

**Managing Placements and Work-Based Learning: Audit Record**

**Version for courses where a requirement of entry to the course is for students to be in work, and their workplace is the setting for work-based learning**

1 This audit record has been designed to provide course leaders, Institutes, collaborative partners and the University with some assurance that the management of placement and work-based learning (WBL) activity which is integral to a programme of study meets national expectations of best practice in managing placements and work-based learning opportunities. It is based on the [UK Quality Code for Higher Education, Part B, Chapter B3 Learning and Teaching](http://www.qaa.ac.uk/Publications/InformationAndGuidance/Documents/B3.pdf), (QAA 2012) and [Chapter B10 Managing higher education provision with others](http://www.qaa.ac.uk/Publications/InformationAndGuidance/Pages/quality-code-B10.aspx) (QAA 2012), and takes account of the [UCEA/USHA Health and Safety Guidance for the placement of HE students](http://www.ucea.ac.uk/en/publications/index.cfm/HSplace) (2009).

2 It is important that the arrangements for assuring quality and standards of placement and work-based learning are as rigorous, secure and open to scrutiny as those for programmes provided wholly within the institution and through conventional class-based modes of teaching and learning. This audit is intended to support course teams, Institutes and the University in ensuring that due consideration has been given to the management of placements and WBL in course design, approval and periodic review and that appropriate arrangements are in place to manage the placement/WBL experience.

3 The University has a ‘[Policy on the Management of Placement and Work-based Learning](file:///C:\Users\cuts1\Documents\Collaborative%20-%20WBL\WBL%20Task%20and%20Finish%202015\Addtional%20Guidance%20and%20Placement%20Audit%20Forms%2016-17\WBPLAuditRecord%20Original%20DRAFT%20UPDATE%20Jan%202017.docx)’, which forms the reference point for this document. The policy recognises that placement and work-based learning can take many different forms, including differences in the relationship of the student to the workplace and employer. The policy provides the threshold requirements for defined categories of ‘placement’ ([see Policy - Annex 1](http://www.worc.ac.uk/aqu/documents/UW_Policy_for_Management_of_Placement_and_WBL.pdf)). Given the variation in arrangements and relationships it is not possible to define in which circumstances all aspects set out in this audit apply. It is for course teams, in conjunction with the Academic Quality Unit (AQU), to consider the applicability of the audit, and for Institutes and AQU officers through the course approval and periodic review processes to ensure discussion takes place in relation to the completed audit record.

4 In this document the term ‘placement’ has been used to cover any part of a course (whether mandatory or optional) where the student is required to spend time in the workplace (or similar) in order to undertake the learning, including where students are using their place of employment as the setting for WBL (unless otherwise specified). The nature of the learning activity, its purpose and the context in which it is undertaken, will mean that not all features of practice set out in the audit will always apply. If in doubt, please consult the Policy or seek further guidance from the AQU.

5 Central to the effective management of placements and work-based learning is the assessment of risk. The ‘[University Risk Assessment Form for Placement Learning](http://www.worc.ac.uk/aqu/documents/Appendix_1_-_University_Risk_Assessment_Form_for_Placement_Learning.docx)’ is intended to assist course teams with this. This is completed by University of Worcester (or collaborative partner) staff prior to approval of placements. In addition, the ‘[Placement Providers’ Health and Safety Questionnaire](http://www.worc.ac.uk/aqu/documents/Appendix_2-_Placement_Providers_Health_and_Safety_Questionnaire.docx)’ outlines the health and safety arrangements that must be confirmed by the placement provider prior to a student commencing a placement/work place experience. Students are expected to complete the ‘[Student Placement Conduct and Health and Safety Agreement](http://www.worc.ac.uk/aqu/documents/Appendix_3_-_Student_Placement_Conduct_and_Health_and_Safety_Agreement.docx)’ prior to undertaking placements. It is recommended that the course team considers the policy and associated documentation before completing this audit. There is scope to consider equivalency of partner documentation through the course approval process.

