

Quality Guidance Manual

Quality Assurance Framework

CAP 2203



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Enquiries regarding the content of this publication should be addressed to: avsec.qa@avsec.caa.co.uk

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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.


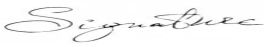

The trainee acknowledges the recommended outcome and signs the form. If resolved, no further action is required. If unresolved move to Stage 3.

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. <input checked="" type="checkbox"/> 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. <input checked="" type="checkbox"/> 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;

- support trainees with specific needs;
- manage reasonable adjustments and special considerations

We ensure that any recruitment practices, including entry requirements, take account of the potential for anti-discrimination and we publish our commitment to equality in any materials promoting our training.

We provide our stakeholders with details of how to raise issues related to equality via our complaints policy.

We work with trainees to determine any specific support needs they may have by:

- identification at recruitment stage
- asking them to complete a self-declaration
- ensuring that our instructors can identify specific learning needs through a diagnostic activity during a course introduction
- ensuring that our instructors review trainee progress through formative assessment with a view to identifying specific learning needs through a diagnostic activity

We ensure our induction and review processes for instructors and trainees include reference to this policy.

We are inclusive in the way we provide support and endeavour not to highlight to others any individual's support needs. We ensure that details of support needs and support provided are recorded. Documentation is retained for X months following end of employment/training.

We work with individuals to remove, where practical, barriers to achievement. Details of any special considerations and reasonable adjustments will be recorded and made available to the CAA if requested.

We use recruitment and trainee review processes to review the provision of resources required to support training and assessment, and ensure we have in place appropriate physical resources to support trainees.

We maintain confidentiality of any trainee information related to additional support needs.

We monitor our compliance with this policy by collecting data through trainee and employee applications, feedback and outcomes.

We ask all of our stakeholders to affirm their commitment to equality and diversity during induction for trainees through the application process, when signing contracts of employment, induction and during performance review meetings for training provider staff.

We expect our stakeholders to treat people as they would like to be treated – fairly, equally, with courtesy and respect, challenging inappropriate behaviour, being open and

honest in dealing with other people and organisations, protecting personal privacy and keeping commercial confidence.

Reasonable adjustments

Where reasonable adjustments are notified by stakeholders, trainees, or identified through diagnostic assessment, we will work with the trainee to provide reasonable adjustments to support their training needs. We will conduct a meeting with the trainee to discuss their needs and where possible produce an individual training action plan to provide a commitment to the trainee, inform instructors/assessors, and to retain on the trainees record for future training.

To support a trainee who request/requires reasonable adjustments during training we will, based on their needs provide:

- handouts on a coloured paper suited to their needs
- coloured overlays for computer work suited to their needs
- large font handout
- alternative methods to display information
- access to the presentation slides in advance on paper
- a reader/translator
- 1-2-1 additional support
- the use of a dictionary
- computer software to provide an audio transcript
- a suitable location in the training rooms as identified by the trainee

If we do not believe an adjustment is reasonable, we will explain the reason for our decision and allow the trainee to appeal the decision by following our *complaints policy*.

To support a trainee who request/requires reasonable adjustments during assessments we will, based on their needs provide:

- written assessments on a coloured paper suited to their needs
- coloured overlays for computer work suited to their needs
- large font assessments
- additional time during assessments
- alternative methods to display information
- a reader/translator/scribe
- the use of a dictionary

- computer software to provide audio transcript
- a suitable location in the assessment room as identified by the trainee
- a separate room to allow quiet concentration
- an alternative method for conducting the assessment

If we do not believe an adjustment is reasonable, we will explain the reason for our decision and allow the trainee to appeal the decision by following our *complaints policy* prior to an assessment being undertaken, or after an assessment is undertaken via our *appeals against an assessment decision policy*.

Special considerations

A trainee may make a request for special consideration following an assessment by contacting XX in writing or via email with the reason for the request and evidence to support the request being made.

XX will consider each request on a case by case basis and outline in writing the decision and recommended actions. Where a case is declined there will be no recommended actions. Should a trainee wish to appeal a decision they should follow the *appeals against an assessment decision policy*.

The following is a list of acceptable special considerations:

- Bereavement – death of close relative/friend/significant other.
- Serious short-term illness or accident.
- Significant adverse personal/family circumstances.
- Significant disruption of an examination.
- Other significant exceptional factors for which there is evidence of stress causes.

We will not accept requests where the reasons for requesting special considerations include:

- a clear case that circumstances relied on were foreseeable or preventable
- pressures of other paid work
- holidays
- claims that trainees were unaware of the dates or times of examinations
- poor time management

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

Our commitment

Valid and reliable assessment occurs when trainees present authentic and current evidence of their knowledge, understanding and skills which are assessed by assessors against specified standards.

The purpose of this policy is to limit the threat to the integrity of those assessment decisions.

Our procedures

- We inform trainees and stakeholders what constitutes malpractice.
- We inform trainees and stakeholders of the implications of malpractice.
- We regularly review our procedures and documentation to minimise the risk of malpractice.
- We ask our trainees to confirm the authenticity of all evidence submitted for assessment by signing an authenticity statement.
- Where malpractice is suspected, a formal procedure is to be followed.

Malpractice procedures

- Trainees are provided with examples of malpractice during induction.
- Trainees are provided with information to support their use of appropriate referencing of sources (Where appropriate).
- Instructors/assessors are trained on how to identify malpractice.
- Team meetings are used to assess the risk of malpractice through the design of summative assessment activities.
- Trainees sign a declaration of authenticity when any evidence is submitted for summative assessment.

- A standard, time limited, sequenced and documented process for the training provider and trainee to follow when malpractice is suspected will be used.

Where malpractice from a trainee is suspected:

Stage 1

The individual will be notified of the issues and possible consequences. This will be added to the assessment feedback sheet. The trainee will have the opportunity to present a case to XX.

XX will be notified of the issues. XX investigates by;

- scrutinising evidence
- discussing with the instructor/assessor
- discussing with the trainee

XX makes a decision and informs both the trainee and instructor/assessor and a sanction.

Sanctions include;

- a warning
- a fail grade given to the summative assessment with no opportunity for resubmission
- a fail grade given to the summative assessment with an opportunity for resubmission
- exclusion from the course

A record of the process, the evidence and the conclusion will be maintained and contribute to the training programme review and evaluation.

Stage 2

If the trainee disagrees with the outcome of the investigation by XX and/or the sanction to be applied, they must submit an appeal to XX.

XX review will include;

- a scrutiny of all documentation
- an interview with the trainee
- an interview with the instructor/assessor
- an interview with the IQA

XX makes a decision and informs the trainee, instructor/assessor and XX.

A record of the process, the evidence and the conclusion will be maintained and contribute to the training programme review and evaluation.

Stage 3

Where the trainee disagrees with the outcome of the investigation, they must notify XX. They will review all evidence and contact all parties with their decision. Their decision is final.

Examples of malpractice by trainees

Plagiarism of any nature, for example:

- Taking extracts from another person's work, published or unpublished without using quotation marks and/or acknowledging the source.
- Using ideas of another person without acknowledgement;
- Copying or using the work of another trainee without their permission.
- Purchasing essays or downloading them.
- Working collaboratively with other trainees to produce work that is submitted as individual trainee work.
- Copying (including the use of ICT to aid copying).
- Deliberate destruction of another's work.
- Fabrication of results or evidence.
- False declaration of authenticity in relation to the contents of a portfolio or coursework.
- Impersonation by pretending to be someone else in order to produce the work for another or arranging for another to take one's place in an assessment.

