

Youth and Community Work
Training Centre



Policies & Procedures

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Access to Fair Assessment Policy

1. Policy Statement

This policy covers YFWM's requirements for Equality of Opportunity, Diversity and considerations for Special Access and Particular Assessment Requirements for learners. The policy details YFWM's commitment to Equality of Opportunity and Diversity.

As a training provider, we must have in place the necessary systems and procedures to allow the provision of access arrangements, including reasonable adjustments. These should reflect the needs of individual learners and must also ensure that assessment continues to enable a valid, reliable and consistent judgement to be made about achievement of learning outcomes against the stated assessment criteria.

2. Statement of Assessment

We aim to provide a variety of qualifications which provide all Learners with the opportunity to achieve their full potential by the most appropriate and direct route.

Our Assessment Policy is based on the concepts of equality, diversity, clarity, consistency and openness. We will endeavour to ensure that the assessment processes are implemented in a way which is fair and non-discriminatory.

Access arrangements allow learners to show what they know and can do without changing the demands of the assessment. For example, through the use of readers, scribes and Braille question papers. Access arrangements are agreed before an assessment. They allow learners with special educational needs, disabilities or temporary injuries to access the assessment.

Access learners are made aware of the existence of this policy and have open access to it. All tutors are made aware of the contents and purpose of this policy. This policy is reviewed annually and may be revised in response to feedback from Learners, tutors and external organisations.

3. What learners can expect from us

- We aim to ensure that all assessment of work is carried out fairly and in keeping with the Awarding Organisations requirements.
- All Learners assessment work will be assessed fairly against the qualification standards and teachers involved will be fully trained.
- Internal assessments will be carried out fairly and according to Awarding Organisations instructions.
- Externally marked assessments, tests and exams will be according to the requirements of the Awarding Organisation.

Learners can also expect:

- To be fully inducted onto a course/qualification and given information that can be shared with employers, parents and carers if required.
- Learning outcomes, performance criteria and other significant elements of learning and assessment to be made clear at the outset of the course and when assessments/assignments are set.
- To be given appropriate assessment opportunities during the course with feedback provided on the quality of the work.

Where equivalents and exemptions can be applied, we will ensure this is pursued with the relevant Awarding Organisation, and where applicable RPL/APL to be applied, including QCF Credit Transfer. Teachers (anyone involved in the assessment of learners) must consider the following points when determining suitable access arrangements:

- What arrangements are suitable for the qualification?
- The learner's normal way of working (eg support normally given in lessons or the workplace)
- Details of how specific access arrangements would work in an assessment
- Whether evidence or an application to the Awarding Organisation is required
- Any assistance from the Awarding Organisation that may be required to put the arrangements in place

For specific vocational qualifications (this will be explained in the learners' induction onto the course), learners must achieve the required number of unit credits to gain the full qualification. They must meet all the learning outcomes and assessment criteria.

It may be possible to achieve a certificate of unit credit where the learner is not able to achieve the full qualification. Where health and safety forms part of the qualification requirements, the learner will need to provide evidence that they can meet the learning outcomes of the qualification.

Assumptions about health and safety implications must be avoided; where there is reason to think that in particular circumstances there is a risk for the learner then YFWM must carry out and document a full risk assessment. This assessment must reference individual circumstances and be carried out by a competent and qualified person. It must take account of any access arrangements which might reduce or remove the risk. If there is any doubt about the acceptability or appropriateness of an access arrangement, YFWM will consult with the appropriate Awarding Organisation.

4. Languages other than English

There is an implicit assumption that someone holding a certificate in England will have a competence in English at least to the level of the qualification. This is reflected in the regulations laid down by Ofqual and other qualification regulators, as appropriate. For learners whose first language is not English, it is not sufficient for them to be competent to operate only in the context of their first language.

The Ofqual document '**Regulatory Arrangements for the Qualifications and Credit Framework (2008)**' has regulations in place for the assessment being carried out in languages other than English. This document applies to all accredited qualifications within the QCF. It has a further statement that it is the Awarding Organisations responsibility to ensure that '...lack of proficiency in English, does not prevent the learner from properly carrying out the role that is supported by the qualification' (*paragraph 5.21(b) page 31*). If assessment is carried out in a language other than English, clear evidence must be provided that the learner is also competent in English, to the standard required for competent performance throughout the Great Britain.

5. Evidence of need

- YFWM must keep evidence on file for access arrangements.
- Awarding Organisations may ask to see copies of the evidence held for specific learners.
- YFWM must keep copies of access arrangements confirmations from the Awarding Organisations.
- The learner should always be consulted by the centre before an access arrangement is made by YFWM, or an application is submitted to the Awarding Organisation.

6. Learners with learning difficulties

- Diagnostic assessments of reading, comprehension, writing, spelling or cognitive processing, as appropriate, should have been given.
- Specialist teachers / educational psychologists should keep on file in the centre the tests which were given.
- The assessments that are needed will vary, depending on whether up to 25% extra time is being requested, a reader or a scribe is needed.

