

Internal Quality Assurance Guidance for IQA's and ATC's

V22.3



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Introduction to Internal Quality Assurance

What is Internal Quality Assurance?

Internal Quality Assurance (IQA) is a system in place to monitor and evaluate a product and service. For Approved Training Centres (ATC's) delivering Safety Training Awards qualifications, this means:

- The **product** is the qualification learners are working towards e.g., STA Award for Safety Award for Teachers.
- The **service** is everything which underpins the product and supports the learner i.e., the whole learning journey from booking through to issue of certificate.

The internal activities to ensure standards and procedures are being followed and areas for improvement highlighted.

IQA should identify and recommend measures to help improve the delivery and assessment of the qualification and the service offered as an ATC. IQA should ensure everything is working well and should help the ATC achieve and maintain their high standards.

The IQA process is not to look for problems but simply to avoid potential problems and ensure each course is run to the same standard and then improved so the ATC can be the best it can be.

IQA will monitor all parts of the learners' journey, and everyone involved within the learner experience including tutors and assessors.

Safety Training Awards (STA) require all ATC co-ordinators to assist in meeting the requirements of the regulators in terms of monitoring the delivery, assessment, and quality assurance (condition C2.3(c) and regulatory principle 13) of all STA regulated qualifications that are made available. It is the ATC 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 based on 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.

Types of IQA activities include:

- Tutor observation
- Assessor observation
- Learner interviews
- Desk-based sampling (checking paperwork has been completed correctly).

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.

1. ATC Co-ordinators
2. Tutors / Assessors
3. Internal Quality Assurers
4. External Quality Assurers.

ATC co-ordinators are responsible for appointing the internal quality assurer for each qualification they offer as part of the ATC. An ATC may have one internal quality assurer who oversees all the courses, or may have several, or different internal quality assurers for each qualification.

Internal quality assurers are often tutors and / or assessors, however they **cannot** IQA a course they have tutored or assessed.



Personnel Responsibilities

ATC Co-ordinator:

- Ensure the ATC agreement, legislation, STA policies, procedures and requirements are always adhered to during the training, assessment, and quality assurance monitoring of STA qualifications
- Be authoritative point of contact for all courses registered on your STA Online account
- Ensure course venues meet the requirements for the delivery of the qualification i.e., is healthy, safe, fit for purpose and has all required risk assessments and centre operating procedures
- Retain all paperwork according to STA's Data Retention Requirements
- Ensure all learners are registered in a timely fashion in line with STA procedures
- Ensure all learners registering onto 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 all equipment required is made available and is in a good state of repair in line with the qualification specification
- Ensure enough 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 external quality assurance (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 visits
- Receive the report at the end of the visit and disseminate its findings to appropriate individuals
- Ensure 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 request for information which are deemed necessary
- Address any action points within the period agreed by the ATC 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.

Tutor and Assessor:

- 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
- 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:

- Must as a minimum have attended an STA IQA CPD or hold a Level 4 Award in Internal Quality Assurance
- Must be suitably experienced in the qualification they are reporting on i.e., they should either hold the qualification themselves or demonstrate experience of the qualification
- Maintain own competency and currency through keeping qualifications up to date (as detailed in the qualification specification and assessment strategy) participating in appropriate continuing professional development and standardisation activities
- 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 regarding level, validity, authenticity, reliability, consistency, and sufficiency
- Sample assessments to assure assessors' judgements, ensuring that they are impartial, consistent, fair, and reliable
- Observe assessors conducting assessment activities with learners and providing feedback
- Conduct learner interviews
- Report any concerns relating to tutor, assessor or ATC 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

- 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 ATC Co-ordinator to provide samples for EQA monitoring as required by STA
- Provide the ATC Co-ordinator, tutor, assessor, and STA with feedback as appropriate
- Provide support, guidance, and action plans to assessors considering 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 qualification specification and appropriate assessment strategies.

External Quality Assurer:

External quality assurers are assigned by Safety Training Awards. A full explanation of the role and responsibilities of an external quality assurer 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 ATC co-ordinators and internal quality assurers.

- Plan EQA activities and communicate these with the ATC Co-ordinator and internal quality assurers involved in accordance with STA EQA procedures
- Monitor the delivery, assessment and quality assurance procedures implemented by STA's ATC co-ordinators and internal quality assurers
- Provide feedback and support for ATC co-ordinators and internal quality assurers, 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 internal quality assurers and assessors.

Breach of Agreement and Sanctions

Safety Training Awards is dedicated to maintaining the highest standards of delivery, assessment, and quality assurance for all regulated / accredited qualifications. STA require ATCs, tutors, assessors, and internal quality assurers to maintain these standards. If a cause for concern or breach of agreement is highlighted, the ATC, tutor, assessor, and internal quality assurer status may be in jeopardy. This confirms the importance of IQA to highlight and rectify any issues before they become serious.

Where evidence suggests the ATC, tutor, assessor, and internal quality assurer impose a risk / significant risk to the assessment process, learner journey and the validity of STA regulated qualifications, the Head of Compliance and Assurance will submit a report and supporting evidence to the Safety Training Awards Governing Body. At this stage, the Governing Body will review the evidence and confirm if the ATC, tutor, assessor, and internal quality assurer status may continue or if the status is to be revoked with immediate effect or following a suitable notice period as noted in the Safety Training Awards Sanctions Policy.

Please note: In cases where the Governing Body have revoked the STA ATC, tutor, assessor, and internal quality assurer status due to a confirmed case of non-compliance, if the ATC, tutor, assessor, and internal quality assurer applies to open a new ATC, Safety Training Awards reserve the right to refuse the application.

For more information, please refer to the policies on the Safety Training Awards website.

IQA Documents

IQA is internal to an ATC, therefore it is down to the ATC to determine what and how often IQA activities take place. STA have recommended minimum requirements and ATC's must ensure these requirements are reflected in their IQA documents.

The ATC co-ordinator along with an internal quality assurer must produce a number of documents for the ATC which need to be uploaded to Synergy and updated regularly.

1. The IQA Policy
2. The IQA Strategy
3. The IQA Risk Rating
4. The IQA Sampling Plan.

The IQA Policy

The IQA Policy lays out the personnel and procedures for the ATC. The policy must include a number of key decisions made in the ATC and be uploaded to Synergy and made available to the STA and / or the external quality assurer on request.

It should be sent to all tutors, assessors and internal quality assurers working within the ATC and there should be a signed declaration by each member that this has been read and understood.

The IQA Policy will be written by the ATC co-ordinator and IQA and will cover the following:

1. Who is the named person with the overall responsibility for the ATC's internal quality assurance:
 - ATC co-ordinator.
2. The roles and responsibilities of the team members:
 - ATC co-ordinator
 - Internal quality assurer
 - Tutor
 - Assessor.
3. A stated commitment to recruit a qualified team, to include how they will be supported and how to aid their development:
 - Recruiting internal quality assurers, tutors, and assessors by checking CVs
 - Qualifications are collected and checked, including a valid safeguarding certificate (where applicable)
 - An interview takes place and competency checked
 - References are contacted
 - Internal quality assurers, tutors and assessors commit to continuing professional development and provide evidence
 - An appropriate tutor / assessor or internal quality assurer Agreement is signed.
4. Details of the occupational competence, experience and qualifications tutors and assessors must hold for each of the Safety Training Awards qualifications offered:
 - For each qualification, the tutor must hold the relevant qualification - Level 3 Award in Education and Training and STA tutor status in the correct discipline. (Pool Plant tutors are not required to hold the Level 3 Award in Education and Training)

- For each qualification, the assessor must hold one of the following relevant qualifications:
 - Level 3 Award in Understanding the Principles and Practices of Assessment
 - Level 3 Award in Assessing Competence in the Work Environment
 - Level 3 Certificate in Assessing Vocational Achievement and STA tutor status in the correct discipline.
- For each IQA the internal quality assurer must hold the relevant qualification - Level 4 Award in Internal Quality Assurance of Assessment Processes and Practice or the STA IQA CPD.

Please note; the exact tutor, assessor and internal quality assurer requirements can be found in the specific qualification specification.

5. How tutors and assessors will be risk assessed:

- See the heading 'Risk Rating'.

6. A sample assessment strategy:

- See section 'The IQA Strategy'.

7. Details of how standardisation will take place in the ATC and when:

- See the heading 'Standardisation'.

The IQA Policy must be uploaded to Synergy – 'documents' then 'add document' and use the version numbers to keep track of the most current. It should also be made available to STA and external quality assurer on request.

The IQA Strategy

The IQA Strategy is the starting point for planning all IQA activity. It will lay out how an ATC is going to follow the learner's journey from start to finish and ensure monitoring takes place.

Developing an IQA Strategy will help planning, whilst considering any risk factors.

The ATC co-ordinator is responsible for creating the IQA Strategy and could do this in conjunction with an internal quality assurer.

To write this strategy, the following needs to be considered:

- What will be monitored, by whom and when?
- Which tutors and assessors will be observed?
- How will paperwork and portfolios be sampled?
- When will learners be interviewed?
- How will feedback be given to tutors and assessors?
- When and how will standardisation meetings take place?
- How will tutors and assessors be supported?

The ATC co-ordinator will do this by looking at the planned courses for the year, the number of tutors, the number of assessors and the number of sites (venues) and ensuring monitoring is scheduled. As the year progresses more courses may be planned and therefore the ATC co-ordinator will adjust the IQA Strategy to consider the added courses, new tutors, assessors, and sites.

