
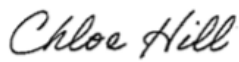
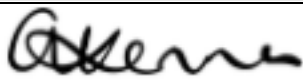


PMEL-MAN-001

Delivery of EAL Qualifications

APPROVAL AND AUTHORISATION			
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AMENDMENT HISTORY		
<i>Issue</i>	<i>Summary of Changes and Reasons</i>	<i>Date</i>
1	New document.	January 2019
2	Expanded conflict of interest section 3.2.	January 2019
3	Updated layout and formatting.	May 2020
4	Change of company logo.	August 2023
5	Update following EQA visit and inclusion of moderation role.	July 2024
6	New template.	July 2025
7	Merging all procedures together into one document.	20/03/2026
7	Updated to new format	29/04/2026

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1 PURPOSE

This document defines how PM Training & Assessing Ltd will deliver the training and assessment activities for the progression of EAL qualifications.

2 SCOPE

This procedure applies to all trainers, assessors, moderators, IQAs, managers and learners involved in the progression of vocational qualifications.

3 ROLES AND RESPONSIBILITIES OF THOSE INVOLVED

3.1 Assessment Centre Manager (ACM) & Lead Internal Quality Assurer (LIQA)

The responsibilities of the ACM will be outlined in a job description issued by PM Training & Assessing Ltd.

It is the ACM's responsibility to ensure that the appropriate standards set by the awarding body are kept and maintained. The ACM is the LIQA for PM Training & Assessing Ltd and will coordinate other IQAs involved in the training, assessment and internal quality assurance process. Within PM Training & Assessing Ltd the following responsibilities are defined for these roles.

If you are the **ACM**, you are required to:

- Ensure that appropriate recruitment and induction of new staff takes place.
- Ensure that all trainers, assessors, moderators, and IQAs are approved to carry out their duties and are provided with this PM Training & Assessing Ltd procedure.
- Ensure that each approved trainer and assessor is provided with the relevant assessment and training material that they are approved for.
- Ensure suitable sites are used for training.
- Liaise with the awarding body with regards to approvals and audits.
- Share the results of audits with all members of staff.
- Maintain a secure filing system holding records of assessments.
- Ensure that training and assessment records are internally verified and that records of these verifications are kept. Provide any feedback to trainers and assessors following these verifications as appropriate.
- Ensure internal quality assurance is carried out at a frequency compliant with national guidance.
- Ensure moderation is carried out at a frequency compliant with national guidance.
- Monitor staff training and development.
- Keep up-to-date with current good practice in assessing and quality assuring.
- Arrange formal meetings, with agendas, with all approved PM Training & Assessing Ltd trainers and assessors on a regular basis to ensure:
 - Assessors are briefed on any changes in standards
 - Standardisation of assessments are covered
 - Feedback on assessment practice is given
 - Results of EQA visits are given
 - Minutes of these meetings are produced and distributed to all trainers and assessors

3.2 Internal Quality Assurer (IQA)

The responsibilities of the IQA will be outlined in a job description issued by PM Training & Assessing Ltd.

The IQA is authorised to carry out internal quality assurance against the qualification's standards. The IQA must hold a nationally recognised IV/IQA qualification that is up to date with current practice. The IQA must demonstrate occupational competence in the area they are quality-assuring.

If you are an **IQA**, you are required to:

- Ensure that assessment decisions are correct and that there is consistency and quality from the assessors you are responsible for.
- Produce a sampling plan showing how training and assessments are to be monitored and provide this to the ACM for inclusion in the ACM records.
- Ensure that assessment records are internally quality assured and that records of these are kept. Provide any feedback to trainers and assessors as appropriate.
- Provide advice and support to assessors on evidence requirements and interpretation of standards.
- Monitor the professional development of the assessors who are responsible for
- Assist with any external quality assurance visits
- Induction of new assessors
- Carry out observation of assessors carrying out assessments to ensure that they carry out assessments against the current assessor standards
- Keep up to date with current good practice in assessing and quality assurance
- Undertake assessment of assessors using the Risk Profiling Tool to RAG rate trainers and assessors
- Arrange formal meetings within the area or discipline you are acting as IQA for (including agendas). These meetings will ensure that:
 - Trainers and assessors are briefed on any changes in standards
 - Standardisation of training and assessments is covered
 - Feedback on training and assessment practice is given
 - Minutes of these meetings should be produced and distributed to all assessors within the area/ discipline you are acting as IQA for. A copy of these minutes must be forwarded to the ACM.

