**The Money and Pensions Service**

**Individual Quality Framework**

**Accreditation Reassessment Guidance**

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**National Occupational Standards (NOS) Aligned to Money and Pensions Service**

**Debt Advice Quality Framework for Individuals**

**Overview**

This document contains details of:

* the application process for reassessment
* criteria for making a successful application
* guidance on how the application form and supporting evidence should be completed and compiled

**Glossary of Terms**

|  |  |
| --- | --- |
| Accredited Programme | Learning programmes and qualifications awarded accreditation against the Money and Pensions Service Debt Advice Quality Framework |
| MaPS | Money and Pensions Service |
| Quality Framework | The Money and Pensions Service Quality Framework |
| RE | Recognising Excellence |

|  |  |
| --- | --- |
|  |  |

**Appointed Assessment and Mapping Organisation**

The Money and Pensions Service has appointed Recognising Excellence as its assessment body.

All application enquiries and submissions should be made to:

Elizabeth Morris

Recognising Excellence

Unit 3 Twigworth Court Business Centre

Tewkesbury Road

Twigworth

Gloucester, GL2 9PG

Mainline: 01452 688357

[liz.morris@recognisingexcellence.co.uk](mailto:liz.morris@recognisingexcellence.co.uk)

[www.recognisingexcellence.co.uk](http://www.recognisingexcellence.co.uk)

**1. Under what circumstance is a reassessment required?**

As described in the accompanying Individual Framework Post Accreditation Information Pack, the following events will trigger reassessment:

* Change(s) made to the learning programme or qualification within the 3 year accreditation period
* End of Award period – 3 year anniversary
* Change(s) made to the Money and Pensions Service Debt Advice Quality Framework

**2. How submissions for reassessment are made**

Prior to submitting an application for reassessment please contact RE to discuss the extent of changes to be made to the learning programme or qualification and the intended implementation date of the revised version. A reassessment will be required in the event of any change made to:

* Accredited Programme content including a revision to the learning objectives, outcomes, contents, materials or delivery model including transition to Learning Management Systems (at any point during the 3 year accreditation period)
* End of Award period – 3 year anniversary
* Specific NOS requirement changes

**3. Extent of Reassessment**

The impact of reassessment upon the current award cycle for each training programme/qualification will depend on the extent of change made and at what stage within the cycle. The following table seeks to define minor and full reassessment and the impact on accreditation cycles and mid-cycle activity:

|  |  |  |
| --- | --- | --- |
|  | **Example** | **Impact on award period** |
| **Revisions** | **Mino**r revisions e.g. changes to legislation, delivery model, learning content and/or materials | No change to current end of award date |
| **Full** | **Substantial** changes made to the content and or delivery model | Accreditation awarded for further 3 years |

This table is indicative and RE will confirm the level of reassessment required based upon the significance of changes proposed to the programme/qualification. It is strongly advised that all reassessment activity is considered and concluded with RE prior to operationalising the changes. If the proposed changes do not fully align to the requirements of the Quality Framework, there will be opportunity for refinement and revision to evidence compliance.

**4. Service Level Agreement**

Please refer to the accompanying Individual Framework Post Accreditation Information Pack which outlines the timescales of the reassessment process.

**5. Cost of Reassessment**

The full cost of the application and reassessment process against the Debt Advice Quality Framework will be covered by MaPS. This policy applies to all resubmitted applications and no charges will be incurred by you as the applicant. It will be at the discretion of MaPS to apply a charge for any resubmitted applications which fall outside the time period detailed below – see Stage 4b and may require a full reassessment.

**6. The application and reassessment process**

The reassessment process consists of several stages and interventions. Each of the stages is explained as follows:

**Stage 1 – Making an application for Reassessment**

Applications for reassessment should be discussed with RE and made using one of the following:

* Individual Framework Interim Assessment Application Form
* Individual Framework Initial and Full Reaccreditation Application Form

Digital submissions are preferred although hard copy submissions are acceptable where this is not possible. Supporting documentation may be provided through an online portal or for example via ‘drop box’ or ‘We Transfer’ facilities, and via email. Please ensure instructions of how to access materials are included within your completed application. The contact details for making an application are provided on page 3.

