



# QUALIFI

SUCCESS THROUGH LEARNING  
RECOGNISED WORLDWIDE

Level 4 Award in Understanding the  
Principles and Practices of Internally  
Assuring the Quality of Assessment

Level 4 Award in the Internal Quality  
Assurance of Assessment Processes and  
Practice

Specification (For Centres)

October 2020

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## About QUALIFI

QUALIFI provides academic and vocational qualifications that are globally recognised. QUALIFI's commitment to the creation and awarding of respected qualifications has a rigorous focus on high standards and consistency, beginning with recognition as an Awarding Organisation (AO) in the UK. QUALIFI is approved and regulated by Ofqual (in full). Our Ofqual reference number is RN5160. Ofqual is responsible for maintaining standards and confidence in a wide range of vocational qualifications.

As an Ofqual recognised Awarding Organisation, QUALIFI has a duty of care to implement quality assurance processes. This is to ensure that centres approved for the delivery and assessment of QUALIFI's qualifications and awards meet the required standards. This also safeguards the outcome of assessments and meets national regulatory requirements.

QUALIFI's qualifications are developed to be accessible to all learners in that they are available to anyone who is capable of attaining the required standard. QUALIFI promotes equality and diversity across aspects of the qualification process and centres are required to implement the same standards of equal opportunities and ensure learners are free from any barriers that may restrict access and progression.

QUALIFI's policy document for learners with specific requirements or who need special consideration is available for centre reference. Centres are responsible for reviewing the applicant's ability to complete the training programme successfully and ultimately achieve a qualification. The initial assessment by the centre will need to take into account the support that is readily available or can be made available to meet individual needs as appropriate. The centre must also consider prior learning and qualifications and they must be in a position to make a judgement on the learner's entry requirements.

### Supporting Diversity

QUALIFI and its partners recognise and value individual difference and have a public duty to promote equality and remove discrimination in relation to race, gender, disability, religion or belief, sexual orientation and age.

### Learner Voice

Learners can play an important part in improving the quality of this course through the feedback they give. In addition to the ongoing discussion with the course team throughout the year, there are a range of mechanisms for learners to feed back about their experience of teaching and learning. This can include questionnaires and surveys to allow both centres and QUALIFI to understand how we can improve the learner experience.

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# 1 Introduction

## 1.1 Why Choose QUALIFI Qualifications?

QUALIFI qualifications look to provide a realistic and broad opportunity for learners seeking career and professional development. They will support learners in realising their potential and provide clear objectives.

These objectives are to:

- provide career path support to learners who wish to develop their management skills, enterprise capabilities and opportunities in their chosen sector
- improve learner understanding of any given business environments and organisations and how they are managed and developed
- develop skills and abilities in learners to support their professional development.

Our qualifications provide a rich mix of disciplines and skills development opportunities. Learners will gain insight into the functioning, objectives and processes of organisations, appreciating their diversity and the influences and the impact of external forces on them. The fast-changing and complex business environment and different organisational abilities to stay resilient and respond positively to change and opportunities will be explored.

Our qualifications will develop learner ability to:

- apply analytical and evaluative techniques and to enhance those skills
- investigate issues and opportunities
- develop their awareness and appreciation of managerial, organisational and environmental issues
- use management techniques and practices in imaginative ways
- make use of relevant information from different sources
- develop and encourage problem-solving and creativity to tackle problems and challenges
- exercise judgement and take responsibility for decisions and actions
- develop the ability to recognise and reflect on personal learning and improve their personal, social and other transferable skills.

## 1.2 Employer Support for the Qualification Development

The development of these qualifications have been initiated and guided by discussions and ideas-sharing with a range of employers, providers and existing centres thus demonstrating the rigour, validity and demand for the qualifications.

Discussions have been held and feedback used throughout the development of these qualifications on their content, the potential learner audience for the qualification and its assessment methods, ensuring that a valuable experience and a recognised set of skills, knowledge and understanding is realised.

### **1.3 Qualification Titles and Codes**

These qualifications have been accredited to the Regulated Qualification Framework (RQF) and have their own unique Qualification Accreditation Number (QAN). This number will appear on the learner's final certification document. Each unit with the qualification has its own RQF code. The QAN for these qualifications are:

Qualifi Level 4 Award in Understanding the Principles and Practices of Internally Assuring the Quality of Assessment 603/6792/1

Qualifi Level 4 Award in the Internal Quality Assurance of Assessment Processes and Practice 603/5651/0

### **1.4 Awarding Organisation**

QUALIFI LTD

## **2 Qualification Purpose, Rational, Aims Outcomes**

### **2.1 Qualification Purpose**

The purpose of these qualifications are to confirm competence and expertise of professionals who maintain and improve the quality of assessment from within an organisation or assessment centre.

The Level 4 Award in Understanding the Principles and Practices of Internally Assuring the Quality of Assessment is a theoretical qualification intended for those who wish to gain an understanding of the principles and practices of external quality assurance without any requirement to practice.

The Qualifi 4 Award in the Internal Quality Assurance of Assessment Processes and Practice is a practical-based qualification intended for those who maintain the quality of assessment from within an organisation or assessment centre.

### **2.2 Rationale for the Awards**

The rationale of the Awards is to provide recognition for those who wish to develop their own abilities in the maintaining and improving the quality of assessment in a regulated environment. It is envisaged that all Qualifi centres will enable learners to further their knowledge of quality assurance to provide consistent, standardised assessment reports and appropriate feedback to learners.

The qualification will enable learners to become independent, self-directed learners with the tools and motivation necessary to continue learning, developing and reflecting on practice throughout their careers.

## 2.3 Overall Aims of the Awards

The Awards provide the opportunity for individuals to develop and extend the knowledge and understanding they already have and apply this in another vocational area. The Award aims for the learner to be able to:

- assess knowledge and understanding of the principles and practices that underpin the internal quality assurance of assessment;
- assess the trainee IQA's performance in assuring the quality of assessment from within an organisation or assessment centre.

## 2.4 Learning Outcomes

The overall learning outcomes of these Awards are for learners to be able to:

- understand the principles and practices of internally assuring the quality of assessment;
- assure the quality of assessment internally.

These are the overall learning outcomes in line with a level 4 qualification. The learning outcomes for each of the units are identified in Appendix 1 within the descriptors.