For example, if YFWM is applying for a reader and no other arrangements, we do not need to include the results of a spelling test.

Where an assessment requires the learner to demonstrate practical competence or where criteria have to be met fully, or in the case of qualifications that confer a Licence to Practice, it may not be possible to apply special consideration. Special consideration should not give the learner an unfair advantage; the learner's result must reflect their achievement in the assessment and not necessarily their potential ability.

7. Cheating and Plagiarism

A fair assessment of Learner's work can only be made if that work is entirely the Learner's own. Therefore Learners can expect an Awarding Organisation to be informed if:

- The learner is found guilty of copying, giving or sharing information or answers, unless part of a joint project.
- The learner uses an unauthorised aid during an assessment, test or examination.
- The learner copies another learner's answers during an assessment, test or examination.
- The learner talks during an assessment, test or examination (unless required to do so for the assessment, test or examination).

All allegations of cheating and plagiarism will lead to a full investigation which will follow the guidance of the relevant Awarding Organisation and/or JCQ (Joint Council for Qualifications). If a learner feels they have been wrongly accused of cheating or plagiarism, then they have the right to be referred to the Compliments and Complaints Policy.

8. General guidance

YFWM must consider any access arrangements that may be required before a learner is enrolled on to a qualification. An arrangement must not invalidate the learning outcomes or assessment criteria and where possible must reflect the learner's normal way of working within the training environment or workplace.

- Access arrangements must be put in place before the learner begins any assessment.
- YFWM must make sure access arrangements are suitable for the assessment before the learner starts working on it.
- A learner must not receive marks for something somebody else has done. For this reason, a practical assistant is not usually permitted in practical units.
- External Quality Assurers from Awarding Organisations must be able to sample the work of any learner selected for sampling at the centre. This means that in some cases - e.g. where the learner has produced work in Braille - YFWM must produce a transcript.
- Health and Safety may be a concern for some qualifications, and this must be taken into consideration when agreeing suitable access arrangements.
- Where an access arrangement has been put in place, the Internal Quality Assurer (IQA) must ensure that records are kept for quality assurance purposes.

9. Special Consideration

Special consideration may be given following a dated examination for learners who are present for the examination but may have been disadvantaged, for example, by temporary illness or adverse circumstances during the assessment.

Where an assessment requires a competence, criterion or standard to be met fully or in the case of a Licence to Practise it may not be possible to apply special consideration.

10. Teachers' responsibilities

Teachers (anyone involved in the assessment of learners), must consult the Awarding Organisations requirements for Access to Fair Assessment, and follow the specific guidance in their Access Arrangements and Reasonable Adjustments Policy. They must communicate with the YFWM lead, and ensure that any Access Arrangements and/or Reasonable Adjustments are passed on for approval and processing with the Awarding Organisation.

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Compliments and Complaints Policy

1. Objectives

The objectives of YFWM's compliments and complaints policy are to provide a procedure which:

- is simple for learners to use and is equally accessible to all
- deals with problems as close to their source as possible and as quickly as possible
- ensures that compliments are relayed to the staff or associates concerned
- gives learners confidence that their comments are listened to and that their complaints are being dealt with effectively
- takes action to solve problems and generates a positive attitude to feedback
- seeks to learn from feedback and prevent the recurrence of problems
- generates a consistent approach to compliments and complaints throughout the organisation
- ensures all YFWM activities are compliant with GDPR

2. Eligibility to Complain

The following are eligible to complain:

- Any individual or group receiving a service from YFWM. This includes children and young people where appropriate
- Any commissioner who is unhappy with the quality of service, or contract compliance

3. Response

Complaints will be accepted by text, email, telephone, in writing or in person and acknowledged by letter or email. Responses to complaints will be in writing. The standard for responding to a complaint is to send an acknowledgement within 5 working days and a full response within a further 15 working days. This does not apply to complaints that fall within the statutory complaints process which may have a different timescale.

4. Remedies

The approach to remedies will be based on appropriateness, timeliness and consistency of application.

To minimise the risk of complaint, feedback and evaluation forms are provided by YFWM to all commissioners and on all training programmes. All evaluation findings are presented to the commissioner as part of the planned project approach, and associates are provided with all evaluation materials relevant to the projects they are engaged in.

Where a complaint is made, this will be handled by the CEO or a member of the Board within the timescales outlined above. This will be done through contact with the commissioner of any project in the first instance and then with any other complainant as appropriate. An agreed plan of action will be made by the CEO and commissioner.

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Confidential Information and Data Protection Policy

1. Introduction

This policy applies to all staff and partner organisations of YFWM. The data covered by the confidentiality policy includes:

- Information about the organisation, for example, its plans or finances
- Information about other organisations
- Information about individuals, for example, learners, volunteers and staff whether recorded electronically or in paper form

All staff, partners and others who work with YFWM must respect the need for confidentiality of information held about anyone coming into contact with the organisation, and about any company business. This is expected to continue even when contact has ceased with this person, and when the volunteer or staff member no longer works for YFWM.

