Pathway to Excellence
Performance and Quality Management Framework and Toolkit

2015/16
Introduction

Skills for Growth recognise that high quality of teaching, learning and assessment are crucial to the growth and expansion of its provision. To enhance good practice in the classroom and in the workplace it has developed a Performance and Quality Management Framework to drive improvement. The framework features:

- Key Performance Indicators (KPIs) for staff in Tutor-Assessor roles.
- An enhanced process for observation of teaching & learning, assessment and review.
- Clear links between the observation process, Continued Professional Development (CPD) and performance management.
- A programme of CPD centered around inspirational, creative learning, designed and led by a team of highly skilled and performing delivery staff.
- Induction programmes for new delivery staff centered on the observation and CPD process.
Quality and Performance Management Framework and toolkit

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1. **Tutor and Assessor Profiles**

When recruiting for Tutor-Assessor roles, recruiting managers will aim to select candidates who closely match the profile below:

<table>
<thead>
<tr>
<th>Qualifications and entry requirements</th>
<th>Abilities/Aptitudes</th>
<th>Experience</th>
</tr>
</thead>
<tbody>
<tr>
<td>secure subject knowledge</td>
<td>self investment in, own Continued Professional Development (CPD)</td>
<td>use of ICT and ILT in a learning and/or assessment role</td>
</tr>
<tr>
<td>GSCE English at Grade A*-C.</td>
<td>evidence of regular and recent CPD covering both pedagogy and subject specialism</td>
<td>knowledge and application of a wide range of teaching strategies, including for differentiation</td>
</tr>
<tr>
<td>GCSE Mathematics at Grade A*-C</td>
<td>empathy with young people and adults in learning</td>
<td>consistent Grade 2/Good or above practice for observation of processes related to job role</td>
</tr>
<tr>
<td>recognised teaching and/or assessment qualification or a willingness to achieve one within a reasonable timescale.</td>
<td>professionalism – role model behaviour e.g. with attendance, timekeeping, organisation, time management, reliability, confidence, personal presentation</td>
<td></td>
</tr>
<tr>
<td></td>
<td>reflective regarding own practice and how to develop and improve this</td>
<td></td>
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<tr>
<td></td>
<td>able to identify opportunities for promotion of equality and diversity and safeguarding</td>
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</tbody>
</table>
2. Key Performance Indicators (KPIs)

Performance and quality will be evaluated against a set of Key Performance Indicators (KPIs) relevant to the job role.

Key Performance Indicators for staff in a Tutor-Assessor role for Apprenticeships are outlined below:

<table>
<thead>
<tr>
<th>Attendance</th>
<th>Retention</th>
<th>Overall Success</th>
<th>Timely Success</th>
<th>Observations</th>
</tr>
</thead>
<tbody>
<tr>
<td>Outstanding</td>
<td>&gt; 95%</td>
<td>&gt;90%</td>
<td>&gt;85%</td>
<td>&gt;80%</td>
</tr>
<tr>
<td>Good</td>
<td>90-95%</td>
<td>79-89%</td>
<td>75-84%</td>
<td>70-79%</td>
</tr>
<tr>
<td>Requires improvement</td>
<td>76-89%</td>
<td>73-78%</td>
<td>70-74%</td>
<td>60-69%</td>
</tr>
<tr>
<td>Inadequate</td>
<td>&lt;76%</td>
<td>&lt;73%</td>
<td>&lt;70%</td>
<td>&lt;60%</td>
</tr>
</tbody>
</table>

Key Performance Indicators (KPIs) and the Quality and Professional Standards outlined in this toolkit should be covered as part of induction activity for all staff new to the organisation or new to the Tutor-Assessor role.

Performance will also be evaluated against the following minimum standards:
- < 5% audit error
- < 5% IQA actions from interim and final verification activities.

Monitoring performance against the Key Performance Indicators (KPIs)

- Performance will be reviewed at least quarterly through the review of performance data on the Skills for Growth Performance & Quality Data Dashboard (PQD).
- Performance against KPIs will be reported at an individual Tutor-Assessor level and overall for the programme team.
- Each PQD will indicate individual and team performance by programme against targets for attendance, retention, overall and timely success, progression and the most recent observation grades awarded by process.
- Data for retention, overall and timely qualification success and progression will be year to date figures for the current contract year.
- Data for attendance will be the rate for each tutor group for the previous quarter (calculated based on actual days attended expressed as a percentage of required attendance days for that tutor’s groups).