Examples of malpractice by employees

- Inventing or changing marks for internally assessed work (coursework or practical observations) where there is insufficient evidence of the candidates' achievement to justify the marks given or assessment decisions made.
- Fraudulent claims for certificates.
- Assisting trainees in the production of work for assessment, where the support has the potential to influence the outcomes of assessment.
- Producing falsified witness statements, for example for evidence the trainee has not generated.
- Allowing evidence, known by the staff member, not to be the trainee's own to contribute to assessment decisions.

Chapter 2

Aspect 1.2 Training and assessment materials

Guidance – Session planning

Each session or module must have its own session plan (lesson plan). This should contain specific detail and act as a guide to the instructor on how they will deliver that session to the trainee. For example, the Aircrew syllabus with 7 modules may have 7 session plans – one for each module. Alternatively it may be broken down into sections throughout a day.

Guidance - A good session plan should include enough detail that it can be shared between instructors to enable a session to be covered by a different instructor if the allocated instructor is unavailable.

The session plan should use a template (the exemplar may be copied). Where more detail is required for instructors on content or activity instructions this should be provided as instructor notes in addition to session plans. It is not acceptable to use slides to neither guide instructors on training content nor use the notes section under slides instead of session plan templates. Session plans should be specific to the trainees being trained and should be amended to meet the needs of each instructor, training group, course. As a minimum the session plan must contain:

- Session name, date and instructor name;
- Number of trainees;
- Adaptations for trainees with barriers to learnings;
- Aims and objectives from DfT syllabus;
- Outline of the session and timings throughout the session;
- Activities taking place during session;
- Points where progress checks (formative assessment) will take place;
- Points where final assessments (summative assessment) will take place;
- What the instructor and trainees will do during the session;
- Resources that will be used during the session including planning for all learning styles using a range of instructional techniques (differentiation).

Guidance - Session plans can be used to make notes as part of review and feedback during the training session. This can then be used as part of the end of course feedback meeting and as evidence of how training is reviewed as part of the framework.

Exemplar - session plan

Syllabus: GSO		Module: 1	Instructor: A.Instructor	Date: 01/10/19
Session Aim: Trainees can describe the threat to aviation.		Session Objectives: By the end of the session, all trainees will be able to: <ul style="list-style-type: none"> Understand the history of Aviation Security 		
Formative assessment: The achievement of the above learning outcome(s) and session objectives will be formatively assessed by: <ul style="list-style-type: none"> Group activity 				
Group characteristics including planned adaptations for specific needs and number of trainees. 1x return to work (15 months off work) 1x English as a 2 nd language – ensure language used is simple and check understanding.				
Resources Slides, Clicker, Projector, Flipchart x4, pens x4, laminated exercise cards, assessment papers.				
Time	Instructor activities	Trainee activities	Resources	Assessment method
10 mins	Introduction <ul style="list-style-type: none"> Housekeeping Aim and objectives 	Listen and ask questions	Slides 1-3	N/A
10 mins	Facilitate activity- ask trainees in groups to discuss a topic	Discuss topic and write down answers	Flipchart paper Pens	Formative - discussion in groups on topic
10 mins	Facilitate feedback session as a group	Feedback to group	Completed flipcharts	Formative - discussion feedback
15 mins	Teach subject content	Engage in session	Slides 4-10	Summative - assessment at end
10 mins	Activity – Facilitate the activity moving around groups	Activity – put the laminated pictures in date order.	Cards 4 packs	Formative - identify which groups achieve task
5 Mins	Re-cap incorrect answers as a group	Engage and understand correct answers	Slides 11	Summative - assessment at end
5 Mins	Summarise the session and refer to session objectives. Answer questions	Engage, answer and ask questions	Slide 12	Summative- assessment at end Formative – questions asked by trainees
15 Mins	Assessor – invigilate the assessment	Take assessment	Assessment papers Marking sheet	Assessment
Instructor evaluation: 1 set of cards damaged and need replacing. Slide 5 has typo. Flip chart pens are running out. 1 x trainee very quiet in exercise and did not interact.				

Guidance – Accessibility

Best practice for accessibility of training and assessment materials

Slides:

- Limit the amount of information on each slide and avoid long sentences.
- Use plain English and avoid the use of abbreviations, unless they have already been explained or are common.
- Ensure writing is in a dark font and that the background is light enough to provide clear contrast. A cream background is often more accessible than pure white. Avoid backgrounds which are overly 'fussy'.
- Use a font size of 24 or above (45 bold for titles).
- Bullet points assist in making slides easier to follow.
- Do not use colour as the only indicator of meaning, such as priority items shown in red.

Handouts:

- It is best practice to type word documents in font size 14, to assist readers with visual impairments.
- No one font size will suit everyone. However, it should be easy to provide the document in an alternative font size upon request.

Font type:

It is best to avoid the use of non sans-serif fonts, such as 'Times New Roman'. The more ornate the font - the fewer the number of individuals who will be able to read it.

Guidance – The recommended fonts are 'ARIAL', 'VERDANA', 'CALIBRI', 'UNIVERSE', 'HELVETICA'

- Wherever possible use bold to emphasise items or create headings as this is the most accessible type of formatting.
- It is usually best to use dark ink against a pale background as this is best for users with specific learning difficulties such as dyslexia, although some users with visual impairments may find a pale font on a dark background easier.
- It is important that there is sufficient contrast between the font colour and the background colour. For example, black font on a cream or yellow background is a good contrast. Backgrounds should always be plain.
- Some individuals may require printed documents on different coloured paper as this can assist those with dyslexia and other specific learning difficulties.

- Do not use justified text as this makes the spaces between words uneven which can make it difficult for some individuals to read. By aligning to the left you ensure the spaces between words are equal.
- Double or 1.5 spacing between lines can make a document more accessible. One line space at least should always be left between paragraphs.
- Avoid glossy paper or laminated documents as these produce glare which can make them inaccessible. Uncoated paper is best.
- Ensure the paper is thick enough that print from one side of the paper does not show through to the other side. The Royal National Institute for the Blind recommends paper over 90gsm.
- Avoid the use of abbreviations which have not been given in full the first time they are used in the document.
- Avoid the use of particularly long sentences and use words and phrases that best suit your audience.

Additional best practice

- Have things ready before they are needed such as coloured paper, overlays, devices for voice overs, staff who can act as a reader/scribe
- Depending on the size of IT equipment monitors a decision may be made to use smaller font sizes if these can be easily read due to the size of the monitor.
- Produce a standard template which all training staff must use when designing and producing training and assessment materials.
- Ensure that CBT products also meet best practice or internal guidelines for accessibility.
- Encourage guest speakers to adopt best practice and agreed standards.

Guidance – working with interpreters

When delivering training with the use of an interpreter it is recommended that the interpreter waits for you to finish a short sentence and then is given time to relay the content and meaning of the sentence to the audience in the target language. This will mean that the length of time needed to deliver training will usually be twice as long as it would be when delivered in a single language. You will need to account for this in your session plans.

When using interpreters always ensure they understand the purpose of the training, ensure background checks have been completed on the interpreter and retain proof of their qualification/CV as proof that the course has been interpreted.

- Speak slowly; using short, simple words in short sentences and avoid jargon, slang words and local dialects.
- Allow the interpreter copies of your training before the course (ideally 48 hrs before). This will allow time to familiarise themselves with the subject matter and to research any technical vocabulary they may need.
- Have a chat to the interpreter shortly before you start your training to introduce yourself and allow them to ask any questions they may have about your training. Tell them to let you know during the training if they need you to clarify something, or to ask you to slow down or pause.
- Use the time the interpreter takes to pass on the content and the meaning of what you have just said to check the body language of your trainees – have they understood the point you have just made? Do you need to re-emphasise something?
- Use humour sparingly, as most references will not translate from one culture to another - humour of a sexual, religious or political nature should not be used.
- Try not to speak for more than five minutes without a significant pause, use of media, a practical demonstration, activity, or some other form of a break. You will be putting across a lot of information to your trainees and also listening to an interpreter can be tiring. You need to allow trainees time to understand what is being said to them.
- Ask the interpreter to write assessments in the language of the trainees. Ask them to sign to declare it is a true translation. They could also sit with you when you mark assessments to translate any writing on the written assessment.
- Consider allowing additional time for a trainee to complete an assessment. Best practice guidance recommends reasonable adjustments should allow for 25% extra time during an assessment.
- Whilst it is expected that all aviation security staff have a grasp of the English language, be aware that the stress and pressure of assessments may affect a trainee's abilities to speak in English if it is not their first language.

