

Internal Quality Assurers and Assessors

Guide for Technical Level Qualifications

This document has been produced to assist Internal Quality Assurers (IQAs) and Assessors for the Technical Level suite of qualifications.

V2.0 January 2018

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Introduction

This document provides general advice and guidance to assessors and internal quality assurers (IQAs) working with AQA's Technical Level Qualifications. It should be used in conjunction with the Specification for each qualification. Technical specifications provide detailed information about the requirements of each qualification and should be used as the main source of guidance for assessors and IQAs.

Technical specifications can be found on our website at aqa.org.uk.

All AQA qualifications are approved by Ofqual (Office of the Qualifications and Examinations Regulator).

Further information regarding the operation of AQA's qualifications can be found at aqa.org.uk

Technical Level Qualifications

AQA Tech level qualifications are vocationally focused qualifications, made up of individual units requiring learners to demonstrate competent skills and knowledge in a variety of functional areas related to a specific job role.

The learner submits evidence (usually in the form of a completed assignment) which is assessed against the learning outcomes and assessment criteria for the qualification to determine whether it demonstrates competence at that level.

To ensure that each assessor makes consistent judgements, the work of assessors is internally quality assured on an ongoing basis throughout the process.

AQA has a responsibility to ensure that there is consistency of practice across all centres and does this through a process of external quality assurance. It should be noted that quality assurance (both internal and external) is not an 'end of process' or 'outcome driven' activity. It is used as a means of monitoring the ongoing activities of assessors, ensuring they stay on track and provides a consistent service to all learners.

Section 1: roles and responsibilities

1.1 Learner

The learner is required to demonstrate the knowledge and skills outlined within the unit or qualification specification. This includes demonstrating performance of tasks and activities, showing the required level of knowledge and understanding to the required standard.

This is normally done through the completion of work related tasks/activities and/or through the successful achievement of an examination. Evidence presented by a learner is assessed by the assessor at their centre.

Examinations that form part of the assessment of a qualification are set and marked by AQA.

1.2 Assessor

The assessor is appointed by the centre.

They review the evidence presented by the learner and makes a judgement as to whether it shows the learner has met the standards contained within the unit or qualification specification.

The judgement is recorded by the assessor with a rationale showing how they came to the judgement and includes a summary of the feedback provided to the learner about the assessment.

In order to be approved as an assessor, the individual must provide evidence to show they meet the occupational competence criteria specified for the qualification(s) they will be assessing. Details of the occupational competence requirements for each qualification can be found in the relevant technical specification.

Further details of the assessment process can be found in the assessment section of the relevant specification.

1.3 Internal Quality Assurer (IQA)

The IQA is appointed by the centre and oversees the work of an assessor team.

They ensure that the assessors are making appropriate and consistent judgements when carrying out the assessment of their learners. They do this by running standardisation activities with their assessors; observing the assessors carrying out assessment activities and sampling the assessment decisions made on learner evidence.

In order to be approved as an IQA, the individual must provide evidence to show that they meet the occupational competence criteria specified for the qualification(s). Details of the occupational competence requirements for each qualification can be found in the relevant technical specification.

Further details of the internal quality assurance process can be found in the internal quality assurance section of the relevant specification.

1.4 External Quality Assurer (EQA)

The EQA is appointed by AQA to oversee the internal quality assurance process at the centre.

The EQA will visit the centre to review the systems and procedures in place; interview assessors, IQAs and learners, sample assessments and internal quality assurance decisions and records. Centres must provide access to premises, staff, learners, data, records, meetings and documents as requested by the EQA.

Further details of the EQA process can be found in the external quality assurance section of the relevant specification.

1.5 Head of Centre/Centre Co-ordinator

The head of centre or centre co-ordinator is responsible for overall quality assurance of the AQA Tech levels. They will be a main point of communication for a qualification and will ensure the assessment and internal quality assurance personnel follow the centre's policies and procedures at all times.

This role could be undertaken by a managing director, programme manager, centre manager or any other suitable person holding the appropriate level of responsibility and should be identified at the point of application.

