



CODE OF PRACTICE FOR THE DELIVERY OF WAMITAB QUALIFICATIONS

0081, Version 5, June 2017

Copyright ©2017 WAMITAB

Copyright in this document is owned by WAMITAB. Any person viewing, printing and distributing this document is subject to the following conditions:

- The document may be used for informational purposes only
- The document may be used for non-commercial purposes only
- Anyone using information provided in this document should acknowledge WAMITAB
- Reproduction and copying of these materials is not allowed

Changes are made periodically to the information contained within the document so for the latest version please refer to the website: www.wamitab.org.uk.

For further information on Intellectual Property matters contact info.admin@wamitab.org.uk.

Contents

Introduction	4
About WAMITAB	4
About this Code of Practice	4
Glossary.....	5
Code of Conduct for Centres	6
Centre Management and Administration.....	7
Administration Function	7
Unique Learner Numbers (ULN)	7
Registration of Learners.....	7
Changes to the Business	7
AVR1 Process for Approving Centre Staff	8
Process Requirements	8
Delivery and Assessment of WAMITAB Qualifications	9
Internal Quality Assurance of WAMITAB Qualifications.....	12
Data Requirements	14
Requirements for the Retention of Learner Evidence	14
Record Keeping.....	15
Registration and Certification	16
Withdrawal	17
Specific Qualifications – Centre Decision.....	17
Qualification(s) Approval – WAMITAB Decision	17
Centre Approval – Centre Decision.....	17
Centre Approval – WAMITAB Decision.....	17
Monitoring Centres (Post Approval).....	18
Tariff of Actions and Sanctions	18
WAMITAB Policy	20

Introduction

About WAMITAB

WAMITAB is an awarding organisation and charity that develops qualifications for those working in resource management and recycling; cleaning; street cleansing; facilities management and parking, from operative through to management level.

Since it was formed in 1989, WAMITAB has evolved in line with the convergence between the sectors with a clear focus on promoting and supporting environmental sustainability. With over 120 qualification pathways and 70 quality assured centres throughout the UK, WAMITAB offers an unrivalled specialist network to support staff development.

About this Code of Practice

We are delighted that you have chosen to work with us to provide a service that is both efficient and quality assured. This Code of Practice sets out our requirements that apply to all centres approved to offer WAMITAB qualifications. This document is designed to promote quality, consistency, accuracy and fairness in the awarding of all our qualifications.

The regulatory publications that form the scope of this document are:

- Ofqual General Conditions of Recognition
- Qualifications Wales Standard Conditions of Recognition
- CCEA General Conditions of Recognition
- NVQ Code of Practice (QCA,2006)

Glossary

Approved Centre	A training provider or employer that has successfully completed the application process to deliver particular WAMITAB qualifications and have the systems in place to maintain quality and consistency of delivery.
Assessment	The process through which evidence of learners' attainment is evaluated against a set criteria to show if they have achieved a qualification.
Assessment Criteria	These specify the standard that a learner is expected to meet to demonstrate that they have achieved the Learning Outcome. Assessment criteria are detailed enough to allow judgments to be made about competence.
Assessor	A person appointed by the centre to support and judge a learner's performance against set criteria.
Awarding Organisation	An organisation that develops qualifications and certificates for those working across a range of sectors.
Evidence	Learners need to collect evidence to prove that they are competent as required by the standards set in the units of the qualification. There are different types of evidence, ranging from an assessor observing work, question and answers, assignments and tests.
External Quality Assurer (EQA)	An EQA is employed by WAMITAB to ensure that a centre meets the required national standards for quality and assessment.
Internal Quality Assurer (IQA)	The IQA maintains the quality of assessment within the centre.
National Occupational Standards	Standards of occupational competence developed by a Standard Setting Body and approved by the regulatory authorities.
Qualification	A certificate of achievement or competence specifying awarding organisation, qualification title, credit and level.
Regulatory Authority	An organisation designated to establish national standards for qualifications and to secure consistent compliance with them (e.g. Ofqual).

