



## **Documented clear lines of accountability in relation to the assessment and IQA**

### **1. Roles and Responsibilities in Assessment and IQA**

#### **a) Assessors' Accountability**

- **Responsibility:** Assessors are directly responsible for planning, conducting, and recording assessments. They must ensure that assessments are designed to measure learners' achievement of the specified learning outcomes and assessment criteria. They also provide constructive feedback to learners on their performance.
- **Accountability:**
  - **Assessment Design:** Assessors must design assessments that are valid, reliable, and aligned with the qualification's learning outcomes and assessment criteria.
  - **Assessment Implementation:** They are accountable for the fair and unbiased delivery of the assessment process. This includes ensuring that learners understand what is expected of them in terms of assessment tasks.
  - **Feedback to Learners:** Assessors must provide feedback that is clear, specific, and constructive, highlighting strengths and areas for improvement.
  - **Record-Keeping:** Assessors are responsible for maintaining detailed records of assessments, including completed work, feedback provided, and any evidence of learner achievement.
  - **Documentation:** All assessments must be documented in accordance with OTHM's standards to allow for external verification or audit.

#### **b) Internal Verifiers (IV) / Internal Quality Assurers (IQA)**

- **Responsibility:** Internal verifiers or IQA personnel are responsible for monitoring the quality of assessment decisions to ensure they meet required standards. They provide guidance to assessors, review assessment decisions, and ensure consistency across the institution.
- **Accountability:**

- **Verification of Assessment:** IQA personnel must verify a sample of assessments across different assessors to check for consistency, validity, and reliability. They are responsible for ensuring that assessments meet the quality standards set by OTHM.
- **Feedback and Support:** Internal verifiers should provide regular feedback to assessors, advising them on areas for improvement, sharing best practices, and ensuring the standardization of assessments across the team.
- **Documentation of Verification:** The IQA must document their verification process, including which assessments have been sampled, the rationale behind their decisions, and any corrective actions taken.
- **Sampling Plan:** The IQA is accountable for developing a sampling plan that outlines the assessments to be reviewed. This plan should ensure a representative sample of assessments is verified to cover different units, assessment types, and learner profiles.
- **Action Plans for Improvement:** If issues are identified, IQA personnel must ensure that action plans are in place to address them. These plans should be monitored for effectiveness.

#### c) Head of Centre

- **Responsibility:** The Head of Centre is responsible for overseeing the entire assessment and IQA process. They ensure that the processes comply with OTHM standards and that all personnel involved are competent and well-trained.
- **Accountability:**
  - **Compliance with OTHM Requirements:** The Head of Centre ensures that the centre is fully compliant with all OTHM regulatory requirements, including assessment practices and internal quality assurance.
  - **Staff Training and Development:** They must ensure assessors and IQA staff undergo regular training and professional development to maintain competency.
  - **Monitoring and Review:** The Head of Centre should regularly monitor the assessment and IQA process to ensure ongoing quality assurance and compliance with OTHM standards.
  - **Reporting to OTHM:** They are accountable for submitting any required documentation and reports to OTHM, as well as for addressing any concerns raised during audits or reviews.

#### d) Learners' Accountability

- **Responsibility:** Learners are accountable for engaging with the assessment process, submitting their work on time, and following the assessment requirements and criteria.
- **Accountability:**

- **Engagement with Assessment:** Learners must ensure that they fully understand the assessment criteria and the requirements of each assessment. They should seek clarification from assessors if necessary.
- **Submission of Evidence:** Learners are responsible for submitting their work and evidence of achievement on time, ensuring that all tasks and assessments are completed to the best of their ability.
- **Adherence to Guidelines:** Learners must adhere to academic integrity guidelines, ensuring that all work submitted is their own, and they should be aware of plagiarism and cheating policies.

## 2. Documented Procedures for Assessment and IQA

### a) Assessment Procedure

A clear and documented assessment procedure should outline the following:

#### 1. Planning and Designing Assessments:

- A process for designing assessments aligned with the qualification's learning outcomes and assessment criteria.
- Assessment types, methods, and tools to be used (e.g., written exams, assignments, practical assessments, etc.).
- A documented process for designing clear assessment instructions for learners.

#### 2. Conducting Assessments:

- The procedure should define how assessments will be conducted, including timelines, setting of tasks, and gathering evidence.
- A clear explanation of how assessment decisions will be made, including any grading or mark schemes.

#### 3. Feedback and Record-Keeping:

- Clear guidelines for assessors to provide timely and constructive feedback on learner performance.
- Documentation and storage protocols for assessment records, including feedback and grades.

### b) Internal Quality Assurance Procedure

The IQA procedure should detail:

#### 1. Internal Verification Process:

- Sampling strategies to determine which assessments will be reviewed.

- A plan for reviewing and verifying assessment decisions to ensure they align with the qualification's standards.
- The methods for verifying assessment consistency and ensuring fairness across different assessors.

## 2. **Monitoring and Feedback:**

- A documented process for providing feedback to assessors and addressing discrepancies in assessment decisions.
- A formal process for escalating issues that cannot be resolved by the IQA team.

## 3. **Corrective Actions and Improvement Plans:**

- Procedures for identifying and addressing areas where assessments or IQA procedures fall short of required standards.
- A process for documenting corrective actions, including timelines and responsible persons.

## 3. **Record-Keeping and Auditing**

Clear procedures must be in place for managing assessment records and ensuring their integrity:

- **Assessment Records:**
  - Detailed records should include the learner's assessment results, feedback from assessors, and any additional evidence.
  - These records should be securely stored, in either physical or digital formats, and made available for external audits.
- **Internal Verification Records:**
  - The IQA must document the sampling plan, the assessments verified, and any feedback provided to assessors.
  - There should be a record of corrective actions and improvements to the assessment process.
- **Audit Process:**
  - The Head of Centre or Program Manager should ensure regular audits of assessment and IQA records to ensure compliance with OTHM's standards and the transparency of the process.

#### 4. Monitoring and Reporting Mechanisms

##### a) Monitoring Mechanisms:

- **Continuous Monitoring:**
  - The Head of Centre should ensure that assessments and IQA processes are regularly reviewed to maintain quality and consistency.
  - Regular internal reviews should be conducted to ensure compliance with assessment and IQA standards, and areas for improvement should be identified and addressed.
- **Regular Audits:**
  - Scheduled internal audits should be performed on assessment records, IQA procedures, and feedback systems to ensure they meet OTHM standards.

##### b) Reporting:

- **Internal Reporting:**
  - The Head of Centre or Program Manager should report on the assessment and IQA processes to senior management.
  - Any issues arising from assessments or internal verification should be reported and addressed immediately.
- **External Reporting:**
  - The Head of Centre is accountable for submitting required reports and evidence to OTHM, including details of assessment practices, IQA activities, and any corrective actions taken.

#### 5. Continuous Professional Development (CPD)

To maintain competence and adhere to OTHM standards, CPD for assessors and IQA personnel is essential:

- **Training Plans:**
  - Clear documentation of CPD activities should be maintained, ensuring that assessors and IQA staff receive regular training in assessment practices, regulatory requirements, and OTHM standards.
- **Evaluating CPD Effectiveness:**
  - The institution should have a process for evaluating the impact of CPD activities and ensuring that they are relevant to the needs of the assessment and IQA teams.