



# QUALIFI

SUCCESS THROUGH LEARNING  
RECOGNISED WORLDWIDE

## Level 4 Award in Understanding the External Quality Assurance of Assessment Processes and Practice

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

Specification (For Centres)

March 2022

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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 has 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 External Quality Assurance of Assessment Processes and Practice 603/6878/0

Qualifi Level 4 Award in the External Quality Assurance of Assessment Processes and Practice 603/6877/9

### **1.4 Awarding Organisation**

QUALIFI LTD

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

### **2.1 Qualification Purpose**

The purpose of these qualifications is 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 External Quality Assurance of Assessment Processes and Practice 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 Level 4 Award in the External Quality Assurance of Assessment Processes and Practice is a practical-based qualification intended for those who maintain the quality of assessment from outside an organisation or assessment centre, usually on behalf of an awarding organisation.

### **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 external

quality assurance of assessment.

- assess the trainee EQA'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 externally assuring the quality of assessment.
- assure the quality of assessment externally.

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 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 Assessor qualification as well as a L4 Internal Quality Assurance qualification. This may be requested as the preferred route prior to registering for the Level 4 Award in the External Quality Assurance of Assessment Processes and Practice. Centres are responsible for ensuring that the qualifications are appropriate for the age, experience 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 External Quality Assurance of Assessment Processes and Practice is a Level 4 qualification containing 1 credit-bearing units with a total of 6 credits.

The Qualifi Level 4 Award in the External 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 Externally Assuring the Quality of Assessment

Unit Reference	Mandatory Units	Level	TQT	Credits	GLH
F/618/5647	Understanding the Principles and Practices of Externally Assuring the Quality of Assessment	4	60	6	45

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

Unit Reference	Mandatory Units	Level	TQT	Credits	GLH
F/618/5647	Understanding the Principles and Practices of Externally Assuring the Quality of Assessment	4	60	6	45
J/618/5648	Externally Assure the Quality of Assessment	4	60	6	30

## 4.3 Progression and Links to other QUALIFI Programmes

Qualifi Level 4 Award in Understanding the External Quality Assurance of Assessment Processes and Practice and Qualifi Level 4 Award in the External Quality Assurance of Assessment Processes and Practice Specification March 2022

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 practice, 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
- 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 assessment criteria 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, based on 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 contacting 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)

Websites: [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 External Quality Assurance of Assessment Processes and Practice

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

Unit code: F/618/5647

RQF level: 4

#### Unit Aim

The aim of this unit is to develop your knowledge and understanding that underpins the external quality assurance of assessment.

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

<b>Learning Outcomes: To achieve this unit a learner must be able to:</b>	<b>Assessment Criteria: Assessment of these outcomes demonstrates the learner can:</b>
1. Understand the context and principles of external quality assurance.	1.1 Analyse the functions of external quality assurance of assessment in learning and development. 1.2 Evaluate the key concepts and principles of external quality assurance of assessment. 1.3 Evaluate the roles of practitioners involved in the quality assurance process. 1.4 Explain the regulations and requirements for external and internal quality assurance in own area of practice.
2. Understand how to plan the external quality assurance of assessment.	2.1 Evaluate the importance of planning and preparing external quality assurance activities. 2.2 Explain what an external quality assurance plan should contain. 2.3 Summarise the preparations that need to be made for external quality assurance activities, including: <ul style="list-style-type: none"> <li>• Information collection</li> <li>• Communications</li> <li>• Administrative arrangements</li> <li>• Resources</li> </ul> 2.4 Explain how to adapt external monitoring and evaluation approaches to meet customer need without compromising quality standards.
3. Understand how to externally evaluate the quality of assessment and internal quality assurance.	3.1 Explain the procedures for externally monitoring and evaluating internal quality assurance arrangements and practices.

