

Quality Guidance Manual

Quality Assurance Framework

CAP 2203

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Prelims

The Quality Assurance Framework

The Quality Assurance Framework is applicable to aviation security training required by the UK National Aviation Security Programme (NASP). It does not cover other training such as safety or dangerous goods which are managed by different areas of the CAA. The framework is focused on the quality of training, whilst training regulation compliance is completed by the CAA AvSec Compliance Team.

The Quality Assurance Framework was developed with adult education professionals and industry stakeholders to produce a framework that meets the needs of industry whilst allowing the CAA to professionalise training and obtain oversight. An industry wide stakeholder consultation was completed in 2017 and the framework was launched in April 2019.

The framework is designed around six aspects with various elements within each aspect. These aspects are fundamental to any quality assurance framework and elements focus on the implementation and quality of policies and procedures, session plans, a quality assurance strategy, and trainee data management. Elements are split into 'Critical' and 'non-critical' elements. 'Critical' elements are fundamental to any quality assurance framework and carry more weighting in the overall grade achieved.



The manual

The **Quality Guidance Manual** has been designed to be used to support the implementation of a quality assurance framework required by the Civil Aviation Authority (CAA) for aviation security training. It should be used in conjunction with **CAP 2204 Understanding the CAA Quality Assurance Framework**, the **Self-Assessment Report form** (SAR) and the **Quality Assurance Visit report** (completed by the External Quality Assurer (EQA) during the visit).

This manual may support you in implementing and maintaining good practices to meet aspects of the CAA Quality Assurance Framework (QAF) to ensure professional, high quality processes are in place to support effective training. This manual is a guide and does not need to be followed exactly, nor should it indicate what should be included. It may be seen as a publication of guidance, ideas, recommendations and form exemplars. Where you choose to use guidance and form exemplars within the manual, you should ensure it fully meets the needs of your organisation and adapt as necessary.

It is permitted to copy the form exemplars and it is recommended that the forms are adapted to include the date of creation, a projected revision date, training provider company logo and the name of the person responsible for the document. The forms have been designed to act as examples to assist you in understanding the purpose of each form and the expected details to be include to meet the QAF.

Where guidance and form exemplars are copied from this publication they must as a minimum be amended to remove CAA branding and formatting and reference to CAA specific procedures and terminology.

'XX' is used in exemplars to indicate where training provider specific content should be added.

CAP 2204 Understanding the CAA Quality Assurance Framework – This document on the CAA website provides specific information on the criteria and how to meet each element of the CAA's Quality Assurance Framework.

Revision history and effective pages

In April 2021, a revised version of the **Quality Guidance Manual** was released following feedback from industry, identified trends and areas where additional support needs were identified.

The manual has been reformatted to meet CAA publication guidelines and typographical errors corrected.

Templates have been removed and replaced with exemplars. These follow the original template format but include guidance on how the forms should be completed if used.

Section 2.2 has been revised to provide clear guidance on what a quality assurance strategy/plan is, and what should be included within the document.

Specific reference to the Quality Assurance Framework have been removed and added as a new CAA publication – **CAP 2204 Understanding the CAA Quality Assurance Framework** and web pages on the CAA website.

Chapter 1

Aspect 1.1 Management and Governance

Exemplars – Roles and responsibilities within a training provider

Instructor

Our instructor(s) is/are: [Enter name/s of instructor/s] [Enter CIN/RoC Numbers]

The role of the instructor is to deliver the content of the syllabus.

The instructor is responsible for:

- developing session plans for each session delivered
- providing an induction that includes all requirements
- delivering training sessions that engage, motivate and provide key information to trainees against the learning outcomes and requirements of the syllabus
- providing formative assessment activities and using these to provide feedback to trainees on their progress and planning how to improve their learning
- monitoring trainee progress, identifying support needs and updating trainee records with details of progress
- attending and contributing to team meetings
- complying with all policies and procedures
- contributing to procedures related to complaints, appeals and malpractice
- contributing to the training programme review and evaluation
- identifying own CPD needs and ensure knowledge is up to date on developments in aviation security
- ensuring certification (CIN/RoC) with the DfT (through the CAA) remains current and valid
- attending standardisation meetings for formative assessment and ensuring that formative assessment decisions follow agreed standards

Assessor

Our assessor(s) is/are: [Enter name/s of instructor/s that carry out assessment] [Enter CIN Numbers]

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

The assessor is responsible for:

- 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 (IQA)
- judging trainee assignments or evidence against learning outcomes and assessment criteria
- providing support and guidance concerning sufficiency of evidence and providing summative written feedback
- completing required documentation, including written feedback to trainees and assessment tracking documentation
- providing support to trainees seeking recognition of prior learning
- participating in standardisation meetings

Guidance - One person may perform more than one role. For example the instructor may also undertake the role of the assessor and/or the administrator. It is also possible that two different roles may undertake similar responsibilities, or that the responsibilities in the exemplar are covered by different job role titles. Regardless, all roles and responsibilities within this manual must be covered within your framework.

