



CAPTIVA
LEARNING

QUALITY ASSURANCE FRAMEWORK AND POLICY

Captiva Learning Limited

July 2019

Date of Approval:	23 rd July 2019
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Date of Review:	22 nd July 2020

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Purpose & Principles

Captiva Learning Limited (Captiva) aspires to be an outstanding provider of apprenticeships. In order to achieve this, Captiva understands that every aspect of the learner journey must be of the highest standard and that achieving this will be an ongoing and daily challenge.

Captiva has a range of processes, systems, checks and balances in place to constantly monitor, manage and improve performance across all levels of our organisation. Quality is driven from the Apprenticeships Governance Board right through to the delivery teams on the ground supporting our apprentices.

This document outlines how Captiva assesses the quality of our provision, how the business responds to the feedback received from stakeholders, how leaders manage and address identified areas for improvement and how continuous improvement is incorporated into every element of the business.

It is necessarily a broad document, but further details can be found elsewhere in individual procedures and policies designed to address specific aspects of our provision.

Our principles are:

- Quality is at the heart of everything Captiva does. Captiva will not just deliver apprenticeships, we are committed to delivering the **best** apprenticeship programmes.
- Captiva measures quality by quantifying the positive impact on the learner, whether by acquiring substantive new skills or other tangible outcomes. Leaders are committed to ensuring the quality of provision has a direct correlation with outcomes for learners.
- Captiva will not accept under performance in any area of provision and will actively support managers and staff to identify and resolve any instances where this occurs. The business is fully committed to providing staff with the support they need to offer the highest quality provision.
- Quality is part of Captiva's continuous improvement journey and is one that is open-ended. The business will never stop attempting to improve its offer to employers and apprentices and is committed to continuing to raise the bar wherever possible.

Measuring Performance

Self-Assessment Process

- Captiva's Self-Assessment process is the core of its improvement journey and forms the foundation of how the quality of provision is evaluated.
- Carried out annually, it involves staff at all levels in the organisation and ensures that a wide range of evidence types are used to inform judgements.
- The findings are formulated in a Self-Assessment Report (SAR) which is circulated to all staff and signed off by the Apprenticeships Governance Board each year.
- The SAR forms the basis of the Quality Improvement Plan which drives continuous improvement and supports the monitoring of how provision is developing over time and outcomes for learners are improving.

Surveys

- Captiva carries out regular surveys of staff, learners and employers. This is done using Survey Monkey and for customers is carried out at various points in the learner and employer journey.
- Learner Surveys are routinely conducted:
 - After induction
 - Midway through the programme
 - After achievement
- Employer Surveys are routinely conducted:
 - Midway through the programme
 - After achievement of a learner or cohort
- Summaries of the survey data are produced and distributed to the Apprenticeships Governance Board, Executive Leadership Team and Quality Improvement Group.
- The Survey Evaluation Group meets quarterly to review feedback and put action plans in place to ensure the business respond to any concerns raised and maximise the impact that stakeholder feedback has on our improvement journey.

Observations of Teaching, Learning & Assessment

- Observations form a fundamental part of our Quality Assurance Framework and will be carried out in line with the OTLA Policy, which is available to all staff on SharePoint, and can be supplied to customers and stakeholders on request via a member of the Quality Team.
- Frequency of observations is based on the outcome of a risk assessment carried out by the Head of Quality in line with the criteria in the OTLA Policy.

Observations will include teaching, learning, assessment, induction and progress reviews to ensure all aspects of the learner journey are covered.