# 3. Delivering the Qualifications

## 3.1 Quality Assurance Arrangements

All centres go through an approval process to be recognised as an approved centre. Centres must have in place qualified and experienced tutors. The experience of tutors and their ability to support learners will be important. Centres must commit to working with QUALIFI and its team of Quality Reviewers/External Verifiers. Continuing Professional Development (CPD) for tutors is also required.

Approved centres will be monitored by QUALIFI External Quality Reviewers (EQAs) to ensure that learners are provided with appropriate learning opportunities and guidance. EQAs will ask to see and discuss a centre's formative assessment plans. The suitability of these plans will be agreed with the centre.

QUALIFI's guidance on invigilation, preventing plagiarism and collusion will apply to centres. QUALIFI Quality Reviewers/External Verifiers will monitor centre compliance. For assessment purposes, unless otherwise agreed, QUALIFI:

- appoints assignment setters, markers and moderators;
- sets and agrees assignments;
- marks and moderates assignments;
- agrees the final mark and issues certificates.

## **3.2 Access to Study**

All learners should be invited to an induction event to be introduced to the programme in detail through presentations and discussions with tutors and the centre support team.

All learners should be issued with the Award handbook, a timetable and meet their personal tutor and fellow learners. Centres should assess learners carefully to ensure that they take the right qualification and the right pathways or optional units, to allow them to progress to the next stage.

Centres should check the qualification structures and unit combinations carefully when advising learners. Centres will need to ensure that learners have access to a full range of information, advice and guidance in order to support them in making the necessary qualification and unit choices.

When learners are recruited, centres need to give them accurate information on the title and focus of the qualification for which they are studying.

All learners must be registered with QUALIFI within 30 days of centre registration.

## **3.3 Entry Criteria**

These qualifications are designed for learners aged 19 and above. There are no specific recommended prior learning requirements for these qualifications.

However, learners may find it helpful if they have already achieved a Level 3 qualification. Centres are responsible for ensuring that the qualifications are appropriate for the age and ability of learners.

In certain circumstances, individuals with considerable experience but no formal qualifications may be considered, subject to interview and being able to demonstrate their ability to cope with the demands of the programme.

# **4 Structure of the Qualifications**

## **4.1 Units, Credits and Total Qualification Time (TQT)**

The Qualifi Level 4 Award in Understanding the Principles and Practices of Internally Assuring the Quality of Assessment is a Level 4 qualification containing 1 credit-bearing units with a total of 6 credits.

The Qualifi Level 4 Award in the Internal Quality Assurance of Assessment Processes and Practice is a Level 4 qualification containing 2 credit-bearing units with a total of 12 credits.

The units have been designed from a learning time perspective and are expressed in terms of Total Qualification Time (TQT). TQT is an estimate of the total amount of time that could reasonably be expected to be required for a learner to achieve and demonstrate the achievement of the level of attainment necessary for the award of a Qualification. TQT includes undertaking each of the activities of Guided Learning, Directed Learning and Invigilated Assessment.

Examples of activities which can contribute to Total Qualification Time include:

- guided learning;
- independent and unsupervised research/learning;
- unsupervised compilation of a portfolio of work experience;
- unsupervised e-learning;
- unsupervised e-assessment;
- unsupervised coursework;
- watching a pre-recorded podcast or webinar;
- unsupervised work-based learning.

Guided Learning Hours (GLH) are defined as the time when a tutor is present to give specific guidance towards the learning aim being studied on a programme. This definition includes lectures, tutorials and supervised study in, for example, open learning centres and learning workshops. Guided Learning includes any supervised assessment activity; this includes invigilated examination and observed assessment and observed work-based practice.

Some examples of activities which can contribute to Guided Learning include:

- classroom-based learning supervised by a tutor;
- work-based learning supervised by a tutor;
- live webinar or telephone tutorial with a tutor in real time;
- e-learning supervised by a tutor in real time;
- all forms of assessment which take place under the immediate guidance or supervision of a tutor or other appropriate provider of education or training, including where the assessment is competence-based and may be turned into a learning opportunity.

## 4.2 Qualification Structures

### Qualifi Level 4 Award in Understanding the Principles and Practices of Internally Assuring the Quality of Assessment

Unit Reference	Mandatory Units	Level	TQT	Credits	GLH
A/618/0284	Understanding the Principles and Practices of Internally Assuring the Quality of Assessment	4	60	6	45



## Qualifi Level 4 Award in the Internal Quality Assurance of Assessment Processes and Practice

Unit Reference	Mandatory Units	Level	TQT	Credits	GLH
A/618/0284	Understanding the Principles and Practices of Internally Assuring the Quality of Assessment	4	60	6	45
F/618/0285	Internally Assure the Quality of Assessment	4	60	6	45

### 4.3 Progression and Links to other QUALIFI Programmes

Learners completing the **Qualifi Level 4 Awards** can progress to:

- a Qualifi Level 4 or 5 qualification;
- directly into employment in an associated profession.

### 4.4 Recognition of Prior Learning

Recognition of Prior Learning (RPL) is a method of assessment (leading to the award of credit) that considers whether learners can demonstrate that they can meet the assessment requirements for a unit through knowledge, understanding or skills they already possess, and so do not need to develop through a course of learning.

QUALIFI encourages centres to recognise learners' previous achievements and experiences whether at work, home or at leisure, as well as in the classroom. RPL provides a route for the recognition of the achievements resulting from continuous learning. RPL enables recognition of achievement from a range of activities using any valid assessment methodology. Provided that the assessment requirements of a given unit or qualification have been met, the use of RPL is acceptable for accrediting a unit, units or a whole qualification.

Evidence of learning must be valid and reliable. For full guidance on RPL please refer to QUALIFI's policy document on RPL.

## 5 Guidance to Teaching and Learning

To ensure consistency and quality of delivery amongst centres, QUALIFI has outlined a number of policies and procedures required to ensure the very best standards are available to learners. These include:

- expertise of staff;
- learning and teaching methods;
- study skills;
- learning resources;
- personal development planning;
- career opportunities.

The policies and procedures are available on request to all accredited centres or to those wishing to apply for accreditation to deliver QUALIFI qualifications.