- Observation grades will be the most recent graded observation by process shown by tutor and translated into an average grade for the programme team.

- Performance against each KPI will be RAG rated based on the current level of performance for that measure. For example, a tutor whose attendance rate for the previous quarter was 65% would be RAG rated ‘Red’ (Grade 4) for that measure for the previous quarter.

- Quality Assurance activity, including observations, will be planned on an annual Quality Assurance Calendar. Additional activities are then planned based on risk using the data provided on the PQD.

For example, poor attendance data for an individual tutor could trigger an Observation of Teaching and Learning, whereas poor attendance data across all tutors delivering on a specific Apprenticeship framework could trigger a full Quality Review for that programme. Similarly, data on the PQD will also be used to explore where good practice exists. For example, a tutor with very good attendance rates and a recent ‘Outstanding’ grade for a graded observation of teaching & learning could be identified as a Gold Standard Practitioner. More information on the role of Gold Standard Practitioners can be found in section 10 of this toolkit.
3. Quality standards

All staff are expected to perform their roles to a ‘good’ or better standard in relation to each of the performance indicators (KPIs) outlined on the Performance & Quality Data Dashboard (PQD). There is an expectation that good performance against the KPIs will be achieved through full implementation of the organisation’s professional standards outlined below:

Professional behaviours
- Professional
- Positive
- Encouraging
- Engaging
- Interested
- Consistent
- Time management
- Reliability
- Confidence
- Organisation
- Effective record keeping
- Empathy.

Self Development and Progression
- Self-investment in professional practice and CPD activity
- Progression to Gold Standard Practitioner

Staff expectations
In turn staff can expect:
- Company investment in annual training and appropriate CPD activities
- Structured induction
- Mentoring & peer support – inclusive of shadowing of Gold Standard Practitioner
- Consistent line management
- Clear guidelines
- Clear and clean delivery areas
- Appropriate resources
- Regular review of performance.
4. Induction

An Induction Schedule covering the following topics and activities will be agreed with each new Tutor-Assessor.

The Induction schedule will be issued on commencing employment and as a minimum should cover:

<table>
<thead>
<tr>
<th>Aspect</th>
<th>Responsibility</th>
<th>Timescale</th>
</tr>
</thead>
<tbody>
<tr>
<td>ETF Professional Standards, CPD Contract,</td>
<td></td>
<td></td>
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<tr>
<td>CPD Log and Action Plan</td>
<td></td>
<td></td>
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<tr>
<td>Initial assessment, diagnostic and e-learning materials</td>
<td></td>
<td></td>
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<tr>
<td>Teaching and learning resources</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Introduction to e-portfolio</td>
<td></td>
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</tr>
<tr>
<td>Peer observation/mentoring/work-shadowing</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Gold Standard Practitioners:</td>
<td></td>
<td></td>
</tr>
<tr>
<td>▪ Teaching and learning</td>
<td></td>
<td></td>
</tr>
<tr>
<td>▪ Critical Skills</td>
<td></td>
<td></td>
</tr>
<tr>
<td>▪ Assessment</td>
<td></td>
<td></td>
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<tr>
<td>▪ Review</td>
<td></td>
<td></td>
</tr>
<tr>
<td>▪ Functional Skills</td>
<td></td>
<td></td>
</tr>
<tr>
<td>▪ Equality and diversity and safeguarding</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

The expectation for a new member of staff to be confirmed in post will be:

▪ Observation of teaching, review and assessment during probationary period – 1 developmental observation within 3 months, 1 graded observation within 6 months of which must be a grade 2, if not probation will be extended.
▪ Good or better learner attendance for training sessions/lessons.
▪ CPD evidence, clearly demonstrates a willingness to reflect, improve and learn.
▪ Demonstration of the Professional Behaviours and Self Development standards
▪ Effective use of a range of ICT/ILT in learning, review and assessment activities.
▪ Very good learner and employer feedback.

