

THE BRITISH WHEEL OF YOGA
QUALIFICATIONS

BWYQ Qualifications Delivery Manual

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1. Introduction

This document outlines the BWYQ Qualification Delivery arrangements and is primarily intended for use by BWYQ staff and Centres. It may also be shared with regulatory authorities to show compliance with regulatory requirements.

It will be reviewed annually as part of BWYQ's self-evaluation activities and outcomes reported to relevant regulatory authorities.

It is important that Centre and BWYQ staff follow the arrangements in these documents. If amendments are required, they should be brought to the attention of the BWYQ Operations Coordinator or BWYQ Directors as soon as possible to trigger an earlier review and reduce the risk of any potential non-compliances.

This handbook must be read in conjunction with the following policy documents. In all instances staff and Centres should first refer to their own policy documents and BWYQ policy documents as outlined below.

Document Reference	Policy/ Guidance Document
BWYQ 006	Centre Recognition Agreement Form
BWYQ 007	BWYQ Centre Handbook
BWYQ 008	BWYQ Equality and Diversity Statement
BWYQ 009	BWY E & D Policy
BWYQ 010a	BWYQ Safeguarding Adults Policy
BWYQ 010b	BWYQ Safeguarding Children Policy
BWYQ 012	Reasonable Adjustment Policy
BWYQ 013	Special Consideration Policy
BWYQ 014	Conflict of Interest Policy
BWYQ 015	Risk Management Policy & Risk Log
BWYQ 017	Malpractice and Maladministration Policy
BWYQ 018	Sanctions Policy
BWYQ 019	Complaints Policy & Procedure
BWYQ 020	Appeals Policy
BWYQ 021	Customer Services Statement
BWYQ 025	RPL Guidance
BWYQ 026	Plagiarism Guidance
BWYQ 027	Remote Assessment Policy
BWYQ 028	Centre Assessment Standards Scrutiny (CASS) Strategy

2. Recognising and Approving Centres

Please see Documents BWYQ 006 Centre Recognition and BWYQ 007 Recognised Centre Handbook

Recognised Centres are defined by Ofqual as centres which undertake the delivery of the qualification on BWYQ's behalf such as colleges, training providers or employers. Venues used to conduct assessment, in which the venue provider plays no part in the delivery of the assessment, would not fall within this definition.

BWYQ operates a Centre Recognition and qualification approval process that ensures the requirements of the regulatory authorities General Conditions of Recognition (Condition C2) are addressed.

Centres wishing to offer a BWYQ qualification complete a Centre Recognition Form (BWYQ 006) which can be requested via the email contacts at the end of this document. Approved Centres applying to offer further BWYQ qualifications need to complete a Qualification Approval Form.

Completed forms are reviewed by the BWYQ Operations Coordinator and then go to the BWYQ Directors for approval.

When a centre has applied for recognition, the BWYQ Directors assign an External Quality Assurer (EQA) to visit the centre to ensure they have the appropriate resources, human and physical, in place to deliver the BWYQ qualification specifications.

The EQA will outline BWYQ's quality expectations, and, where appropriate, the processes to seek approval for future assessment activities.

The BWYQ Directors reserve the right to assign actions to their recognition/ approval if required.

To protect the integrity of BWYQ's qualifications, newly recognised Centres or Centres offering a new type of qualification will not be permitted to claim certificates for their learners until they have had a successful visit from a BWYQ EQA.

3. Supporting Centres and Providing Guidance

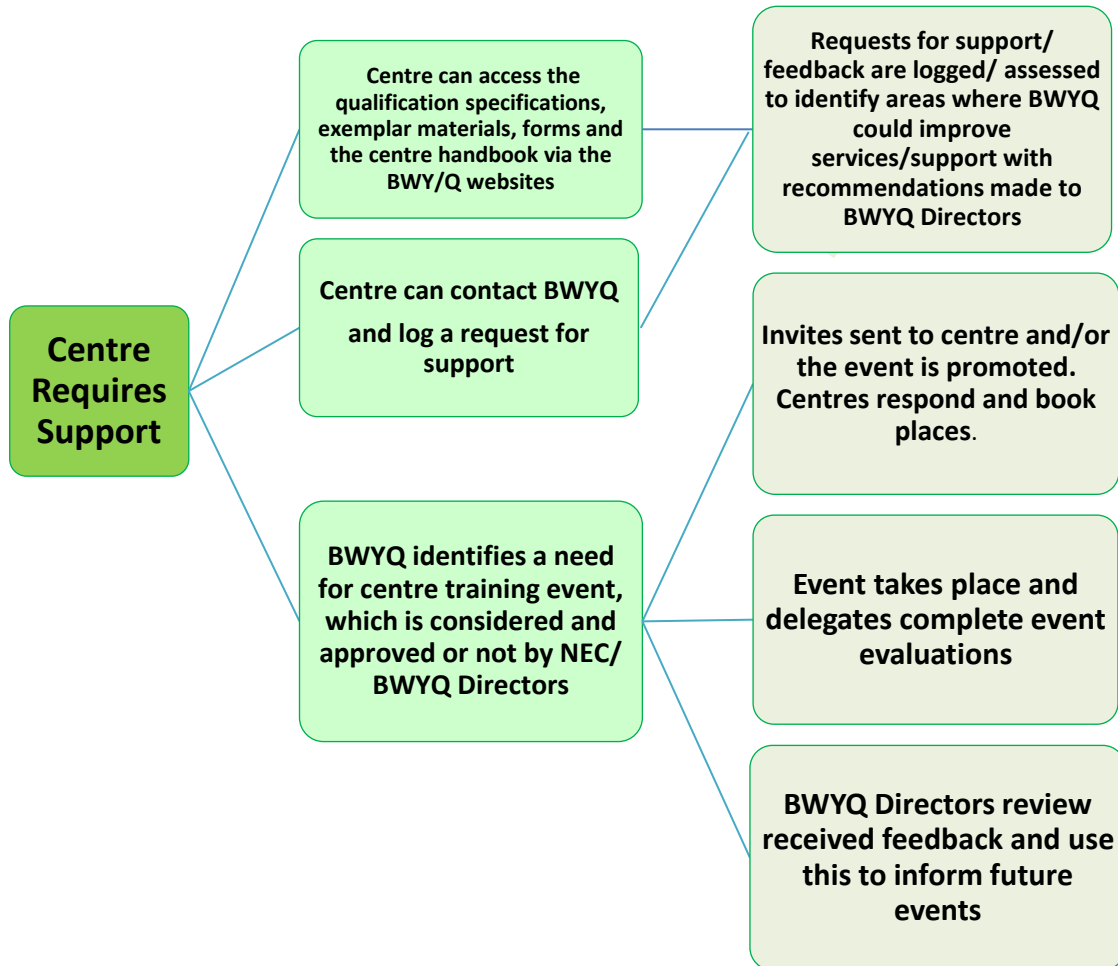
Please see the BWYQ 007 Recognised Centre Handbook for further guidance.

To support centres to deliver qualifications in a consistent manner BWYQ will:

- provide a qualification specification for each of the qualifications (and units) that the centre intends to deliver. These have been designed by the BWYQ in accordance with regulatory requirements and are published on the BWYQ website; www.bwyq.org.uk
- provide a range of exemplar assessment documentation and advice.
- specify the qualifications and experience that Centre staff must have, and/or their responsibilities in the relevant qualification specification.
- organise events to support centres and track event attendance. These will be held at various times and locations as required. No organised events will in any way breach assessment confidentiality or include 'prohibited training' as defined in Ofqual Condition G4.2.
- make appropriate training material from such events available for future reference in line with Ofqual G4.4.
- ensure centres receive and understand the requirements for operating as an

Approved Centre (i.e BWYQ 007 Centre Handbook).

- ensure they receive support from BWYQ External Quality Assurers (EQAs).
- have staff available to offer support and guidance



4. Registering Learners, Exams and Certification

Please see BWYQ 007 Centre Handbook.

