



Arolygiaeth Ei Mawrhydi dros Addysg a Hyfforddiant yng Nghymru
Her Majesty's Inspectorate for Education and Training in Wales

Nominee handbook for further education

from

September 2017

The purpose of Estyn is to inspect quality and standards in education and training in Wales. Estyn is responsible for inspecting:

- ▲ nursery schools and settings that are maintained by, or receive funding from, local authorities
- ▲ primary schools
- ▲ secondary schools
- ▲ all-age schools
- ▲ special schools
- ▲ pupil referral units
- ▲ independent schools
- ▲ further education
- ▲ independent specialist colleges
- ▲ adult community learning
- ▲ local authority education services for children and young people
- ▲ teacher education and training
- ▲ Welsh for adults
- ▲ work-based learning
- ▲ learning in the justice sector

Estyn also:

- ▲ provides advice on quality and standards in education and training in Wales to the National Assembly for Wales and others
- ▲ makes public good practice based on inspection evidence

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Introduction

This handbook is designed for nominees. The nominee will act as the provider's representative and a member of the inspection team during the inspection. The handbook has been developed primarily with the needs of senior managers in mind and there is a strong emphasis on practical application. It responds to the frequently asked question - "What do I have to know to be an effective nominee?". Taking time to read through the handbook will provide you with the information you need to prepare for your inspection and to understand the importance of the role as the provider's nominee. .

Who should be a nominee?

The nominee plays a vital role in the conduct of an inspection. It is essential that the nominee has a senior role in the organisation and has a good understanding of the work of the provider. The inspectorate only allows one nominee for an inspection. .

The nominee handbook is in four parts:

Part 1: Before the inspection

Part 2: During inspection

Part 3: After the inspection

Part 4: Completing the online revision guide (to be available online at a later date)

We hope that you find the handbook informative and, most of all, easy to use in preparing for your inspection.

Part 1 and part 2 contain the critical information and actions needed at different times throughout the period of the inspection. Part 3 briefly touches on the role of the nominee post inspection, while Part 4 explains in a little more detail about the online revision guide.

It will be helpful to have your copy of the Estyn 2017 sector inspection guidance to refer to as you go through the handbook. It is vital that you are familiar with your sector [inspection guidance](#) before the inspection.

In order to act as a nominee on an inspection, you will be better informed if you have read the nominee handbook, completed the online revision guide and be in receipt of an up-to-date certificate of completion of the online revision guide. Please keep the certificate safe as the inspection co-ordinator will need to place it in the virtual inspection room before the inspection begins.

Part 1: Before the inspection

This part is in four sections.

Section A will help familiarise you with your role and responsibilities.

Section B provides guidance on working with the reporting inspector (RI) to put your organisation in context.

Section C allows you to explore briefly the key aspects of effective self-evaluation.

Section D provides guidance on gathering evidence for the team.

Section A: Roles and responsibilities

This section will explain your role and responsibilities as the provider nominee.

This section should enable you to:

- have a good understanding of the role of the nominee
- know and understand the protocol that guides the work of the nominee

Background

Inspections provide an opportunity to involve providers actively in the inspection process by enabling a nominee from the organisation to work with the inspection team. This is to provide greater involvement by the provider and strengthen the partnership between the inspection team and provider staff. It also gives providers a better insight into the inspection process as well as providing valuable opportunities for professional development.

Providers are invited to select a nominee who will:

- ensure that inspectors are fully informed about the context of the provider's work
- provide support for the provider's learning area link representatives in phase one of the inspection
- contribute to meetings of the inspection team during phase two
- hear emerging findings of the team through the Wednesday team meeting and the Reporting Inspector (RI) in phase one and through the team meetings in phase two
- contribute to moderation meetings (although not to judgements) in phase one and phase two

The nominee

As nominee, you should be a sufficiently senior member of staff to have a good overview of the work and quality assurance systems of the provider to act effectively

as a link between the provider and the inspection team. The role of the nominee is valued highly by inspectors as the nominee contributes significantly to ensuring that the inspection runs smoothly and that inspectors see all the relevant evidence so that they can make valid and reliable judgements.