STA Minimum IQA Requirements

STA expects all ATCs to carry out the following face to face observations as a minimum:

1. One tutor observation per tutor, per year
2. One assessor observation per tutor, per year
3. New tutors are observed delivering their first course
4. New assessors are observed on their first assessment.

Any of the above can be doubled up – i.e., the tutor and assessor could be observed on the same course on the same day. This would mean just booking the IQA for one visit (this would apply to externally assessed courses).

Generally, the face-to-face observation does not need to take place on the first day of the course. The exception to this is the STA Award in First Aid at Work and the Award in Emergency First Aid at Work qualification, where a face-to-face observation must take place during the first day.

Thereafter, the minimum IQA activity expected is:

- The courses detailed on the IQA sampling plan shows a range of IQA activities planned:
 - Learner interviews
 - Paperwork checks
 - Portfolio checks
 - Observations.
- If an ATC delivers only 2 courses a year:
 - Both courses must have face to face observations.
- New tutors, following their initial face to face IQA observation, should be monitored on their next two courses using a range of methods:
 - Learner interviews
 - Paperwork checks
 - Portfolio checks.

The inexperience or experience of the tutor / assessor, plus other factors will also deem how much IQA activity takes place. This is worked out using the Risk Rating, see the 'Risk Rating' section for further guidance on this.

Internal Quality Assurance for Cirrus

If an ATC chooses to use the online system 'Cirrus' to complete the learners' assessments this must be included within the ATCs IQA strategy and IQA sampling plan. The IQA must determine how many assessments will be sampled via the online system and add this to the ongoing planning.

Once the internal quality assurer has sampled the assessments all evidence must be documented via the electronic Internal Quality Assurance (IQA) Performance Report in Synergy, including any supporting evidence that may be downloaded from Cirrus.

IQA Risk Rating

A risk assessment must be performed on each tutor and assessor within the ATC, thus determining their risk rating. This risk rating will consider a range of factors.

The internal quality assurer or ATC co-ordinator may conduct the risk assessment. The following needs to be considered to work out if a tutor or assessor is high, medium, or low risk. This risk assessment is dynamic and will determine at any given time what and how IQA activities will be performed.

There are a range of factors which decide risk rating, and this can vary from qualification to qualification, below is a starting guide:



High Risk

A high risk tutor or assessor could be one or more of the following:

- Newly qualified to deliver Safety Training Awards qualifications
- A probationary tutor or assessor, this may be due to adding another qualification to their tutor status
- A tutor or assessor who is newly appointed to operate within an ATC
- An experienced tutor or assessor who is operating across more than two other ATCs
- A tutor or assessor who has been sanctioned by Safety Training Awards or another Awarding Organisation (AO)
- A tutor or assessor who has had major action points given to them during recent IQA activity
- A qualification has been re-written and therefore it is new to the tutor or assessor.

It is recommended a high-risk tutor has a 100% of all course paperwork internally quality assured and face to face observations are increased.



Medium Risk

A medium risk tutor or assessor could be one or more of the following:

- A tutor or assessor who has delivered less than 10 courses
- A tutor or assessor who may have moved down from 'high risk' due to recent successful IQA activity
- An experienced tutor or assessor who operates for 2 or less other ATCs
- A tutor or assessor with no sanctions applied by Safety Training Awards or another AO
- A tutor or assessor with minor action points given during recent IQA activity.

It is recommended a medium risk tutor has 50% of all course paperwork internally quality assured.



Low Risk

A low risk tutor or assessor could be one or more of the following:

- A tutor or assessor who only operates for one ATC
- An experienced tutor or assessor who has delivered over 10 courses A tutor or assessor who may have moved down from 'medium risk' due to successful recent IQA activity
- A tutor or assessor with no sanctions by Safety Training Awards or another AO
- A tutor or assessor with no actions points from recent IQA activity.

It is recommended a low-risk tutor has 25% of all course paperwork IQA.

Team members can move up and down risk rating depending on the outcome of recent IQA reports. It is a dynamic process. The ATC co-ordinator and internal quality assurer should collaborate with the tutors and assessors to give feedback on action points or other areas and plan how to support the team members moving down the categories towards 'low.'

Information on risk rating and regular updates on the outcome of risk ratings must be uploaded to Synergy – 'documents' then 'add document' and use the version numbers to keep track of the most current. It should also be made available to STA and external quality assurer on request.

IQA Sampling Plan

Once an IQA strategy has been produced and personnel risk rated, the ATC co-ordinator can plan how often IQA activity is going to take place. This can be done with the support of the internal quality assurer. Below are some examples of sampling:

Example 1 - Andy

Andy is a brand new tutor to the ATC. He has recently joined the ATC and has not long passed his probationary moderation on the STA Award in Teaching Swimming. He is yet to run an STA Certificate in Teaching Swimming. Andy has been offered work for two other ATCs.

How to plan his IQA?

First, perform a risk assessment using the guide in the 'risk rating' section.

- Andy is high risk because he is a new tutor to the ATC
- Andy is high risk because he is a new tutor
- Andy is high risk because he works for two other ATCs.

The risk rating shows Andy is high risk and needs 100% sampling.

Using the guide in the IQA strategy section, Andy needs:

- To have a face-to-face observation on his first course as a new tutor
- To have a face-to-face observation on the first course he assesses
- To have one face to face observation on tutoring, and one face to face observation on assessing in a year (which will be covered by the first two bullet points).

The ATC Co-ordinator has scheduled Andy to deliver two STA Award in Teaching Swimming courses, an STA Certificate in Teaching Swimming course, and he will also be the assessor of another course. Therefore, the IQA plan is going to look something like this:

Award Course 1 – Face to face tutor observation of Andy and post course interview of learners, followed by 100% desk-based review of portfolios and paperwork.

Award Course 2 – 100% desk-based review of portfolios and paperwork, and learner interviews by phone.

The information gathered from these two courses will mean Andy can be risk assessed again and his risk rating reassessed. If Andy has major action points from the first two courses, he will stay as 'high.' If Andy has minor action points from these courses, the ATC Co-ordinator may consider moving him down one level to 'medium' and would then plan to IQA 50% of his next Award course.

Certificate Course 1 – This is Andy's first time delivering the course and therefore, a face-to-face observation will take place and 100% desk based review of portfolios and paperwork.

Assessor Role – Face to face assessor observation of Andy.

Depending on the outcome of this observation Andy's risk rating can be reviewed. If he has major action points he will remain at 'high' and on his next assessor job, he will have a face-to-face observation again. If he only has minor action points his IQA activity will be decreased and his paperwork from the next assessment checked.

Example 2 - Paula

Paula is an experienced tutor for the ATC. She has been delivering courses for the ATC for some time delivering STA Award in Aquatic Teaching – Baby and Pre-School Swimming, STA Award in Pool Lifeguarding and all the STA First Aid qualifications. IQA activity has taken place. It is the start of the new year, and the ATC Co-ordinator is looking ahead at the courses scheduled and planning IQA activity. Paula works for two other ATC's, delivering first aid qualifications.

Paula does not work for any other ATC's delivering Baby and Pre-School qualifications or Pool Lifeguard. Paula has a number of minor action points on her recent IQA report with regards to delivering the STA Award in Emergency First Aid at Work. She has no action points for the STA Award in Aquatic Teaching – Baby and Pre-School. The STA Award in Pool Lifeguarding qualification has recently been rewritten so is new to her.

How to plan her IQA?

First, perform a risk assessment using the guide in the 'risk rating' section.

- Paula is low risk because she is an experienced tutor with the ATC
- Paula is low risk because she is an experienced tutor
- Paula is medium risk because she has minor action points for the STA Emergency First Aid at Work
- Paula is low risk because she has no action points for the STA Baby and Pre-School Swimming
- Paula is low risk for Baby and Pre-School as only works for one ATC
- Paula is medium risk for First Aid as she works for two other ATCs
- Paula is high risk for Pool Lifeguard as it is a new course to her.

The risk rating shows Paula is low risk for the STA Award in Aquatic Teaching – Baby and Pre-School Swimming and medium risk for the STA Award in Emergency First Aid at Work and high risk for STA Award in Pool Lifeguarding.

Using the guide in the IQA strategy section, Paula needs:

- To have a minimum of one face to face observation a year for tutoring and a minimum of one face to face observation for assessing across multiple disciplines.

The ATC co-ordinator has scheduled Paula to deliver six STA Award in Aquatic Teaching – Baby and Pre-School Swimming and eight STA Award in Emergency First Aid at Work courses. Paula will deliver four STA Award in Pool Lifeguarding courses. Therefore, the IQA plan will be split in three and is going to look something like this:

Baby and Pre-School Swimming – Low Risk

Course 1 – 25% desk-based review of portfolio and paperwork.

Course 2 – No IQA.

Course 3 – 25% desk-based review of portfolio and paperwork.

Course 4 – No IQA.

Course 5 – Learner interviews.

Course 6 – 25% desk-based review of portfolio and paperwork.

The risk rating would be re-assessed after each IQA report and depending on the outcome Paula would move up or down the risk rating.



Emergency First Aid at Work – Medium Risk

Course 1 – 50% desk-based review of portfolio and paperwork.

Course 2 – No IQA.

Course 3 – 50% desk-based review of portfolio and paperwork.

Course 4 – No IQA.

