




PMLD-MAN-001

Delivery of Learning & Development Qualifications

APPROVAL AND AUTHORISATION			
	<i>Signature</i>	<i>Post Title</i>	<i>Date</i>
Prepared By Ailie Kenna		Assessment Centre Manager	19/03/2026
Authorised By Chloe Hill		Head of Operations	19/03/2026
Reviewed Ailie Kenna		Assessment Centre Manager	19/03/2026

AMENDMENT HISTORY		
<i>Issue</i>	<i>Summary of Changes and Reasons</i>	<i>Date</i>
1	New document.	01/09/2014
2	Updated to reflect GDPR.	01/11/2018
3	Change of document name.	01/05/2020
4	Separation out of conflict of interest to a separate policy.	01/01/2021
5	Section 5.6 updated so that the manager ensures that the person applying for the certificate knows the awarding body procedure.	01/06/2021
6	Change of logo.	01/08/2023
7	Replacing awarding body information. Adding job description for LIQA. Adding section 7.3 to cover online training. Adding section 9 for appendix.	01/05/2024
8	Changes to PM Training Organisation Chart.	01/05/2025
9	Change of policy template. Adding privacy statement to appendix. Adding awarding body information to section 5.7 & 5.8.	01/07/2025
10	Changing TAQA to L&D.	20/07/2025
11	Merging all L&D procedures into this document. Change of company organisation chart.	19/03/2026
11	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 Learning & Development (L&D) qualifications.

2 SCOPE

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

3 ROLES AND RESPONSIBILITIES OF THOSE INVOLVED

3.1 Organisation Chart

PM Training & Assessing Ltd.'s Organisation Chart is in Appendix 13.1.

3.2 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 responsibility of the ACM to ensure that the awarding body's standards are upheld. The ACM also acts as the LIQA. It will be their role to coordinate with other Internal Quality Assurers (IQAs) involved in the assessment process.

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, 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 training material for which they are approved.
- Ensure that suitable sites are used for training.
- Liaise with the awarding body regarding approvals and audits.
- Share the results of audits with all members of staff.
- Maintain a secure filing system for assessment records. Access to these files must be restricted to the ACM and IQA only.
- 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 to comply with national guidance.
- Monitor staff training and development.
- Ensure all candidates receive joining instructions.
- 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 is covered.
 - Feedback on assessment practice is given.
 - Results of EQA visits are given.

Minutes of these meetings should be produced and distributed to all trainers and assessors.

In addition to the above, as the **LIQA**, you are also required to:

- 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.
- Monitor the professional development of assessors and IQAs that you are responsible for.
- Induction of new assessors.
- Keep up to date with current good practice in assessing and quality assurance.

3.3 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 conduct internal quality assurance against the qualification's standards. The IQA must hold a nationally recognised IV or IQA qualification and must be up to date with current practice. The IQA must demonstrate occupational competence in the area that 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.
- 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.
- Assist with any external quality assurance visits.
- Carry out observations of assessors conducting assessments to ensure they are completing them against the current assessor standards.
- Keep up to date with current good practice in assessing and quality assurance.
- 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.

3.4 Assessor

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

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 that they are assessing.

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

- Plan assessments with candidates and line managers.
- Provide advice and guidance to candidates on the NVQ requirements.
- 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.

3.5 Trainer

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

The trainer is authorised to deliver training in accordance with the awarding body's 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 in.

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

- Plan training sessions.
- 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 that 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 that is delivered.
- Maintain occupational competence.
- Keep up to date with current good practice in assessing and verifying.

4 ASSESSMENT PROCEDURES

4.1 Registration of Assessor/ Trainer/ IQA

If you are being onboarded as a trainer/ assessor/ IQA, you will be required to complete and send the ACM the following documents:

- CV
- Copies of appropriate certificates
- Signed contract for your position
- Signed role descriptions for your position
- Completed and signed approval form

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

- Assess whether the trainer/ assessor/ IQA is competent to carry out duties.
- Create a staff file for the trainer/ assessor/ IQA. This should include copies of the above required documentation.
- Register the assessor/ IQA with the awarding body.

4.2 Registration of Candidate

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

- Attend an introduction workshop for your qualification as appropriate.
- Complete a 'Candidate Registration Form' and forward to the ACM.