Chapter 3

Aspect 2.1 Resources

Induction of training staff

Exemplar – Induction checklist

Name:	Induction date:
Course:	
Certified Instructor Confirmation	
Instructor has obtained CIN Number? If no, complete following section	
a) Qualification in Instructional Techniques	
b) Subject Matter Competence element	
c) Application form including Background Check declaration	
d) Counter Terrorism Check	
e) If instructing RFX – RFX instructor course certificate	
f) Notified CAA at avsec.training@avsec.caa.co.uk	
g) Linked to training provider	
h) CIN received	
Induction to training department	
Induction to department and work area	
Health and Safety requirements, including RFX materials if needed	
Induction to other training staff (organisation chart, responsibilities)	
Performance Standards explained (job description, QA monitoring approach)	
Trainee Registration process including IT systems	
Arrangements for supporting trainee needs	
Trainee journey	
Trainee tracking system in place	
Induction to policies and procedures in place for staff and trainees	
Training programme	
Aims and Objectives	
Training and assessment materials used for course	

Assessment arrangements	
Quality assurance processes	
Equipment and procedures in place if not familiar	
Training aids available	
Other	
Observation of training delivery	
Certification process	
Malpractice	
Support and CPD process including standardisation	
File management	
Data protection	

Acknowledgement of induction completion

Quality Manager Signature:	Date of signature:
<p>New staff member acknowledgement</p> <p>I have received an induction covering all elements listed above.</p> <p>Comments:</p>	
Signature:	Date of signature:

Template – Instructor training record

Instructor Name:	CIN:
Approved syllabuses:	

Qualifications and training	Date
Subject matter qualifications/training	
Instructor qualifications/training	
Assessor qualifications/training	
Quality assurance qualifications/training	
Other qualifications/training	

Experience	Date
Occupationally	
Instructor	
Assessor	
Quality assurance	

Occupational CPD

Date	Learning activity	Development activity

Instructional CPD

Date	Learning activity	Development activity

Continuing Professional Development (CPD)

Guidance on completion of CPD

CPD is the learning activities professionals engage in to develop and enhance their abilities through the application of further knowledge in subject matter (Aviation Security) and instructional techniques. Subject matter CPD is also referred to as occupational CPD. CPD ensures that both academic and practical qualifications do not become out-dated or obsolete allowing individuals to continually 'up skill' or 're-skill' themselves, regardless of occupation, age or educational level.

Active CPD includes:

- Training workshops
- Conferences
- Events
- E-learning
- Trying new techniques
- Seminars
- Lectures
- Work experience
- Shadowing
- Mentoring
- Coaching
- Professional body meetings
- Research projects
- Networking
- Systems development
- Contributing to consultations

Passive CPD includes:

- Reading articles/industry updates
- Listening to podcasts

It is key that after completing a CPD activity the learning is consolidated by reflected upon or actively practicing it. The Quality Guidance Manual has templates that can be used to record CPD activities or the training provider may have company specific recording methods. In addition, keeping items such as certificates, tickets to events and diary/calendar entries will help to record CPD activities.

It is important that whilst a record of CPD activities is maintained, it is understood why the CPD was undertaken and what benefit the CPD had on:

- the individual
- the quality of training and assessment materials
- the quality of training and assessment delivery
- the training provider

Whilst the CAA may offer CPD activities, a training provider should not rely on such sessions and should plan in advance their own activities based on identifying skills gaps, personal interests and training provider needs.

CPD must be recorded and should identify the reasons and benefits of CPD being undertaken.

Exemplar – CPD Record

CPD Record					
Name: S.Smith		Role: Instructor		CPD Year: 2020	
Dates	Activity	# of hours	Reason for CPD	Learnings from undertaking activity	Benefits/further actions from activity
01/01/01	Attendance at the Security Expo - London	5	To see new equipment being demonstrated	I learnt how a CT X-ray worked, the benefits of it and how to interpret a 3D image	I will look at how I can present this on refresher training to trainees about the future equipment they will see soon.
01/01/01	Research into a real hijack situation	1	Conducted research	The human and emotional sides of a situation	I have found a video that I will include within my new training course I am designing and also ensure I discuss the emotional side of the situation learnt through the research I conducted. I have also shared this with my colleagues at the recent team meeting.

Chapter 4

Aspect 2.2 Internal Quality Assurance and Self Assessment

Quality assurance strategy/plan

A document which explains how a training provider will undertake quality assurance of training and assessment to ensure all trainees receive consistent, fair and correct training and assessment which is of high quality.

The strategy/plan sets out how this will be achieved and provides a plan for the Quality Manger and IQAs to follow to ensure that internal quality assurance is undertaken and completed.

As a minimum, a quality assurance strategy/plan must focus on:

- quality assurance of training and assessment materials
- standardisation
- quality assurance of training delivery and assessment decisions
- feedback
- programme review

Each of the above points is expanded upon in this section of the guidance manual.

Guidance – To meet the Quality Assurance Framework, you must ensure you quality assurance strategy/plan meets at least the minimum requirements above. The Quality assurance strategy/plan checklist in the manual will help to create this document.

A quality assurance strategy/plan may also focus on the quality assurance of other areas such as:

- marketing materials
- joining instructions and induction
- trainee support needs
- recruitment
- data management

QA - Training and assessment materials

The quality assurance strategy/plan should focus in this section on:

- quality assurance of training materials including session plans, slides, activities, media etc.
- quality assurance of written assessments including multiple choice and short answer exams
- quality assurance of practical assessment briefs and assessment decisions made by assessors
- quality assurance of formative assessment materials

The strategy/plan should identify how materials used for training and assessment are quality assured for content, accuracy and overall quality. The strategy/plan should show when materials are to be quality assured and by who. For example, instructors may be required to submit all materials to an IQA for sign off before they can be used, or they may be discussed at a quality assurance review meeting where they are signed off. However activities are completed, the strategy/plan should explain how this is recorded

Additionally the strategy/plan should indicate how often all materials are reviewed and amended once approved. This may be annually, when procedures change, or a syllabus is updated. It should also identify who the person is that would complete this review and how they will document they have undertaken quality assurance. This could be meeting minutes or using a form.

Guidance – recording activities could be completed using meeting minutes, notes, diary entries or a form.

QA - Standardisation

The strategy/plan should focus in this section on:

- how assessment decisions are made consistently by an assessor
- how assessment decisions are made consistently where there is more than one assessor
- how IQA activities are consistent and effective

The document should explain how consistency is achieved. This may be explained by using a checklist which the assessor uses to confirm a pass or fail.

The strategy/plan should explain how standardisation is undertaken where there is more than one assessor. This may be by explaining that an annual meeting is

undertaken with all assessors present. The strategy/plan should detail how standardisation is recorded. This may be through meeting minutes or actions lists.

The strategy/plan should also identify how IQAs will be standardised and any activities undertaken by the Quality Manager to monitor IQAs and their decisions on quality.

