

Quality Guidance Manual

This document provides guidance on completion the quality assurance self – assessment as part of the quality assurance framework developed by the CAA.

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Terminology

Scheme of Works - a scheme of work is a guideline/plan that defines the structure and content of a course. The scheme of work is usually an interpretation of a specification or syllabus and can be used as a guide throughout the course to monitor progress against the original plan.

PDP – Personal Development Plan

CPD – Continuous Professional Development

Malpractice – is the intentional practice of cheating in an exam, plagiarism, fabrication of results or work or impersonation of another trainee during an exam (including CBT) by learners, and can also be committed by instructors through given improper assistance to learners during assessments, inventing or changing marks for exams, facilitating or allowing impersonation or falsely issuing certificates.

IQA -Internal Quality Assurer

EQA – External Quality Assurer

Standardisation - is a process which ensures all staff, for example, trainers, assessors and quality assurers interpret and follow the requirements of the programme in the same way. The process helps ensure all those involved are consistent and fair to all learners throughout their time with the organisation.

Training provider - under this framework is an organisation or independent instructor contracted by a directed entity (Airport/Airline/Cargo RA/IFS entity) to provide mandatory aviation security training services on their behalf. If training is conducted in-house by the directed entities' own staff, the entity itself is the training provider. All certificated instructors are required to be linked to a registered training provider - if they work as an independent instructor, they must register as their own training provider.

How to use this guidance

This Quality Guidance Manual has been designed to be used in conjunction with the new quality assurance framework implemented by the CAA in the training remit. It should be used in conjunction with the **Quality Assurance Self-Assessment form** and the associated **Standards Specification** document. It provides guidance and templates about how to reach, maintain, and exceed the minimum quality assurance standard required with the implementation of the new framework.

The contents are arranged in the same order as the Self-Assessment form so we would recommend that you use the contents page to navigate through the guidance manual to the relevant section as you complete your self-assessment.

Using materials/templates provided in this manual

You may use any of the materials or templates provided in this manual for your own use. If you utilised the templates the minimum adaption should be to include the date of creation, a projected revision date, the company's logo and the name of the person responsible for the document.

Completing the Quality Assurance Self-Assessment

The self-assessment form should be completed by the person responsible for quality assurance within the training provider. Only one form has to be completed per training provider even if they operate across multiple sites – please find a definition of what we consider a training provider in the terminology section.

You should use the form to assess your internal quality assurance processes and identify any gaps that you encounter in your operation.

A number of aspects have been deemed '**critical elements**' – these are the fundamental building blocks on internal quality assurance and provide a focus to start with if you are new to quality assurance.

1.1: Management and Governance Structure

Roles and responsibilities of training team

The aim under this section is to establish clearly the staffing structure of the team managing and delivering the training programme. This should differentiate by role with the following roles covered:

- Quality manager
- Internal Quality Assurer (IQA)
- Assessor
- Instructors delivering material
- Course administrator (if applicable)

One person may fill more than one post, depending on your set up. If you have it, an organisation chart may be useful to outline the structure of the department/team and how posts relate to each other.

Documented policies and procedures (critical elements):

The self-assessment form separates policies and procedures for a number of areas. The policy refers to your company's overarching approach to dealing with the aspect, and this may be contained in the form of an employee handbook, a statement, or combined with another policy. If your company has a policy in place

for the subject, there is no requirement to write a separate one, as long as the one you are utilising is appropriate for use for the training course.

A procedure refers to the detail of how the policy is implemented in your department, and in particular to the training course. Again, you may already have a procedure and if this specifically applies to the training course and is fit for purpose you do not need to create a separate document. There is no need to send any documents with the self-assessment but these should be available for the EQA visit.

You will need to have policies and procedures as shown below. These can be separate policies or relevant content could be in other documents. For example, there may be a document called 'Training Protocols' or there could be an 'Instructor Handbook':

- Equality
- Health and safety
- Complaints
- Malpractice (see terminology section for a definition)
- Appeals
- Data protection

1.2: Assessment and Training materials

This section is all about your course structure, design and training/assessment materials, including their accessibility and management.