**Documentation required to support your application**

The following documentation will be required to support your application:

* The completed relevant Application Form
* Self Assessment Checklist
* Copies of all amended learning materials
* Current copy of the Professional Indemnity Insurance certificate

**Stage 2 – The Reassessment Process**

An Assessor will be appointed to manage your application for reassessment. Assessment activity will commence with an introductory meeting during which the reassessment approach will be explained. This initial meeting will also provide the opportunity to share background information with the Assessor, contextualising the changes that are proposed to the Accredited Programme.

The Assessor will remain in contact throughout the reassessment exercise. Any need for clarification on the application will be achieved through discussion with the nominated point of contact within the application form. Any minor revisions identified may be communicated during the reassessment process and applicants invited to make these amendments in order to expedite an assessment outcome.

The Assessor will consider the summary of changes identified within the application, making a systematic comparison between the requirement of the Quality Framework, and specifically the NOS requirements and the evidence provided. Consideration will extend not only to the specific requirements and criteria of the content of the Accredited Programme but also to the delivery model which underpins this.

**Stage 3 – Assessment outcomes and feedback process**

A recommendation for maintaining accreditation can only be made in cases where all requirements of the NOS are met in full for the whole activity set.

Upon conclusion of the reassessment activity, the Assessor will prepare a report, which will identify the areas of the Quality Framework that are met in full, and any areas where additional information is required. The interim report will determine an outcome against each criterion in the Quality Framework. Assessment reports are subject to internal verification and will form the basis of a follow up feedback meeting with the applicant. This intervention will ensure the Assessor’s interpretation of the evidence presented is factual, provides an opportunity to address any points raised, and for additional or revised content to be submitted.

It is also possible that any corrective action or additional information identified by the assessor, may be closed out before the final report is submitted for internal verification.

The potential outcomes are:

|  |  |
| --- | --- |
| **Definition** | **Meaning** |
| Met | The evidence presented fully meets and/or exceeds the requirement of the MaPS Debt Advice Quality Framework. There may be suggestions for improvement, however this will not be subject to further review. |
| Partially Met | The evidence presented meets some of the criteria within the Debt Advice Quality Framework. There are minor concerns and /or inference has had to be made by the Assessor as some points are not fully demonstrated or evidenced. |
| Not Met | Does not meet any of the requirement. |

**Stage 4 – Decisions and Recommendations**

1. **Recommendations for Maintaining Accreditation**

Once the Assessor has verified that the criteria of the Quality Framework have been evidenced in full, a final report will be prepared. Subject to internal verification, a recommendation will be made to MaPS for accreditation to be awarded. A copy of the final report will be submitted to MaPS and to the applicant.

1. **Corrective Action (Partially Met/Not Met)**

Following reassessment, further refinements may be required to either the content of the Accredited Programme order to achieve award of accreditation. The interim report will detail areas of strength, in addition to suggestions for improvement, along with appropriate corrective actions required to maintain accreditation. There will be a maximum period of up to 90 days to make any required changes and resubmit the revised documentation for further assessment.

It is essential that any corrective actions identified are completed within the 90-day period as any resubmissions outside of the timeframes may be subject to full reassessment and a discretionary fee of up to £1500 + VAT may apply.

**Stage 5 – Renewal and Future Reassessments**

In the event of a major change or full reassessment, a new cycle of accreditation will begin. An updated certificate of accreditation will be sent and a further reassessment will not be required for a period of 3 years (subject to no further revisions being made).

In the event of a minor change, the cycle of accreditation will be unaffected and further reassessment will be required at the end of the current award period.