The Centre will nominate personnel who will be authorised to check and submit/approve course registration/certification requests. The internal arrangements for student registration and certification will be monitored periodically.

Learner registration

Ideally learners will be registered no later than the start of the course, however BWYQ recognises that this is not always possible, so learners should be registered on the relevant qualification and/or unit(s) within four weeks of beginning the course. **Note that it is the Centre's responsibility to take all reasonable steps to confirm the identity of the learners and to assess the learners' eligibility for study at Level 4.** It is also the Centre's responsibility to confirm the competency of the trainers, assessors and verifiers who will be involved in the delivery/assessment.

Certification

Before submitting a certification, the Centre should ensure that:

- information in the request matches course registration details.
- correct BWYQ documentation was used.

- learner details are correct.
- learners have completed, or had RPL for, all parts of the course.
- course paperwork matches the learners, and their identity has been verified.
- any irregularities or missing paperwork has been investigated and resolved.

When learners have met all the requirements of the qualification/unit, a certification request form signed by the assessor and IQA can be submitted to BWYQ along with the completed IQA report. The QAO or Lead IQA will confirm that the assessment/achievement evidence for each learner is on file at the Centre. If a learner has not completed the entire qualification, individual units can be claimed.

The EQA will check that the appropriate assessment and quality assurance procedures have been followed and that the Centre has arrangements which minimise the risk of fraudulent or mistaken certificate claims being made. If there are concerns about the validity of a certificate claim, the EQA will inform BWYQ's EQA Officer who will liaise with the Centre's QAO as per guidelines in the Recognised Centre Handbook.

Once the EQA has been completed the certification request will be submitted to the BWYQ EQA Officer for approval. The BWYQ Operations Coordinator will print the certificates, ensuring that the final certificate(s) clearly identify the language the assessment was carried out in if another language was used other than English, Irish or Welsh and where the objective of the qualification was not to gain skills, knowledge or understanding in the language.

To prevent fraudulent misuse, each certificate will adhere to the certificate requirements of the regulatory authorities and will:

- Clearly and uniquely identify both the learner and the certificate itself
- Display the title of the qualification as it appears on Ofqual's Register (along with any Endorsement title if appropriate) – and no other title for the qualification
- Reflect the results achieved by the learner (certificates are not issued before all relevant achievements have been obtained by the learner)
- Not contain the titles of any "unregulated" qualifications

Unless there is a concern the certification process will usually be completed within 8 weeks of the certificate claim being submitted to BWYQ. All evidence for the achievement of the learning outcomes and assessment criteria must be made available when certificate claims are made. This includes written assignments, PowerPoints, audio or video recordings and observation records. The Centre must also provide the completed end of course review and the IQA report evidencing that all actions related to student achievement have been addressed and signed off.

If a learner has not satisfied the criteria for certification the Centre will be informed. The learner can, if appropriate, enquire about, or appeal against, the result in accordance with the Centre's and BWYQ's Appeals policy (BWYQ 020). Alternatively, they may opt to claim certificates for the individual unit(s) they have achieved to date if they do not wish to continue with the full qualification.

The BWYQ Operations Coordinator ensures that BWYQ:

- Issue unit and qualification results and certificates for all valid entries and claims, ensuring they accurately reflect the results achieved.
- publish an up to date list of all timescales for issuing results, certificates and replacement certificates (normally through BWYQ's customer service statement) and that BWYQ

complies with these timescales.

- only issue certificates and replacement certificates to those who have a valid claim/entitlement to them.
- maintain accurate records of all certificates and replacement certificates that BWYQ issue.

Certification review/recall

In situations where there is a question about the decision to award a certificate or where there had been an error during the certification process, the BWYQ Operations Coordinator will inform the BWYQ Directors and take relevant action to address the problem. If this relates to EQA activity, then the processes outlined in Section 7 are initiated.

The Centre and BWYQ will ensure that the relevant learner(s) records are amended to reflect any changes. They will also make any alterations if there was an error and/or material inconsistency in the assessment arrangements.

The BWYQ Operations Coordinator informs the relevant learner(s) and Centre(s) of the revised awarding decision and, if necessary, the decision to revoke the certificates. BWYQ will review other learners/Centres to see if they too were affected by the same decision or error.

Replacement certificates

Learners, or Centres acting on their behalf, can request a replacement certificate by contacting the BWYQ Operations Coordinator and giving:

- Rationale for the request (e.g. loss of the original or the learner's name has changed)
- Full name, date of birth, the name of the qualification and date of award and the centre where they achieved the award (including centre address if known)
- Supporting evidence – such as the identification of the learner (passport/driving license) or change of name records (e.g. deed poll or divorce records)
- The original certificate – this must be returned if the request is in relation to an error on the original or a change of name, so it can be destroyed.

There is a replacement certification fee of £25 in certain circumstances.

If the claim is valid, and the identity of the learner has been authenticated, a replacement certificate will be issued that will be an exact replica of the original certificate, but with the words replacement certificate clearly displayed. Should the claim be rejected, BWYQ will contact the person making the request, informing them of the decision and rationale.

The BWYQ Operations Coordinator will update the learner's record to reflect the request and outcome.

Learner analysis

BWYQ Operations Coordinator alongside designated Centre staff will review candidate registration and certification data to identify any adverse trends relating to equality of opportunity and diversity or success/failure rates. This will feed into ongoing reviews of the qualification. Examples include;

- Registration, pass, failure, withdrawal and transfer rates per qualification and trends in relation to learner and centre profiles.
- Number and details of exemption, equivalence and RPL requests
- Special Considerations and Reasonable Adjustments Requests

If this analysis shows that changes to BWYQ's approach to developing, delivering and awarding qualification are required, this will be acted upon by the BWYQ Directors.

Requests for acknowledgement of Recognised Prior Learning (RPL)

Please see BWYQ 025 Recognition of Prior Learning Guidance and BWYQ 026 Plagiarism Guidance

Requests to acknowledge recognised prior learning (RPL) can be made when this prior learning meets BWYQ requirements for a particular unit or set of BWYQ learning outcomes.

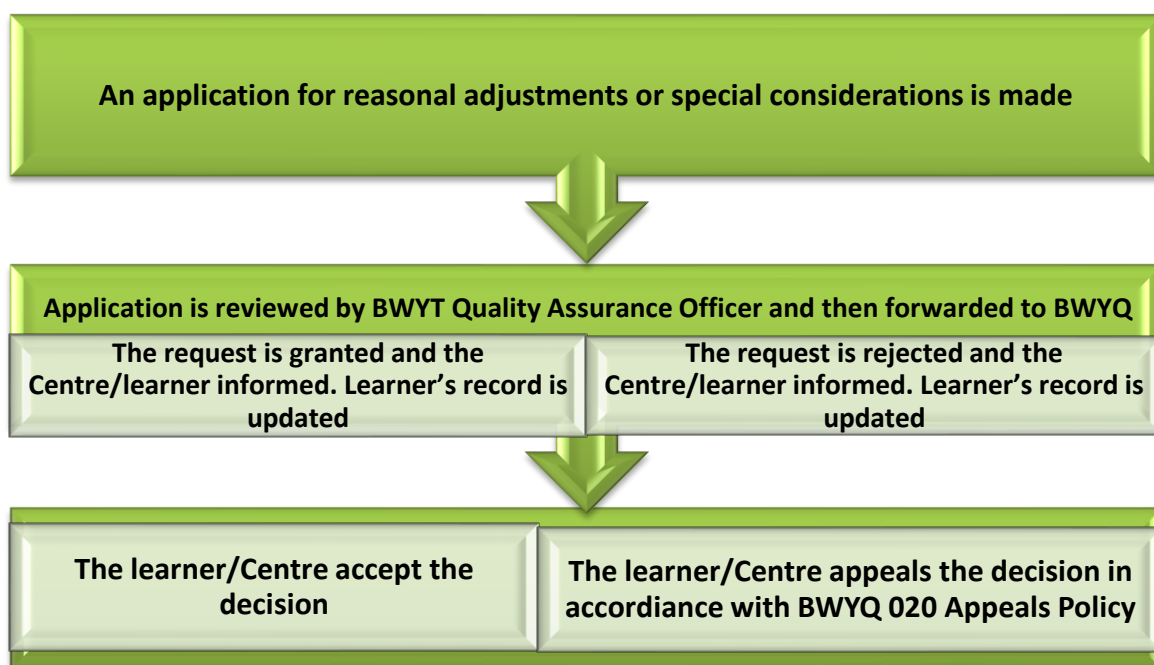
Initially a Centre will assess the Learner's request and then apply to BWYQ using the RPL application form. BWYQ will review the request then inform the Centre of their decision, with the reasons behind it. Certificates related to the RPL request will be requested for evidence.