If the provider decides not to take up the offer of having a nominee, this will not prejudice the inspection. The fact that a provider does not have a nominee will have no impact on the judgements made by the inspection team.

An effective nominee

The role of the nominee is demanding and requires you to exercise the objectivity essential to an external inspection process. You will also be required to **respect the strict confidentiality of all inspection discussions**. Your role is not that of an advocate or defender of the provider. Your role is to help inspectors access all the evidence they need to see, to listen to discussions, to understand inspectors' reasoning and to signpost inspectors to further evidence, where this is needed.

Phase one inspections

In phase one inspections the nominee should provide support for the learning area link representatives the provider has identified to work with the learning area inspection teams.

In phase one the nominee will:

- work with the RI to oversee the phase one inspection process
- liaise with the learning area link representatives to provide support, advice and guidance
- verify the emerging findings from the learning area teams with the RI
- attend Wednesday team meeting
- meet with the RI on a daily basis to discuss progress
- contribute to moderation meetings (although not to judgements)

In phase two the nominee will:

- work with the inspection team
- ensure the inspection team has all relevant information and evidence to inform sound and robust judgements
- attend team meetings
- contribute to the moderation meeting (although not to judgements)

Before the inspection you should:

- become familiar with the sector guidance for inspection
- become familiar with the inspectorate's guidance on the role of the nominee
- play a key role in the provider's self-evaluation procedures
- become familiar with the inspection documentation
- advise and support the learning area link representatives
- make administrative arrangements for the inspection
- collate provider documentation and evidence required for the inspection

The nominee has a particular role in making sure that all the evidence to support the provider's self-assessment is readily available and to hand. If evidence is not available the inspection team will not have time to search it out. The effectiveness of the nominee in signposting inspectors to evidence will inevitably have an impact on the judgements awarded by the inspection team.

Please see the Estyn website for the nominee protocol and agreement.

Summary

In this section, you have read about your role and responsibilities as the provider nominee. It will be useful for you now to share your understanding of your role with staff, senior managers, directors and members of supervisory bodies such as governors prior to the inspection.

It is also a good idea to fully brief staff, senior managers, directors and members of supervisory bodies about changes to the inspection processes in general.

Section B: Putting the provider in context

This section provides you with guidance on working with the Reporting Inspector (RI) to put your organisation in context.

Each provider operates in widely different circumstances with different challenges. As the nominee you have a key role in helping the inspection team to understand the context in which you work. If you are unfamiliar with the sort of evidence that the inspection team will look for in writing the context section of the report, then it may be useful for you and the RI to agree this during the inspection.

Please refer to the guidance document for further education

About the provider organisation

The information that you provide about your organisation will inform inspectors judgements about learners' standards of achievement and attainment, as well as possibly providing them with lines of inquiry.

The context section should contain brief information on:

- size, nature and location of the provider
- the background and circumstances of the learners, including socio-economic disadvantage, ethnicity, ALN or mobility
- the linguistic background of the learners
- the features of the area served by the provider (including demographic and labour market information)
- any other relevant factors
- any significant changes since the last inspection

The following example illustrates how inspectors use the provider context to inform judgements.

Example A

The RI, in reviewing the provider's data, notes that the provider has not compared favourably with similar providers over the last two years. The nominee produced information to show that during this period the merger of the two legacy colleges and the subsequent merging of data had adversely affected trends in attainment across a three year period. The additional information provided by the nominee, together with evidence from observations, learning walks, discussions with learners and scrutiny of learners' work, allowed the inspection team to consider all the evidence before making a judgement about standards.

Remember that it is very important to have the evidence available to support the provider's analysis about your provision and the context that it operates in, as well as evidence to support your self-evaluation.

Summary

In this section you have read about the sort of information that is needed to put your organisation in context.

Section C: Self-assessment

This section on self- assessment revisits what makes effective self-assessment and its importance in inspection arrangements.

The provider has prime responsibility for raising standards and quality. Self-assessment lies at the heart of this process. It feeds into improvement planning, identifying good features and areas for development, setting performance targets and measuring progress against them.