QA - Training delivery and assessment decisions

The strategy/plan should focus in this section on:

- quality assurance of the training delivery of instructors (observations)
- quality assurance of the marking of written assessments
- quality assurance of the undertaking of practical assessments
- quality assurance of the decisions made on pass/fail of practical assessments
- quality assurance of decisions made on formative assessment

The strategy/plan should identify how often each instructor is observed and who undertakes observations. There should be set criteria used for observations with opportunities for the IQA to provide constructive feedback and actions. The observation should not focus purely on the delivery of content but should include criteria on instructional techniques and the quality of the training delivered. The strategy/plan should also identify how actions will be followed up and if additional observations will be completed should an instructor not meet the observation criteria. This could be covered by a risk rating.

Guidance – as minimum instructors should be observed annually

The strategy/plan should identify how quality assurance of written assessment decisions is completed. (If using a computer system there should be checks to ensure the software is performing correctly).

Multiple choice questions – Human factors can play a part in the incorrect marking of assessments where being completed by eye or using a resource such as a laminated grid. The strategy/plan should identify how quality assurance is undertaken to ensure accurate marking is completed by assessors to highlight errors or malpractice. Additionally, it is recommended the strategy/plan explains how quality assurance will identify trends in the performance of questions which are poorly worded or answered incorrectly by a large percentage of trainees.

The above may be achieved by explain how sampling of papers for quality assurance is undertaken. This may be through sampling a number of papers marked

by each assessor annually, or reviewing a sample of completed papers each month. How the sampling activity is recorded should also be described in the strategy/plan.

Short answer questions – The strategy should outline how quality assurance of marking of short answers is undertaken. This may be through a marking guide to ensure only approved correct answers are marked correctly, and where alternative answers are seen, the assessor checks with an IQA before marking the paper. Short answer questions are open to interpretation and mistakes may occur during marking. It is therefore important that the strategy/plan identifies how correct decisions are made. This may be through sampling a cross section of assessed papers. The strategy/plan should explain the sample and how the activity is recorded.

Practical assessments – The strategy/plan should explain how decisions made by assessors during practical assessments are quality assured. Similar to observations undertaken on training delivery, the strategy/plan should explain when and how observations are completed on assessors to ensure they undertake the assessments correctly, assess the practical to the agreed standard and are fair and consistent with their decisions.

QA - Feedback

The strategy/plan should focus in this section on:

- how and when feedback will be collected from stakeholders including trainees, instructors, clients/customers/line- management, HR etc.
- how the collated feedback is used to improve the training programme

In this section the plan should state how feedback is collected and who is asked to complete the feedback. For example the strategy/plan may explain that trainees are required to complete a survey either online or at the end of the course. Instructors are asked to write feedback on their session plans, or send an email after every course. Clients are contacted by phone after the course or have a meeting with them to gain feedback from their point of view. The strategy plan may also explain other ways that feedback is provided such as through interviewing trainees a month after their training to understand if the training supported them in their job role.

The strategy/plan should state what happens to the feedback once collated. This may include an individual who is responsible for collating the feedback into a spreadsheet, producing a report, or highlighting certain criteria that falls below an agreed standard. The strategy/plan may also identify how feedback is discussed at team/IQA meetings and also analysed at the point of review of the training programme. The strategy/plan should explain how feedback is analysed to identify trends and how it is followed up to identify areas for improvement, development opportunities for staff members, or investigate malpractice.

QA - Review

The strategy/plan should focus in this section on:

- how findings from quality assurance activities will be recorded and aid continuous improvement
- how a review of the training programme, IQA findings and improvements will be communicated to stakeholders - e.g. an annual report/meeting

Analysis of quality assurance activities, stakeholder feedback and trainee data should feed into a review of the training programme. The strategy/plan should identify how this is undertaken. This may be via an annual review or more often when a programme is new or refreshed. The strategy/plan should explain how trends, feedback and findings are recorded and how actions are produced to monitor and improve the programme whilst ensuring accountability for any given actions.

Guidance – A spreadsheet tracker could be used to track progress and identify improvements.

The strategy/plan should state how the findings of the review are presented. The document may reference an annual report or a review board where stakeholders with an interest are invited to contribute.

QA - Producing a document

A strategy/plan should be one document covering the above content. Where the information is located in different files, it should be combined into one document. The document may be presented in different formats that best suit the organisation and could be:

- a written document/manual
- a section of an operations manual
- diagrams/process maps/flow diagrams
- a table with answers to questions or statements
- the exemplar checklist with answers to the questions

Quality assurance strategy plan/checklist

The checklist may be used as a guide for producing and maintain a quality assurance strategy/plan. The checklist asks key questions to consider which will assist in the design and implementation of the document.

Key content area/criteria/question	Complete
Training materials	
- Names of IQAs completing quality assurance	
- When are materials quality assured?	
- How often are materials quality assured?	
- What is the process for quality assuring materials?	
- What materials are quality assured?	
- How is the quality assurance activity recorded?	
Assessment materials	
- Names of IQAs completing quality assurance	
- When are materials quality assured?	
- How often are materials quality assured?	
- What is the process for quality assuring materials?	
- What materials are quality assured?	
- How is the quality assurance activity recorded?	
Standardisation	
- How do assessors know the standards for making assessment decisions?	
- Are there documents that state the standards?	
- Who agrees the standards?	
- Are standardisation meetings undertaken?	
- How often are standardisation meetings?	
- How is standardisation recorded?	
Training observations	
- Names of IQAs who observe training	

- How often are instructors observed?	
- How are observations recorded?	
- What is the plan for instructors where development/actions are identified?	
- Is there a risk rating for instructors?	
Observation of assessment decisions – Written assessments	
- Names of IQAs completing quality assurance	
- What assessments are quality assured?	
- How often are decisions quality assured?	
- What is the process for quality assuring assessment decisions?	
- What is the plan for assessors where development/actions are identified?	
- How is the quality assurance activity recorded?	
Observation of assessment decisions – Practical assessments	
- Names of IQAs completing quality assurance	
- What decisions are quality assured?	
- How often are decisions quality assured?	
- What is the process for quality assuring assessment decisions?	
- What is the plan for assessors where development/actions are identified?	
- How is the quality assurance activity recorded?	
Feedback	
- How and when is feedback collected from trainees?	
- How and when is feedback collected from instructors and assessors?	
- How and when is feedback collected from clients/customers/senior managers/line managers?	
- How is the feedback analysed?	
- What happens to the feedback once analysed?	
- How is this activity recorded?	
Review	
- When does the review of the training programme occur?	
- How often is a review completed?	

- How is a review undertaken?	
- Who is involved in the review?	
- What is the outcome of a review?	
- How is a review recorded?	

The space below can be used to add additional sections or questions you wish to add to your quality assurance strategy/plan. This may include the quality assurance of marketing materials, recruitment of trainees, joining instructions, induction, trainee support needs etc.