## 6 Learner Support

Centres should continue to support learners and encourage appropriate behaviour. To ensure consistency and quality of delivery amongst centres, QUALIFI has outlined a number of policies and procedures to ensure the very best standards are available to learners. These include:

- learners with disabilities;
- health and safety;
- conduct;
- progression;
- weekly timetable/attendance requirements.

The policies and procedures are available on request to all accredited centres or to those wishing to apply for accreditation to deliver QUALIFI qualifications.

### 6.1 Data Protection

All personal information obtained from learners and other sources in connection with studies will be held securely and will be used during the course and after they leave the course for a variety of purposes. These should be all explained during the enrolment process at the commencement of learner studies. If learners or centres would like a more detailed explanation of the partner and QUALIFI policies on the use and disclosure of personal information, please contact QUALIFI via email [support@QUALIFI-international.com](mailto:support@QUALIFI-international.com)

## 7. Assessment

These qualifications are vocational as they can support a learner's career progression. To meet QUALIFI's aim to provide an appropriate assessment method each unit will be assessed through tasks that will be written in a way to make them realistic work-related tasks wherever possible. Learners will need to demonstrate the knowledge, and critical understanding of theories to practise, which reveal original thought and demonstrates problem-solving skills. Recommendations on actions will also be asked for from learners where appropriate for the unit. Intellectual rigour will be expected appropriate to the level of the qualification.

Assignments will contain a question strand for each of the given unit's learning outcomes. The assignment tasks will address the LO (learning outcome) and AC (assessment criteria) requirements. Within assignments there will always be requirements for learners to engage with important and relevant theory that underpins the subject area.

The assignment questions will require learners to draw on real organisations to illustrate their answers. To support this activity during the programme of learning, centres are required to make sure that they include case studies of relevant organisations and, wherever possible, facilitate in-company opportunities for learners to undertake research and investigation projects and/or support the organisation with various tasks. Mature and part-time learners will ideally be able to draw on their personal work experience too.

Sample assessments and marking scheme are available on request as part of the Qualification Specification supplied to centres.

QUALIFI has an assessment policy and procedure documents that are available to all centres delivering this qualification. QUALIFI's 'Handbook on Guidance and Requirements for Assessment and Marking' covers the following:

- assessment strategy;
- assessment arrangements for learners with a disability;
- verification;
- marking scheme/pass mark;
- deferral after valid mitigating circumstances;
- referral after failure;
- dealing with difficulties in meeting assessment deadlines;
- late submissions;
- assessment boards/ appeals;
- cheating and plagiarism/referencing;
- confidential material;
- submission.

For further information, please contact Qualifi.

## 8. Course Regulations

### 8.1 Course Requirements

Learners must complete all units and pass the appropriate mark to receive the full Award.

QUALIFI will issue certificates to all successful learners through the registered centres.

## 8.2 Classification of Awards

All qualifications are pass/fail.

Decisions about the overall classification of awards are made by QUALIFI through the application of the academic and relevant course regulations. It is based on the Average Percentage Mark (APM) or, at the discretion of QUALIFI, on the basis of your overall profile and performance subject to the minimum requirements.

## 8.3. Learner Voice

Learners can play an important part in improving the quality of this course through the feedback they give. In addition to the ongoing discussion with the course team throughout the year, there is a range of mechanisms for learners to feed back about their experience of teaching and learning.

## 8.4 Complaints

QUALIFI recognises that there may be occasions when learners and centres have cause for complaint about the service received. When this happens, the complaints procedure is intended to provide an accessible, fair and straightforward system that ensures as an effective, prompt and appropriate response as possible.

For more information on our formal complaints procedure please contact in the first instance or email: [support@QUALIFI-international.com](mailto:support@QUALIFI-international.com)

## 9 Equality and Diversity

QUALIFI recognises that discrimination and victimisation are unacceptable and that it is in the interests of QUALIFI employees to utilise the skills of the total workforce. It is our aim to ensure that no employee or other representative of QUALIFI receives less favourable facilities or treatment (either directly or indirectly) in recruitment or employment on grounds of age, disability, gender/gender reassignment, marriage/civil partnership, pregnancy/maternity, race, religion or belief, sex, or sexual orientation (protected characteristics). Our aim is that our workforce will be truly representative of all sections of society and each employee feels respected and able to give their best. We oppose all forms of unlawful and unfair discrimination or victimisation. To that end the purpose of this policy is to provide equality and fairness for all. Our staff will not discriminate directly or indirectly, or harass customers or clients because of age, disability, gender reassignment, pregnancy and maternity, race, religion or belief, sex, and sexual orientation in the provision of QUALIFI's goods or services.

This policy and the associated arrangements shall operate in accordance with statutory requirements, particularly the Equality Act 2010 <https://www.gov.uk/equality-act-2010-guidance>. In addition, full account will be taken of any guidance or codes of practice issued by the Equality and Human Rights Commission, any government departments, and any other statutory bodies.

The policy document will be monitored and reviewed annually and can be downloaded from our website or by making contact with QUALIFI.

## 10. Further Professional Development and Training

QUALIFI supports UK and international customers with training related to our qualifications. This support is available through a choice of training options offered through publications or through customised training at your centre.

The support we offer focuses on a range of issues including:

- planning for the delivery of a new programme;
- planning for assessment and grading;
- developing effective assignments;
- building your team and teamwork skills;
- developing learner-centred learning and teaching approaches;
- building in effective and efficient quality assurance systems.

You can request customised training through your registered centre in the first instance. If you need to contact QUALIFI directly:

Our customer service number: +44 (0) 1158882323

Or email: [support@QUALIFI-international.com](mailto:support@QUALIFI-international.com)

Website: [www.QUALIFI.net](http://www.QUALIFI.net) [www.QUALIFI-international.com](http://www.QUALIFI-international.com)

## Appendix 1: Unit Descriptors

### Qualifi Level 4 Award in Understanding the Principles and Practices of Internally Assuring the Quality of Assessment

#### Unit 1: Understanding the Principles and Practices of Internally Assuring the Quality of Assessment

Unit code: A/618/0284

RQF level: 4

#### Unit Aim

The aim of this unit is to develop the learner's knowledge and understanding that underpins the internal quality assurance of assessment.