2. Information about individuals

YFWM is committed to ensuring confidential services to all individuals. The confidentiality is between the individual and the organisation, not the members of staff delivering a particular service. Confidential information will not be sought from a learner unless expressly in the interests of that learner, i.e. to enable a better service delivery.

Information will only be passed to another agency or to other individuals outside of the organisation with the consent of the learner, where possible this will be with written consent. If a member of staff or volunteer intends to get information from another agency to help the client or to refer them to another agency then this must be explained to the learner and their permission given.

No personal information about staff, volunteers or learners will be given to any third party including a member of their family, without their consent. Information will only be divulged on a “need to know” basis.

Information will be treated in confidence and will not be divulged to anyone outside the organisation except where extenuating circumstances exist (see below). However, in order that we can provide the best possible help to our learners it may be necessary to share information with a manager or colleagues within YFWM.

3. Use of client information for publicity, reporting or training purposes

YFWM will provide appropriate information about the impact of our services. If one of our services has an outcome which would provide useful material for publicity, reporting or training purposes, then wherever possible the permission of the learner will be sought in writing before the story is told to anyone else. If permission cannot be obtained, then any details that would enable identification of the learner will be changed.

4. Limits to learner confidentiality

In certain circumstances YFWM reserves the right to break confidentiality should this be deemed necessary. These circumstances include:

- If a member of staff believes that a client could cause danger to themselves or to others.
- If a member of staff suspects abuse or has knowledge of abuse or safeguarding concerns
- If the client gives information which indicates that a crime has been committed
- If disclosure is required by law, for example, by the police
- If a person is felt to lack the mental capacity to make a decision. In such cases staff or volunteers will discuss with a manager and they will only act in the client's best interest.

The decision on whether to break confidentiality will be decided on a case by case basis and always in conjunction with the CEO.

5. Access to data

This policy operates on a "need to know" basis and apart from staff and volunteers in the office of YFWM no-one will have access to learner or organisational information unless it is relevant to the service or their work.

All clients and customers have the right to request access to all information stored about them, and have a right to see a copy of this confidentiality policy on request.

6. Data Protection

The company is registered as a data controller with the Information Commissioner's Office and has robust and compliant systems for collecting, storing and providing the required data specified within the tender specification.

7. Evaluation and Monitoring

All staff and partner organisations will be given a copy of this policy when they join YFWM and will sign the confidentiality statement stating that they will abide by this policy.

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Conflict of Interest Policy

This policy applies to board members, senior staff and partners

1. Why have a policy?

Board Members have an obligation to act in the best interests of YFWM, and in accordance with YFWM's governing document. Staff and volunteers have similar obligations. Conflicts of interests may arise where an individual's personal or family interests and/or loyalties conflict with those of YFWM.

Such conflicts may create problems; they can:

- Inhibit free discussion;
- Result in decisions or actions that are not in the interests of YFWM; and
- Risk the impression that the board has acted improperly.

The aim of this policy is to protect both the organisation and the individuals involved from any appearance of impropriety.

2. The declaration of interests

Accordingly, we are asking Board Members, senior staff and partners to declare their interests, and any gifts or hospitality received in connection with their role in YFWM. A declaration of interests form is provided for this purpose, listing the types of interest you should declare.

To be effective, the declaration of interests needs to be updated at least annually, and when any changes occur.

If you are not sure what to declare, or whether/when your declaration needs to be updated, please err on the side of caution. If you would like to discuss this issue, please contact the Board for confidential guidance. Interests will be recorded in YFWM's register of interests, which will be maintained by the CEO.

3. Data Protection

The information provided will be processed in accordance with data protection principles as set out in the GDPR requirements. Data will be processed only to ensure that Board Members and senior staff and partners act in the best interests of YFWM. The information provided will not be used for any other purpose.

4. What to do if you face a conflict of interest

If you are a user of YFWM services, or the carer of someone who uses YFWM services, you should not be involved in decisions that directly affect the service that you, or the person you care for, receive. You should declare your interest at the earliest opportunity and withdraw from any subsequent discussion. The same applies if you face a conflict for any other reason. You may, however, participate in discussions from which you may indirectly benefit, for example where the benefits are universal to all users, or where your benefit is minimal.

If you fail to declare an interest that is known to the YFWM secretary and/or chair of the Board, they will declare that interest.

5. Decisions taken where a board member or member of staff has an interest

In the event of the board having to decide upon a question in which a Board Member or member of staff has an interest, all decisions will be made by vote, with a simple majority. A quorum must be present for the discussion and decision; interested parties will not be counted when deciding whether the meeting is quorate.

Interested board members may not vote on matters affecting their own interests. They must absent themselves from the discussion.