For self-assessment to be truly effective it needs to be open and honest and fully understood by staff, managers, governors and other relevant stakeholders. The provider will be disadvantaged if something is noted by the inspection team that members of staff do not seem to know about, or if the provider's self-assessment does not accurately reflect its current performance. All providers will have areas that they wish to improve or develop – the issue is what processes are in place to identify these areas and what is the provider doing to address them? Over time, all aspects of the life and work of the provider should be reviewed, but the emphasis should always be on how good are outcomes and the quality of provision.

The link between self-assessment and provider improvement planning is crucial. Detailed and comprehensive processes for self-assessment are of little worth unless self-assessment outcomes are clearly linked to the provider's improvement targets.

High-quality data, both quantitative and qualitative, are essential in making sure that the provider has the necessary information to make secure judgements about its performance and to prioritise its future actions. Set out below are criteria that you should use when gathering information to support your self-assessment judgements.

Self-assessment judgements should be:

- secure – based on sufficiently robust, reliable and accessible evidence
- first-hand – based on direct observation; reliable – based on common, well-understood criteria
- valid – accurately reflecting what is achieved and provided
- free of bias – valuing equality of opportunity and diversity
- comprehensive – covering all aspects of the Common Inspection Framework
- corporate – reflect the collective view of staff, managers, and other stakeholders

The inspection framework places great importance on the provider's self-assessment as the starting point for inspection. As the nominee you may play a key role in writing the provider's self-assessment report. Inspectors will seek evidence during the inspection to validate the provider's own judgements. If the evidence is not available the team may decide that a follow-up visit is necessary at a later date. Please refer to details of follow-up inspections in your sector handbook.

Summary

In this section you have read about the key features and purpose of self-assessment in the Common Inspection Framework. If you want to learn more about

self-assessment please see the Estyn website for the Post-16 self-assessment manuals.

Section D: Gathering evidence

This section on gathering evidence for inspection will enable you to:

- understand how inspectors judge the application of learners' skills
- understand how inspectors identify and follow lines of inquiry
- be aware of the types of documentation that inspectors may request before the on-site part of inspection

Judging the application of learners' literacy, numeracy and digital literacy skills.

This part of the handbook will provide you with information about the skills that inspectors will judge and the sources of evidence they will use to make their judgements. It will help you to know which evidence you should provide and how inspectors will make their judgements.

How will inspectors judge learners' skills?

Literacy, numeracy and digital literacy will normally be inspected as a separate learning area in every inspection. There will be specific inspectors allocated to these roles during phase one inspections.

However, all inspectors in phase one will evaluate whether learners have the skills in communication, literacy, numeracy and digital literacy.

Inspectors will give the most weight to learners' literacy and numeracy skills, particularly reading and writing. All inspectors in phase one will also report on learners' digital literacy skills where these areas are particularly good or are underdeveloped and have a detrimental effect on their progress.

Inspectors will judge how well learners' skills give them access to the curriculum based on evidence from observations of lessons, learning walks, scrutiny of learners' work and by talking to learners. For example, talking to learners will provide evidence of their speaking and listening skills, what progress they have made in developing their literacy, numeracy and digital literacy skills, as well as their understanding of their work or job role. Scrutiny of work will demonstrate whether learners can write clearly and read for understanding at the appropriate levels. Inspectors will consider the extent to which learners' communication skills support or hinder progress in classroom and interaction with tutors and with peers.

Inspectors will seek evidence to determine whether learners have the skills to:

- cope with the demands of their learning
- make good progress across the curriculum/areas of learning, learning pathway or at work
- cope with the communication, numeracy and digital literacy demands of everyday life

Inspectors will consider learners' preparedness to develop and use the skills they have acquired in different, new or unfamiliar situations, as well as how well they apply their skills without support.

Inspectors will take account of learners' levels of ability when considering evidence and determining judgements.

Inspectors will use the timetables provided by the provider before the inspection to identify the sessions they will observe and when they will undertake learning walks.

Inspectors will not notify staff of the sessions they will observe.