Section 2: assessment

2.1 Initial assessment

When a learner approaches an approved assessment centre to undertake an AQA qualification, the centre should carry out an initial assessment. The purpose of this is to:

- ensure the learner is choosing the most appropriate units, qualification and level
- identify the opportunities available to develop and demonstrate their competence
- ensure that learners can generate the evidence required for the qualification
- ensure that any particular assessment requirements can be met

The learner should be encouraged to bring forward examples of learning and experiences gained in previous employment, education or unpaid work to consider whether these can be used as evidence towards this qualification.

An example of an assessment planning form can be found in Appendix A.

2.2 Assessment planning

Once it has been established that the qualification is the appropriate route for the learner, the assessor and learner should plan how and when the assessment will be carried out.

The planning should focus on:

- when and where the assessment will take place
- ensuring the evidence produced is authentic, valid, reliable, current and sufficient
- identifying times and locations where the assessor can carry out observation of the learner carrying out relevant activities (where required)
- Identifying which aspects of competence must be supported by specific evidence or must be assessed by used specified methods (if prescribed in the evidence requirements).

The types of evidence and assessment methods identified in the assessment plan should be as efficient and cost-effective as possible; the learner and assessor should plan together how to minimise the volume of evidence required while still ensuring they can meet the requirements of the qualification.

An example of an assessment planning form can be found in Appendix A.

2.3 Evidence collection

Evidence of competence can come from a variety of sources and can take the form of:

Performance evidence (what the learner is able to do)

- work produced by the learner, eg the actual product or a record or photograph of the product
- a description or summary of the process the learner went through, eg an assessor's observation of a learner; a witness testimony; or video

Knowledge evidence (what the learner knows and understands)

Evidence of the learner's knowledge may come from performance of a task/activity, or from formal written questions/tests, oral tests and informal questions.

Knowledge evidence is used to support performance evidence and can provide additional confirmation to the assessor of the learner's competence.

On occasion, knowledge evidence may also be used to cover contingencies and aspects of the specification, if applicable, that occur infrequently. For example, the learner could describe how they would handle specified contingencies (eg dealing with an emergency) for which performance evidence is not readily available.

The Technical specification will identify those areas of knowledge and understanding where it is necessary for particular types of knowledge evidence to be provided, or where any areas of knowledge are deemed to be so critical that they must be separately assessed.

Portfolio of evidence

Learners can collect and organise their evidence in a portfolio. The evidence may be presented as hard or electronic copy. Portfolios should only include evidence of competent performance, it is not appropriate to include copies of training materials or activities.

The portfolio demonstrates the learner's competence to the requirements of the qualification and it therefore belongs to the learner who presents it for assessment and quality assurance in a centre.

If the learner produces work which includes confidential information from a company or employer, care must be taken to ensure that this information is not inappropriately shared.

An organisation may also require the learner to anonymise the evidence to their satisfaction during the period of assessment and quality assurance.

Before learners begin the process of assessment, the learner, any employer, and the learner's assessor should clarify ownership of the evidence and ensure that confidentiality is not breached.

Assessment of evidence

Evidence presented for assessment must be judged by the assessor as:

Valid	Is it relevant to qualification requirements? Does it contribute to the requirements of the qualification?
Authentic	Is it the learner's own work or contribution? This is particularly important when considering product evidence that has been produced away from the assessment centre.
Current	Does it demonstrate that the learner can meet the requirements of the qualification at the time of assessment? This is particularly important when looking at evidence from prior achievement.
Reliable	Would another assessor make the same decision when judging this evidence?
Sufficient	Does it meet all the evidence requirements of the unit/qualification?

The evidence requirements for each qualification are detailed in the relevant Technical specification.

When carrying out their role and making assessment judgements the assessor must judge the learner's evidence over a period of time. They must also ensure fair assessment and equality of opportunity for the learner within the assessment process.

In order to ensure that the assessor is making judgements that are consistent with the rest of the assessment team, they must meet regularly with other assessors, IQA(s) and the EQA as requested to discuss assessment decisions.