Quality Manager

Our Quality Manager (QM) is: [Enter name]

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 and quality of IQAs and QA activities e.g. session observations
- liaising with regulatory organisations regarding approvals that have taken place / are in place
- conducting training programme reviews and evaluations
- analysing trainee performance and assessment data
- completing annual reports on quality
- liaising with the External Quality Assurer (EQA) regarding any evidence requirements or visits

Guidance - It is important to note that roles in this manual are roles related to quality assurance and not job titles related to an organisation or company. For example the head of training may choose a different member of staff to act as the quality manager as they are better suited/experienced to undertaking the responsibilities of the quality assurance role.

Internal Quality Assurer (IQA)

Our IQA(s) is/are: [Enter name/s of IQA/s]

The IQA is responsible for:

- monitoring regulatory requirements for training programmes to ensure any changes to assessment requirements are communicated to instructors and assessors
- quality assuring the delivery of training to ensure effective learning is taking place
- quality assuring assessment tasks written by assessors, providing feedback using standard documentation
- quality assuring assessment decisions, providing feedback using standard documentation
- highlighting any assessment issues to the Quality Manager
- identifying any training needs of instructors and assessors
- participating in, and assisting with standardisation meetings
- conducting training programme reviews and evaluations
- analysing trainee performance and assessment data

Guidance - An instructor cannot be an IQA for their own work and should utilise another person to quality assure any materials they produce as well as observe their training delivery and assessment decision making. This could be a friend, family member, other instructor, line manager, colleague etc.

Administrator

Our Administrator(s) is/are: [Enter name/s of Administrator/s]

The administrator is responsible for:

- maintaining records of trainees and staff
- completing certificates
- ensuring the accuracy of certificates
- maintaining a clear and secure folder structure
- maintaining quality assurance records

Guidance - An instructor may also undertake the roles and responsibilities of the administrator. In this case the roles of the administrator should be added to the instructor role.

Exemplars – Policies and procedures

Guidance - Policies and procedures may be called by other names or be combined into other documents. If using a grievance policy to demonstrate malpractice, complaints, and appeals, this must specifically reference training and assessment.

Appeals policy

Scope

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

- Assessment policy
- Equality policy
- Malpractice policy
- Data protection policy
- Complaints and whistleblowing policy

An appeal is a request from a trainee to revisit an assessment decision which they consider is disadvantaging them.

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

Our commitment

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

Our procedures

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

We provide our stakeholders with details of how to appeal an assessment decision. This includes:

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

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

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

We 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.

Stage 1

The trainee is responsible for initiating the appeal procedure.

An appeal must be made within seven days of receiving feedback on an assessment by email. There will then be an informal discussion between the instructor/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 instructor/assessor within seven days of the appeal.

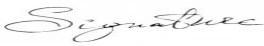
The trainee acknowledges the recommended outcome and signs the form. If resolved, no further action is required. If unresolved move to Stage 3.

Stage 3

The appeal is now escalated to XX

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: S.Clements	
Syllabus: Cargo Operative	Assessment Details: Practical body searching
Please state the grounds for appeal: I disagree with the assessment as I was not given enough time to practice or receive feedback before taking the assessment.	
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: 01/01/01
Investigating IQA: P.Jones	
Summary of information obtained: I have reviewed the session plan and have identified that 5 hours of practice was provided. The trainee was also given 1 hour 1-2-1 training before the assessment and feedback to improve.	
Outcome of appeal: Denied	
Next step: Trainee to re-sit the assessment after additional training from a different instructor/assessor	
Signature: 	Date of signature: 01/01/01
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 at stage 3	
Signature: 	Date of signature: 20/01/01

Assessment policy

Scope and context

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

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

Our commitment

We 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 syllabus requirements
- our policies and practices support fair and consistent assessment with trainees
- our assessment decisions are accurate and consistent across assessors
- our assessors are consistent in their interpretation and applications of DfT syllabuses
- we maintain a documented audit trail to enable certification and distribution to trainees
- we monitor, review, and evaluate our courses, their delivery and assessment, for continuous improvement

Assessment planning

We will ensure that we:

- 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 syllabus and 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 training

Where it meets requirements of the syllabus, assessment processes will recognise prior learning/training. We will use the following to identify prior learning/training:

- Recruitment records.
- Pre-course questionnaire/interview.
- Training support needs assessment during course induction.