All decisions under a conflict of interest will be recorded by the YFWM secretary and reported in the minutes of the meeting. The report will record:

- The nature and extent of the conflict;
- An outline of the discussion;
- The actions taken to manage the conflict.

Independent external moderation will be used where conflicts cannot be resolved through the usual procedures.

6. Managing contracts

If you have a conflict of interest, you must not be involved in managing or monitoring a contract in which you have an interest. Monitoring arrangements for such contracts will include provisions for an independent challenge of bills and invoices, and termination of the contract if the relationship is unsatisfactory.

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Equal Opportunities Policy & Practice

1. Policy Statement

YFWM has a strong commitment to the principles of equality of opportunity and all associates and staff must apply these principles to their work with learners. We will not tolerate discrimination.

2. Definition

We consider discrimination to be the use of prejudice & power to deny groups of people and individuals their legitimate rights, aspirations and opportunities – causing them to experience detriment and loss of benefit. We believe that the purpose of effective work with young people is to enable them to achieve their full potential regardless of their background, gender, sexuality, ethnicity or ability.

3. Practice

We expect that all associates have a thorough and up to date knowledge of all relevant legislation including the Equality Act (2010), the United Nations Convention on the Rights of the Child (1989) and the Human Rights Act (1998).

Additionally:

- All associates must have a current DBS certificate, and this will be seen by the CEO who will record the DBS details in line with best practice guidance. All DBS checks must be renewed every 3 years.
- All training materials and printed documents will be free from stereotyping and ensure good representation of the local population and present positive images of staff and young people.
- All focus groups and training sessions will include a 'ground rules' or 'learning principles' statement to ensure that participants are aware of the significance of equal opportunities within sessions and understand that discrimination will not be tolerated.
- Written reports will ensure that the views of as wide a range of the population are represented as possible, through negotiation with the commissioner.
- YFWM Project Managers will quality assure all written reports to ensure that they are free from stereotyping or discriminatory language or ideas.
- YFWM will actively seek out contracts that challenge discriminatory behaviours, policy or practice in the youth field.

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Health & Safety Policy

This is the statement of general policy and arrangements for YFWM. Overall and final responsibility for health and safety is that of Ruth Rickman-Williams (CEO). Day-to-day responsibility for ensuring this policy is put into practice is delegated to all staff and associates

STATEMENT OF POLICY	RESPONSIBILITY	ACTION/ARRANGEMENTS
To prevent accidents and cases of work-related ill health and provide adequate control of health and safety risks arising from work activities.	Ruth Rickman-Williams CEO	Annual evaluation of workstation by CEO to include equipment, furniture and work environment. All computers, VDU's, laptops, hardware & software are renewed within a 3 year period to ensure staff and associates have good quality equipment. Workstation has adjustable chair and desk lamp.
To ensure adequate training to ensure employees and associates are competent to do their work.	Ruth Rickman-Williams CEO	All staff are associates and responsible for undertaking their own training. CEO checks relevant training qualifications and DBS checks prior to award of any contracts. All associates are provided with a written contract for each project, to include responsibilities for H&S when working off site
To engage and consult with employees on day-to-day health and safety conditions and provide advice and supervision on occupational health.	Ruth Rickman-Williams CEO	Ensure all incidents are logged and a record kept Annual associates meeting to consider health and safety on-site and off-site requirements.

To implement emergency procedures – evacuation in case of fire or other significant incident.	Ruth Rickman-Williams CEO	To be carried out by Staff and Associates when working off site Fire evacuation procedure in place, to be reviewed annually.
To report any required incidents to the H&S Exec	Ruth Rickman-Williams CEO	Reports forwarded to the H&S Exec where required
Health and safety law poster is displayed:	Associates to identify when in off-site location	
First-aid box and accident book are located:	Associates to identify when in off-site locations Accidents and ill health are reported under RIDDOR	

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Internal Moderation of Assessment Policy & Procedures

1. Objectives

This document provides guidance for the Training Centre to undertake effective internal moderation, with the goal of ensuring:

- a) Assessment remains fit for purpose by monitoring the learner's journey throughout their time at the centre
- b) Assessment decisions are made by occupationally competent assessors
- c) Assessors' decisions are:
 - made on fair assessment practice in accordance with the qualification specification and requirements for centre recognition
 - applied accurately and consistently according to the expected assessment standard specified by the assessment criteria related to the learning outcome in a unit of qualification at a particular level according to the unit/qualification Level Descriptors
 - recorded accurately
- d) Assessors are developed and supported
- e) The Centre is ready for the external moderation

2. Policy statement

The Centre must have qualified Internal Moderators to meet the objectives as mentioned in section (1) above. These moderators must undertake internal moderation according to the process as developed and implemented by the Centre keeping in view of the best practice mentioned in section (5) below and any other requirements by YFWM.

3. Role of the internal moderator

Internal moderators must be qualified and occupationally competent. They review and manage the assessment process within the Centre such that it meets YFWM's requirements. Internal moderators should use a risk-based approach to ensure assessment remains fit for purpose, and that valid certification claims are made for learners.