2.4 Remote assessment of learners

Where centres choose to offer their programmes and assessment via distance learning or other remote means, measures must be put in place to ensure there are clear communication links between the learner, assessor and IQA.

The proposed communication methods (eg telephone, email) must be discussed and agreed with the learner at the start of the programme, to ensure that they are clear about how they can contact their assessor to gain advice, support and feedback on their activities. The learner will also require details of how to contact their IQA in case their assessor is unavailable, or they wish to appeal against a decision made by their assessor.

Centres must ensure that authenticity of any work produced and submitted by remote means is safeguarded. Assessors should regularly question the learner about their reasons for carrying out an activity or producing a work product in a particular way. This gives the learner the opportunity to demonstrate their performance, knowledge and/or understanding across a wider range of the qualification and also will give the assessor the confidence that this is the learner's own work. It is recommended that the assessor has face to face meetings with the learner on a regular basis throughout the programme.

2.5 Feedback to learner

Assessment feedback from the assessor to the learner should be:

- ongoing throughout the assessment process
- positive to inform the learner of what has been achieved
- specific to actions or targets so that the learner knows where they are performing well and where further development needs to take place
- clear and constructive, identifying any barriers to progress and suggesting ways to improve performance
- recorded as a written summary with a copy provided to the learner

Assessor feedback and discussion needs to be an interactive process that motivates and encourages the learner to take responsibility for their own development and evaluate their own progress.

Guidance on resubmission of learner work can be found in the Technical specification.

2.6 Recording of assessment activity and decisions

A reliable system must be in place for recording assessment judgements and decisions to ensure that all claims for certification can be authorised. All learner assessment records must be fully auditable.

Assessment Records are required to show:

- who assessed who, what, how and when
- what assessment decision was made
- the assessment method(s) used
- the location of the supporting evidence
- feedback given and further action/assessment plans negotiated
- regular monitoring of the learner's progress
- the achievements of the learner.

Assessment records are required for internal and external quality assurance and must be securely retained by the centre for **a minimum of three years** from the date learner achievement was claimed.

An example of an assessment record can be found in Appendix A.

2.7 Occupational competence requirements

In order to assess a Tech level, all assessors must have the necessary occupational experience and qualifications. Occupational competence requirements can be found in the relevant technical specification.

In general, assessors must:

- have sufficient occupational expertise in the areas which they will be assessing to enable them to make valid judgements about learner performance
- maintain their occupational competence in a way that can be demonstrated through a Continuing Professional Development (CPD) record that relates to the occupational sector.

Section 3: internal quality assurance

3.1 Internal Quality Assurance process

Internal quality assurance of the assessment process ensures that assessment within the centre is valid and consistent. In order to demonstrate quality assurance of the assessment process, IQAs are required to:

- advise and support the assessment process
- monitor and verify the assessment process
- manage external quality assurance requirements

3.2 Advise and support the assessment process

The IQA should be in regular contact with assessors to provide advice and information including:

- helping with interpretation of guidelines and policy
- answering specific questions about assessment
- advising on the appropriate use of different types of evidence
- assisting with any special arrangements that might be required for individual learners

IQAs should ensure that assessors are provided with all relevant documentation, records and guidance provided by AQA, Ofqual and the centre. The IQA will allocate duties and responsibilities according to the expertise of the assessors and the needs of learners. The IQA will also ensure that both assessors and learners are aware of these responsibilities.

The IQA may not necessarily carry out the training of assessors, however they are required to ensure that induction has occurred and that any identified training needs are met.

The induction programme should ensure the assessors' understanding of:

- the philosophy of competence-based assessment
- the qualification requirements
- the organisation's quality assurance policy and procedures
- the assessment records and documentation to be used

IQAs are required to hold regular team meetings with assessors to include consideration of the following:

- access and fair assessment
- health and safety
- monitoring, review and evaluation
- new policies, impact and implementation in the Centre (where applicable)
- updates from AQA
- discussion of any action points identified by AQA EQAs
- agreement of action to be taken by assessment team members
- staff roles and responsibilities

Team meetings are essential to ensure the centre's assessment practice is standardised and meets the requirements of AQA. Records of these meetings must be maintained for external quality assurance.