Course 5 – 50% desk-based review of portfolio and paperwork plus learner interviews. After this course Paula had addressed all action points and therefore it was decided she was now low risk.

Course 6 – 25% desk-based review of portfolio and paperwork.

Course 7 – No IQA.

Course 8 – 25% desk-based review or portfolio and paperwork.

The risk rating would always be reassessed after each IQA report and depending on the outcome, Paula would move up or down the risk rating. In this case she moved down.



Pool Lifeguard – High Risk

Course 1 – Face to face observation on tutoring plus learner interviews. Action points rising from this – stay at high risk.

Course 2 – 100% desk-based review of portfolio and paperwork. Action points not addressed – stay at high risk.

Course 3 – Face to face observation of tutoring. Action points addressed – drop to medium risk.

Course 4 – 50% desk-based review of portfolio and paperwork.



still

Synergy Documentation

The IQA Policy for the ATC must be uploaded to Synergy – ‘documents’ then ‘add document’ and use the version numbers to keep track of the most current. It should also be made available to STA and the external quality assurer on request.

It is important to remember IQA is internal, therefore, the minimum standards set by Safety Training Awards must be adhered to. How an ATC plans and conducts IQA activity is an internal matter for the ATC but on the EQA visit the external quality assurer will examine the IQA policy, strategy, risk rating and sampling as well as look at reports and other policies. The ATC must be able to justify their rationale for how they are conducting IQA activity on their courses and the external quality assurer will make action points for them to address if needed.

Uploading all documentation to Synergy will help keep all documents in one central file and help with the EQA visit. It could mean an EQA visit is not necessary as the external quality assurer can access the files remotely (this would depend on the ATC risk rating as to whether a visit was performed face to face or remotely).

Factors to consider when planning frequency of IQA monitoring activities are: appointing a new tutor / assessor, start training at a new site / facility, or deliver a new STA qualification. Each of these would have implied an increase in risk but it would depend on the individual circumstances. E.g. Starting a new tutor / assessor with 10 years of experience delivering STA courses is less risky than appointing a new tutor / assessor who is about to complete or has recently completed their STA tutor training.

A major factor is the amount of training an ATC is delivering or is planning to deliver. If an ATC only delivers occasionally (once or twice per year), STA recommends that each course has face to face IQA observations completed. As the frequency of courses increases an ATC may choose to substitute this activity for learner interviews, desk based reviews or paper based checks. However, STA expect an ATC to focus on the face to face observations and the benefit of this practical interaction as they develop their IQA policy.

Example IQA Sampling Plans

The example IQA sampling plans are to assist ATCs in developing an effective IQA sampling plan for their individual circumstances. Alternatively, ATCs can contact the STA Quality Assurance team who have a standard IQA strategy and sampling plan template available for ATCs to edit and adapt to their ATC.

Private Swim School (PSS)

Example – PSS Ltd runs and operates an ATC as part of its own internal workforce development with occasional external candidates who may or may not seek employment with PSS Ltd once they complete their training and gain their certificate.

IQA Policy (Incorporating IQA Strategy and IQA Sampling Plan)

PSS Ltd is committed to the highest standards and to supporting the learner journey on any training through our ATC. Accordingly, we use this IQA policy to determine how we will quality assure the courses that we deliver.

We normally deliver the following courses:

STA Course	Learner Numbers
Award in Teaching Swimming x 1	10
Certificate in Teaching Swimming x 1	4
Safety Award for Teachers (SAT) x 2	12
Pool Lifeguard	10
Additional courses on demand	Unknown

On occasion local swim schools or centres will ask us to deliver additional training and we are happy to provide that under the auspices of our ATC. We plan to IQA 3 of the 5 courses that we anticipate running as follows – should we exceed our estimate of 5 courses we will sample alternate additional courses.

January	SAT – No IQA Activity	July	SAT – No IQA Activity
February		August	
March	Award Course – Tutor Observation	September	Certificate Course – Assessor Observation
April		October	
May	Pool Lifeguard – Learner Interviews (post course)	November	Ad hoc SAT booking – Assessor Observation
June		December	

Additional factors: We would review and anticipate increased IQA monitoring activities if any of the following occurred during the year:

1. Should our workforce change we would carry out an observation of any new tutor / assessor
2. If we added additional sites / venues to our ATC
3. If we add additional qualifications such as STA Award in Aquatic Teaching - Baby and Pre-School Swimming.

The sampling of each course would use a random selection of learners' and we would operate a policy of sampling a minimum of 4 learners or 25% of each course.

Private Training Provider (PTP)

Example – PTP Ltd offers independent training at a range of centres over a 12-month period. Several contracts are long term and have distinct patterns, but other customers will book training on a random basis.

IQA Policy (Incorporating IQA Strategy and IQA Sampling Plan)

PTP Ltd offers a full range of Lifesaving and Pool Plant training. PTP Ltd is committed to the highest standards and to supporting the learner journey on any training through our ATC. Accordingly, we use this IQA policy to determine how we will quality assure the courses that we deliver. The majority of tutoring is from 1 member of staff.

We normally run 20 courses over the year in FAW and Pool Lifeguard as well as Pool Plant Operations:

STA Course	Course Numbers	Learner Numbers
Pool Lifeguard	5	50
First Aid at Work	5	44
Safety Award for Teachers (SAT)	4	36
Emergency First Aid at Work	6	60
Additional courses on demand	Unknown	Unknown

We engage with around 200 learners' each year. The aim of our policy is to ensure that the Learners' have a similar experience and can be confident in their qualification. Our business relies on renewal and repeat business, so our reputation is critical to our ongoing viability. We aim to sample 25% of our courses. Due to holidays, we have a replacement tutor in for August and have taken the precaution of planning IQA observations on each course. This is in excess of our standard 25% target.

We plan to sample courses via a range of methods as set out below:

Month	STA Course	T/A	IQA	Type	Month	STA Course	T/A	IQA	Type
January	PL EFAW	1	1	Obs	July	EFAW FAW	1 1	1	Obs
February	PL FAW	1			August	EFAW FAW	2 2	1 1	Obs Obs
March	SAT	1	1	Obs	September	SAT	1		
April	PL	1			October	PL	1	1	
May	PL	1	1	Obs	November	EFAW	1		
June	EFAW SAT FAW	1 1 1			December	EFAW SAT FAW	1 1 1	1	Obs

Abbreviations: DBR = Desk based review, LI = Learner Interviews, Obs = Observations, R = Remote | each tutor / assessor observed twice over 12 months.

Leisure Trust / Operator / Franchise

Example 3: The business in question 'LT Trust' runs multiple facilities and has a large number of employees who train or subcontract to train courses during the year. These form a vital part of the workforce development needs of the business and at some sites a welcome source of additional revenue. The example has 20 sports centres in 5 areas.

IQA Policy (Incorporating IQA Strategy and IQA Sampling Plan)

LT Trust is committed to offering a quality experience in all our internal and external training. As part of that we use this quality assurance policy to help our training team monitor and review the quality of our educational experience.

We operate a flexible training program across our sites. We normally run 12 Swimming courses over the year (alternating an Award / Certificate / BPS course every three months) We also run 10 Pool Lifeguard courses and 6 revalidations every year (although this is variable depending on renewal cycles. We deliver 5 Pool Plant courses, and we use FAW training although we are moving to the new STA Pool Lifeguarding and intend to integrate this at our aquatic facilities. Whilst we aim to fill each course normally operate at 75% occupancy.

STA Course	Course Numbers	Learner Numbers
Pool Lifeguard (inc Revalidation)	16	160
First Aid at Work	8	80
Pool Plant	5	40
EFAW	5	44
Award in Teaching Swimming	4	40
Certificate in Teaching Swimming	4	36
STA Award - Baby and Pre- School Swimming	4	36

We normally deliver to around 400 learners' in a twelve-month period. We aim to observe each tutor / assessor once every 12 months and as we plan to run 42 courses, we aim to have some form of IQA activity on 11 of our courses which is just over 25% of our planned activity. Should we add or remove courses we will review this level of activity.

Sampling plan across all sites is listed below:

Month	STA Course	Site	T/A	IQA	Type	Month	STA Course	Site	T/A	IQA	Type
January	PL x2 FAW BPS	1 10 9	1 2 3	1 2	O bs R	July	PL x2 Pool Plant BPS	17 14 1	1 2 3	1	Obs
February	Pool Plant Award FAW	2 4 12	1 2 3	1	Obs	August	PL x2 FAW Award	2 15 8	1 2 3	2	Obs
March	PL x2 Certificate FAW	3 1 9	1 2 3	1	LI	September	PL x2 Certificate EFAW x1	3 7 9	1 2 3	2	R
April	FAW Pool Plant BPS	8 7 10	3 2 1	2	Obs	October	Pool Plant BPS FAW	2 7 1	1 2 3	1	Obs
May	PL x2 FAW Award	9 5 1	1 2 2	2	DBR	November	PL x2 FAW Award	9 7 3	1 2 3	1	LI
June	PL x2 Certificate EFAW x2	2 6 18	1 2 3			December	Pool Plant Certificate EFAW x2	1 2 13	1 2 3		

Abbreviations: DBR = Desk based review, LI = Learner Interviews, Obs = Observations, R = Remote | each tutor / assessor observed twice over 12 months

Sites all part of the training plan, any new sites would automatically include additional IQA activity, we would IQA the first course at any new site, any new tutor / assessors would also have a face-to-face IQA observation in line with STA requirements. For authenticity and specific relevance, we recommend that you list your staff resources and allocate them in the schedule by name.

