



INTERNAL QUALITY ASSURANCE POLICY AND PROCEDURE

Policy reference UKV-QA-16 | Version 3.0

UK Versity Online Limited | BAC Accredited College | UKPRN 10052768

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Author	Director of Education
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Internal Quality Assurance Policy and Procedure

UK Versity Online Limited | ATHE 889 | Pearson 07737 | OTHM DC1506132 | Ascentis 3286 | NCFE 8465520 | IFA Direct 283334

Document control

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Owner	Quality Manager
Author	Director of Education
Approval authority	Academic Board, chaired by the Principal (Ramanjeet Singh)
Approval date	1 October 2026
Applies to	All UK Versity assessors, internal quality assurers, tutors and staff involved in assessment and quality assurance
Supersedes	Internal Quality Assurance Policy and Procedure (QA-11, April 2026)
Summary	Sets out UK Versity's internal quality assurance strategy, risk-based sampling, standardisation, IQA records and EQA preparation across all awarding organisations.

Compliance mapping

BAC College Scheme 2023 standards	11.x; 12.x
UK Quality Code 2024 (voluntary)	Principles 5, 11
OfS conditions (benchmark only; not OfS registered)	B4, B5 (benchmark)
Awarding organisations	ATHE; Pearson; OTHM; Ascentis; NCFE; IFA Direct
Legislation and regulation	Ofqual General Conditions of Recognition; UK GDPR and Data Protection Act 2018 (as amended by the Data (Use and Access) Act 2025); Equality Act 2010

Version history

Version	Date	Change
1.0	November 2014	First issue as Internal Quality Assurance Policy and Procedure (QA-11)
2.0	April 2026	Revised: CAMERA sampling, risk ratings, standardisation annex, record keeping annex

Version	Date	Change
3.0	October 2026	Full rebuild: annual risk-based sampling plan, 100% sampling of new assessors, quarterly signed standardisation, mandatory IQA record fields, EQA preparation and action tracking, NCFE Functional Skills SLC IQA; BAC/QAA/OfS mapping, version control

1. Purpose

Internal quality assurance (IQA) at UK Versity has two purposes:

- **assurance:** to confirm that assessment decisions are valid, authentic, current, sufficient, reliable and consistent with the standards of each awarding organisation (AO), before results are claimed;
- **improvement:** to use IQA, standardisation and external quality assurance (EQA) findings to develop assessors, improve feedback to learners and improve centre processes.

This policy sets out the IQA strategy, the annual sampling plan, standardisation, the records that must be kept, and how UK Versity prepares for and responds to EQA.

2. Scope

This policy applies to all assessed work on all qualifications delivered by UK Versity with ATHE (Awarding body for Training and Higher Education), Pearson Education Ltd (Pearson BTEC, including BTEC Higher Nationals), OTHM Qualifications, Ascentis (including Access to HE Diplomas, validated under the QAA Access to HE scheme), NCFE (including qualifications under the NCFE CACHE brand, and NCFE Functional Skills) and Institute of Financial Accountants (IFA) qualifications delivered through IFA Direct, administered in partnership with ATHE. It applies to all assessors, internal quality assurers (IQAs), tutors and the staff who support them.

For learners on Pearson BTEC Higher National programmes, the Pearson HN edition of this policy (v3.0, July 2026) applies and takes precedence where the two differ.

For NCFE Functional Skills, IQA applies to the centre-assessed Speaking, Listening and Communicating (SLC) component (section 10). Conduct of external assessments is covered by UKV-QA-22 and UKV-NCFE-FS-P-01.

3. Definitions

- **IQA:** the centre's own checks that assignment briefs are fit for purpose and that assessment decisions meet AO standards. Some AOs call this internal verification (IV) or internal moderation.
- **EQA:** the AO's checks of the centre's assessment and IQA, carried out by an external quality assurer, standards verifier, external examiner or moderator, depending on the AO.
- **Interim sampling:** sampling during a unit or cohort, while there is time to correct problems.
- **Summative sampling:** sampling of completed assessment decisions before results are confirmed and claimed.
- **Standardisation:** meetings where assessors and IQAs compare decisions on the same evidence to agree a common standard.
- **Signed off:** confirmation by the Lead IQA, recorded in writing, that an assessor's decisions are consistently accurate and they can move to a lower sampling rate.

