



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

# **Nominee handbook for work-based learning**

**September 2017**

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

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- ▲ 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 for nominees who will be the provider's representative on the inspection team during their organisation's inspection. The handbook has primarily been developed with the needs of CEOs/principals and senior managers in mind. It tries to provide answers to the 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 your role as the provider nominee.

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

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 after the inspection while part 4 explains in a little more detail about the online revision guide.

It will be helpful to have a copy of the Estyn 2017 inspection guidance handbook for work-based learning to refer to as you go through the handbook. It is very important that you are familiar with the inspection guidance handbook for work-based learning before the inspection.

**In order to act as a nominee on an inspection, you must 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 reporting inspector (RI) will ask to see this at the start of the inspection.

The fact that you may have attended training in the previous inspection cycle does not make you eligible to be a nominee on inspections from September 2017.

Part 4 of this handbook will explain how you can access the online revision guide when you receive notification from Estyn of the date of your inspection. You should not complete the online revision guide until you receive this formal notification of the inspection.

## Part 1: Before the inspection

This part is in **three sections**:

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

**Section B** allows you to explore briefly the key aspects of effective self-assessment.

**Section C** 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, as the provider nominee, to:

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

#### Background

By inviting providers to choose a nominee for the inspection to work closely alongside the inspection team, we aim to involve providers actively in the inspection process. The presence of a nominee helps to strengthen the partnership between the inspection team and the provider. It will also give providers a better insight into the inspection process and provide valuable opportunities for professional development.

We invite providers to select a nominee who will:

- ensure that inspectors are fully informed about the context of the provider's work
- contribute to meetings of the inspection team
- hear the emerging findings of the team

#### The nominee

As nominee, you should be a sufficiently senior member of staff to act as a link between the provider and the inspection team. Inspectors value the role and contribution of the nominee highly as the nominee contributes significantly to ensuring that the inspection runs smoothly.

If the provider decides not to identify a nominee, the reporting inspector (RI) will still need to establish a climate in which the provider values the inspection and to maintain a good working relationship with the senior staff.

If the provider decides not to take up the offer of having a nominee, this should 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. It 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, but to facilitate the inspection process, for example by ensuring that the team has access to the evidence and information it requires to come to a valid and reliable judgement about the provider's work.**

Guidance in the sector handbook tells you that **before** the inspection you should:

- become familiar with the inspection guidance handbook for the inspection
- become familiar with Estyn's guidance on the role of the nominee
- play a key role in the provider's self-assessment procedures
- become familiar with the inspection documentation
- attend all team meetings and be aware of the emerging questions provided by the RI immediately before the inspection
- make appropriate administrative arrangements for the inspection
- collate provider documentation and evidence required for the inspection

In the core inspection model, the nominee has a particular role in making sure that all the evidence to support the findings within the provider's self-assessment report is readily available. If evidence is not available, the inspection team may not have time to search it out. This may affect the judgements of the inspection team, particularly where the lack of evidence is due to weak management of provider-based information. In these cases, it may lead the inspection team to consider that inspection area 5 on leadership and management may be adequate and needs improvement.

## Summary

In this section, you have read about your role and responsibilities as the providerproviders nominee. It will be useful for you now to share your understanding of your role with staff and governors (if appropriate).

It is also a good idea to brief staff and governors fully about any changes to the inspection processes in general.

## Section B: Self-assessment

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

The provider has the key responsibility for raising standards and the quality of its provision or maintaining those at a high level. Self-assessment lies at the heart of this process. It feeds into improvement planning, identifying good features and areas for development, setting appropriate performance targets and measuring progress against them.

For self-assessment to be fully effective it needs to be open and honest and fully understood by staff, governors and other relevant stakeholders. The provider will be disadvantaged if the inspection team identify significant issues that the provider does 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 to develop, but inspectors will also focus on what processes are in place to identify these areas and what is the provider doing to address them. Over time, the provider should review all aspects of its life and work, but the key emphasis should always be on the progress made by learners, the outcomes they achieve, and the quality of the provider's provision and its impact on learners' progress and wellbeing.

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

Performance information of high quality, both quantitative and qualitative, is essential in making sure that the provider can 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 and other stakeholders

The inspection framework places great importance on the provider's **self-assessment** as the **starting point** for inspection. As the provider's nominee, you are expected to play a key role in writing the provider's self-assessment report (SAR). 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 there are significant weaknesses in the provider's leadership and management and a follow-up visit may be necessary at a later date. Please refer to details of follow-up arrangements on Estyn's website.