At the end of the induction and probationary period

▪ All requirements met: confirmation in post;
▪ Majority of requirements met: an extension of probationary period might be agreed
▪ Majority of requirements not met: unsuccessful and not confirmed in post.
5. Observation Policy

Aim and objectives

The purpose of the Skills for Growth observation scheme is to raise the standards of teaching, learning and assessment and improve the learner experience and outcomes for all learners.

This will be achieved through:
- rigorous, timely observations of staff performance
- effective feedback
- effective action planning to drive improvement and performance management to deal with poor performance
- sharing of good practice
- use of information about staff performance and the learner experience to inform the self assessment and quality improvement planning process.

Scope

The observation scheme will cover the following processes:
- Teaching and learning
- Assessment
- Review
- Information, advice and guidance.

Skills for Growth and subcontractor staff (and any associates) will be observed performing the activities covered by their role description.

Teaching and learning observations will cover:
- Vocational training
- Employability and personal development training
- Functional Skills training
- Training delivered on the job, where it is specifically organised for the Apprenticeship
- 1-2-1 coaching e.g. by Tutor-Assessor for Functional Skills.

Observation of Assessment will cover:
- Work-based assessment
- Functional Skills assessments
- Classroom-based assessments for vocational skills/employability units.

Reviews will be observed in the workplace and in the training centre.

Observations of information, advice and guidance will be observed at the pre-entry, entry and completion stages of learners’ programmes.
Observation types

The following types of observation will be planned and carried out as part of the Skills for Growth observation strategy:

- **Graded** – undertaken by managers, observed performance is evaluated against the Common Inspection Framework 2012 and graded using the 4-point grading scale used by Ofsted. The grade given is based on matching the observed performance to the grade descriptor that most accurately reflects the standards of performance observed.

- **Developmental** – undertaken by managers as part of the organisation’s support and development activities. Developmental observations are not graded. Instead the focus is on recognising strengths and identifying areas for improvement in individual practice, in order to drive continuous improvement and help new members of the team to prepare for graded observations.

- **Peer** – these may be undertaken by any Tutor/Trainer/Assessor/Recruiter to support the development of staff through the sharing of good practice. These observations are not graded and should be seen as opportunities for CPD and arranged between staff members at mutually convenient times.

- **Paired** – some observations will be carried out as Paired (or joint) observations. Paired observations will involve managers in both Curriculum and Quality roles, as well as between Skills for Growth and subcontractor staff. The main aim of paired observations will be to ensure consistency in judging and grading performance (between Observers and across different types of provision) and with the agreement of action plans. Paired observations will also be used as part of the training of new and inexperienced Observers.

Notice

The observation scheme will aim to be capture naturally occurring evidence of performance wherever possible, in order to gain an accurate picture of the learning that is taking place in the classroom and the planning that is taking place in advance of lessons, assessments and reviews. Observations will therefore be completed with the following levels of notice:

- **Short notice** – staff will usually be given 2 days notice of a planned observation. Short notice observations will include notice that an Observer plans to complete a specific type of observation in the following week, without providing details in advance of the specific session to be observed.
- **No-notice** – the organisation may also conduct observations without notice, as part of internal inspections and Quality Reviews in order to accurately inform the self assessment process.

**Observers**

Managers with the following qualifications, skills and experience will normally carry out Graded, Developmental and Paired Observations:

<table>
<thead>
<tr>
<th>Experience</th>
<th>Qualifications</th>
<th>Abilities/aptitudes</th>
</tr>
</thead>
<tbody>
<tr>
<td>experience of teaching and/or assessment on Apprenticeships/Study Programmes</td>
<td>a recognized teaching qualification and/or Assessor and IQA/IV qualification (dependent on process being observed)</td>
<td>ability to deliver high quality teaching and learning, assessment and/or reviews to young people and adult learners</td>
</tr>
<tr>
<td>experience of Classroom and/or work-based observation</td>
<td>two years post qualification experience</td>
<td>excellent communication skills</td>
</tr>
<tr>
<td>experience of Mentoring/supporting Tutors/Trainers/Assessors.</td>
<td>subject specific professional qualification as appropriate</td>
<td>ICT literate</td>
</tr>
<tr>
<td></td>
<td>recent CPD covering equality and diversity, health and safety and safeguarding.</td>
<td>familiarity with and understanding of the Common Inspection Framework 2012.</td>
</tr>
</tbody>
</table>

**Training of Observers**

An existing experienced Observer will train new Observers. Training will be provided through the following:
- a formal Induction to the Observer role with Skills for Growth
- external training where this available
- participation in Standardisation and Moderation meetings
- conducting Paired Observations.