Academic Institution

Example 4: 'A' FE College runs a successful Sport and Exercise Department which includes a vocational training dimension to ensure that students enter the workplace with qualifications that increase their employability.

IQA Policy (Incorporating IQA Strategy and IQA Sampling Plan)

At 'A' College we run a range of STA courses to augment the experience for students. It is part of our policy to use IQAs to ensure each cohort of learners' have a similar and effective experience. This is in addition to our existing robust regulatory obligations as an FE college. We operate on 1 site.

Our course runs over a 2 year full time program during which time we deliver the following training as part of the course: Pool Lifeguard, Award course, Certificate course, and BPS.

Year 1 – Award x 4 and BPS x 4 Year 2 – Pool Lifeguard x 4, Certificate x 4

We have 40 students in each year group and manage the courses to support the demands of the modules whilst ensuring student well-being.

Semester	STA Course	Tutor	Assessor	IQA
Year 1-1	Award	1	2	2
Year 1-2	BPS	2	1	1
Year 2-1	Certificate	1	2	2
Year 2-2	Pool Lifeguard	2	1	1

We have declared a conflict of interest with STA because our lecturers are all working together but assess, tutor and IQA each other.

We allocate the roles specifically for each cohort. We sample 10% of our learners' at the site and deem that 'A' College is low risk. Each staff member has 1 face to face IQA observation per year on either tutoring or assessment as we are already in an academic facility with IQA requirements that mitigate our quality assurance risks.

Should our staffing change or were to merge with another institution we would review this document. Normally we set our courses over a 24-month period and will review this document every 24 months in normal circumstances.

IQA Procedures

All ATC co-ordinators are responsible for implementing a robust procedure for quality assuring the work of the tutors, assessors, and internal quality assurers they engage.

There are three methods the internal quality assurers can use to assure the quality of assessment:

- Sampling assessment evidence / desk-based reviews
- Observation of delivery and assessment practice / tutor / assessor observation
- Feedback from learners / learner interviews.

It is not necessary for the internal quality assurer to use each of these methods during every course. However, all methods must be completed by the internal quality assurer 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. Sampling of assessment evidence should be conducted sufficiently and frequently so that the sample size is manageable.

Sampling Assessment Evidence

The internal quality assurer 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 internal quality assurer must complete a sample plan to demonstrate the quality assurance activities that have taken place. This must be retained for inspection by the external quality assurer. 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 ATC / 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 ATC 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

The internal quality assurer must satisfy themselves that the evidence meets the requirements that are stipulated in the qualification specification, assessment strategy, assessment guidance documents and the assessment has taken place in line with STA procedures.

Quality assurers must also satisfy themselves that the assessment evidence is:

Valid

- 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

- 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

- Has the assessment been marked in accordance with STA guidance and answer sheets?

Current

- Has the latest version of documentation been used?
- Are the assessors qualified in line with the assessment strategy?
- Has the assessor got a record of their professional development?

Reliable

- Has the assessor undertaken standardisation activities?
- Has the assessment been marked in accordance with STA guidance and answer sheets?

Paperwork Checks

In addition to assessment evidence, the internal quality assurer must also check the learner 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.

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

The external quality assurer will need to see an auditable trail linking the quality assurer's decision and the learner's evidence.

To support ATCs and internal quality assurers, STA has developed qualification specific IQA Checklists which can be used to record the results and actions of IQA activities. Detailed feedback can be recorded as well as confirmation on whether certificates can be released. The IQA Checklists can be found within STA Online.

The image shows two overlapping STA Internal Quality Assurance (IQA) Checklists. The left checklist is for the 'STA Award in First Aid at Work' and the right is for the 'STA Award in Aquatic Teaching – Baby and Pre-School Swimming'. Both forms include sections for learner information, assessment details, and a table for recording assessment results.

Learner qualification certificates cannot be claimed until action points or advisories have been completed to the satisfaction of the internal quality assurer.

To further support internal quality assurers, STA has produced an IQA Expected Standards for Qualification Paperwork document. The document states the minimum expected standards internal quality assurers should be checking / reviewing and recommended action to take if expected standards are not met / evidenced.

This document can be found within appendix 1 or on STA Online.

Observation of Delivery and Assessment Practice

Appropriate planning for observation is extremely important to ensure an informed quality assurance judgement can be made during the assessment process.

Observation must cover:

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

The internal quality assurer must ensure they are positioned so that they do not impede the teaching / assessment process in any way but are still able to hear the learners and tutor / 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 internal quality assurer 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

Internal quality assurers should gather sufficient evidence to satisfy themselves that the learner has achieved the qualification criteria and all procedures and assessment strategies have been adhered to. There must be an audit trail for the external quality assurer.

Things to observe

Tutor:

- Smart with a professional appearance, did they use appropriate language and were they welcoming, friendly, supportive, relaxed, and approachable
- Evidence of planning, preparation and organisation with timetable, lesson plans and appropriate documents
- Ensuring learning style and environment meets learners needs using a variety of delivery styles such as PowerPoint, activities, practical sessions, use of questions
- Content being taught is technically correct, appropriate to the qualification and follows the STA resource manual
- Good references made to course manual
- Learners have the opportunity to develop their knowledge and skills
- Tutor has up to date knowledge, awarding organisation documentation and assessment criteria and they are technically correct and delivering to correct level
- Learners are given clear information on the assessment process, relevant policies and procedures and their understanding of these confirmed
- Accurate judgement of quality of evidence for validity, sufficiency, and reliability in line with STA Assessment Strategies and Qualification Specifications
- Provide learners with feedback that is fair, constructive, affirms achievement and identifies any further implications for learning, assessment, and progression
- Assessment decisions are consistent with STA Assessment Strategies and Qualification Specifications meeting assessment criteria
- There is evidence of learner's pre-requisites having been checked
- Records have been completed as required by STA including being dated and signed
- Requirements for equality, diversity, bilingualism are considered
- Training activities are meeting needs of learners and the requirements of the qualification
- Any conflicts of interest have been identified and declared to STA
- Procedures for confirming learners' identities and authenticity of assessment evidence are adhered to
- Training hours have been verified and course planning indicates minimum course contact hours is adhered to and there is evidence of learners' attendance
- Suitable resources and site facilities are available to learners in line with the Qualification Specification
- Learners have opportunities to give feedback relating to their learning and assessment.

Assessor:

- Remaining as unobtrusive as reasonably practicable whilst still observing all learners equally
- Smart with a professional appearance, did they use appropriate language and were they welcoming, friendly, supportive, relaxed, and approachable
- Evidence of planning, preparation, and organisation of assessment with appropriate documents
- Have up to date knowledge, awarding organisation documentation and assessment criteria and they are technically correct and delivering to correct level
- Assessment supported learners' progress
- Learners are given clear information on the assessment process, relevant policies and procedures and their understanding of these confirmed
- Accurate judgement of quality of evidence for validity, sufficiency, and reliability in line with STA Assessment Strategies and Qualification Specifications
- Provide learners with feedback that is fair, constructive, affirms achievement and identifies any further implications for learning, assessment, and progression
- Assessment decision is consistent with STA Assessment Strategies and Qualification Specifications meeting assessment criteria
- Records have been completed as required by STA including being dated and signed
- There is evidence of practical marking assessment
- Requirements for equality, diversity, bilingualism were considered
- Any conflicts of interest have been identified and declared to STA
- Procedures for confirming learners' identities and authenticity of assessment evidence are adhered to
- Training hours have been verified and course planning indicates minimum course contact hours is adhered to and there is evidence of learners' attendance
- Learners had opportunity to give feedback relating to their learning and assessment.

If a qualification is tutor assessed, the internal quality assurer must observe the tutor when performing both of these roles during the course.

Internal quality assurers should feedback to the tutor / assessor following an observation, giving positive, supportive and developmental feedback to help support them with their delivery / assessments. Any concerns, advisories or action points must be communicated to the ATC co-ordinator. Any action points must be completed before learner qualification certificates are released.

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 are complete, and learners have received their feedback, so they are able 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 internal quality assurer should be satisfied that the sample they select are willing to participate and the group is represented. It is advisable that the interview is conducted without the tutor or assessor present to gain honest feedback.

The results of the interview should be recorded on the form provided. The responses of the learners must be recorded verbatim, the internal quality assurer 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 ATC co-ordinator.

Things to note:

- Were learners briefed and welcomed to the course appropriately and given all the information needed in preparation for day 1 in a reasonable timeframe?
- Were course timings appropriate and in line with minimum course contact hours?
- Were learners aware of reasonable adjustments and special considerations policy and if they identified any needs, were they supported?
- Were learners aware of all health and safety requirements?
- Were learners aware of complaints and appeals policy and procedure?
- Did learners receive the manual at an appropriate time?
- Were the required resources available to learners?
- Were learners briefed about assessment process and what was expected?
- Did the assessment take place on appropriate day with appropriate timings and in line with assessment strategy?
- Was the theory assessment undertaken under exam conditions, invigilated, and marked in line with MCQ guidance
- Did the tutor support the learner with their portfolios, was it marked, feedback given, and learners given the opportunity to revisit if needed?
- Did the learner receive feedback, and did they feel it was constructive and supportive?
- Have learners completed all required paperwork?
- Was their course experience positive from booking to completion in line with STA and ATC standards and expectations?
- Are there any areas for improvement to the learners' course experience?
- Did the course meet their expectations, and do they feel it was beneficial for the future?
- Were they made aware of career opportunities upon course certification?