#### **Summary**

In this section, you have read about the key features and purpose of self-assessment in the new Common Inspection Framework. If you want to learn more about self-assessment, please see the supplementary guidance on self-assessment on Estyn's website.

### **Section C: Gathering evidence**

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

- how inspectors judge the application of learners' skills

- how inspectors identify and follow emerging questions
- the types of documentation that inspectors may request before the on-site part of inspection

## **1 Judging the application of learners' 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?**

Inspectors will report on learners' standards in each of the skills of speaking and listening, reading and writing (in Welsh/English), numeracy and digital literacy.

In particular, inspectors will evaluate whether all learners have the required skills in literacy (Welsh/English), numeracy and digital literacy needed appropriate to their qualification level and employment opportunities.

Inspectors will judge standards in literacy, numeracy and digital literacy skills based on first-hand evidence, for example from observations of learners in on and off-the job sessions, scrutiny of learner's work and discussions with learners. Careful observation of learners in on and off-the job sessions and talking to learners will provide evidence of their speaking and listening skills, their literacy, numeracy and digital literacy skills and their ability to think. Scrutiny of work will provide evidence on how well learners can write clearly and read for understanding, how well they can use their literacy, numeracy and digital literacy skills at appropriate levels in a range of settings. Inspectors will consider the extent to which learners' communication and higher-order thinking skills support or hinder their progress, interaction with other learners, tutors, trainers, assessors and their employers, on or off-the job.

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

- cope with the demands of their learning
- make good progress in their vocational area
- cope with the literacy, numeracy and digital literacy demands of everyday life

Inspectors will consider how well learners 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' level of ability when considering evidence and coming to their judgements.

### **How will inspectors gather evidence?**

The inspection team will undertake on and off-the job observations and learning walks (where appropriate) during their time with the provider. They will also talk to learners about their work and their time with the provider. They will scrutinise learners' portfolios and practical work.



Inspectors will use the schedule of visits provided by the provider before the inspection to undertake on and off-the job observations.

When observing on and off-the job sessions, inspectors will expect to see learners using and applying their literacy, numeracy and digital literacy skills in ways appropriate to the session. There is no expectation that learners should be using these skills in every session in a formulaic way.

### **Will inspectors observe support programmes, such as skills support sessions?**

Inspectors may focus a proportion of their time on inspecting the progress made by learners who receive specific support to develop their literacy, numeracy and digital literacy skills. Observations of these learners in sessions and during learning walks will provide inspectors with evidence of how well they achieve in day-to-day learning tasks and activities.

### **Will inspectors talk to learners?**

This is an important aspect of inspection activity. Inspectors will talk with groups of learners and/or individual learners about the recent work they have completed to see how well they are doing. Inspectors will ask learners to show them their portfolio of work and to talk about it.

### **Will inspectors scrutinise samples of learners' portfolios?**

Inspectors will scrutinise samples of learners' portfolios to meet the needs of any emerging questions and to cover the requirements of the Common Inspection Framework.

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

In **Inspection Area 1 (Standards)**, inspectors will report on whether all learners have appropriate skills in literacy, numeracy and digital literacy needed to complete their qualification.

In **Inspection Area 3 (Teaching and learning experiences)**, inspectors will report on the provision for skills. In the overall judgement on teaching and learning experiences, inspectors will take account of how well teaching and training is successful in engaging learners' interest and how well it develops their literacy, numeracy and digital literacy skills, vocational skills and knowledge and understanding to an appropriately high level as they move through their programme.

In **Inspection Area 5 (Leadership and management)**, inspectors will consider how well leaders and managers at all levels develop, support, monitor and evaluate the provider's strategies and policies for developing learners' skills.

## **2 Emerging questions**

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

The inspection guidance handbook for work-based learning explains that the starting point for inspection is the provider's assessment of its own performance, supported by relevant evidence. You should be aware that inspectors will **not inspect all aspects of work in depth** during a core inspection. They will sample evidence to test the provider's own judgements about its work.

At the pre-inspection stage, the RI will formulate emerging questions after scrutinising the self-assessment report and other information provided by the provider as well as any information already held by the inspectorate. The RI will plan the inspection so that the team can pursue the emerging questions that are specific to the provider and cover the requirements of the common inspection framework that all inspections will address.

The RI will arrange to share the emerging questions with you just before the on-site inspection. The RI will discuss the emerging questions in the first briefing with the inspection team at the provider's premises.

The following case study shows how inspectors may plan to gather evidence in response to emerging questions.