4. Policy statement and principles

UK Versity will:

1. verify every assignment brief before it is issued to learners;
2. sample assessment decisions on a documented, risk-based plan that covers every AO, every qualification, every unit being assessed and every assessor;
3. carry out IQA throughout the assessment cycle, not only at the end;
4. never allow an IQA to quality assure their own assessment decisions or the work of a related person;
5. give assessors specific, developmental feedback on their decisions and feedback to learners;
6. hold standardisation at least quarterly, with signed and dated minutes;
7. keep complete IQA records that meet AO requirements;
8. complete IQA before any EQA request and never send a partial EQA pack.

IQA does not involve the learner directly. Where IQA changes an outcome, the learner is told in writing and may appeal under UKV-QA-23.

5. The annual IQA strategy and sampling plan

5.1 Planning

1. At the start of each academic year, the Quality Manager (Lead IQA) writes the IQA strategy and an annual sampling plan for each AO and qualification.
2. The plan names the assessors and IQAs for each unit, the risk rating of each assessor, the planned sampling rate, and the dates for interim and summative sampling.
3. The plan is updated during the year when a new assessor, new qualification, new specification, EQA action or concern arises.

5.2 Risk rating and sampling rates

Risk factor	Minimum sample
New assessor, assessor new to a qualification or unit, or assessor under an IQA or EQA action	100% until signed off by the Lead IQA
New qualification or new specification (first cohort)	100% of the first cohort's decisions
Unit or cohort of 10 learners or fewer	100%
High-risk assessor (inconsistent decisions or feedback)	50% to 100%
Medium-risk assessor	25% to 50%
Low-risk, experienced assessor with a consistent record	20% to 25%, and never below 20%

Risk ratings are reviewed after each sampling round and at least annually, and recorded on the risk-rating log.

5.3 Coverage

Across the year, the sample must include:

- every AO, every qualification and every unit being assessed;
- every assessor, with at least one learner per assessor for each unit they assess;

- the full range of outcomes and grades awarded (Pass and Refer for OTHM; Pass, Merit and Distinction where graded), not only borderline or failing work;
- resubmissions, work where reasonable adjustments or special considerations were applied, and recognition of prior learning claims;
- work flagged by the 20% AI and plagiarism screening trigger;
- different assessment methods (written assignments, recorded presentations, portfolios, professional discussion).

5.4 Interim and summative sampling

1. **Interim sampling** takes place during the unit, normally on the first marked submissions of each assessor, so that problems are corrected before they affect other learners.
2. **Summative sampling** takes place before results are presented to the Assessment Board (UKV-QA-15) and before certification is claimed.
3. For all AOs, IQA for a unit is completed, and any actions closed, before an EQA sample request is submitted.

6. Verification of assignment briefs

No brief is issued until an IQA has verified and signed it off. The IQA checks that the brief:

- maps to the correct learning outcomes and assessment criteria of the current specification;
- is at the correct RQF level and uses the AO's command verbs;
- gives a clear task, word count, deadline and referencing style;
- allows all grades to be achieved where the unit is graded;
- is accessible and free of bias;
- is the AO's own assignment or a centre-devised brief permitted (and, for ATHE, agreed) by the AO.

The IQA records the outcome, any changes required and the date of approval.

7. IQA of assessment decisions

1. The IQA reviews the learner's work, the marking sheet, the authenticity declaration and the plagiarism and AI report.
2. The IQA checks that each criterion decision is correct and justified, that feedback meets the standards in UKV-QA-15 section 9 (criterion-level confirmation, separate strengths and areas for improvement, developmental comments, referencing and sources), that the learner's name and learner ID are on all pages, and that authenticity has been confirmed.
3. The IQA gives written feedback to the assessor that focuses on the assessment decision and the quality of feedback, not on re-marking the learner's work.
4. Where the IQA disagrees with a decision, the IQA discusses it with the assessor. If they cannot agree, the Lead IQA decides. If the Lead IQA was involved, the Principal nominates another qualified IQA.
5. The IQA signs and dates the IQA record first. The assessor then reads the IQA feedback, countersigns and dates it to show they have seen it, and records any action taken.