6 This audit record should be completed by the member of staff within the course team responsible for the placement or work-based learning experience (often one or more modules). Each section concludes with a further information/comments/hyperlinks box. This can be used to provide hyperlinks to the documents (e.g. course, student, employer/placement provider or mentor documentation) and/or to explain aspects of the response if this is thought necessary.

7 The record is intended to be both an assurance and enhancement tool. There may be instances where some development or review work is necessary. This should be identified on the audit record and the timeline for completion of the development work and how this will be monitored added in the further information boxes.

8 It is intended that each course, where there is placement or work-based learning experience of some kind, will maintain the audit record. It will be considered as part of course approval, periodic review and re-approval and where new placement/WBL modules are approved through Institute Quality Committees. Completion of the audit record and actions taken related to areas for development will be confirmed through the Course Annual Evaluation Report.

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| **Date Approved** | 12th July 2012 (Version 1.1a) |
| **Approval Authority** | Academic Board |
| **Author of Original Document** | Director of Quality and Educational Development (2012) |
| **Date of Commencement** | July 2012 |
| **Amendment Dates** | See Revision History below |
| **Date for Next Review** | 2016/17 |
| **Related Policies, Procedures, Guidance, Forms or Templates** | 1. [Policy on the Management of Placement and Work-based Learning](file:///C:\Users\cuts1\Documents\Collaborative%20-%20WBL\WBL%20Task%20and%20Finish%202015\Addtional%20Guidance%20and%20Placement%20Audit%20Forms%2016-17\WBPLAuditRecord%20Original%20DRAFT%20UPDATE%20Jan%202017.docx) (approved July 2016) 2. [University Risk Assessment Form for Placement Learning](http://reddot.worc.ac.uk/CMS/ImageCache/893429EE4B4C461DB767C73B2B0C58C5/81C9C840A208432AA583B2FBEB07A0B8/AP/Appendix_1_-_University_Risk_Assessment_Form_for_Placement_Learning.docx) (Appendix 1) 3. [Placement Providers' Health and Safety Questionnaire](http://reddot.worc.ac.uk/CMS/ImageCache/893429EE4B4C461DB767C73B2B0C58C5/81C9C840A208432AA583B2FBEB07A0B8/AP/Appendix_2-_Placement_Providers_Health_and_Safety_Questionnaire.docx) (Appendix 2) 4. [Student Placement Conduct and Health and Safety Agreement](http://reddot.worc.ac.uk/CMS/ImageCache/893429EE4B4C461DB767C73B2B0C58C5/81C9C840A208432AA583B2FBEB07A0B8/AP/Appendix_3_-_Student_Placement_Conduct_and_Health_and_Safety_Agreement.docx) (Appendix 3) 5. Guidance for staff in managing [Work placements for disabled students](http://www.worc.ac.uk/adpu/documents/Accessible_high_quality_placements_and_wbl_brochure_final_Sept_2011.pdf) |
| **Policy/Policies/Procedures Superseded by this document** | Managing Work-Based Learning and Placements: Audit Record (2012) WBL version 13.5.13 |

**Revision History**

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| **Committee** | **Date** | **Change** |
| - | 10th July 2017 | Reviewed by Head of Collaborative Programmes and updated to reflect new ‘Management of Placement and WBL Policy’ (approved July 2016) |
| - | 8th November 2013 | Para 1 weblinks updated |
| - | 8th November 2013 | Para 2 updated to reflect updated QAA UK Quality Code |



**Managing Placements and Work-Based Learning: Audit Record**

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|  | Module code(s) - if relevant | Credits and/or hours |
| Mandatory WBL/placement(s) |  |  |
| Optional WBL/placement(s) |  |  |
| Other (please give detail) |  |  |
| Brief description of purpose and nature of work-based learning |  | |