If accepted, the relevant evidence will be added to the learner's portfolio and BWYQ records. If the RPL application is not accepted, then this is recorded. The learner may appeal the decision as per BWYQ 020 Appeals Policy.

Requests for Reasonable Adjustments and Special Considerations

Please see BWYQ 012 Reasonable Adjustment Policy and BWYQ 013 Special Considerations Policy

Requests should be made to the BWYT Quality Assurance Officer in the first instance. This will then be forwarded to the BWYQ Operations Coordinator.



Centres should aim to submit requests for reasonable adjustments at least 10 weeks before the assessment. BWYQ will aim to respond within three working days of receipt of the form. Special consideration can be applied after an assessment if there was a reason the learner may have been disadvantaged during the assessment. Centres should submit requests for special considerations no later than five days after the assessment has taken place or the deadline for written work has lapsed.

Marking and standardisation

Please see 007 The BWYQ Recognised Centre Handbook and BWYQ 028 Centre Assessment Standards Scrutiny (CASS) Strategy.

BWYQ aims to have robust arrangements to ensure accurate and consistent marking of assessments.

Marking

Student work is submitted to and stored by the Centre, where it will be retained for three years.

Tutors-assessors delivering BWYQ courses have undergone extensive training. However, in cases where inaccurate or inconsistent assessing is identified, assessors/ tutors are given additional support to ensure that marking is in line with the standardised approach. If additional support is ineffective then the tutor/assessor should not continue assessing and, if necessary, any work that they have completed will be re-marked.

Assessment and standardisation

Each qualification is marked by assessors and standardised by the BWYT IQA for that qualification. This process is further scrutinised by External Quality Assurers (EQAs) who are recruited by the BWYQ to sample and ensure correct practice at the Recognised Centres. The Quality Assurance Officer and BWYQ EQA Officer ensure that IQAs and assessors are adequately trained to provide standardisation across assessment marking schemes.

Additional checks are undertaken on any scripts where there are doubts about the performance of an assessor, or where the performance of a learner or Centre is significantly different from expectations.

Should an IQA, the Quality Assurance Officer (QAO) or an EQA identify any issues or adverse trends in assessment at a Centre they will notify the BWYQ Directors immediately. The BWYQ directors will then decide what actions are warranted. This could include an investigation in line with the BWYQ Malpractice and Maladministration policy.

BWYQ will also review policies and procedures as part of the ongoing self-assessment cycle.

Training

The BWYQ believe that good marking depends on shared understanding and consistency. Therefore, standardisation is a key part of tutor/assessor training. The aim is to make sure that everyone is assessing against the BWYQ learning outcomes and assessment criteria. Once the tutor/assessor has demonstrated this competence, they can begin/continue assessing. If not, they are given further training and support. Those who still do not meet the required standard are prevented from marking.

5. Competencies Expected of Tutors/Assessors

Tutors/Assessors delivering BWYQ qualifications should be suitably qualified and occupationally competent in the subject or vocational area they are teaching and or assessing.

Centres should only use tutors who have been initially trained as a qualified yoga teacher and have been teaching for a minimum of four years.

Assessors should:

- have knowledge and understanding of the National Occupational Standards/ qualification/regulatory frameworks for the yoga course that they are teaching and the necessary key skills and academic ability at the appropriate level.
- hold an appropriate teaching yoga qualification and, where relevant, have completed BWY Diploma Course Tutor (DCT) training.

- ideally have a qualification such as QTS, QTLS, DET, CTLLS, DTLLS, PGCE, Cert Ed, 730/7, 730/6, 740/07, or 740/06 and D32, D33, A1, Level 3 Assessors qualification, or working towards it, or a BWYQ approved equivalent.
- demonstrate competence in the assessment of the technical aspects of the qualification.
- be familiar with the awarding organisation's and regulator's requirements about conducting assessment, recording assessment decisions and maintaining learners' assessment records.
- use plain language which is free from bias and appropriate to the qualifications.
- understand equal opportunities in assessment and put it into practice.
- deliver the qualification in accordance with the Awarding Organisation and regulator's requirements.

The role of Assessors in Internal Assessment

Assessors will be responsible for:

- managing the process of internal assessment from assessment planning through to making and recording assessment decisions.
- assessing evidence of learners' competence against the standards in the BWYQ qualification specification and assessment handbooks.
- following BWYQ policies, procedures and guidance for the delivery of regulated qualifications.
- ensuring that they use valid, fair and reliable assessment methods that are moderated.
- conducting assessment in the way which meets the equal opportunities principles and policies (BWYQ 008 and 009), as specified in Section 8.
- maintaining accurate and verifiable assessment records for each learner.
- signing the Certification Request Form to confirm that the learner has successfully met all the assessment criteria.

6. Centre Monitoring

Centre monitoring by BWYQ is conducted by External Quality Assurers (EQAs) appointed by the BWYQ External Quality Assurance Officer. The EQA(s) will review the Centre's arrangements for learner support and guidance, resources, administrative systems, management, policies, procedures, IQA procedures and assessment practices.

In-person visit(s) by an EQA will be scheduled. The EQA will participate in observations and interview learners, assessors, IQAs and other key staff. The EQA team will also remotely sample a range of learners' assessed work across all courses to inform the EQA report on the centre.

Additional visits, reviews and further remote sampling will be carried out if there are concerns about the Centre's performance or if there has been a significant change in the number of qualifications the centre is offering or the number of learners who are registered, or if the centre is using a new form of assessment.

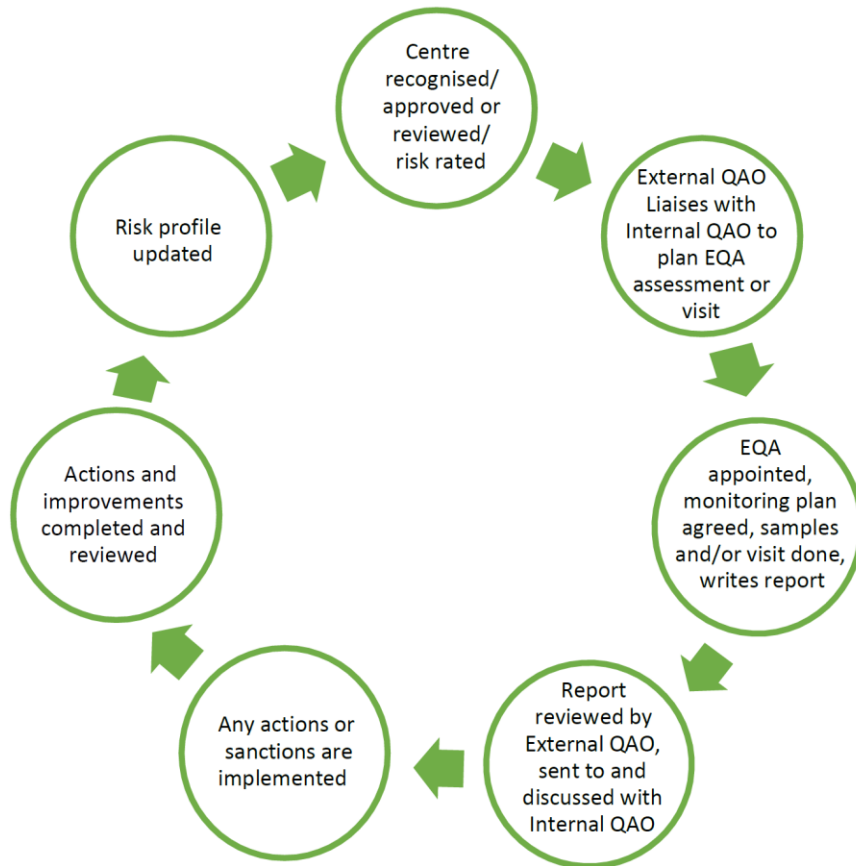
Remote sampling is where the EQA will sample requested documentation to verify the centre's internal quality assurance and the assessment practice. This activity can form part of a visit as described above or it could be arranged independently as a course specific EQA.