#### Learning Outcomes, Assessment Criteria and Indicative Content

<b>Learning Outcome</b> To achieve this unit a learner must:	<b>Assessment Criteria (Practical/Knowledge)</b> Assessment of these outcomes demonstrates the learner can:	<b>Indicative Content</b>
1. Understand the context and principles of internal quality assurance.	1.1 Explain the functions of internal quality assurance in learning and development.	How to meet awarding organisation, regulatory requirements and National Occupational Standards, ensuring quality in all learning delivery and assessment, assess achievement, advise on progression and development, maintain consistent practices, standardisation and consistency of assessment processes, paperwork, occupational practice, collaboration/agreement of decisions, identify good practice, assess and manage risk, provide guidance/support for assessors, identify assessor development needs, ensuring the continuing professional development of assessors, provide regulatory/awarding organisation directives and updates, provide constructive feedback that recognises improvement opportunities, action planning, recommendations for quality assurance.
	1.2 Explain the key concepts and principles of the internal quality assurance of assessment.	Planning internal verification, sampling strategies, rational for sampling, timing, incomplete unit/ qualification, complete unit/qualification, quality assurance

		<p>processes, methods of assessment including observation of performance, written evidence (i.e. projects, assignments, independent papers and journals), questioning, discussion with learner, witness testimony, and recognition of prior learning, standardisation of internal assurance such as remote sampling, use of technology, work-based assessment, opportunities for quality improvement via development plans, continuing professional development, supporting and developing assessors, requirements of the external verification process.</p>
	<p>1.3 Explain the roles of practitioners involved in the internal and external quality assurance process.</p>	<p>Assessors, trainers, expert witness, internal verifiers, mentors and peers; assessor role to plan, evaluate, deliver, judge, document and communicate assessment decisions, internal verifier role to allocate, plan, monitor, review, validate or adjust decisions and standardise processes; external verifier role is plan, monitor, review, support, develop, advise, check validity of decisions and provide link between awarding organisation and centre, decision reporting.</p>
	<p>1.4 Explain the regulations and requirements for internal quality assurance in own area of practice.</p>	<p>Regulatory bodies and their directives including Ofqual, SQA, DfES, CCEA, Regulatory Arrangements for the Qualifications and Credit Framework (RQF), sector skills councils and awarding organisations, centre requirements, NVQ / VRQ Code of Practice that apply to the assessment and quality assurance of qualifications, internal and external verification processes and strategies, assessment processes, self-assessment reviews and self-improvement plans, legislation including equality and diversity, health, safety and welfare, risk assessment, accident reporting procedures, standardisation and moderation.</p>
<p>2. Understand how to plan the internal quality</p>	<p>2.1 Evaluate the importance of planning and preparing internal quality assurance activities.</p>	<p>Make arrangements for internal verification to take place, risks to accuracy, validity, fairness and consistency in</p>

assurance of assessment.		assessment practice if planning does not take place, identify involvement of assessors, verifiers, learners, employers and others, coverage including qualification, unit, module, project or assignment, observation of performance, use of technology, planning internal verification, timing, incomplete qualification or unit, complete unit/qualification, quality assurance of process, product, outcome, outcome decisions shared, appropriateness of feedback in terms of level related to criteria and standards, improvement plans outlined.
	2.2 Explain what an internal quality assurance plan should contain.	Coverage including qualifications, units, modules, assessment criteria and standards, knowledge of roles of internal verifier, assessors, assessment of risk, assessment sites, peers, mentors, learners, sampling processes, timing, frequency, interim sampling of assessment decisions, summative sampling of assessment decisions, content, assessment methods such as observation, examination of products, questioning, learner statements, witness testimony, feedback from assessors, learners and mentors, standardisation, reports following monitoring/review and observation of assessments, meetings, sharing good practice, decision outcomes, recommendations for quality assurance, opportunities for improvement, development plans, training needs, supporting assessors.
	2.3 Summarise the preparations that need to be made for internal quality assurance, including: <ul style="list-style-type: none"> <li>• information collection</li> <li>• communications</li> <li>• administrative arrangements</li> <li>• resources</li> </ul>	Planning appropriate approaches to quality assurance information requirements; analysis of data collected; communicating and negotiating with assessors, students, colleagues, employers, staffing, workloads of assessors, occupational competence and vocational expertise of assessors, range of learners, range of qualifications, methods of communication, reasonable adjustments and special considerations, delivery and



		mode of learning affecting evidence, negotiation of arrangements and plan considering assessors, learners, mentors, employers, administrative arrangements, timing, venue, schedule, resources such as assessment records and documentation, assessment plan, range of evidence, sampling activities, resources, including use of technology, internal quality assurance documentation, reporting processes.
3. Understand techniques and criteria for monitoring the quality of assessment internally.	3.1 Evaluate different techniques for sampling evidence of assessment, including use of technology.	Types of assessment methods and evidence available, experience, workload and location of assessors involved, levels of complexity, level of experience and maturity of centre, authenticity and reliability of evidence, observation, portfolios of evidence, oral and written questioning, assignments, discussions with learners, discussions with witnesses, sampling products, sampling assessor records, paper records, technology such as online testing, electronic projects/assignments/portfolios, audio and visual evidence, electronic feedback and discussion forums, distance learning, record keeping and storage, appropriate systems and software, electronic safeguarding and security.
	3.2 Explain the appropriate criteria to use for judging the quality of the assessment process.	Judge against specified criteria, rationale and justification provided for assessment decisions, credibility and compatibility with required standards, evidence to be, valid, authentic, sufficient, currency of evidence, accuracy of assessment decisions, assessor record keeping, coherent, realistic, accessible and relevant, standardisation and consistency of assessment decisions
4. Understand how to internally maintain and improve the quality of assessment.	4.1 Summarise the types of feedback, support and advice that assessors may need to maintain and improve the quality of assessment.	Coverage including affirmation of achievement and the identification of further work required, assessment and progression, use of communication and interpersonal skills including sensitive and empathetic approach (as required), identifying both the strengths and weaknesses of the assessor's practice,