#### **An example of an emerging question and the activity that emerges from it**

In Anytown Provider, the SAR indicates that provision for learners' skills is good and learners apply these skills well in on and off-the job training. In order to confirm this judgement and to fulfil the common inspection framework requirements, inspectors may establish an emerging question, such as 'How well do learners apply their literacy, numeracy and digital literacy skills in their training?' As a result, the inspection team may choose to:

- ask inspectors to focus on the provision of skills during on and off-the job training session and during learning walks (if appropriate)
- examine learners' portfolios that provide evidence of learners' application of their literacy, numeracy and digital literacy skills
- scrutinise a sample of schemes of work in different vocational areas to see how well these provide contexts for developing and consolidating learners' skills as they move through their training
- hold discussions with learners to see how well they are doing and if learners know what they must do to improve
- meet staff and managers to discuss arrangements for skills development
- scrutinise the provider's quality development plan, vocational area development plans and the agendas of middle and senior managers' meetings
- examine the range of staff training that has occurred
- enquire about the way that staff gain the views of learners when gathering evidence
- meet senior managers to establish how well they drive forward policies to develop learners' skills, how they co-ordinate the provider's work in this area and how well they monitor and evaluate learners' application of their skills

When you receive notification of your inspection, the Inspection Co-ordinator (IC) will explain the arrangements for the pre-inspection surveys. The surveys provide an opportunity for learners, employers and staff to give their views about the provider. These surveys will form part of the pre-inspection evidence. The provider will not receive any details about individual responses or comments. They remain confidential to the inspection team. This is to support the confidentiality of the individual survey responses.

Please refer to the work-based learning handbook for more information about pre-inspection surveys. You, as nominee, have an important role in organising and co-ordinating these surveys. Please make sure that you discuss the arrangements you need to put in place with the IC.

Inspectors may use the pre-inspection surveys to establish emerging questions. The example below illustrates how the RI may plan to gather evidence that relates to an issue raised through the surveys.

#### **Example A**

Inspectors have identified an emerging question that focuses on the quality of induction programmes that help learners to settle quickly into their training programme. This has emerged as a result of some critical comments from learners in response to a statement in the learner questionnaire.

As a result, inspectors may choose to:

- speak to groups of learners who are new/relatively new to the provider about their experiences
- seek the views of employers on induction arrangements during on-the job observations
- examine the provider policy and procedures for induction
- scrutinise documentary evidence of links with other stakeholders, such as CareersWales

Inspectors may also use surveys as an additional source of evidence to support the provider's judgements. Example B illustrates this.

#### **Example B**

The provider in its SAR has evaluated its assessment of learning, recording and reporting arrangements as very strong. The documentation provided supports the provider's evaluation and the pre-inspection survey responses from employers compliment the provider on the ways it ensures that they know how well their apprentice is progressing. Discussions with learners also shows that learners have a good idea of the progress that they are making, know their personal learning targets and can explain what they need to do to improve further. In this situation, the inspectors may decide that this aspect of assessment is good and no further inspection activity in this area of the provider's work is required.

### 3 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.

#### 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 15 working days before the inspection to let you know the date of the inspection. During this telephone call, the IC will give you details of the inspection team and discuss the detailed arrangements for the inspection. The IC will also arrange a planning meeting approximately 10 working days before the inspection between yourself and the reporting inspector.

Once you have been notified that an inspection is to take place, you will be asked to provide the following information for the lead inspector:

- a copy of your organisation's most recent SAR and quality development plan
- details of progress against the recommendations given following your organisation's last inspection
- details of progress against actions within your organisation's quality development plan

Estyn will also ask you to complete a self-evaluation of the provider's safeguarding arrangements. The IC will provide a copy of this self-evaluation through the virtual inspection room (VIR).

During your planning meeting with the reporting inspector, you will discuss the:

- requirements for availability of supporting evidence including samples of learners' work
- schedule of visits for each inspector
- allocation of base room(s) and domestic arrangements
- purpose of interviews with senior and middle managers
- examples of evidence that should be made available in the VIR
- arrangements for meetings with partners, consortium members, sub-contractors and governors where appropriate
- arrangements for feedback of the inspection findings to the CEO/principal during the inspection

#### 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. In this section, you also read about how inspectors may identify emerging questions and the documentation that inspectors will request before the inspection.

You may wish to consider how you can share this information with staff so that they gain an understanding of the inspection process.

You will have an opportunity to review what you have learned by completing the online revision guide at a later date.