All visits, interviews and requests for samples will be arranged between the External Quality Assurance Officer at BWYQ and the Internal Quality Assurance Officer at the Centre.

In all cases, the EQA will prepare a report which will include SMART (S=specific M=measurable A=achievable R=realistic T=timebound) actions, which the External Quality Assurance Officer will feedback to the Centre's internal Quality Assurance Officer.

The EQA Process

The External Quality Assurance Officer is responsible for managing the EQA Process, which follows a cycle as depicted in the diagram below:



EQA Competence

The BWYQ Chair and the External Quality Assurance Officer will ensure that any EQA has:

- appropriate sector competence and qualification level.
- an appropriate EQA qualification or the equivalent occupational experience (or working towards the qualification or experience).
- expertise in the subject, which could be demonstrated through having spent 3-5 years working in the sector.
- a thorough understanding of the standards for BWYQ qualifications.
- an understanding of the Regulated Qualifications Framework (RQF).
- detailed knowledge of the awarding organisation's systems and documentation.
- competence in the systems used to ensure consistency of standards.
- the ability to use language which is plain, clear, accessible, inoffensive, free from bias and appropriate to the BWYQ qualifications and
- a commitment to equality, diversity and safeguarding, particularly in relation to fairness in assessment.

EQA Assessment of Centre

A Centre review may be undertaken to determine current activity, future plans and additional needs. This will usually be a remote communication between the External Quality Assurance

Officer and the Centre Quality Assurance Officer. The purpose of this desk-based visit will be to identify whether there have been any significant changes (or planned changes) that may warrant an additional visit, or a planned visit being brought forward. The outcome of these assessments is recorded by External Quality Assurance Officer.

BWYQ may conduct EQA visits to focus on delivery, certification, assessment, internal quality assurance (IQA), sampling learner portfolios, assessor feedback, IQA reports and standardisation activities. During these visits EQAs will aim to meet learners, assessors and IQAs and observe assessment activities where possible.

For centres that are judged low risk, BWYQ may perform remote external quality assurance, sampling documentation that the External Quality Assurance Officer obtains from the centre's internal Quality Assurance officer.

The EQA will sample the documents and compile a report which is then submitted to the External Quality Assurance Officer and forwarded to the centre.

EQA Visit Preparation

In-person visits will be according to need and geographic feasibility.

Before a visit the External Quality Assurance Officer will review the centre's profile to gain an overview of the Centre, using this to guide the EQA activity.

The EQA will then contact the Centre in advance of a Centre visit to explain the scope of the visit and the activities that will take place. Where possible, this contact will include arrangements to observe assessments taking place.

The EQA will review the Centre profile and may request information from the Centre in advance, which will be used to focus the visit more effectively.

Centres must comply with any requests for access to premises, people and records for the purposes of external quality assurance. If a Centre fails to provide access the EQA will inform the External Quality Assurance Officer who will consult the BWYQ Directors on the appropriate action to take with the Centre.

Once a visit date has been agreed, the Centre will need to ensure that the appropriate members of staff attend the meeting, all requested documentation is provided and access to course and staff records is available.

If a centre cancels an EQA visit at short notice the EQA will contact the External Quality Assurance Officer who must be satisfied that there was a legitimate reason for the cancellation. If this cannot be established, BWYQ will reserve the right to withhold certification claims until a monitoring visit is completed.

EQA Visits/Monitoring

During a visit and/or as part of the overall monitoring approach, each EQA should:

- Confirm that assessment decisions are regularly sampled, through internal quality assurance, for accuracy against the qualification standards.
- Ensure, through appropriate sampling/moderation, that assessment arrangements are fit for purpose and the criteria against which learners' performance is differentiated are being applied consistently by assessors in accordance with requirements specified for each qualification.
- Check that any centre-based assessment activities for Ofqual-regulated qualifications

have been submitted to BWYQ for approval and review.

- Ensure the centre is taking all reasonable steps to prevent of malpractice or maladministration.
- Ensure that the centre has all of their policies and procedures in place, that they are up to date and that they are being followed.
- Confirm that previously identified action points have been met.
- Confirm that assessments are conducted by appropriately qualified and occupationally expert assessors.
- Confirm the centre has the resources and expertise to deliver qualifications in accordance with BWYQ, sector and/or regulatory requirements
- Sample assessment decisions to confirm that the learner evidence is authentic and valid, and that qualification standards are being consistently maintained.
- Check that claims for certification are authentic, valid and supported by auditable records and that learners have met the specified level of attainment.
- Ensure that the centre is retaining appropriate records of internal quality assurance decisions and assessment documentation for three years
- Ensure that the centre is meeting BWYQ requirements for learner data retention as set out in BWYQ's guidance to centres
- Advise and support centres on the interpretation of qualification standards, learning outcomes and assessment criteria
- Provide centres with feedback and support in relation to internal quality assurance activities
- Provide centres with up to date information and advice in line with BWYQ guidance and regulatory authority requirements
- Recommend the application of appropriate sanctions in line with BWYQ's Sanctions Policy for centres that fail to meet the requirements.

Sampling at a Centre

The EQA should record details of the sample they select at a centre, and the rationale behind its selection, so that the External Quality Assurance Officer can monitor the characteristics of selected samples over time as well as the effectiveness of the sampling being carried out.

In order to make decisions on the matters listed above, an EQA should see evidence **of**:

- assessors, trainers and internal quality assurers have appropriate qualifications and experience for the awards/units they assess/verify
- continuous professional development (CPD) for assessors, tutors and internal quality assurers is recorded.
- learners have access to fair and unbiased assessment.
- valid claims for exemptions and/or RPL (recognition of prior learning).
- assessments are structured effectively in terms of planning, assessing, review and feedback.
- assessment instruments, evidence, tasks and assessment methods (e.g. learner portfolio or other evidence or assessment conditions) are appropriate with Centre based assessment activities approved by the internal Quality Assurance Officer or Lead IQA in advance of their use.
- assessors are taking part in standardisation activities.
- the centre is complying with BWYQ policies and procedures.
- assessment decisions of all assessors are available from all assessment locations to

ensure standards are being consistently applied.

- internal quality assurance and assessment records including feedback to assessors.
- learner registration and claim records for units and qualifications
- internal quality assurance strategy and sampling records.
- details of any appeals, or reasonable adjustments.
- a Centre Equality and Diversity Policy, Appeals Policy, Complaints Policy and Malpractice and Maladministration Policy, also that effective arrangements are in place to prevent and investigate instances of malpractice and maladministration. The EQA should ensure that staff and learners can access these policies and procedures

The BWYQ EQA will report back to the External Quality Assurance Officer concerning any training needs that have been identified at the visit.

To assist the EQAs in their sampling activities, information will be given on the learners who are registered by the Centre and whether their learning is in progress or completed.