		<p>effective use of body language and voice, positive, constructive and supportive feedback, appropriateness of feedback in terms of level related to criteria and standards, achievements and opportunities for improvement highlighted with development plans outlined seeking to improve the assessor's performance over the long term.</p>
	<p>4.2 Explain standardisation requirements in relation to assessment.</p>	<p>In accordance with centre and awarding organisation policies and National Occupational Standards, procedures for standardisation and how the internal quality assurance process should manage this: standardisation of assessment method, paperwork, recording, collaboration/agreement of feedback, standardisation meetings, sharing good practice, internal and external verification procedures, shadowing, evaluation procedures.</p>
	<p>4.3 Explain relevant procedures regarding disputes about the quality of assessment.</p>	<p>Centre policies and procedures, regulatory and awarding organisation requirements and processes, documented evidence of procedures available to learner and relevant parties, clear process in place for the appeals procedure and the role of the IQA in the appeals procedure, investigating dispute, investigation outcomes and conclusions, confidentiality of information, ensure no discrimination, transparent audit trail.</p>
<p>5. Understand how to manage information relevant to the internal quality assurance of assessment.</p>	<p>5.1 Evaluate requirements for information management, data protection and confidentiality in relation to the internal quality assurance of assessment.</p>	<p>Accurate reflection of activities/occurrences, range of assessment methods documented, action plans/ personal development plans completed record of assessment book/pro-formas, records of oral and written questioning, to be aligned with centre and awarding organisation policies, legislative requirements for the safe and secure storage of electronic and paper-based records, data protection.</p>

6. Understand the legal and good practice requirements for the internal quality assurance of assessment.	6.1 Evaluate legal issues, policies and procedures relevant to the internal quality assurance of assessment, including those for health, safety and welfare.	Regulatory bodies including Ofqual, SQA, DfES, CCEA, Sector Skills Councils and awarding organisations, legislation including health and safety and equality and diversity including learner emotional welfare, procedures including first aid and emergency procedures, risk assessment, confidentiality, transparency, record keeping and the security and safe storage of information, accident reporting procedures, hygiene and duty of care, centre requirements including standardisation and moderation of assessors and continuing professional development.
	6.2 Evaluate different ways in which technology can contribute to the internal quality assurance of assessment.	Evaluate technology such as online testing, initial testing, electronic projects/ assignments, video evidence of skills/performance, recording of oral evidence, e-portfolios, audio and visual evidence, electronic feedback and discussion forums, distance learning, consideration of authenticity and reliability of evidence, record keeping and storage, appropriate systems and software, electronic safeguarding and security.
	6.3 Explain the value of reflective practice and continuing professional development in relation to internal quality assurance.	Self-assessment on planning and carrying out assessment, use of outcome measures including feedback from assessors, learners and colleagues, observation reports, appraisal and achievement of goals/targets, identification of strengths and weaknesses, achievements and opportunities for improvement, conclusions, setting of personal goals and personal development planning, ensure own practice is in line with the current National Occupational Standards ( NOS) in assessment and/or quality assurance.
	6.4 Evaluate requirements for equality and diversity and, where appropriate, bilingualism, in relation to the internal quality assurance of assessment.	Relevant legislation, codes of practice, requirements of awarding organisations, employment regulations and policies, promotion of equality and diversity particularly in relation to issues of gender, disability, race/culture/religion, language to include bilingualism where appropriate,

		flexibility in planning, implementation and quality assurance, provision of additional resources and support.
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**Delivery and Assessment Guidance**

The knowledge in this may be delivered by lectures and/or E-learning through a Learning Management System (LMS) with online support features.

All assessment competences will be assessed using methods appropriate for the assessment of knowledge and understanding.

All learning outcomes in this unit must be assessed using methods appropriate to the assessment of knowledge and understanding.

The assessment of knowledge outcomes 1.1, 1.2, 1.3, 1.4, 2.1, 2.2, 2.3, 3.1, 3.2, 4.1, 4.2, 4.3, 5.1, 6.1, 6.2, 6.3 and 6.4. will be assessed by Assignment, oral and written questions.

The assignments and oral and written questions will be internally set, internally marked, against a mark scheme, verified internally and externally quality assured by Qualifi.

**Suggested Reading**

- Principles and Practices of Quality Assurance: A guide for internal and external quality assurers in the FE and Skills Sector - Ann Gravells
- Achieving your Assessment and Quality Assurance Units (Taqa) (Further Education and Skills) - Ann Gravells
- The Vocational Assessor Handbook: Including a Guide to the QCF Units for Assessment and Internal Quality Assurance (IQA) Ian Greer May 2019

# QUALIFI Level 4 Award in the Internal Quality Assurance of Assessment Processes and Practice

## Unit 1: Understanding the Principles and Practices of Internally Assuring the Quality of Assessment

Unit code: A/618/0284

RQF level: 4

### Unit Aim

The aim of this unit is to develop the learner’s knowledge and understanding that underpins the internal quality assurance of assessment.

### Learning Outcomes, Assessment Criteria and Indicative Content

<b>Learning Outcome</b> To achieve this unit a learner must:	<b>Assessment Criteria (Practical/Knowledge)</b> Assessment of these outcomes demonstrates the learner can:	<b>Indicative Content</b>
1. Understand the context and principles of internal quality assurance.	1.1 Explain the functions of internal quality assurance in learning and development.	How to meet awarding organisation, regulatory requirements and National Occupational Standards, ensuring quality in all learning delivery and assessment, assess achievement, advise on progression and development, maintain consistent practices, standardisation and consistency of assessment processes, paperwork, occupational practice, collaboration/agreement of decisions, identify good practice, assess and manage risk, provide guidance/support for assessors, identify assessor development needs, ensuring the continuing professional development of assessors, provide regulatory/awarding organisation directives and updates, provide constructive feedback that recognises improvement opportunities, action planning, recommendations for quality assurance.
	1.2 Explain the key concepts and principles of the internal quality assurance of assessment.	Planning internal verification, sampling strategies, rational for sampling, timing, incomplete unit/ qualification, complete unit/qualification, quality assurance processes, methods of assessment