## Part 2: During the inspection

This part is in five sections:

**Section A:** will familiarise you with your role during the inspection

**Section B:** provides information about what happens during the on-site part of the inspection

**Section C:** explains how documentary evidence requested by the inspection team during the inspection supports any emerging questions

**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.

**During** the inspection you should:

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

### Summary

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

## Section B: A walk through of the inspection period

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

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

Annex 1 provides a possible model of how inspectors may use their time during the on-site inspection period. It will be useful to share this information with staff and governors (where appropriate) before the inspection.

A very important feature of the inspection process is the **team meeting**. As a nominee and part of the inspection team, you should attend all team meetings, including the pre-inspection team meeting. Below is an example of an agenda for the pre-inspection team meeting. It is a good idea to familiarise yourself with this agenda beforehand as you may be asked your advice about where the team can obtain certain evidence or the best person to see on a specific emerging question.

### Pre-inspection team meeting sample agenda

- Welcome and introductions
- Domestic arrangements, health and safety issues, and safeguarding arrangements
- Discussion around standards
- Issues arising from learner, staff and employer questionnaires.
- Interviews planned for Monday pm and all day Tuesday
- Completion of evidence and the need to delete/destroy any information not recorded in Input JFs.
- AOB
- Provider presentation
- Provider provides the team with information on health and safety and safeguarding procedures
- Nominee advises the team of any specific issues/activities during the week that will affect inspection programme
- Provider guidance on IT access.

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 provider. A good nominee is well prepared, well briefed and contributes positively to team discussions. Do not be afraid to ask for clarification if there is something that you do not understand. After all, you are the person who is most likely to be asked to explain the inspection findings to other staff and to help move the provider forward following the inspection so it is important that you know why inspectors have come to their judgements. The online revision guide will provide you with examples of how to prepare for your role in team meetings.

## Summary

In this section, you read about the inspection week. You may wish to consider how this information can be shared with 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 work of the provider in relation to the Common Inspection Framework.

You should note that inspectors will sample the evidence provided by the provider as they seek to cover the requirements of the Common Inspection Framework and to answer any emerging questions. The following examples focus on the types of documentary evidence that inspectors may request to pursue an emerging question. 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.

#### **Example A**

In provider A, inspectors have identified an emerging question that focuses on how well on and off-the job training provides contexts for developing and consolidating learners' communication, numeracy and digital literacy skills. Inspectors may choose to examine:

- whole provider skills policies
- planning to determine how well learners' experiences effect the development and application of their skills
- information about the monitoring of learners' literacy, numeracy and digital literacy skills, policies and procedures
- the skills self-assesement and quality development plan
- the provider quality development plan

## Summary

In this section, you have read about how documentary evidence may be requested in order to support an emerging question. It will be useful to share this information with 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 assures the quality of inspections.

All inspections will be Estyn-led, i.e. the RI will be a member of the inspectorate.

A percentage of providers will be visited by one HMI for one day, who will monitor and evaluate the quality of the inspection. Inspection teams will receive 24 hours' notice of such a visit. The monitoring inspector will not make any on or off-the job observations, but may well attend any meetings planned during the inspection.

The inspectorate will moderate and validate the findings of every inspection report prior to publication on its website. It will also evaluate the quality of all inspection reports. The validation and moderation process involves consideration of the report's findings and judgements, scrutiny of the evidence that supports the judgements, challenge to judgements and findings, where appropriate, and reflection on the findings in relation to previous inspection outcomes within the sector.

Monitoring inspections and inspection reports, allows the inspectorate to:

- assess the leadership of the reporting inspector and the management of the inspection team
- 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
- identify any issues of inconsistency in practice from inspection to inspection
- challenge the inspection team
- use the information to determine the award of contracts 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.



## **Section E: Frequently asked questions**

This section will provide you with details of a few frequently asked questions and replies. You may find it useful to read these through before continuing to read the handbook.

### **Frequently asked questions**

#### **1 Do we have to change our planned training and visits if the RI asks?**

The inspectorate is keen for providers to continue as normal during an inspection. It is best for staff and learners to undertake their usual activities at the usual times. Therefore, the RI should not normally ask for any changes..

#### **2 If I think the team has not seen something important what do I do?**

It is very important that you bring any significant evidence to the team's attention. This does not have to be confrontational, but you should ensure that the RI knows the significance that you place on this particular evidence.

#### **3 If we have something special on during the on-site inspection should I let the lead inspector know?**

Of course, and please make sure that you mention this to the Inspection Co-ordinator when they announce the inspection. Also, please make this obvious in the schedules you prepare for each inspector. Although inspectors cannot guarantee that they will be able to make time for this, most will.

