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Self-assessment Checklist

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# Contents

[Introduction 4](#_Toc88631120)

[CIWM (WAMITAB) Qualifications Centre Delivery Team 4](#_Toc88631121)

[Qualifications Approved during EQA Visit 5](#_Toc88631122)

[Supporting Documents 5](#_Toc88631123)

[CIWM (WAMITAB) Qualifications Centre Approval Criteria 6](#_Toc88631124)

[Section 1: Policies and Procedures 6](#_Toc88631125)

[Section 2: Staffing 7](#_Toc88631126)

[Section 3: Communication with CIWM 9](#_Toc88631127)

[Section 4: Resources 10](#_Toc88631128)

[Section 5: Learner Support 11](#_Toc88631129)

[Section 6.1: Vocational Qualification Delivery 12](#_Toc88631130)

[Section 6.2: Taught and Tested Qualification Delivery 13](#_Toc88631131)

[Section 7: EQA Review 14](#_Toc88631132)

# Introduction

CIWM has produced this document to assist CIWM (WAMITAB) Qualifications Centres wishing to become approved to deliver CIWM portfolio based qualifications. The below checklist details common policies, procedures and practices which underpin effective operations in line with CIWM’s quality assurance requirements for approved CIWM (WAMITAB) Qualifications Centres. It is recommended that a prospective CIWM (WAMITAB) Qualifications Centre use the checklist to gain a better insight into its current position against each section and identify where any gaps in administrative and quality systems may exist. This will help prepare for the subsequent approval visit carried out by a CIWM External Quality Assurer (EQA).

# CIWM (WAMITAB) Qualifications Centre Delivery Team

### Vocational Qualifications

CIWM expects that Assessors and Internal Quality Assurers (IQAs) involved in the delivery of CIWM portfolio based qualifications hold the appropriate qualifications and competence to carry out their roles. Assessors and IQAs must be approved by CIWM **prior** to them commencing delivery of CIWM qualifications. Assessor and IQA CVs and certificates should be provided to CIWM for approval.

**Please refer to:**

* Code of Practice for CIWM Qualifications Delivery
* CIWM (WAMITAB) Qualifications Centre Support Guide

### Taught and Tested Qualifications

CIWM expects that trainers/tutors/teachers delivering knowledge and understanding qualifications and units should have relevant competence and expertise in the subject that they are delivering and have experience of delivering vocational learning. CIWM has produced and is able to provide learning and teaching materials to support delivery. As such, trainers/tutors/teachers must be familiar with the content of the qualification and its associated materials.

In order to approve non-occupationally competent trainers/tutors/teachers for the delivery of this qualification, CIWM will require evidence that they have attended tutor training relating to the CIWM qualification they wish to deliver. Trainers/tutors/teachers must be approved by CIWM **prior** to them commencing delivery of CIWM qualifications. Trainer/tutor/teacher CVs and certificates should be provided to CIWM for approval. Trainers/tutors/teachers are not permitted to invigilate tests relating to the CIWM qualifications they deliver.

**Please refer to:**

* Regulations for the Conduct of CIWM Multiple Choice Tests
* Code of Practice for CIWM Qualifications Delivery
* CIWM CIWM (WAMITAB) Qualifications Centre Support Guide

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# Qualifications to be Approved during EQA Visit

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| **CIWM Code** | **Quartz Programme ID** | **Quartz Qualification ID** | **Qualification Title** |
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## Supporting Documents

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| **Abbreviation** | **Centre Document Index** |
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# CIWM (WAMITAB) Qualifications Centre Approval Criteria

## Section 1: Policies and Procedures

*CIWM (WAMITAB) Qualifications Centres must ensure that they have clear policies and procedures in place, including standard operating procedures, position guidelines, legal protection, ethical protection and safety guidelines. This ensures staff and learners understand what is expected of them and what they can expect from the CIWM (WAMITAB) Qualifications Centre.*