-	
-	
-	
-	
-	
-	

Training and assessment materials

Exemplar – Quality assuring training materials form



Course Details	Prohibited Items	
Course date	01/01/01	
Type of training material	slides	
Creator/Instructor	P.Jones	
IQA	P.Patel	
Learning outcomes	Know what is defined as a legal prohibited item.	
Accessibility		
Has an appropriate font been used?	<input checked="" type="radio"/> Y <input type="radio"/> N	
Is the language appropriate to the level of the course?	Yes suitable for target audience in syllabus conditions	
Are the training materials free from bias?	Yes – previous review version amended references from 'he and 'him' to 'they' and 'individual'	
Content		
Is the content technically accurate?	Yes	
Does the content reflect current practice in aviation security?	Yes	
Is the content aligned to the learning outcomes?	Yes slide deck meets learning outcomes in conjunction with the session plan and handout.	
Is the content appropriate for the session plan?	Yes	
For slides: Is the number of slides in the presentation appropriate for the content and the trainee?	10 slides over 40 minutes with practical demonstration. This is achievable. Please amend font to Arial as per agreed standard for slides.	
Training		
Is the content logically structured?	Yes intro, subject matter, activity, summary	

Is the content clear?	Yes
Is the design of the training material engaging?	An activity and hands on demonstration included within the session.
IQA Comments	
A good session with good use of engagement to cater for different learning styles whilst meeting the learning outcome.	
Approved <u>Not approved</u>	
If not approved, what action is required?	
Amend font to Arial on slides.	
When do these actions need to be completed? 05/01/01	
Creator/Instructor comments	
I will amend today and re-submit for approval.	
Signed by IQA: <i>Signature</i> Date: 01/01/01 Signed: <i>Ji</i> Date: 02/01/01	

Second review comments (If required following non-approval and actions set	
On second review, the font has been amended to meet the action given.	
<u>Approved</u> Not approved	
If not approved, what action is required?	
When do these actions need to be completed?	
Signed by IQA: <i>Signature</i> Date: 01/01/01 Signed: <i>Ji</i> Date: 02/01/01	

Exemplar - IQA of assessment materials (written/practical) form

Assignment Title	Cabin Crew Cabin Security Search	
Date	01/01/01	
Type of assessment	Written	Practical X
Course Details	Aircrew Syllabus Initial – Cabin Crew	
Assessment Requirements	Trainee must use knowledge learnt to demonstrate competence in a logical manner on searching an aircraft cabin and toilet area.	
Material creator	P.Belvoir	
IQA	P.Patel	
Criteria	Y/N	Comments
Are the assessment requirements clearly identified?	Y	Assessment form clearly defines how a trainee can be successful
Do the tasks/questions provide appropriate opportunity to produce evidence to meet the assessment requirements? Does it meet the requirements of the assessment strategy?	Y	Each trainee must search the cabin logically and be observed completing each area and find the item hidden to pass.
Are the questions/tasks written (or verbally briefed) clearly and unambiguously? Are they technically correct and current?	Y	Assessor uses quality assured assessment brief card which must be read from by assessor to ensure procedures are followed correctly.
Is there evidence of bias?	N	No – assessments must follow brief and tick sheet to determine pass or fail.
What is the risk of plagiarism?	L M H	The trainee must be observed so plagiarism cannot occur.
Written assessments		
Is the mark scheme clearly written and not open to interpretation?	N/A	
Do all questions apply best practice principles?	N/A	

IQA Comments
The instructor briefing prepared is very good and will ensure all trainees are briefed consistently and fairly prior to undertaking their cabin search assessment.
Approved/Not approved Approved
If not approved, what action is required?
When do these actions need to be completed?
Signed:  Date: 01/01/01
Assessor comments:
Thank you for the feedback Signed:  Date: 01/01/01

Guidance – An IQA undertakes quality assurance on an assessor completing an aircraft security search assessment. The IQA observes the assessor briefing the trainee, completing the assessment, the pass/fail awarded and the feedback given. The IQA will make judgements on the assessor based on the agreed criteria. The IQA will watch more assessments until they are happy with the assessor’s consistency, and following the session provide feedback to the assessor. Feedback for example may be: “The trainee didn’t check behind the last row of seats, you were distracted and did not notice this. Therefore you passed the trainee even though they did not meet the required standard.”

Template - IQA of assessment materials (multiple choice question) form

Training Module:	Cargo Supervisor Multiple Choice Exam	
Assessor:	J.Phillips	
IQA name:	I.P.Patel	
QUALITY ASSURANCE CHECKLIST		Comments
Are the questions all clearly worded?	Y	
Do the questions align with the requirements of the syllabus?	Y	Yes assessment strategy followed correctly.
Are answers all plausible?	Y	
Are all distractors plausible (wrong answers)?	N	Q12 – Answer is clearly not correct as has no relevance to the question.
Are the answers all correct?	Y	
Do any questions have more than one correct answer?	N	Question 2 – there are 2 correct answers
Do questions avoid bias?	N	Question 6 asks what would 'he' do rather than 'they'.
Are questions technically correct?	Y	
Do questions avoid the use of personal pronoun e.g. "what would you do"?	Y	
Do answers have obvious clues relating the question?	N	Question 1 is clearly correct as the longest answer which stands out from the others.
Do questions avoid options 'all of these', 'none of these'?	Y	

Do any questions have any made up words?	Y	
Are questions sufficiently challenging?	Y	
Are there any questions that help answer other questions on the paper?	N	Question 13 is answered by question 4
Overall, is the assessment 'fit for purpose'?	N	Please review the areas above to ensure the assessment is fit for purpose.
Action required: Y/N Action points: Review the above comments and ensure the assessment is revised to incorporate the amendments. Other comments:		
IQA Signature:	<i>Signature</i>	Date: 01/01/01
Assessment materials approved by:	NOT APPROVED	Date: 01/03/01

Guidance - Multiple choice questions principles

Questions are made up of:

- Options - the possible answers
- Key - the right answer
- Stem - the question
- Distractor - the wrong answers

Principles – each question should be written so that it:

- is based on a syllabus topic or objective
- is testing knowledge important for the trainee to know and understand
- is technically correct and current
- is appropriate for the level of the trainee
- has distractors which are plausible to the level of training being examined
- has a key which is not a matter of opinion – e.g. choose the main or best
- has one option which is correct, and only one
- has a stem which is in the form of a question – avoid incomplete sentences
- does not have obvious clues relating the key to the stem e.g. has a word in the stem that is also in the correct answer
- is in clear, simple language and includes only relevant information
- has options which grammatically complete the stem (for incomplete statement type only) correctly
- does not have a negative stem - if this is unavoidable, emphasise the negative term in bold e.g. which of the following are not...'
- has options which are, as far as possible, parallel in content and wording does not have options which stand out because of length
- does not have options which overlap
- has all numerical options in ascending or descending order
- •avoids the use of 'you' as in 'what would you do
- does not have as options 'all of these', 'none of these' or made-up words

Standardisation

Guidance - standardisation

Standardisation should be undertaken to ensure all assessment decisions fair and consistent. If only one person ever assessors they should have a document to refer to ensure their decisions are consistent. Where there is more than one assessor standardisation meetings should be held.

Guidance – “I hope ‘Assessor A’ does my practical assessment because I have heard they are lenient and everyone passes their body search assessment even if it’s not quite right”

“It’s unfair that we both did exactly the same vehicle search but you passed and I failed. We both forgot to check the glove compartment.”

An assessment decision is any time a person makes a decision on whether a trainee has achieved a PASS or a FAIL in summative assessment or has achieved a key milestone in formative assessment.

Assessment decisions are based on the syllabus assessment strategy and agreed internal standards.

Assessment decisions are made on:

- Written assessments
- Practical assessment (gateway/live/simulated as defined by the syllabus assessment strategy)

The training team involved in assessment should meet to discuss how decisions will be made in each of these assessments to ensure every assessment decision is *valid, fair and reliable*.

How often training providers choose to hold standardisation meetings and conduct standardisation activities is based on risk, competency, feedback, time available and practicalities.

Guidance – It is recommended to organise at least one standardisation meeting per year as a minimum.

- Standardisation should be documented in a quality assurance strategy.

Standardisation considerations

Multiple choice assessments:

- How do you assure standards?
- How do you assure that each assessor marks the assessment in the correct way?
- Does the assessor have the correct knowledge?

Short answer question assessment:

- What are the correct answers?
- Does every assessor know what answers can be accepted as correct?
- Does every assessor award marks in the same way?
- What happens if an answer isn't wrong but isn't right?

Practical assessment (gateway/live/simulated):

- Do all assessors know the skill being assessed correctly?
- Are there gaps in assessor knowledge?
- What constitutes a pass or a fail?

Guidance – Standardisation activities are a great way of standardising individuals and groups of assessors. Ask assessor/s to review their last 5 assessment decisions and identify if they were consistent.