**Completing the Application Form**

The type of Application Form will depend on whether or not the Accredited Programme owner are applying for one of the following:

* An interim assessment with minor changes – Individual Framework Interim Assessment Application Form
* An interim assessment with significant changes that requires a full reaccreditation assessment – Initial and Full Reaccreditation Application Form
* The 3 year anniversary has been reached and full reaccreditation is required – Initial and Full Reaccreditation Application Form

The application form must contain sufficient depth of information, and should be supported by copies of learning content and materials to enable the assessment activity to commence. Any missing or incomplete documentation will result in a delay in processing your application.

The submitted application must include:

* The completed Application Form
* Completed summary of NOS changes
* Copies of all amended learning materials
* Current certificate of Professional Indemnity Insurance

The following guidance is intended to support with the completion of the Application Forms and will be required in more detail in the Initial and Full Reaccreditation Application Form:

|  |  |
| --- | --- |
| **Applicant Details** |  |
| **Applicant Details** | The application form requests basic details including address contact information and the identity of the main point of contact to deal with any queries. This individual should have sufficient knowledge and authority to be able to manage the assessment process and answer any queries from either RE or the appointed Assessor.  Please note, the implementation date refers to the date upon which any revisions to an Accredited Programme will commence use. For example, this may be a date on which revised learning material will be sent to printers or the date on which revised e-learning will be published online. Using the SLAs for reassessment, please work back from this date when considering when to submit applications for reassessment. |
| **Learning Programme/Qualification Overview** |  |
| Indicate the level of Accreditation | This is the level of accreditation currently held. This can be found on the current award certificate. |
| Overview of the Accredited Programme | Please provide an overview of the Accredited Programme, who it is aimed at, and a brief outline of content. |
| Summarise the changes made to the Accredited Programme | Please identify the reason for the changes e.g. legislation, refresh of content, restructure of learning, different delivery model etc… |
| Summarise the impact of changes made to the specific NOS requirements | Where possible, describe how the changes made to the Accredited Programme relate to the relevant NOS requirements. |
| **Reassessment Approach** | **Please summarise whether the changes made have impacted on the following:** |
| **Selection, Evaluation, Review and Quality Assurance of trainers:** | **Consider the following:**   * How you recruit and select trainers? * Are they employed / self employed? * How do you ensure they have the relevant qualifications/experience in their subject area? * How do you ensure trainers have the necessary practical skills/experience to present the course effectively? * How do you ensure that the trainers knowledge is up to date and current? * How are they quality assured and managed? * What are the minimum expectations of trainers? * How do they maintain their own Continuous Professional Development (CPD)? * How do you evaluate their performance? |
| **Learning Materials** | **Consider the following:**   * How is the training content reviewed to identify where changes are needed and how they should be implemented? * How frequently is content reviewed to ensure it remains current? * When is the next scheduled review date to review content? * Is there a central register or schedule for reviewing content review? * What reference materials do you use when updating materials? * Is the content up-to date and mapped across to the relevant NOS for the relevant debt activity type? * How do you keep on top of changes in legislation to ensure this feeds into training content? * Do you work to any other associated quality standards to quality assure both trainers and content? * How is the learning format reviewed to ensure it continues to be current? * What are the processes for updating content where NOS has been reviewed or amended? This should include what data is collected, from whom, with what frequency and how is it evaluated, showing how changes are made. * We may request copies of central records to evidence a regular review of materials and content. |