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| **Code** | **Criteria** | **Evidence Centre Meets Criteria** |
| 1.1.1 | The CIWM (WAMITAB) Qualifications Centre’s aims and management system in relation to the qualification delivery are supported by senior management and understood by the delivery team. |  |
| 1.1.2 | The CIWM (WAMITAB) Qualifications Centre has documented policies and procedures in place to provide advice and guidance; and these are understood by all staff (e.g. assessors, tutors, invigilators, IQAs etc.) and complied with. |  |
| 1.1.3 | The CIWM (WAMITAB) Qualifications Centre’s quality assurance procedures and activities are:   * Clearly documented * Consistent with national requirements * Ensure the quality and consistency of delivery/ assessment/invigilation |  |
| 1.1.4 | The CIWM (WAMITAB) Qualifications Centre has an established appeals procedure, which is documented and made available to all learners. |  |
| 1.1.5 | The CIWM (WAMITAB) Qualifications Centre’s information and recording systems enable learner's achievements to be monitored and reviewed in relation to the CIWM (WAMITAB) Qualifications Centre’s equal opportunities policy. |  |
| 1.1.6 | The CIWM (WAMITAB) Qualifications Centre is compliant with the General Data Protection Regulations (GDPR). |  |
| 1.1.7 | The CIWM (WAMITAB) Qualifications Centre's achievements are monitored and reviewed and used to inform future centre developmental activity. |  |

## Section 2: Staffing

*CIWM (WAMITAB) Qualifications Centres must ensure that the roles, responsibilities, authorities and accountabilities of all staff (including those employed peripatetically) to facilitate effective management.*

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| **Code** | **Criteria** | **Evidence Centre Meets Criteria** |
| 2.1.1 | The roles, responsibilities, authorities and accountabilities of the following staff across all assessment sites are clearly defined, allocated and understood:   * Head of CIWM (WAMITAB) Qualifications Centre * CIWM (WAMITAB) Qualifications Centre coordinator * CIWM (WAMITAB) Qualifications Centre administrator(s) * Assessors * Tutors * IQAs * Invigilators |  |
| 2.1.2 | There are sufficient occupationally competent and qualified delivery staff to meet demand in terms of:   * Assessors * Tutors * IQAs * Invigilators |  |
| 2.1.3 | Delivery, assessment, internal quality assurance and invigilation is conducted by suitable persons without a personal interest or conflict of interest. |  |
| 2.1.4 | Delivery staff have sufficient time, resources and authority to perform their roles and responsibilities effectively including:   * Assessors * Tutors * IQAs * Invigilators |  |
| 2.1.5 | A staff development programme is established for delivery staff in line with identified needs including:   * Assessors * Tutors * IQAs * Invigilators |  |

## Section 3: Communication with CIWM

*Effective communication with CIWM ensures that CIWM (WAMITAB) Qualifications Centres receive suitable information, advice and guidance. It also ensures that CIWM can support CIWM (WAMITAB) Qualifications Centres to manage any quality assurance incidents effectively to minimise learner disadvantage.*

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| **Code** | **Criteria** | **Evidence Centre Meets Criteria** |
| 3.1.1 | CIWM (WAMITAB) Qualifications Centre advised of the requirements for access to premises, records, information, learners and staff for the purpose of external quality assurance. |  |
| 3.1.2 | Requests are complied with for access to premises, records, information, learners and staff for the purpose of external quality assurance. |  |
| 3.1.3 | There is effective communication within the delivery team and with CIWM. |  |
| 3.1.4 | Queries about the qualification specification, assessment guidance or related CIWM materials are resolved and recorded. |  |
| 3.1.5 | Information supplied to CIWM for the purposes of registration and certification is complete and accurate. |  |
| 3.1.6 | CIWM (WAMITAB) Qualifications Centre staff are familiar with Quartz and able to access/ use the system |  |
| 3.1.7 | CIWM is notified of any changes which may affect the CIWM (WAMITAB) Qualifications Centre’s ability to meet the approved CIWM (WAMITAB) Qualifications Centre criteria |  |

## Section 4: Resources

*CIWM (WAMITAB) Qualifications Centres must ensure they have sufficient resources to meet business requirements and deliver assessments to learners while maintaining compliance with Government legislation.*

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| **Code** | **Criteria** | **Evidence Centre Meets Criteria** |
| 4.1.1 | Resource needs are accurately identified in relation to the specific award and resources are made available. |  |
| 4.1.2 | Equipment, accommodation and sites used for the purposes of assessment comply with relevant legislation relating to health and safety and access by Learners. |  |