Will inspectors observe support programmes, such as essential and basic skills and literacy and numeracy support sessions?

As part of their role, the literacy and numeracy learning area inspectors will include learners who receive specific support to develop their communication, numeracy and digital literacy skills, such as essential /basic skills programmes, in their evidence base. They will also include learners in GCSE English and mathematics/numeracy classes. Observations of these learners will provide inspectors with evidence of how well learners achieve in day-to-day learning tasks and activities and how well learners apply their skills to other areas of learning. It is advisable for nominees to read, and be familiar with, the [supplementary guidance on inspecting skills](#).

Will inspectors talk to learners?

All Inspectors in phase one inspections will determine learners' views of how well they are doing in terms of developing and applying communication, literacy,

numeracy and digital literacy skills and will find out if learners know how much progress they have made and what they must do to improve. Inspectors will talk to learners in classroom observations and during learning walks.

Will inspectors scrutinise samples of learners' work?

Inspectors will scrutinise samples of learners' work to meet the needs of the lines of inquiry identified by the inspection team. If required, inspectors will tell you which samples of learners' work they will need.

Where will inspectors report on learners' skills in the Inspection Framework?

In phase one

Literacy, numeracy and digital literacy skills will have a separate report from phase one inspections in-line with the other selected learning areas.

In phase two

In Key Question 1, inspectors will report on whether all learners have the skills in communication, literacy, numeracy and digital literacy needed to access the whole curriculum and help them progress at work.

In Key Question 2, inspectors will report on the provision for skills. In the overall judgement on teaching, training and assessment inspectors will take account of how well these meet learners' needs, including the development of their practical skills.

In Key Question 3, as part of their judgements about leadership and quality assurance, inspectors will consider how well leaders and managers develop, support, monitor and evaluate the provider's strategies and policies for developing learners' skills.

Lines of inquiry

This part of the section will provide you with information about how inspectors identify and follow lines of inquiry.

The guidance handbook explains that the starting point for phase one and phase two inspections is the provider's assessment of its own performance, supported by relevant performance information. You should be aware that inspectors will not inspect all aspects of work in depth during an inspection. They will sample evidence to test the provider's own judgements about its work.

In phase one, the learning area lead inspectors will formulate lines of inquiry after scrutinising the learning area(s) self-assessment report(s) and other information provided by the organisation as well as any other information held by the inspectorate.

The inspection will be planned so that the teams can pursue the identified lines of inquiry that are specific to the learning areas and the provider as a whole and cover the requirements of the common inspection framework.

In phase two the RI will formulate the lines of inquiry for the provider as a whole from the institutional self-assessment report. Hypotheses and lines of inquiry will be shared with you on the Friday before the inspection. Lines of inquiry will be discussed in detail by the RI in the briefing with the inspection team at the start of the inspection.

Inspectors will use the results of Estyn learner questionnaires to assess and make judgements on learners' views about their learning. Inspectors may also want to scrutinise any in-house learner questionnaires carried out by your provider. As nominee, it will be useful if you will make sure that collated results from these in-house questionnaires are available to the team. Inspectors may use the questionnaires to pursue a line of inquiry.

Documentation

This final part of this section will provide you with information about the documentation that inspectors will request before the inspection to help them inform their judgements.

Part 2 of the handbook will provide you with information about which documentation may be required during the inspection. You will find full details of the sources of evidence in Annex 2 of the guidance handbook.

Documentation required before the inspection

Almost all of your contact before the inspection will be with the Inspection Co-ordinator (IC). The IC will contact you by telephone about four weeks before the inspection to let you know the date of the inspection. During this telephone call he/she will provide you with details of your inspection team and discuss arrangements for the inspection. Once you have been notified that an inspection is to take place, you will be asked to provide the following information for the virtual inspection room:

- key background information on the organisation
- a copy of your most recent self-assessment report and improvement plan
- the latest unverified data
- a full plan of all of your staffs' intended activities during the inspection week

If the inspection is to take place early in the academic year, you will be reminded that samples of learners' work from the previous year may be needed during the inspection. You should make these samples available to inspectors during the on-site part of the inspection at their request.