Supporting Documents

To support ATC co-ordinators, tutors, assessors and internal quality assurers within their roles and to create standardisation across ATCs, STA have a range of supporting documents as well as training videos to ensure procedures, standards and expectations are clear.

All supporting resources and training videos are available on STA Online.

Supporting resources include:

- STA Multiple-Choice Question Assessment Paper Guidance
- Qualification Assessment Strategies
- Qualification Specifications
- Practical Marking Sheets
- Tutor Assessed Skills Sheets
- Qualification IQA Checklists
- IQA Expected Standards for Qualification Paperwork.

Training videos include:

- Multiple-Choice Question Assessment Papers
- Practical Marking Sheets and Tutor Assessed Skills Sheets
- Learner Portfolio
- Provisional Result Confirmation and Unit Failure Report

Reporting Procedures

What happens if something is not right?

Can the issue be discussed with the tutor / assessor, and can the issue be resolved to ensure the learner is not disadvantaged and the assessment is fair? Or is it more serious?

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

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 can: suspend or withdraw status or require individuals to undertake additional training.

If an internal quality assurer is unsure on what action to take, they must contact STA as soon as possible for further guidance and support. Below are some example situations and appropriate actions.

A tutor is not using the STA resource manual when delivering a course, they are using a manual they wrote that does not represent STA.

This is a breach of the STA approval criteria and STA qualification requirements. These actions impose a threat to the correct delivery of the qualification and to the integrity of the assessment outcomes / decisions due to the learners not being given the correct resources when completing the STA qualification. This results in them being disadvantaged throughout the course. By producing their own manuals this is also a breach of STAs copyright and STA terms of membership. If cases like these are proven, they may result in the removal of Direct Claim Status (DCS) or course registrations for the ATC and ultimately STA membership being suspended. The IQA should report the issue immediately to the STA who will advise on next steps. This will include the requirement to obtain STA resource manuals, re-cover any course content delivered using the incorrect resource and may include the need to postpone assessment.

The IQA is observing an assessment and there are not enough participants of the correct ability available during the practical teaching assessment on an aquatic course.

The IQA must discuss the concerns with the ATC co-ordinator and course tutor and the assessment must be stopped. The IQA should report the issue immediately to the STA who will advise on next steps. This may include rearranging the assessment to ensure there are sufficient participants at the correct ability if a special consideration cannot be granted. Cases like this impose a threat to the assessment process and learner journey and will result in sanctions - Suspension of course registrations whilst the matter is investigated in line with STA procedures.

The assessor has not signed the practical marking sheet or feedback forms.

The IQA must return the practical marking sheets to the ATC co-ordinator for them to instruct the assessor to complete the paperwork correctly, this should be logged in the IQA evidence / report and set as an action for the ATC co-ordinator to address this amongst all tutors and assessors and add it as an agenda item for the next ATC standardisation meeting.

A tutor is not using the most up to date resources.

The IQA must advise the tutor that they are using out of date resources and report this in the IQA evidence / report and set as an action for the ATC co-ordinator to address this amongst all tutors and assessors and add it as an agenda item for the next ATC standardisation meeting. Cases like this may impose a threat to the correct delivery of the qualification and the integrity of assessment decisions, which may result in sanctions being imposed upon the ATC. The IQA should report the issue immediately to the STA who will advise on next steps. This will include the requirement to use up to date resources and may mean that course content already delivered may need to be re-covered using correct resources and may include the need to postpone assessment.

During a learner interview, a learner mentions they started at 11:00am and have been finishing at 15:00pm and only taught for 15 minutes each day. It is an STA Award in Teaching Swimming course and day 3 of the 5 day course.

The IQA must document the responses in the IQA evidence / report and contact the Quality Assurance Team at STA for investigation. Cases like this are deemed as poor performance, affecting the validity of STA regulated qualifications, loss of the integrity of assessment decisions and a risk of invalid claims for certification. This may also result in putting STA's reputation into disrepute leading to sanction being applied in line with the STA sanctions policy. IQA results should be fed back to the tutor, assessor, and ATC co-ordinator once the activity has been completed. Any action points must be addressed to the satisfaction of the internal quality assurer before certification is claimed. The IQA should report the issue immediately to the STA who will advise on next steps. This will include the requirement to ensure recommended contact hours for the number of learners has been adhered to and that the full qualification syllabus is covered. This may mean the assessment may need to be postponed.

Synergy

The results of the quality assurance activity should be recorded on the quality assurance paperwork on Synergy.

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 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 internal quality assurer 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 external quality assurer.

Internal quality assurers are required to undertake standardisation which will be arranged by STA's external quality assurers. More information can be found in the Approved Training Centre (ATC) Internal Standardisation Guidance that can be found in the ATC resources area of the website.

Data Retention Requirements

The tables below state STA's minimum data retention requirements for ATCs. It is at an ATCs own discretion how long they wish to retain STA course documentation for after the minimum requirements detailed below.

Aquatic Qualifications	
Qualification Title	Retain for Lifetime of Qualification
Award in Teaching Swimming (No expiry, retain for the maximum period)	5 Years
Certificate in Teaching Swimming (No expiry, retain for the maximum period)	5 Years
Baby and Pre-School Swimming (No expiry, retain for the maximum period)	5 Years
Diploma in Baby and Pre-School (No expiry, retain for the maximum period)	5 Years
People with Disabilities (No expiry, retain for the maximum period)	5 Years
Open Water Swimming Coaching (No expiry, retain for the maximum period)	5 Years
Mermaid and Mono Fin Swimming (No expiry, retain for the maximum period)	5 Years
Aquatic Tutor Status	3 Years

Education Qualifications	
Qualification Title	Retain for Lifetime of Qualification
Education and Training (No expiry, retain for the maximum period)	5 Years
Understanding the Principles and Practices of Assessment (No expiry, retain for the maximum period)	5 Years
Internal Quality Assurance of Assessment Processes and Practice (No expiry, retain for the maximum period)	5 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

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

STA course documentation and assessment evidence can be stored either in hard copy or electronically, however an ATC chooses to retain this information is down to the ATC co-ordinator.

Please note that the above requirements are subject to change, dependent upon qualification reviews, qualification development, regulatory and legislation requirements.

Awarding Organisation Policies

Below is a list of Awarding Organisation policies that support the ATC model, details and copies of the policies can be found on www.safetytrainingawards.co.uk

- Complaints Policy
- Conflict of Interest Policy
- Enquiries & Appeals Policy
- Malpractice and Maladministration Policy
- Privacy Policy
- Reasonable Adjustments and Special Consideration Policy
- Sanctions Policy
- Equal Opportunities Policy
- Whistleblowing Policy
- Recognition of Prior Learning Policy and Procedures
- Removing a learner from a course procedure
- Teaching of Diving Policy
- Use of Languages for Regulated Qualifications Policy.

Maladministration

Below are some examples of maladministration, please note this list is not exhaustive:

- Any activity, neglect, default, or other practice that results in the centre, tutor, assessor, learner, or quality assurer not complying with STA requirements, STA's tutor agreement, the general conditions of recognition, or regulatory principles
- Maladministration is in effect any activity or practice which results to non-compliance with administrative requirements and regulations, this includes the application of persistent mistakes or poor administration within the centre including inappropriate learner records
- Persistent failure to adhere to certification procedures
- Inaccurate certificate claims
- Persistent failure to adhere to approved training centre recognition, qualification requirements and/ or associated actions
- Failure to keep auditable records in accordance to STA' requirements
- Failure to adhere to delivery, assessment, and certification requirements
- A deliberate act or omission of withholding or delaying information which is required to assure STA of the centre's ability to deliver and assess qualifications appropriately
- Misuse of STA' logo or misrepresentation of a centre relationship with STA qualifications and/or its recognition and approval status with us
- Not responding to STA requesting within the allocated period
- Marking answers incorrectly
- Not signing required documents
- Not having sufficient equipment for the number of learners.

Malpractice

Below are some examples of malpractice, please note this list is not exhaustive:

- Any deliberate activity, neglect, default, or other practice that compromises the integrity of the internal or external assessment process and/or validity of achievement and certification of a qualification awarded by Safety Training Awards
- Deliberate actions, neglect, default, or other practice that may compromise the following:
 - Assessment processes
 - Integrity of a regulated qualification
 - Validity of results or a certificate
 - The reputation and credibility of STA qualifications
- Plagiarism
- Impersonating another learner
- Submission of false information
- Deliberate failure to conduct delivery, assessment, and quality assurance in accordance with STA requirements
- Deliberate failure to adhere to learner registration and certification procedures
- Deliberate failure to adhere to record keeping requirements
- Fraudulent certificate claims
- Persistent instances of maladministration
- Unauthorised use of equipment and materials in assessments
- Intentionally withholding information from Safety Training Awards
- A loss, theft of, or breach of confidential assessment materials
- Defacing, amending or falsifying assessment records
- Franchising an ATC
- A tutor giving learners the answer paper
- Continuous maladministration
- Not completing the assessment procedures
- Not arranging for the correct equipment to be available as per the assessment strategy for example not providing AED trainers.