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

- Register the candidate with the awarding body through the required registration procedure.

4.3 Preparing for Assessment

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

- With assistance, formulate an assessment plan detailing how and where you will be assessed (if required).
- Keep a record of 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 process, providing feedback as needed.

- Formulate an assessment plan with the candidate (if required).

4.4 Conducting Assessment

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

- Attend agreed meetings.
- Bring the work that 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 that 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 IQA.

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 written feedback to the assessor by completing the IQA activity on the approved system.
- Update IQA records and inform ACM of result.

4.6 Applying for Award

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

- Ensure portfolio and assessment materials meet the awarding body's requirements.
- Apply for the award through the awarding body procedures.
- Ensure that the person using the awarding body system is aware of how to certify the relevant qualifications.
- Upon receipt of the certificate, ensure that the qualification details are entered into the computer database.

- Once the certificate is received, this should be passed on to the candidate.

4.7 Dealing with Candidates that have Additional Training and Assessment Requirements

PM Training & Assessing Ltd adopts a proactive approach in offering a variety of assessment strategies and training/assessment methods to accommodate candidates with additional requirements.

PM Training & Assessing Ltd will, where standards allow, adapt training and assessment arrangements to ensure candidates are assessed fairly and reliably.

The specific arrangements largely depend on the scheme being followed, the individual's training and assessment requirements, and the availability of qualified assessors within the organisation.

It is recognised that sometimes there may be candidates who require special consideration regarding training and assessment. Advice should be sought from the IQA or ACM, who may consult the awarding body if necessary.

If you are the **trainer/ assessor**, you will:

- Prior to the commencement of training/ assessment, make candidates aware of any additional learning requirements.
- Agree on any changes in assessment methods with the candidate and the IQA.

4.8 Plagiarism

Any written work may be based on the reading of sources of other material, but the final document must be the candidate's own work. Plagiarism, whether from external sources (e.g., the internet) or from other candidates, is taken very seriously by PM Training & Assessing Ltd. Candidates must produce their own work in its entirety.

Candidates should not include lengthy quotes in their text, even when properly acknowledged. All quotations, references to sources, or any materials used in the preparation of the document should be cited appropriately. It is advisable to list full bibliographic details in the references at the end of the document.

Any candidate found copying from another candidate or from an external source will be immediately reported to the IQA. The IQA reserves the right to withhold assessment access or impose other sanctions.

The candidate, however, has the right to appeal these sanctions through the appeals process.

5 ASSESSMENT STRATEGY

5.1 Recruitment of Assessors

The recruitment of assessors will be the responsibility of the **ACM/ LIQA**. They are to ensure that:

- All assessors are recruited in line with the Equality & Diversity policy.
- Assessors have a nationally recognised assessor qualification and are up to date with current standards.
- Assessors must prove occupational competence in the area of work that they will be assessing and show recent continuous professional development. This must be acceptable to the relevant awarding body.
- Assessors must provide the following upon onboarding:
 - CV
 - Copies of appropriate certificates
 - Signed contract for your position
 - Signed role descriptions for your position
 - Completed and signed approval form

This will form the basis for a discussion with the ACM/LIQA. The LIQA will make a recommendation to the ACM, who will have the final decision regarding whether an assessor is appointed.

- The LIQA will check the authenticity of, and take copies of, the CV and certificates. These will be kept on file.
- Trainee assessors must be registered for a nationally recognised assessor award and be 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 & Assessing Ltd.

5.2 Development of Assessors

- The LIQA will be responsible for supporting assessors with their development.
- Each assessor will complete a personal development record every 2 years, which will be reviewed by the LIQA. The LIQA and assessor(s) will discuss their developmental needs during progress reviews.
- The LIQA will keep assessors aware of training and development opportunities.
- The LIQA will have regular meetings at which general development issues will be raised. Developmental needs will be met through:
 - Standardisation (looking at, and making judgements on, other assessors' work, discussion of assessment experiences, etc.)

- Shadowing
- Input on systems, procedures and documentation
- The LIQA will observe an assessor in the performance of their duties and provide feedback.