3.3 Assessor

The responsibilities of the Assessor will be outlined in a job description issued by PMTandA.

The Assessor is authorised to carry out assessments against the qualification's standards. The Assessor must hold a nationally recognised assessor qualification and must be up to date with current practice. The Assessor must be competent in the area they are assessing.

If you are an **Assessor**, you are required to:

- Plan Assessments with candidates and line managers.
- Take account of any Prior Learning evidence provided by the candidate and its suitability for the qualification being undertaken.
- Provide candidates with advice and guidance on the requirements of the qualification.
- Carry out assessments to the current assessor standard, and complete documentation to the required standard.
- Provide feedback to candidates and line managers if required.
- Take an active role in assessor meetings and standardisation meetings.
- Assist with any external verification visits
- Maintain occupational competence.
- Keep up to date with current good practice in assessing and quality assurance.

3.4 Trainer

The responsibilities of the Trainer will be outlined in a job description issued by PMTandA.

The Trainer is authorised to carry out training against the Awarding Body standards. The Trainer must hold as a minimum a level 3 qualification in training and development. The trainer must be competent in the area they are training.

If you are a **Trainer**, you are required to:

- Plan training sessions.
- Ensure that all candidates receive joining instructions.
- Ensure that all resources are available for training sessions.
- Carry out training sessions to the required standards.
- Provide feedback to candidates and line managers if required.
- Ensure that all candidates have the resources they need for assessment
- Evaluate training sessions.
- Take an active role in trainer/assessor meetings and standardisation meetings.
- Assist with any external verification visits
- Maintain records of training delivered.
- Maintain occupational competence.
- Keep up to date with current good practice in assessing and verifying

3.5 DBS

If staff members are working with young or vulnerable people on a regular basis, they will be required to have a full DBS. If the DBS is not clear, the **ACM** will take advice from the Designated Safeguarding Lead and the Awarding Body as to whether the member of staff can continue in this role.

4 ASSESSMENT PROCEDURES

4.1 Registration of Assessor/ Trainer/ IQA

If you are the Assessor/ Trainer/ IQA, you will forward the following documents to the ACM:

- CV
- Copies of appropriate certificates

If you are the **ACM**, you will:

- Assess whether the Assessor/ IQA/ Trainer is competent to carry out duties
- Complete Assessor Risk Profiling Tool for each Assessor/ Trainer
- Create a file for the Assessor/ IQA / Trainer. This should include a copy of their CV and a copy of their certificates.
- Register Trainer/ Assessor/ IQA with the awarding body.

4.2 Registration of Candidate

If you are the **Learner**, you will

- Attend an introduction workshop to your qualification as appropriate.
- Provide photo proof of your identity which can be verified before you start training.

If you are the **ACM**, you will:

- Register the candidate with the Awarding Body through the required registration procedure, including a Unique Learner Number.
- Once the candidate has been registered forward the registration number to the candidate.

4.3 Preparing for Assessment

If you are the **Learner**, you will:

- With assistance, formulate an assessment plan that will detail how and where they will be assessed.
- Keep a record of the work that you have completed and place this in your portfolio, as per the assessment plan.
- Keep to agreed deadlines for assessments and come with agreed evidence

If you are the **Assessor**, you will:

- Assist the candidate in preparing for the assessment and support them throughout the assessment process, giving feedback as necessary
- Formulate an assessment plan with the candidate

4.4 Conducting Assessment

If you are the **Learner**, you will:

- Attend agreed meetings and training sessions.
- Bring the work you have completed and explain the relevance to the standards.
- Give feedback on the assessment process to the assessor.