Code of Conduct for Centres

WAMITAB is committed to delivering to the highest standards, meeting the needs of employers and providing the best possible experience to learners. To achieve this, we expect all WAMITAB staff and External Quality Assurers (EQAs) to maintain a professional working environment and uphold this code of conduct.

In return, all WAMITAB approved centres are expected to:

- Be courteous and professional in all dealings with WAMITAB staff and EQAs.
- Act professionally and with integrity in the delivery and assessment of WAMITAB's qualifications.
- Read and share WAMITAB emails and information to all necessary personnel within the centre, acting upon requests for information or feedback promptly and accurately.
- Ensure all staff members are familiar with and following all WAMITAB policy documentation.
- Ensure all staff members are familiar with and following all terms included within the WAMITAB Service Level Agreement (SLA).
- Maintain a culture of on-going commitment to excellence by ensuring that staff Continuing Professional Development (CPD) is up to date, including attendance/information sharing from WAMITAB annual Assessor and Internal Quality Assurer (IQA) CPD Events.
- Ensure WAMITAB brand standards are applied and maintained in all online and printed materials.
- Provide data, as requested, at such time as it is required.
- Ensure the health and safety and well-being of WAMITAB staff and EQAs while on your premises.
- Allow WAMITAB and the regulatory authorities, upon request, access to premises, people and records relating to learners, assessment and internal quality assurance records.
- Report any concerns regarding EQA monitoring visits to the WAMITAB Qualifications Manager promptly and in a suitable manner.
- Ensure all staff members declare any conflict of interests and these are managed in accordance with WAMITAB requirements.

Centre Management and Administration

Administration Function

The centre will need to have a secure data management system such as LMS, MIS or CRM which has the facility to hold and maintain the following data for each learner/candidate:

- The WAMITAB qualification code or unit code
- Learner/candidate name
- Date of Birth
- Contact Address
- Workplace/site address and contact details
- ULN (where the learner agrees to have one)

Unique Learner Numbers (ULN)

A unique learner number is a 10 digit number which is unique to the learner and is used in England, Northern Ireland and Wales. The ULN is used alongside the Personal Learning Record of anyone over 14 involved in Education and Training. The Personal Learning Record (PLR) is an online compilation of a person's learning and achievement records collected by UK education bodies.

All learners have the option of obtaining a ULN; however, the use of the ULN in Further Education is a mandatory requirement for publicly Further Education.

It is the responsibility of the Centre, where the learner is registered to obtain and validate the ULN for the learner and supply this information to WAMITAB as part of the registration process.

Registration of Learners

The educational regulators require that centres check a learner's identity prior to registration. The types of acceptable evidence are:

- Birth Certificate
- Passport
- Driving Licence
- National Insurance Card
- Benefits documents

Changes to the Business

WAMITAB must be informed in writing of certain changes in the centre - for example, if the legal name or trading address is due to change. Prior to a new SLA being issued WAMITAB will require a copy of your Certificate of Incorporation, which states the official name of the limited company, the date of incorporation and the company number.

If the centre was registered with the UK Register of Learning Providers (UKLRP), your details will need to be updated on their database also.

Process for Approving Centre Staff

During the centre approval process, the centre will be asked to enter the qualification delivery team's details on Omnia and link them to relevant qualifications so the EQA can approve them for the initial qualifications requested. This team will include:

- Assessors
- Tutors
- Presenters
- IQAs
- Moderators
- Invigilators

Please note: the approval for delivery must be sought prior to the member of staff commencing the delivery, assessment or IQA of learners.

Process Requirements

The Centre Coordinator must:

- Check that the centre is approved to offer the specific qualification before submitting staff details on Omnia.
- For each member of staff added to Omnia, ensure that the following documentation is available:
 - Up to date CV
 - Relevant qualification certificates/ evidence of registration
 - Supporting information demonstrating how the individual meets the criteria as stated in the relevant Assessment Strategy.
 - Ensure the individual has signed the Assessor and IQA Code of Conduct and returned this to WAMITAB.

Please note: WAMITAB reserves the right to levy a charge to a Centre where mistakes and errors have occurred on more than two occasions for one submission.