Under **Programme Aims and lesson plans (critical element)** we are looking for evidence of your lessons plans and how these link to the aims and objectives of the course, how are they reviewed and updated. We are also looking to encourage engagement with the CAA/DfT to feedback on any elements of the training syllabus that require improvement.

For an **Overview of training programme** we are looking for a plan/timetable or outline which you provide to your learners to assist them with planning and preparation for the training sessions and give the course structure. We would expect that any assessment elements are highlighted as well as any other key stages e.g. on the job training.

For **accessibility of training and assessment materials (critical element)** we are looking for evidence that as a minimum accessibility principles have been adopted and that thought has been given to making learning materials accessible to specific learner needs. We have provided guidance on some accessibility principles in this manual. This is deemed to be a critical element.

For **File management** we are looking for the requirement to store training materials securely, with only required staff having access and for any redundant materials to be disposed of. We would expect to see any official-sensitive materials to be protected in line with their restrictive marking and for there to be a version control process.

2.1: Resources

This section covers physical and staffing resources for delivery and assessment of the programme.

Under **Appropriate physical resources** for delivery and assessment we would expect evidence that the training provider has the right resources in place, such as facilities, IT and training aids and that they are fit for purpose. We would expect to see forward planning to ensure that resources are available in good time for any future courses. For independent instructors this would refer to resources provided to you at the sites where you deliver training.

For **Sufficient occupationally knowledgeable staff (critical element)** we ask that you give details around whether your staff all have CIN or ROC numbers (no need to list all your staff, as you will have done this on the registration form) – if you are not sure we have provided further guidance in this manual. For an outstanding rating we would look for all staff to have an instructional techniques qualification, regardless of whether they were certificated by the DfT before 2015 (and therefore may have grandfather rights). We would expect you to have adequate staffing provision in place to conduct the training course you deliver and that you have assessed whether this is in place.

Under **Induction of new and transferring Avsec training staff** we are looking for your procedure of how you induct new staff to your training department **and** the courses you deliver. This may include staff who have 'TUPed' to your company or new instructors. We would expect you to outline how you support new staff in the initial phase until you have satisfied yourself that they are competent and settled in their role. This is not applicable for independent instructors.

For **Annual CPD for all staff (critical element)** please find guidance provided in this manual – this is aimed at asking details around how your staff remain occupationally competent and current in both their Avsec subject matter areas and as an instructor. There are numerous activities outlined in the guidance section on CPD to guide you through looking at relevant activities.

2.2: Internal monitoring and self-assessment

This section covers the internal quality assurance of the programme by the provider, including monitoring activities. The overarching requirement is for there to be a **quality assurance strategy (critical element)** in place, which sets out at a high level what assurance activities are undertaken – we have provided guidance and templates in this manual. The section then takes you through a number of specific areas of quality assurance, including materials and assessment decisions as well as standardisation. If you already have procedures in place which cover the same remit, you do not need to rename or rewrite them.

For the **Progress check (Formative assessment) of learners** we are looking for the arrangements you have in place for giving feedback to learners throughout the course to support their learning.

Quality of training and assessment materials (critical element) refers to any materials used during the course such as PowerPoints, handout, exercise briefings, as well as exams and test papers. Explain how you currently sample them to check they are valid, technically correct and meet your requirements – including whether exam papers are designed and written in line with best practices for writing assessment questions – please see guidance in this manual for some hints and tips on writing multiple choice exam questions.

If you have more than one assessor making assessment decisions, you will have procedures in place to ensure they make fair and consistent decisions to the same requirements – this is reflected in **Assessment standardisation**.

