



**Centre Assessment Standards Scrutiny strategy (CASS)**

**For**

# Qualifi Level 7 Diploma in Asset-Based Lending

## Strategy Rationale

The strategy includes the following factors:

- Enrolment shall be open all year round. Start and end dates are not set, guideline is within 24 months.
- The typical duration of the course of study shall be 16 months (2 months per unit).
- The typical learner undertaking the qualification – Adult learners in the workplace and accredited study centers in the UK and internationally
- The typical type of center delivering the qualification shall be online
- There are 8 mandatory units within the qualification. For each Unit the sections and subsections are listed below.
- There shall be 2 marked assessments associated with each unit, the assessments shall be set to include the assessment criteria.

Module	Sections	Subsections
Unit 001: Foundation to Asset Based Lending	2	18
Unit 002: ABL for Underwriters	4	18
Unit 003: Inventory Lending	5	24
Unit 004: Field Examinations (Audit) - Receivables	16	32
Unit 005: Field Examinations (Audit) - Inventory	16	32
Unit 006: Financial Statement Analysis	3	17
Unit 007: Account management	2	14
Unit 008: Operations/collateral analysis	3	8
	51	163

- The typical evidence generated for the qualification shall be Assignments, 2 per unit
- Each assessment shall be internally marked and graded (pass/fail) and returned to learner with feedback by the Qualifi approved centre.
- The number of learners taking the qualification – the overall number and whether these are following the same course of study
- The time period over which all components for a qualification are sampled
- 20% of learners sampled during each activity for each component – based on the EQA sampling strategy and rationale
- The content of the monitoring sample of learners – a sample checking involves learners that have already received results for their qualification or only those that have yet to receive results and whether all or some Learners are sampled prior to

receiving results

- The intended outcome of monitoring activities – to inform future changes to processes, monitoring visits or if certificates need to be revoked

## CASS for Level 3 Diploma in Accounting and Finance

Key Factors	
Course of study	Online
Duration of study (average)	1200 Hours
Learner profile	Adult learners, aged 19+
Centers delivering	Training Providers
Qualification components	08 mandatory units, totaling 120 credits
Supporting Evidence may include	Assignments, worksheet, assessor observation, peer assessment and portfolio of product evidence
Assessment:	Written assignments, 2 per unit All assignment questions are provided by Qualifi
Number of learners taking the qualification	The course of study could vary depending on the delivery model and duration. Assessment requirements will be consistent. Internal quality assurance and external quality assurance to be Conducted
Components of the qualification to be monitored	All components. All assessments – once internally marked, across all units and assessors. Learners from various cohorts to be sampled by Qualifi’s EQV EQA (based on the center delivery model, duration)
Timing of monitoring	On completion of the first cohort, plus subsequent cohorts if multiple registered at once. Monitoring can take place at any time during the year
Number of components sampled during monitoring	All components, across multiple learners (based on the EQA sampling strategy)
Time period for sampling qualification components	roll on, roll off basis.
Number of learners sampled during each monitoring	Based on the EQA sampling Strategy – minimum of 10 students, or 20% of total, whichever is higher
Content of monitoring sample	all learners that have completed Qualifi’s standard assessments
Intended outcomes of monitoring	as mentioned in the External Quality Assurance Report

Factors will vary and specific attention will be given to the variation in delivery models and course durations via the External Quality Assurance process.

Additional considerations (center specific) to the strategy:

- External moderation will take place prior to certification for all centres.
- At approval all members of the center staff involved in the qualification will be approved. Centre staff updates to be provided by the center Any additional center staff will be approved and all staff to be monitored during the EQA process
- Monitoring to take place if there is a significant increase in learner registration for the qualification, since the last EQA monitoring, based on the risk management of centers. An additional EQA monitoring would take place if the two annual visits had been carried out.
- If there is any suggestion of malpractice, maladministration in relation to delivery, assessment and certification of learners
- When the qualification content considerably changes as a result of a review and development based on national occupational standards or industry requirements. This would apply to any center offering the qualification once it had been changed
- Where the professional standard (license to practice) is changed
- If an analysis of data and evidence suggests any additional scrutiny is required

**External Quality Assurance** - External quality assurance will include:

- Assessments marked by each center (all assessors)
- Individual assessments within a qualification (all assessments)
- Assessments of specific components of a qualification
- Assessments undertaken on a range of cohorts within a center

As part of the external quality assurance monitoring process centers will be provided with written feedback following sampling of center assessed marking, to include the following:

**Overall approach**

- why assessment marking by the center is considered appropriate, or not, for particular assessments within a particular qualification or type of qualification
- the appropriateness, or not, of the approach to assessment by the center, based on the nature of the evidence produced by learners in the relevant assessment
- why the approach is appropriate, or not, to ensure valid and manageable qualifications, based on the risks it has identified in relation to the qualification
- how the approach to assessment ensures that certificate claims are accurate and if certificate claims are inaccurate why

- what the center needs to do to remain compliant or become complaint with the conditions

Written feedback will be recorded within the Qualifi External Quality Assurance Report and provided to the center following each external quality assurance monitoring visit.

### **Allowing center to mark assessments**

Centers will be subject to a rigorous, Centre Approval process. Only once a center has met all of the approval criteria will they be entitled to offer Qualifi qualifications. There are several checks made on the center to ensure they have approach staff, skills, knowledge and competency, staff development and expertise to devise internally assessed assessments for qualifications.

For each qualification center staff will be approved based on:

- Relevant qualifications held
- Experience and expertise based on the subject area
- Evidence on continuous professional development

Only when a member of center staff satisfies the above criteria will they be approved to assess the qualification they wish to be approved for. Centre staff will be monitored at each external quality assurance monitoring. Any additional staff wanting to assess the qualification will need to be approved ahead of assessing the qualification.