**Key for tick boxes below: Y = Yes, N = No, N/A = Not Applicable, F/D = For Development**

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| **1** | **Programme design: Learning Outcomes** | **Y**✓ | **N**✓ | **N/A**✓ | **F/D**✓ |
| 1.1 | Do the aims and overall learning outcomes of the programme make reference to work-based learning? |  |  |  |  |
| 1.2 | Have learning outcomes been benchmarked to: | | | | |
| * FHEQ? |  |  |  |  |
| * FD Characteristic and/or Subject Benchmark statements? |  |  |  |  |
| * National Occupational Standards? |  |  |  |  |
| * professional and statutory regulatory body (PSRB) requirements? |  |  |  |  |
| * other (please specify)? |  |  |  |  |
| 1.3 | Is there a process for approving any student negotiated learning outcomes to ensure these are appropriate? |  |  |  |  |
| 1.4 | Is there a process for ensuring the student and the employer/mentor understand the WBL learning outcomes (eg through a learning contract or agreement)? |  |  |  |  |
| Further information/comments/hyperlinks/actions | | | | | |

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| **2** | **Programme design: Assessment** | **Y**✓ | **N**✓ | **N/A**✓ | **F/D**✓ |
| 2.1 | How is WBL assessed: | | | | |
| * specific practice standards/competencies must be demonstrated? |  |  |  |  |
| * + portfolio of competence and associated evidence of learning? |  |  |  |  |
| * + reflective portfolio of learning through work? |  |  |  |  |
| * + WBL project? |  |  |  |  |
| * + other (please specify)? |  |  |  |  |
| 2.2 | Is the employer or WBL mentor involved in the assessment of WBL ? |  |  |  |  |
| 2.3 | If yes, indicate how this works: | | | | |
| * provides informal/developmental feedback on student competence and achievement in the work-place |  |  |  |  |
| * formally assesses student competence on pass/fail basis |  |  |  |  |
| * formally assesses student competence and grades achievement |  |  |  |  |
| * contributes to the grading of student’s work in conjunction with academic staff |  |  |  |  |
| * other (please specify). |  |  |  |  |
| 2.4 | Where an employer/WBL mentor is formally involved in the assessment process, are there arrangements in place for: | | | | |
| * briefing for their role in assessment? |  |  |  |  |
| * moderation? |  |  |  |  |
|  | * recording outcomes? |  |  |  |  |
| 2.5 | Is the external examiner involved in moderating the standards of WBL outcomes? |  |  |  |  |
| 2.6 | If yes, please indicate if: | | | | |
| * role of the external examiner(s) in moderating standards of WBL outcomes is articulated in course documentation |  |  |  |  |
| * arrangements are in place to communicate to the external examiner(s) their role in moderating standards of WBL outcomes |  |  |  |  |
| Further information/comments/hyperlinks | | | | | |

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| **3** | **Programme design: Information** | **Y**✓ | **N**✓ | **N/A**✓ | **F/D**✓ |
| 3.1 | Is there a specific handbook/guide for students setting out processes/procedures and associated information about the WBL? |  |  |  |  |
| 3.2 | Is there a specific handbook/guide or equivalent for WBL providers (usually employers or equivalent) setting out processes/procedures and associated information about the WBL (including role in assessment if applicable)? |  |  |  |  |
| 3.3 | Is there a specific handbook/guide or equivalent for WBL mentors (or equivalent) setting out processes/procedures and associated information about the WBL (including role in assessment if applicable)? |  |  |  |  |
| 3.4 | Is the placement/WBL tutor aware of and prepared for their responsibilities with regards to risk assessments, and to health and safety and equalities legislation and how this relates to students using their work environment for WBL? |  |  |  |  |
| Further information/comments/hyperlinks | | | | | |