3.3 Monitor and verify the assessment process

Internal quality assurance should be ongoing throughout the assessment process and should include the following activities:

- observation of assessment activities and constructive feedback to assessors
- reviewing the learner's evidence which has been judged by the assessor as valid and sufficient
- observing formative and summative assessment interviews by an assessor with a learner
- carrying out standardisation exercises with a group of assessors focusing on such aspects as specific/problem units; types/sources of evidence; assessment methods

3.4 Internal Quality Assurance Sampling Strategy

The IQA should sample assessment decisions to ensure that assessment within the centre consistently complies with AQA requirements. Sampling must include direct observation of assessment practice and learner interviews. The IQA must identify a representative sample of activity across the centre. Over a period of time, this sample should cover:

- all assessors
- all units
- all learner types (eg part time; experienced; remote)
- all types of evidence
- all assessment sites

Once centre practice is established, the IQA may wish to focus the sample on particular areas, eg sample an increased number of assessment decisions by new or newly qualified assessors.

Records to show how a cross-section of these variables has been verified specific to each qualification must be made available to the External Quality Assurer.

3.5 Review and Feedback

The IQA must provide constructive feedback to assessors, identifying areas of good assessment practice and any training and development needs. Records of this feedback must be made available to the EQA.

3.6 Managing external quality assurance requirements

The IQA is the link between the assessment team and the centre co-ordinator and is required to manage and maintain the Tech level provision within the centre.

IQAs must:

- ensure accurate records of assessment and internal quality assurance are kept using appropriate documents
- liaise with the EQA to co-ordinate and manage centre visits, clarifying requirements, disseminating AQA updates and guidance, agreeing action plans
- deal with disputes or appeals in line with procedures agreed with AQA
- advise AQA of any significant changes to centre operations which may affect the quality of assessment and internal quality assurance (eg changes in staff).

Note: Centres cannot submit claims for certification to AQA if they do not have an appropriately qualified IQA in place.

3.7 Recording of internal quality assurance decisions

Centres must have a reliable system in place for recording internal quality assurance activities. All internal quality assurance records must be fully auditable - the EQA must be able to see all of the internal quality assurance activities that have been undertaken by the centre.

Internal quality assurance records must show:

- induction and training activities undertaken by assessors
- assessor and IQA competence
- minutes of team and standardisation meetings
- list of assessors' allocated responsibilities eg learners, qualifications, units
- an internal quality assurance sampling strategy
- who quality assured who, what and when
- feedback given to assessors and action plans
- certificates claimed (including unit certificates), who claimed the certificate for whom and when
- statistical information on achievement and certification rates analysed by factors such as ethnic origin, disability and gender
- reasonable adjustments and special considerations provided for specific learners

Internal quality assurance records are required for external quality assurance. They must be securely retained by the centre for a minimum of three years following learner achievement of the qualification.

Examples of internal quality assurance records can be found in Appendix A.

3.8 Occupational competence requirements

In order to internally quality assure a qualification, all IQAs must have the necessary occupational experience and qualifications. Occupational competence requirements are provided for all Tech levels and can be found in the relevant technical specification.

In general, IQAs must:

- have sufficient occupational expertise in the areas which they will be internally quality assuring to enable them to make valid judgements about assessment decisions
- maintain their occupational competence in a way that can be demonstrated through a Continuing Professional Development (CPD) record that relates to the occupational sector.