#### **4 If the team mention that they have not seen learners using their digital literacy skills in sessions can I go and tell the staff this?**

No. Team discussions are confidential. However, you may want to ensure that the team has received any significant evidence relating to learners' use of digital literacy in on or off-the job sessions, if it is available.

#### **5 If I disagree with what the team says in the meeting about skills or vocational training/assessment what can I do?**

You may bring any additional information and evidence to the attention of the team. While they will consider this information, this may not be reflected in a change of judgement. The team will come to its own view.

#### **6 Can I be asked to leave a team meeting?**

It can be challenging to listen to an inspection team deliver judgements on your provider, especially where those are not in line with your own views, and you may often feel the urge to interject. However, you need to remember that the nominee's role is not to defend the provider, but to direct the team to relevant evidence and to facilitate the inspection. It is rare for the RI to ask a nominee to leave a team meeting. However, if your behaviour is such that it is disrupting the inspection, such as constantly challenging the team's judgements, then the RI may ask you to leave the meeting. Before this occurs, the RI will remind you about the protocol that was agreed and explain that you are stepping outside the terms of the agreement.

**7 Do all the learners in the provider have to complete a learner survey?**

No. The number of learners who will have the opportunity to complete a survey will depend on the size of the provider. The IC will discuss the survey arrangements with you.

**8 Do I need to make sure that the team have a selection of learners' portfolios from all vocational areas?**

It is likely that the inspection team will ask for a sample of learners' work to act as a reference sample during the inspection, for example to provide evidence in relation to an emerging question. The RI will discuss the exact nature of the sample when they contact you before the inspection.

**9 Will the inspectors meet with all managers and co-ordinators?**

Again, this will depend on the emerging questions and whether the team feel that it needs to explore issues further. In some instances, they may not meet any co-ordinators if the team have gathered sufficient evidence in other ways.

**10 As nominee, can I see the Judgement Forms completed by members of the inspection team?**

No, these are confidential to the inspection team.

## Part 3: After the inspection

This section reviews, briefly, the role of the nominee after the on-site inspection is complete. .

**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 devising the action plan following the inspection

The online revision guide will explore a few issues relating to your role post inspection.

You have now read through the handbook and can begin to prepare for your inspection. You may now find it useful to look at Estyn's website to see if there is any further guidance that may prove useful to you. On the website, there is a range of documents that may prove helpful, including supplementary guidance on a range of inspection issues and guidance on follow-up arrangements.

## **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 about an 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 will ask to see it when they arrive at the provider.

## **Annex 1: A walk through the inspection week**

### **Walk through the week**

Each inspection will be of eight days duration and will normally take place from Tuesday to Friday in week one and Monday to Thursday in week two. The team will consist of five HMI/additional inspectors and five peer inspectors.

### **Day one**

The morning of day one will usually be used for travelling. The reporting inspector and deputy reporting inspector will meet briefly (normally 12.30-13.00) with the CEO/principal and nominee before the inspection begins, to share the emerging issues. Team inspectors and peer inspectors will arrive at the provider at 13.00 on day one for a **team meeting and provider presentation** from 13.30-14.30, which the nominee will also attend.

During the meeting, the reporting inspector will discuss the provider's SAR and any emerging questions. The reporting inspector will also explain how the team will gather evidence to support the common inspection framework requirements and any emerging questions that may arise during the on-site inspection. The reporting inspector will confirm all HMI have arrive at their baserooms (if a multi-site inspection) confirm learner visit arrangements and confirm inspector travel arrangements. Inspectors will begin inspection activity from 14.30. Meetings will take place with relevant managers and HMI re: provider data and the provider's arrangements for safeguarding (inc Prevent).

### **Inspection activity on days two and three**

Session observations will be undertaken on days two and three (and possibly the morning of day four). These observations will include workplace skills assessment, off-the job training sessions, progress reviews and any activities relevant to work-based learning. Inspectors will try and see the beginning of the session and stay for a maximum of one hour.

Inspectors will scrutinise learners' work during observations. In the workplace, this scrutiny will focus on learners' vocational skills and on assessment. Learners' portfolios and e-portfolios and other written work will also be scrutinised in the workplace and during off-the job training sessions.

Inspectors will talk with learners at the end of workplace and off-the job training or assessment sessions, or during any learning walks.

Where possible, inspectors will hold brief meetings with employers at the end of workplace observations in order to gather informatonon the employer's relationship with the provider.