4. Guidance for undertaking internal moderation

The internal moderator will carry out moderation according to YFWM's requirements relating to the Centre, and the qualification being assessed. YFWM will provide a job description specifying their responsibilities within the Centre. The role may include:

- a) documenting the assessment and internal moderation processes, procedures and practices
- b) ensuring the assessment remains fit for purpose throughout the delivery of the qualification by monitoring the assessment activities
- c) monitoring the Learner's journey throughout their time at the Centre
- d) interviewing Learners, Assessors and other staff
- e) planning and carrying out sampling of the assessed work

- f) ensuring the assessment decisions are:
 - based on fair assessment practice in accordance with the qualification specification and requirements for Centre recognition
 - applied accurately and consistently according to the expected assessment standard specified by the assessment criteria related to the learning outcome in a unit of qualification at a particular level according to the Level Descriptors
 - recorded accurately
- g) leading standardisation activities with Assessors to ensure the accuracy and consistency of assessment decisions between assessors and internal moderators
- h) developing and supporting Assessors such that they interpret, understand and consistently apply the correct standards and requirements
- i) facilitating external moderation

5. Operation of the internal moderation process

The internal moderator must be familiar with the assessment criteria to make valid and reliable decisions. The key for best practice to undertake internal moderation is to ensure that all assessed work is:

- a) **Valid** - that the assessed work meets the expected assessment standards specified by the relevant assessment criteria
- b) **Authentic** - the assessed work is authentic and produced by the learner
- c) **Reliable** - that the assessed work accurately reflects the Learner's consistent performance in achieving the expected assessment standards specified by the assessment criteria in relevant learning outcomes within a unit at a particular level
- d) **Current** - that the evidence assessed by the Assessor is up to date with the knowledge, skills and understanding required to meet the expected assessment standard specified by each assessment criteria in relevant learning outcomes within a unit
- e) **Sufficient** - that the assessed work is sufficient that it fully meets the assessment criteria and enables the assessors to make valid and reliable judgements
- f) **Fair** - that the evidence assessed by the Assessor accurately reflects that the learner had access to fair assessment and that any needs for Access Arrangements, Reasonable Adjustments or Special Consideration were met

There are many risk factors that you should consider when planning internal moderation activities, as they likely to impact on your role such as:

- Assessors' qualification and experience
- Assessors who assess the same unit among different group of learners
- Whether learners have been registered with YFWM comply with its requirements
- Workload of assessors
- Type and level of qualification with its requirements
- Assessment methods and types of evidence to meet the assessment criteria
- Meeting the learners' need to provide fair assessment
- Authenticity of learners' work

The Internal Moderator should perform their role as follows:

- Plan what will be monitored, from whom and when
- Meet with Learners
- Observe Assessor performance and provide developmental feedback
- Sample assessment records including the Learners' work and Assessor decisions
- Facilitate the standardisation of assessor practice
- Support learners and assessor

6. Planning the internal moderation

YFWM recommends planning a robust internal moderation in three parts:

a. Observation Plan

The internal moderator should observe each assessor over a period to ensure they adhere to the assessment process and perform effectively, making correct decisions and giving feedback to learners.

Observing the same unit across different assessors will aid the standardisation objective and discussion as a way of ensuring consistency of assessment practice.

b. Sample Plan

The internal moderator should identify what you will sample and from whom and when. They must record dates of interim or summative sampling to track when it has been taken. You should plan your sample in percentage; for example 30% from each assessor or learner over time.

In planning a sample, consider the following factors:

- **Assessors** - qualifications, experience, workload, locations
- **Learners** - particular requirements, ethnicity, locations
- **Assessment Methods** - range of assessment methods used to enable the learner to produce evidence
- **Records** - assessment records, Assessors judgements and feedbacks given

c. Standardisation Plan

The internal moderator should conduct meetings between all Assessors to discuss any Assessor actions, during delivery and assessment, needed to maintain consistency of their practise.

The internal moderator should devise an agenda for this purpose and take minutes during meetings. They should also provide terms of reference by which to conduct these standardisation meetings.

7. Monitoring assessment practice

a. Observing the Assessors

- Observe the Assessors in action during assessment and provide them with feedback towards improving their performance
- Consult Assessors' records
- Consider using a checklist: this can form part of Assessors' "Personal Development Plan"

b. Talking with learners

The Internal Moderator should talk to Learners to gain feedback about assessment practices. They should ensure that Learner's assessment needs are met by checking that they:

- know what they are working to achieve a qualification according to their action plan and how much progress they have made
- understand the assessment process
- know their role to produce evidence to meet the expected assessment standard specified by each assessment criteria in relevant learning outcomes within a unit
- have confidence in their assessor
- understand the requirements on qualification specification, recognition of prior learning, claiming process for exemption, equivalent units, credit transfer, reasonable adjustments, special consideration, complaints procedure and appeals process

Feedback collected should be provided to the Assessor as soon as possible after the observation.

c. Interim sampling (part-way through each Learner's progress)

The Internal Moderator should get involved in the assessment from the time the Assessor starts delivery and assessment of the qualification. This provides an opportunity to develop the team of Assessors. They should review assessment planning and Learner action plan for completion of a qualification. This review will include:

- which unit will be completed and how they will be assessed within a timescale,
- effectiveness of the learners' progress within a qualification by reviewing the quality of the feedback given to the learner by Assessor.