Section 4: external quality assurance

4.1 Occupational competence requirements of External Quality Assurers

AQA ensures that all EQAs:

- are experts in the relevant occupational area
- maintain their occupational competence in a way that can be demonstrated through CPD
- have a knowledge and understanding of AQA systems and procedures
- have a knowledge and understanding of the qualification(s) that they verify
- participate annually in AQA standardisation/training activities

4.2 External quality assurance process

At each centre visit an EQA will:

- Monitor the assessment and internal quality assurance practices for the Tech levels the centre is approved to offer
- Sample the assessment and internal quality assurance decisions to ensure consistency and rigour against the qualification requirements
- Check the occupational competence of the assessor and IQA team
- Check resource availability and learner access to appropriate resources
- Check that the needs of the learner are being met
- Sign off certification claims where all requirements have been met
- Feedback to AQA on the effectiveness of the quality assurance arrangements within the centre

An EQA will be allocated to an approved centre for a specified qualification or suite of qualifications. This allocation will take place for new centres at first learner registration.

Allocation of EQAs will be reviewed on an annual basis. It is anticipated that the same EQA would be allocated to a centre for no more than three consecutive years.

An EQA will normally visit the centre on a minimum of two occasions per year, at six monthly intervals. Visits will be arranged at the time of year specified by AQA, but on a date negotiated between EQA and the centre.

Centres must ensure that dates for EQA visits are confirmed as far in advance as possible. Once confirmed, a visit can only be postponed in exceptional circumstances. Where visits are postponed at short notice by the centre, a fee may be payable.

At the visit, the EQA will:

- Review policies and procedures to ensure any changes or amendments are noted and to ensure that the centre is continuing to appropriately fulfil the quality assurance requirements
- Discuss progress with all of the IQAs
- Discuss progress with all (or a sample) of the assessors
- Discuss the programme with a learner/group of learners to gain feedback on their experiences

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- Review assessment and IQA records to identify where learners are in the process and the progress that has been made
 - Review a representative sample of learner work to gain a view on the quality of assessor and IQA activity, judgements and feedback

The EQA will choose a sample of learner work which is representative of all of the work carried out within the centre.

Each sample will cover:

- All IQAs
- All assessors
- All units of the qualification
- All learner types (eg full time, part time, distance learning)
- All assessment sites (ie locations where assessment teams are based, not learner workplaces)

The EQA will choose a different sample at each visit. In order to assist this process, you must have available for each visit:

- Access to all learner work (both hard copy portfolios and e-portfolios) being presented for certification
- All relevant IQAs, assessors and learners as selected by the EQA
- Copy of the last EQA Report Form (where applicable)
- CVs and relevant certificates for all new members of the assessment/IQA team
- All formative and summative assessment and internal quality assurance records
- Evidence of any action points carried out since the last visit

The EQA will complete an EQA Report Form to record their findings and identify any action points for the centre. These action points will specify a deadline and a responsible officer. You must ensure all action points are met by the specified date.

The EQA Report Form contains a list of criteria which the EQA will use to make judgements on centre practice. In order to prepare for a visit, the centre may wish to use this list for self-assessment purposes.

The EQA will sign off all claims for certification where they have been able to verify that all requirements have been met.

The EQA will send a copy of the EQA Report Form to both AQA and the centre.

Certificates will be issued once the learner has successfully achieved all the units within the qualification.

AQA and Ofqual reserve the right to undertake visits at short notice or without prior notification.

4.3 Sanctions for non-compliance with the approved centre criteria

Ofqual provides a tariff of sanctions for non-compliance with the Approved Centre Criteria which we will use as a framework to identify appropriate actions where weaknesses are identified in centre practice.

The Tariff of Sanctions for non-compliance to the Approved Centre Criteria can be found at Appendix 1.

In summary, where a centre is unable to provide appropriate evidence that they meet specific criteria, a sanction will be imposed. The sanctions are dependent upon the risk that is incurred to quality assurance within the centre and take the following forms:

- Level 1: An action point to be met by a specified date
- Level 2: Escalation of an action point
- Level 3: Suspension of registration and certification
- Level 4: Withdrawal of centre approval for specific qualifications
- Level 5: Withdrawal of centre approval for all qualifications

The table at Appendix 1 shows the types of issues that will result in a sanction being applied. It should be noted that where a centre fails to address the weaknesses identified, the issue moves to the next level of sanction at the next EQA visit.