		including observation of performance, written evidence (i.e. projects, assignments, independent papers and journals), questioning, discussion with learner, witness testimony, and recognition of prior learning, standardisation of internal assurance such as remote sampling, use of technology, work-based assessment, opportunities for quality improvement via development plans, continuing professional development, supporting and developing assessors, requirements of the external verification process.
	1.3 Explain the roles of practitioners involved in the internal and external quality assurance process.	Assessors, trainers, expert witness, internal verifiers, mentors and peers; assessor role to plan, evaluate, deliver, judge, document and communicate assessment decisions, internal verifier role to allocate, plan, monitor, review, validate or adjust decisions and standardise processes; external verifier role is plan, monitor, review, support, develop, advise, check validity of decisions and provide link between awarding organisation and centre, decision reporting.
	1.4 Explain the regulations and requirements for internal quality assurance in own area of practice.	Regulatory bodies and their directives including Ofqual, SQA, DfES, CCEA, Regulatory Arrangements for the Qualifications and Credit Framework (RQF), sector skills councils and awarding organisations, centre requirements, NVQ / VRQ Code of Practice that apply to the assessment and quality assurance of qualifications, internal and external verification processes and strategies, assessment processes, self-assessment reviews and self-improvement plans, legislation including equality and diversity, health, safety and welfare, risk assessment, accident reporting procedures, standardisation and moderation.
2. Understand how to plan the internal quality assurance of assessment.	2.1 Evaluate the importance of planning and preparing internal quality assurance activities.	Make arrangements for internal verification to take place, risks to accuracy, validity, fairness and consistency in assessment practice if planning does not

		<p>take place, identify involvement of assessors, verifiers, learners, employers and others, coverage including qualification, unit, module, project or assignment, observation of performance, use of technology, planning internal verification, timing, incomplete qualification or unit, complete unit/qualification, quality assurance of process, product, outcome, outcome decisions shared, appropriateness of feedback in terms of level related to criteria and standards, improvement plans outlined.</p>
	<p>2.2 Explain what an internal quality assurance plan should contain.</p>	<p>Coverage including qualifications, units, modules, assessment criteria and standards, knowledge of roles of internal verifier, assessors, assessment of risk, assessment sites, peers, mentors, learners, sampling processes, timing, frequency, interim sampling of assessment decisions, summative sampling of assessment decisions, content, assessment methods such as observation, examination of products, questioning, learner statements, witness testimony, feedback from assessors, learners and mentors, standardisation, reports following monitoring/review and observation of assessments, meetings, sharing good practice, decision outcomes, recommendations for quality assurance, opportunities for improvement, development plans, training needs, supporting assessors.</p>
	<p>2.3 Summarise the preparations that need to be made for internal quality assurance, including:</p> <ul style="list-style-type: none"> <li>• information collection</li> <li>• communications</li> <li>• administrative arrangements</li> <li>• resources</li> </ul>	<p>Planning appropriate approaches to quality assurance information requirements; analysis of data collected; communicating and negotiating with assessors, students, colleagues, employers, staffing, workloads of assessors, occupational competence and vocational expertise of assessors, range of learners, range of qualifications, methods of communication, reasonable adjustments and special considerations, delivery and mode of learning affecting evidence,</p>

		negotiation of arrangements and plan considering assessors, learners, mentors, employers, administrative arrangements, timing, venue, schedule, resources such as assessment records and documentation, assessment plan, range of evidence, sampling activities, resources, including use of technology, internal quality assurance documentation, reporting processes.
3. Understand techniques and criteria for monitoring the quality of assessment internally.	3.1 Evaluate different techniques for sampling evidence of assessment, including use of technology.	Types of assessment methods and evidence available, experience, workload and location of assessors involved, levels of complexity, level of experience and maturity of centre, authenticity and reliability of evidence, observation, portfolios of evidence, oral and written questioning, assignments, discussions with learners, discussions with witnesses, sampling products, sampling assessor records, paper records, technology such as online testing, electronic projects/assignments/portfolios, audio and visual evidence, electronic feedback and discussion forums, distance learning, record keeping and storage, appropriate systems and software, electronic safeguarding and security.
	3.2 Explain the appropriate criteria to use for judging the quality of the assessment process.	Judge against specified criteria, rationale and justification provided for assessment decisions, credibility and compatibility with required standards, evidence to be, valid, authentic, sufficient, currency of evidence, accuracy of assessment decisions, assessor record keeping, coherent, realistic, accessible and relevant, standardisation and consistency of assessment decisions
4. Understand how to internally maintain and improve the quality of assessment.	4.1 Summarise the types of feedback, support and advice that assessors may need to maintain and improve the quality of assessment.	Coverage including affirmation of achievement and the identification of further work required, assessment and progression, use of communication and interpersonal skills including sensitive and empathetic approach (as required), identifying both the strengths and weaknesses of the assessor's practice, effective use of body language and voice,



		positive, constructive and supportive feedback, appropriateness of feedback in terms of level related to criteria and standards, achievements and opportunities for improvement highlighted with development plans outlined seeking to improve the assessor's performance over the long term.
	4.2 Explain standardisation requirements in relation to assessment.	In accordance with centre and awarding organisation policies and National Occupational Standards, procedures for standardisation and how the internal quality assurance process should manage this: standardisation of assessment method, paperwork, recording, collaboration/agreement of feedback, standardisation meetings, sharing good practice, internal and external verification procedures, shadowing, evaluation procedures.
	4.3 Explain relevant procedures regarding disputes about the quality of assessment.	Centre policies and procedures, regulatory and awarding organisation requirements and processes, documented evidence of procedures available to learner and relevant parties, clear process in place for the appeals procedure and the role of the IQA in the appeals procedure, investigating dispute, investigation outcomes and conclusions, confidentiality of information, ensure no discrimination, transparent audit trail.
5. Understand how to manage information relevant to the internal quality assurance of assessment.	5.1 Evaluate requirements for information management, data protection and confidentiality in relation to the internal quality assurance of assessment.	Accurate reflection of activities/occurrences, range of assessment methods documented, action plans/ personal development plans completed record of assessment book/pro-formas, records of oral and written questioning, to be aligned with centre and awarding organisation policies, legislative requirements for the safe and secure storage of electronic and paper-based records, data protection.
6. Understand the legal and good practice	6.1 Evaluate legal issues, policies and procedures relevant to the	Regulatory bodies including Ofqual, SQA, DfES, CCEA, Sector Skills Councils and