8. IQA records

Every IQA record must include:

Field	Content
Unit reference	AO unit number and title
Learner ID	UK Versity learner ID and, where issued, the AO registration number
Marker name	The assessor who made the decision
IQA name	The IQA who carried out the check
Date	Date of IQA and date of assessor countersignature
Outcome	Decision confirmed, or decision changed with reason
Actions	Actions for the assessor or centre, owner and target date, or "no action required" with reason

The Quality Manager also keeps the annual sampling plan, risk-rating log, brief verification records, assessor feedback records, standardisation minutes and the live IQA log showing the scope of sampling completed and issues found.

9. Standardisation

1. Standardisation meetings are held at least quarterly, and also at the start of each academic year, when an AO changes a specification, before key assessment points, and after IQA or EQA findings that need a shared response.
2. The Quality Manager chairs. All assessors and IQAs for the qualifications on the agenda attend.
3. The agenda includes: review of previous actions; comparison of the same learner work marked independently by different assessors; agreement on standard decisions and feedback; AO updates; EQA findings; good practice from observation (UKV-QA-14); and new actions.
4. Minutes record attendance, samples used, decisions agreed and actions with owners and dates. Minutes are signed and dated by the Chair and circulated within 10 working days.
5. Assessors who cannot attend review the minutes and samples and confirm in writing that they have done so.

10. NCFE Functional Skills: IQA of the SLC component

1. The assessor records the SLC assessment on the LOaAR, confirming each individual subject content standard with commentary for each task.
2. The IQA samples the LOaAR together with the recording, attendance record and learner notes, and adds IQA commentary confirming how each standard was met.
3. IQA applies the authenticity and malpractice checks in UKV-NCFE-FS-P-01 before results are finalised.
4. Certification is not claimed until IQA is cleared and all English components are complete.

11. Assessor and IQA competence

- Assessors hold a PGCE or equivalent teaching qualification and relevant subject expertise, and hold or are working towards a recognised assessor qualification or equivalent AO-accepted experience.
- IQAs hold a recognised IQA qualification. A person working towards one has every decision countersigned by a qualified IQA.
- All assessors and IQAs complete an induction to this policy, take part in standardisation and keep up CPD in line with AO requirements and UKV-QA-27.

- The Quality Manager notifies ATHE of any new assessor or IQA and sends a copy of their CV. Other AOs are notified of staff changes where their centre requirements say so.

12. Conflicts of interest

1. No assessor or IQA carries out IQA of their own assessment decisions.
2. No IQA quality assures the work of, or assessment decisions about, a family member, partner, close friend, or anyone with whom they have a personal, financial or line management relationship.
3. Staff complete an annual conflict of interest declaration and declare new conflicts as soon as they arise (UKV-QA-21).
4. Where a conflict exists, the Quality Manager reallocates the work and records the action.

13. EQA preparation

1. On receiving an EQA request, the Quality Manager confirms the date, scope and sample list with the AO, and tells the Principal.
2. The Quality Manager checks that IQA for the sampled units is complete and actions are closed.
3. The Centre Coordinator and Quality Manager assemble the sample on Zoho WorkDrive, one folder per learner, clearly labelled with learner name, UK Versity learner ID and correct AO registration number. Each folder contains the brief, the learner work, the marking sheet, the plagiarism and AI report and the IQA record.
4. Supporting records are added: sampling plan and rationale, risk-rating log, standardisation minutes, assessor and IQA CVs and certificates, reasonable adjustment and special consideration log, RPL log, conflict of interest declarations, malpractice log and the previous EQA action tracker.
5. WorkDrive links are shared with the EQA with view rights granted in advance and tested before the visit date.
6. The pack is complete before the visit date. A partial pack is never sent.

14. EQA action tracking

1. Within 10 working days of receiving an EQA report, the Quality Manager enters every action and recommendation on the EQA action tracker, with an owner and target date.
2. Required actions are completed within the AO's timescale. Recommendations and good practice are discussed at the next standardisation meeting.
3. Progress is reviewed at each standardisation meeting and reported to the Academic Board.
4. Where an EQA overturns a decision or finds IQA inadequate, the Quality Manager reviews related decisions by the same assessor, raises the assessor's risk rating and records the outcome.

15. Roles and responsibilities

Role	Responsibility
Principal and Director of Education (Head of Centre)	Accountable to AOs for quality assurance; approves this policy; nominates an alternative IQA where the Lead IQA is conflicted.