Conflicts of Interest

Below are some examples of conflicts of interest, please note this list is not exhaustive:

- All potential or actual conflicts of interest that may affect the delivery and/or assessment of STA qualifications now or in the near future
- Centres must identify potential or actual cases of conflict of interest and how they will appropriately manage them
- Personal relationships with family members or friends linked to Safety Training Awards and/or centre personnel and/or learners that could influence decision making and qualification outcomes
- Business or commercial interests linked to Safety Training Awards and/or a centre that may affect professional judgement
- Mutually beneficial arrangements with centre and Safety Training Awards personnel which may compromise an individual's ability to make reliable and professional judgements
- Where favourable arrangements have been negotiated, for example supplying information to certain individuals and/or groups who are preparing for or conducting an assessment
- A centre has an interest in any activity which has the potential to lead it to act contrary to its interests in the development, delivery, and award of qualifications in accordance with the conditions of the centre
- Best friends
- Live in partners
- Assessing for multiple ATC's
- All individuals who participate 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.

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.

For more information on conflicts of interest, see appendix 2.

Reasonable Adjustment and Special Consideration Policy

The Reasonable Adjustment and Special Consideration policy guarantees a fair assessment for all learners. The Reasonable Adjustment and Special Consideration request form must be completed prior to the course start and any change to an assessment paper requires 14 days' notice.

When making a request, an ATC **must** provide evidence for STA to grant the request

- A statement letter of additional needs
- A letter from a school or college detailing the learners support at school
- A letter from an employer detailing the learner's support.

STA cannot approve a request without seeing evidence.

Below are some examples from the reasonable adjustments and special considerations policy, please note this list is not exhaustive:

- Learners have a permanent disability or specific learning needs
- A Learner has a temporary disability, learning needs or medical condition
- Learners' are not available at the time of assessment due to a disability, learning need or medical condition
- If a learner's performance in the assessment or coursework is affected by adverse circumstances a special consideration may be granted.

It may not be possible to grant a special consideration where an assessment requires the learner to demonstrate practical competence or when assessment criteria must be fully met, or in a case the qualifications confer a license to practice.

All Reasonable Adjustment and or Special Consideration requests must be made by the ATC, on their Synergy account

English as a Second Language

- Unfortunately, if English is not a learner's first language, this is not a temporarily illness or injury or event outside a learner's control
- Therefore, it is not a reasonable adjustment or special consideration
- STA cannot permit a change to the assessment such as verbal questioning
- Tutors must support the learner through the process and during the assessment
- A tutor is permitted to read a MCQ question to the learner however they cannot explain technical terminology in the assessment
- Due to the nature of the qualification learners are required to understand the technical terminology.

Continuing Professional Development (CPD)

It is essential that tutors, assessors, and internal quality assurers keep themselves up to date with the subject they are going to be tutoring, assessing and quality assuring. Evidence of engaging in CPD on an annual basis will be required by both the internal quality assurer and external quality assurer.

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.

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-andcompetence-based-qualifications/2010/Assessment-andverification/181548_uk_qual_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>

Monitoring and Review

Safety Training Awards will review this guidance annually as part of our quality assurance requirements and revise it as and when necessary in response to ATC and learner feedback, changes in practices, actions from the regulatory authorities or external agencies, changes in legislation, or trends identified from quality assurance monitoring activities.

Appendix 1

IQA Expected Standards for Qualification Paperwork

To support internal quality assurers, STA have created qualification specific IQA checklists. This allows internal quality assurers to check off the documents they have reviewed and note action points accordingly. STA have also listed the expected standards internal quality assurers should be checking / reviewing and recommended action to take if expected standards are not met / evidenced.

Course Organisation Paperwork

Course Planning and Preparation:

Expected Standard:	Action if not met / evidenced:
Scheme of work, lesson plans and activities prepared.	Advise tutor that planning, and preparation is required to support learner journey and ensure syllabus is completed effectively. If any of these points are missing this must be noted and monitored on future courses.
Up to date STA resources being used and all resources available as per qualification specification.	If latest version has not been used, advise the tutor and ATC co-ordinator that they are using out of date resources, and they must use up to date resources. If any resources are missing, advise the tutor and ATC of resource requirements. Report the issue immediately to the STA who will advise on next steps – may mean course content already delivered may need to be re-covered using correct resources and may include the need to postpone assessment. Note and monitor on future courses.

Course Timetable:

Expected Standard:	Action if not met / evidenced:
STA suggested timetable used or tutor has own timetable that covers required contact hours and complete syllabus.	Advise tutor that timetables are required to support learner journey and ensure syllabus is completed effectively. If any of these points are missing this must be noted and monitored on future courses.

Pre-Course Information (e.g., booking form, confirmation letter):

Expected Standard:	Action if not met / evidenced:
<ul style="list-style-type: none"> Learners informed of qualification information Physical competency checked (where applicable) Dates, times, venue Expectations set What to bring explained. 	<p>Advise tutor / ATC co-ordinator that this is required to ensure learner is fully informed to support learner journey.</p> <p>Note and monitor on future courses.</p>

Course Pre-Requisites:

Expected Standard:	Action if not met / evidenced:
Learner invite completed.	<p>Advise ATC co-ordinator this is required to ensure learner is registered against the course.</p> <p>Note and monitor on future courses.</p>
Health questionnaire completed.	<p>Advise ATC co-ordinator that this is required to ensure learner suitability and support provided where applicable for any individual needs to support learner journey.</p> <p>Note and monitor on future courses.</p>
Pre-requisites completed (where applicable) e.g: <ul style="list-style-type: none"> Membership Safeguarding Swimming teacher qualification. 	<p>Advise ATC co-ordinator that pre-requisites must be collected prior to the start of the course.</p> <p>Missing pre-requisites must be rectified as soon as possible.</p> <p>Note and monitor on future courses.</p>
Evidence of required training hours (for revalidation).	<p>Advise ATC co-ordinator that this is a pre-requisite to assessment and if missing, assessment will need to be postponed until sufficient evidence has been provided.</p> <p>Note and monitor on future courses.</p>

Pre-Course Application Form:

Expected Standard:	Action if not met / evidenced:
Latest version.	<p>If latest version has not been used, advise the ATC co-ordinator that they are using out of date resources, and they are required to use up to date resources.</p> <p>Note and monitor on future courses.</p>
All fields completed by the learner.	<p>If incomplete, hand back to the learner to complete.</p> <p>Note and monitor on future courses.</p>

Completed in BLOCK CAPITALS.	Advise ATC co-ordinator this supports legibility to ensure correct details and to advise learners for future courses.
Completed in pen.	Advise ATC co-ordinator this ensures records cannot be falsified and that writing is clear. Note and monitor on future courses.
If the learner identified a requirement for any reasonable adjustments, has the tutor discussed this with the learner and a reasonable adjustment request been submitted on Synergy?	Advise ATC co-ordinator that this is required at the earliest opportunity to support learners and refer to STA Reasonable Adjustments and Special Considerations policy for more information about submitting requests to STA.
Learner's identity confirmed.	The learner's identification must be checked at the start of the course to ensure validity. This must be signed, dated and a valid form of ID must be specified. If this is not completed, STA require email confirmation that this was seen by the ATC co-ordinator / tutor.
Signed and dated by the learner and dates match with registered course dates.	If incomplete, hand back to the learner to complete. Note and monitor on future courses.
Signed and dated by the tutor and dates match with registered course dates.	If incomplete, hand back to the tutor to complete. Note and monitor on future courses.

Course Register:

Expected Standard:	Action if not met / evidenced:
Qualification title, course reference and dates.	Note and monitor on future courses.
Tutor, learner, assessor* and IQA* full names (*where applicable).	If names have been shortened this must be rectified or if unable, noted and monitored on future courses. All course paperwork should state full names.
Times in and out.	If any of these points are missing this must be noted and monitored on future courses.
All individuals signed in and out with signature confirmation.	If any of these points are missing this must be noted and monitored on future courses.
Confirms guided learning hours as per the qualification specification.	If guided learning hours as per the qualification specification have not been confirmed without a reasonable explanation, contact STA immediately. Note and monitor on future courses.

On Course Qualification Paperwork

Tutor Assessed Skills Sheet*:

Expected Standard:	Action if not met / evidenced:
Latest version.	<p>If latest version has not been used, advise the tutor / ATC co-ordinator that they are using out of date resources, and they must use up to date resources.</p> <p>Report the issue immediately to the STA who will advise on next steps – may mean skills have been missed or change in techniques which will need to be re-taught.</p> <p>Note and monitor on future courses.</p>
Completed in pen.	<p>Advise tutor this ensures records cannot be falsified and that writing is clear.</p> <p>Note and monitor on future courses.</p>
<ul style="list-style-type: none"> Tutor full name and signature on every sheet Course reference and date on every sheet Learners' full names on every sheet. 	<p>If incomplete, hand back to the tutor to complete.</p> <p>If names have been shortened this must be rectified, all course paperwork should state full names.</p> <p>If stated on the first sheet, however missing from other sheets, the internal quality assurer can make this an action point.</p> <p>Note and monitor on future courses.</p>
Clear ✓ or ✗ in every box.	<p>If any aspects are missing the ATC co-ordinator / tutor must be contacted to amend this and confirm learner's competency or not.</p> <p>Note and monitor on future courses.</p>
Where a ✗ has been given and the learner deemed 'not competent' has a unit failure report form been completed.	<p>If the learner has been told they have passed, explanation from the tutor must be sought immediately as an ✗ means they have not been deemed competent, and therefore should have failed.</p> <p>If this was an error on the tutor's part and the learner has passed, reason should be recorded in the course file.</p> <p>If the tutor did not complete a unit failure report form, the tutor needs to be updated on the procedures.</p> <p>Note and monitor on future courses.</p>

*Certificates cannot be released without the internal quality assurer having evidence that the learner has been assessed as competent against all skills listed.