- Observations will be one of the following types:
 - **Graded:** observed performance is evaluated against the Education Inspection Framework 2019, adopting the 4-point grading scale used by Ofsted. The grade is given based on matching the observed performance to the grade descriptor that most accurately reflects the standard of performance.
 - **Developmental:** 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.
- The observation schedule will aim to capture naturally occurring evidence of performance wherever possible, in order to gain an accurate picture of the teaching and learning that is taking place and the planning completed in advance of sessions, assessment and reviews.
- Observations will therefore be scheduled with the following level 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:** Captiva may also conduct observations without notice, as part of internal inspections and quality reviews, in order to accurately inform the self-assessment process.
- Verbal feedback and the proposed grade for a graded observation should be given on the day of the observation. Written feedback is provided to delivery staff within 3 working days.
- Teachers and Tutors are encouraged to evaluate their own performance by identifying what went well and less well, prior to the observer providing their formal feedback.
- All feedback is evidence-based and clearly demonstrates how judgements reflect the grade for graded observations. IQAs will be careful to provide sufficient opportunity for the staff member to ask questions and seek clarification for any points that are unclear.
- Staff are responsible for updating their own CPD log and action plan with details of the actions that 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 (unless delivery is already rated as outstanding in which case the aim should be to maintain the same level). Quality teams are responsible for checking that teacher/tutors are completing their CPD log and carrying out actions therein.

- A formal action plan will also be agreed within 10 days of the observations which focuses on up to three main areas for improvement.

Internal Quality Assurance

Sampling is the review of the quality of the teacher/tutor judgements at both interim and summative stages. Interim sampling is where an IQA samples a portfolio at stages throughout the learner's qualification. This enables the IQA to identify and rectify any problems early on and share good practice. At the summative stage, the Internal Quality Assurer evaluates how a teacher/tutor reached their decision. IQAs can sample across units, evidence types and completed learning outcomes or units and the amount of sampling is based on the risk rating of the teacher/tutor.

The planned sampling will be led from the contents of this policy and by each individual teacher/tutor's risk assessed rationale. The Internal Quality Assurer will complete a risk assessment for each teacher/tutor to determine the appropriate risk band, being high, medium or low risk. IQAs must use the individual risk banding to provide the teacher/tutor with the appropriate level of support, enabling them to improve on their risk rating where required.

The scope of each risk banding is as follows:

Low Risk Teacher/Tutor: holds current TAQA/CAVA award or equivalent, with over two years' experience in teaching and assessing; confident with company internal procedures and compliant with awarding body and Ofsted requirements and updates. The IQA must be confident with teacher/tutor practice before deeming a teacher/tutor a low risk. A low risk teacher/tutor must show capability of completing their full caseload in a timely manner.

Medium Risk Teacher/Tutor: holds current TAQA/CAVA award or equivalent, with over two years' experience in teaching and assessing; comfortable with company internal procedures and compliant with awarding body and Ofsted requirements and updates. Medium risk teacher/tutors still require support to produce a consistent level of high-quality work and to manage their caseload effectively to ensure timely completion of learners.

High Risk Teacher/Tutor: within their probationary period; has the required sector-specific knowledge, however is currently working towards their TAQA/CAVA or equivalent award. Any new teachers/tutors are banded high risk until the IQA feels confident with their performance, and/or if their practice still requires a high level of support to produce quality work and manage their caseload effectively to ensure the timely completion of their learners.

IQA confidence must be based on previous sampling, caseload management and observations of teaching, learning, assessment and review. The risk banding of teachers/tutors is to be reviewed not less than twice per year. Quality Managers or IQAs must complete rationale forms in full and make the appropriate updates. Teacher/tutor rationale can change depending on experience, performance and familiarity with each qualification route. Medium and High Risk teachers/tutors who are unable to show an ability to improve pose a risk to the qualification and the business and will be subject to performance management action as deemed appropriate by the Head of Quality.

All Internal Quality Assurance Activity including observations of teaching, learning, assessment and review will be led by this banding and the frequency and level of assurance is as follows:

Sampling Type	Low Risk	Medium Risk	High Risk
Interim Sampling	Not less than 25% of units in each portfolio sampled over a range of methods and units	Not less than 50% of units in each portfolio sampled over a range of methods and units	Not less than 75% of units in each portfolio sampled over a range of methods and units
Summative Sampling	Not less than 25% of each portfolio rotating across all units, sampled over a range of methods and units	Not less than 50% of each portfolio rotating across all units, sampled over a range of methods and units	Not less than 75% of each portfolio rotating across all units, sampled over a range of methods and units
Observations	No less than one observation every six months	No less than one observation every 8-10 weeks	No less than one observation every 6-8 weeks

Where a teacher/tutor is not yet certified, they will be assigned learners and will work towards their TAQA/CAVA qualification. They will work closely with their teacher/tutor (for their teaching qualification), who will feedback promptly to the trainee teacher/tutor and ensure that any areas of good practice, concern and/or training and development needs are encouraged or addressed. The IQA will conduct a full sample of the first unit as soon as it is completed. The IQA cannot be the teacher/tutor for the TAQA/CAVA award. All trainee teacher/tutor's work must be countersigned by the TAQA/CAVA qualified mentor assigned to them.