| **Feedback and Evaluation Procedures** | **Consider the following:**   * Applicants must have in place a system for evaluation by the delegate of the quality of each course. This should include: * A method of obtaining feedback from the delegate of whether the course(s) met the individual objectives and standards expected * An analysis of feedback received over each 12-month period, by course and by trainer * An example of the course evaluation form should be provided as part of the document submission. * What level of return do you receive and what is the ratio of satisfaction to attendance? * How do you follow up when receiving poor feedback / unhappy delegates? * What are your Appeals Procedures? * What are your Malpractice Procedures? * What are your Individual Plagiarism Policies? |
| **Delivery methods and administration of learning** | **Consider the following:**   * Learning materials, equipment and the learning environment that is sufficient and appropriate to enable achievement of the objectives / learning outcomes. * Administration support that is appropriate to deliver the training/qualifications. * Bookings system and delegate participation numbers. * How is the calendar of courses promoted and marketed? * Provision of advice for prospective delegates on the most appropriate course to meet their needs. * How are materials prepared – document control etc to ensure correct versions used? * Appropriate and effective record keeping including attendance, assessment and completion of programmes. * Database systems in operation e.g. if regulated by an awarding body, remote data input may be required * How attendance will be recorded so that you are able to respond to requests from individuals or other third party training providers who wish to validate prior learning? * How you will supply a form of evidence to an individual that has accessed your programme i.e. certificate or confirmation of attendance to enable them to evidence their learning. * Quality management systems in place. * Other quality standards held. * How equality of opportunity and inclusivity is promoted through delivery? * Any cancellation policies in operation. * We may request copies of attendance forms etc. linking to your administration procedures. |
| **How learning is assessed** | **Consider the following:**   * The arrangements and methods of assessment should be appropriate, clearly set out and easy to understand. * Systems used i.e. examination, completion of a project, assignments, multiple choice questionnaires. * How is the programme of learning reviewed to ensure it continues to be current? * How are learning assessments monitored and quality assured to ensure consistency between Assessors and over time? * What improvements have been identified and implemented as a result of the monitoring and review activity. * How is assessment criteria made available to individuals? * Results of individual assessments and development plans if appropriate. * How feedback is provided to individuals informing them of their progress towards achieving the objectives/learning outcomes, confirming whether or not they are achieving them. |
| **Pre Requisite entry approaches (relevant if pathway of learning)** | * Please supply procedures for verifying that an individual has completed accredited learning elsewhere. |
| **Please outline any further information that you feel would support your application** | * Unique terminology that we should be aware of. * Instructions to how materials should be accessed if held on internal intranet systems. |
| **Support documents to accompany your application** | Please ensure the application:   * Completed in full application form. * Summary of NOS changes are included. * All amended learning materials are included, and changes identified. * Provide current Professional Indemnity Insurance Certificate. |
| **Conditions of Accreditation Award** | Accreditation is awarded for a 3 year period and is subject to the conditions set out in the Individual Framework Post Accreditation Information Pack. |
| **Disclaimer** | Please ensure all the application is signed (electronically typed is acceptable) and dated |

