

Self-assessment Exemplar 3

Introduction

XYZ Awards is committed to continual improvement, as a business we feel it is important to keep reviewing and updating our business services, systems, policies and processes. We objectively review our business performance and practice on a rolling 12 month basis so that we are never static. We identify areas of change and improvement over the year and also identify opportunities for improvement in the future. The consideration and review of risk is also key to this and where we have faced risk then we record the measures we have implemented to avoid a recurrence.

Self-assessment Objectives

The purpose of this report and action plan is to:

- objectively review and evaluate our business performance and practices over the past 12 months
- identify where change and improvement has been made or where it is required in the future
- identify what we do well and what we could do better
- highlight where risk has occurred and what actions have been put in place to correct and prevent re-occurrence

Methodology

- We undertake an annual meeting with key stakeholders in Scotland as well as undertake specific visits to centres and employers to identify any strengths and weaknesses. These are then considered along with feedback from other nations
- At monthly team meetings, key successes and areas of concern are shared along with other key management information with all staff.
- We are recognised as an ISO 9001 and operate a system of regular internal audits covering all aspects of our business. These identify any corrective actions and also highlight key observations for improvement. Our processes and procedures are regularly reviewed and must be reviewed at least once a year to confirm that they are still relevant and valid.
- We have an agreed plan with our Audit Committee to review all our key policies on a rolling three year programme, or as changes occur. Some policies are identified as needing annual review.
- We have a 'Corporate Risk Register' which is reviewed monthly by the Senior Management Team. This identifies any actions required to mitigate any identified risk. The progress against these actions is tracked by the Quality and Compliance Manager and discussed at the monthly managers meetings. Formal reports are presented to the Audit Committee each quarter and to the Board every six months.
- The Quality and Compliance Manager records all complaints, feedback and opportunities to improve which have been identified by internal or external customers and tracks that action has been taken to address any areas of weakness.
- We undertake a detailed self-assessment programme to review our policies and procedures against a regulatory compliance matrix which is mapped to SQA's Regulatory Principles. This detailed review identifies areas for improvement. These actions are then summarised in to a self-assessment action plan which is maintained and regularly reviewed.

**XYZ AWARDS
SELF-ASSESSMENT REVIEW & ACTION PLAN**

Principle	Actions	Owner	Activity to date	Target Completion	Status
10, 2	Recruitment form to include an additional check on top of standard references requests if a new employee has come from another awarding organisation/training provider. Also check who needs to approve this and whether this should be extended to recent appointments.	HR	A revised form is now in place, which is now used for recruitment purposes.	Mar 15	Closed
1	Conflict of interest declaration to be included in staff terms and conditions.	HR/ Director	Conflict of interest added to staff terms and conditions. HR will circulate an annual reminder for staff to submit a declaration each year.	Mar 15	Closed
1	Review Adverse Effects Policy and process for awarding body and providers.	Quality + Compliance	Adverse Effects Policy has been reviewed and updated.	Mar 15	Closed
5	Check if provider monitoring visits review the number of staff and also whether there is a verification of the competence to undertake the delivery of qualifications.	Standards	This has been added to the requirements of provider monitoring visits.	May 15	Closed
5	The process for withdrawing a qualification is included in the provider handbook, however there is a need to change the document to make sure it covers providers withdrawing from one qualification or as many as the actions to protect the	Operations	The withdrawal process forms part of the provider agreement. Providers aware of the need to ensure that when withdrawing any provision learner protection is paramount.	April 15	Closed

Principle	Actions	Owner	Activity to date	Target Completion	Status
	interests of learners.				
9	The peer review of, and the piloting of qualifications are currently ad hoc in their nature. We need to formalise these processes so that we can further ensure the validity of qualifications.	Operations	<p>We will ensure that within 6-12 months that we conduct an initial review of qualification performance and therefore collect information on 'lessons learned' to enhance the existing provision and also inform future development.</p> <p>We have revised our process to factor in aspects of peer review with new technical leads and product groups and ensure we capture this 'peer review' as part of the development process.</p>	April 15	Closed
9	EV standardisation ensures reliability. In order to enhance this then we should sample check assessment record forms. Additionally it would be beneficial to track and monitor feedback from assessments, learner performance (eg pass/fail rates). We could also do more analysis on learner responses/answers to question items (test papers).	Standards	<p>Copies of assessment report forms are now requested and sample checks will be carried out. This will be a continuous exercise so no completion date can be sent.</p> <p>With the introduction of question bank software in Autumn 15 the management of information on learner responses and question performance will be improved.</p>	Ongoing	Monitor
9	Develop a report to review reasonable adjustments made by product annually to ensure that we have not inadvertently introduced any bias in the assessment which was not evident during the development.	Standards & Operations	Within the product development process there are measures in place to ensure that bias is minimised during the development process. However it would be beneficial to develop a report monitor this and provide assurance on an ongoing basis.	September 15	Open

