assessors.

Internal Quality Assurance Procedures

All centre co-ordinators are responsible for implementing a robust procedure for quality assuring the work of the tutors, assessors and IQA's they engage.

Upon registering each course, in line with STA procedures, the centre co-ordinator is responsible for appointing a tutor, assessor (where necessary) and an IQA. The roles each of these individuals is responsible for fulfilling is detailed above. Remuneration of these individuals is the responsibility of the centre co-ordinator.

Once appointed, the IQA is responsible for creating a sampling plan, (see appendix II) detailing the assessment evidence that will be scrutinised as part of the quality assurance activity. There are three methods the IQA can use to assure the quality of assessment:

- Sampling assessment evidence
- Observation of delivery and assessment practice
- Feedback from learners.

It is not necessary for the quality assurer to use each of these techniques during each activity, but all techniques must be completed by the IQA during each twelve-month period. The exact frequency will depend on the number of courses that an assessor is delivering, and the risk posed to the delivery and assessment process. Those tutors and assessors who are assessed as being high risk will require additional observations and larger samples of assessment evidence scrutinised. Our External Quality Assurance team are happy to provide support. Sampling of assessment evidence should be carried out sufficiently and frequently so that the sample size is manageable. Details of how to carry out each activity is included below.

Sampling Assessment Evidence

The IQA must carefully plan their sample to ensure that the sample is large enough to make an accurate decision relating to the quality of assessment evidence and the sample covers all types of learners, assessment evidence, methods of assessment, assessment locations etc. This way the quality assurer can be assured that the sample is representative of the assessment population and that the evidence not reviewed is likely to be the same standard. The IQA must complete a sample plan to demonstrate the quality assurance activities that have taken place. This must be retained for inspection by the EQA. A sample plan must be completed for each qualification and may cover more than one assessor.

Determining Sample Size

The sample size should be determined based on the risk of an incorrect assessment decision being made, the greater the risk, the larger the sample needs to be. For an assessor assessing their first three courses, the sampling rate should be 100%, to ensure that accurate assessment decisions are made. If the assessment decisions are found to be accurate after three courses, sampling can take place as below:

In the following circumstances a minimum sample of 50% (or 6 learners, whichever is the greater) would be deemed appropriate (high risk):

- The assessor is inexperienced, or the qualification is new to the centre / tutor / assessor
- The assessor received a large number of action points during the last quality assurance activity
- There has been an issue identified within previous samples
- The assessor has not engaged with standardisation or CPD within the last 12 months
- There have been complaints or successful appeals within the last 12 months
- Other identified factors, which would constitute a high risk.

In the following circumstances a minimum sample of 25% (or four learners, whichever is the greater) would be deemed appropriate (medium risk):

- The assessor has some experience
- There were action points within the last quality assurance activity
- The assessor has limited evidence of standardisation and CPD
- Other identified factors, which would constitute a medium risk.

In the following circumstances a minimum sample of 10% (or three learners, whichever is the greater) would be deemed appropriate (low risk):

- The assessor, tutor and centre co-ordinator are experienced (two or more years)
- There were no action points identified during the last quality assurance activity
- The assessor is current and has evidence of completing appropriate CPD and standardisation within the last 12 months.

Planning the Sample

The sample should be selected randomly, all learners should have an equal chance of being selected. When selecting a sample, the internal quality assurer must ensure the sample covers:

- All the different methods of assessment used within the qualification delivery
- Quality assuring all units (paying specific attention to high risk or difficult units)
- All different types of evidence
- Learners that have passed and those which are referred (if applicable)
- All assessors
- All geographic areas and assessment locations.

The internal quality assurer must justify the selection of their sample to the external quality assurer.

Making Judgements Relating to Assessment Evidence

Judgements relating to the quality of assessment evidence must be recorded on the internal quality assurance performance report (appendix III). This form can be used for recording the results of quality assurance for the whole sample. The evidence that has been reviewed must be recorded in the first box. The IQA must satisfy themselves that the evidence meets the requirements that are stipulated in: the tutor manual, the qualification specification, assessment guidance documents and assessment strategies from Sector Skills Councils and Industry Bodies, and the assessment has taken place in line with STA procedures. They must also satisfy themselves that the assessment evidence is:

Criterion	Possible evidence available (this list is not exhaustive)
Valid	<ul style="list-style-type: none"> • Does the evidence relate to the assessment criteria? • Were the conditions of assessment correctly implemented? • Was the correct equipment provided (this includes participants of an appropriate standard for aquatic qualifications)?
Authentic	<ul style="list-style-type: none"> • Has both the assessor and learner signed the appropriate paperwork? • Has evidence of identification seen been recorded on the application form by the tutor? • Do learner name / signature match across all paperwork? • Has the authenticity statement been signed by the learner?
Sufficient	<ul style="list-style-type: none"> • Has the assessment been marked in accordance with STA guidance and answer sheets? • Have any incorrect / insufficient answers been addressed by verbal questioning / supplementary answer sheets?
Current	<ul style="list-style-type: none"> • Has the latest version of documentation been utilised? • Are the assessors qualified in line with the assessment strategy? • Has the assessor got a record of their professional development?

Reliable	<ul style="list-style-type: none"> • Has the assessor undertaken standardisation activities? • Has the assessment been marked in accordance with STA guidance and answer sheets?
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In addition to assessment evidence, the IQA must also check the learner has been registered on the course, has fully completed an application form, has met all necessary pre-requisites and there is sufficient information to ensure learners are uniquely identifiable. Copies of qualification certificates must also be seen for tutors and assessors, ensuring that they are up to date and meet the requirements of the qualification specification. If the learner has changed their name, evidence of this (such as marriage certificate or deed poll) is required. Original copies of certificates must be seen.

Course timetables, lesson planning and registers should also be seen to ensure that any minimum learning hours have been completed by each learner.

The results of the sample must be recorded in the second box. The comments box must be utilised to identify points of evidence to support the decision. Generic statements should be avoided. The EQA will need to see an auditable trail linking the quality assurer's decision and the learner's evidence.

Any 'No' responses must be accompanied by an action point which is referred back to the assessor and centre co-ordinator. Certification is not to be claimed until action points have been addressed to the satisfaction of the IQA. Once complete, the form must be signed and dated in the appropriate box.

Observation of Delivery and Assessment Practice

Appropriate planning for observation is extremely important in order to ensure an informed quality assurance judgement can be made during the assessment process. Observation must cover:

- A minimum of one hour of delivery, covering both practical and theoretical aspects of the course
- Briefing of learners undertaking assessment
- Assessment observation, covering a variety of assessment methods
- Feedback given to learners following the assessment process.

The IQA must ensure they are positioned so that they do not impede the assessment process in any way but are still able to hear the learners and assessors clearly. Where more than one assessment is taking place at one time, the internal quality assurer may observe the whole assessment process but should allocate additional time to do this effectively.

The IQA must ensure that delivery and assessment is conducted in line with STA procedures and guidance, this information is available in the qualification specification for each discipline <https://www.safetytrainingawards.co.uk/qualifications/>. The IQA should gather sufficient evidence for each of the criteria on the left-hand side of the form (appendix IV) to satisfy themselves, and which provides an auditable trail for the EQA, that procedures and assessment strategies have been followed and that the criteria has been met. Any 'No' response must be accompanied by an action point for the assessor. Certification is not possible until the action points are addressed. Any concerns should be addressed to the EQA, or in their absence, Safety Training Awards Centre Management team.

Sufficient time should be allowed to feedback to the assessor, centre co-ordinator and tutor following the completion of the observation.

Feedback from Learners

Gaining feedback from learners can take place following observation of assessment practice. Feedback sessions should be arranged once the delivery and assessment is complete, and learners have received their feedback so they are in a position to provide informed opinions on the whole learner experience.

Learners should be selected randomly to participate in a feedback interview, whilst there is no minimum number of learners required, the IQA should be satisfied that the sample they select are willing to participate and the group is adequately represented. It is advisable that the interview is conducted without the tutor or assessor present in order to gain honest feedback.

The results of the interview should be recorded on the form provided (appendix V). The responses of the learners must be recorded verbatim, the IQA is looking to assure themselves that learning hours have been met, procedures relating to the delivery and assessment of STA qualifications have been adhered to and the assessment was conducted fairly. Any actions required should be noted and fed back to the tutor, assessor and centre co-ordinator.

Reporting Procedures

The results of the quality assurance activity should be recorded on the quality assurance paperwork, downloadable from <https://www.safetytrainingawards.co.uk/resources/>. These should be fed back to the tutor, assessor and centre co-ordinator once the activity has been completed. Any action points must be addressed to the satisfaction of the IQA before certification is claimed.