Practical Marking Sheet*:

Expected Standard:	Action if not met / evidenced:
Latest version.	<p>If latest version has not been used, advise the assessor that they are using out of date resources, and they must use up to date resources.</p> <p>Report the issue immediately to the STA who will advise on next steps.</p> <p>Note and monitor on future courses.</p>
Completed in pen.	<p>Advise assessor this ensures records cannot be falsified and that writing is clear.</p> <p>Note and monitor on future courses.</p>
<ul style="list-style-type: none"> • ATC name, date, and course reference on every sheet • Assessor full name and signature on every sheet • Learner's full name on every sheet. 	<p>If incomplete, hand back to the assessor to complete.</p> <p>If names have been shortened this must be rectified, all course paperwork should state full names.</p> <p>If stated on the first sheet, however missing from other sheets, this can be an action point.</p> <p>Note and monitor on future courses.</p>
Theory assessment results entered correctly, and results correlate with MCQ learner answer sheet.	<p>If incorrect, hand back to the assessor to complete.</p> <p>Internal quality assurers must mark and check the MCQ scores to ensure the correct ones are stated and uploaded to STA Online.</p> <p>Note and monitor on future courses.</p>
Skill number entered (where applicable).	<p>If incomplete, hand back to the assessor to complete.</p> <p>Internal quality assurers should ensure a variation of skills are represented, not just one skill number / group.</p> <p>Note and monitor on future courses.</p>
Pool depth (where applicable) on every sheet.	<p>If incomplete, hand back to the assessor to complete.</p> <p>Note and monitor on future courses.</p>
Clear ✓ or ✗ in every box for each bullet point.	<p>If any aspects are missing the ATC co-ordinator / tutor / assessor must be contacted to amend this and confirm learner's competency or not.</p> <p>Note and monitor on future courses.</p>
Overall learner competency completed with a clear ✓ or ✗.	<p>If any aspects are missing the ATC co-ordinator / tutor / assessor must be contacted to amend this and confirm learner's competency or not.</p> <p>Note and monitor on future courses.</p>

Where a ✖ has been given and the learner deemed 'not competent' has a unit failure report form been completed.	<p>If the learner has been told they have passed, explanation from the tutor must be sought immediately as an ✖ means they have not been deemed competent, and therefore should have failed.</p> <p>If this was an error on the tutor's part and the learner has passed, reason should be recorded in the course file.</p> <p>If the assessor did not complete a unit failure report form, the assessor needs to be updated on the procedures.</p> <p>Note and monitor on future courses.</p>
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*Certificates cannot be released without the internal quality assurer having evidence that the learner has been assessed as competent against all skills listed.

MCQ Learner Answer Sheet*:

Expected Standard:	Action if not met / evidenced:
Learner, tutor, second marker, ATC name and correct course reference.	<p>Advise tutor this is to be completed.</p> <p>Note and monitor on future courses.</p>
Learner declaration signed and dated by the learner and learner signature matches application form.	<p>Hand back to the learner to complete if present. If after the event, and all assessment details and tutor declaration sections are completed, issue advisory for the tutor.</p> <p>Note and monitor on future courses.</p> <p>If the signature or handwriting is significantly different, the internal quality assurer should investigate this further with the ATC co-ordinator. Contact STA for further advise.</p>
Completed in blue or black ball point pen.	<p>Advise tutor this ensures records cannot be falsified and that writing is clear.</p> <p>MCQ paper must not be completed in pencil.</p> <p>Note and monitor on future courses.</p>
Answers marked with a clear "X."	<p>Assessment papers must be clearly marked and show a learner's clear answer.</p> <p>Advise tutor to read the MCQ guidance to the learners prior to the assessment.</p> <p>Note and monitor on future courses.</p>

<p>If a learner has changed their mind, original “X” mark shaded in completely, a new clear “X” selected, and correction signed / initialled by the learner.</p>	<p>Advise tutor to read guidance to the learners pre assessment.</p> <p>If a learner has put an “X” in two boxes without shading one out, this must be marked as incorrect.</p> <p>Correction fluid must not be used.</p> <p>Note and monitor on future courses.</p>
<p>Marked correctly by the tutor (see MCQ guidance for further details).</p>	<p>Advise tutor of marking errors.</p> <p>If there are any errors with the marking, the outcome will reflect the severity.</p> <p>If the learner has still passed the assessment, this must be noted and monitored for future courses.</p> <p>If the learner actually failed the assessment, after being informed they had passed, this will need to be reported to STA for investigation if results have been submitted.</p> <p>Note and monitor on future courses.</p>
<p>Evidence of second marking.</p>	<p>If there is no evidence of second marking (ticking on the learner answer sheet), the tutor, second marker and ATC co-ordinator need to be advised.</p> <p>Note and monitor on future courses.</p>
<p>Learner mark entered correctly for each unit.</p>	<p>The final mark must be shown the same on the MCQ learner answer sheet and STA Online as well as the practical marking sheet (where applicable).</p> <p>Note and monitor on future courses.</p>
<p>Pass / fail entered correctly for each unit.</p>	<p>Hand back to the tutor to complete.</p> <p>Note and monitor on future courses.</p>
<p>Overall pass / fail entered correctly.</p>	<p>Hand back to the tutor to complete.</p> <p>Note and monitor on future courses.</p>
<p>Tutor and second marker signature.</p>	<p>Hand back to the tutor and second marker to complete.</p> <p>Note and monitor on future courses.</p>

*Certificates cannot be released without the internal quality assurer having evidence that the learner has achieved the correct MCQ pass mark.

MCQ Tutor Marking Scheme:

Expected Standard:	Action if not met / evidenced:
Correct tutor marking scheme for the assessment paper with correct course reference.	If incorrect, contact STA immediately.
Marked correctly by the second marker (cannot be a learner, the tutor or the IQA. Can be the independent assessor or another competent person independent to the course and learners e.g., a receptionist, duty manager, or another member of ATC staff).	<p>Advise second marker of marking errors.</p> <p>If there are any errors with the marking, the outcome will reflect the severity.</p> <p>If the learner has still passed the assessment, this must be noted and monitored for future courses.</p> <p>If the learner actually failed the assessment, after being informed they had passed, this will need to be reported to STA for investigation if results have been submitted.</p> <p>If there is no second marker, the tutor and ATC co-ordinator need to be advised on policy and procedures.</p> <p>Note and monitor on future courses.</p>
Second marker declaration completed with name, signature, and date.	If missing, note and monitor on future courses.

Post-Course Feedback Form:

Expected Standard:	Action if not met / evidenced:
Latest version.	<p>If latest version has not been used, advise the ATC co-ordinator that they are using out of date resources, and they are required to use up to date resources.</p> <p>Note and monitor on future courses.</p>
Total number of hours spent on the course with the tutor and other learners confirms guided learning hours as per the qualification specification.	<p>If all learners state the guided learning hours as per the qualification specification have not been confirmed, and there is not a reasonable explanation, contact STA immediately.</p> <p>Note and monitor on future courses.</p>
Any feedback requiring attention has been addressed by the tutor / ATC / reported to STA (where applicable) and / or and action plan implemented.	Advise ATC co-ordinator that feedback is important and should be acted upon in a timely manner to support continuous improvement.

Tutor Feedback Form:

Expected Standard:	Action if not met / evidenced:
Latest version.	If latest version has not been used, advise the ATC co-ordinator that they are using out of date resources, and they are required to use up to date resources. Note and monitor on future courses.
All fields completed by the assessor.	Hand back to the assessor to complete. Note and monitor on future courses.
Completed in pen.	Advise assessor this ensures records cannot be falsified and that writing is clear. Note and monitor on future courses.
Tutor name, assessor name, assessor signature, course reference and date.	Hand back to the assessor to complete. Note and monitor on future courses.
Any feedback requiring attention has been addressed by the tutor / ATC / reported to STA (where applicable) and / or an action plan implemented.	Advise tutor / ATC co-ordinator that feedback is important and should be acted upon in a timely manner to support continuous improvement.

Assessor Feedback Form:

Expected Standard:	Action if not met / evidenced:
Latest version.	If latest version has not been used, advise the ATC co-ordinator that they are using out of date resources, and they are required to use up to date resources. Note and monitor on future courses.
All fields completed by the tutor.	Hand back to the tutor to complete. Note and monitor on future courses.
Completed in pen.	Advise tutor this ensures records cannot be falsified and that writing is clear. Note and monitor on future courses.
Assessor name, tutor name, tutor signature, course reference and date.	Hand back to the tutor to complete. Note and monitor on future courses.
Any feedback requiring attention has been addressed by the assessor / ATC / reported to STA (where applicable) and / or an action plan implemented.	Advise assessor / ATC co-ordinator that feedback is important and should be acted upon in a timely manner to support continuous improvement.