Observers are expected to maintain their Continued Professional Development through the range of methods covered by the Education and Training Foundation (ETF) Professional Standards for Teachers and Trainers in England. Evidence of CPD completed should be maintained on an up to date CPD Log and Action Plan.
Planning

Observations will be planned on the annual Quality Assurance (QA) Calendar, and allocated to an Observer to conduct.

Graded Observations by process will be planned in blocks in order that:
- outcomes can be analysed across teams and the organisation
- trends in strengths and areas for improvement can be identified
- good practice can be effectively identified and shared
- training can be arranged to meet identified staff needs.

Developmental observations will be planned when new staff join the organisation or existing staff take on a new job role.

Staff will arrange peer observations for mutually convenient times.

The Quality Consultant will update the QA Calendar to show observations planned and completed and where additional observations are required after a Graded 3 or 4 graded observation.

Process

Before the observation:
- Line managers should ensure that the Tutor-Assessor understands the purpose of the observations and has been provided with copies of the relevant observation record and grade descriptors.
- Give two days notice of the observation (unless unannounced).
- Secure agreement from the employer if the observation is to take place in the workplace.
- Confirm what documentation is required prior to the observation (e.g. lesson plan, register, scheme of work, assessment plan, ILP, previous review).
- Confirm arrangements for feedback.
- Check the action plan from any previous observation for training needs and actions to inform judgments on improvements made.

During the observation:
- Locate yourself to minimize disruption and remain unobtrusive.
- For observations of teaching and learning, observe for at least 45 minutes or drop into different stages of the lesson such as the beginning, mid-session and at the end.
- Note attendance and punctuality for observations of teaching and learning.
- Allow time to talk to learners informally as part of a group session.
- Evaluate how much learning has taken place.
• Ensure that the use of ILT, promotion of equality and diversity and embedding and contextualization of Functional English, maths and ICT are considered as part of the observation.
• Record evaluative rich text on the observation record and use this to make judgments about the performance observed.
• Formulate an overall grade based on your evidence-based judgments. The grade descriptor that best reflects the performance observed should be selected. For teaching and learning the focus should be the learning that has taken place, for assessment the effectiveness and efficiency of the assessment and the progress made by the learner and for reviews the extent to which the meeting is expected to lead to timely completion and progression.

Feedback from learners and employers
Observers should aim to interview the learner or group of learners as part of the observation process, in order to triangulate evidence and to check if the lesson, assessment or review activity observed is typical of the learners’ normal experience.

Notes on learner feedback should be recorded in the relevant section on the final page of the observation record.

Learner records
Observers should also aim to review a sample learner record relating to observed activity and make a judgement about the quality and sufficiency of each e.g. Individual Learning Plans, Review forms.

Notes on the quality and sufficiency of learner records should be recorded in the relevant section on the final page of the observation record.

Feedback and action plans

Verbal feedback and the proposed grade for a Graded Observation should be given on the day of the observation. Written feedback should be provided within 3 working days of the observation.

The member of staff should be encouraged to evaluate their own performance by identifying what went well and less well, prior to the Observer providing their formal feedback.

Feedback should be evidence-based and clearly demonstrate how judgments reflect the grade for Graded Observations. Observers should be careful to provide sufficient opportunity for the member of staff to ask questions and seek clarification of any points that are unclear.
Staff whose performance is judged as Grade 3 or 4 should be provided with an opportunity to discuss the feedback face-to-face with the Observer within 5 days of the observation.

Staff are responsible for updating their own CPD Log and Action Plan with details of the actions they propose to take to address areas requiring improvement in their practice and to detail activities to improve their practice by at least one grade.

A formal action plan should also be agreed within 10 days of the observation. Action plans should focus on up to three main areas of improvement identified and CPD action plans should be updated to reflect the actions that are agreed.

Line managers are responsible for reviewing actual progress with action plans as part of the one-to-one meetings conducted with staff in their teams.