Involvement during delivery will enable the Internal Moderator to identify any training needs, support and development for the Assessor at an early stage.

d. Summative sampling (at the completion stage)

The Internal Moderator will ensure the quality of the Assessors' work, plans and feedback records are documented, and that decisions are valid and reliable. They will evaluate how the Assessor has made their decisions. They should look at the assessment records to ensure that the assessed work satisfies the criteria outlined in (5) above.

Following the summative sampling the internal moderator will assure that:

- all required records and documents are fully completed
- all assessment decisions are correct
- there are adequate assessment plans and feedback records
- all requirements have been met, enabling the certificates to be claimed

The Internal Moderator must record sampling in such a way as to be able to provide feedback to assessors and justify the moderation decision.

e. Standardisation activities

The Internal Moderator must standardise assessment judgments to ensure that:

- Assessment and internal moderation requirements are interpreted accurately
- Assessors and internal moderators make comparable, fair, valid and consistent decisions over different units or qualifications within the same centre
- Assessment remains fit for purpose and learners have been assessed as detailed in (5) above

Following aspects can be standardised:

- Assessment activities
- How assessors interpret standards and requirements, and how they reach the decisions
- How learner evidence meets the requirements
- The way Learners' action plans are completed and monitored
- The way feedback is given
- The way evidence is collected
- Any improvement in the assessment records

The best way to achieve standardisation objectives is to ask Assessors to bring along Learners' assessed work for a unit along with supporting assessment records and ask them to reassess them. Following reassessment, a discussion can identify if all assessors are interpreting the required standards and assessment requirements in the same way - and therefore making the same decisions.

8. Developing and supporting Assessors

The Internal Moderator should guide, support and work towards Assessors' development. They must provide Assessors with:

- A well-structured induction
- Qualification specification
- Information about the Centre's processes, policies, procedures, guidance, resources and systems
- Information about Learners' assessment needs
- Ongoing feedback

It is good practice to keep a "Personal Record" for each Assessor, including information about occupational competence, previous experience and qualifications. The Internal Moderator should also keep a "Personal Action Plan" for each Assessor with agreed, realistic targets to address learning and development needs.

9. Record keeping

The Internal Moderator must keep the records for three years to justify their activities and to satisfy any external moderation requirements. They should keep records according to Centre record retention arrangements that will be notified to YFWM during the recognition process.

10. Facilitating external moderation

The Internal Moderator must facilitate the external moderator when they visit the centre to conduct moderation. They must provide the external moderator with records and information as required:

- Learner details
- Learner evidence files
- Assessor details
- Assessment records such as Learners' Action Plans and Unit Assessment Sheets
- Information to meet YFWM's requirements
- Internal moderators' records including the observation, sampling and standardisation records
- Records of claims for certification

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Learner Appeals Procedure

1. Purpose

The purpose of this procedure is to ensure that any appeal made by a learner in relation to examination or assessment decisions is dealt with fairly, objectively and without discrimination. To this end, learners may receive appropriate support to enable them to pursue their appeal.

2. Scope

This procedure covers all appeals that are made by learners in relation to assessment processes. The appeal procedure gives due consideration to any relevant national standards and or awarding organisation requirements.

3. Before appeal (procedure)

- a) If a learner is concerned about any part of the assessment process for any qualification, then they should first discuss problems with the appropriate assessor or tutor.
- b) If it is not possible for the learner to approach the assessor or tutor, then they should speak to another member of training centre staff.
- c) In the case of QCF qualifications - Awards, Certificates and Diplomas - if there is a disagreement with the assessment decision, the matter is referred to the relevant Internal Quality Assurer (IQA).
- d) In circumstances where a learner feels that they have sufficient and proper grounds to challenge decisions concerning the conduct or outcome of assessment and it has not been possible to resolve the problem through the consultation process as stated in (a), (b) and (c) above, they are entitled to appeal.
- e) Appeals should be made within 10 working days of a learner receiving the assessment outcome. However, it is accepted that in exceptional circumstances grounds for appeal may only come to light at a later date. If this is the case the learner should outline their grounds for appeal and reasons for the late submission of the appeal and these will be considered on a case-by-case basis at the discretion of the training centre. In all such cases the learner will receive a written response.
- f) Appeals may be made against:
 - The conduct of assessment
 - Opportunities available for assessment
 - Opportunities available for re-assessment
 - Appropriate coverage of the evidence assessed in terms of national standards and the awarding organisation requirements
 - Failure of the assessor to provide assessment agreed in the learner's assessment plan