Delivery and Assessment of WAMITAB Qualifications

Centre Assessed Qualifications

Centres must:

- 1.1 Ensure that there are sufficient and qualified assessors proportionate to the number of learners.
- 1.2 Ensure that presenters and assessors are competent to perform their role, as outlined in the qualification Assessment Strategy.
- 1.3 Ensure that assessors and presenters are approved by WAMITAB via Omnia, **prior** to them commencing the delivery of the qualification and assessment of learners.
- 1.4 Engage assessors to carry out assessment. Assessors will be responsible for:
 - Managing the assessment process, from assessment planning to making and recording the assessment decisions as required by WAMITAB.
 - Assessing evidence of learner competence against the requirements of the qualifications.
 - Ensuring that the learner's evidence is authentic, sufficient and valid.
 - Maintaining accurate and verifiable learner assessment and achievement records as required by WAMITAB.
- 1.5 Provide appropriate training and development opportunities to ensure that presenters and assessors hold the appropriate qualifications to carry out the delivery or assessment of the qualification.
- 1.6 Ensure that presenters and assessors have the occupational expertise as specified in the relevant assessment strategy.
- 1.7 Ensure that presenters and assessors are advised of WAMITAB's requirements for recording assessment decisions and maintaining assessment records.
- 1.8 Ensure that assessors carry out assessment in line with the current assessment standards.
- 1.9 Ensure that assessment decisions of assessors working towards their assessor qualifications are checked, authenticated and countersigned by an assessor or IQA who is qualified and holds the relevant occupational competence and expertise. The IQA must sample an increased proportion of assessment decisions by unqualified assessors.
- 1.10 Provide evidence of registration for the assessor qualification when seeking approval for the use of an individual who does not hold an assessor qualification.

- 1.11 Ensure that where assessors do not hold an assessor qualification, it is achieved within 12 months of starting their role unless agreed with the EQA in exceptional circumstances.
- 1.12 Ensure that assessors and learners provide a written declaration that learner evidence is authentic and that the assessment took place under the conditions or context set out in the assessment strategy.
- 1.13 Note that failure by Centres to provide a declaration of authenticity (paragraph 1.12) may result in grounds for suspension or withdrawal of approved status for the qualification in question.
- 1.14 Have performance management systems in place to monitor and evaluate the effectiveness of individuals involved with the process of presenting and assessment.
- 1.15 Provide appropriate continuing professional development (CPD) opportunities to enable assessors/IQAs to meet their responsibilities and gain an understanding of the relevant standards and assessment requirements. For example:
- Encouraging attendance at WAMITAB assessor and IQA CPD events
 - Sharing information provided by WAMITAB assessor and IQA CPD events at centre meetings.
 - Holding centre standardisation events.
 - Providing educational and occupational CPD updates.
- 1.16 Ensure that assessors and IQAs have submitted CPD records to the centre each year.
- 1.17 Ensure that there are processes in place for standardisation and quality assurance of assessment outcomes.
- 1.18 Maintain auditable records of centre standardisation activities that can be monitored by WAMITAB.
- 1.19 Ensure that learners are registered with WAMITAB prior to any assessments being undertaken. Assessment decisions dated **prior** to registration with WAMITAB will **not** be considered valid.

WAMITAB Assessed Qualifications

Centres must:

- 1.20 Adhere to the requirements set out in the WAMITAB Regulations for the Delivery of Multiple Choice Tests.
- 1.21 Adhere to the requirements set out in the WAMITAB Assessment Strategy, including - but not limited - to the requirements for tutor and invigilator competency and personnel requirements.
- 1.22 Comply with requests for information from WAMITAB, including - but not limited to - invigilation documentation, test venue information, test time information and learner information.

1.23 Provide access to tests for WAMITAB designated EQA or quality assurance personnel, without notice.

1.24 Have performance management systems in place to monitor and evaluate the effectiveness of individuals involved with the process of tutoring.