5.3 The Assessment of L&D Qualifications

5.3.1 The Assessment Process

1. PM Training & Assessing Ltd will register the candidate with the awarding body. This data will be taken from the candidate's registration form.
2. The LIQA will ensure that there is a process in place for matching candidates with assessors
3. The assessor and the candidate will have an initial meeting (which may be part of a training course)
4. The assessor and the candidate will plan the assessment together (if required).
5. The assessor will observe the candidate (if appropriate), and the candidate will collect evidence with the assessor's advice.
6. The assessor will make a judgment as to whether the evidence meets the required standard.
7. The candidate will be given feedback (both written and oral)
8. If the evidence does not meet the standard, then advice will be given to the candidate by the assessor.
9. Candidate portfolios will be provided to the appointed IQA for sampling (in line with the assessment centre's sampling strategy).
10. The assessment centre will apply for the certificate in accordance with the awarding body's guidelines.

5.3.2 Further Points

- Assessors and candidates should keep in regular contact throughout the assessment process. This will be monitored by the LIQA.
- All assessments that take place will adhere to the Equality & Diversity policy and Data Protection Policy.
- Assessors will always work within the current L&D qualification code of practice.
- IQAs should ensure that all assessors are aware of the assessment process, awarding body requirements, and the paperwork to be used for the L&D qualification. If assessors need advice on an assessment, then they should approach the appointed IQA.

- 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 section 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 their training or assessment.

5.5 Monitoring Assessment Practice

- The IQA will sample the units of the L&D qualification in accordance with the IQA sampling strategy. The IQA will give written feedback to the assessor using the appropriate system.
- IQAs will observe assessors at least every 2 years.
- The IQA will run assessor meetings on a regular basis and provide feedback/discuss any general issues/concerns. 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

Staff and contractors undertaking roles for Learning & Development (L&D) qualifications on behalf of PM Training & Assessing Ltd must be free from conflicts of interest that could negatively affect their judgment or objectivity towards the organisation when performing business activities and assignments.

PM Training and Assessing Ltd recognises that trainers, assessors, and IQAs may be involved in other activities outside of their roles with us; however, any potential conflict of interest arising from those activities must be acknowledged, disclosed, and, where relevant, properly managed.

All relevant staff involved in roles where there is a possibility of conflict of interest have the duty to declare any actual or potential conflicts of interest to the ACM.

Once a conflict is declared to the ACM, it is the ACM's responsibility to assess the information and determine if further action is needed. If necessary, the ACM should implement measures to mitigate the conflict of interest.

The ACM will then notify the awarding body.

6.4 Examples of Actions for Mitigation

Examples of actions taken to mitigate the conflict of interest could be:

- The individual will not be taking part in discussions or decisions on relevant matters.
- Passing the role of trainer/ assessor/ IQA onto another qualified person.
- Having a person's assessment undertake a full IQA check rather than a selected sample identified in the centre's IQA strategy.

This is not an exhaustive list, and each circumstance will be looked at as a unique situation.

7 IQA STRATEGY

7.1 Management of Quality Systems

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

- Records of all assessors, IQAs and other staff who are involved in the assessment process, including their qualifications.
- Lists of candidates and assessors
- Progress and achievement of candidates
- Monitoring assessors, including assessor meetings, standardisation meetings, portfolio sampling, and observing assessors.

7.2 Recruitment of IQAs

The recruitment of IQAs will be the responsibility of the **ACM/ LIQA**. They are to ensure that:

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

7.3 Development of IQAs

The LIQA is responsible for supporting IQAs with their development. This will include:

- Each IQA will fill in a personal development record every 2 years, which will be looked at by the LIQA. The LIQA and IQAs will discuss their developmental needs in progress reviews.
- The LIQA will keep IQAs aware of training and development opportunities.
- The LIQA will have regular meetings at which general development issues will be raised. Particular developmental needs will be met through:

- Standardisation (looking at, and marking judgements on, other assessors' 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 to assessors:

- Regular assessor meetings
- Regular standardisation meetings
- Review of personal development records
- One-to-one progress reviews (where appropriate)
- Ongoing email and telephone support

The ACM/ LIQA will support IQAs in the same way.