	3.2 Interpret the requirements for externally monitoring and evaluating internal assessment arrangements and practices.
	3.3 Evaluate different techniques for externally sampling evidence of assessment, including those that use technology.
4. Understand how to externally maintain and improve the quality of assessment.	4.1 Critically compare the types of feedback, support and advice that internal assessment and quality assurance staff may need to maintain and improve the quality of assessment.
	4.2 Evaluate standardisation requirements relevant to the external quality assurance of assessment
	4.3 Explain the importance of providing feedback, support and advice to internal assessment and quality assurance staff that is consistent with standardisation requirements.
	4.4. Explain the relevant procedures to follow when there are disputes concerning quality assurance and assessment.
5. Understand how to manage information relevant to external quality assurance.	5.1. Evaluate the requirements for information management, data protection and confidentiality in relation to external quality assurance.
6. Understand the legal and good practice requirements relating to external quality assurance.	6.1 Evaluate legal issues, policies and procedures that are relevant to external quality assurance, including those for health, safety and welfare.
	6.2 Critically compare different ways in which technology can contribute to external quality assurance.
	6.3 Evaluate requirements for equality and diversity and, where appropriate, bilingualism, in relation to the external quality assurance of assessment.
	6.4 Explain the value of reflective practice and continuing professional development in relation to external quality assurance.

### Indicative Content

This section provides guidance on the recommended knowledge and skills required to enable you to achieve each of the learning outcomes in this unit. Your tutor/assessor will ensure you have the opportunity to cover all of the unit content.

### LO1: Understand the context and principles of external quality assurance

**Functions of external quality assurance:** Assessment opportunities linked to learning, requirements of internal verification procedures, standardisation of assessment and internal verification methods, documentation and records, collaboration/agreement between assessor, learner and internal verifier,

identification of good practice, guidance/ support for centre, constructive feedback that recognises improvement opportunities, action planning, information for centre on changes to regulatory/ awarding organisation/sector skills council requirements, recommendations for quality assurance.

**Key concepts and principles:** Regulatory and awarding organisation requirements, methods of internal verification, timing, incomplete unit/qualification, complete unit/ qualification, quality assurance, process, result, methods of assessment, including observation of performance, written evidence (i.e. projects, assignments, independent papers and journals), oral and written questioning, discussion with learner, witness testimony, recognising prior learning, standardisation of internal assurance such as remote sampling, use of technology, work based, opportunities for quality improvement, continuing professional development opportunities.

**Roles of practitioners involved in quality assurance process:** Assessors, 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 to plan, monitor, review, support, develop, advise, provide link between awarding organisation and centre, and decision reporting.

**Regulations and requirements in own area of practice:** Regulatory bodies and their directives including Ofqual, DfES, sector skills councils, and awarding organisations, centre requirements, internal and external verification processes and strategies, assessment processes and strategies, self-assessment reviews and self-improvement plans, legislation including equality and diversity, health, safety and welfare, risk assessment, accident reporting procedures, standardisation and moderation.

## **LO2: Understand how to plan the external quality assurance of assessment**

**Planning and preparation for external quality assurance:** Make arrangements for external verification to 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.

**External quality plan:** Coverage including qualifications, units, modules, assessment criteria and standards, knowledge of roles of external verifier, internal verifier, assessors, peers, mentors, and learners, sampling processes, timing, frequency, content, assessment methods such as observation, examination of products, questioning, learner statements, witness testimony, feedback from internal verifiers, assessors, learners and mentors, standardisation, reports following monitoring/review and observation of assessments and internal assurance, meetings, sharing good practice, decision outcomes, recommendations for quality assurance, opportunities for improvement, development plans, and training needs.

**Preparations for external quality assurance:** Plan quality assurance, information requirements, staffing, workloads of assessors and internal verifiers, occupational competence and vocational expertise of assessors and internal verifiers, range of learners and range of qualifications, methods of communication, reasonable adjustments and special considerations, delivery and mode of learning, negotiation of arrangements and plan considering assessors, internal verifiers, learners, mentors, employers affecting evidence, administrative arrangements, timing, venue, schedule, resources such as assessment records and documentation, assessment plan, internal verification plan, range of evidence, sampling activities, use of new technology, internal quality assurance documentation, and reporting processes.

**Adapting and maintaining quality assurance approach:** Requirements and negotiation of quality assurance schedule, notice of timing and context of visit, amalgamation of customer need and awarding body quality assurance, specific considerations for assessment/verification, confirmation of monitoring methods, sampling to include internal verification, assessment and learners, appropriateness of feedback in terms of level related criteria and standards, agreement and recording of feedback, identification of achievements and opportunities for improvement, recommendations and where appropriate outline of measurable action plans.