Training observations and assessment decisions

Guidance monitoring and providing feedback

When undertaking quality assurance activities, set criteria to assess against will ensure that a consistent approach is met, judgements are fair, and all training staff receive the same level of monitoring and standards. The criteria will also form a structure for the observation and support constructive feedback and action setting with instructors and assessors.

When considering what criteria to use for training delivery observations and assessment decisions both compliance and quality should be considered.

Compliance – The content, technical knowledge, following procedures, meeting syllabus requirements, assessment requirements.

Quality – The delivery of training and assessment to ensure the best experience for the trainee. This includes instructional techniques, support, feedback, trainee relationships.

when designing criteria for quality assurance observations consider the following:

Does the instructor meet learning outcomes?

Has the instructor/assessor prepared?

How does the instructor deliver the content?

How does the instructor/assessor build professional relationships with trainees?

What experience are the trainees receiving?

Does the instructor use all resources effectively?

Does the instructor use different instructional techniques?

Does the instructor/assessor support trainees with support needs?

Does the instructor use formative assessment to check progress?

Does the instructor acknowledgement achievement?

What level of progress and engagement is evident for all trainees?

How well is training monitored and assessed for all trainees?

Does the instructor promote inclusivity?

When completing quality assurance activities it is recommended to avoid the use of tick boxes solely, and ensure that constructive feedback is provided to justify any ticks given. This will ensure that the instructor/assessor understands their strengths and areas for development. Where areas of development are identified this should be discussed with the individual as together actions should be agreed develop the instructor.

When agreeing actions with the instructor/assessor they should take ownership of the action and fully understand what is expected of them. It is recommended the acronym 'SMART' is used for setting actions and objectives.

- **Specific**
- **Measurable**
- **Achievable**
- **Realistic**
- **Timely**

When writing or delivering feedback, an IQA should consider the language they use, methods of coaching and how they develop others. It is recommended to agree through standardisation a series of words to use as a collective between IQAs to ensure consistency. An example of some words that could be agreed and used is listed in the following.



Outstanding	Good	Satisfactory	Inadequate
Excellent	High quality	Acceptable	Poor
Exceptional	Positive	Adequate	Unacceptable
Exemplary	Superior	Suitable	Weak
Superb		Appropriate	Deficient
		Average	Incomplete

Exemplar – Instructor observation form

IQA: R.Patel	Instructor: P.Hill		
Date: 01/01/01	Session type:		
Observation time: 12:00-13:00 Planned session times: 12:00-12:45	theory <input type="checkbox"/>	practical <input checked="" type="checkbox"/>	other <input type="checkbox"/>
Syllabus: Cargo Operative Module: Prohibited Items Learning outcome: Know prohibited items Assessment method: Multiple Choice Assessment	Trainee details: [Number, specific needs, group dynamics etc.] 10 internal employees on initial training with no previous experience. Material has been adapted for a dyslexic trainee to include extra time in assessment and slides printed on blue paper at request of trainee.		
Key strengths	Key areas for improvement		
Demonstration of different prohibited items and knowledge of each.	Ensure everyone can see the demonstration as two trainees couldn't see what was being shown.		
Overall evaluation of session:			
<p>Very engaging, and knowledgeable session. The instructor should consider the time for future session as this session did run for 15 minutes longer than planned. In addition ensure all trainees can see the demonstration by considering using a separate area of the room or setting up demonstrations in advance to save time.</p> <p>Excellent use of facilitation skills and asking for opinions of trainees when holding up items to the group.</p>			
Health and safety considerations	Equality considerations		
Ensure that knives are taped up to avoid potential sharp injuries when passing items around.	Everyone had an opportunity to ask questions. Blue paper was provided for one trainee who had requested this during joining instructions.		
Feedback from trainees:			
Spoke to 2 trainees after the session who stated they enjoyed the practical aspect and seeing items they will be looking for. Stated they enjoyed the interaction with the instructor and being asked questions during the session. They enjoyed the activity at the			

<p>end of the session where they had to write down as many components as possible in 1 minute. One trainee stated they had difficulty seeing the demonstration as they were not as tall as the other trainees and was at the back of the room.</p>	
<p>IQA Signature: <i>Signature</i></p>	<p>Date:01/10/01</p>
<p>Agreed action points (These should be SMART)</p>	
<p>When next demonstrating prohibited items, ask the group if they can all see before starting the session.</p>	
<p>Risk rating of Instructor H M L</p>	
<p>Instructor Comments</p>	
<p>Thank you for the observation, I will ask the question and consider the room layout when next conducting a demonstration.</p>	
<p>Instructor Signature: <i>Ji</i></p>	<p>Date:01/10/01</p>

Exemplar – Observation of assessment decisions form

Course Details	GSO Initial
Course Date	October 2019
Assessment	Multiple Choice Assessment
Assessor	P.Jones
IQA	P.Patel
Trainee name(s)	A.Thomas
Module and decision made	Module 10 Security Scanner – FAIL
Is the assessment decision accurate?	Yes
Is there evidence of malpractice?	No
Is the feedback to the trainee appropriate?	Yes
IQA comments	
<p>It was explained well to the trainee by the assessor why a fail had occurred and what questions they had answered incorrectly. They checked understanding, asked if there was any reason for the misunderstanding and identified the trainee was having difficulty revising due to pressures in their home life.</p> <p>The assessor offered one-to-one coaching and to re-sit a new assessment tomorrow. The assessor explained well the company support policy and offered assistance within their job remit.</p>	
Agreed action points: (These should be SMART)	
n/a	
Risk rating: Red/Abet/Green	
<p>If assessment decisions are not accurate, a second sample should be internally quality assured.</p> <p>Signed by IQA:  Date:01/10/19</p>	
Assessor comments	
Thank you for the observation and support	
<p>Signed:  Date: 01/10/19</p>	

Feedback and review

Guidance – Training programme review

The review of training courses and evaluation is important to support continuous improvement. Reflection, feedback and review will all contribute to evolving a training course and improving the quality for trainees in the future.

What to review

You should form a culture of constructive review through:

- analysing trainee feedback in line with your quality assurance strategy
- analysing other stakeholder's feedback in line with your quality assurance strategy
- asking instructors to reflect on the course they have delivered
- asking assessors to reflect on assessments and decisions
- reviewing IQA reports and IQA feedback
- analysing assessment performance trends
- reviewing actions set at meetings
- reviewing feedback received from your EQA (Year 2 onwards)
- reviewing any problems or concerns that have arisen

When to review

You should review each training course at appropriate times throughout the year. This may be:

- annually
- quarterly
- after each course when first launched
- when issues or concerns arise
- following an appeal or complaint
- after gaining a new client
- launch of a new syllabus

Who to involve in a review

Your quality assurance strategy will define who should be involved but should include your IQAs, instructors, assessors and trainees. You will also need to include other stakeholders including clients/customers, senior management, supervisors and operational staff.

How to involve others in a review

Involving everyone in the review process can be achieved through:

- IQA and training meetings
- standardisation meetings
- interviews with instructors and trainees
- an annual review meeting with stakeholders
- invite stakeholders to observe a training course to understand their feedback
- produce a yearly IQA report for publication
- undertake an annual meeting to present your review to stakeholders and gain feedback

Continuous Improvement

Continuous improvement is an organised approach to identifying opportunities for improvement which should be an ongoing process. The findings of your review will feed into this process and allow a plan to be produced of how your training programme will be improved. Trends and feedback gained through review activities will allow you to set objectives and prioritise improvements. When improvements are made the cycle should continue and over time the improvements made should be reviewed to see if they have been effective in meeting the original objectives.

Guidance – Instructors and assessors are key elements of the review process. They could conduct peer observations on each other, write feedback on session plans or give feedback on course content and training materials

Formative assessment

Guidance

Formative Assessment (Assessment FOR training)

'The process that follows from the outcome.' That process is used to improve training. What is the gap and how do I bridge that?