Internal Quality Assurance of WAMITAB Qualifications

Centres must:

- 1.1 Have a written IQA strategy and procedures to ensure the accuracy and consistency of assessment decisions between assessors working for the Centre.
- 1.2 Ensure that there are sufficient, appropriately qualified IQAs proportionate to the number of learners and assessors.
- 1.3 Ensure that IQAs are competent to perform their role.
- 1.4 Ensure that IQAs are approved by WAMITAB via Omnia, and that they have signed and returned the WAMITAB Assessor and IQA Code of Conduct prior to them commencing the delivery of the qualification with learners.
- 1.5 Ensure that IQAs have the occupational expertise as specified in the relevant assessment strategy.
- 1.6 Engage IQAs who will be responsible for:
 - Regularly sampling evidence of assessment decisions made by all assessors (interim and summative).
 - Observing the practice of the assessors (the frequency to be based on the risk rating allocated to the assessor).
 - Maintaining up to date records of IQA and sampling activity which can be made available to the WAMITAB EQA or quality assurance personnel.
 - Developing and establishing procedures to ensure that all assessors interpret the standards in the same way.
 - Monitoring and supporting the work of the assessors.
 - Facilitating appropriate staff development and training for assessors.
 - Providing feedback to the EQA on the effectiveness of assessment.
 - Ensuring that any corrective action required by WAMITAB is carried out within the agreed timescales.
- 1.7 Ensure that the decisions of IQAs working towards their internal quality assurance qualifications are checked, authenticated and countersigned by an IQA who is qualified and holds the relevant occupational competence and expertise.
- 1.8 Provide evidence of registration for the internal quality assurance qualification when seeking approval for the use of an individual who does not hold an internal quality assurance qualification.
- 1.9 Ensure that where IQAs do not hold an internal quality assurance qualification they achieve the qualification within 12 months of starting their role unless agreed with the EQA in exceptional circumstances.

1.10 Ensure that where IQAs undertake assessment at the Centre. In such cases, the IQA must have the appropriate qualifications and occupational expertise to do so. Please note that IQAs must not verify evidence which they have assessed.

1.11 Ensure unqualified IQAs do not sign-off qualification claims.

Data Requirements

Centres must have reliable and auditable systems and keep adequate records in order to track learner progress for initial assessment, assessment, internal quality assurance and claims for certification. The information to be maintained must include:

Learner records detailing:

- Learner name
- Date of birth
- Confirmation of learner's identity (birth certificate, passport, driving licence, National Insurance Card, Benefit documents)
- Contact address
- Workplace address and contact details
- Assessor name
- Name of internal quality assurer
- Date of registration with WAMITAB
- Unique Learner Number (ULN) (where a Learner agrees to have one)
- WAMITAB Learner number
- Certification date for full qualification or units
- Date when Learner left the Centre and reason
- Details of Learners who have transferred from another Centre

Assessment records detailing:

- Who assessed what and when
- The assessment decision
- The assessment methods used for each unit and the location of the supporting evidence

Internal quality assurance activity records detailing:

- Who quality assured what and when
- Details of the sample and its rationale
- Records of standardisation meetings
- Records of assessor support meetings
- Assessor and IQA competence and the monitoring of individuals who are working towards and assessment or internal quality assurance qualification

Requirements for the Retention of Learner Evidence

Centres are required to keep Learner portfolios and the associated assessment and IQA records and make them available to the WAMITAB EQA for the purposes of external quality assurance activities. Following the external quality assurance activity the portfolio may be released to the learner.

Record Keeping

The Centre must retain the assessment and internal quality assurance records for a minimum of 3 years from the date of certification

Centres should treat learner evidence, records of assessment and records of internal quality assurance as confidential and should ensure that they are kept securely. It is the responsibility of the centre to ensure that it complied with the requirements of data protection legislation.