In developing a sampling strategy, an EQA must consider the specific circumstances of the centre being visited. Factors which will determine the scope of a sample may include:

- Number of registered learners
- Number of certificates claimed
- Assessor and IQA qualifications and/or experience
- Learner/assessor ratios
- IQA/assessor ratios
- Number of sub centre/satellite sites and their geographical location. Where a centre has several assessment sites the sampling plan must enable the EQA to verify that assessment and internal quality assurance practices are maintained with equal rigour and consistency at all locations
- The centre's track record in complying with BWYQ's requirements and any agreed action plans
- Rate of staff turnover

The EQA should ensure that the sampling strategy involves not only the inspection of evidence, but also meetings with IQAs, assessors and learners, in order that the EQA can confirm whether the process of assessment, as well as the standards being used to judge learner competence, are consistent and meet qualification standards.

The EQA should also ensure that the selection of learners, assessors and IQAs for sampling is not left solely to the discretion of the Centre and should therefore select learners at short notice, to minimise the risk of fraudulent claims for certification.

If a Centre fails to make the learners selected for interview available, the EQA will inform the External Quality Assurance Officer who will require the Centre to provide proof that these learners exist. If this cannot be clearly established, the BWYQ Chair and External Quality Assurance Officer will notify the Head of the Malpractice Committee.

The final sample must be sufficient for the EQA to:

- Confirm the consistency and authenticity of assessment decisions
- Confirm the validity of claims for certification and authenticity of learners' evidence
- Provide evidence to support their conclusions

If the sample shows that the Centre is not applying the required standards, the EQA will:

- Identify and record the specific area of concern
- Notify the External Quality Assurance Officer who will engage with the BWYQ Chair to assess the impact on BWYQ's qualifications, materials and/or certificates that have/have not been awarded
- Participate in a short-notice EQA visit that the External Quality Assurance Officer has arranged with the Centre's Internal Quality Assurance Officer (QAO), as per the BWYQ Recognised Centre Handbook, and request a further sample to ascertain the extent of the non-compliance
- Record the findings in the EQA report
- Recommend sanctions, if appropriate
- Create an appropriate action plan for the Centre

EQA Reports

At the end of each visit the EQA will provide a report to the External Quality Assurance Officer, that:

- records the date of the visit
- details the monitoring and verification activities undertaken, including information on any sampling undertaken and who was interviewed
contains feedback to the Centre on the quality and consistency of its assessment process and the effectiveness of internal quality assurance arrangements
- highlights areas of good practice
- specifies what actions the Centre must take if its performance does not meet BWYQ's requirements, when they must be completed and by whom
- gives details of any recommended sanctions in accordance with the Sanctions Policy (if applicable) or any other recommendations to the External Quality Assurance Officer with a rationale for such a decision
- EQAs will be familiar with BWYQ's Malpractice and Maladministration policy and will report any potential or alleged malpractice or maladministration immediately to the External Quality Assurance Officer

The External Quality Assurance Officer will notify the BWYQ Directors who will discuss any non-compliance issues of the Centre and action or sanctions that may need to be imposed in accordance with BWYQ's Sanctions Policy. Any actions/sanctions will be recorded and implemented. The BWYQ directors will determine if an investigation needs to be conducted in accordance with the BWYQ Malpractice and Maladministration policy.

Once the External Quality Assurance Officer has approved the EQA report it can be forwarded to the Centre's internal Quality Assurance Officer or Lead IQA. The Centre's risk profile will be updated. If the Centre is unhappy with the conduct or outcome of a quality assurance visit, the matter should be taken up through the BWYQ's Appeals Policy and procedures.

Direct Claims Status for Certification

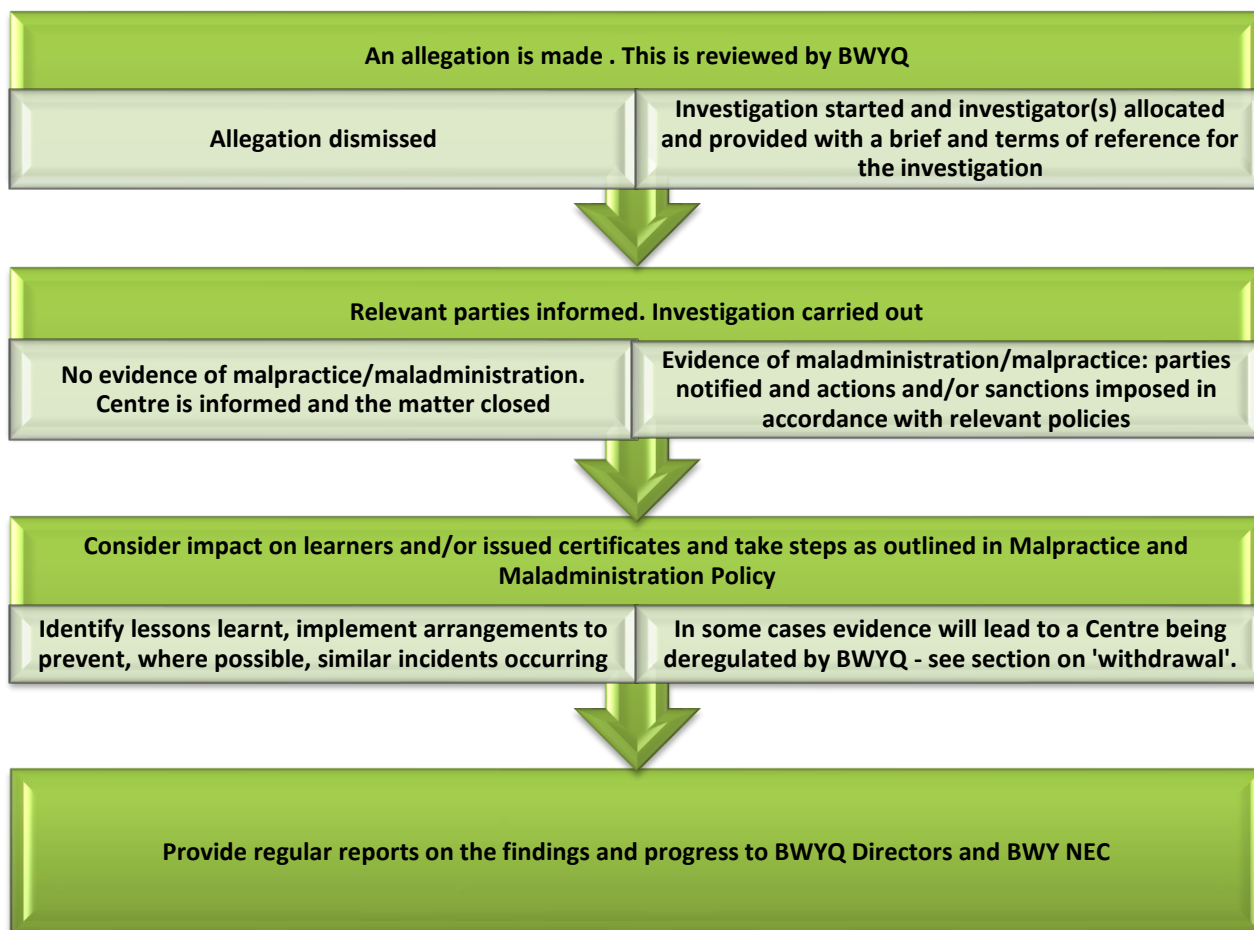
Currently, no Centre recognised by BWYQ has Direct Claims Status (DCS).

7. Malpractice and Maladministration Investigations

Please see *BWYQ 017 Malpractice and Maladministration Policy*

BWYQ are responsible for allocating staff to lead or contribute to an investigation, and for ensuring that all investigations adhere to BWYQ's Malpractice and Maladministration Policy (Ofqual Condition A8). Where possible, BWYQ will aim to complete an investigation within 20 working days of receipt of the allegation.