Summative Assessment (Assessment OF training)

'The judgement is for the purpose of certification (or selection) – a specific outcome.' Where should trainees be, and where are they?

Formative assessment considerations:

- When should formative assessment take place?
- What are the key milestones in the training?
- when should trainees be able to meet those milestones?
- What should be assessed?
- Is it those that cause the most difficulty for trainees?
- Is it all of the learning outcomes for a session or training programme?
- What feedback does it give the trainee to improve?

Feedback following formative assessment should:

- focus on what is next;
- not what is correct or incorrect;
- not give a mark which stops the trainee listening to the feedback;
- "Trainees do not always receive and interpret feedback in the way it is intended. "

Guidance –Research shows that one of the most effective methods for training is through peer feedback and self-assessment.

Ideas for Formative Assessment

- Question box – Trainees drop questions in at the end of a session. The questions could be about what else they would like to know on a topic, or about something they are unsure about and want to explore.

- Open Questions - When asking questions, rather than keeping them 'closed' (i.e. where there is a definitive answer), insert the word 'might. ' e.g. instead of 'What is the meaning of threat?' try 'What might the meaning of threat be?' This gives trainees greater opportunity to explore the concept themselves. It also means that no answer is likely to be wrong and encourages the trainee to participate and contribute to the session.
- Wait Time - Too often, instructors ask a question and expect an immediate response. They become concerned when their question is met with silence. Trainees often need time to prepare their answer. Allow time.
- Traffic lights - Use traffic lights as a visual way for trainees to show understanding. Provided red, amber and green cards for classroom based sessions and ask trainees to hold up the card to the instructor to show their level of understanding. If they present written work, they can self-assess using the traffic light system.
- Bounce - When setting individual or group activities and asking learners to present their ideas, ask another group what they think about the ideas presented, bouncing the idea around the room to encourage wider participation and more peer assessment.
- Key words - When engaging trainees in discussion encourage the use of keywords and look at them specifically. Discuss how they are or could be used.
- What good 'looks like' - Encourage trainees to determine what good looks like. When developing competence and practical skills. E.g. carrying out a search they could reflect on what they have observed to determine good and bad, and build their own assessment criteria.

Recording formative assessment and feedback

When recording formative assessment and feedback, the instructor/assessor should record:

- the strengths and weaknesses of trainees in order to monitor their progress;
- Systemic issues (i.e. the approach to delivery is not working for anyone and needs to change completely)
- 'A point at which the training stops in order to measure where trainees are supposed to be. Session plans should show key milestones when formative assessment is undertaken.

Formative assessment recording exemplars

Report A allows the instructor to keep records across a number of trainees at key milestone in the training course.

Learner Name	Targeted learning 1				Targeted learning 1				Comments
	Progress	Actions	Timeline	Review	Progress	Actions	Timeline	Review	
AB									
CD									
EF									

Report B keeps records where the whole group is involved in activities. The instructor can identify the types of activities in the session. They can make a note on the document for each group, having made a note of who is in each group. The document can set out what has already been planned as interventions so that the instructor can indicate what intervention has been given to which group of trainees.

Formative Assessment Summary

Date: _____ Location: _____

Session Title: _____

Table	Exercise					
	1	2	3	4	5	6
1						
2						
3						
4						
5						
6						

Environment Table layout

Proposed Interventions/Stretched Learning

Chapter 5

Aspect 3.1 Learner and Data Management

Trainee induction

Guidance –Joining instructions

Joining instructions should be sent to trainees prior to the start of training. They may be combined with other communications from HR or a trainee's line manager. They may be forwarded to trainees via the client or be available through a company intranet page. As a minimum the following should be included in joining instructions:

- date/time/place of course start
- dress code
- any document that trainees need to bring on their first day
- an overview of the course including length of classroom section and on-the-job training (if appropriate)
- a self-declaration of learning support needs
- a contact point for any queries
- information on behaviours and values such as a training charter/ground rules, equality policy etc.
- the course aim(s)
- assessments that will take place, when and how?

Guidance – Induction

Your trainees should receive an induction focused on their training when they first arrive. This commonly includes information on health and safety, breaks, lunch facilities and more specific course information. You may also want to discuss the course timetable and when and how assessments will be conducted.

You should also think about the policies and procedures of training and how to signpost trainees to these and what they should do if they are ill or absent during their course. The following checklist could be used by trainees to confirm they have received a full induction to their training. Once signed this can be retained with their training record as acknowledgement they understand the expectation of their training.

Exemplar - Trainee induction checklist

Trainee Name:

Course:

Please tick the boxes when you feel comfortable that you have been given information about, understand and are familiar with the following:

Policies and procedures	
Equality	
Data protection	
Appeals	
Malpractice	
Health and safety	
Complaints and whistleblowing	
Training environment information	
Layout of the training centre	
Location of training rooms	
How to evacuate the training area	
Where to locate first aid information and resources	
Location of and access to learning aids	
Availability of ICT resources	
Training course information	
Roles of responsibilities of the training team	
Course aims	
Structure of the training course	
Assessment requirements including dates	
Support available	
How and when to contact key staff members	
Attendance requirements	

Course content	
Feedback provided to you	
How your feedback can be provided and used	

Acknowledgement of induction completion

Instructor Signature:	Date of signature:
New staff member acknowledgement I have received an induction covering all elements listed above. Comments:	
Signature:	Date of signature:

Guidance – Identifying trainee support needs

The identification of trainee support needs (diagnostic assessment) is a form of pre-assessment that allows an instructor and assessor to determine trainees' individual strengths, weaknesses, knowledge, and skills prior to training. It is primarily used to diagnose trainee challenges and barriers to learning but is also useful for identifying past knowledge and skills, personality traits and learning styles.

This may already be included as part of your current induction arrangements. The diagnostic assessment can take place either prior to the start of the course by asking the new trainees to return a survey or at the start of the classroom session by asking the trainees to complete this in the classroom. Keep in mind that with the latter option, this may draw unwanted attention to trainees who would prefer not to share their learning challenges with other trainees. The same would apply for voluntarily asking trainees to declare their challenges during training. This may draw unwanted attention, embarrassment or a person may not be aware they require support.

The British Dyslexia Association has resources available on their website which you may find useful, including a self-checklist:

<http://www.bdadyslexia.org.uk/screening>

Dyspraxia UK, similar to the above has resources and a short quiz that can be used for assessment: <http://www.dyspraxiauk.com/adults.php>

Training providers may also consider conducting an ice breaker or initial exercise to gain an understanding of trainees at the start of a course. This could be an activity, reading an article and discussing the contents as a group or asking the group to do a task. The results of this may allow instructors to recognise some of the following characteristics in their trainees:

- English as a 2nd language
- difficulty with reading or writing
- loud group members
- quiet group members
- different learning styles (e.g. visual/kinesethic etc.)
- those that need time to reflect
- previous experience and knowledge
- transferable skills
- those that may need additional coaching
- difficulty responding to lots of instructions at once
- disorganised
- anxiety

Trainee support needs

Exemplar - Trainee self declaration

Name: A.Trainee

Email address: atrainee@training.co.uk

Sharing information about your support needs will help us to work with you to make your training as accessible as possible.

Preferred pronoun:

(e.g. he/him; she/her; they/their) **They/Their**

Do you consider yourself to have a disability/medical condition/learning support need that will affect your training? Yes No

From the choices below please choose all that apply to you:

- | | |
|--|---|
| <input type="checkbox"/> Autism/Asperger | <input type="checkbox"/> Mental health |
| <input checked="" type="checkbox"/> Deaf or hearing impairment | <input type="checkbox"/> Mobility/Physical disability |
| <input type="checkbox"/> Learning disability | <input type="checkbox"/> Other: (enter below) |
| <input type="checkbox"/> Long term health condition | |

Further information regarding your support needs

How might your disability/specific learning need/mental health condition impact on your training?