Making assessment decisions

- We ensure the following good practice principles apply:
- sufficient authenticated evidence is gathered upon which to make an assessment decision
- assessment marking is consistent/ reliable across our assessors
- assessment decisions are internally quality assured
- accurate and reliable records of trainee progress is produced and maintained
- a system operates for trainees wishing to appeal the outcome of an assessment

A risk management strategy is implemented that includes:

- sampling of assessment materials and assessment decisions
- standardisation
- a process for monitoring, reviewing and evaluating assessment from both trainees and stakeholders' perspectives

- accurate documentation leading to a clear audit trail

Providing feedback

We ensure:

- processes are in place to ensure clear results are given to trainees
- constructive formative feedback as appropriate is given to trainees
- feedback is specific, measurable, achievable, realistic and time bound
- feedback is documented and reviewed to ensure it is effective

Security

We ensure that systems are in place for the secure recording, storing and accessing of trainees' assessment records.

Provision of resources

We ensure that appropriate physical, technological, financial and human resources are available to support fair assessment and to cater for the needs of trainees.

Trainee roles

In order to meet our policy requirements for fair assessment, trainees also have responsibilities to:

- follow the required procedures for fair and consistent assessment
- engage with assessment information to ensure familiarity with requirements including authentication, deadlines and standards
- request an alternative means of assessment if it is shown that the planned assessment method does not provide opportunity to demonstrate that they have reached the required standard
- appeal against assessment decision through this policy and procedure

Complaints and whistleblowing policy

Scope

This policy applies to training courses based on DfT syllabuses. It should be read in conjunction with all other policies, particularly:

- Assessment policy
- Equality policy
- Malpractice policy
- Data protection policy
- Appeals policy

A complaint relates to any dissatisfaction with the provision of our training that has been drawn to the attention of a member of the training team but where the complainant is not satisfied with the outcome.

Whistleblowing relates to disclosures regarding any action that an individual considers to be illegal, unethical or not in line with company policies. In legal terms, whistleblowing relates to workers, however we will recognise disclosures from any trainees, members of staff or the public.

Our *Appeals policy* addresses issues with assessment decisions and is not within the scope of this policy.

The purpose of this policy is to demonstrate our commitment to ensuring any concerns and complaints are dealt with efficiently and that we operate to the highest standards of openness, honesty and accountability.

Our commitment

We aim to ensure trainee and stakeholder satisfaction at all times. Anyone involved in any aspect of the delivery, assessment and outcomes has the right to complain if they are dissatisfied about any aspect of the service they receive.

Our procedures

We ensure that our staff are fully conversant with our policy and how to follow the procedures. We:

- informally discuss any concerns with trainees or other stakeholders with a view to resolving concerns before a formal complaint is made
- only address a formal complaint when informal discussions and actions do not resolve the issue and if the stakeholder makes a request to do so

- follow our complaints and whistleblowing procedure to ensure timely and transparent decisions are made and so that any required actions can be carried out without adverse effect on trainees' progress
- ensure that any complaints and disclosures are handled confidentially and only provide to others the information needed to carry out a full investigation and make a response
- ensure that any documentation related to the complaint is maintained confidentially - full details will only be held for XX months after the resolution of the complaint
- anonymised details of a complaint will be maintained for XX year(s) after resolution of the complaint to contribute to our continuous improvement process
- ensure that any complaint or disclosure made in good faith will not disadvantage the complainant or lead to victimisation
- monitor complaints and disclosures we receive to review our service and contribute to continuous improvement

Guidance - If using a grievance policy to demonstrate malpractice, complaints, and appeals, this must specifically reference training and assessment.

Where policies refer to a final stage of the process this could be a senior leader, or external third party (e.g. ACAS). – You should seek prior permission from the person/organisation you choose to use here.

Stage 1

This process only applies after an informal discussion has taken place.