The completed forms must be returned to STA within five working days of the activity being completed. Failure to do so may delay certification.

Any concerns relating to tutor or assessor performance or conduct must be reported to STA immediately. Where performance of a tutor or assessor falls below the standard required STA are able to: suspend or withdraw status or require individuals to undertake additional training.

Any suspected malpractice or maladministration must be reported to STA immediately.

Any disputes relating to the quality assurance process will be dealt with in line with STA's appeals policy.

Standardisation

Standardisation is an important part of the internal quality assurance process as it helps ensure that assessment decisions within the centre are reliable and fair. It is the responsibility of the IQA to standardise assessment practice amongst the assessors that they work with. This can be achieved in many ways:

- Observing assessment practice and providing feedback
- Less experienced assessors shadowing experienced colleagues
- Assessor meetings, where guidance and assessment requirements are discussed
- Attending STA standardisation sessions as and when required.

Assessors must keep a record of the standardisation they have attended as this information will be required by the EQA.

IQA's are required to undertake standardisation which will be arranged by STA's EQA's.

Continuing Professional Development

It is essential that assessors keep themselves up to date with the subject they are going to be assessing and also assessment practice. Evidence of engaging in CPD on an annual basis will be required by both the IQA and EQA. Evidence of professional development may be wide ranging, it must be relevant to the role being undertaken and should demonstrate the maintenance of competence.

Some examples could include:

- Copies of qualification certificates
- Attendance certificates from workshops / seminars or courses either external or in house
- Completion certificates from online or distance learning programmes
- Professional body membership
- Copies of relevant articles / reading or research undertaken
- Technical notices issued by STA
- Conference programmes or attendance certificates
- Meeting minutes
- Attendance at Webinars
- Record of shadowing/observing peers. Please see appendix VI for a template CPD record.

Conflicts of Interest

All individuals who are involved in the administration, delivery, assessment or quality assurance of Safety Training Awards qualifications are required to complete and sign a conflicts of interest disclosure form, which is required to be updated annually. Conflicts of interest are a high-risk area to regulators, so therefore it is vital that all potential or actual conflicts of interest are disclosed at the earliest opportunity so that they can be managed effectively. Please refer to Safety Training Awards conflicts of interest policy for further information. The following are examples of conflicts of interest and must be declared (this list is not exhaustive):

- Assessors / internal quality assurers assessing / quality assuring members of their own family or household
- Tutors / assessors quality assuring their own work
- Assessors assessing learners that have been taught by a member of their own family or household
- Internal quality assurers assuring assessment decisions for learners that have been taught or assessed by a member of their own family or household.

Further Reading

- Chartered Institute for the management of Sport and Physical Activity (CIMSPA)
<https://www.cimspa.co.uk/>
- First Aid Awarding Organisation Forum Assessment Principles for Regulated First Aid Qualifications
- Gravells, A. TAQA

- Joint Awarding Body Guidance https://qualifications.pearson.com/content/dam/pdf/NVQ-and-competence-based-qualifications/2010/Assessment-and-verification/181548_uk_qualifications_nvq_ri_guidance_70423.PDF
- National Occupational Standards <https://www.ukstandards.org.uk/Pages/index.aspx>
- Ollin and Tucker
- Skills Active <http://www.skillsactive.com/standards-quals/assessment-strategies>

Data Retention Requirements

Appendix I

Please see the table(s) below for further guidance on the minimum retention period. It is at your own discretion how long you wish to retain the documentation after the minimum requirement (detailed below).

Swimming Teaching Qualifications

Qualification Title	Retain for Lifetime of Qualification
Award in Swimming Teaching (no expiry, retain for the maximum period)	5 Years
Certificate in Swimming Teaching (no expiry, retain for the maximum period)	5 Years
Baby and Pre-School Award (no expiry, retain for the maximum period)	5 Years
Baby and Pre-School Diploma (no expiry, retain for the maximum period)	5 Years
People with Disabilities (no expiry, retain for the maximum period)	5 Years
Aquatic Tutor Status	3 Years

Lifesaving Qualifications

Qualification Title	Retain for Lifetime of Qualification
Pool Lifeguard	2 Years
Safety Award for Teachers	2 Years
Pool Emergency Responder	2 Years
Open Water Safety	3 Years
Lifesaving Tutor Status	3 Years

Pool Plant Qualifications

Qualification Title	Retain for Lifetime of Qualification
Pool Plant Operations	5 Years
Swimming Pool Water Treatment	5 Years
Swimming Pool Water Testing	5 Years
Pool Plant Tutor Status	3 Years