C**onditions of Accreditation**

Accreditation is awarded for a 3-year period and is subject to the conditions set out in the Individual Framework Post Accreditation Information Pack.

**Data Protection**

Recognising Excellence is complying with current data protection legislation, the UK General Data Protection Regulation (GDPR) and the Data Protection Act 2018 or any codes of practices issued by the Information Commissioner from time to time.

For the purposes of this agreement to carry audits the Money and Pensions Service is the ‘Data Controller’ Recognising Excellence the ‘Data Processor’.

The legal basis for Recognising Excellence for processing data is that of “contractual obligation” as set out in Article 6 (1) (b) of the GDPR.

The Client will be made fully aware of its rights under GDPR by reference to MaPS’s Privacy Policy <https://www.moneyadviceservice.org.uk/en/corporate/privacy> and the Recognising Excellence’s Privacy Policy [[http://www.recognisingexcellence.co.uk](http://www.recognisingexcellence.co.uk/recognising-privacy-policy/)](http://www.recognisingexcellence.co.uk/recognising-privacy-policy/). Most commonly these are:

* All information gathered during the Audit shall be held as absolutely confidential however obtained or learned from the Client in pursuant to or in preparation of, or obtained or learned during the term of this agreement, whether relating to the Practice or to its business or to any of its officers, servants, agents, clients, suppliers, or subsidiaries or to the business of any of the foregoing persons or otherwise, and whether or not expressly designated confidential;
* Recognising Excellence shall not without the Client’s prior written consent use or permit or cause the same to be used save for the direct purpose of this agreement;
* Recognising Excellence shall not without the Client’s prior written consent disclose or permit or cause the same to be disclosed to any person other than to those of its full-time employees and/or its Auditors and Verifiers who need to be informed thereof to enable Recognising Excellence to perform its obligations.
* No case files or employee records will leave the organisation’s premises, except by GDPR compliant couriers and Recognising Excellence’s Auditor will destroy all notes/records on completion of the assessment process;
* Recognising Excellence on behalf of the Money and Pensions Service will securely retain any MaPS related audit information for 6 years from the date of creation, for the period it holds the MaPS license.

**Appendix 1**

**National Occupational Standards (NOS) Aligned to Money and Pensions Service Quality Framework for Individuals**

Debt activities, such as, support and advice work, are mapped to National Occupational Standards (NOS) in the grid below. These NOS are the minimum basis for training and / or qualifications content for these debt activities.

|  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- |
| Key |  |  |  |  |  |  |
| ■ Standards relevant to Initial contact | ■ Standards relevant to Casework / Specialist | | | |  |  |
| ■ Standards relevant to Support work | ■ Standards relevant to Court representation | | | |  |  |
| ■ Standards relevant to Advice work | ■ Standards relevant to Supervision | | |  |  |  |
| Debt Activity | Initial | Support | Advice | Casework/ | Court | Supervision |
| National Occupational Standards | contact | Work | work | Specialist | Representation |  |
|  |  |  |  |  |  |  |
| Support clients to make use of  advice and guidance service  [SFJGA2] | • | • | • | • | • | • |
|  |  |  |  |  |  |  |
| Provide information to clients  [SFJLA5] | • | • | • | • | • | • |
|  |  |  |  |  |  |  |
| Evaluate and develop own  practice [SFJAE2] | • | • | • | • | • | • |
|  |  |  |  |  |  |  |
| Develop and manage interviews with  clients [SFJGA6] |  | • | • | • | • | • |
|  |  |  |  |  |  |  |
| Enable advice and guidance clients to access referral  opportunities [SFJ GA4) |  | • |  |  |  |  |
|  |  |  |  |  |  |  |
| Provide and receive referrals on  behalf of clients [SFJGA5] |  |  | • | • | • | • |
|  |  |  |  |  |  |  |
| Enable clients to act on their own  behalf [SFJBF3] |  |  | • | • | • | • |
|  |  |  |  |  |  |  |
| First line money and debt legal  advice [SFJIB11] |  |  | • | • | • | • |
|  |  |  |  |  |  |  |
| Support clients to plan, implement  and review action [SFJBF1] |  |  | • | • | • | • |
|  |  |  |  |  |  |  |
| Negotiate on behalf of clients  [SFJGB9] |  |  | • | • | • | • |
|  |  |  |  |  |  |  |
| Provide specialist money and debt legal advice (SFJIB12) |  |  |  | • | • | • |
| Manage personal caseload [SFJHA5) |  |  |  | • | • | • |
| Provide continuing support to  clients [SFJBF2] |  |  |  | • | • | • |
| Manage legal advice cases [SFJIA2] |  |  |  |  |  |  |
|  |  |  | |  |  |  | | --- | --- | --- | | • | • | • | | |  |  |  | | --- | --- | --- | | • | • | • | | |  |  |  | | --- | --- | --- | | • | • | • | |
| Prepare cases for representation in  formal proceedings [SFJDA7] |  |  |  |  | • |  |
| Represent clients in formal  proceedings [SFJDA4] |  |  |  |  | • |  |
| Provide support for other  practitioners [SFJHD10] |  |  |  |  |  | • |
|  |  |  |  |  |  |  |