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| **4** | **Procedures : Securing WBL experience** | **Y**✓ | **N**✓ | **N/A**✓ | **F/D**✓ |
| **4.0** | **Must students be in work in order to enter the course?** |  |  |  |  |
| If the answer to the above question is ‘Yes’ then questions 4.1 – 4.6 only apply where students who are not in work are also admitted to the course but are required to be in a work placement(s) to fulfil the requirements of the course. Questions 4.1 – 4.6 would also apply if a student loses their employment and is subsequently required to undertake a placement in order to complete the course. | | | | | |
| 4.1 | Is the student responsible for securing the placement? |  |  |  |  |
| 4.2 | Are students given support in identifying possible employers/companies providing appropriate WBL experiences/placements? |  |  |  |  |
| 4.3 | Do students receive a timely formal briefing about the placement process? |  |  |  |  |
| 4.4 | If applicable to securing placements, are students offered help in completing application forms, producing CVs and preparing for interviews? |  |  |  |  |
| 4.5 | Are students made aware of their responsibilities prior to commencing a period of placement, including: | | | | |
| * as representatives of the University and, where appropriate, the partner institution towards the placement provider and its customers/clients/patients and employees? |  |  |  |  |
| * in relation to health and safety and related risks, including in relation to themselves for managing their learning and professional relationships? |  |  |  |  |
| * for appropriate understanding and awareness of ethical and health and safety issues? |  |  |  |  |
| * for recording their progress and achievements? |  |  |  |  |
| * for alerting the placement provider and University to problems with the placement that might prevent the progress or satisfactory completion of the placement? |  |  |  |  |
| * in relation to whistleblowing and/or raising concerns or complaints about specific matters of concern whilst in placement? |  |  |  |  |
|  | * the requirement to sign the [Student Placement Conduct and Health and Safety Agreement](file:///C:\Users\cuts1\Downloads\Appendix_3_-_Student_Placement_Conduct_and_Health_and_Safety_Agreement.docx) |  |  |  |  |
| 4.6 | Are students made aware of their rights concerning a period of a placement, including their rights to: | | | | |
| * a safe working environment? |  |  |  |  |
| * be treated in accordance with equalities legislation? |  |  |  |  |
| Further information/comments/hyperlinks | | | | | |

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| **5** | **Procedures: Placement Approval** (see [Management of Placement and WBL Policy – Annex 1 ‘Categories of Placement](http://www.worc.ac.uk/aqu/documents/UW_Policy_for_Management_of_Placement_and_WBL.pdf)’ and [Placement Approval Checklist](http://www.worc.ac.uk/aqu/documents/Placement_Approval_Checklist.docx)) | **Y**✓ | **N**✓ | **N/A**✓ | **F/D**✓ |
| **Questions 5.1 – 5.3 relate specifically to placements; 5.4 – 5.9 relate to all WBL experiences** | | | | | |
| 5.1 | Is there a clear written procedure for approving placements? |  |  |  |  |
| 5.2 | Does this involve a risk assessment undertaken and recorded by the placement coordinator/tutor? |  |  |  |  |
| 5.3 | Is evidence relating to Employer and Public Liability Insurance required, recorded and the record kept up-to-date for each placement provider? |  |  |  |  |
| 5.4 | Where satisfactory DBS is required, is there an effective process in place for monitoring and recording DBS status before the student goes on placement (and by the employer if the student is employed in the WBL environment)? |  |  |  |  |
| 5.5 | Are students required to be ‘supernumerary’ for any aspect of WBL experience during the course? |  |  |  |  |
| If Yes, are the arrangements clearly outlined to students and employers prior to, on commencing and during the course? |  |  |  |  |
| 5.6 | Is there a written agreement specifying the responsibilities of each of the parties during the period of WBL and/or placement: | | | | |
| 1. the HE institution? |  |  |  |  |
| 1. the student? |  |  |  |  |
| 1. the placement/WBL company? |  |  |  |  |
| 1. the placement/WBL mentor? |  |  |  |  |
| 5.7 | Is this agreement signed by each party? |  |  |  |  |
| 5.8 | Is there a named contact/supervisor responsible for the student in the workplace? |  |  |  |  |
| Further information/comments/hyperlinks | | | | | |