## Section 5: Learner Support

*CIWM (WAMITAB) Qualifications Centres must ensure that they are able to provide adequate support to learners so they can meet the requirements of assessment. Learners should also be provided with opportunities to feedback to CIWM (WAMITAB) Qualifications Centres to improve procedures and practices.*

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| **Code** | **Criteria** | **Evidence Centre Meets Criteria** |
| 5.1.1 | Information, advice and guidance about qualification procedures and practices are provided to learners and potential learners.  **Unique Learner Number (ULN) – Funded Provision only**  Unless the learner chooses not to have one, the CIWM (WAMITAB) Qualifications Centre has in place arrangements to provide the learner with a ULN. ULN’s are mandatory for government funded learners. |  |
| 5.1.2 | Learner’s development needs are matched against the requirements of the qualification and an agreed individual learning/assessment plan is established |  |
| 5.1.3 | Learners have regular opportunities to review their progress and goals and to revise their learning/assessment plan accordingly. |  |
| 5.1.4 | Particular assessment requirements and needs of learners are identified and met where possible. |  |
| 5.1.5 | Qualification certificates are made available to learners |  |
| 5.1.6 | Learner, employer and other feedback is used to evaluate the quality and effectiveness of qualification provision against the CIWM (WAMITAB) Qualifications Centre's stated aims and policies, leading to continuous improvement. |  |

## Section 6.1: Vocational Qualification Delivery

*This section outlines the criteria that specifically applies to CIWM (WAMITAB) Qualifications Centres delivering assignment and portfolio based assessed qualifications. CIWM (WAMITAB) Qualifications Centres must ensure they have the systems in place to deliver vocational qualifications to a high standard in accordance with CIWM requirements.*

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| **Code** | **Criteria** | **Evidence Centre Meets Criteria** |
| 6.1.1 | The CIWM (WAMITAB) Qualifications Centre has the staff, resources and systems necessary to support the delivery of the qualification.  For vocational qualifications, this includes :   * Assessment of units * Application of exemptions and/or Recognition of Prior Learning (RPL) |  |
| 6.1.2 | Access to assessment is encouraged through the use of a range of valid assessment methods. |  |
| 6.1.3 | CIWM (WAMITAB) Qualifications Centre portfolios have a clear, auditable structure. |  |
| 6.1.4 | Assessment decisions and practices are regularly sampled and findings are acted upon to ensure consistency and fairness. |  |
| 6.1.5 | The effectiveness of the internal quality assurance strategy is reviewed against national requirements and corrective measures are implemented. |  |

## Section 6.2: Taught and Tested Qualification Delivery

*This section outlines the criteria that specifically applies to CIWM (WAMITAB) Qualifications Centres delivering taught and tested qualifications, particularly those assessed by centrally assessed multiple choice questions. CIWM (WAMITAB) Qualifications Centres must ensure they have the systems in place to deliver taught and tested qualifications to a high standard, while complying with CIWM requirements.*

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| **Code** | **Criteria** | **Evidence Centre Meets Criteria** |
| 6.2.1 | The CIWM (WAMITAB) Qualifications Centre has the staff, resources and systems necessary to support the delivery of the qualification(s). |  |
| 6.2.2 | CIWM (WAMITAB) Qualifications Centre delivery team are familiar with and applying:   * Relevant assessment strategy for qualification being delivered * Regulations for the Conduct of CIWM MCQ Tests * Reasonable adjustments policy * Special considerations policy |  |
| 6.2.3 | For online delivery:   * All equipment meets the IT specification for use of Classmarker * Staff are able to follow procedures to order exam links within appropriate timeframes * Invigilation documents are completed and returned to CIWM within appropriate timescales |  |
| 6.2.4 | For paper based delivery:   * Staff are able to follow procedures to order exam papers within appropriate timeframes * Invigilation documents are completed and returned to CIWM within appropriate timescales |  |

## Section 7: EQA Review

*CIWM (WAMITAB) Qualifications Centres must ensure that they implement any action set by their EQA during a visit. Failure to do so may result in further actions and sanctions being applied.*

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| **Code** | **Criteria** | **Evidence Centre Meets Criteria** |
| 7.1.1 | Actions identified by External Quality Assurer as part of the CIWM (WAMITAB) Qualifications Centre approval visit and routine visit will be disseminated to appropriate staff and actions met in the time frames stated. |  |



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