

Assessment Results Approval Guidelines & Work Instructions

Purpose

The results of assessments carried out on all ETB Training Centre programmes are approved through a results approval process. The purpose of this document is to:

- Give background and clarity on the ETB Training Centre assessment results approval process with particular emphasis on the membership and operation of a results approval panel.
- Detail how the ETB Training Centre intends to build on our traditional good practice and establish a process which involves authorised assessment staff collaborating in a more structured way through meetings of Results Approval Panels.

Introduction

The ETB Training Centre has a long established assessment results approval process in place for all training programmes certified by an Awarding Body. Traditionally, the ETB Training Centre assessment results approval occurs as results are signed off by a number of authorised staff¹ on a Summary Assessment Record Sheet² in advance of submitting a request for certification for a group of learners. Before signing off, authorised staff are required to ensure that the assessment results are valid³. This process has included the possibility of authorised staff consulting with each other to review assessment outcomes and to discuss and resolve any issues arising.

The ETB Training Centre proposes to establish structured meetings of authorised staff to act as a Results Approval Panel. A Results Approval Panel formally reviews and approves assessment results and authorises the request for certification.

The work of the Results Approval Panel is broadly outlined in the ETB Training Centre National Quality Assurance Assessment Operating Procedures⁴ which states:

- 15.1.1 *Relevant assessment personnel will present assessment results and completed documentation to the management of the Division that provides, organises or procures the training programme prior to submitting such results and documentation to the relevant Awards Council for certification.*

¹ "Instructors /Trainers should be authorised to implement assessment programmes by the relevant regional manager (Training Centre Manager, External Training Manager or Services to Industry Manager)", QA 98/02, pg 8

² "Instructors /Trainers must prepare and use the **Summary Assessment Record Sheet** for all trainees who are entered for ETB Training Centre Assessment Programmes. Copies of this Summary Assessment Record Sheet, duly signed by the relevant Section Head/Senior Training Officer must be submitted to the Curriculum Officer when requesting certificates." QA 98/02 pg 11

³ "The signatures of persons operating in this capacity will be a further declaration that the assessment procedures were complied with and are entirely valid" QA 98/02, pg 11.

⁴ "National Assessment Operating Procedures" in the ETB Overarching QA Manual, 2006, Pg. 156, as agreed with QQI FETAC and HETAC

- 15.1.2 *Management of the Division that provides, organises or procures the training programme will approve all documentation and authorise the request for certification.*

Results Approval Panel – Role, Scope, Composition and Process

- The role of the Results Approval Panel⁵ is to ensure that:
 - a) Results are fully quality assured and signed off by authorised people in the ETB Training Centre prior to submission to QQI/FETAC/Awarding body
 - b) Appropriate decisions are taken regarding the outcome of the assessment, verification and authentication processes
 - c) ETB Training Centre assessment procedures are observed
 - d) Appropriate evidence⁶ and records are available
 - e) Suspected irregularities are investigated
 - f) Confirmed assessment irregularities are addressed appropriately
 - g) Any non-conformances are logged on the Transition Quality Assurance System through the TQAS Issues Log
 - h) Review any recheck outcomes which are unsatisfactory to the learner.
- The ETB Training Centre results approval process applies to all assessments leading to awards. All Results are provisional until approved by the Results Approval Panel. Certification may not be requested from any awarding body in advance of the approval of results agreed at the results approval panel meeting and the completion of the relevant Course Summary Assessment Sheet and Results Approval Form.
- The results approval process for the Standards Based Apprenticeship will be carried out by the Services to Business Manager as the chair of the results approval panel, and this panel will approve results in accordance with the process as set out in “TQAS-6h Results Approval Process and Meeting” and in accordance with procedures 47, 48, 49 & 50 of the SBA procedures manual. (See process map TQAS-8i). For Phase 2 and Phase 7 Assessment Equivalent, the relevant ETB Training Centre Manager is the chair of the results approval panel.