- | | | |
|---|--|--|
| <input checked="" type="checkbox"/> Communication | <input type="checkbox"/> Meeting deadlines | <input type="checkbox"/> Short term memory |
| <input type="checkbox"/> Concentration | <input type="checkbox"/> Mobility | <input type="checkbox"/> Spelling |
| <input type="checkbox"/> Confidence | <input type="checkbox"/> Mood | <input type="checkbox"/> Writing |
| <input type="checkbox"/> Energy levels | <input type="checkbox"/> Motivation | <input type="checkbox"/> Time management |
| <input type="checkbox"/> Exams | <input type="checkbox"/> Note taking | <input type="checkbox"/> Typing |
| <input type="checkbox"/> Grammar | <input type="checkbox"/> Organisation | <input type="checkbox"/> Vision |
| <input type="checkbox"/> Group work | <input type="checkbox"/> Physical health | <input type="checkbox"/> Writing speed |
| <input type="checkbox"/> Handwriting | <input type="checkbox"/> Presentations | |
| <input checked="" type="checkbox"/> Hearing | <input type="checkbox"/> Reading accuracy | |

Assessments

Have you previously had support in assessments?

Yes No

If yes, have you found this support useful?

Yes No

Do you require any of the following during assessments?

A specific font

Font size

Background colour

Other:

Languages

What is your native language? [English](#)

What other languages do you speak? [Spanish](#)

The training will be delivered in English. Do you require support with English language skills?

Yes No

If yes, please tell us what we can do to support you.

Working with computers

Some of your training will use computers. What is your skill level in using computers?

Beginner Intermediate Expert

Do you have any other comments/information that would be useful for us to know for your training?

I have not been on a training course for 20 years and need to sit near to the trainer so I can hear what is being said.

Thank you - Please send your completed form to: @email

Exemplar – Reasonable adjustments and special considerations request

Trainee: P.Jones

Course: Cargo Supervisor

I wish to request a:

Reasonable adjustment

Special consideration

Reason for request: I speak English as a second language and find reading more difficult than spoken English when I am stressed or under pressure.

Supporting evidence: HR recruitment email

Signed: 

Date: 01/10/2019

Instructor to complete

The request is:

Approved Rejected

Provide details of support to be provided: Diagnostic assessment conducted. I asked the trainee to read aloud from some given text. This took longer than a trainee where English is their first language. Additional 25% time added to written assessments for the trainee.

Reason for decision: Supporting evidence confirms

Signature:  **Date:** 01/10/2019

Guidance - trainee tracking principles

A system should be in place for tracking the progress of trainees through the different stages of their training and applies to both initial and recurrent training. There may already be a system in place that is suitable or it may be a paper or spreadsheet based system.

Guidance – Tracking trainees will ensure they complete all required modules and that their progress and performance can be monitored. This is beneficial where more than one instructor/assessor may interact with the trainee.

The tracking system should record trainees at the following key stages of their training:

- trainee support needs
- module completion
- feedback given
- formative assessment (progress check)
- practical gateways (if applicable)
- summative assessment (classroom and practical if appropriate)
- on-the-job training (if appropriate)
- re-sits (if applicable)
- certification (completion of training record/certificate)

Guidance – Trainee tracking may be useful for clients/employers to understand the progress of their staff and development areas in addition to training records showing training completion. They can then implement additional staff development/mentoring based on the instructor/assessor feedback provided. Where staff return for recurrent training, viewing trainee tracking from past courses may allow instructors and assessor to pre-plan training support needs and additional coaching.

Chapter 6

Aspect 3.2 Certification**Trainee records**

Guidance – To obtain certificate templates for a syllabus delivered contact avsec.training@avsec.caa.co.uk

To achieve 'Outstanding' in aspect 3.2 of the Quality Assurance Framework certificates must be issued to trainees.

Exemplar – Trainee record

Trainee Name:	Employer:
Specific trainee support needs:	

Training course:

Syllabus title:
Date:
Initial Recurrent
Modules completed:
Certification issued:
Comments:

Instructor Signature:

CIN/Roc:

Date:

Certificates

Exemplar – Trainee certificate

	Department for Transport	Training Company Logo																			
<h3>UK National Aviation Security Training Programme</h3>																					
This is to certify that																					
XXXX XXXXXX																					
of																					
XXXXXXXXXXXXXXXXXXXX																					
Has successfully demonstrated their competence following assessment in Ground Security Operative Training Induction / Refresher <small>(delete)</small>																					
Modules delivered:-	<table border="1" style="width: 100%; border-collapse: collapse; text-align: center;"> <tr> <td>1</td><td>2</td><td>3</td><td>4</td><td>5</td><td>6</td><td>7</td><td>8</td><td>9</td> </tr> <tr> <td>10</td><td>11</td><td>12</td><td>13</td><td>14</td><td>15</td><td>16</td><td>17</td><td>18</td> </tr> </table>			1	2	3	4	5	6	7	8	9	10	11	12	13	14	15	16	17	18
1	2	3	4	5	6	7	8	9													
10	11	12	13	14	15	16	17	18													
For EU 2015/1998:- 11.2.2/11.2.3.1/11.2.3.3/11.2.3.4/ (as retained in UK law) 11.2.3.5/11.2.3.6/11.2.3.7 <small>(delete)</small>																					
Date of Training	DD MMM YY	Expiry Date	DD MMM YY																		
	Certificate No: XXXXXX																				
Instructor's Name	XXXXXXXX	CIN XXXXX																			
Instructor's Signature	_____																				
Training Provider	XXXXXXXX XXXXXXXXXXXXXXXXXX XXXXXXXXXXXXXXXXXX XXXXXXXXXXXXXXXXXX																				
Training Provider Number: #XXX																					
For confirmation of the content of this document please contact the training provider. For verification of the training provider, please contact the Civil Aviation Authority at Avsec.training@caa.gov.uk																					

Guidance – Certificates

Whilst it is not mandatory to issue certificates they may be used to act as a training record. In addition it is recommended that on successful completion of initial and recurrent training, each trainee is issued with a certificate that displays this achievement. Good practice makes this recommendation to allow trainees to present achievements of training completion to future employees and build up a portfolio of their achievements.

Certificates, where issued, should be signed by the Certificated Instructor (an electronic signature is acceptable) and include:

- the trainee's name
- details of the training syllabus and module(s) achieved
- the date(s) on which the training was undertaken
- the date on which the certificate was issued
- the date of expiry (i.e. the date by which training will expire)
- the name, signature and CIN number of at least one of the instructors who undertook the training
- the CAA-Registered Training Provider name and number

If issuing certificates, you should have a robust procedure in place for:

- issue
- quality assurance
- replacement of certificates
- security to avoid malpractice

Guidance – Consider offering certificates electronically via email and/or mail merge. Consider a 'graduation' ceremony to reward and motivate trainees and congratulate them on their achievement.

APPENDIX A**Abbreviations**

Abbreviations	
ACAS	Advisory, Conciliation and Arbitration Service
AvSec	Aviation Security
CBT	Computer Based Training (e-learning)
CIN	Certificated Instructor Number
CPD	Continuing Professional Development
CTC	Counter Terrorism Check
CV	Curriculum Vitae
DfT	Department for Transport
EQA	External Quality Assurer
HR	Human Resources
ICT	Information Communication Technology
IQA	Internal Quality Assurer (Role) / Internal Quality Assurance (Activity)
NASP	National Aviation Security Programme
QA	Quality Assurance
QAF	Quality Assurance Framework
RoC	Recognition of Competence