Portfolio Sampling

All Internal Quality Assurers will be allocated assessors involved in the Frameworks or Standards for which they are responsible. Portfolio sampling takes place at both an interim stage and a summative stage and the amount and frequency of sampling for each teacher/tutor is in line with the risk rating system outlined above.

Sampling plans will be automatically generated on Captiva's e-portfolio. Sampling plans will be monitored, managed and audited by the Head of Quality to ensure that the planned sampling is being carried out in line with teacher/tutor rationales. The Head of Quality will meet IQAs monthly to review sampling plans and random sampling will be conducted across both completed and active portfolios. All Internal Quality Assurance will be recorded in the e-portfolio system.

When a sample has been completed, feedback will be recorded in full, detailing good practice, as well as areas of improvement. Where an action is recorded against a teacher/tutor, the IQA will set a deadline by which this action must be completed. The IQA will re-visit the action by the end of the timescale to ensure that this action point has been addressed.

When the IQA inspects the action point and finds that the action has been addressed, the IQA will confirm on the e-portfolio system that this is the case and validate the assessment. If the IQA inspects the action point and finds that it has not been addressed, this information will be given to the Quality Manager who will apply the appropriate action.

Where it is identified that the teacher/tutor is not following awarding body guidelines, this must be reported to the Head of Quality immediately.

As well as ensuring that awarding body requirements are met through portfolio sampling, the Head of Quality or IQA must also ensure that the teacher/tutor is providing the learner with a quality, documented learning journey. This is done by completing the bi-monthly sampling and recording this on the quality of the learning journey form.

The frequency of sampling is currently set at bi-monthly and this will be reviewed regularly by the Head of Quality. The monthly sample should consist of a minimum of two learners per month from each of the teacher/tutor's caseloads. This will be adjusted based on findings and subsequent RAG rating. In the alternating months, an over-arching quality performance review is completed.

The purpose of assuring the quality of the learner journey is to ensure that all learners are progressing and developing all the knowledge, skills, behaviours and competencies required from their individual starting point, supporting their preparation for life in modern Britain and developing their employability skills. This includes ensuring safeguarding, PREVENT and health and safety are being delivered effectively as part of every learner's programme.

The quality assurance of the learning journey will record details of:

- How well learning is planned
- How well learners benefit from constructive and supportive feedback
- How well formal progress reviews support the progression of learning
- How well learners benefit from information, advice and guidance
- How well learners benefit from regular contact and intervention
- How well learners are developing their maths, English and ICT skills
- How effectively safeguarding, including PREVENT, and fundamental British values are embedded into delivery
- How learners are benefiting from any additional support and qualifications
- How accurately 20% off the job training is being recorded and whether this is on target for achieving funding compliance

The report will detail key strengths and key areas of improvement for the teacher/tutor and agree any CPD/support that needs to be put in place to aid improvements. The audit report for each teacher/tutor is to be made available to the Head of Quality on the last working day of the month.

Managing Performance

Induction

Captiva believes that a high quality, in-depth induction for new staff is crucial for setting the standards against which staff will be judged and for helping new team members to understand the systems, processes and policies to which they must adhere.