First Aid Qualifications

Qualification Title	Retain for Lifetime of Qualification
First Aid at Work	3 Years
Emergency First Aid at Work	3 Years
Paediatric First Aid Award	3 Years
Emergency Paediatric First Aid Award	3 Years
CPR and AED	2 Years
CPR and Anaphylaxis	2 Years
First Aid Tutor Status	3 Years

Health and Safety Qualifications

Qualification Title	Retain for Lifetime of Qualification
Fire Marshall	3 Years
Safe Moving and Handling	3 Years
Fire Safety Tutor Status	3 Years
Manual Handling Tutor Status	3 Years

Course documentation and assessment evidence can be stored either in hard copy form or electronically. How you choose to retain the information is entirely your choice.

Please be aware that the above requirements are subject to change, dependent upon current legislation.



Internal Quality Assurance (IQA) Sampling Plan

Appendix II

IQA Name	
Site Name	
Qualification Title	
Course Reference Number	
Sampling Time Period	

Tutor / Assessor Name or STA Reference Number	Learner Name or STA Reference Number	IQA Date		Units Sampled	Sample Type (portfolio, practical marking sheet, worksheets or tutor assessed skill sheet)	IQA Report Number	IQA Signature on Date of IQA
		Planned	Actual				

Action Points

Date	Action Points	Date Completed

Internal Quality Assurance (IQA) Assessor Observation Performance Report



Appendix III and Appendix IV

IQA Name	
Assessor Name	
Qualification Title	
Course Reference Number	
Unit Number	

Describe the activity in this course that was undertaken during the observation. Please note any special circumstances.

Did the Assessor...	Evidence	Result			
		Yes		No	
		Yes		No	
		Yes		No	
		Yes		No	

		Yes		No	
		Yes		No	
		Yes		No	
		Yes		No	
		Yes		No	
		Yes		No	
		Yes		No	
		Yes		No	
		Yes		No	
		Yes		No	
		Yes		No	
		Yes		No	
		Yes		No	
		Yes		No	
		Yes		No	

Feedback for the Assessor

Does the evidence submitted meet the assessment criteria?

Assessor Comment

IQA Name

IQA Signature

Date

Assessor Name

IQA Signature

Date

Internal Quality Assurance (IQA) Tutor Observation Performance Report



Appendix III and Appendix IV

IQA Name	
Assessor Name	
Qualification Title	
Course Reference Number	
Unit Number	

Describe the activity in this course that was undertaken during the observation. Please note any special circumstances.

Did the Assessor...	Evidence	Result			
		Yes		No	
		Yes		No	
		Yes		No	
		Yes		No	

		Yes		No	
		Yes		No	
		Yes		No	
		Yes		No	
		Yes		No	
		Yes		No	
		Yes		No	
		Yes		No	
		Yes		No	
		Yes		No	

Feedback for the Tutor

Tutor Comment

IQA Name	
IQA Signature	
Date	

Tutor Name	
Tutor Signature	
Date	



Internal Quality Assurance (IQA) Desk-Based Sampling Report

Appendix III and Appendix IV

IQA Name	
Assessor Name	
Qualification Title	
Course Reference Number	
Sampling Date	

Learners Name	Samples					

Sample Checks	Evidence	Result			
		Yes		No	

		Yes		No	
		Yes		No	
		Yes		No	
		Yes		No	
		Yes		No	

Action Points

Date for Completion	
Date Completed By	

I confirm that I have discussed this sampling report with my IQA and have received feedback where relevant.

IQA Name	
IQA Signature	
Date	

Assessor Name	
Assessor Signature	
Date	



Internal Quality Assurance (IQA) Learner Interview Record

Appendix V

Learner Name	
IQA Name	
Tutor Name	
Assessor Name	
Qualification Title	
Course Reference Number	
Site Name	
Interview Date	

Question	Response Given by Learner	Action Required

I agree that the contents of this record are an accurate reflection of my interview and may be shared with my assessor.

Learner Name	
Learner Signature	
Date	

IQA Name	
IQA Signature	
Date	

EQA Name	
EQA Signature	
Date	

Once completed, please submit this report to STA at iqareports@sta.co.uk.

Continuous Professional Development (CPD) Record



Appendix VI

Name	
From	
To	

Key Dates	What did you do?	What did you learn from this?	How will you use this? Any further action?