Should a member of staff involved in an investigation have queries about BWYQ's process or emergent findings they should contact BWYQ for clarification and/or support.



TERMS OF REFERENCE

Stage 1: Briefing and record-keeping

All potential cases of malpractice and maladministration will be passed to the BWYQ Operations Coordinator for recording in the malpractice and maladministration log. BWYQ will review the evidence in consultation with other relevant parties. An appropriate person or panel will be allocated by the Head of the Malpractice Committee to lead an investigation in accordance with the BWYQ's Malpractice and Maladministration policy.

If a joint investigation is necessary, BWYQ will clarify the leadership responsibilities with the other organisation(s), agreeing the investigation principles and arrangements. They will ensure that all members of BWYQ's investigation team understand and adhere to this. The terms of reference will be recorded in the Malpractice/Maladministration log, unless the investigation agreement states otherwise. BWYQ will give assigned staff a clear brief covering their role.

No individual or Centre connected to the allegation will work on the investigation. During the investigation an auditable record of every key action will be maintained. BWYQ will stipulate and/or provide secure storage arrangements for all material associated with the investigation.

All allegations of malpractice and/or maladministration will be available for analysis. This will identify possible trends/issues, allow the case to be revisited if new evidence comes to light and show regulators that their good practice guidance has been followed.

INVESTIGATION PLAN

Stage 2: Establishing the facts

Investigators should follow the guidance in the BWYQ Malpractice and Maladministration Policy and plan how they will review the evidence and associated documentation (including BWYQ guidance materials) to determine what occurred, when, where, why, who was involved and what action the centre has already taken.

Stage 3: Interviews

Most investigations will include interviews with key parties. These should be thoroughly prepared, conducted appropriately and underpinned by clear records. Face-to-face interviews should normally be conducted by two people; one person primarily acting as interviewer and the other as note-taker. Those being interviewed should be informed that they may have another person of their choosing present and that they do not have to answer questions (these arrangements aim to protect the rights of all individuals).

Stage 4: Other contacts

In some cases, learners or employers may need to be contacted for facts and information. The investigator will have a set of prepared questions and the responses will be recorded and attached to the malpractice/ maladministration form. Investigators should log the number of attempts made to contact an individual.

Stage 5: Documentary evidence

Wherever possible documentary evidence should be authenticated by the author. Receipts should be given for any documentation removed from a centre. Where relevant, independent expert opinion about evidence may be obtained from subject specialists/organisations.

INVESTIGATION SUMMARY

Stage 6: Conclusions

Once an investigation is complete, the draft findings and recommendations should be forwarded to BWYQ Directors, who will determine subsequent actions.

Stage 7: Reporting

The final outcomes are submitted to the relevant parties in accordance with the arrangements outlined in BWYQ's Malpractice and Maladministration Policy.

Stage 8: Actions

Any action plan, sanction and/or internal lessons learned will be implemented and monitored by BWYQ. A 'lessons learned' summary will be completed at the end of each investigation to ensure BWYQ learn from the experience. The BWYQ Directors will also notify Ofqual and any other relevant awarding organisations, if required.

8. Centre/Qualification Withdrawal

See guidance notes on withdrawal of qualifications at a Centre BWYQ 06a)

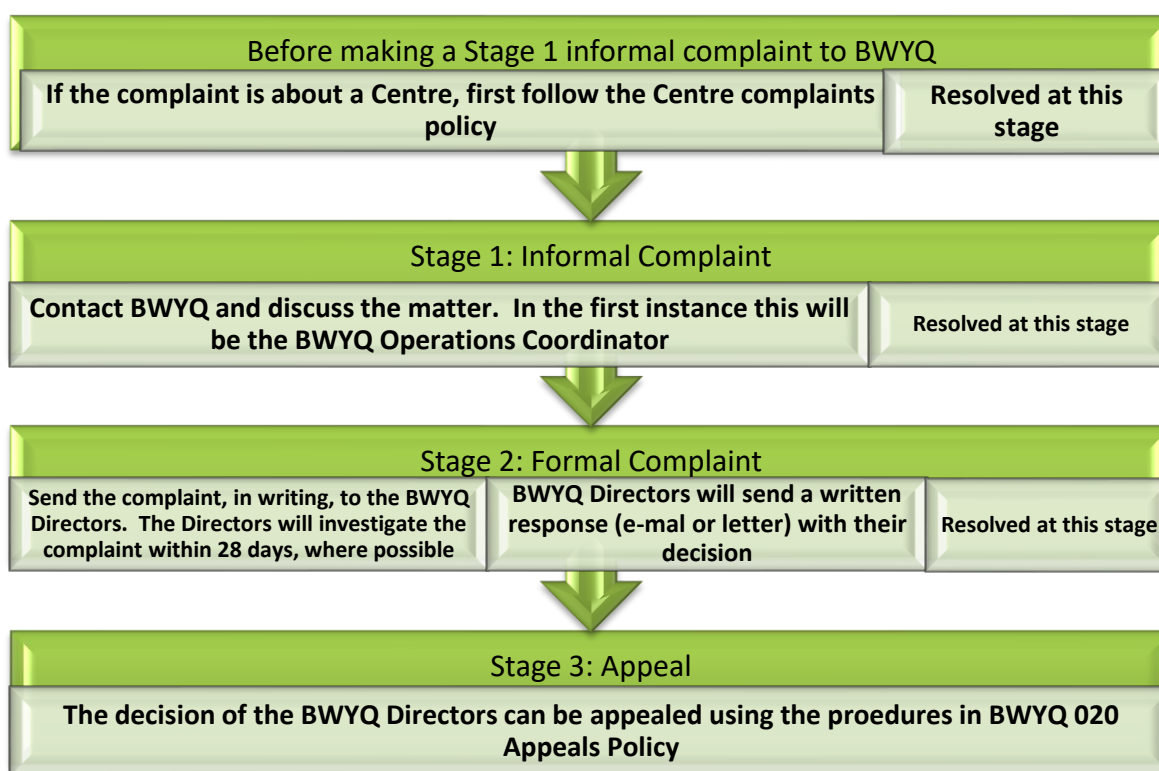
If a Centre has its approval for a qualification/suite of qualifications removed, or opts to not offer one of BWYQ's qualifications, the Centre should ideally submit a "qualification withdrawal notice" in writing to BWYQ. This should detail the withdrawal, and any learners that may be affected. (see "Process for managing the withdrawal of a qualification at a centre"). –BWYQ will oversee the request ensuring that all reasonable steps are taken to protect the interests of current learners.

When a Centre has its BWYQ Centre Approved status withdrawn completely, the BWYQ Operations Coordinator will update the Centre's records and advise all concerned.

9. Dealing with Complaints

Please see BWYQ 019 Complaints Policy

Any complaints will be dealt with following the guidance outlined in BWYQ 019 Complaints policy.