The Executive Leadership Team at Captiva has therefore implemented a staff induction policy which incorporates the following:

- **Company Overview:** this includes summary of the corporate structure of Captiva, review of the organisational chart, an overview of the mission, aims and values of the organisation and an explanation of governance arrangements.
- **Mandatory Training:** all staff will undergo mandatory online awareness raising training on health and safety, PREVENT, safeguarding and equality and diversity in line with our current procedures.
- **IT Induction:** training on using IT systems including logging into SharePoint and any other IT systems the staff member may need access to, including OneFile, PICS or Spirit. Use of the phone systems and any laptop devices provided will also be covered.
- **HR Induction:** a member of the HR Team will provide guidance on HR related issues, such as terms and conditions, procedures for reporting sickness, claiming expenses and booking annual leave.
- **Office Tour:** staff should be shown round the premises in which they will be based, including location of toilets and kitchen facilities as well as arrangements for emergency evacuation or smoking.
- **Meeting Department Heads:** time will also be set aside for new staff members to meet each of the key managers within the organisation so they understand who they can go to for help in specific areas.
- **Initial Objective Setting:** new staff will have a one to one meeting with their line manager within the first week to address any questions that may have arisen and set the initial objectives for the staff member to focus on. These will then be reviewed at weekly one to one meetings.

After the first month, the new member of staff will be given the opportunity to feedback on the induction experience and this information will be used by the HR Team to improve the procedure for future new recruits.

Weekly One to One Meetings

Non-delivery staff will have a weekly one to one meeting with their line manager to review the following:

- Activities carried out during the previous week

- Any difficulties experienced
- Any successes
- Any additional support needs
- Review of previous targets set
- Setting targets for coming week
- Review of performance by line manager

The one to one will be documented using [a standard form](#) and the staff member provided with a copy in line with the [documented procedure](#).

One to ones are designed to provide a support and feedback mechanism for staff so that they can assess their performance and focus their efforts in the most appropriate way. The one to one document can also form the basis of informal performance management processes and can be used in formal capability arrangements should they become necessary.

Monthly Performance Reviews

All delivery staff will have a documented Monthly Performance Review (MPR) using [this form](#). The MPR will follow [this process](#) and cover the following:

- Review of caseload including learners on programme, those passed planned end date and the number on a break in learning
- Review of performance against KPI targets including learner progress, achievement rates and off the job logging
- Setting SMART targets for the coming month as well as review of performance against previous targets set
- Any CPD requirements either identified by the staff member or the line manager as necessary to perform the role
- Feedback on performance as well as reviewing any complaints or compliments received since the last MPR
- Review of any health and safety or safeguarding issues identified since the last MPR

MPRs are a critical element of the performance management process and will form the basis of any capability or disciplinary processes deemed necessary.

Progress Review Boards

Progress Review Boards (PRBs) will take place once every three months and consist of a panel of the Head of Quality, the Director of Apprenticeship Services and the Executive Director, Apprenticeships. The panel will meet each member of the delivery team individually and complete [a standard form](#) in line with [this procedure](#).

The PRB will focus on learner progress against recorded learning objectives and relative to their starting points. The meeting will cover the following:

- Risk rating all learners based on performance to date and highlighting any that may be at risk of falling behind
- Identifying learners who can be stretched to achieve higher grades

- Review of action plans in place for any learners previously deemed as behind or at risk
- Sampling of e-Portfolio data to validate information provided by delivery staff
- Review of plans in place to support learners through gateway or EPA

The PRBs are designed to be learner focussed and are carried out in a more formal way than the usual monthly performance review. They are an important element of the performance management process and will typically be the starting point for any capability or disciplinary procedures.

Appraisals & CPD Reviews

All staff will be subject to an annual appraisal process which will incorporate a review of CPD received to date as well as any areas identified for development. The appraisal will use the PeopleHR Perform module and will be supported by a fully automated process. Appraisals will be carried out by line managers with their direct reports on a one to one basis.

Appraisals will set meaningful SMART targets for the year which will be linked to the overall strategic objectives for the organisation. Appraisals will also review performance over the previous year and will be a valuable opportunity to discuss any performance issues that may have arisen before they become critical.

The objectives set through the appraisal process will be reviewed after six months with feedback provided by the line manager around performance and any CPD required. Issues identified in other elements of our performance management process, including Progress Review Boards or monthly performance reviews will also be included as part of the annual appraisal process.

