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|  | 0039 Self Assessment Checklist for Centre Approval – Taught and TESTED Qualifications  |



Version 2, May 2018

## Introduction

WAMITAB has produced this document to assist Centres wishing to become approved to deliver WAMITAB tested qualifications. The below checklist details common policies, procedures and practices which underpin effective operations in line with WAMITAB’s quality assurance requirements for approved Centres. It is recommended that a prospective Centre use the checklist to gain a better insight into its current position against each section and identify where any gaps in administrative and quality systems may exist. This will help the Centre prepare for the subsequent approval visit carried out by a WAMITAB External Quality Assurer (EQA).

## Centre Delivery Team

WAMITAB expects that trainers/tutors/teachers delivering knowledge and understanding qualifications and units should have relevant competence and expertise in the subject that they are delivering and have experience of delivering vocational learning. WAMITAB has produced and is able to provide learning and teaching materials to support delivery. As such, trainers/tutors/teachers must be familiar with the content of the qualification and its associated materials.

In order to approve non-occupationally competent trainers/tutors/teachers for the delivery of this qualification, WAMITAB will require evidence that they have attended tutor training relating to the WAMITAB qualification they wish to deliver. Trainers/tutors/teachers must be approved by WAMITAB **prior** to them commencing delivery of WAMITAB qualifications. Trainer/tutor/teacher CVs and certificates should be provided to WAMITAB for approval. Trainers/tutors/teachers are not permitted to invigilate tests relating to the WAMITAB qualifications they deliver.

**Please refer to:**

* Regulations for the Conduct of WAMITAB Multiple Choice Tests
* Code of Practice for the Delivery of WAMITAB Qualifications
* WAMITAB Centre Support Guide

## Qualifications to be Approved

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| **Qualification Title** |
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## Supporting Documents

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| **Abbreviation** | **Centre Document Index**  |
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## 1. Planning

## 1.1 Management systems

|  | **Criteria** | **Possible sources of evidence** | **Evidence** |
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| 1.1.1 | The Centre’s aims and policies in relation to qualifications are supported by senior management and understood by the invigilation team. | 1. Documented quality procedures.
2. Progress reports and staff updates.
3. Health and Safety Policy
4. Equality and Diversity Policy
5. Complaints and Appeals Policy
6. Malpractice and Maladministration Policy
7. Procedures for storing test materials securely before, during and after testing
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| 1.1.2 | The Centre’s access and fair assessment policy and practice is understood and complied with by learners and delivery team.  | 1. Access and fair assessment policy review mechanisms.
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| 1.1.3 | The roles, responsibilities, authorities and accountabilities of the delivery and invigilator team across all assessment sites are clearly defined, allocated and understood. | 1. An organisation chart
2. Documented and signed agreements indicating the lines of accountability of partner organisations in relation to the delivery and testing of WAMITAB qualifications.
3. Records of all testing sites and personnel
4. CVs of the delivery staff have been checked to ensure that the requirements of the assessment strategy have been met.
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| 1.1.4 | Quality assurance procedures and activities are clearly documented to ensure standardisation of delivery and invigilation.  | 1. Quality Assurance Procedures and documentation
2. Records of delivery team meetings
3. Planned schedule of standardisation/networking meetings.
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| 1.1.5 | There has been effective communication within the delivery team and with WAMITAB  | 1. Staff handbook is provided relevant to the delivery and testing of WAMITAB qualifications
2. Minutes of team meetings
3. Records of communication with WAMITAB.
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| 1.1.6 | The centre is compliant with the General Data Protection Regulations (GDPR).  | 1. Registered with the Information Commissioners Office (ICO).
2. Published privacy notice on their website.
3. Provides every learner with a copy of WAMITAB’s Fair Processing Notice prior to submitting registrations to WAMITAB.
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| **Overall Risk Assessment Grade for this Section** |  |

**1.2 Resources**

|  | **Criteria** | **Possible sources of evidence** | **Evidence** |
| --- | --- | --- | --- |
| 1.2.1 | Resource needs are accurately identified in relation to the specific award and resources are made available. | 1. Records of resource availability.
2. Evidence of additional resources obtained.
3. Strategy for obtaining additional resources as required.
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| 1.2.2 | Equipment, accommodation and sites used for the purposes of assessment comply with relevant legislation relating to health and safety and access by learners.**IT Specification** Provision of access to PCs/ laptops with internet access using any of the following browsers:* Internet explorer 6+,Safari 3+
* Firefox2.0+, Opera 10.6+
* Chrome 8+

Operating systems: Windows, Macintosh, Linux, Chrome OS/Chrome book | 1. Public employee liability certificates (covered by the Crown if Prison Provision)
2. Records of equipment and accommodation.
3. Maintenance schedules.
4. Health and safety policies (see 1.1.1)
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| 1.2.3 | There are sufficient competent and qualified delivery staff and invigilators to meet the demand.  | 1. CV’s and development plans for the delivery team.
2. A list of delivery staff and invigilators.
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| 1.2.4 | A staff development programme is established for the delivery staff/ invigilators and internal quality assurance team in line with identified needs. | 1. Staff induction and guidance materials related to WAMITAB provision.
2. Schedule of planned meetings.
3. Development plans
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| 1.2.5 | Delivery staff/invigilators have sufficient time, resources and authority to perform their roles and responsibilities effectively.  | 1. The issue of sufficient time, resources and authority to perform their roles and responsibilities, maybe included in the schedule within the Centre’s contract with the individual.
2. Delivery staff/learner allocation
3. Learner delivery staff ratio and time allocation
4. Oral confirmation from the delivery staff and quality assurance team.
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| 1.2.6 | WAMITAB is notified of any changes which may affect the Centre’s ability to meet the approved Centre criteria | 1. Systems must be set up to ensure that the Centre advises WAMITAB of any changes which may affect the Centre’s ability to meet the Centre approval criteria.