Principle	Actions	Owner	Activity to date	Target Completion	Status
9	Product sign off form to be revised to include a check on the balance of any conflict between fitness for purpose requirements (eg reliability vs validity).	Operations	Product Report Form has been amended to include confirmation that Regulatory Principles have been adhered to in the development of the qualification.	Mar 15	Closed
11	We should ensure that we can track trends in reasonable adjustments, so that we can identify any feature of the assessment which could disadvantage a group or learners who share a particular characteristic.	Standards	Monthly reports will be monitored to ensure any common themes are picked up and addressed as part of the development and review process.	Ongoing	Monitor
9	All relevant guidance and regulatory documents will be stored on Intranet and any changes to documentation will be discussed at monthly management meetings.	Operations	This will be a continuous exercise so no completion date can be sent.	Ongoing	Monitor
9	Currently the Qualifications Manager signs off project report form. It is felt that a "Qualification sign off" form should be produced which would act as its own check of items to be approved which would include the title of the qualification for instance and ensure that it complies with the Regulatory Principles.	Qualifications Manager	Qualifications Report Form has been amended to include confirmation that Regulatory Principles have been adhered to in the development of the qualification.	June 15	Closed
9	We need to ensure that we capture the feedback from the peer review process and as such we should formalise this process so that we can further ensure	Operations	We will factor in aspects of peer review with new technical leads and product groups and ensure we capture this 'peer review' as part of the development process. For example	April 15	Closed

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	fitness for purpose		we can use writers with reviewers as part of a 'moderation-type' meeting when writing material for new qualifications.		
10	Qualification sign off needs to cover the content of the specification to ensure that it is clear, accurate and communicates, to the reasonable and informed person	A+R Manager	Qualifications Report Form has been amended to include confirmation that Regulatory Principles have been adhered to in the development of the qualification.	June 15	Closed
9	Qualification sign off form to include validation that the assessment of the qualification: a) Is fit for purpose b) Has an appropriate assessment method c) Is consistent with the content of the specification	A+R Manager	Qualifications Report Form has been amended to include confirmation that Regulatory Principles have been adhered to in the development of the qualification.	June 15	Closed
9	To ensure all options as to tasks which may be completed by a learner for the purposes of assessment are of the same level of demand. We need to start creating reports on pass fail rates by qual by centre by examiner/assessor. This must also cover ensuring that the level of demand is consistent with any specimen materials.	Standards & Operations	Although we do ensure all information is fed back in to the qualification review process we could introduce further rigour to this process by way of an analytical review pass/fail rates	September 15	Open
10	Review all quals to identify those which have special condition to ensure EV reports capture this information – as we	A+R Manager	Qualifications reviewed. No special conditions for assessment identified.	June 15	Closed

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	may have none				
11	Commission periodic plain English review of question papers	Operations	This will be included in the rolling programme of qualification reviews across 15/16 and further forward.	June 15	Closed
10	Qualification sign off must ensure that the content of the assessment is <ul style="list-style-type: none"> a) is fit for purpose b) is appropriate for the method of assessment chosen c) is consistent with the specification for that qualification 	Head of Operations	Revised Project progress report covers these requirements.	June 15	Closed
10	There is a need to ensure that we record and analyse information on assessor performance to ensure that assessment criteria are applied consistently regardless of the identity of the assessor, learner or centre. This will need to take the form of an analytical reviews	A+R Manager	Our standard setting process and verification processes ensure that we have effective arrangements in place to ensure that, as far as possible, the criteria against which learner performance is differentiated is applied consistently. Additional sample checks on assessor paper work have been implemented, this will be a continuous exercise so no completion date can be sent.	Ongoing	Monitor
10	We must ensure that any verification which we undertakes allows us effectively to determine whether or not: <ul style="list-style-type: none"> a) the assessment remains fit for purpose, and b) the criteria against which Learners' performance is differentiated are 	Standards	Our verification process allows us to determine if the criteria against which learners are differentiated is applied consistently. Although we do ensure all information is fed back in to the qualification review process we could introduce further rigour to this process by way of an analytical	December 15	Open

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	being applied accurately and consistently by Assessors in different centres, regardless of the identity of the assessor, learner or centre.		review of the information. As in other instances time has not permitted the development of a reporting mechanism, however we are compliant as we do review our qualifications.		
10	When setting a specified level of attainment for a qualification we must review the specified levels of attainment set for: a) the qualification previously, b) similar qualifications we make available	Head of Operations	This is part of the product development process, however we could have a more systematic approach to the reporting and recording of this information. An analytical improvement review is being conducted, however time has not permitted its completion.	December 15	Open
15	Where we issue any replacement certificate, we must ensure that the certificate is clearly identifiable as a replacement.	Services Manager	Certificate template on database – replacement certificates are marked as such database configured with template certificate.	June 15	Closed
15	We must maintain a record of all certificates and replacement certificates which we issue for our qualifications	Operations Manager	Records of certificates are held on the database, however this does not identify the certificate via the certificate number. We need to implement a system which will allow certificate numbers (those published on the certificate) to be tracked back to the learner	September 15	Open
15	Need to ensure that we have a process for revoking any certificate if the result on the certificate is false because of malpractice, maladministration, or is revealed to be	Operations Manager	We would take all reasonable steps to revoke any certificates issued in error, and in that sense Q+S do have a procedure with file notes being placed on the system	October 15	Open

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	inaccurate as a consequence of an appeals process		and efforts made to chase the certificates. However there is a need for this to be written down as a formal process rather than being a series of steps.		
4	The annual self-assessment submitted to SQA was incorrect. A statement of compliance was submitted not a self-assessment	A+R Manager	Discussion had with SQA to clarify requirements, updated documentation sent and new process in place to ensure that the issue does not repeat in the future to ensure that the report and action plan are approved by the Board before the end of June each year.	June 16	Open

Awarding Body	XYZ Awards
Accountable Officer Name	James Smith
Accountable Officer Signature	<i>James Smith</i>
Date	30 June 2015