### **LO3: Understand how to externally evaluate the quality of assessment and internal quality assurance**

**Procedures for externally monitoring and evaluating internal quality assurance:** Requirements of regulatory bodies including Ofqual, DfES, sector skills councils and awarding organisations, legislation including equality and diversity, health, safety and welfare, data protection, identification of requirements such as product, availability of learners, assessors, internal verifiers and others.

**Interpret requirements for external monitoring:** Regulatory bodies including Ofqual, DfES, sector skills councils, and awarding organisations, centre policies and procedures, legislation including, equality and diversity, health, safety and welfare, internal quality assurance strategy, assessment methods, self-assessment and improvement planning, standardisation, documentation such as sampling strategies, assessment paperwork.

**Different techniques for sampling:** Methods of sampling including on-site, task-based, hard format portfolio, electronic portfolios, online testing, remote sampling including use of technology, sampling across internal verifiers, assessors, learners, qualifications, units, method to be selected or random, percentage of sampling proportionate to centre needs and awarding organisation requirements.

### **LO4: Understand how to externally maintain and improve the quality of assessment**

**Compare types of feedback, support and advice:** Coverage including affirmation of achievement and identification of further work required, assessment and progression, use of communication and interpersonal skills including sensitive and empathetic approach (as required), 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.

**Standardisation requirements:** In accordance with centre and awarding organisation policies and occupational standards, standardisation of assessment method, paperwork, recording, collaboration/agreement of feedback, standardisation meetings, sharing good practice, internal and external verification procedures, shadowing, evaluation procedures.

**Standardisation considerations when providing feedback, support and advice:** Recognising good practice, mapping feedback to standards, knowledge of criteria, appropriateness of feedback in terms of level related to criteria and standards, constructive and supportive feedback and advice, feedback underpinned with measurable outcomes, team actively involved, achievements and improvements highlighted with development plans outlined, advice on good practice, information on updates from awarding organisations, new initiatives, alternative assessment approaches.

**Procedures for disputes:** Centre policies and procedures, regulatory and awarding organisation requirements and processes, documented evidence of procedures available to learner, assessor and relevant parties, clear process in place for investigating dispute, investigation, outcomes and conclusions, confidentiality of information, ensure no discrimination, transparent audit trail.

## **LO5: Understand how to manage information relevant to external quality assurance**

**Requirements for information management:** Accurate reflection of activities/occurrences, range of assessment methods documented, action plans/personal development plans, completed assessment logbooks/ pro-formas, records of oral and written questioning, aligned with centre and awarding organisation policies, legislative requirements for paper-based records, data protection, electronic safeguarding and security.

## **LO6: Understand the legal and good practice requirements relating to external quality assurance**

**Relevant policies, procedures and legal issues:** Regulatory bodies including Ofqual, DfES, sector skills councils and awarding organisations, legislation including health and safety and equality and diversity legislation, procedures including, first aid and emergency procedures, risk assessment, accident reporting procedures, hygiene and duty of care, centre requirements including, standardisation and moderation of assessors and continuing professional development.

**Use of technology in quality assurance:** Evaluate technologies such as online testing, initial testing, electronic projects/ assignments, 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.

**Equality and diversity requirements:** Relevant legislation, codes of practice, requirements of awarding organisations, employment regulations and policies, promotion of equality and diversity including bilingualism where appropriate, flexibility in planning, implementation and quality assurance, provision of additional resources and support.

**Evaluation of own work:** 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.

## **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 External Quality Assurance of Assessment Processes and Practice**

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

Unit code:

RQF level: 4

**This unit is described above.**

## Unit 2: Externally Assure the Quality of Assessment

Unit code: J/618/5648

RQF level: 4

### Unit Aim

The aim of this unit is to develop your performance as a learning and development practitioner with responsibility for the external quality assurance of assessment.