For example, an action point is provided to the centre at an EQA visit with a deadline to achieve it by the next visit. At the next visit, the EQA finds that this action point has not yet been met. At this visit, the EQA will record that the centre is now subject to a Level 2 sanction.

Section 5: exemplar recording documentation

This section contains exemplar forms that can be used by centres for developing their own recording documentation.

Document 1: Initial assessment tool

The purpose of this form is to give the learner an opportunity to consider the areas covered by the qualification and identify their own level of previous experience. This will be helpful in identifying an assessment plan for the learner and also in determining their correct level of qualification.

Document 2: Assessment plan

The purpose of this form is to identify proposed assessment activities. As far as possible, all assessment activities should be planned in advance in order to give learners an opportunity to do any necessary preparation and to make them aware of the formal assessment process.

Document 3: Assessment record

The purpose of this document is to record the assessment activity and judgement that has been made on the learner's competence. It should be used when carrying out a formal assessment activity on the learner (as specified in the assessment plan).

It is critical that the assessor judgement is also included here, along with a rationale as to how this has been made. This will ensure that the IQA is able to see how the assessor made their judgement and can compare this to the methods used by the other Assessors in the team. An example of the level of detail that should be included in the 'Description of evidence and assessor judgement' column could be follows:

'The work produced by the learner in response to the assignment brief showed the learner had a clear understanding of the process. I asked some additional questions to clarify a number of points. These are included as (evidence reference) with a summary of the answers the learner provided to me. On this basis I can confirm that this work demonstrates competent performance.'

Document 4: IQA assessor observation report

The purpose of this document is to record the findings of an observation carried out on an assessor actively undertaking assessment of a learner. This could be when the assessor is observing or questioning the learner, or could be when the assessor is assessing written evidence produced by the learner.

IQAs should schedule observations of assessor activity on an ongoing basis.

Document 5: Portfolio sampling – feedback to assessor

The purpose of this document is to recording the findings of portfolio sampling undertaken by the IQA. IQAs should schedule portfolio sampling sessions on an ongoing basis.

Document 6: IQA sampling plan

The purpose of this form is to record the group of learners assigned to each assessor. The IQA can then identify the sample of assessors to be observed, units to be reviewed and learners to be interviewed for each IQA activity.

Document 7: Master IQA tracking form

The purpose of this form is to keep a record of overall learner progress throughout their programme.

Initial assessment

AQA Level 3 Technical Level IT: Programming					
Unit 1	Fundamental principles of computing	Often	Sometimes	Never	Examples of work activities undertaken
AO1	Identify the different types of computer				
AO2	Understand and evaluate the hardware requirements of a computer system				
AO3	Evaluate the software requirements of a computer system				
AO4	Understand how data is converted to information				
AO5	Demonstrate how computers process user requirements				
Unit 2	Industrial Project	Often	Sometimes	Never	Examples of work activities undertaken
PO1	Understand the project planning process				
PO2	Plan a project with others to meet a specified outcome				
PO3	Follow a project plan as part of a team to meet a specified project outcome				
PO4	Review a collaborative working as part of a project team				
Unit 3	Computer Programming	Often	Sometimes	Never	Examples of work activities undertaken
AO1	Understand the different types of computer programming, languages and the common uses				
AO2	Analyse the tools and techniques for planning, designing and development				
AO3	Evaluate the key features and techniques used in computer programming				

AO4	Demonstrate the principles of good program practice and user interface design				
Unit 4	Maths for Computing	Often	Sometimes	Never	Examples of work activities undertaken
PO1	Working with number systems				
PO2	Understanding and applying computer logic				
PO3	Calculating with sequences, series, probability and recursion				
PO4	Gathering and interpreting data in a meaningful manner				
PO5	Applying matrix methods to solve problems				
Unit 5	Website Technologies	Often	Sometimes	Never	Examples of work activities undertaken
PO1	Understand the key features of website technologies				
PO2	Demonstrate the key features and functions of a mark-up language				
PO3	Demonstrate the key features of a style sheet language				
PO4	Demonstrate the key features and functions of a client-side scripting language				
PO5	Demonstrate the key features and functions of a server-side scripting language				
PO6	Recognise vulnerabilities and counter threats the website technologies				
Unit 6	Mobile Applications Programming	Often	Sometimes	Never	Examples of work activities undertaken
PO1	Understand the key features of mobile application development				
PO2	Apply the key features and functions of				