If you are the **Assessor**, you will:

- Review the evidence the candidate has produced.
- Ensure that it is the candidate's own work
- Complete the appropriate paperwork,
- Give feedback to the candidate
- If competent, pass the portfolio with completed paperwork to the Internal Quality Assurer.

4.5 Internal Quality Assurance

If you are the **IQA**, you will:

- Ensure that assessment decisions are correct and that there is consistency and quality across the assessment standards, in accordance with the IQA Sampling Plan.
- Give feedback to the assessor by completing the 'Internal Quality Assurance Form'. Update IQA records and inform ACM of the result.

4.6 Moderation

If you are the **Moderator**, you will:

- Ensure that assessment grading is fair and reliable, and that there is consistency and quality throughout the assessment standards, in accordance with the Moderation Sampling Policy.
- Complete the Moderation form.
- Give feedback to the assessor by completing the 'Moderation Form' and inform **IQA** and **ACM** of the result.

4.7 Applying for Award

If you are the **ACM**, you will:

- Ensure portfolio and assessment material meet Awarding Body requirements.
- Apply for the award through the Awarding Body procedures.
- Upon receipt of the certificate, ensure that details of the qualification are entered into the computer database.
- Once the certificate is received, this should be passed on to the candidate.

4.8 Dealing with Candidates with Additional Training and Assessment Requirements

PMTandA take a positive approach to providing a range of assessment strategies and variations in training/ assessment methods to cater for candidates with additional learning requirements.

We will normally vary our training/ assessment arrangements, where the standards permit, to ensure candidates have access to a fair and reliable assessment. The nature of the arrangements depends largely on the scheme being followed, the individuals' training/ assessment requirements, and the availability of qualified assessors within the company.

It is recognised that occasionally there may be candidates who require special consideration with regard to the training/ assessment, advice should be sought from the IQA or ACM, who may get advice from the Awarding Body if necessary.

If you are the **Trainer/ Assessor**, you will:

- Prior to the training/ assessment commencing, invite candidates to make them aware of any special requirements.
- Agree on any changes in assessment methods with the candidate and IQA.

4.9 Plagiarism

Any written work may be based on the reading of sources or other materials, but the final document **must** be the candidate's own work. Plagiarism, whether from external sources (such as the internet) or other candidates, is taken very seriously by PMTandA. Candidates **must** produce their work in its **entirety**.

Learners should avoid including lengthy quotes in their text, even when properly acknowledged. All quotations and references to sources, or any other materials used in preparing the document, should be cited appropriately, with full bibliographic details listed in the references at the end. Candidates should also cite their sources even when paraphrasing or using their own words if these relate to the sources.

Any **Learners** found to be copying from another candidate or from an external source will be immediately referred to the Internal Quality Assurer. The **IQA** has the right to withhold access to assessment for the **Learner** or implement other appropriate sanctions. The **Learner** has the right to appeal these sanctions via the appeals procedure.

5 ASSESSMENT STRATEGY

5.1 Recruitment of Assessors

- All assessors will be recruited in line with the Equality & Diversity Policy.
- Assessors who are assessing Vocational Qualifications must have a nationally recognised assessor qualification and be up to date with current standards.
- Assessors must demonstrate occupational competence in the area they will assess and show evidence of recent, ongoing professional development. This must be acceptable to the relevant awarding body.
- Assessors must submit a CV and original certificates, which will form the basis for discussion with the relevant IQA. The IQA will then make a recommendation to the Centre Manager, who will have the final say on whether an assessor is appointed.
- The IQA will check the authenticity of certificates and take copies of the CV and certificates. These will be kept on file.
- Trainee assessors must be registered for a nationally recognised assessor's award and actively working towards achievement. They will be allocated a qualified assessor who will mentor them until they are qualified. Assessors are expected to achieve their qualification within 12 months.
- Assessors will agree and sign a contract with PM Training and Assessing Ltd.