Quality assurance of training delivery and assessment decisions (critical element) refers to your approach to conducting quality assurance of both training and assessment – what arrangements do you currently have in place to observe instructors delivering training in the classroom and an operational setting as well as when conducting assessment. It also refers to how you quality assure exam

papers once completed to check that they meet the assessment strategy for the syllabus and have been marked correctly. You probably have a lot of these elements in place as best practice but may not be calling them quality assurance – if they cover the same ground this is perfectly acceptable.

If you use CBT training packages that you have designed and maintain in house (e.g. which you do not contract from another training provider) please also complete Quality assurance of CBT – this could be for your 6 x 6 training or any other computer based element you utilise. CBT should be subject to the same quality assurance as other training delivered to check it is still up to date and is an appropriate learning tool for the course.

The **Programme review and evaluation (critical element)** undertaken refers to your overall course review – how do you gather feedback with regards to the quality of the course and identify issues/areas that could be improved? What are your evaluation plans that ensure that the course is regularly reviewed to ensure it still meets the aims and objectives? This does not have to be a separate document and may be part of your QA strategy or other documentation.

3.1: Learner and data management

This section covers the learner journey from registration procedures and tracking their progress to feedback and any issues that may arise. You may already have documentation in place here - we have given guidance and checklists for what should be included as a minimum in joining instructions and learner tracking but if you have your own arrangements in place you do not need to change your documentation as long as it is fit for purpose.

For Documented learner records we are looking for how you organise the required information from learners on the course – this could be as paper files or electronic records. This function may be performed by your HR department – how are you then made aware of the information for the course?

This leads to Joining instructions and induction of learners – what information are your learners given prior to attending the course with regards to preparing them and setting expectations. Once they have started, how do you induct them to the training course and allow them to understand the training environment and your expectations of them? We have provided some guidance on items you may wish to include in your documents and activities.

Diagnostic assessment (critical element) asks about your procedures for identifying what needs your learners have that may require special consideration, such as dyslexia, poor reading/writing skills or dyspraxia. If you already have arrangements in place, you do not need to change them, but we would suggest that you consider a diagnostic activity that allows learners to be supported, even if they may not realise themselves and therefore may not be able to tell you in advance.

Ensuring you know where each learner is in a course, is the fundamental basis for **Learner tracking** and this also applies for later confirmation that learners have attended the correct modules for their job function. You will already have a system of tracking your learners and this may be in simpler form if you only have small numbers of learners, or more complex and database driven if you have large numbers. You do not need to change the system you use if it is fit for purpose.

For **Records of feedback provided to learners** we are looking for how you feedback to learners after assessments – there is no need to change your process if you already have this in place and it is fit for purpose.

Records of assessment problems relate to the process you have in place for identifying and dealing with issues such as malpractice or attempted malpractice, complaints or appeals – this may form part of other policies as long as this is fit for purpose and allows you to adequately respond to identified problems.

3.2: Certification

The **Documented procedure for issuing certificates** section refers to your internal process of how you control the issue of certificates (and replacements). How do you confirm that a learner has completed all required aspects of the training course and how do you record which certificates have been issued?

For **Format of certificates** please detail what your current training record and/or certificates include – please refer to the template DfT certificate to information.

Template – Roles and Responsibilities in the Training Department

Please note that one person may perform more than one role.

Instructor

Our Instructor(s) are:

The role of the Instructor is to deliver the content of the syllabus. They are required to:

- Develop a scheme of work showing how the syllabus content will be delivered
- Develop lesson plans for each session delivered
- Provide an induction that includes all requirements
- Deliver learning sessions that engage, motivate and provide key information to trainees against the learning outcomes and requirements of the syllabus
- Provide formative assessment activities and use these to provide feedback to trainees on their progress and how to improve their learning
- Monitor trainee's progress, identifying any support needs and updating learner records with details of progress
- Attend and contribute to any team meetings
- Comply with all policies and procedures
- Contribute to procedures related to complaints, appeals, malpractice, and programme review and evaluation
- Identify any CPD needs and ensure they stay up to date with developments in Aviation Security
- Ensure their certification (CIN/ROC number) with the CAA remains current and valid