4. Appealing against assessment decisions (procedure)

- a) The learner should lodge a formal appeal in writing and send it to the CEO of YFWM, who records it on the Formal Appeal document and reviews the appeal.
- b) If the CEO is unable to resolve the issue they will pass the appeal documentation to the Chair of the Board, who will acknowledge receipt by letter.
- c) On receipt of a formal appeal the Chair of the Board is required to investigate the situation and communicate the decision as to whether to take the appeal further to the student within ten working days of receiving the appeal from the CEO. (**Note:** queries with awarding organisations may take longer and up to 30 days. You will be informed if this is the case)

- d) If the Chair of the Board finds that there is valid reason for the appeal, an appeals panel is set up comprising:
- The Chair of the Board
 - An independent vocationally competent Assessor or Tutor
 - An independent vocationally competent Internal Quality Assurer
 - An independent Director
- e) Appeals are considered, recorded and a decision communicated in writing to the learner, and the relevant staff, within ten working days of the appeal being heard.
- f) Where, for good reason it is not possible to proceed with the appeal within that time scale, the learner is advised of the reason and is given the proposed date for the appeal to be considered.
- g) Outcomes of the appeals process may result in:
- Re-assessment of the learner evidence by the original assessor/IQA/lecturer
 - Re-assessment of the learner evidence by a different assessor/IQA/lecturer
 - The original decision being upheld
 - Advice being sought of the external quality assurer/moderator/awarding organisation
- h) If a learner considers that the centre has not conducted an appeal fairly, or that they have been discriminated against, they may appeal in the first instance to the awarding organisation, and if still dissatisfied to the QCA.

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Malpractice & Maladministration Policy

1. Introduction

This policy is aimed at our service users, including learners, who are delivering/registered on YFWM programmes or courses, approved qualifications or units within or outside the UK and who are involved in suspected or actual malpractice/maladministration. It is also for use by our staff to ensure they deal with all malpractice and maladministration investigations in a consistent manner.

It sets out the steps our centre, and learners or other personnel must follow when reporting suspected or actual cases of malpractice/maladministration and our responsibilities in dealing with such cases. It also sets out the procedural steps we will follow when reviewing the cases.

2. Training Centre Responsibility

It is important that all staff involved in the management, assessment and quality assurance of our qualifications, and learners, are fully aware of the contents of the policy and we have arrangements in place to prevent and investigate instances of malpractice and maladministration.

3. Definition of Malpractice

Malpractice is essentially any activity or practice which deliberately contravenes regulations and compromises the integrity of the internal or external assessment process and/or the validity of certificates.

It covers any deliberate actions, neglect, default or other practice that compromises, or could compromise:

- the assessment process;
- the integrity of a regulated qualification;
- the validity of a result or certificate;
- the reputation and credibility of YFWM; or,
- the qualification or the wider qualifications community.

Malpractice may include a range of issues from the failure to maintain appropriate records or systems, to the deliberate falsification of records in order to claim certificates.

For the purpose of this policy this term also covers misconduct and forms of unnecessary discrimination or bias towards certain or groups of learners.

Examples of malpractice

- Failure to carry out internal assessment, internal moderation or internal verification in accordance with our requirements
- Deliberate failure to adhere to our learner registration and certification procedures.
- Deliberate failure to continually adhere to our centre recognition and/or qualification approval requirements or actions assigned to your centre
- Deliberate failure to maintain appropriate auditable records, e.g. certification claims and/or forgery of evidence
- Fraudulent claim(s) for certificates
- Intentional withholding of information from us which is critical to maintaining the rigour of quality assurance and standards of qualifications
- Collusion or permitting collusion in exams/assessments
- Learners still working towards qualification after certification claims have been made
- Plagiarism by learners/staff
- Copying from another learner (including using ICT to do so)

4. Definition of Maladministration

Maladministration is essentially any activity or practice which results in non-compliance with administrative regulations and requirements and includes the application of persistent mistakes or poor administration.

Examples of maladministration

- Persistent failure to adhere to our learner registration and certification procedures.
- Persistent failure to adhere to our centre recognition and/or qualification requirements and/or associated actions assigned to the centre
- Late learner registrations (both infrequent and persistent)
- Unreasonable delays in responding to requests and/or communications from YFWM
- Inaccurate claim for certificates
- Failure to maintain appropriate auditable records, e.g. certification claims and/or forgery of evidence
- Withholding of information, by deliberate act or omission, from us which is required to assure Active

5. Process for making an allegation of malpractice or maladministration

Anybody who identifies or is made aware of suspected or actual cases of malpractice or maladministration at any time must immediately notify the CEO of YFWM. In doing so they should put them in writing/email and enclose appropriate supporting evidence.