5.2 Development of Assessors

- Assessors will be supported by an Internal Quality Assurer who is responsible for their development.
- The assessor and IQA will discuss the assessor's developmental needs at informal meetings.
- The IQA will keep assessors aware of training and development opportunities.
- The IQA will hold regular assessor meetings where general development issues will be discussed, and specific development needs will be addressed through:
- Standardisation (reviewing and judging other assessors' work, discussing assessment experiences, etc.)
 - Shadowing
 - Input on systems, procedures and documentation.
- The IQA will observe the assessor in the performance of their duties and provide feedback.

5.3 Assessment of Vocational Qualifications

The assessment process is:

1. PM Training & Assessing Ltd will register the candidate with the awarding body & ULN (Candidate Registration Form)
2. The IQA will ensure there is a process in place for matching candidates with assessors
3. The assessor and candidate will have an initial meeting (which may be part of a training course)
4. For each unit:
 - a. The assessor and candidate will plan the assessment together
 - b. The assessor will observe the candidate (if appropriate), and the candidate will collect evidence with advice from the assessor
 - c. The assessor will decide whether the evidence meets the required standard. The assessor will consider validity, authenticity, currency, and sufficiency.
 - d. The candidate will be given feedback (both written and oral)
 - e. If the evidence does not meet the standard, then advice will be given by the assessor
5. Assessments will be given to the IQA for sampling
6. Once all units are completed, approval must be gained from the awarding body to apply for the certificate
7. Assessors and candidates should keep in regular contact throughout the assessment process.
 - All assessments will adhere to the Equality & Diversity Policy and the Privacy Policy.
 - Assessors will consistently operate within the awarding body's Code of Practice.
 - Internal Quality Assurers should ensure that all assessors are familiar with the assessment process, awarding body requirements, and the paperwork required for the Vocational Qualification. If assessors need guidance on an assessment, they should seek advice from the Internal Quality Assurer.
 - All assessment decisions made by trainee assessors should be countersigned by a qualified assessor.
 - The assessor should go to the IQA for support and advice.

5.4 Independent Assessment

- Where an independent assessment is required by the standards, the independent assessor will assess part of the candidate's evidence. The part of the portfolio to be assessed will be identified and agreed upon with the IQA
- The independent assessor must not have been involved with the candidate at any stage of training or assessment.

5.5 Monitoring Assessment Practice

- The Internal Quality Assurer will sample the units of the Vocational Qualification in accordance with the IQA Sampling Strategy. The IQA will give written feedback to the assessor for each unit s/he looks at.
- The IQA will observe each assessor at least every 2 years.
- The IQA will run assessor meetings on a regular basis and provide feedback/ discuss any general issues. The IQA will also run standardisation meetings on a regular basis.

6 CONFLICT OF INTEREST POLICY

6.1 Definition of Conflict of Interest

A conflict of interest is a situation in which an individual or organisation has competing interests or loyalties.

6.2 Examples of Conflict of Interest

Conflicts of interest can arise in a variety of circumstances in relation to awarding organisation activities. For example:

- The training delivery function and the awarding function rest within one organisation, and the functions are not strictly delineated.
- An individual has a position of authority in one organisation, which conflicts with their interest in another organisation.
- An individual has personal interests that conflict with their professional position.
- An individual is carrying out work for PM Training & Assessing Ltd and has friends or relatives undertaking a qualification with us.
- A conflict between the official responsibilities of a Trainer/ Assessor/ IQA and any of their other interests, which could compromise, or appear to compromise, their decisions
- A person who is connected to the development, delivery or awarding of qualifications by the organisation has interests in any other activity that has the potential to lead that person to act contrary to their interests in development, delivery or awarding in accordance with the awarding organisation's conditions of recognition.
- A person assessing a close relative, i.e., a parent, grandparent, aunt, uncle, child, sibling, spouse, or partner.
- An informed and reasonable observer would conclude that any of the above situations is a conflict of interest.

This is **not** an exhaustive list, and staff/ contractors should contact the ACM to find out if a particular situation is deemed a conflict of interest or not.