**Additional observation for observations not judged to be good or better**

Further observation should be planned and completed within the following timescales for observations judged as ‘Requires improvement’ or ‘Inadequate’:
- Grade 3 – further observation within 8-12 weeks
- Grade 4 – further observation within 4 weeks.

The Performance Improvement Plan (PIP) process will be implemented with the member of staff where:
- two more consecutive observations of the same process are judged to be Grade 4
- three or more consecutive observations of the same process are judged to be Grade 3.

**Appeals procedure**

All Tutors-Assessors have the right to lodge an Appeal in relation to an observation of teaching & learning, assessment, review or IAG session.

It is recommended that any questions or concerns are raised informally with the Observer in the first instance.

To formally Appeal the grade or judgments made in relation to an observation, the staff member should follow the procedure outlined below:
Step 1: Forward details of the Appeal in writing to the Quality Consultant, within 5 working days of confirmation of the proposed/moderated grade.

The Quality Consultant should consider the Appeal and confirm details of the outcome within 10 working days of receipt of the Appeal.

Step 2: If not satisfied with the outcome of the Appeal in Step 1, the staff member should follow the Grievance Procedure as outlined in the HR Handbook.

**Moderation process**

Moderation Meetings will be held four times a year.

The purpose of the meetings will be to review a sample of observations completed since the previous meeting in order to confirm that in each case that the grade reflects the evidence and judgments recorded.

The following points will also be considered in relation to each observation completed, as part of the wider quality assurance and standardization processes:

- Does the observation focus sufficiently on apprentices/learners and their progress?
- Was the observation sufficiently rigorous to drive improvement?
- Is it clear what the tutor must do to improve by at least one grade at their next observation?
- Are actions for improvement SMART – and is it clear how each action will be met?

Any issues or areas for improvement identified from this activity will be fed into staff training and CPD plans.

Where an observation grade is increased or decreased as a result of moderation activity, the staff member should be informed within two days of the moderation meeting. If there is any disagreement then the Appeals Procedure should be followed.

**Sharing best practice**

Good practice identified through the observation process will be shared across staff and departments through the following methods:

- identifying/appointing Curriculum Leads
- staff meetings
• through the identification of Gold Standard Practitioners/Advanced Practitioners
• Peer Observations
• sharing of resources on One Drive
• Development Days.
**Grade descriptors**
**Observation of Teaching and Learning**

**Outstanding**
- The majority of learners make very good progress in the learning session.
- The tutor is highly adept at working with and developing skills and knowledge in learners from different groups. The tutor has high expectations of all learners.
- The Tutor draws on excellent subject knowledge and/or industry experience. They have planned astutely and set challenging tasks based on systematic, accurate assessment of learners’ prior skills, knowledge and understanding. The tutor uses well-judged and often imaginative teaching strategies that, together with sharply focused and timely support and intervention, match individual needs accurately. The development of learners’ skills and understanding is exceptional. The tutor generates high levels of enthusiasm for participation in, and commitment to, learning.
- Teaching and learning develop high levels of resilience, confidence and independence in learners when they tackle challenging activities. The tutor checks learners’ understanding effectively throughout the learning session. Time is used very well and every opportunity is taken to develop crucial skills successfully, including be able to use their literacy and numeracy skills on their course and at work.
- Constructive feedback is frequent and of a consistent quality, leading to high levels of engagement and interest.
- The teaching of English, mathematics and functional skills is consistently good, with much outstanding.
- Equality and diversity are integrated fully into the learning session.
- The tutor manages learners’ behaviour skillfully in the session.
- The quality of teaching and learning is reflected in the consistently high attendance for the tutor’s course.

**Good**
- Teaching and learning are predominantly good, with examples of outstanding. The tutor is able to develop learners’ skills and knowledge regardless of their backgrounds. As a result learners make good progress.
- The tutor has high expectations of all learners. The tutor uses their well-developed skills and expertise to assess learners’ prior skills, knowledge and understanding accurately, to plan effectively and set challenging tasks. The tutor uses effective teaching, learning and assessment strategies that together with appropriately targeted support and intervention, match most learners’ individual needs effectively.
- Teaching generally develops learners’ resilience, confidence and independence when tackling challenging activities. The tutor listens perpectively to carefully observe and skillfully question learners during the session. Teaching deepens learners’ knowledge and understanding consistently and promotes development of independent learning skills. There is good use of resources, including ICT.
The tutor assesses learners’ progress regularly and accurately and discusses assessments with them so that learners know how well they have done and what they need to do to improve.