These include potential change in trading name, changes in staff and resources, loss of funding contract. Any issue which is likely to have an adverse effect.  |  |
| 1.2.7  | The Centre has the staff resources and systems to support the delivery of the qualification.  | 1. Continuity plans
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| **Overall Risk Assessment Grade for this Section** |  |

**2. Delivery**

**2.1 Learner support**

|  | **Criteria** | **Possible sources of evidence** | **Evidence** |
| --- | --- | --- | --- |
| 2.1.1 | Information, advice and guidance about qualification procedures and practices are provided to learners and potential learners.Unique Learner Number: Mandatory for funded programmesUnless the learner chooses not to have one, the Centre has in place arrangements to provide the learner with a ULN | 1. Learner guidance and induction materials are developed related to WAMITAB provision.
2. Details of support services available.
3. Appeals policy in place.
4. Complaints procedure in place
5. Arrangements to provide ULN for Learners.
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| 2.1.2 | Learner’s development needs will be matched against the requirements of the qualification and an agreed individual learning plan will be established. | 1. Learner initial assessment procedures.
2. Learner learning plans.
3. Learner contracts.
4. Systems in place to recognise prior learning
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| 2.1.3 | Learners will have regular opportunities to review their progress and goals and to revise their learning plan accordingly. | 1. Learner learning plan frequency of review meetings; examples of revisions to learning plans.
2. Employer/Centre contracts/agreements
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| 2.1.4 | Particular assessment requirements and needs of learners are identified and met where possible. | 1. Materials/equipment/ facilities to support learners with particular requirements and needs.
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| 2.1.5 | There is an established appeals procedure, which is documented and made available to all learners. | 1. Documented appeals procedure, including details of grounds for appeal and timescales.
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| **Overall Risk Assessment Grade for this Section** |  |

**2.2 Delivery of the qualification and Invigilation**

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|  | **Criteria** | **Possible sources of evidence** | **Evidence** |
| 2.2.1 | Access to assessment is encouraged through the use of a range of valid assessment methods. | 1. Provision for learners with particular assessment requirements.
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| 2.2.2 | Queries about the qualification specification, assessment guidance or related WAMITAB materials are resolved and recorded. | 1. Evidence of issues discussed during the Centre approval application process
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| 2.2.3 | The delivery and invigilation process is carried out by suitable persons without a personal interest or conflict of interest.Invigilation will be conducted by individuals who have been trained by the Centre in the practice of invigilation. The invigilators must be fully conversant with WAMITAB Regulations.  | 1. Details of the delivery team including occupational background, and experience of delivering vocational qualifications.
2. Staff approval forms and status records
3. Evidence of planned invigilator training.
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| 2.2.6 | Centre advised of the requirements for access to premises, records, information, learners and staff for the purpose of external quality assurance. | 1. Review of data and information systems to be used to ensure that they comply with WAMITAB’s requirements.
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| **Overall Risk Assessment Grade for this Section** |  |

**3. Monitoring and review**

**3.1 Records**

|  | **Criteria** | **Possible sources of evidence** | **Observed Evidence** |
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| 3.1.1 | Details of how learner achievements will be processed to ensure they are accurate and kept up to date, and securely stored in accordance with WAMITAB requirements, and available for External Quality Assurance and auditing. | 1. Learner registration details.
2. Learner records.
3. Data storage
4. Planned Security and access arrangements.
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| 3.1.3 | Information supplied to WAMITAB for the purposes of registrations is complete and accurate.  | 1. Records held to ensure compliance with WAMITAB’s requirements.
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| 3.1.5 | Information and recording systems enable learners’ achievements to be monitored and reviewed in relation to the Centre’s Equality and Diversity policy  | 1. Achievement records in relation to the access and fair assessment policy.
2. Plan for gathering statistical information on achievement and certification rates and analysed in relation to the Centre’s Equality and Diversity policy.
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| **Overall Risk Assessment Grade for this Section** |  |

**3.2 Review**

|  | **Criteria** | **Possible sources of evidence** | **Observed Evidence** |
| --- | --- | --- | --- |
| 3.2.1 | Actions identified by External Quality Assurer as part of the Centre approval visit and routine visit will be disseminated to appropriate staff and actions met in the time frames stated.  | 1. Proposed plans for disseminating the feedback from external quality assurance actions, commendations /requirements.
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| 3.2.3 | Learner, employer and other feedback will be used to evaluate the quality and effectiveness of qualification provision against the Centre's stated aims and policies, leading to continuous improvement. | 1. Evaluation forms/surveys currently used
2. Users’ charter or customer service statements.
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| 3.2.4 | Plan for the Centre's achievements are monitored and reviewed and used to inform future Centre developmental activity. | 1. Existing Internal audit/self-assessment arrangements.
 |  |
| **Overall Risk Assessment Grade for this Section** |  |



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