7.5 Monitoring of Assessors

IQAs are responsible for monitoring the quality of assessments completed by assessors. This will be actioned by:

- Sampling Candidate Portfolios
 - The IQA will sample each assessor's work in accordance with the sampling strategy. The IQA will check that the assessor has verified 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 staff file, stored by the LIQA.
- Standardisation Meetings
 - The IQA will have regular standardisation meetings at which assessors will bring along assessments that 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 will take place.
- Informal Discussions with Assessors
 - The IQA will consider having discussions with each assessor.

7.6 Sampling Strategy

7.6.1 Overview

The sampling strategy provides checks and support towards the following 3 key stages of assessment:

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

Assessments will be sampled during and after assessments to ensure consistency throughout.

7.6.2 Sampling Strategy Infographic

See Appendix 13.2.

7.6.3 Assessor Categories & RAG Rating Matrix

Assessors will progress through several categories from the stage of onboarding, which directly relates to their RAG rating. This is as follows:

<i>Category</i>	<i>RAG</i>	<i>Sampling</i>	<i>Description</i>
Trainee	R	Full IQA	The entire candidate's portfolio is sampled.
Newly Onboarded	R	Full IQA	The entire candidate's portfolio is sampled.
Interim	A	Unit	One unit is selected at random from the sampling tracker. All assessments within that unit are sampled for IQA.
Experienced/ Reliable	G	Assessment	One unit is selected at random from the sampling tracker. Within that unit, 1x assessment is sampled for IQA.
Minor: Requires Monitoring	A	Unit	The inconsistent unit is selected from the sampling tracker. All assessments within that unit are sampled for IQA.
Major: Unreliable	R	Full IQA	The entire candidate's portfolio is sampled.
<p>IMPORTANT: Assessor risk rating can vary for 1x assessor depending on what qualification they are assessing. E.g. an assessor could be classed as R for 1 qualification, and G for another qualification.</p>			

For a visual explanation of how assessors progress through the sampling plan, please see the Sampling Strategy Infographic in Appendix 13.2.

7.6.4 Sampling Strategy Explanation

For a visual explanation of how assessors progress through the sampling plan, please see the Sampling Strategy Infographic in Appendix 13.2.

The assessor categories work in a particular process to show the development of staff within the centre. It is a continuous process that assessors will work through, meaning that they will move up and possibly down categories where appropriate.

1. Trainee

Trainee assessors will remain in **RED** and not progress to another category until they are qualified.

2. Newly Onboarded

This refers to assessors who are fully qualified and newly onboarded as L&D assessors for PM Training & Assessing Ltd.'s centre.

To ensure that these assessors are working to the required standard, they will need to complete 3x up-to-standard assessments (per qualification they are approved for) before being promoted to interim.

As per the RAG rating matrix, the full candidate's portfolio will be sampled when checking these assessors' assessments.

3. Interim

This is an interim stage where assessors will continue to be monitored before being promoted to the **GREEN** category – experienced and/ or reliable.

To ensure that these assessors continue to work to the required standard, they will need to complete a further 5x up-to-standard assessments (per qualification they are approved for) before being promoted to experienced and/ or reliable.

As per the RAG rating matrix, one unit is sampled at random from the sampling tracker. This entire unit is then sampled when checking assessors' assessments.

4. Experienced/ Reliable

Assessors who have proved that they can consistently assess up to the required standard will remain in this **GREEN** category until proven otherwise.

As per the RAG rating matrix, one unit is sampled at random from the sampling tracker. One assessment from this unit is then sampled when checking the assessor's assessments.

5. *Minor: Requires Monitoring*

Should an assessor show minor inconsistencies in their assessing during sampling, they will be demoted to this interim category.

Examples of minor inconsistencies include:

- An observation report has been completed, but not entirely to the desired standard
- 1 signature is missing from a particular document of evidence
- Professional discussion has been recorded, and a screenshot has been provided as evidence, as opposed to uploading the recording/ transcript
- A minor adjustment may need to be made to a knowledge question that an assessor has marked

This is not an exhaustive list. The **ACM/ LIQA** reserves the right to decide what constitutes a minor inconsistency.

For an assessor to be promoted back to the **GREEN** category, they need to complete a further 5x up-to-standard assessments.

As per the RAG rating matrix, the inconsistent unit is selected from the sampling tracker. This entire unit is then sampled when checking assessors' assessments.