Team meetings will be held at approximately 16.00-17.00 on days two and three where inspection areas 1, 2 and 3 will be dicussed. These meetings are an opportunity for you to contribute to team discussions, but not to take an active part in

the team's judgements. The focus in the meetings will be on weighing up the strengths and areas for improvement under inspection areas. There will also be daily discussions with you to agree any new arrangements, discuss matters of concern, clarify inspection issues and discuss emerging findings. The RI and deputy RI will provide a daily feedback to the CEO/principal after each team meeting and you should be present at this meeting. This meeting should take no longer than 20 minutes and be used to share the inspection team's emerging findings.

#### **Inspection activities on day four**

The inspection team will continue with observations and meetings as scheduled prior to a full team meeting from 11.00-13.00 to discuss emerging findings and confirm arrangements for week two.

The RI and deputy RI, with the nominee present, will provide feedback to the CEO/Principal at 13.00.

The full inspection team will depart at 13.30.

#### **Inspection activities on days five and six**

The morning of day five will usually be used for travelling. Team inspectors and peer inspectors will arrive at the provider at 12.30 on day five for a **team meeting** from 13.00-13.45, which the nominee will also attend. Inspectors will begin inspection activity from 13.45. You should arrange meetings for day five (pm) and all day on day six with:

- CEO/principal
- members of the governing body
- partners
- senior and middle managers as appropriate to Inspection Areas
- assessors
- quality team
- staff responsible for Welsh language
- staff responsible for skills
- staff responsible for care, support and guidances

A team meeting will be held at approximately 15.30-17.30 on day five where each inspection area and the additional focus will be discussed. As previously, these meetings are an opportunity for you to contribute to team discussions, but not to take an active part in the team's judgements. The focus in the meetings will be on weighing up the strengths and areas for improvement under inspection areas. The RI and deputy RI will provide brief feedback to the CEO/principal after this team meeting and you should be present at this meeting. This meeting should take no longer than 30 minutes and be used to share the inspection team's emerging findings.

#### **Day seven**

The team will arrive at the provider's premises at 09.00 and spend the morning writing their main evaluation.

Moderation of the team’s findings and judgements will begin at 13.30 and you will be present at this meeting. You may challenge inspector’s findings, but will not take part in the final judgement decisions. The RI and deputy RI will provide brief feedback to the CEO/principal and share the team’s judgements after this moderation meeting and you should be present at this meeting.

### Day eight

A full team meeting will be held from 09.30-10.30 to confirm recommendations and you should be present at this meeting. The team will use their activity time from 10.30-13.00 to ensure that all evidence is recorded in the JFs and refine their report sections.

The full team will give oral feedback to the CEO/principal, chair of governors (where appropriate), senior managers, yourself and a DfES representative at 13.00 and depart immediately following this feedback.

### A possible overview of the organisation of inspection in a work-based learning provider

The table below outlines the main details in the organisation of an inspection.

Day	Activity
Day one (am)	<ul style="list-style-type: none"> <li>inspection team travels to the provider</li> </ul>
Day one (pm)	<ul style="list-style-type: none"> <li>inspection team meeting, attended by the nominee</li> <li>inspection activity</li> <li>meeting re: data</li> <li>meeting re: safeguarding (inc Prevent)</li> </ul>
Day two and three (am and pm)	<ul style="list-style-type: none"> <li>inspection activities – session observations, learning walks, interviews with staff, learners and employers and scrutiny of documentation and learners’ work</li> <li>team meeting at the end of the day, attended by the nominee</li> <li>RI and DRI give brief feedback on activities to CEO/principal, nominee to attend</li> </ul>
Day four (am)	<ul style="list-style-type: none"> <li>inspection activities – class observations, learning walks, interviews, scrutiny of documentation and learners’ work</li> <li>team meeting, attended by the nominee to discuss emerging findings and arrangements for week two</li> <li>RI and DRI give brief feedback on activities to CEO/principal, nominee to attend</li> </ul>
Day five (am)	<ul style="list-style-type: none"> <li>inspection team travels to the provider</li> </ul>
Day five (pm)	<ul style="list-style-type: none"> <li>inspection team meeting, attended by the nominee</li> <li>meetings as arranged by the nominee</li> <li>team meeting at the end of the day, attended by the nominee</li> <li>RI and DRI give brief feedback on activities to CEO/principal, nominee to attend</li> </ul>