Unit Failure Report:

Expected Standard:	Action if not met / evidenced:
Latest version.	If latest version has not been used, advise the ATC co-ordinator that they are using out of date resources, and they are required to use up to date resources. Note and monitor on future courses.
Course reference and date.	Hand back to the assessor to complete. Note and monitor on future courses.
Completed in pen.	Advise assessor this ensures records cannot be falsified and that writing is clear. Note and monitor on future courses.
Full unit title entered for all units failed with detailed reasons.	Hand back to the assessor to complete. Note and monitor on future courses.
Learner and assessor name and signature.	Hand back to the assessor and learner to complete. Note and monitor on future courses.

Learner Work Products

Scheme of Work (where applicable) *:

Expected Standard:	Action if not met / evidenced:
Latest version and correct version for the qualification.	If latest and correct versions have not been used, advise the tutor that they are using out of date resources, and they must use up to date resources. Report the issue immediately to the STA who will advise on next steps. Note and monitor on future courses.
All required schemes of work completed / submitted.	Hand back to the learner to amend and complete. Learner's must complete all work products to the required standard for certification to be released.
All boxes must be completed.	Hand back to the learner to complete. If a box is missing, such as the age box, and all other work and boxes are complete, this can be an advisory and action point for the tutor. Note and monitor on future courses.

Completed in pen or typed electronically.	<p>Advise tutor this ensures records cannot be falsified and that writing is clear.</p> <p>Internal quality assurers should check that there is consistency in handwriting and typing to determine authorship. If author is doubted or plagiarism suspected, report the issue immediately to the STA who will advise on next steps.</p> <p>Note and monitor on future courses.</p>
Learner name, tutor signature and date.	<p>Hand back to the learner and tutor to complete.</p> <p>Note and monitor on future courses.</p>
Evidence of tutor marking.	<p>Advise tutor that they should be marking schemes of work as per assessment strategy.</p> <p>Note and monitor on future courses.</p>
Developmental feedback given by the tutor.	<p>Advise tutor that feedback is important to support learner's learning and development and should be positive and constructive.</p> <p>Note and monitor on future courses.</p>
Where applicable learner amendments made and follow up tutor marking and feedback.	<p>Advise tutor that they must ensure learners who insufficiently complete the schemes of work are directed back to complete it to the expected standard.</p> <p>Any amendments need to be re-submitted and tutor should show that these have been reviewed and accepted.</p> <p>Note and monitor on future courses.</p>
Schemes of work technically correct and appropriate for the participants and qualification (see assessment strategy for detailed criteria).	<p>If they are not appropriate for age and ability, do not have variety and show clear progression, learners should resubmit.</p> <p>If incomplete or incorrect, return to learner to rectify.</p> <p>Resubmission required if persistent errors, omissions, or unsafe practices.</p> <p>Note and monitor on future courses.</p>

*Certificates cannot be released without the internal quality assurer having evidence that the learner has met the competent standard as per qualification assessment strategy.

Lesson / Session Plan (where applicable) *:

Expected Standard:	Action if not met / evidenced:
Latest version and correct version for the qualification.	<p>If latest and correct versions have not been used, advise the tutor that they are using out of date resources, and they must use up to date resources.</p> <p>Report the issue immediately to the STA who will advise on next steps.</p> <p>Note and monitor on future courses.</p>
All required lesson / session plans completed / submitted.	<p>Hand back to the learner to amend and complete.</p> <p>Learner's must complete all work products to the required standard for certification to be released.</p>
All boxes must be completed.	<p>Hand back to the learner to complete.</p> <p>If a box is missing, such as the age box, and all other work and boxes are complete, this can be an advisory and action point for the tutor.</p> <p>Note and monitor on future courses.</p>
Completed in pen or typed electronically.	<p>Advise tutor this ensures records cannot be falsified and that writing is clear.</p> <p>Internal quality assurers should check that there is consistency in handwriting and typing to determine authorship. If author is doubted or plagiarism suspected, report the issue immediately to the STA who will advise on next steps.</p> <p>Note and monitor on future courses.</p>
Learner name, tutor signature and date.	<p>Hand back to the learner and tutor to complete. Note and monitor on future courses.</p>
Evidence of tutor marking.	<p>Advise tutor that they should be marking schemes of work as per assessment strategy. Note and monitor on future courses.</p>
Developmental feedback given by the tutor.	<p>Advise tutor that feedback is important to support learner's learning and development and should be positive and constructive. Note and monitor on future courses.</p>
Where applicable learner amendments made and follow up tutor marking and feedback.	<p>Advise tutor that they must ensure learners who insufficiently complete the lesson plans are directed back to complete it to the expected standard.</p> <p>Any incorrect answers need to be re-submitted or completed on supplementary worksheets and tutor should show that it has been reviewed and accepted.</p> <p>Note and monitor on future courses.</p>

Lesson / session plans technically correct and appropriate for the participants and qualification (see assessment strategy for detailed criteria).	<p>If they are not appropriate for age and ability, do not have variety and show clear progression, learners should resubmit.</p> <p>If incomplete or incorrect, return to learner to rectify.</p> <p>Resubmission required if persistent errors, omissions, or unsafe practices.</p> <p>Note and monitor on future courses.</p>
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*Certificates cannot be released without the internal quality assurer having evidence that the learner has met the competent standard as per qualification assessment strategy.

Lesson / Session Evaluation (where applicable) *:

Expected Standard:	Action if not met / evidenced:
Latest version and correct version for the qualification.	<p>If latest and correct versions have not been used, advise the tutor that they are using out of date resources, and they must use up to date resources.</p> <p>Report the issue immediately to the STA who will advise on next steps.</p> <p>Note and monitor on future courses.</p>
All evaluations completed / submitted.	<p>Hand back to the learner to amend and complete.</p> <p>Learner's must complete all work products to the required standard for certification to be released.</p> <p>Note and monitor on future courses.</p>
Completed in full, including date, learner's and tutor's name and signature.	<p>Hand back to the learner and tutor to complete.</p> <p>If a box is missing, such as the date, and all other work and boxes are complete, this can be an advisory and action point for the tutor.</p> <p>Note and monitor on future courses.</p>
Completed in pen or typed electronically.	<p>Advise assessor this ensures records cannot be falsified and that writing is clear.</p> <p>Internal quality assurers should check that there is consistency in handwriting and typing to determine authorship. If author is doubted or plagiarism suspected, report the issue immediately to the STA who will advise on next steps.</p> <p>Note and monitor on future courses.</p>
Evidence of tutor marking.	<p>Advise tutor that they should be marking schemes of work as per assessment strategy.</p> <p>Note and monitor on future courses.</p>

Developmental feedback given by the tutor.	<p>Advise tutor that feedback is important to support learner's learning and development and should be positive and constructive.</p> <p>Note and monitor on future courses.</p>
Where applicable learner amendments made and follow up tutor marking and feedback.	<p>Advise tutor that they must ensure learners who insufficiently complete the lesson plans are directed back to complete it to the expected standard.</p> <p>Any incorrect answers need to be re-submitted or completed on supplementary worksheets and tutor should show that it has been reviewed and accepted.</p> <p>Note and monitor on future courses.</p>
Evaluations completed as per assessment strategy.	<p>If incomplete or incorrect, return to learner to rectify.</p> <p>Resubmission required if persistent errors or omissions.</p> <p>Note and monitor on future courses.</p>

*Certificates cannot be released without the internal quality assurer having evidence that the learner has met the competent standard as per qualification assessment strategy.

Risk Assessment (where applicable) *:

Expected Standard:	Action if not met / evidenced:
Latest version and correct version for the qualification.	<p>If latest and correct versions have not been used, advise the tutor that they are using out of date resources, and they must use up to date resources.</p> <p>Report the issue immediately to the STA who will advise on next steps. Note and monitor on future courses.</p>
All boxes and aspects of the risk assessment must be completed / submitted.	<p>Hand back to the learner to complete.</p> <p>If a box is missing, such as the date, and all other work and boxes are complete, this can be an advisory and action point for the tutor. Note and monitor on future courses.</p>
Completed in full, including date, learner's and tutor's name and signature.	Hand back to the learner and tutor to complete. Note and monitor on future courses.
Completed in pen or typed electronically.	<p>Advise assessor this ensures records cannot be falsified and that writing is clear.</p> <p>Internal quality assurers should check that there is consistency in handwriting and typing to determine authorship. If author is doubted or plagiarism suspected, report the issue immediately to the STA who will advise on next steps.</p> <p>Note and monitor on future courses.</p>

Evidence of tutor marking.	<p>Advise tutor that they should be marking schemes of work as per assessment strategy.</p> <p>Note and monitor on future courses.</p>
Developmental feedback given by the tutor.	<p>Advise tutor that feedback is important to support learner's learning and development and should be positive and constructive.</p> <p>Note and monitor on future courses.</p>
Where applicable learner amendments made and follow up tutor marking and feedback.	<p>Advise tutor that they must ensure learners who insufficiently complete the lesson plans are directed back to complete it to the expected standard.</p> <p>Any incorrect answers need to be re-submitted or completed on supplementary worksheets and tutor should show that it has been reviewed and accepted.</p> <p>Note and monitor on future courses.</p>
Risk assessment completed as per assessment strategy.	<p>If incomplete or incorrect, return to learner to rectify.</p> <p>Resubmission required if persistent errors or omissions.</p> <p>Note and monitor on future courses.</p>

*Certificates cannot be released without the internal quality assurer having evidence that the learner has met the competent standard as per qualification assessment strategy.

Appendix 2

Conflicts of Interest Examples