Centers and subsequently staff will be approved per qualification, based on staff competency and the anticipated learner numbers for each qualification, ensuring that staff ratios are appropriate.

Qualifi will provide training for center staff, to support them with the development of assessment materials for each qualification.

Assessment guidance and support materials will be provided for every qualification that is assessed by internally devised and assessed.

### **Monitoring**

Justification for the CASS of center assessed qualifications – The monitoring of centers will be based on risk management – per qualification to include center staff, number of learners, locations of assessment (if applicable), assessment methods used to internally assess the components of the qualification. The approach will be supported by the Qualifi External Quality Assurance policy.

Selection of personnel to undertake CASS of center assessed qualifications – Recruitment will be carried out to ensure all Qualifi EQAs are appropriately qualified, experienced and knowledgeable for the qualifications they monitor. Selection processes will be carried out by the Quality Assurance team.

Training provided for those personnel undertaking the monitoring off CASS at centers carrying out center based assessments – the EQAs will undertake an induction to Qualifi following selection, this will be followed by training on the external quality assurance processes to be applied. Further training and standardisation throughout the year.

Ensuring personnel undertaking monitoring activities remain suitable – CPD schedules and logs for all to be submitted on an annual basis and as part of the external quality assurance team resource review. It is a mandatory requirement for EQA to maintain their own CPD that is relevant to the qualifications they externally quality assure and submit this to Qualifi.

Information centers are required to retain to enable CASS to be carried out – clear guidance documentation will be provided to centers to enable them to maintain information and records for monitoring purposes. Communication will be established prior to any monitoring visits to ensure the center are aware of the information and assessment records requested for review.

The requirements for centers retain any data (including evidence generated by Learners and marked by Centers) necessary to allow it to undertake Centre Assessment Standards Scrutiny – guidance provided to centers based on the documentation required for external quality assurance monitoring

Ongoing monitoring of centers – will take place once a center has been approved to offer qualifications (monitoring to check staff, delivery model, planned assessments). Monitoring to be completed twice per year for a qualification, upon completion of the first cohort (first monitoring) prior to any certificate claims being made by the center. Six months following the first monitoring a second monitoring will take place. Additional monitoring could be activated should there be any unusual spikes in registrations / certificate claims between the planned monitoring visits. Qualifi will be proactive in monitoring the data for each center in relation to registration and certificate claims, ensuring no additional risk could occur through this process. All claims for achievement will be subject to external moderation prior to certification

Feedback to Centers and monitor Centers' performance over time – written feedback will be provided to center following every external quality assurance monitoring activity, via the Qualifi External Quality Assurance Report. Centre activity reports (registration / certification) will be generated monthly and share with each center. These reports would also be used to flag any unusual trends and trigger an external quality assurance monitoring if required.

Ongoing training and guidance - will be provided to centers, both via generic training sessions and updates, but also through a center requesting a bespoke training session based specifically on their own needs. Training, guidance and support will be provided on ways to deliver and assess qualifications

The sampling approach – the Qualifi External Quality Assurance Sampling Strategy will be used to ensure that sampling of center assessments are appropriate, this will include a

sample of learners, across each assessor, each assessment method that relates to internally assessed assessments.

Selecting examples of marking – the center will be advised of the sample chosen by the external quality assurer ahead of the external quality assurance monitoring visit to enable them to prepare and make available all of the necessary documentation.

### **Conflict of Interests**

Identify and monitor all relevant conflicts of interest, and any scenario that could foreseeably lead to such a conflict in the future – each EQA will be required to declare any conflict with a center or any staff working at a center that is approved by Qualifi.

Conflict of interest declarations will be reviewed and completed annually. As part of their contract of agreement for work, EQAs will be required to declare any conflict should it arise outside of the annual review.

Allocations of EQAs to centers will include consideration of any conflict of interest that has been flagged. Any conflict of interest will lead to an alternative EQA being allocated to the center.

Take all reasonable steps to prevent the occurrence of any malpractice or maladministration in relation to the delivery or marking of assessments by a Centre – the Qualifi quality assurance processes will be used to ensure any acts of malpractice or maladministration are prevented through rigorous quality assurance. Quality monitoring will be carried out at the Centre Approval stage and twice per year as part of qualification quality assurance monitoring visits. Other mechanism for monitoring will include monitoring of registration numbers, certification claims and staff resources (center staff to be approved before working with a qualification).

Enter into arrangements with a Centre on terms which allow the awarding organisation to comply with the Conditions as a whole, and monitor, and where necessary take action, to ensure the Centre does not put the awarding organization's compliance at risk –

Ensure that assessments for the relevant qualification remain fit for purpose upon delivery, ensure that the criteria against which Learners' performance is differentiated are being accurately and consistently applied by Assessors – regular review by Qualifi EQAs to monitor the quality of assessment across each of the qualifications a center is approved to offer.

Ensure any results it issues are accurate and fully reflect the evidence produced by the Learner and the Learner's attainment when judged against the standard Set by the awarding organisation – regular reviews by EQAs to monitor center claims for certification and to ensure that learners have fully satisfied the requirements of the qualification with regard to evidence, assessment and that assessment is consistent across each Assessor.



### **Taking action and making adjustments**

EQA visits to the center to monitor the quality of delivery and assessment and check the accuracy of assessment. Outcomes of visits will include action plans that set actions for the center to address, within a reasonable timescale, or recommendations for improvement, also with timescales for implementation. These actions will be included in Qualifi's EV report.

**If you require any further information please contact Qualifi's External Verification Team at [ev@qualifi.net](mailto:ev@qualifi.net)**