The inspectorate will ask you to inform other stakeholders about the inspection so that inspectors may gain their views.

Summary

In this section, you read about how inspectors judge skills, the sources of evidence they will use to make their judgements and how they will report on skills. You also read about how inspectors may identify a line of inquiry and the documentation that

inspectors will request before the inspection. You may wish to consider how this information can be shared with managers and staff so that they gain an understanding of the inspection process.

Part 2: During the inspection

Section A will familiarise you with your role during the inspection

Section B provides information about what happens during the onsite part of the inspection

Section C explains how documentary evidence requested by the inspection team during the inspection supports lines of inquiry

Section D clarifies the inspectorate's quality assurance processes

Section E contains a series of frequently asked questions

Section A: Role and responsibilities

This section will provide you with information about your role and responsibilities during the inspection. Guidance in the sector handbook tells you that during the inspection you should:

- liaise with the reporting inspector about administrative arrangements
- respond to team requests for additional information
- assist in resolving any problems that arise
- contribute to discussions about excellent and unsatisfactory features in phase two team meetings
- be proactive in providing additional evidence following team meetings or the scrutiny of learners' work
- take no active part in the sections of moderation meetings in phase one and phase two when judgements are being awarded
- where appropriate, ask the inspection team to clarify its judgements

Summary

In this section you read about your role and responsibilities during the inspection. It will be useful to share this with managers and staff so that they have a better understanding of what you will be expected to do.

Section B: A walk through the inspection period

This section will enable you to have a better understanding of:

- what the inspection team will do during the inspection weeks
- and your role in team meetings

Annex 1 provides a possible model of how inspectors may use their time during the inspection. It will be useful to share this information with managers, staff and governors before the inspection.

In phase one, you should attend the pre-inspection team meeting on the first day of the inspection. For the remainder of that week you will not be able to attend the daily

team meetings of the learning area teams due to the number, frequency and location of the meetings. These will be attended by the provider's nominated learning area link representatives. However, you should be available to provide advice and guidance to the learning area link representatives, attend the Wednesday morning learning area leads meeting and to liaise with the RI on emerging findings, further sources of evidence as required and to resolve any emerging problems. You should also attend the moderation meetings on Thursday afternoon.

In phase two you can and should attend, all team meetings, including the pre-inspection team meeting. Below is an example of an agenda for the pre-inspection team meeting. The reporting inspector will share this alongside the pre-inspection commentary on the first day of the inspection. It is a good idea to familiarise yourself with this agenda beforehand as you may be asked your advice about where certain evidence can be obtained or who to speak to confirm lines of inquiry.

Phase two pre-inspection team meeting sample agenda:

- welcome and introductions
- domestic arrangements, health and safety issues, and safeguarding arrangements
- where appropriate, specific issues/activities during the week that will affect the inspection programme
- team responsibilities – allocation of key questions and quality indicators, and writing sections of judgements forms
- pre-inspection commentary – hypotheses, issues and lines of inquiry
- issues arising from learner questionnaires
- interviews with staff and senior managers, governors, partners stakeholders
- completion of Judgement Forms
- team meetings for the rest of the inspection
- arrangements for reporting/feeding back on the last day of the inspection, including notifying and inviting DfES representative

It is important that, as the nominee, you pay due regard to the nominee protocol. This is particularly the case in team meetings where discussions will cover the strengths and weaknesses of the organisation. A good nominee is well prepared, briefed and contributes positively to team discussions. Do not be afraid to ask for clarification if something is said that you don't understand. After all, you are the person who is likely to be the key to helping move the organisation forward following the inspection so it is important that you know why things are being said.

Summary

In this section, you read about the inspection weeks. You may wish to consider how this information can be shared with managers and staff so that they gain a better understanding of the inspection process.

Section C: Documentation required during the inspection

This section will provide you with information about the range of documentation that inspectors may request to help them judge the provider's work in relation to the Common Inspection Framework.

Annex 2 in your sector handbook contains details of the main sources of documentary evidence. Please read the information in this annex before continuing.