### Learning Outcomes, Assessment Criteria and Indicative Content

<b>Learning Outcomes: To achieve this unit a learner must:</b>	<b>Assessment Criteria: Assessment of these outcomes demonstrates the learner can:</b>
1. Be able to externally evaluate internal quality assurance and assessment.	1.1 Carry out monitoring activities to quality requirements.
	1.2 Evaluate the quality of internal quality assurance systems.
	1.3 Evaluate the quality of internal administrative arrangements.
	1.4 Evaluate the quality of internal staffing and internal staff expertise and competence.
	1.5 Determine whether assessment arrangements, methods and decisions meet quality requirements.
2. Be able to maintain and improve internal quality assurance processes.	2.1 Provide staff with feedback, advice and support which help them maintain and improve the quality of assessment.
	2.2 Apply procedures for the standardisation of assessment practices and outcomes.
	2.3 Summarise the preparations that need to be made for external quality assurance activities, including: <ul style="list-style-type: none"> <li>• Information collection</li> <li>• Communications</li> <li>• Administrative arrangements</li> <li>• Resources</li> </ul>
	2.4 Explain how to adapt external monitoring and evaluation approaches to meet customer need without compromising quality standards.
3. Be able to manage information relevant to the external quality assurance of assessment.	3.1 Apply procedures for recording, storing, reporting information relating to external quality assurance.
	3.2 Apply procedures to maintain confidentiality of information relating to external quality assurance.
	3.3 Evaluate different techniques for externally sampling evidence of assessment, including those that use technology.

4. Be able to maintain legal and good practice requirements when externally monitoring and maintaining the quality of assessment.	4.1 Apply policies, procedures and legislation relevant to the external quality assurance of assessment, including those for health, safety and welfare.
	4.2 Apply requirements for equality and diversity and, where appropriate, bilingualism, to the external quality assurance of assessment.
	4.3 Critically reflect on own practice in externally assuring the quality of assessment.
	4.4 Maintain the currency of own expertise and competence as relevant to external quality assurance.
5. Be able to plan the external quality assurance of assessment.	5.1 Communicate procedures for external quality assurance to the organisations and individuals concerned.
	5.2 Plan procedures for the external quality assurance of assessment.
	5.3 Ensure arrangements and resources are in place for external monitoring and evaluation.

### Indicative Content

This section provides guidance on the recommended knowledge and skills required to enable you to achieve each of the learning outcomes in this unit. Your tutor/assessor will ensure you have the opportunity to cover all of the unit content.

#### LO1: Be able to externally evaluate internal quality assurance and assessment

**Carry out monitoring activities:** To ensure competent assessment of learner and effective internal verification of assessment by observation, examination of products of work, questioning, monitoring the use of others (witness testimony), learner statements, written evidence and portfolio, recognition of prior learning, fully documented outcomes, feedback by assessor and internal verifier, recognised prior learning, record of assessment decisions, completed assessment logbooks/proformas, action plans.

**Evaluate internal quality:** Compliance with regulatory and awarding organisation requirements, occupational standards, centre procedures and policies such as assessment and internal verification practices, standardisation and moderation, information management, credible and consistent practice, evaluation procedures.

**Evaluate internal administrative arrangements:** Compliance with regulatory and awarding organisation requirements, legislative requirements such as data protection and confidentiality, responsive and timely information management shared with appropriate personnel, evidence such as tracking logs, record of assessment decisions, reasonable adjustments and special considerations, meeting minutes, standardisation, review processes, staff skills, continuing professional development and updating, appropriateness and use of new technology, measurable quality assurance outcomes.

**Quality of expertise and competence of internal staff:** Knowledge of regulatory bodies including Ofqual, DfES, sector skills councils and awarding organisations, policies such as equality and diversity, health, safety and welfare, data protection and confidentiality, reasonable adjustments, safeguarding for learners, occupational/vocational competence (i.e., curriculum vitae and relevant certificates), updating of skills and qualifications.

**Quality requirements of assessment process:** In accordance with centre and awarding organisation policies and occupational standards, standardisation of assessment method, paperwork and record keeping, collaboration/ agreement of feedback, standardisation meetings, sharing good practice, internal and external verification procedures, shadowing, evaluation procedures.

### **LO2: Be able to maintain and improve internal quality assurance processes**

**Provide staff with feedback, advice and support:** Coverage including affirmation of adequate internal verification and assessment or identification of further development required for learning, assessment and quality assurance, use of communication and interpersonal skills including sensitive and empathetic approach (as required), effective use of body language and voice, positive, constructive and supportive feedback approach, appropriateness of feedback in terms of level, related to criteria and standards, opportunities for improvement and continuing professional development highlighted with development plans outlined.

**Standardisation procedures:** In accordance with centre and awarding organisation policies and occupational standards, standardisation of assessment method, paperwork, collaboration/ agreement of learner feedback, standardisation meetings, sharing good practice, internal and external verification procedures, shadowing, evaluation procedures.