6. *Major: Unreliable*

Should an assessor start to show major inconsistencies in their assessing when sampling is carried out, they will be demoted to this interim category.

Examples of major inconsistencies include:

- Knowledge questions are over-marked
- Signatures are regularly missing from evidence
- Certain types of evidence have not been collected from candidates
- Incorrect assessment decisions have been given to candidates

This is not an exhaustive list. The **ACM/ LIQA** reserves the right to decide what constitutes a major inconsistency.

The assessor will then need to complete 5x up-to-standard assessments to be promoted back to **AMBER**. The sampling strategy will then start the process again.

As per the RAG rating matrix, the full candidate's portfolio will be sampled when checking these assessors' assessments.

7.6.5 Further Responsibilities

Post-sampling, IQAs will give assessors feedback through the appropriate system. If, during sampling, IQAs have any concerns about the quality of assessments, they should report this to the LQIA.

The LQIA can increase or modify the level of sampling they deem necessary to ensure quality standards are upheld.

8 COMPLAINTS & APPEALS

8.1 Complaints

8.1.1 Informal Complaints

Candidates and assessors should initially try to resolve any difficulties between themselves. If this cannot be achieved, contact should be made with the nominated IQA. The IQA should then contact the involved parties within 2 weeks to find a solution.

8.1.2 Formal Complaints

A candidate has the right to make a complaint if they believe they have been unfairly treated or if staff have not followed PM Training & Assessing Ltd.'s procedures and/or the awarding body guidance.

Initially, all complaints should be made in writing to the nominated IQA, and the complaint will be addressed within 4 weeks.

If this process does not resolve the issue, the next step is to submit the complaint in writing to the ACM. The ACM will then organise an independent panel, comprising the ACM (or deputy) and an independent IQA, to review the complaint. This should be done within 4 weeks of the IQA reviewing the complaint.

Candidates also have the right to escalate any complaints to the awarding body.

8.2 Appeals

8.2.1 Roles & Responsibilities

Candidates, as well as assessors and IQAs, have the right to appeal if they disagree with the assessment decision of the assessor.

It is the LIQA's responsibility to ensure that all assessors and IQAs have a copy of these procedures and understand them. It is the assessor's responsibility to inform candidates of the appeals procedure at the start of the assessment process

8.2.2 Appeals Process

The candidate should inform the IQA within 1 week of being informed of the assessment decision if they wish to appeal. They should then submit their reasons for appeal in writing, either by letter or email, within 2 weeks of receiving the assessment decision.

The IQA will review the assessment and the reasons for appeal and make a decision. This may involve upholding, overturning, or arranging for the assessment to be redone by a different assessor. This process should be completed within 4 weeks.

If the candidate still wishes to appeal, they must submit their reasons in writing to the ACM. The ACM will consider the appeal alongside an independent IQA. This should also be completed within 4 weeks. The ACM's decision is final.

Candidates also have the right to escalate any appeals to the awarding body.

9 RECORDS

9.1 Roles & Responsibilities

It is the responsibility of the IQA to ensure that all assessment documentation meets the awarding body requirements. The IQA must ensure that all assessors have access to the required documentation and understand how to use and complete it correctly.

Assessors are responsible for completing all documentation accurately and comprehensively. All records must be signed and dated by the appropriate individuals before being submitted to the IQA.

9.2 Records to be Maintained

The IQA will ensure that the following records are completed, copied and retained:

- Assessment Plans (if required)
- Observation records
- Feedback sheets showing assessment decisions
- IQA feedback records
- Records of awarding body correspondence

9.3 Storage and Retention

All assessment records will be securely stored in line with organisational requirements.

Once a candidate's portfolio is complete, it will be retained by the ACM until the next External Quality Assurance visit. After this, the ACM will copy the relevant record sheets and return the portfolio to the candidate.

All records will be retained for a period of 3 years.

9.4 Data Management & Candidate Status

Candidates who are not actively progressing with their qualification will be contacted by the IQA to confirm whether they wish to continue.

If a candidate chooses not to continue, they will be withdrawn from both PM Training & Assessing Ltd and the relevant awarding body systems. Candidates who have been inactive for a period of 3 years will be automatically withdrawn.