Now that you have read about the main sources of documentary evidence, you will be aware of the type of information inspectors may request. You should note that inspectors may not request all of this information, but will choose the evidence they need to support their lines of inquiry. The following examples focus on the types of documentary evidence that inspectors may request to pursue a line of inquiry. In addition to documentary evidence, they may observe the implementation of policies and procedures in practice and seek the views of learners, employers and staff.

Summary

In this section, you have read about how documentary evidence may be requested in order to support a line of inquiry. It will be useful to share this information with managers and staff so that they have a better understanding of the inspection process.

Section D: The inspectorate's quality assurance processes

This section will provide you with information about how the inspectorate quality assures inspections.

The inspection teams will be joined in phase one and phase two by a Quality Assurance Inspector (QAI). The QAI will normally join the teams on the Wednesday afternoon, and Thursday of phase one and phase two. However, the RI may request the QAI to join the inspection earlier if significant issues warrant an independent view. The QAI may also choose to visit the provider earlier in either week to conduct learning walks and establish a context for the inspection work.

Monitoring inspections and inspection reports allows the inspectorate to:

- assess the work of team inspectors on inspection visits, as well as that of the reporting inspector; check how well the nominee understands his/her role and the nominee protocol
- ensure that all inspectors comply with the requirements of the relevant inspection framework and guidance
- raise issues of consistency in practice from inspection to inspection
- challenge the inspection team
- use the information to determine the quantity of future work for inspectors directly employed by the inspectorate
- use all quality assurance information to inform training and further guidance

Summary

In this section, you have read about how the inspectorate monitors the quality of work of its own inspectors and contracted inspectors. It will be useful to share this information with staff and governors so that they are well prepared if the inspection is quality assured.

Part 3: After the inspection

This section reviews, briefly, the role of the nominee after the onsite inspection is complete. Guidance in the sector handbook tells you that after the inspection you should:

- attend the feedback meeting at the end of the inspection
- contribute to checking the factual accuracy of the draft of report
- play a full part in updating the action plan following the inspection

You have now read through the handbook and can begin to prepare for your inspection. You may now find it useful to read Estyn's guidance on preparing for inspection. Please see the Estyn website for the for Inspections handbooks.

Part 4: Completing the online revision guide

When you receive the date of your inspection you must complete the online revision guide. The revision guide should take approximately one hour to complete and is designed to consolidate your understanding of your role as the provider nominee. The revision guide consists of a series of activities to check your understanding of your role and the new inspection framework. All activities are accompanied by answers to allow you to judge how well prepared you are to take on the nominee's role. After completion of the revision guide you will automatically be issued with a certificate. Please keep this safe as the RI may ask to see it.

Annex 1: A walk through the inspection week

The following information is intended to provide further general information about the model of Estyn inspections. Nominees should also note that model outlined below will vary slightly according to the size of the provider and to the sector being inspected.

Phase one – please note that this is an outline model and actual timings may vary according to the requirements of the inspection.

Day	Time	Activity
Monday	12 noon	Inspectors arrive
	12:30 pm	Pre-inspection team meeting for full team
	2:00pm	Learning area team meetings and learning walks
Tuesday	8:30 to 18:00	Inspection activity and team meetings
Wednesday	8:30 to 18:00	Inspection activity and team meetings
Thursday	8:30 to 13:00	Follow up activities, writing time and judgement meetings
	13:00 to 18:00	Moderation meetings and writing
Friday	9:00 to 11:30	Final writing for teams
	11:30	Full team meeting to share outcomes
	13:00	Feedback to learning area teams

Phase two - please note that this is an outline model and actual timings may vary according to the requirements of the inspection.

Day	Time	Activity
Monday	12 noon	Inspectors arrive
	12:30 pm	Pre-inspection team meeting for full team Reading and planning time
Tuesday	8:30 to 18:00	Inspection activity and team meetings
Wednesday	8:30 to 18:00	Inspection activity and team meetings
Thursday	8:30	Follow up activities and writing
	14:00	Moderation meeting
Friday	9:00	Final writing and editing
	13:00	Feedback to college/SMT