Assessor

Our assessor is/are:

The role of the assessor is to decide whether a trainee has demonstrated competence and capability. Specifically:

- Producing summative assessment tasks and submitting for internal quality assurance within the required deadlines
- Making changes to assessment tasks and assessment decisions, as required by the Internal Quality Assurer
- Judge the trainees assignment or evidence against all the learning outcomes and assessment criteria. The assessor must provide support and guidance concerning sufficiency of evidence and provide summative written feedback
- Complete required documentation, including feedback to trainees and assessment tracking documentation
- Provide support to trainees seeking recognition of prior learning
- Participate in standardisation meetings.

Internal Quality Assurer (IQA)

Our IQA(s) is/are:

There will be designated Internal Quality Assurer(s) (IQA). Specifically they will:

- Monitor regulatory requirements for programmes to ensure any changes to assessment requirements are communicated to instructors and assessors
- Quality assure the delivery of training to ensure effective learning is taking place
- Quality assure assessment tasks written by instructors/assessors, providing feedback using standard documentation
- Quality assure assessment decisions, providing feedback using standard documentation

- Liaise with the External Quality Assurer (EQA) regarding any evidence requirements or visits
- Highlight any assessment issues to the Quality Manager
- Produce a summary report on completion of the programme
- Identify any training needs of instructors and assessors.
- Participate in and assist with standardisation meetings.

Quality Manager

Our Quality Manager (QM) is:

The QM is responsible for:

- Ensuring all policies and procedures are in place and are followed
- Ensuring all staff carry out their responsibilities effectively
- Monitoring the activities of assessors and IQAs e.g. session observations
- Liaising with regulatory organisations regarding approval has taken.

Administrator

Our Administrator(s) is/are:

The administrator is responsible for:

- Maintaining records of trainees and staff
- Maintaining quality assurance records
- Enrolling trainees onto programmes
- Ensuring the accuracy of registration entries are checked
- Submitting certification claims
- Ensuring the accuracy of certification claims
- Ensuring the accuracy of certificates received

- Notifying trainees of certificates received
- Maintaining a clear and secure folder structure.

Templates – Policies and Procedures

Appeals Policy

Scope

This policy applies to training programmes based on CAA syllabuses. It should be read in conjunction with all other policies in this Quality Manual, particularly:

- Assessment Policy
- Equality Policy
- Malpractice and Maladministration Policy
- Data Protection Policy
- Complaints and Whistleblowing Policy

An appeal is a request from a trainee to revisit an assessment decision which s/he considers is disadvantaging him/her.

This policy sets out our commitment to trainees who wish to enquire, question or appeal against an assessment decision.

Our commitment

We will show transparency and fairness in our assessment practices by allowing anyone who feels this is not achieved the right to appeal.

Our procedures

We will provide our training and assessment staff with the expertise needed to comply with this policy and related procedures.

We will provide our stakeholders with details of how to appeal and assessment decision. This will include:

- contact details of a named representative
- the timescales for any investigation to be undertaken
- the timescales for the outcome to be communicated
- the process to follow if the outcome is deemed to be unfair, including the ultimate right of appeal to the CAA.

We will have clear, consistent and transparent procedures for trainees to enable them to enquire about, question or appeal an assessment decision, including requests for reasonable adjustments or special consideration.

We will provide information to trainees at induction and prior to each summative assessment, of the contents of this policy and related procedures.

We will ensure that any appeal is recorded and documentation is retained for 18 months following the resolution of the appeal.

We will maintain confidentiality of any trainee information related to an appeal.

We will take appropriate action to protect the interests of other trainees and the integrity of the training, when the outcome of an appeal questions the validity of other results.

We will monitor our compliance with this policy by collecting data through trainee and employee applications, feedback and outcomes.

Supporting Documentation

- Appeal Against an Assessment Decision Form

Hints and tips

This policy cannot be superseded by an employee grievance policy, unless it makes specific reference to assessment.