10 CONFIDENTIALITY

All records containing information about candidates and assessors will be treated as confidential. Records will be stored securely, and electronic records will be password-protected. Passwords will be updated if administrative staff leave the organisation.

All staff must adhere to the organisation's Data Protection Policy and comply with GDPR legislation. Details of GDPR compliance will be outlined in a privacy statement, and a copy will be provided to each candidate. Privacy statements can be found in Appendix 13.3 and 13.4.

Confidentiality will be maintained at all times, with access limited only to those individuals for whom it is necessary.

10.1 Access to Records

1. The following staff have access to all candidate records and progress reports:
 - a. External Quality Assurer (EQA)
 - b. Lead Internal Quality Assurer (LIQA)
 - c. Suitably qualified and authorised staff acting on behalf of the LIQA (for audit purposes as necessary)
 - d. Assessment centre administration staff

2. The following staff have access to specific candidate records for the purpose of assessment and verification.
 - a. Internal Quality Assurers (IQAs)
 - b. Assessors
 - c. Candidates and their Line Managers have access to their own records by arrangement made through the ACM.

11 TRAINING ROOMS

11.1 Training Rooms Standard

Furniture in training rooms will be clean and undamaged.

Delivery of training will normally take place 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 of sufficient size to accommodate the maximum number of delegates attending, with various seating layouts. They will also be arranged so that candidates have a good view of the projected images on the screen and can easily see any flipcharts or whiteboards used.

Rooms shall be re-equipped to provide one seat for each delegate and enough table space to manage the theoretical assessment process effectively, facilitate open book testing, and minimise the risk of cheating via copying.

Circulation areas within both the centre and the training room shall be free of all obstructions, allowing free movement.

Training rooms will have adequate lighting, blinds, heating, and ventilation.

Evacuation notices will be displayed in every room.

Arrangement for First Aid and emergency procedures must be clearly displayed at the venue, and a suitable means of communication must be available.

11.2 Non-PM Training & Assessing Ltd Training & Assessment Venues

A member of staff should fill in the training register for all training and assessment venues. This will include risk assessments and site checklists. The ACM should keep copies of these on file.

The awarding body should have access to all training and assessment venues used by PM Training & Assessing Ltd.

11.3 Online Training

Online training will be completed using Microsoft Teams. Candidates will receive joining instructions prior to the training, including meeting invites for each session.

Online training cohorts will be recommended for up to 8 candidates. This is to ensure sufficient engagement for all delegates, as well as providing candidates with a clear view of the trainer and shared images on the screen.

Trainers will ensure that there is adequate lighting and that the camera is free of any obstructions.

If a delegate is unable to attend a session due to personal circumstances, the trainer will record the session and send it to the candidate to catch up.

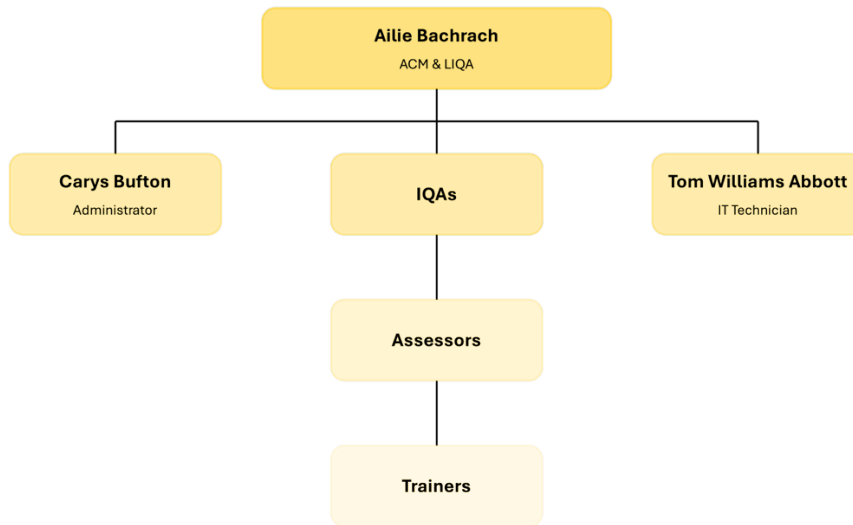
For online safety, please see separate policy no. 31 in company policies.