	mobile application programming languages				
PO3	Demonstrate the ability to design mobile applications				
PO4	Demonstrate the proficient use of mobile development tools				
PO5	Create and deploy a working mobile application using cross platform development				
Unit 7	Event Driven Programming	Often	Sometimes	Never	Examples of work activities undertaken
PO1	Understand the key features of event driven programming languages				
PO2	Demonstrate the use of event driven language features and functions				
PO3	Demonstrate the ability to design event driven applications				
PO4	Implement event driven applications to a professional standard				
Unit 8	Object Oriented Programming	Often	Sometimes	Never	Examples of work activities undertaken
PO1	Understanding object oriented programming (OOP)				
PO2	Designing software solutions using an object oriented approach				
PO3	Implementing object oriented applications to a professional standard				
PO4	Understand how to test and maintain programs				
PO5	Understand how to produce documentation				

Learner signature:		Date:	
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Assessment plan

Centre name:		Qualification:					
Learner:		Assessor:					
Workplace: (if applicable)							
Proposed activity and evidence to be produced	Assessment method (eg portfolio review, observation, questioning)	Proposed date	Unit 1	Unit 2	Unit 3	Unit 4	Unit 5
			List relevant learning objectives/assessment criteria below				

Assessor signature:		Date:	
Learner signature:		Date:	

Assessment record

Centre name:		Qualification:	
Learner:		Assessor:	
Workplace: (if applicable)			

Unit / Learning outcome / Assessment criteria	Assessment method	Description of evidence and assessor judgement	Date	Assessor initials

Location of assessment:		Date:	
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P1

Assessment record – learner feedback

I confirm that the evidence provided above is authentic, sufficient, valid and current. It covers the learning outcomes and assessment criteria as specified above and has been assessed in accordance with the qualification specification.

Assessor signature:		Date:	
Learner signature:		Date:	
Internal Quality Assurer signature (<i>if sampled</i>):		Date:	

P2

Internal Quality Assurer - Assessor observation report

Centre name:		Qualification:	
Assessor:		Location:	
Date:		Unit(s):	
Internal Quality Assurer:			

Did the assessor:	IQA comments
give clear information on the assessment process to the learner?	
encourage the learner to identify and present evidence?	
refer to the qualification specification?	
use the specified assessment documentation?	
remain as unobtrusive as practicable?	
use questions which were clear and did not lead the learner?	
use sufficient, justifiable questioning to infer competence?	
invite the learner to contribute to their own assessment?	
consider all feasible sources of evidence?	
accurately judge evidence against the requirements of the qualification?	
ensure that the evidence could be reliability attributed to the learner?	
clarify and resolve inconsistencies in evidence where necessary?	
confirm the outcome of the assessment and feedback as soon as practicable?	
encourage the learner to ask questions?	
record evidence and assessment decisions to meet IQA requirements?	

P1

Feedback to assessor

Comments from assessor

Assessor signature:		Date:	
Internal Quality Assurer signature:		Date:	

P2

Portfolio sampling – feedback to assessor

Centre name:		Qualification:	
Assessor:		Learner:	
Date:		Unit(s):	

Formative:

Summative:

Assessment methods used:	
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	Yes	No	Internal Quality Assurer's comment
Has appropriate and sufficient assessment planning taken place?			
Have appropriate assessment methods been used?			
Have the all the necessary learning objectives and assessment criteria been assessed?			
Has the evidence presented been clearly referenced and gathered over a sufficient period of time?			
Has the assessor justified their assessment decision?			
Do you agree with the assessment decision?			