Amend the policy to refer to specific roles/names that have key responsibilities for each commitment.

A suggested procedure could be:

Stage 1

The trainee is responsible for initiating the appeal procedure.

- An appeal must be made within seven days of receiving feedback on a summative assessment by use of the appeals form or by email. There will then be an informal discussion between the trainer/assessor and trainee
- The discussion must take place within seven days of the request
- A note of the discussion must be maintained by the instructor/assessor
- If the issue is not resolved, move to Stage 2

Stage 2

The trainee is responsible for initiating the second stage of the appeals procedure:

- The trainee must complete the Appeal Against an Assessment Decision Form and submit to xx within seven days of the informal discussion
- XX reviews the assessment. If xx has already reviewed the assessment as part of the sampling process, the appeal should move to Stage 3
- XX completes the Appeal Against an Assessment Decision Form and responds to the trainee and trainer/assessor within seven days of the appeal
- The trainee acknowledges the recommended outcome and signs the form. If resolved, no further action is required. If unresolved move to Stage 3.

Stage 3

- The appeal is now escalated to the CAA

APPEAL AGAINST AN ASSESSMENT DECISION

This form should be completed by a trainee wanting to appeal against an assessment decision. The appeal must be made by the trainee.

Name of Trainee:	
Syllabus:	Assessment Details:
Please state the grounds for appeal:	
Trainee declaration I confirm that I understand the purpose of the appeal will be to decide whether the process used for the internal assessment conformed to CAA requirements. I also understand the appeal may only be made against the marking/assessment process.	
Signature:	Date of signature:
Investigating Officer:	
Summary of information obtained:	
Outcome of appeal:	
Next step:	
Signature:	Date of signature:

Trainee acknowledgement I have received the details of the investigation and outcome of the appeal. ☐ I accept the recommended outcome of appeal ☐ I wish to appeal to the CAA	
Signature:	Date of signature:

Assessment Policy

Scope and Context

This policy document provides information about how we will assure the quality of the assessments we make for CAA syllabuses we are approved to deliver. It should be read in conjunction with all other policies in this Quality Manual, particularly:

- Equality Policy
- Malpractice and Maladministration Policy
- Data Protection Policy
- Appeals Policy
- Complaints and Whistleblowing Policy

Our commitment

We will adopt best practice principles of assessment including:

- Quality assured assessment systems and practices
- Standards based and criterion referenced assessment
- Monitoring and evaluation of assessment
- Appeal procedures
- Review and improvement mechanisms.

We will ensure:

- Our assessment design meets CAA syllabus requirements
- Our policies and practices support fair and consistent engagement with trainees
- Our assessment decisions are accurate and consistent across assessors
- Our assessors are consistent in their interpretation and applications of CAA syllabuses
- We maintain a documentation audit trail to enable certification and distribution to trainees

- We monitor, review, and evaluate our programmes, their delivery and assessment, for continuous improvement.

Assessment Planning

We will ensure that each programme will apply the following:

- Produce a coordinated assessment plan that includes assessment timings and ensures full coverage of assessment requirements whilst avoiding over-assessment
- Provide trainees with opportunities for formative assessment which supports their learning
- Select assessment methods appropriate for the syllabi and registered trainees.
- Use language and expressions appropriate to the needs of trainees in all assessment materials
- Ensure that assessors are conversant with the content and standards that are required
- Have a planned approach to quality assurance, ensuring that all assessment materials are quality assured before presentation to trainees.

Recognition of prior learning

Where it meets requirements of the syllabus, assessment processes recognise prior learning.

Making assessment decisions

We will ensure the following good practice principles apply:

- Sufficient authenticated evidence will be gathered upon which to make an assessment decision
- Assessment marking will be consistent/reliable across internal assessors
- Assessment decisions will be internally quality assured
- Accurate and reliable records of trainee progress will be produced and maintained for certification claims