The teaching of English, mathematics and functional skills is generally good. The tutor enthuses and motivates most learners to participate in a wide range of learning activities.

Equality and diversity are promoted and learners’ behaviour is managed well, although some work is still needed to integrate aspects of equality and diversity into learning fully.

The quality of teaching and learning is reflected in the generally good attendance for the tutor’s course.

**Requires improvement**

- Most learners make progress. However, there are weaknesses in areas of delivery such as learning or assessment.
- There are no endemic inadequacies. The tutor works with and develops skills and knowledge in learners from different backgrounds satisfactorily. The tutor’s expectations enable most learners to work and achieve satisfactorily, and they encourage them to make progress. Due attention is given to initial assessment and ongoing assessment of learner progress, but these are not always conducted rigorously enough, which may result in some unnecessary repetition of work for learners and tasks being planned and set that do not fully challenge them.
- The tutor monitors learners’ work during the lesson, sets appropriate tasks and adjusts their plans to support learning. These adaptations are usually successful but occasionally they are not timely or relevant, and this slows learning for some learners.
- Teaching strategies ensure that learners’ individual needs are usually met. The tutor uses resources well and sets appropriate work for learners.
- Learners receive feedback on their progress and how to improve further. This ensures that most learners want to work hard and improve.
- The teaching of English, mathematics and functional skills is satisfactory overall.
- The promotion if equality and support for diversity are satisfactory.
- Issues with the quality of teaching and learning are impacting on learner attendance.
Inadequate
Teaching and learning are likely to be inadequate where any of the following apply:

- Learners make inadequate progress and are unsuccessful in attaining their learning goals.
- The tutor does not have sufficiently high expectations, teaching fails to excite, enthuse, engage or motivate learners.
- The tutor lacks expertise and the ability to promote learning.
- Teaching of English and mathematics is inadequate and a significant proportion of learners do not receive appropriate support to address English, mathematics and language skills.
- Learning activities and resources are not sufficiently well matched to the needs of learners and, as a result, they make inadequate progress.
- The tutor shows insufficient understanding to promote equality and diversity in the session.
- Learner attendance is low and this is not challenged.
**Grade Descriptors**

**Observation of Assessment**

**Outstanding**
Assessment planning is very effective and leads to efficient, productive assessment. The learner is very well prepared for the assessment enabling competence and knowledge are demonstrated across a range of assessment criteria. An appropriate range of assessment methods are used very well. There is very good employer involvement in the assessment process. Evidence is Valid, Authentic, Reliable, Current and Sufficient to meet the standards claimed. There is very effective use of technology throughout the assessment process. Evidence is uploaded to the e-portfolio as part of the visit and assessed against all relevant criteria. Assessment decisions are made against specified criteria. Useful feedback is provided face to face and through the e-portfolio. Feedback provides the learner with clear and precise clarification regarding what has been covered and what they need to do next. The learner is able to explain the Appeals procedure. Very good progress is made as a result of the assessment.

**Good**
Assessment planning is effective and leads to efficient, productive assessment. The learner is prepared for the assessment. Competence and knowledge are demonstrated across a range of assessment criteria. An appropriate range of assessment methods is used well. The employer is involved appropriately in the assessment process. Evidence is Valid, Authentic, Reliable, Current and Sufficient to meet the standards claimed. Technology is used effectively throughout the assessment process. Evidence is uploaded to the e-portfolio as part of the visit and assessed against all relevant criteria. Assessment decisions are made against specified criteria. Useful feedback is provided face to face and through the e-portfolio. Feedback provides the learner with clarification regarding what has been covered and what they need to do next. The learner is able to explain the Appeals procedure. The learner understands the Appeals Procedure. The learner makes the required progress as a result of the assessment.