All allegations must include (where possible):

- Learner's name and registration number
- YFWM's or partners staff members name and job role - if they are involved in the case
- Details of the course/qualification affected or nature of the service affected
- Nature of the suspected or actual malpractice and associated dates details and outcome of any initial investigation carried out by the centre or anybody else involved in the case, including any mitigating circumstances

The CEO or Board member will then conduct an initial investigation prior to ensure that staff involved in the initial investigation are competent and have no personal interest in the outcome of the investigation.

In all cases of suspected malpractice and maladministration reported we'll protect the identity of the 'informant' in accordance with our duty of confidentiality and/or any other legal duty.

6. Confidentiality and whistle blowing

Sometimes a person making an allegation of malpractice or maladministration may wish to remain anonymous. Although it is always preferable to reveal your identity and contact details to us; however if you are concerned about possible adverse consequences you may request that YFWM do not divulge your identity.

While we are prepared to investigate issues which are reported to us anonymously we shall always try to confirm an allegation by means of a separate investigation before taking up the matter with those the allegation relates.

7. Responsibility for the investigation

In accordance with regulatory requirements all suspected cases of maladministration and malpractice will be examined promptly by YFWM to establish if malpractice or maladministration has occurred and will take all reasonable steps to prevent any adverse effect from the occurrence as defined by Ofqual.

We will acknowledge receipt, as appropriate, to external parties within 48 hours.

Our CEO will be responsible for ensuring the investigation is carried out in a prompt and effective manner and in accordance with the procedures in this policy and will allocate a relevant member of staff to lead the investigation and establish whether or not the malpractice or maladministration has occurred, and review any supporting evidence received or gathered by YFWM.

8. Notifying relevant parties

Where applicable, our CEO will inform the appropriate regulatory authorities if we believe there has been an incident of malpractice or maladministration which could either invalidate the award of a qualification or if it could affect another awarding organisation.

Where the allegation may affect another awarding organisation and their provision, we will also inform them in accordance with the regulatory requirements and obligations imposed by the regulator Ofqual. If we do not know the details of organisations that might be affected, we will ask Ofqual to help us identify relevant parties that should be informed.

9. Investigation timelines and summary process

We aim to action and resolve all stages of the investigation within 10 working days of receipt of the allegation.

The fundamental principle of all investigations is to conduct them in a fair, reasonable and legal manner, ensuring that all relevant evidence is considered without bias. In doing so investigations will be based around the following broad objectives:

- To establish the facts relating to allegations/complaints in order to determine whether any irregularities have occurred
- To identify the cause of the irregularities and those involved.
- To establish the scale of the irregularities
- To evaluate any action already taken
- To determine whether remedial action is required to reduce the risk to current registered learners and to preserve the integrity of YFWM and the qualification.
- To identify any adverse patterns or trends

The investigation may involve a request for further information from relevant parties and/or interviews with personnel involved in the investigation. Therefore, we will:

- Ensure all material collected as part of an investigation must be kept secure
- If an investigation leads to invalidation of certificates, or criminal or civil prosecution, all records and original documentation relating to the case will be retained until the case and any appeals have been heard and for five years thereafter
- Expect all parties, who are either directly or indirectly involved in the investigation, to fully co-operate with us

Either at notification of a suspected or actual case of malpractice or maladministration and/or at any time during the investigation, we reserve the right to withhold a learner's, and/or cohort's, results.

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Safeguarding Policy

YFWM believes that it is always unacceptable for a young person or vulnerable adult to experience abuse of any kind and recognises its responsibility to safeguard the welfare of all young people or vulnerable adults by a commitment to practice that protects them from harm.

We recognise the welfare of the young person or vulnerable adult is paramount and all young people, regardless of age, disability, gender, racial heritage, religious belief and sexual orientation or identity have the right to protection from all types of harm and abuse.

YFWM will therefore:

- Raise awareness of the need to protect young people or vulnerable adults and reduce risks to them
- Work in partnership with young people, their parents, carers and other agencies to promote and safeguard young people's welfare
- Ensure that staff in contact with young people will have the requisite knowledge, skill and qualifications to carry out their jobs safely and effectively
- Ensure safe practice when working in partnership with other organisations
- Maintain an organisation that is safe for staff and young people and an environment where poor practice is challenged
- Make Line-managers responsible for assuring this
- Ensure that all staff, associates, volunteers, young people and Board members who will be working with young people consent to an enhanced Disclosure and Barring service check
- Ensure that all staff, associates, volunteers, young people and Board members are vetted in accordance with the requirements of the vetting and barring scheme.
- Ensure that when abuse is suspected or disclosed, it is clear what action must be taken
- Ensure the Chief Executive and members of the Directorate are accountable for the effective implementation of this policy
- Ensure that all staff receive a copy of the protection policy and safeguarding framework, are trained in their meaning and application and understand their responsibilities

These procedures are set within the wider context of YFWM's organisational policies and practice, which promote young people's interests across all aspects of their lives. All of YFWM's work is underpinned by the values and principles that YFWM advocates.

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