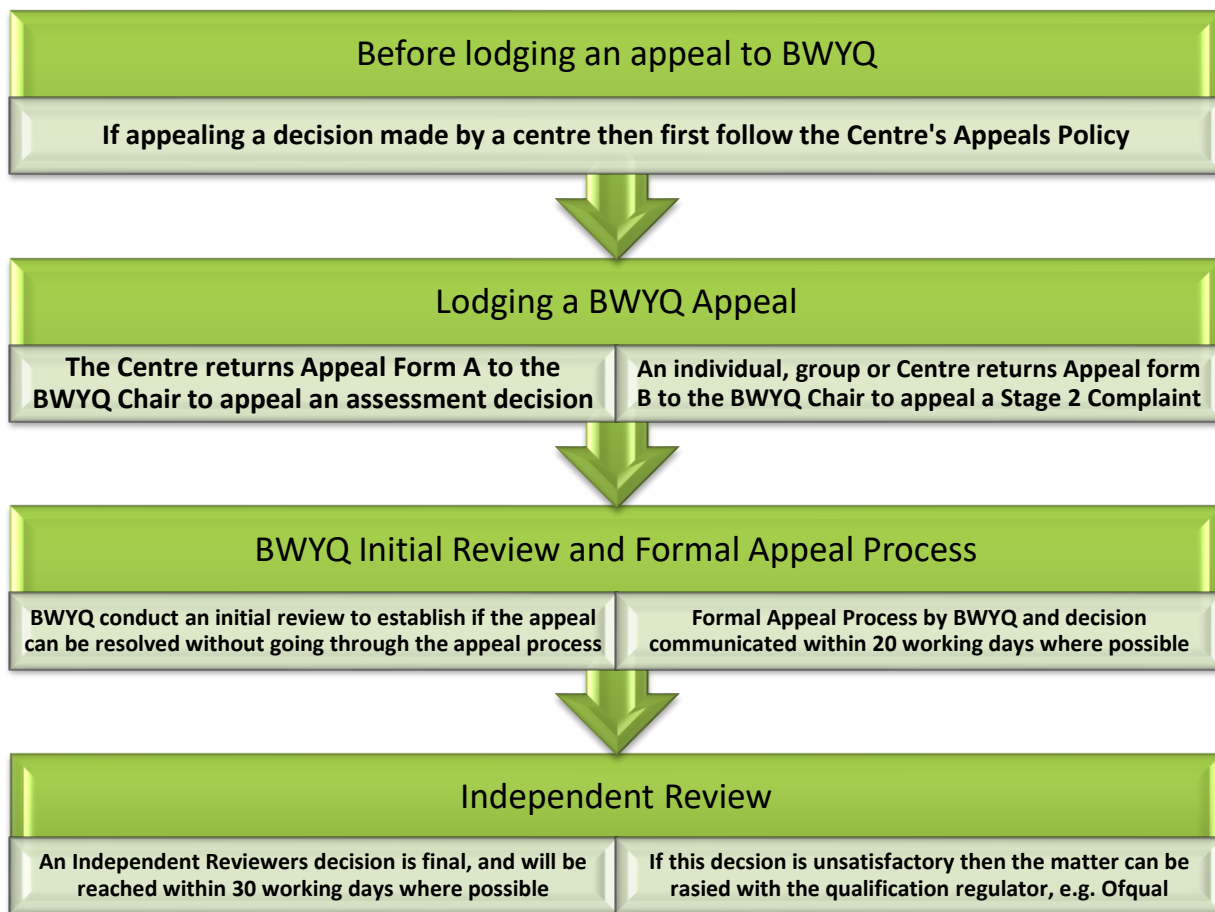


BWYQ aims to send a receipt for a complaint within 14 working days and investigate within 28 working days. If the matter is more complex or requires more time, they will update the individual(s) who made the complaint. The outcome of a complaint/decision can be appealed (see BWYQ 020 Appeals Policy). If any part of complaint is upheld, BWYQ will give due consideration to how BWYQ can improve BWYQ service and arrangements and take all actions appropriate to prevent further failures.

10. Dealing with Appeals

Please see BWYQ 020 Appeals Policy

Any appeals received by BWYQ will be dealt with following BWYQ 020 Appeals Policy.



Appeals must be received within 20 working days of the date BWYQ gave notice of the decision. BWYQ will acknowledge receipt within 5 working days. The Formal Appeal Process will be conducted by BWYQ in line with the BWYQ Appeals Policy, and the decision communicated within 20 days where possible. If the person making the appeal is not satisfied with the initial review they can request an independent review. This must be made in writing to BWYQ who will appoint an independent reviewer to investigate and make a decision within 30 working days of their appointment. The independent reviewer's decision is final, however, an appeal can be made to the regulatory authority.

After a successful appeal, or where an investigation following notification from Ofqual indicates a failure in BWYQ processes, BWYQ will review the outcome and take appropriate action. BWYQ will also cooperate with any follow-up investigations and if appropriate agree any remedial action.

11. Appendices

Centre Based Risk Management

Please see BWYQ 015 Risk Management Policy

Introduction

This section outlines how BWYQ makes compliance judgements and manages risks relating to centres delivering BWYQ qualifications.

It is for internal use, however EQA's should make Centres aware so that they can act upon compliance judgments and mitigate risks. Responsibility for identifying and managing risks associated with the delivery of BWYQ's qualifications rests with BWYQ Centres and BWYQ as an Awarding Organisation.

Centres should have a process for identifying risk and specific personnel to communicate risks which may impact BWYQ learners and qualifications. All centres should have policies and procedures in place that are in line with BWYQ guidance (see here and BWYQ 007 Centre Handbook)

BWYQ EQAs and Operations Coordinator will identify the current level of compliance at centres.

Contingency planning to mitigate risks.

Centres must identify and offer appropriate contingency planning for risks to BWYQ. The BWYQ Risk and Contingency Planning documents are available from BWYQ Central Office or the BWYQ Operations Coordinator.

Risks and Risk Management are recorded on the Risk, COI and Business Continuity Log. To ensure consistency in the BWYQ approach, if any individual compliance/risk area is amended the BWYQ Operations Coordinator will alert relevant staff after BWYQ have reviewed the change.

The **operational areas** which BWYQ believe are a strong indicator of a Centre's future ability to successfully deliver qualifications, and from which compliance judgements will be formed are;

- Governance - governance arrangements, administration activities, policies and overall management and approach.
- Internal quality assurance –arrangements.
- Assessment –internal assessment arrangements.
- Learner experience

The EQA will assess the Centre's level of compliance for all/some of these during their visit and record a factual judgment based on the centre's performance at the time of the monitoring activity. They will use the following scale and provide a clear rationale for the judgment;

Green (fully compliant)

Amber (minor non-compliances)

Amber-red (some important areas are deemed to be non-compliance)

Red (some critical areas are deemed to be non-compliant and urgent action is required)

They will also record the potential future risk associated with the section under review using the following scale with a clear rationale:

Green (low risk)

Amber (medium risk)

Amber-red (high risk)

Red (very high risk)

These will automatically be added to the centre profile within BWYQ records.

The current compliance rating may differ from the future risk rating.

Therefore, BWYQ's risk evaluations will be based around:

- **Probability** – the likelihood of a particular outcome happening.
- **Impact** – the effect or result of a particular event on the reputation of the centre, the qualification(s) and/or the interests of learners.
- **Awareness** – the awareness within the centre of the risk and what is in place to deal with it.

It is important to note, that a Centre ***does not have to meet*** all of the criteria listed in a compliance or risk 'category' to be given that weighting – staff pick the most pertinent weighting.

Operational Compliance Categories

Area	Fully compliance	Some minor non-compliances	Some none compliances in key areas	Major non-compliance(s) identified
Governance	No actions identified	e.g Governance arrangements are unclear Current documentation hasn't been uploaded/submitted	e.g.: Poor tracking records in complying with actions Existing/new partnerships not documented Poor security of key documents	e.g.: No single named point of accountability in place, Centre coordination ineffective; a significant change has taken place in regards of the Centres governance arrangements/status and BWYQ were not informed. Key policies inadequate (e.g. Equality and Diversity, Complaints, Appeals etc.) No maladministration/ Malpractice Policies etc.
Assessment	No actions	e.g. Assessment criteria being used but with some inaccuracies in record keeping	e.g. Assessment practises are deviating slightly from those stipulated in BWYQ regulated qualification specification but learning outcomes are still being met	e.g. Assessment practises are not compliant with those outlined in the BWYQ regulated qualification specification, learning outcomes are not being met.
Internal quality assurance	No actions identified	e.g.: Minor problems on the completion of a form, dates and student numbers overlooked	e.g.: Important detail missing from the form and therefore IQA process, sampling has taken place, but evidence has not been submitted	e.g.: Essential IQA practise has not taken place as part of the review, students have not been interviewed and a sample of work has not been reviewed
Learner Experience	No actions identified	e.g.: Learner feedback processes unclear or not consistently followed in line with centre process documentation	e.g.: Customer complaints indicate that the learning experience is deviating from the qualification specification and description in some areas	e.g. The learning experience is not compliant with BWYQ expectations regarding delivery of regulated BWYQ qualifications

Operational Risk Categories

Risk Priority		Definition
	Very high	Major impact on project/work schedule, budget, scope or resources
	High	Significant impact on project/work schedule, budget, scope or resources
	Medium	Possible impact on project/work schedule, budget, scope or resources
	Low	No material impact

Please see the BWYQ 015 Risk Management Policy for further information or contact the BWYQ Central Office for further support identifying and categorising risk.

