

Regulations for the assessment of vocational qualifications

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REGULATIONS FOR THE ASSESSMENT OF VOCATIONAL QUALIFICATIONS

1. Introduction

These regulations govern the assessment of vocational qualifications including, but not limited to, fulfilling the role of an approved assessment centre and end-point assessment organisation (EPAO).

2. Policies

2.1. The Board shall adopt such policies as may be required by the relevant regulatory authorities. It shall ensure the policies are published, reviewed and updated in line with regulatory authority requirements.

3. Resourcing

3.1 The Board shall ensure it has access to the appropriate resources and expertise to fulfil the role of approved assessment centre or EPAO, in line with the requirements of the relevant regulatory authorities. This shall include centre administration and access to an adequate number of Assessors and Internal Verifiers/Quality Assurers (IV/IQA).

3.2 The Head of Professional Development and Practice shall act as Head of Centre and shall maintain operational responsibility for assessment activity and for reporting to the Board.

4. Assessors and Internal Verifiers/Quality assurers

4.1. Assessors and IVs/IQAs shall be appointed by the Head of Professional Development and Practice acting in their role as Head of Centre.

4.2. Assessors and IVs/IQAs shall be competent and appropriately qualified. Competence is defined as having appropriate occupational competence in the subject or work area being assessed, evidenced through CVs and Continuing Professional Development (CPD) logs. Appropriately qualified is defined as having achieved, or being in the process of achieving, such qualifications in the assessment of competence as may be prescribed by the relevant regulatory authorities.

4.3. Assessors and IVs/IQAs shall normally be accredited members of CifA and/or another relevant professional body.

4.4. Assessors and IVs/IQAs shall be required to submit evidence that they are maintaining occupational competence through the annual submission of CPD records. Assessors and IVs/IQAs may be required to undertake additional training which may be provided by the Institute or sourced externally.

- 4.5. Assessors and IVs/IQAs shall declare any potential conflict of interest/prejudicial interest which may affect their ability to provide fair, reliable assessment in accordance with the Conflict of Interest Policy. A record of such conflicts of interest will be maintained by the Institute.
- 4.6. Failure to comply with the requirements set out in these regulations may result in the termination of ClfA's contract with an assessor or IVs/IQAs. If an assessor or IV/IQA is or is about to be subject to professional conduct or criminal proceedings, the assessor or IV/IQA may be suspended from assessment activity until the outcome of the proceedings has been determined. Contracts with assessors or IV/IQAs may be terminated if professional conduct or criminal proceedings are upheld.

5. Assessment practice

- 5.1. Assessment shall be carried out in line with the requirements of the relevant regulatory body and with the policies of the Institute. Requirements may vary between qualifications but all assessment shall be underpinned by principles of fairness, consistency and reliability.
- 5.2. The Board shall have a Fair Access Policy setting out its commitment to consider individual learner needs and to making reasonable adjustments where necessary.
- 5.3. Assessors shall be responsible for making assessment decisions based on the evidence provided by the candidate in accordance with the requirements of the qualification and with processes and guidance approved by the IV/IQA. Assessment decisions shall be moderated in line with approved procedures and may be overturned if, in the opinion of the IV/IQA, performance or grading criteria have not been applied correctly and/or approved process has not been followed.
- 5.4. The IQA/IV shall be responsible for ensuring assessors and other relevant parties comply with the end-point assessment plans and the quality assurance requirements of awarding bodies and other relevant authorities.
- 5.5. The Head of Professional Development and Practice shall ensure appropriate procedures for moderation of assessments and internal quality assurance (IQA) to ensure consistency and comparability across assessors and qualifications. Where qualifications have been formally recognised as providing competence in line with the requirements for accreditation by ClfA, or another professional body, the Head of Professional Development and Practice or nominated deputy shall liaise with the relevant committees to ensure that the qualifications continue to meet requirements.

- 5.6. The Head of Professional Development and Practice or nominated deputy shall ensure the timely reporting of results as required by the relevant regulatory authorities and shall ensure that appropriate documentation and records are retained for external audit purposes. The IQA/IV shall contribute to the audit process as required by the relevant regulatory authorities.
- 5.7. The Head of Professional Development and Practice or nominated deputy shall review the outcomes of moderation, IQA and complaints and appeals procedures on a periodic basis, at least every two years to inform a process of continual improvement. Informal feedback from assessors, learners and training providers will also be encouraged.
- 5.8. The Head of Professional Development and Practice or nominated deputy shall ensure timely compliance with any conditions or requirements and consider any recommendations by the relevant regulatory authorities in relation to assessment practice, and shall report significant conditions, requirements and recommendations to the Board as appropriate.

6. Complaints and appeals

- 6.1. The Board shall have procedures for dealing with complaints about the administration of assessment and for appealing against assessment decisions.
- 6.2. Complaints and appeals shall be dealt with in a timely manner, in accordance with any timescales set out in the relevant policies.
- 6.3. The Head of Professional Development and Practice or nominated deputy shall maintain a record of complaints and appeals which shall be reported to the Board of Directors on an annual basis.

7. Confidentiality

- 7.1. ClfA shall make all reasonable efforts to ensure confidentiality of personal data relating to learners, assessors and others involved in the assessment process, in line with its data protection policy and duties under GDPR. This extends to assessment evidence which may include material which may be commercial in-confidence or otherwise sensitive.
- 7.2. Information relating to learners may be shared with the relevant authorities in line with ClfA's Safeguarding and Prevent Agenda policies.
- 7.3. Information relating to assessment decisions may be shared with the relevant regulatory authorities, employers and/or training providers as part of reporting processes and for the purposes of moderation and IQA. Information relating to learners' identities shall only be included where necessary or required by the regulatory authorities.

- 7.4. Notwithstanding references to confidentiality elsewhere in these regulations allegations of professional misconduct may be made against an existing member in the light of information received during the assessment process, and shall be dealt with according to the Institute's professional conduct regulations.
- 7.5. If evidence supplied in support of an assessment raises concerns about adherence to professional standards on the part of the learner's employer, and their employer is a member or a Registered Organisation, this may be raised through the professional conduct or RO inspection processes.