⁵ Please note the following extract from “Quality Assuring Assessment – Guidelines for Providers” FETAC, May 2007

“5.1 Results Approval Panel

...The role of the Results Approval Panel is to;

- *meet as required to review and approve assessment results*
- *review reports of the External Authenticator*
- *review reports of the internal verification and external authentication process*
- *agree to the submission of final results to QQI FETAC to request certification*
- *identify any issues arising in relation to the results and make recommendations for corrective action.”*

⁶ Evidence produced by candidates should be assessed against the stated criteria for its authenticity, relevance, and sufficiency. In the absence of particular items of evidence as described in the assessment instrument the results approval panel may in exceptional circumstances consider an assessors report of alternative evidence if appropriate

- The results approval process for Constructions/Quarrying Skills Certification Scheme will be carried out by the Services to Business Manager (regional) as the chair of the results approval panel.
- The membership of the Results Approval Panel consists of fixed and occasional members. A minimum of 3 people are required to ensure the assessment decisions are valid. The Chair of the Results Approval Panel is the relevant ETB Training Centre manager for that Programme.

Members:

- Relevant ETB Training Centre Manager Chair
- Training Standards Officer for the relevant process⁷
- Relevant ETB Training Centre Assistant Manager^{8 & 9}

The Results Approval Panel Chair may invite other members for a particular section of the meeting as appropriate e.g.:

- Assessor
 - ETB Training Centre Instructor(s)
 - Internal Verifier(s)
 - Representatives of second providers
 - Independent subject matter specialist
- Meetings are arranged in lined with the AVAA Calendar or as required to address the volume of assessments and minutes of meeting should be available locally for staff members.
 - Minutes of the results approval panel will be produced outlining the issues discussed and decisions reached. These minutes will form part of the assessment record and must be retained by the Training Standards Officer and be made available for monitoring purposes.
 - A key outcome of each meeting is that the results approval form is completed for the relevant learners and signed off as appropriate by relevant assessment personnel and the chair of the results approval panel.
 - Only the fixed members of the panel are asked to approve results. The fixed members of the panel should strive to reach consensus on all results approved at the meeting. In the event of a disagreement, fixed panel members, who have a difference from the majority view, will have their views recorded if requested.

⁷ For SBA Results approval, the panel will consist of the Chair (Manager), STB Adviser will become a fixed member of that panel for results other than those submitted by that STB Adviser.

⁸ Where there is no STB Assistant Manager in the region, a STB Senior Training Adviser will become the 3rd fixed member of the panel.

⁹ For CSCS and QSCS Programmes a management representative from the Programme Unit will be the 3rd panel member.

Assessment Results Approval Procedure

Panel Meeting

1. The relevant ETB Training Centre Manager convenes a Results Approval Panel meeting as required.
2. The relevant assessment personnel present the assessment results for a programme or a number of programmes through the Training Standards Officer.
3. External Authentication reports along with additional documentation including internal verification of assessment results checklist and where applicable, internal verification reports on the conduct of assessment process, peer review reports and appeals outcomes are presented for each programme as appropriate by the Training Standards Officer.
4. The panel discuss each set of results including any concerns or irregularities or breach of assessment regulations and advises on appropriate corrective or improvement actions, if required.
5. Representatives of second providers or other personnel may be invited to attend for a particular section of the results approval meeting as appropriate.
6. The panel considers the reports and approves the final results. Panel decisions are recorded and the chairperson arranges for relevant parties to be notified.
7. The panel authorises the Assistant Manager / Training Standards Officer to inform the relevant personnel and learners of the approved results. The relevant ETB Training Centre Manager will arrange for the Second Provider to be notified of the results approved by the panel so that they can inform learners of the approved result.
8. The Course Summary Assessment and Results Approval Form is completed and signed off by the fixed panel members who approve the results.

Requesting Certification

- a) The Course Summary Assessment and Results Approval Form signed by the Chair of the Results Approval Panel is the authorisation for TSO to request certificates. QQI FETAC issues certificates for all the results received except those flagged up as under appeal.
- b) Appealed results are processed under the ETB Training Centre National Assessment Procedures - Learner Appeal Process and a status is given at the next Results Approval Panel meeting.
- f) The panel will ensure that any non-conformances will be logged as appropriate.