requirements for the internal quality assurance of assessment.	internal quality assurance of assessment, including those for health, safety and welfare.	awarding organisations, legislation including health and safety and equality and diversity including learner emotional welfare, procedures including first aid and emergency procedures, risk assessment, confidentiality, transparency, record keeping and the security and safe storage of information, accident reporting procedures, hygiene and duty of care, centre requirements including standardisation and moderation of assessors and continuing professional development.
	6.2 Evaluate different ways in which technology can contribute to the internal quality assurance of assessment.	Evaluate technology such as online testing, initial testing, electronic projects/ assignments, video evidence of skills/performance, recording of oral evidence, e-portfolios, audio and visual evidence, electronic feedback and discussion forums, distance learning, consideration of authenticity and reliability of evidence, record keeping and storage, appropriate systems and software, electronic safeguarding and security.
	6.3 Explain the value of reflective practice and continuing professional development in relation to internal quality assurance.	Self-assessment on planning and carrying out assessment, use of outcome measures including feedback from assessors, learners and colleagues, observation reports, appraisal and achievement of goals/targets, identification of strengths and weaknesses, achievements and opportunities for improvement, conclusions, setting of personal goals and personal development planning, ensure own practice is in line with the current National Occupational Standards ( NOS) in assessment and/or quality assurance.
	6.4 Evaluate requirements for equality and diversity and, where appropriate, bilingualism, in relation to the internal quality assurance of assessment.	Relevant legislation, codes of practice, requirements of awarding organisations, employment regulations and policies, promotion of equality and diversity particularly in relation to issues of gender, disability, race/culture/religion, language to include bilingualism where appropriate, flexibility in planning, implementation and

		quality assurance, provision of additional resources and support.
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### **Delivery and Assessment Guidance**

The knowledge in this may be delivered by lectures and/or E-learning through a Learning Management System (LMS) with online support features.

All assessment competences will be assessed using methods appropriate for the assessment of knowledge and understanding.

All learning outcomes in this unit must be assessed using methods appropriate to the assessment of knowledge and understanding.

The assessment of knowledge outcomes 1.1, 1.2, 1.3, 1.4, 2.1, 2.2, 2.3, 3.1, 3.2, 4.1, 4.2, 4.3, 5.1, 6.1, 6.2, 6.3 and 6.4. will be assessed by Assignment, oral and written questions.

The assignments and oral and written questions will be internally set, internally marked, against a mark scheme, verified internally and externally quality assured by Qualifi.

### **Suggested Reading**

- Principles and Practices of Quality Assurance: A guide for internal and external quality assurers in the FE and Skills Sector - Ann Gravells
- Achieving your Assessment and Quality Assurance Units (Taqa) (Further Education and Skills) - Ann Gravells
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## Unit 2: Internally Assure the Quality of Assessment

Unit code: F/618/0285

RQF level: 4

### Unit Aim

The aim of this unit is to develop the learner's performance as a learning and development practitioner with responsibility for the internal quality assurance of assessment.

### Learning Outcomes, Assessment Criteria and Indicative Content

<b>Learning Outcome</b> To achieve this unit a learner must:	<b>Assessment Criteria (Practical/Knowledge)</b> Assessment of these outcomes demonstrates the learner can:	<b>Indicative Content</b>
1. Be able to plan the internal quality assurance of assessment.	1.1 Plan monitoring activities according to the requirements of own role.	Identify internal quality assessment opportunities, agree quality assurance plan with relevant parties (i.e. assessor/learner) using a variety of internal quality methods including: monitoring of documentation, information and other resources provided to the assessors and learners, observation of performance, written evidence (i.e. projects, assignments, independent papers and journals), questioning and discussion, witness testimony, learner statements and recognised prior learning, range opportunities, agree process of quality assessment, evaluating the occupational and assessment competence of assessors, checking the continuing professional development of assessors, taking part in standardisation processes and activities.
	1.2 Make arrangements for internal monitoring activities to assure quality.	Communication with assessor/learner, plan time, venue and, opportunities to feedback to assessors, identify requirements and process, assessment method, assessment units or qualification, learners, assessors, timing and coverage, sampling, assessment methods, document outcomes, standardisation, review,

		identify development opportunities, arrangements for standardisation activities.
2. Be able to internally evaluate the quality of assessment.	2.1 Carry out internal monitoring activities to quality requirements.	Observation of assessor to ensure competent assessment of learner by practical observation and feedback to learner by assessor, examination of products of work, questioning of the learner, discussion with the learner and assessor, use of others (witness testimony), looking at learner statements, written evidence and portfolio, recognition of prior learning, fully documented outcomes, standardisation of meetings, sharing good practice, work / teaching shadowing
	2.2 Evaluate assessor expertise and competence in relation to the requirements of their role.	Occupational competence (i.e. curriculum vitae and relevant certificates), continuing professional development, updating of skills and qualifications, self-assessment report, student achievement records, reflective practice, knowledge of regulatory bodies including Ofqual, SQA, DfES, CCEA, sector skills councils, and awarding organisations, knowledge of policies such as equality and diversity, health, safety and welfare, safeguarding for learners, standardisation and verification.
	2.3 Evaluate the planning and preparation of assessment processes.	Planning and preparation of assessment processes, e.g. standards, product versus process, involvement of students, assessors, trainers, teachers, tutors, employers, others, evaluate against specified criteria, provision of rationale and justification for assessment process, opportunities for holistic assessment, evidence to be coherent, realistic, accessible and relevant, feedback to reflect appropriateness in terms of level related to criteria and standards, identify opportunities for improvement and development.

	<p>2.4 Determine whether assessment methods are safe, fair, valid and reliable.</p>	<p>Validate the safety of assessment methods and decisions, evidence to be valid (relevant to National Occupational Standards and currency), fair (opportunities for achievement of outcomes, ranges and excellence, value of a holistic approach, authenticity and sufficiency of evidence gathered), reliable (standardisation procedures, mark sheets, written assignment tasks, record cards, sampling and verification, replication of assessment tasks under identical/similar conditions/context).</p>
	<p>2.5 Determine whether assessment decisions are made using the specified criteria.</p>	<p>Rationale and justification to be provided for assessment decisions, decisions are coherent, realistic, accessible and relevant, adhering to organisation, industry, awarding body and government requirements and standards.</p>
	<p>2.6 Compare assessor decisions to ensure they are consistent.</p>	<p>In accordance with centre and awarding organisation policies and National Occupational Standards, Sector Skills Council , regulatory bodies, employers standards, standardisation of assessment methods are reliable, fair, safe, consistent across assessors and students and paperwork, collaboration/agreement of learner feedback, standardisation meetings, sharing good practice, internal and external verification procedures, shadowing, evaluation procedures, decisions show clearly that occupational competence has been achieved, and where competence has not been achieved justifiable reasons are recorded fully.</p>
<p>3. Be able to internally maintain and improve the quality of assessment.</p>	<p>3.1 Provide assessors with feedback, advice and support, including professional development opportunities, which help them to maintain and improve the quality of assessment.</p>	<p>Coverage including affirmation of achievement or identification of further work required by learner, assessment and progression, use of communication and interpersonal skills including sensitive and empathetic approach (as required), effective use of body language and voice, positive,</p>