### **LO3: Be able to manage information relevant to the external quality assurance of assessment**

**Procedures for recording, storing and reporting information:** Legislation such as data protection, retain assessment documentation, observation records, written statements, audio/visual records, internal and external verification records, 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.

**Maintaining confidentiality:** Suitable environment for providing internal verifier/ assessor/learner feedback, safe recording and storage of information, data protection, legislative requirements for paper-based records, electronic safeguarding and security.

### **LO4: Be able to maintain legal and good practice requirements when externally monitoring and maintaining the quality of assessment**

**Relevant policies, procedures and legislation:** Regulatory bodies including Ofqual, DfES, sector skills councils and awarding organisations, legislation including health and safety, and equality and diversity, procedures including first aid and emergency procedures, risk assessment, accident reporting procedures, hygiene and duty of care, organisational including standardisation and moderation of assessors and continuing professional development.

**Equality and diversity requirements:** Relevant legislation, codes of practice, requirements of awarding organisations and regulators, employment regulations and policies, promoting equality and diversity including bilingualism when appropriate, flexibility in planning, implementation and quality assurance, provision of additional resources and support.

**Evaluation of own work:** Self-assessment on carrying out external verification, use of outcome measures including feedback from learners, centre staff 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.

**Maintaining currency:** Review of competence, setting goals and realistic targets, modification to external verification plans and practice, evidence-based research, use of technology, personal development planning, engaging in continuing professional development.

#### **LO5: Be able to plan the external quality assurance of assessment**

**Plan procedures:** Agree quality assurance plan with relevant parties, centre, internal verifiers, assessors, learner using a variety of external quality methods including 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 external quality assessment, identify auditing requirements such as internal verifier documentation, internal verifier observation records, outcomes, evaluations, recommendations, continuing professional development records, tracking logs and action planning.

**Communicate procedures for external monitoring:** Communicate intent for external monitoring, provide notice in accordance with awarding organisation requirements, plan time and venue, communicate with lead internal verifier or main centre contact, identify requirements and processes, select assessment method, assessment qualifications/units to be sampled, learners, assessors and internal verifiers, timing, documentation such as internal quality assurance records, continuing professional development plans, staff curriculum vitae and qualification certificates, centre policies and procedures.

**Arrangements and resources:** Confirm arrangements with centre, identify requirements and process including sampling strategies for learners, assessors and internal verifiers across qualifications and units, assessment and internal verification processes, information and record management, monitoring of reasonable adjustments, special considerations and independent/ external assessments, resources to be fit for purpose, adequate/sufficient for assessment needs.

#### **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 EQA'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.

## **Unit 2: Externally Assure the Quality of Assessment - Observation**

### **Evidence and range criteria to be covered within the Observation assessment**

There must be evidence of the EQA including all of the ranges listed below.

This evidence must cover all of the assessment methods listed in the unit specification.

\*Other forms of Learner ~~work~~ will be considered for those assessment methods which are not naturally occurring throughout the visit:

External verification process:

- Communication with centre
- Visit plan
- Qualifications
- Practical assessments
- Evidence portfolios
- Staff CPD logs and reflective practice
- Relevant minutes of meetings
- Standardisation activities
- Internal assessment papers
- Internal verification procedures
- Working environment
- Equipment
- Centre Policies
- Systems in place

Records:

- Awarding organisation documentation
- Centre tracking records
- Learner assessment record
- Verifier records

\*Assessment methods:

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

\*Assessors who are:

- New to verification
- Used to verification
- With assessor award
- Without assessor award

\*Internal verifiers who are:

- New to verification
- Used to verification

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

- Physical needs
- Literacy difficulties
- Language differences

Verification:

- Internal verification
- External verification
- Sampling by verifiers

Regulatory requirements:

- Appeals and disputes procedures
- Authenticity and validity of evidence
- Bilingualism
- Currency
- Data protection and confidentiality
- Equality and diversity
- Health, safety and welfare
- Occupational standards
- Reasonable adjustments
- Rules for appearance and behaviour
- Sufficient evidence

Feedback to internal verifier

- Action Planning
- Constructive support provided
- Oral
- Written

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
- Achieving your Assessment and Quality Assurance Units (TAQA) (Further Education and Skills) - AnnGravells
- The Vocational Assessor Handbook: Including a Guide to the QCF Units for Assessment and Internal Quality Assurance (IQA) Ian Greer May 2019