Feedback to assessor

P1

Action to be taken/items to be resubmitted

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Comments from assessor

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Date for resubmission:

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Internal Quality Assurer signature:

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Date:

--

Actions completed

Internal Quality Assurer signature:

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Date:

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P2

Internal Quality Assurer learner tracking form

Centre name:		Qualification:	
Internal Quality Assurer:			

Learner name	AQA learner registration number	Start Date	Units achieved (tick when applicable)	Unit 1	Unit 2	Unit 3	Unit 4	Unit 5	Unit 6	Unit 7	Unit 8
			Assessor								
			IQA								
			EQA								
			Assessor								
			IQA								
			EQA								
			Assessor								
			IQA								
			EQA								
			Assessor								
			IQA								
			EQA								
			Assessor								
			IQA								
			EQA								

Appendix 1

Sanctions for non-compliance with the approved centre criteria

Ofqual provides a tariff of sanctions for non-compliance with the centre approval criteria which AQA uses as a framework to identify appropriate actions where weaknesses are identified in centre practice.

The recommended Tariff of Sanctions for non-compliance is as follows:

	Examples of non-compliance	Sanction	Rationale
0.1	Centre's aims, policies and assessment practices, and responsibilities of personnel are not clear or well understood by assessment team	Level 1: Entry in action plan	Non-compliance with centre approval criteria, but no threat to the integrity of assessment decisions
0.2	Internal quality assurance procedures and activities not clearly documented		
0.3	Communication between centre and the awarding body is ineffective		
0.4	Insufficient qualified assessors		
0.5	Assessors/IQAs do not have adequate development plans		
0.6	Learners are not aware of their rights and responsibilities, eg no appeals procedure for learners		
0.7	There is inadequate assessment planning with learners		
0.8	Queries are not resolved or recorded		
0.9	Range of assessment methods is insufficient to encourage access		
0.10	Changes to personnel of the assessment and IQA team are not notified to the awarding body		
0.11	Unit certification is not made available to learners		
0.12	There is inadequate monitoring or review of procedures		
0.13	There is inadequate evidence of meaningful employer engagement		
	Examples of non-compliance	Sanction	Rationale
1.1	Assessors have insufficient time, resources or authority to perform their role	Level 2: Escalated action point	Close scrutiny of the integrity of assessment decisions required
1.2	Decisions of unqualified assessors not supported by qualified assessor		
1.3	Assessment decisions are not consistent		
1.4	Insufficient qualified internal quality assurers		
1.5	Decisions of unqualified IQAs not supported by qualified IQA		
1.6	Records are insufficient to allow audit of assessment		
1.7	Previously agreed corrective measures relating to level 1 are not implemented		

	Examples of non-compliance	Sanction	Rationale
2A.1	Assessment process disadvantages learners	Level 3A/3B: Suspension of registration/ Certification	3A - threat to learners
2A.2	Assessment decisions are unfair		
2B.1	No qualified IQA		3B – loss of the integrity of assessment decisions – danger of invalid claims for certification
2B.2	Assessment does not meet national standards		
2B.3	The centre fails to provide access to requested records, information, learners and staff		
2B.4	Assessed evidence is not the authentic work of learners		
2B.5	Records of assessment show serious anomalies		
2B.6	Certification claims made before all the requirements of assessment are satisfied		
2B.7	Previously agreed corrective measures relating to level 2 non-compliance are not implemented		
	Examples of non-compliance	Sanction	Rationale
3.1	Significant faults in the management and quality assurance of the programme which result in an ongoing failure to meet the core requirements for the conduct of assessment	Level 4: Withdrawal of centre approval for specific qualifications	Irretrievable breakdown in management and quality assurance of specific qualifications
3.2	Previously agreed corrective measures relating to a level 3 non-compliance have not been implemented		
	Examples of non-compliance	Sanction	Rationale
4.1	Significant faults in the management and quality assurance of all programmes	Level 5: Withdrawal of centre approval for all qualifications	Irretrievable breakdown in management and QA of specific qualifications
4.2	Previously agreed corrective measures relating to a level 4 non-compliance have not been implemented		