BWYQ will risk rate Centres against the following areas in order to support BWYQ's rolling programme planning and internal reporting to the IQA team and the BWYQ Committee and to help identify and manage **strategic risks** that may emerge within centres.

Strategic Risks

Area	Low	Medium	High	Very High
Compliance	<p>None to a few minor actions in place</p> <p>No satellite Centres being used</p> <p>No complaints about the centre received</p> <p>No concerns raised via recent centre recognition/ qualification approval application (e.g. actions)</p> <p>Well-established controls (e.g. procedures) in place to manage the area/activity.</p> <p>No experience of a significant issue/adverse effect at the centre previously</p>	<p>Actions in key areas in place</p> <p>Some satellite centres being used</p> <p>Some complaints about the Centre received</p> <p>Some concerns raised via recent Centre recognition / qualification approval applications</p> <p>Not known in recent experience to have significant non-compliances (the last 12 months)</p> <p>Controls in place to manage the area/activity but have not been frequently applied (due to the nature/frequency of the activity).</p>	<p>Significant and/or numerous actions in place in relation to assessment, records, quality assurance/governance and/or resources</p> <p>Concerns about the Centre's structure/status (e.g. company status, partnership arrangements, satellite sites)</p> <p>Trends emerging in relation to actions/complaints in relation to the Centre</p> <p>Suspension of certification in place</p> <p>Recent experience of major non-compliances occurring (i.e. within the last 12 months) before New controls in place to manage the area/activity but have not yet been applied.</p>	<p>Key areas have significant actions in place and centre has a poor track record of completing actions on time.</p> <p>Actions relate to a malpractice/ maladministration investigation</p> <p>Large number of satellite sites being used (5+) and/or significant concerns around practices at, or management of, satellite sites.</p> <p>Malpractice/Maladministration investigation underway</p> <p>Suspension of certification and registration in place</p> <p>No controls currently in place to manage the area/activity.</p>
Reputational	<p>Centre has on average a low number of learners per year (1- 99)</p> <p>Centre is a small standalone company</p>	<p>Medium number of learners on average per year (100+)</p> <p>Centre is a medium-sized standalone company</p>	<p>High number of learners on average per year (e.g. 200+)</p> <p>Organisation with a relatively high profile in the country/sector</p> <p>Actual and/or potential article in local/national media about the centre and/or BWYQ's qualifications at the centre</p>	<p>Centre forms part of a nationally/ sector recognised organisation</p> <p>Very high volume of learners on average per year (500+)</p> <p>High profile/regulated qualifications being delivered</p> <p>Regular profile in local/national media</p>

Area	Low	Medium	High	Very High
Learner numbers	Currently has 1-99 learners. Consistent profile of learner numbers over the past two years	Currently has 100-199 learners Consistent number of learners over the past year	Currently has 200-499 learners. Significant change in learner numbers in the last 6 months (e.g. 40% increase)	Currently has 500+ learners Major change in learner numbers in the last 6 months (60% plus)
Staff turnover	Minimal staff turnover not affecting capacity/ability	Moderate and well managed staff turnover (e.g. more frequent but well managed staff changes)	Turnover of key staff/posts (e.g. key managerial posts and internal quality assurers) Single points of failure at the centre (e.g. over-reliance on one or two key individuals) Poor management/staff-handover when changes occur Significant changes in operational practice when changes occur	Significant and frequent changes of key staff/staff Resources are depleted No Internal quality assurer in place No Head of Centre Change in the centre ownership and/or governance arrangements
Qualification offer	Offers a low number of active qualifications – between 1-5 Qualifications are of similar type Qualifications taken for personal growth and enjoyment Qualifications have consistent assessment arrangements	Offers a moderate number of active qualifications – between 6-10 Qualifications that are designed only to meet the needs of a named employer or other organisation Starting to use a new qualification type/assessment method	Offers a high number of active qualifications – between 11-15 Qualifications that indicate that an individual can undertake a specific role in the workplace. Diverse and large range of qualifications on offer Diverse and large range of assessment methods being used	Offers a very high number of active qualifications – between 15+ Offers qualifications that an individual is required by law to have gained in order to undertake a specific role (license to practice) Diverse and large range of qualifications being offered across a range of sites.

Area	Low	Medium	High	Very High
Financial risk	<p>No issues arising through financial checks undertaken during the centre recognition process</p> <p>None to a minor financial commitment (£0 to £1k)</p> <p>No debt against the centre</p> <p>Paying within 30-day period</p> <p>No press stories or intelligence from stakeholders relating to financial difficulties</p>	<p>No financial checks undertaken during the centre recognition process</p> <p>Medium financial commitment (£1 - 10K)</p> <p>Moderate debt against the centre (up to 25% of their financial commitment)</p> <p>Track record of paying outside of the agreed period (i.e. within 31 - 60-day period).</p> <p>Emerging intelligence that suggest financial difficulties may exist.</p>	<p>Some issues found during the financial checks undertaken during the centre recognition process</p> <p>Large financial commitment (£10 - 25K)</p> <p>Large debt against the centre (up to 65% of their financial commitment)</p> <p>Track record of paying bills outside of the agreed period (i.e. within the 61 - 90-day period).</p> <p>Press stories and/or intelligence that clearly suggests the centre may be experiencing financial difficulties</p>	<p>Significant issues arising through financial checks undertaken during the centre recognition process</p> <p>Significant financial commitment (£75K+)</p> <p>Significant debt against the centre (over 66% of their financial commitment)</p> <p>Track record of paying bills outside of the agreed period (i.e. within the 91 day + period)</p> <p>Press stories and/or intelligence that suggest the centre will/is going bankrupt and/or will go into insolvency.</p>
Funding identified	No funding arrangements/reliance	No funding arrangements/reliance	Primary funding contractor with bodies like the SFA	Secondary funding contractor (e.g. a sub-contractor) with bodies like the SFA
AO notifications	No notifications received from other AOs/Regulators	No notifications received from other AOs/Regulators Concerns raised by BWYQ staff.	Notified of an incident of malpractice/maladministration by another AO/third party but no immediate relationship to BWYQ's qualifications	Notified of an incident of malpractice/maladministration by another AO with similarities to concerns/practices used in relation to BWYQ's qualifications
Centre profile	Company website in place	Gaps appearing in relation to Centre ownership and/or location details.	Significant confusion in relation to the ownership/location of the centre.	Major concerns emerging in relation to the ownership and/or location of the centre.

Area	Low	Medium	High	Very High
Populated by the account managers post application approvals	<p>Clear ownership and location details in relation to the centre.</p> <p>Owner is only involved in one organisation</p>	<p>Some staff (e.g. managers, assessors, invigilators) are working with other centres</p> <p>Owner is involved in one to two organisations</p>	<p>No centre website.</p> <p>Large number of staff working with other centres (e.g. managers, assessors, invigilators).</p> <p>Owner is involved in three companies</p>	<p>No centre website.</p> <p>Centres with 'college' in the title but is not a formal recognised college and/or appears to be using the title in a misleading manner.</p> <p>Large number of staff and/or key staff working with other centres (e.g. managers, assessors, invigilators) and issues have emerged with their performance in these centres.</p> <p>Owner is involved in four plus companies</p>

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