6.3 Roles & Responsibilities

All trainers, assessors, moderators, and IQAs must declare to the ACM if they have a vested interest in a particular candidate or business. This may include being related to them, knowing them personally, or working with the company they are employed by.

You must not allow your personal interests or those of your close connections to influence your behaviour. When there is a conflict of interest between your appointment and your other business activities or interests, you must inform the ACM of the circumstances so that your suitability can be assessed.

7 IQA AND MODERATION STRATEGY

7.1 Management of Quality Systems

It is the IQA's responsibility to ensure that the following systems are in place and are maintained to meet the awarding body's requirements.

- Records of all assessors, Internal Quality Assurers and other staff involved in the assessment process and their qualifications.
- Lists of candidates and assessors.
- Progress and achievement of candidates.
- Monitoring of assessors, including assessor meetings, standardisation meetings, portfolio sampling and observation of assessors.

7.2 Recruitment of IQAs

- All IQAs will be recruited in line with the Equality & Diversity Policy.
- IQAs must have a nationally recognised IQA / IV qualification and be up to date with current standards.
- IQAs must prove to the lead IQA that they have a good knowledge of the area of work they will be verifying. This must be acceptable to the relevant awarding body and evidenced in the same way as assessors.
- The Lead IQA will check the authenticity of certificates and take copies of the CV and certificates. These will be kept on file.
- Trainee IQAs must be registered for the IQA award and be actively working towards achievement. IQAs are expected to achieve their qualification within 18 months.

7.3 Development of IQAs

- IQAs will be supported by the Lead IQA, who is responsible for their development.
- Each IQA will fill in a Personal Development Record every year which will be looked at by the Lead IQA. The Lead IQA and IQA(s) will discuss their developmental needs at an informal meeting.
- The Lead IQA will keep IQAs aware of training and development opportunities.
- The Lead IQA will have regular meetings at which general development issues will be raised and particular development needs will be met through:
 - Standardisation (looking at and making judgements on other assessor's work, discussion of assessment experiences etc.)

- Shadowing
- Input on systems, procedures and documentation.

7.4 Support for Assessors

The following support will be made available by the IQA for the assessors:

- Regular assessor meetings
- Regular standardisation meetings
- Review of Personal Development Records
- One to one meetings where appropriate
- On going e-mail and telephone support

The Centre Manager & Lead IQA will support the IQAs in the same way.

7.5 Monitoring of Assessors

IQAs are responsible for monitoring the quality of the assessments done by the assessors. This will be done in a number of ways:

- Sampling of candidates' portfolios
 - The IQA will sample the work of every assessor (see Sampling Strategy). The IQA will check that the assessor has checked that the evidence is Valid, Authentic, current, and Sufficient. The IQA will check that the evidence meets the standards and that the paperwork is completed correctly. Sampling may be interim or summative.
- Observation of assessors
 - Each assessor will be observed with a candidate. Each assessor will be observed at least every 2 years. A record will be kept in the assessor's file.
- Standardisation meetings
 - The IQA will have regular standardisation meetings at which assessors will bring along assessments they have carried out for other assessors to discuss. The IQA will facilitate the meeting and discussions over new assessment criteria and/or new documentation.
- Informal discussions with assessors
 - The IQA will take into account the discussion they have with each assessor.

7.6 IQA Sampling Strategy

This strategy provides checks and support for the three key stages of assessment:

- Selecting and/or devising and/or modifying assessments
- Applying assessments
- Making assessment decisions

Assessments will be sampled during and after the assessment to ensure consistency throughout the process.