Centres must maintain accurate and verifiable records. In terms of learner assessment records, the centre must hold details of:

- Who assessed what, and when
- The assessment decision
- The assessment methods used for each unit and the location of the supporting evidence

For all qualifications, records of IQA activity, detailing:

- Who quality assured what, and when
- Details of the sample and its rationale
- Records of standardisation meetings
- Records of assessor support meetings
- Assessor and IQA competence and the monitoring of individuals who are working towards an assessment or internal quality assurance qualification

Registration and Certification

- 1.1 Centres must register learners with WAMITAB within six weeks of enrolling with the Centre.
- 1.2 Learners must be registered with WAMITAB before assessment is conducted; failure to do so may result in actions and/or sanctions upon the Centre.
- 1.3 Centres must ensure that they have a system in place that allows for certificate claims to be validated and authenticated by an appropriately qualified and occupationally competent IQA.
- 1.4 Centres that do not have direct claims status must have their certificate claims authorised by a WAMITAB EQA.
- 1.5 Centres must notify the Qualifications Manager at WAMITAB when claims for certification have been made in error.
- 1.6 A member of staff or contracted staff at a Centre who wishes to register for a WAMITAB qualification must inform the Qualifications Manager at WAMITAB.

Withdrawal

Specific Qualifications – Centre Decision

Where a centre chooses not to offer a specific qualification any longer, the Head of Centre must inform WAMITAB in writing as soon as the decision is made. The notification must include the details of the qualification(s), the rationale for the decision, the timescales and details of a contingency plan for learners who may not have completed their qualification.

Qualification(s) Approval – WAMITAB Decision

Where there are significant faults in the management and quality assurance of a specific qualification(s) which result in the ongoing failure to meet the requirements, WAMITAB reserves the right to withdraw qualification(s) approval (see Section 9: Tariff of Actions and Sanctions). The centre is required to fully cooperate with WAMITAB during the process in order to protect the interests of learners.

Centre Approval – Centre Decision

Where a centre no longer wishes to hold centre approval with WAMITAB, the Head of Centre must advise WAMITAB in writing. The notification must include the rationale for the decision, the timescales and details of a contingency plan for learners who may not have completed their qualification.

Centre Approval – WAMITAB Decision

Where there are significant faults in the management and quality assurance of all qualifications or previously agreed corrective measures have not been implemented, WAMITAB reserves the right to withdraw centre approval immediately. The centre is required to fully cooperate with WAMITAB during the process of withdrawal of centre approval in order to protect the interests of learners.

Monitoring Centres (Post Approval)

WAMITAB EQAs will conduct activities to check compliance with the Centre approval criteria and check previous actions as agreed with the Centre. Sometimes the EQA may identify issues which require an action or sanction to be applied to ensure that the integrity of our qualifications and maintain WAMITAB's compliance with the Regulatory criteria.

Tariff of Actions and Sanctions

Please note: for further details please see WAMITAB's Sanctions Policy (0160).

Level 1 Action – Entry in action plan <i>Rationale: Non-compliance with Centre Approval Criteria but no threat to the integrity of the assessment decisions.</i>	Centre Approval Criteria no.
1.1 The Centre's aims and policies in relation to how qualifications are supported are not clear or well understood by the assessment team.	1.1.1
1.2 IQA procedures and activities are not clearly documented.	1.1.4
1.3 Communication within the assessment team and with WAMITAB is ineffective	1.1.5
1.4 Equipment and accommodation do not comply with health and safety legislation	1.2.2
1.5 Insufficient qualified assessors	1.2.3
1.6 Assessors and IQAs do not have adequate development plans	1.2.4
1.7 Learners are not aware of their rights and responsibilities (e.g. complaints and appeals procedure)	2.1.1 2.1.5
1.8 There is inadequate assessment planning with learners	2.1.2 2.1.3
1.9 Queries are not resolved or recorded	2.2.2
1.10 Range of assessment methods is insufficient to encourage access	2.2.1
1.11 Changes to personnel of the assessment and internal quality assurance team are not notified to WAMITAB.	1.2.6
1.12 Unit certification is not made available to learners	2.2.7
1.13 There is inadequate monitoring or review of procedures	3.2.1 3.2.2 3.2.3 3.2.4