Role	Responsibility
Quality Manager and Lead IQA	Owns this policy; writes the IQA strategy and sampling plan; risk-rates assessors; leads standardisation; keeps IQA records; notifies AOs of new staff; prepares EQA packs; maintains the EQA action tracker.
Internal quality assurers	Verify briefs; sample decisions to the plan; give developmental feedback to assessors; complete IQA records in full.
Assessors	Make accurate decisions; give feedback to UKV-QA-15 standards; countersign IQA records; act on IQA feedback; attend standardisation.
Centre Coordinator	Supports EQA arrangements and WorkDrive sample preparation.
Examinations Officer and NCFE Coordinator	Completes SLC records for IQA and supports NCFE EQA.
Registrar	Claims certification only after IQA and Assessment Board confirmation.

16. Awarding organisation requirements

AO	Requirement / escalation route	Source document
ATHE	Risk-based sampling plan covering all units and assessors; regular standardisation; details and CV of new assessors and IQAs sent to ATHE; results released to learners within 10 working days of the EQA report.	Delivering ATHE Qualifications Handbook (2022); ATHE monitoring and development review (May 2026)
Pearson	HN edition of this policy applies to Pearson BTEC Higher Nationals.	Pearson HN IQA Policy and Procedure v3.0 (July 2026)
OTHM	Pass or Refer outcomes sampled across the sampling plan; IQA record signed by the IQA before the assessor countersigns; AI and plagiarism reports shared at EQA.	OTHM EQA report (September 2026)
NCFE	IQA of SLC records before claims; claims through the NCFE Portal under Direct Claim Status.	UKV-NCFE-FS-P-01; NCFE Certification Policy v1.2 (13 April 2026)
Ascentis	Internal moderation and Ascentis moderation of Access to HE Diplomas as set out by Ascentis; other Ascentis qualifications per the Centre Agreement.	Access to HE Handbook for Centres 2025-26; Ascentis Centre Agreement (April 2026)
IFA Direct	Administered in partnership with ATHE; ATHE requirements apply.	As for ATHE

17. Related policies and legislation

- UKV-QA-06 Recognition of Prior Learning Policy
- UKV-QA-07 Registration and Certification Policy
- UKV-QA-14 Teaching, Learning and Observation Policy
- UKV-QA-15 Assessment Policy
- UKV-QA-17 Resubmission and Reassessment Policy

- UKV-QA-18 Reasonable Adjustments, Special Consideration and Mitigating Circumstances Policy
- UKV-QA-20 Malpractice and Maladministration Policy and Procedure
- UKV-QA-21 Conflict of Interest Policy
- UKV-QA-22 Examinations and Controlled Assessment Policy
- UKV-QA-23 Appeals Policy and Procedure
- UKV-QA-27 Staff Recruitment, Induction and Development Policy
- UKV-QA-29 Data Protection and Records Retention Policy
- UKV-NCFE-FS-P-01 Plagiarism, Malpractice and Examination Conduct Policy v1.0 (18 September 2026)
- Ofqual General Conditions of Recognition
- UK GDPR and Data Protection Act 2018, as amended by the Data (Use and Access) Act 2025
- UK Quality Code for Higher Education (2024), Principles 5 and 11 (voluntary alignment)

18. Monitoring and review

The Quality Manager monitors this policy through completion of the sampling plan, IQA outcomes by assessor, changes to decisions, standardisation attendance and actions, EQA outcomes and risk ratings, and the EQA action tracker. An annual IQA report is presented to the Academic Board and used in the annual self-assessment report.

This policy is reviewed at least annually, and earlier if legislation, AO requirements, BAC standards, an EQA or inspection action, or a significant incident requires it. The Quality Manager records each version in the Policy Register (UKV-QA-REG v3.0). IQA records, sampling plans, risk-rating logs and standardisation minutes are kept for at least 3 years after certification, or longer where an AO requires.

Approval and review

Stage	Name and role	Date
Prepared by	Director of Education	30 September 2026
Checked by (policy owner)	Quality Manager	30 September 2026
Approved by	Ramanjeet Singh, Principal and Director of Education, on behalf of the Academic Board	1 October 2026
Next review due	Quality Manager (Shazia Khan) to schedule through the Policy Register UKV-QA-REG	September 2027