**Requires improvement**
Assessment planning is insufficient in direction and content to enable a fully productive assessment. Effective use is not made of all assessment rich opportunities and sources of evidence. The assessment is not holistic leading to some criteria which could be claimed being missed. There is limited or no employer involvement in the assessment process. There is a lack of ownership by the learner for their portfolio and their assessments. The learner has little or no understanding of the Appeals procedure. Feedback is limited and it is not clear that the learner understands what they have achieved or what they need to do next. There is some ambiguity regarding the learner’s understanding of the Appeals Procedure. The learner could have made more progress as part of the assessment.
Inadequate
Assessment is likely to be inadequate where any of the following apply:
- The Learner makes inadequate progress due to poor planning or assessment practice.
- The Assessor does not have sufficiently high expectations of what can be achieved as part of the assessment.
- The Assessor lacks expertise and the ability to conduct assessment in accordance with the relevant TAQA standards.
- The assessment is not planned or recorded using the e-portfolio system.
- The Assessor’s assessment decisions are not correct.
- Verbal and written feedback is not provided as part of the assessment.
**Grade Descriptors**

**Observation of Review**

<table>
<thead>
<tr>
<th>Grade</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Outstanding</strong></td>
<td>Planning and preparation for the review is highly effective. The learner and employer attend and participate fully in a detailed review of progress against the ILP and the targets and objectives set at any previous review. Any slow progress is acknowledged and the reasons very effectively explored. Data e.g. on attendance are used effectively. Sufficient SMART targets are agreed to enable excellent progress to be made by the next review. The learner is fully engaged in the review of their progress and takes ownership for the targets and objectives that they negotiate as part of the review. Where progress is good, the learner agrees to challenging targets to achieve skills and qualifications beyond what is required to complete their apprenticeship/programme. The review form reflects fully what has been discussed and agreed.</td>
</tr>
<tr>
<td><strong>Good</strong></td>
<td>The Tutor/Assessor, learner and employer are prepared for the review. Progress is reviewed effectively against all relevant elements of the programme, based on the targets and objectives set out in the ILP and the previous review. The learner is encouraged to evaluate their own progress and contributions are encouraged from the employer. Reasons for slow progress are identified and sufficient actions are agreed to overcome any issues identified. Targets are SMART and are likely to maintain or bring progress back on track. Where progress is good and on target, this is recognized but no actions are agreed to challenge the learner further. Targets cover the skills required to make progress as well as the unit/aims that are to be achieved. The outcomes from the review are effectively recorded.</td>
</tr>
<tr>
<td><strong>Requires improvement</strong></td>
<td>The Tutor/Assessor is adequately prepared for the review meeting. The employer attends all or part of the meeting but with only minimal involvement or contributions. Progress is reviewed against each relevant part of the programme. Any areas of slow progress are acknowledged. Actions to maintain progress or bring it back on track are brief. Targets are SMART but do not always focus sufficiently on the skills required to complete aims or units. It is not clear that the learner has taken ownership for, and is fully motivated to achieve, all agreed targets. The completed review form lacks detail and provides only limited information on what needs to happen to ensure sufficient progress is made to complete and/or progress in time.</td>
</tr>
<tr>
<td><strong>Inadequate</strong></td>
<td>There has been insufficient planning and preparation for the review, resulting in there being no employer presence or involvement and key information, documents and/or data are not available for reference during the review meeting. The review of progress did not cover all relevant qualification and non-qualifications aims. The reasons for slow progress are not fully explored or established. Issues with attendance are not mentioned or properly discussed. Targets focus only on the completion of units/aims, rather than the skills required to complete these. Targets are not SMART, are assessment based or are insufficient for the learner to make enough progress to be able to complete and/or progress by the PED. There is no learner ownership of targets or objectives and the primary focus is the completion of the review form. Some recording of discussions and outcomes from the review are incomplete and/or illegible and it is unlikely that the learner will be able to use the completed review form for reference after the meeting.</td>
</tr>
</tbody>
</table>
6. Observation Records

Observation Form templates can be found in the following annexes for the processes outlined below:

- OTL1: Observation of Teaching and Learning (OTL) Form
- OA1: Observation of Assessment Form
- OR1: Observation of Review Form
- OIAG1: Observation of Information, Advice and Guidance Form. (In development).
7. Feedback

Feedback is collected from learners and employers through the following methods:

- Learner Surveys, by programme – completed twice annually.
- Learner Forum, by programme – facilitated twice annually.
- Funding Agency surveys – completed as required by the Skills Funding Agency and Education Funding Agency.
- Interviews with learners and their employers collected as part of workplace visits to complete observations of assessment and review.
- Learner interviews completed as part of observations of teaching and learning.