Level 2 Action – Removal of direct claims status for certification, claims must be authorised by the external quality assurer <i>Rationale: Close scrutiny of the integrity of the integrity of the assessment decisions required</i>	Centre Approval Criteria no.
2.1 Assessors have insufficient time, resources or authority to perform their role	1.2.5
2.2 Decision of unqualified assessors have not been countersigned by qualified assessor	2.2.3
2.3 Assessment decisions are not consistent	2.2.4
2.4 Insufficient qualified IQAs	1.2.3
2.5 Decisions of unqualified IQAs have not been countersigned by qualified IQAs	2.2.5
2.6 Records are insufficient to allow audit of assessment	3.1.2
2.7 Previously agreed corrective measures relating to Level 1 Actions are not implemented	3.2.1

Level 3 Sanction:	Centre Approval Criteria no.
<ul style="list-style-type: none"> • Level 3A – suspension of registration <i>Rationale 3A: Threat to Learners/Candidates</i> • Level 3B – suspension of certification <i>Rationale 3B: Loss of integrity of assessment decisions and danger of invalid claims for certification</i> 	
3A.1 Assessment processes disadvantage learners	2.1.1 2.1.2 2.1.3 2.1.4 2.1.5
3A.2 Assessment decisions are unfair	1.1.2 2.1.1 2.1.2 2.1.3 2.1.4 2.1.5 2.2.4
3B.1 No qualified IQA	1.2.3
3B.2 Assessment does not meet the required standards	2.2.1 2.2.2 2.2.3 2.2.4
3B.3 The Centre fails to provide access to requested records, information, learners and staff	2.2.6
3B.4 Assessed evidence is not authentic work of the learner	3.1.1
3B.5 Records of assessment show serious anomalies	3.1.1 3.1.2 3.1.3 3.1.4
3B.6 Certification claims made before all the requirements of assessment are satisfied	3.1.3
3B.7 Previously agreed corrective measures relating to Level 2 Actions are not implemented	3.2.1

Level 4 Sanction – Withdrawal of Centre approval for specific qualification(s)
<i>Rationale: Irretrievable breakdown in management and quality assurance of specific qualifications</i>
4.1 Significant faults in the management and quality assurance of the specific qualification(s) which result in an ongoing failure to meet the core requirements for the conduct of assessment and internal quality assurance
4.2 Previously agreed corrective measures relating to Level 3 non-compliance have not been implemented

Level 5 Sanction – Withdrawal of Centre approval for all qualifications
<i>Rationale: Irretrievable breakdown in management and quality</i>
5.1 Significant faults in the management and quality assurance of all WAMITAB qualifications offered by the Centre
5.2 Previously agreed corrective measures relating to Level 4 non-compliance have not been met

WAMITAB Policy

All WAMITAB centres are expected to read and comply with the following policies:

0030	Policy: Malpractice and Maladministration
0049	Policy: Zero Tolerance
0051	Policy: Complaints Procedure
0054	Policy: Reasonable Adjustment
0055	Policy: Special Consideration
0058	Policy: Regulations for the Conduct of WAMITAB MCQ Tests
0076	Policy: Issuing Replacement Certificates
0088	Policy: Use of languages
0089	Policy: Equal Opportunities
0094	Policy: Record Keeping
0104	Policy: Enquiries and Appeals
0110	Policy: Plagiarism
0114	Policy: Learner Sanctions and Penalties
0151	Policy: Whistle blowing
0159	Policy: Assessment Staff Sanctions and Penalties
0160	Policy: Sanctions

WAMITAB Guidance

All WAMITAB centres can access the following guidance documents:

0001	Centre Support Guide
0002	WAMITAB Brand Standards
0003	Standardisation Good Practice Guidance
0014	Guidance for Assessing in the Work Environment
0015	Guidance for Internally Assessing the Quality of Assessment
0023	Omnia Centre User Guide
0053	Centre Social Media Guide
0140	Guidance for RPL, Exemption and Equivalents



WAMITAB
Peterbridge House
3 The Lakes
Northampton
NN4 7HE

Tel: 01604 231950

Email: info.admin@wamitab.org.uk

Web: www.wamitab.org.uk