The IQA will apply CAMERA when selecting assessments to verify. CAMERA being:

Candidates	Ethnic origin, age, gender, other factors, additional requirements etc.
Assessors	Experience and qualifications, workload, occupational expertise
Methods of Assessment	Questioning, observation, testimony, APL, simulation, product evidence, assignments & projects
Elements of Assessment	Problem areas, assessment requirements i.e. requirement of observation
Records	Reports from assessors, correct assessment practices, IQA records, candidate portfolios
Assessment Locations	Workplace assessment locations

The number of assessments sampled will be based on:

- Trainee Assessors
 - All assessments will be looked at and countersigned. This will include interim verification and summative verification.
- New Assessors
 - Assessors who are assessing for PMTandA for the first time will have all of their first portfolio sampled so that all aspects of the assessment have been covered. This will include summative verification.
- Assessors assessing a new unit
 - Assessors who are assessing a unit for the first time will have all of their first portfolio sampled so that all aspects of the assessment have been covered. This will include summative verification.
- Experienced Assessors
 - For each portfolio the IQA will sample part of the portfolio. The IQA will ensure that all parts of the assessment have been looked at across a number of candidates e.g. all elements, knowledge, scope and evidence

criteria (this would equate to approximately 20% of the portfolio). This will be either interim or summative.

If at any time during sampling the IQA has any concerns, s/he can increase the level of sampling that s/he feels is necessary to ensure that quality standards are maintained.

Any concerns will be fed back to the Trainer / Assessor, and an Action and Improvement Plan will be completed with the Trainer / Assessor to identify the shortfall and any mentoring or training required will be addressed.

The Internal Quality Assurer will also verify that the documentation has been filled in correctly. All evidence reviewed will be initialled and dated in red on the candidate's work.

Once an IQA has sampled a unit s/he will fill in a feedback form which will be given to the assessor and kept in the assessor's file. S/he will also sample the IQA tracking records to show what has been sampled and when.

When there are a number of assessors, the Internal Quality Assurer may set dates for Internal Quality Assurance.

7.7 Moderation Process

Moderation is only relevant where an awarding organisation allows the Core Project and/or Occupational Specialism assessments to be marked by a Centre. For the apprentice training, this is required.

The purpose of Moderation is to enable the awarding organisation to ensure that Centres apply the relevant mark scheme correctly and consistently. It is therefore an important part of ensuring that standards are maintained across the qualification.

Assessors at a Centre will mark assessments using the awarding organisation's marking scheme.

Where more than one assessor marks an assessment or part of an assessment, PMTandA will ensure that the Centre maintains consistent marking across all assessors within that Centre.

PMTandA will retain records to enable EAL to undertake Moderation effectively and should ensure the retention of that information.

EAL is able to make changes to a Centre's marking where necessary.

Moderation must occur before the awarding organisation releases results, allowing any necessary adjustments to be made beforehand. However, learners must be informed of their preliminary result for any centre-marked assessment so they can request a review of the centre's marking prior to moderation.

Moderation should be performed by individuals trained and experienced in rail engineering activities.

Moderation will be based on a sample of Learners from the Centre. PMTandA should ensure that the sample of work it uses for Moderation reflects the number of Learners at the Centre: the smaller the number of Learners, the greater proportion of them would typically be included in the sample, and vice versa.

PMTandA will also ensure that the sample includes work that is representative of the range of attainment demonstrated by Learners at that Centre. The moderator will complete the form 11, the Moderation Form, from the IMS system. This will be sent to the ACM and the IQA for their records.

The Moderator will evaluate the marks awarded by the Assessor based on how closely they align with the marks the Moderator would assign to the Learner, according to the marking scheme and the marking sheets approved by the ACM.

If the Moderator is unable to determine the appropriate adjustments based on the sample, they should request additional samples of work from the Assessor.

In exceptional cases, the Moderator may decide that the Assessors' marks cannot be corrected through an adjustment, and that all of the Learners' work assessed by the Assessor must be remarking.

The Moderator must give each Assessor and IQA feedback, explaining the outcome of moderation and the reasons for the decisions.

8 COMPLAINTS & APPEALS

8.1 Complaints

8.1.1 Informal Complaints

Candidates and assessors/ trainers should try to resolve any difficulties between themselves initially. If this cannot be resolved, contact should be made with the nominated IQA, who will make contact with the parties involved within two weeks to work towards a solution to the problem.