Day six (am and pm)	<ul style="list-style-type: none"> <li>• meetings as arranged by the nominee</li> <li>• team meeting at the end of the day, attended by the nominee</li> <li>• RI and DRI give brief feedback on activities to CEO/principal, nominee to attend</li> </ul>
Day seven (am)	<ul style="list-style-type: none"> <li>• inspection team write main evaluations</li> </ul>
Day seven (pm)	<ul style="list-style-type: none"> <li>• inspection team meet to moderate findings and agree judgements</li> <li>• RI and DRI give brief feedback on moderated judgements to CEO/principal, nominee to attend</li> </ul>
Day eight (am)	<ul style="list-style-type: none"> <li>• inspection team meet to agree draft recommendations, nominee to attend</li> <li>• inspection team complete all evidence</li> </ul>
Day eight (pm)	<ul style="list-style-type: none"> <li>• inspection team report to the CEO/principal, nominee, members of the senior management team, chair of governors (if appropriate) and a representative from DfES before leaving the premises.</li> </ul>



## **Annex 2: Protocol and guidance for nominees**

### **Background**

Inspections will provide an opportunity to involve providers actively in the inspection process by enabling a nominee from the provider to work with the inspection team. This will ensure greater involvement by the provider and strengthen the partnership between the inspection team and provider staff. It will also enable providers to gain a better insight into the inspection process as well as provide valuable opportunities for professional development. However, it is not a requirement that the provider has to put forward a nominee.

Providers are invited to select a nominee who will:

- ensure that inspectors are fully informed about the context of the provider's work
- contribute to meetings of the inspection team
- hear emerging findings of the team

### **The nominee**

The nominee will be a sufficiently senior member of staff to act as a link between the provider and the inspection team.

Before the inspection, the inspectorate will discuss:

- whether the provider wishes to take up the invitation of having a nominee
- the training for nominees

If the provider decides not to identify a nominee, the reporting inspector will still need to establish a climate in which the provider values the inspection and to maintain a good working relationship with the senior staff.

If the provider decides not to take up the offer of having a nominee, this should 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.

In order to act as a nominee on an inspection, the member of staff must be familiar with the nominee handbook, completed the online revision guide and be in receipt of a certificate of completion. This ensures that they are aware of the confidentiality issues that may arise during an inspection and how they are expected to react to these. Provider staff already trained as peer or additional inspectors, and who are intending to take on the role of the nominee in inspection, still need to complete nominee training.

Reporting inspectors should ask nominees to show their certificate of nominee training as proof that the online revision guide has been undertaken. No-one may normally undertake the role of the nominee unless they are in possession of this certificate.

The rest of this annex sets out the:

- role of the nominee
- responsibilities of the nominee, the reporting inspector and the provider
- activities to be undertaken in the different stages of the inspection

### **Role of the nominee**

The role of the nominee is demanding and requires that person to exercise the objectivity essential to an external inspection process. The nominee will be required to respect the strict confidentiality of all inspection discussions. The role is not that of an advocate or defender of the provider. In work-based learning providers, a senior manager normally fulfils the role of nominee. The statement of agreement (see below) must be signed by all parties before the inspection. It should later be stored along with other inspection evidence.

Nominees will need to:

- liaise with the reporting inspector about administrative aspects of the inspection such as coverage, documents and meetings
- respond to team requests for additional information during the inspection
- assist in resolving any problems that arise throughout the inspection process
- participate in team meetings where good features and shortcomings are being discussed, but he or she must take no part in deciding judgements to be awarded or have access to the confidential Judgement Forms of the inspection team
- provide any additional evidence that is needed following the team meetings or scrutiny of learners' work

### **Responsibilities**

The nominee will:

- complete the online revision guide and gain the certificate of nominee training during the period of notification of their forthcoming inspection
- be familiar with the work-based learning guidance
- be familiar with the nominee handbook
- be familiar with the inspectorate's guidance on the role of the nominee
- have a thorough understanding of the provider's SAR and action plan
- liaise with the reporting inspector about administrative aspects of the inspection such as coverage, documentation and meetings
- ensure that inspectors are fully informed about the context of the provider's work
- respond to team requests for additional information
- respect the confidentiality of all information received during the course of the inspection
- assist in resolving any problems that arise
- contribute to meetings of the inspection team
- avoid being defensive or an advocate for the provider
- hear emerging findings

The reporting inspector will:

- discuss with the provider and the nominee his or her role
- ask to see the nominee's certificate as proof of completing the online revision guide
- keep the nominee fully briefed about the conduct of the inspection
- brief the inspection team about the role of the nominee
- make sure that the nominee feels fully involved with the inspection team
- plan the work of the nominee during the inspection week through negotiation with the provider
- ensure that the nominee is aware of the arrangements for team meetings and for the scrutiny of learners' work
- ensure that the nominee takes no active part in the awarding of judgements or have access to the confidential Judgement Forms of the inspection team