12 PROCEDURE REVIEW

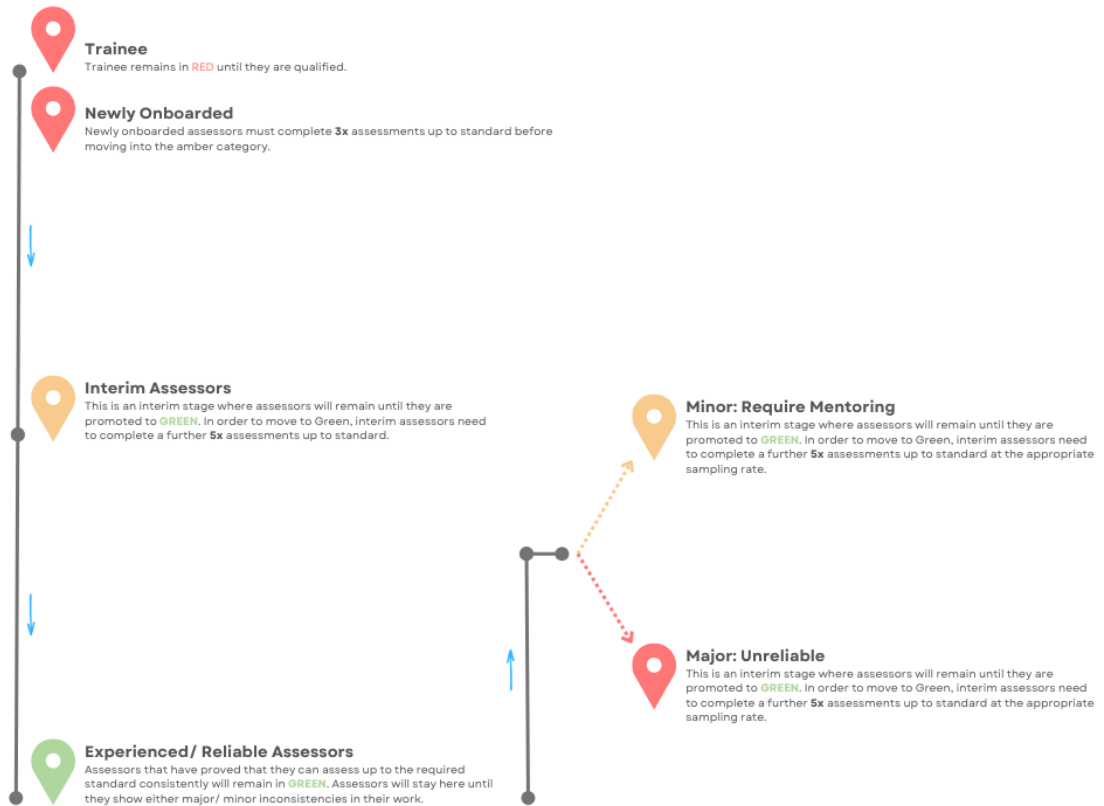
This procedure will be reviewed at intervals not exceeding 12 months. Responsibility for carrying out the review will rest with the ACM for PM Training & Assessing Ltd.

13 APPENDIX

13.1 PM Training & Assessing Ltd.'s Organisation Chart



13.2 IQA Sampling Strategy Infographic



13.3 Privacy Statement – L&D Training & Assessments (Candidates)

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

- The trainer will be given access to your personal details, including any additional 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 manager, internal quality assurers 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 so that we can obtain your Unique Learner Number. This is a requirement by the awarding body.
- You will be registered with the awarding body for the qualification that you are undertaking.
- The awarding body 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 other 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 training and 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 requested. An electronic copy of your certificate will be sent to them if requested.

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 issue date of your certificate.

If you are found 'not yet competent' then your assessment will be kept for 3 years after the issue 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 that they have of your personal data.

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

13.4 Privacy Statement – L&D Training & Assessments (Staff)

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

- The forms you fill in (for the role of which you are applying) will be kept on file by PMT&A and will be accessed by assessment centre staff and admin personnel. This will be for the purposes of ensuring that you are appropriately qualified for the role that you are undertaking, and to keep you updated on information that you need to remain current in that role.
- Awarding body 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 expected 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 (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 emailing the Assessment Centre Manager, who will provide this electronically within one month.

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