8.1.2 Formal Complaints

A candidate has the right to make a complaint if they consider they have been unfairly treated or that staff have not followed PM Training & Assessing Ltd procedures and/ or awarding body guidance. Initially, all complaints should be made in writing to the nominated IQA, and the complaint will be dealt with within 4 weeks. If the complaint is not resolved, the next step is to submit the complaint in writing to the ACM, who will arrange an independent panel to review the complaint. This panel will consist of the ACM (or deputy) and an independent IQA. This stage should be completed within 4 weeks of the IQA reviewing the complaint.

8.2 Appeals

Learners, assessors, and IQAs have the right to appeal if they believe an assessment decision has been unjustly made.

It is the IQA's responsibility to ensure all assessors receive a copy of the Delivery of EAL qualifications Procedure and understand it. Assessors must inform candidates of the appeals procedure at the start of the assessment process.

A learner has the right to appeal if they disagree with the assessment decision of the assessor or trainer.

The learner should inform the IQA within one week of being notified of the assessment decision that they wish to appeal. The learner must then submit the appeal in writing, either by letter or email, stating the reasons for the appeal. This should be done within two weeks of being notified of the assessment decision.

The IQA will then review the assessment decision and the reasons for the appeal and will make a decision which could be to uphold the assessor's decision, overturn the assessor's decision, or arrange for the assessment to be redone by a different assessor. This should be completed within 4 weeks.

If the learner still wishes to appeal, they must submit the appeal in writing to the ACM, stating the reasons for the appeal. The ACM will then consider the appeal along with an

independent IQA. This process should be completed within 4 weeks. The ACM decision is final.

9 RECORDS

9.1 Record Keeping

It is the IQA's responsibility to ensure that all paperwork complies with awarding body requirements. The IQA must guarantee that assessors have the paperwork and understand how to use and complete it correctly.

Assessors must complete the paperwork accurately and thoroughly, ensuring all documents are signed and dated by the appropriate individuals. Once finished, the paperwork should be handed over to the IQA.

The IQA will ensure that the following records are copied and kept on file:

- Assessment plans
- Observations
- Feedback sheets showing judgments made
- IQA feedback

All assessment records must be kept confidential and securely stored. Records stored on computer databases shall be protected by a password. All correspondence with awarding bodies shall be kept up to date.

Once a portfolio is completed, it will be retained by the ACM until the next EQA visit. After this period, the ACM will copy the record sheets from the portfolio and return the portfolio to the candidate. All records will be kept for three years.

9.2 Data Cleansing

Candidates who are not actively working towards their qualification will be contacted by the IQA to confirm whether they wish to continue. If they do not, they will be withdrawn from the system. If candidates have not been active for three years, they will be automatically withdrawn.

10 CONFIDENTIALITY

All assessment centre staff must adhere to the Data Protection Policy and GDPR. Details of GDPR compliance will be set out in a Privacy Statement, and a copy will be given to the candidate.

All computer and paper-based records containing information about candidates and assessors will be stored securely (with password protection for computer files and secure filing in a locked room for paper records). Confidentiality will be maintained, with access limited solely to those who require it.

The following staff have access to all candidate and progress reports:

- External Quality Assurer (EQA)
- Lead Internal Quality Assurer (LIQA)
- Suitably qualified and authorised staff acting on behalf of the LIQA (for audit purposes as necessary)
- Assessment Centre Administration

The following staff have access to specific candidate records for the purpose of assessment and verification:

- IQAs
- Assessors

Candidates and their line managers have access to their own records by arrangement made through the ACM.

11 TRAINING ROOMS AND ASSESSMENT SITES

Furniture in training rooms will be clean and undamaged.

Training will generally be delivered in a purpose-designed training room, except for practical training activities, which must occur in an appropriately configured practical training environment.

Training rooms will be sufficiently sized to accommodate the maximum number of delegates attending, with various seating arrangements, while providing candidates with a clear view of the projected images on screen and of any whiteboards and flipcharts used.

Rooms shall be furnished with one seat for each delegate and adequate table space to support the effective management of the theory assessment process, facilitate open book testing, and minimise the risk of cheating by copying.

Circulation areas within both the centre and the training rooms shall be free of all obstructions to allow free movement.