- The complaint/disclosure must be made to XX. Complaints must be made using the *Complaint Form*. Disclosures must be made by email. If the complaint/disclosure relates to XX, initial communication should be made to XX.
- XX carries out an investigation, collating all relevant evidence.
- XX completes the Complaint Form for complaints, or sends an email for disclosures and responds to the individual within seven days of the complaint/disclosure.
- The individual acknowledges the recommended outcome and signs the form (or responds by email in respect of Disclosures). If resolved, no further action is required. If unresolved move to Stage 2.

Stage 2

The complaint/disclosure is now escalated to XX who will review the evidence and decision. They will then contact all parties with their final decision. Their decision is final.

COMPLAINT FORM

This form should be completed by the person wanting to make a formal complaint. It should be used only after an informal discussion has taken place.

Name of Complainant: S.Sandip	
Please give details of the initial discussion that has taken place: I asked the instructor after the first day to stop using inappropriate language when addressing the class. Who was engaged in the discussion? S.Sandip and R.Street When did the discussion take place? After class in the classroom once all other trainees had left.	
Please state details of the complaint: The instructor uses inappropriate words to address the class during training including xxxxxx. This I find offensive.	
Signature: 	Date of signature: 01/01/01
Investigating Officer: P.Jones	
Summary of information obtained: I have spoken to both trainee and instructor. The instructor is aware that the language used is inappropriate, has apologised and will not use it again. The values of the company have been refreshed with the instructor. Outcome of complaint: Upheld Next step: The instructor will apologise to the trainees and not use the language again. An IQA will observe all sessions until satisfied the instructor has improved. The instructor has been disciplined with a verbal warning following company procedures.	
Signature: 	Date of signature: 02/01/01
Complainant acknowledgement: I have received the details of the investigation and outcome of the appeal. ☒ I accept the recommended outcome of complaint I wish to progress my complaint to the CAA	
Signature: 	Date of signature: 04/01/01

Data protection policy

Scope

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

- Assessment policy
- Equality policy
- Malpractice policy
- Appeals policy
- Complaints and whistleblowing policy

This policy relates to the requirements under the Data Protection Act 2018

Our commitment

We are committed to best practice in ensuring the protection of data in relation to our stakeholders (employees, trainees, contractors). We will process and protect personal data in line with the related legal and regulatory requirements and will:

- ensure all of our staff are trained in their requirements under the relevant legislation and regulations
- maintain an electronic record of training courses that may also be used to compile statistics, or to assist the CAA to do so, provided that no statistical information would identify an individual
- only collect the personal data we require to meet our regulatory requirements under relevant legislation and to provide the best service and support to trainees
- keep personal data for only as long as necessary and keep it safe from unauthorised processing and accidental loss, damage or destruction
- ensure the personal data we hold is accurate and current. We will ensure that personal data held is monitored on a regular basis and make changes in a timely manner
- allow stakeholders to access any personal data we hold on them, subject to a written request to XX. We will respond to requests within XX working days, unless there is a valid reason for a delay. Any delays will be explained in writing by the XX
- ensure our stakeholders are aware of their responsibilities under the General Data Protection Regulation during induction and through trainee handbooks and the quality manual
- store materials containing personal or protectively marked information securely - if the materials are no longer needed we dispose of them securely

Equality policy (including accessibility)

Scope

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

- Assessment policy
- Malpractice policy
- Data Protection policy
- Appeals policy
- Complaints and whistleblowing policy

The scope of this policy covers discrimination on the grounds of sex, gender, marital status, civil partnership, physical status or any disability, racial or ethnic origin, nationality, creed or religious belief, sexual orientation, age, pregnancy and maternity/paternity or employment status. It applies to our employees, trainees and other stakeholders.

This policy shows how we comply with the Equality Act 2012.

This policy includes reference to reasonable adjustments and special consideration.

- Reasonable adjustments refer to maximising the potential for all trainees to participate in assessment by making interventions before training and/or assessment commences.
- Special consideration refers to actions taken after an assessment, as a result of unforeseen circumstances outside the control of the trainee, to ensure they achieve their potential outcome.

Our commitment

We are committed to equality in all our engagements with stakeholders (employees, trainees, contractors). Our expectation is that all stakeholders promote equality and challenge any suggestion of discrimination. We expect all stakeholders to ensure everyone is included and that no trainee or group of trainees is disadvantaged.

We treat all trainees as individuals and provide all reasonable support to enable them to successfully complete their training course and related assessment/s.

Our procedures

We provide our training and assessment staff with the skills needed to comply with this policy. This includes the ability to:

- identify discriminatory behaviour
- identify trainees with support needs;