		constructive and supportive feedback approach, appropriateness of feedback in terms of experience related to criteria and standards, team meetings, staff review, SAR, forms of support, highlighted with development plans outlined from colleagues, mentor, line manager, quality manager identifying opportunities for improvement and continuing professional development
	3.2 Apply procedures to standardise assessment practices and outcomes.	In accordance with centre and awarding organisation policies and National Occupational Standards, standardisation of assessment method, paperwork, collaboration/agreement of learner feedback, standardisation meetings, sharing good practice, observation of peers, work/training shadowing, internal and external verification procedures, shadowing, evaluation procedures.
4. Be able to manage information relevant to the internal quality assurance of assessment.	4.1 Apply procedures for recording, storing and reporting information relating to internal quality assurance.	Legislation such as data protection, retain assessment documentation, observation records, written statements, audio/visual records, internal verification records and tracking, assessor action plans, information sharing with appropriate colleagues, accessibility of information, different approaches, including use of technology, team meetings, electronic and hard formats, assessment and standardisation meetings and sampling.
	4.2 Follow procedures to maintain confidentiality of internal quality assurance information.	Suitable environment for providing assessor feedback, safe recording and storage of information, data protection, legislative and organisational requirements for paper-based records, electronic safeguarding and security.
5. Be able to maintain legal and good practice requirements when internally monitoring and maintaining the quality of assessment.	5.1 Apply relevant policies, procedures and legislation in relation to internal quality assurance, including those for health, safety and welfare.	Regulatory bodies including Ofqual, SQA, DfES, CCEA, Sector Skills Councils, and awarding organisations, IFL, legislation including health and safety, equality and diversity including bilingualism where appropriate, Data protection, procedures including, first aid and

		emergency procedures, risk assessment, safeguarding students during assessment, accident reporting procedures, hygiene and duty of care, organisational including standardisation and moderation of assessor's occupational competence and continuing professional development.
	5.2 Apply requirements for equality and diversity and, where appropriate, bilingualism, in relation to internal quality assurance.	Relevant legislation, codes of practice, requirements of awarding organisations and regulators, employment regulations and policies, promoting equality and diversity including visual, auditory impairment, physical disability bilingualism when appropriate, flexibility in approach to planning, implementation and quality assurance, providing additional resources where appropriate, recognising additional support needs, alternative approaches/evidence.
	5.3 Critically reflect on own practice in internally assuring the quality of assessment.	Reflective practice and self-assessment evaluation, identification of strengths and weaknesses, SWOT analysis (i.e. strengths, weaknesses, opportunities, threats), realistic goals and targets for own development in relation to carrying out internal verification, use of outcome measures including feedback from learners, assessors and colleagues, observation reports, appraisal, setting of personal goals and personal development planning, developing technologies to extend and enhance assessment process, contributing to curriculum development
	5.4 Maintain the currency of own expertise and competence in internally assuring the quality of assessment.	Review of competence, action planning and setting goals and realistic targets for own occupational competence, updating occupational expertise skills and self-confidence engaging in continuing professional development, modification to internal verification and assessment plans and practice, evidence-based research and use of technology and personal development planning.



## **Delivery and Assessment Guidance**

The knowledge in this unit will may be delivered by lectures and/or E-learning through a Learning Management System (LMS) with online support features.

All assessment of occupational competence will be conducted in a workplace / training environment simulation is not allowed. All assessment competence will be assessed using methods appropriate for the assessment of skills knowledge and understanding. All learning outcomes in this unit must be assessed using methods appropriate to the IQA's performance. These must include:

- observation of performance;
- examining products of work;
- questioning.

The assessment of knowledge outcomes 5.3 and 5.4 will be assessed by assignment, oral and written questions.

The assignments and oral and written questions will be internally set, internally marked, against a mark scheme, verified internally and externally quality assured by Qualifi.

The assessment of competence outcomes 1.1, 1.2, 2.1, 2.2, 2.3, 2.4, 2.5, 2.6, 3.1, 3.2, 4.1, 4.2, 5.1, and 5.2 will be in the form of assessment of learners in a workplace / training environment.

Trainee Internal Quality Assurers will be observed monitoring a minimum of two (2) assessors, one new to verification one used to verification

Assessment observations will be recorded and will confirm competence-based assessment criteria have been met. Observation records will include oral questioning and learner/ trainee IQA responses. Observations will be signed and dated by the trainee IQA and assessor. Trainee IQA observation records, and evidence will be retained in the trainee IQA portfolio.

## **Evidence and range criteria to be covered for assessment**

There must be evidence of the IQA monitoring a minimum of two (2) assessors each with a minimum of two (2) learners of their own through components of a qualification

There must be evidence to cover all of the assessment methods listed in the unit. Other forms of evidence will be acceptable for the remaining assessment methods:

Internal verification process

- Organisation of assessment
- Qualifications
- Practical assessments
- Evidence portfolios
- Staff CPD logs
- Assessment papers

Assessment methods:

- Observation of performance
- Examining products of work
- Questioning of learners
- Questioning of assessors
- Recognising prior learning

Records:

- Verifier records
- Assessment book
- Centre tracking records
- Awarding organisation documentation

Assessors working with a minimum of one (1) specific need:

- Physical needs
- Literacy difficulties
- Language differences

Assessors working with a minimum of one (1) specific need: Verification:

- Internal verification
- External verification
- Sampling by verifiers

There must be valid, authentic and sufficient evidence for all the assessment criteria. Holistic assessment is encouraged, and one piece of evidence may be used to meet the requirements of more than one learning outcome or assessment criterion.

### **Suggested Reading**

- Principles and Practices of Quality Assurance: A guide for internal and external quality assurers in the FE and Skills Sector - Ann Gravells
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