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| **6** | **WBL Support** | | **Y**✓ | | **N**✓ | | **N/A**✓ | | **F/D**✓ | |
| 6.1 | Is there a named, suitably prepared or experienced, and approved University (or partner) WBL tutor responsible for the students? | |  | |  | |  | |  | |
| 6.2 | Is there clear written information for WBL providers (normally employers or equivalent) on their responsibilities and role? | |  | |  | |  | |  | |
| 6.3 | Is there clear written communication for the employer/WBL mentor/supervisor or similar covering the following: | | | | | | | | | |
| * learning outcomes for the WBL and programme? | |  | |  | |  | |  | |
| * roles and responsibilities of the student, the University and the employer/WBL provider? | |  | |  | |  | |  | |
| * contact details for the WBL tutor/WBL or placement office? | |  | |  | |  | |  | |
| * guidance on the expectations, responsibilities etc of the WBL supervisor/mentor? | |  | |  | |  | |  | |
| * details of policy and procedures relating to how students and WBL providers should raise concerns and/or complaints? | |  | |  | |  | |  | |
| * details of how student progress will be monitored, assessed and recorded? | |  | |  | |  | |  | |
| * the procedures for reporting information about student progress, and for providing feedback on the WBL process? | |  | |  | |  | |  | |
| * clear information about the action to take if they are no longer able to offer WBL learning opportunities? | |  | |  | |  | |  | |
| 6.4 | Is there an ongoing process to monitor progress in the WBL experience and to monitor the student experience? | |  | |  | |  | |  | |
| 6.5 | Is this clearly communicated to the student and to the employer/WBL mentor? | |  | |  | |  | |  | |
| 6.6 | Are all parties provided with advice and guidance on what to do if there are concerns about the WBL experience and/or the progress of the student? | |  | |  | |  | |  | |
| 6.7 | Are there processes in place for the student to reflect on the WBL when it has been completed and to evaluate the WBL experience? | |  | |  | |  | |  | |
| Further information/comments/hyperlinks | | | | | | | | | | |
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| **7** | | **Monitoring and Review** | | **Y**✓ | | **N**✓ | | **N/A**✓ | | **F/D**✓ | |
| 7.1 | | Is feedback collected from students on the WBL processes and procedures, and on the WBL experience and the support provided by the WBL provider/employer and mentor? | |  | |  | |  | |  | |
| 7.2 | | If so, is this done through: | | | | | | | | | |
| * module evaluation? | |  | |  | |  | |  | |
| * feedback questionnaires? | |  | |  | |  | |  | |
| * focus groups? | |  | |  | |  | |  | |
| * other (please specify)? | |  | |  | |  | |  | |
| 7.3 | | Is the feedback used to monitor the quality of the WBL providers and the experiences offered to students? | |  | |  | |  | |  | |
| 7.4 | | Is the feedback used to identify enhancement opportunities in relation to process, support, etc? | |  | |  | |  | |  | |
| 7.5 | | Is feedback collected from the WBL supervisors/mentors or equivalent on the WBL arrangements and support provided by the University or partner? | |  | |  | |  | |  | |
| 7.6 | | If so, is this done through: | | | | | | | | | |
| * feedback questionnaires? | |  | |  | |  | |  | |
| * annual briefing/review events/meetings? | |  | |  | |  | |  | |
| * other (please specify)? | |  | |  | |  | |  | |
| 7.7 | | Do WBL supervisors/mentors or equivalent receive information on the results of the feedback (from themselves as a group, and also from students), with any developments for improvement identified? | |  | |  | |  | |  | |
| 7.8 | | Is feedback collected from the placement provider/employer or equivalent? | |  | |  | |  | |  | |
| 7.9 | | If so, is this done through: | | | | | | | | | |
| * feedback questionnaires? | |  | |  | |  | |  | |
| * liaison meetings? | |  | |  | |  | |  | |
| * other (please specify)? | |  | |  | |  | |  | |
| 7.10 | | Do employers receive information on the results of feedback? | |  | |  | |  | |  | |
| 7.11 | | Does the AER make specific reference to evaluation of the WBL experience? | |  | |  | |  | |  | |
| 7.12 | | Does the WBL tutor/co-ordinator make regular use of external quality reports (eg from Care Quality Commission or Ofsted) in relation to WBL providers? | |  | |  | |  | |  | |
| Further information/comments/hyperlinks | | | | | | | | | | | |

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| **Areas for development** | | |
| **Action** | **By whom** | **By when** |
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| **Name of person completing audit:** |  |
| **Date of completion of audit:** |  |
| **Signature of course leader:** |  |