Plans to complete surveys and to facilitate learner forum will be included in the annual Quality Assurance Calendar. Timings and frequency may be changed based on risk.

Learner and employer views will be fed into the self assessment, quality assurance, appraisal and performance management processes.

8. Staff training and Continued Professional Development (CPD)

All staff are responsible for maintaining an accurate, up-to-date record of the Continued Professional Development (CPD) completed annually. Details of all activities completed, how learning will be put into practice and the impact of the improvements made should be recorded on the CPD Log section of the CPD Record.

Staff are also expected to evaluate their own performance and reflect on feedback from others in order to identify their own development needs. Details of the development needs identified and how these will be met should be recorded on the Development Plan section of the CPD Record.

Tutors and Assessors are expected to maintain their own CPD to ensure that they are fully implementing the ETF Professional Standards. To do this, staff will be required to undertake an appropriate range of CPD activity annually covering pedagogy and vocational skills and knowledge updating.
Skills for Growth will also provide training and development opportunities to meet internal and external requirements.

Continued employment as a Tutor and/or Assessor may be at risk if CPD is not adequately maintained in line with the ETF Professional Standards.

9. Performance Improvement Plans (PIPs)

Staff contribution, performance and development are reviewed formally on an annual basis. Outcomes from individual observations will be discussed as part of 1-2-1 meetings that team leaders hold with the staff in their team. A review of CPD plans, activities completed and impact will also be covered as part of these meetings.

A pre-capability process – called a Performance Improvement Plan (PIP) – will be implemented when the following occur:

- Two consecutive grade 4 observations of the same process
- Three consecutive grade 3 observations of the same process

The PIP process will have a clear set of concerns, improvements required, timescale and success measures for the member of staff to achieve. Agreement will be made and recorded of the level of support available for the member of staff in addressing this underperformance.

The PIP will be formally reviewed midway through the plan to check on progress to date and to check that the support provided is working. At the end of the PIP, evidence to support progress, improvements and success measures met will be undertaken by the Team Leader and the Curriculum Manager. A formal meeting will be set to discuss whether the member of staff has been successful and is now operating at a level required by the organization.

- If all success measures and timescales have been met – the PIP will be closed – however performance in relation to areas of concern will be monitored as part of the performance management process to ensure stability of performance.

- If the majority of success measures have been met and it is considered an extension of a short period of time would prove total improvement, an extension of the PIP will be agreed. A further review would be set within a specific period of time.

- If success measures have not been met consistently despite support measures in place – the member of staff will move into a Capability Process. This process formally informs the staff member of concerns in relation to
their capability, sets short term targets for improvement which if not met may lead to them not being able to continue in their job role.

10. **Gold Standard Practitioners**

A team of Gold Standard Practitioners will be identified on an ongoing basis. These will be delivery staff who:
- have consistently demonstrated good performance against the Key Performance Indicators (KPIs)
- displayed the professional behaviours
- consistently good or better observations grades/judgements
- good or better overall feedback from learners and employers.

Gold Standard Practitioners will undergo intensive training to be conversant in Critical Skills methodology and trained as leaders in the field of curriculum, innovative and inspiring delivery and mentoring.

This team will be tasked with shaping and developing the new curriculum around resilience, employability skills and progression of learners. They will be role models personally demonstrating the professional behaviours.

This team will be assigned mentoring roles for staff within their induction period and also with staff requiring performance improvement. The team will be responsible for designing, delivering and supporting the organisations new CPD package. As a team they will be driving teaching, learning and assessment from ‘Good’ to ‘Outstanding’.
11. **Sharing best practice**

Good practice identified through the observation process and through feedback from learners, employers and other stakeholders will be shared across staff and departments through the following methods:

- Identifying/appointing Curriculum Leads – one for each of the following curriculum areas:
  - Business administration
  - Child care
  - Hairdressing
  - Functional English
  - Functional mathematics
  - Functional ICT

- Staff meetings

- Identification of Gold Standard Practitioners/Advanced Practitioners

- Peer Observations

- Sharing of resources on One Drive

- Development Days.