The provider will:

- agree the role of the nominee with the nominee and with the reporting inspector
- normally channel any issues, concerns and further evidence through the nominee to the inspection team
- be sympathetic to the demands placed on the nominee
- provide support for the nominee in undertaking his or her task
- respect the confidentiality under which the nominee is working
- ensure that the nominee has played a key part in the provider's self-assessment procedures
- brief the senior management team and governing body (if appropriate) about the role of the nominee

## Activities in the inspection process

Before the inspection

<b>Nominee</b>	<ul style="list-style-type: none"> <li>• Become familiar with the work-based learning guidance for inspection and the nominee handbook</li> <li>• Complete the online revision guide during the period of notification of their forthcoming inspection and gain the certificate of nominee training</li> <li>• Become familiar with inspectorate's guidance on the role of the nominee</li> <li>• Play a key role in the provider's self-assessment procedures</li> <li>• Become familiar with the inspection documentation</li> <li>• Attend the all team meetings</li> <li>• Make administrative arrangements for the inspection</li> <li>• Collate provider documentation required for the inspection</li> </ul>
<b>Reporting Inspector</b>	<ul style="list-style-type: none"> <li>• Discuss the role of the nominee during the first contact with the provider</li> <li>• Ask to see the nominee's certificate as proof of training</li> <li>• Brief the nominee fully in the same way as the other team members about the arrangements for the inspection week</li> <li>• Plan the work of the nominee during the inspection week</li> <li>• Ensure that the nominee receives all key inspection documents</li> <li>• Fully brief the other team members about the role of the nominee</li> </ul>
<b>Provider</b>	<ul style="list-style-type: none"> <li>• Establish the role of the nominee during the first contact with the reporting inspector</li> <li>• Clarify the role of the nominee with the reporting inspector and the nominee</li> </ul>

	<ul style="list-style-type: none"> <li>Brief the senior management team and governing body (if appropriate) about the role of the nominee</li> </ul>
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### During the inspection

<b>Nominee</b>	<ul style="list-style-type: none"> <li>Liaise with the reporting inspector about administrative arrangements</li> <li>Respond to team requests for additional information</li> <li>Assist in resolving any problems that arise</li> <li>Take no active part when judgements are being awarded</li> <li>Contribute to discussions about good features and shortcomings in team meetings</li> <li>Be proactive in providing additional evidence following team meetings or the scrutiny of learners' work</li> <li>Where appropriate, ask the inspection team to clarify its judgements</li> </ul>
<b>Reporting Inspector</b>	<ul style="list-style-type: none"> <li>Monitor the work of the nominee and provide support as appropriate</li> <li>Ensure that the nominee is as fully involved in the inspection as possible</li> <li>Normally, channel requests for additional information and evidence through the nominee</li> <li>Ensure that the nominee takes no active part in the awarding of grades</li> </ul>
<b>Provider</b>	<ul style="list-style-type: none"> <li>Use the nominee to liaise with the inspection team</li> <li>Normally, channel any issues or concerns through the nominee</li> <li>Provide support for the nominee in undertaking their task</li> <li>Respect the confidentiality under which the nominee is working</li> </ul>

### After the inspection

<b>Nominee</b>	<ul style="list-style-type: none"> <li>Attend the feedback meeting at the end of the inspection</li> <li>Contribute to the preparation of the provider's response to the inspection</li> <li>Contribute to checking the factual accuracy of the draft of report</li> <li>Play a full part in devising the action plan following the inspection</li> </ul>
<b>Provider</b>	<ul style="list-style-type: none"> <li>Senior staff, as agreed with the reporting inspector, to attend the feedback meeting at the end of the inspection</li> <li>Contribute to the preparation of the provider's response to the inspection</li> <li>Contribute to checking the factual accuracy of the draft of report</li> <li>Play a full part in devising the action plan following the inspection</li> </ul>

**I agree that I will undertake the role of nominee in accordance with my responsibilities as set out above. I have completed the online revision guide and fully understand my role.**

**Name of nominee:** .....

**Signature:** ..... **Date:** .....

**I agree to working with the nominee as outlined above.**

**Name of reporting inspector:** .....

**Signature:** ..... **Date:** .....

**(When the nominee is not the CEO/principal) I agree to facilitate the nominee in undertaking their role as outlined above.**

**Name of CEO/principal:** .....

**Signature:** ..... **Date:** .....