Improving Performance

Quality Improvement Plan

The foundation of our improvement journey is the Quality Improvement Plan (QIP). This is developed in response to our Self-Assessment Report (SAR) each year and incorporates all areas for development. As well as the SAR, other aspects of Captiva's quality framework will feed into the QIP, including:

- Feedback from learner, employer and staff surveys carried out throughout the year
- Actions identified as a result of External Quality Assurance partners such as awarding organisations
- External and internal audit findings
- Recommendations from Executive Leadership Team or Apprenticeships Governance Board
- Appraisals and CPD reviews that identify overarching issues impacting on quality of provision

The QIP is circulated to all staff members and available on SharePoint. It is a working document and will be updated regularly. The document is owned by our Quality Improvement Group which form a crucial part of our governance arrangements.

Quality Improvement Group

The Quality Improvement Group is responsible for ensuring that the actions identified on the Quality Improvement Plan and derived from the annual Self-Assessment Report are delivered. They have overall responsibility for the quality of teaching, learning and assessment and are able to direct other departments and personnel as required to ensure the quality improvement goals of the organisation are met.

1. Membership

Name	Job Title
Rebecca Gurley (Chair)	Head of Quality
Lea Christodoulou	Director of Apprenticeship Services
Josh Burrage	Head of MIS
Matthew Smith	Executive Director, Apprenticeships

The Quality Improvement Group is chaired by the Head of Quality and made up of the Executive Director and other senior managers.

2. Frequency

The Quality Improvement Group will initially meet weekly whilst revised quality improvement measures are implemented. The Quality Improvement Group will meet monthly once the arrangements are classed as business as usual.

3. Responsibilities

- Ownership of and responsibility for delivering on the Quality Improvement Plan (QIP)
- Coordination of the annual Self-Assessment process and development of the Self-Assessment Report (SAR)
- Ensuring that the organisation achieves the highest standards of teaching, learning and assessment and meets all awarding organisation, ESFA and Ofsted requirements
- Preparation for all External Quality Assurance visits and ensuring any actions identified are implemented by the Standardisation Group
- Management and implementation of the Internal Quality Assurance strategy
- Implementation of the Observation of Teaching & Learning strategy
- CPD requirements identified for all staff in line with the organisational CPD strategy

KPI Reporting

Key Performance Indicators (KPIs) have been identified that allow Captiva to effectively monitor performance against our strategic objectives. These are reported to the Executive Leadership Team on a monthly basis and to the Apprenticeships Governance Board quarterly, and are broken down by individual staff member level for the Executive Leadership Team.

The current Quality KPIs Captiva has adopted are set out below:

KPI Name	Description
Learners on Programme	Number of learners currently undertaking an apprenticeship including those PPED
Achievers to Date	The number of apprentices who have successfully passed their End Point Assessment
Passed Planned End Date	The number of apprentices who are still live but beyond their expected end date
Early Withdrawals	The number of learners who have had to be withdrawn from programme beyond 42 days
Break in Learning	The number of learners who are currently on an approved break in learning
Best Case Achievement Rate	Maximum possible overall achievement rate for the current academic year
Learners At Risk	Number of apprentices who have not had a progress review for more than twelve weeks
Progress Differential	Average difference between actual and expected progress on OneFile
Off the Job Differential	Average difference between actual and expected number of off the job learning hours logged on e-Portfolio

The KPI data is also used as part of our performance management process to provide objective feedback to staff members and allow them a benchmark against which performance improvements can be measured. All data used to formulate the KPIs comes from OneFile as the definitive version of our learner data.

Standardisation

Standardisation meetings are held once per quarter per sector area, and more often if required. All teachers/tutors will attend all meetings across all qualifications provided by Captiva. IQAs will email the agenda of the meeting beforehand and the meeting will include the following:

- Reading of previous minutes
- IQA to give feedback on any IQA findings based on sampling, for example, evidence used or regarding assessment judgements
- IQA to give feedback on holistic findings from portfolio quality audits
- Discuss agreed approach to predetermined assessment criteria or units
- Share good practice
- Discuss problem criteria

- Planned activity for specific occupational area
- Any actions agreed
- Minutes taken

The planned activity is the standardisation of assessment methods and involves the following:

- Planned activity with a clear aim
- Activity using varied material across a range of teachers/tutors
- Agreed outcome and rationale recorded on standardisation activity
- Actions and by whom agreed

The Head of Quality will attend standardisation meetings regularly to observe the process and will hold IQA standardisation meetings quarterly to discuss and agree best practice.