Training rooms will be equipped with sufficient lighting, blinds, heating, and ventilation. Evacuation notices are displayed in every room.

Arrangements for First Aid and emergency action must be displayed at the venue, and a suitable means of communication should be available.

EAL staff should have access to all training and assessment venues used by PMTandA.

12 PROCEDURE REVIEW

This procedure will be reviewed at intervals not exceeding 12 months. Responsibility for carrying out the review will rest with the **ACM** for PMTandA.

13 APPENDIX

13.1 Privacy Statement – Candidates

By undertaking the assessment process, you are agreeing for your data being used in the following way:

- The Trainer will be given access to your personal details, including any special requirements or circumstances that will help them to make the course more accessible for you.
- The Assessor will be given access to your details to enable them to carry out your assessment. They will have access to all documentation that relates to your assessment.
- The Assessment Centre Manager, Deputy Assessment Centre Manger, Internal Quality Assurer and administration staff will have access to your details and assessment paperwork for the purpose of processing, checking and quality assurance.
- You will be registered with the Learning Records Service in order for us to obtain a Unique Learner Number, which is required by EAL.
- You will be registered with EAL for the qualification you are undertaking.
- The EAL will have access to a copy of your assessment and related paperwork. Their External Quality Assurers may check your original assessment and evidence when they visit, or they can request it for remote checking.
- If there is a dispute about your assessment, then other Assessment Centre staff e.g. a further assessor, may also be granted access at the discretion of the Assessment Centre Manager or Deputy Assessment Centre Manager.
- Your assessment may be used within the Assessment Centre for standardisation purposes with assessors and IQAs. No personal data other than your name will be disclosed.
- If you are working for a company, either as an employee or a contractor, who have requested your assessment, or are paying for your assessment, then they will be given details of the progress of your assessment and a copy of your assessment paperwork if request. An electronic copy of your certificate will be sent to them.

Your original assessment will be kept by PM Training and Assessing until the External Quality Assurer has been to check the quality of the portfolios. After this date your original portfolio will be sent back to you. Recorded delivery will be used for paper portfolios.

An electronic copy of your assessment paperwork will be kept by PM Training and Assessing Ltd for 3 years, after the date of issue of your certificate.

If you are found 'not yet competent' then your assessment will be kept for 3 years, after the date of the assessment.

You can request a copy of all the paperwork relating to your assessment at any time during the 3-year period. To gain a copy you must put your request in writing to the

Assessment Centre Manager, who will send you an electronic copy within 4 weeks. If this is not possible for any reason, then you will be informed of how long this will take.

If you do not complete your assessment you can request that PM Training and Assessing Limited destroy/delete any records they have of your personal data.

You can request any time to be sent more information about the products and services supplied by PM Training and Assessing Ltd.

13.2 Privacy Statement – Staff

By filling in the required paperwork to be a Trainer/Assessor/IQA you are agreeing for your data being used in the following way:

- The forms you fill in for the role for which you are applying will be kept on file by PMT&A and will be accessed by assessment centre staff and admin personnel for the purposes of ensuring that you appropriately qualified for the role you are undertaking, and to keep you updated on information you need to keep current in that role.
- Awarding body and Quality Assurance Organisation staff will have access to your information on request to ensure that you are appropriately qualified and meeting current assessment requirements.
- IQAs and Centre Managers will have access to your details for the purposes of ensuring that you are meeting the standards expect by the awarding body.
- Other assessors who are approved by PMT&A will have access to your contact details for the purpose of arranging assessments and sharing information.
- Candidates who you have agreed to assess will have access to your contact details for the purpose of arranging assessments or asking for guidance.

If you are no longer approved as a trainer/assessor/IQA, your details will be kept for 3 years after the date you cease to be approved or the length of time the awarding body require assessments to be kept. After this period your information will be deleted.

You can request to see any information we hold about you by e-mailing the Assessment Centre Manager, who will provide this electronically within one month.

You can request any time to be sent more information about the products and services supplied by PM Training and Assessing Ltd.