



**IQ Level 4 Award in Understanding the Internal Quality Assurance  
of Assessment Processes and Practice (QCF)**

**Specification**

**Regulation No: 600/5529/7**

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## Industry Qualifications

IQ is approved by the UK's national regulator of qualifications Ofqual. It was launched in 2011 to provide users and learners with the objective of achieving the highest levels of assessment integrity, customer service and sector engagement. Uniquely, it is a membership based awarding organisation bringing together the best of UK vocational education in a not for profit environment.

Further information can be found on the IQ web-site [www.industryqualifications.org.uk](http://www.industryqualifications.org.uk)

## Introduction

This specification is intended for trainers, centres and learners. General information regarding centre approval, registration, assessment papers, certification, reasonable adjustments, special consideration, appeals procedures are available from the website. This document should be read in conjunction with the IQ QMS Centre guide available from the website.

Website: [www.industryqualifications.org.uk](http://www.industryqualifications.org.uk))

Enquiries: 01952 457452

## About this Qualification

The IQ Level 4 Award in Understanding the Internal Quality Assurance of Assessment Processes and Practice (QCF) is a qualification aimed at individuals who wish to gain an understanding of the principles and practices of internal quality assurance of assessment, without the requirement to practice as an internal verifier or internal quality assurer. The qualification provides recognition for the learner's knowledge of internal quality assurance and assessment processes and is relevant to a variety of sectors. Objectives of the qualification include: preparing learners to progress to a qualification in the same subject area but at a higher level, preparing learners to progress to a qualification in another subject area, meeting relevant programmes of learning and supporting a role in the workplace.

## Structure (Credit, Rules of Combination, Guided Learning Hours)

To achieve this qualification, learners must achieve 6 credits from the single mandatory unit.

Unit	Level	Credit	Guided Learning Hours
Understanding the principles and practices of internally assuring the quality of assessment	4	6	45

## Delivery

**Guided learning hours** are 45. It is the responsibility of training centres to decide the appropriate course duration, based on their learners' ability and level of existing knowledge. It is possible, therefore, that the number of Guided Learning Hours can vary from one training centre to another according to learners' needs. Guided learning hours are all times when a member of provider staff is present to give specific guidance towards the learning aim being studied on the programme. This definition includes lectures, tutorials, and supervised study. It does not include hours where supervision or assistance is of a general nature and is not specific to the study of the learners.

## Assessment

The single knowledge-based unit in this qualification is assessed by portfolio (internally set and marked and quality assured by IQ). It must be in accordance with the Lifelong Learning UK Assessment Strategy (see Appendix A of this document). An Achievement Record for this qualification is available from the website/ on request. All assessment criteria must be met and mapped and the location of the evidence must be indicated in the achievement record.

This qualification is not graded, successful learners achieve a pass.

All learning outcomes in this qualification must be assessed using methods appropriate to the assessment of knowledge and understanding, these can be assessed by a variety of methods including:

- Question and answer test
- Multiple choice questions
- Question and answer verbal (ensure records are kept)
- Essay
- Other

## Age range and Geographical Coverage

This qualification is approved for learners 18 plus in England, Wales and Northern Ireland.

## Learner entry requirements

There are no formal entry requirements. However, learners should be able to work at level 3 or above and be proficient in the use of English Language.

### **Progression**

Learners who have achieved this qualification can progress to the Level 4 Award in the Internal Quality Assurance of Assessment Processes and Practice (QCF) using credits already gained as it features a common unit.

### **Tutor requirements**

All those who assess these qualifications must already hold it or an equivalent qualification. They must have appropriate experience as a quality assurance practitioner and hold relevant qualifications. Full guidance can be found in the Lifelong Learning UK Assessment Strategy (see Appendix A of this document).

**Unit 1: Understanding the principles and practices of internally assuring the quality of assessment T/601/5320**

Guided Learning Hours: 45  
Unit Level: 4  
Unit Credit: 6

Unit grid: Learning outcomes/Assessment Criteria/Content

Learning Outcome - The learner will:	Assessment Criteria - The learner can:		Contents:
1. Understand the context and principles of internal quality assurance	1.1	Explain the functions of internal quality assurance in learning and development	<p><b>Functions of internal quality assurance in learning and development:</b> Monitoring and recording the quality of assessment and training, identifying the standards which must be followed, confirming that assessors observe relevant assessment strategies with consistency and accuracy, upholding reputation of qualifications, maintaining quality control, managing risk, guaranteeing accuracy, being aware and up-to-date with development opportunities, identifying additional learner needs, maintaining evidence of performance.</p>
	1.2	Explain the key concepts and principles of the internal quality assurance of assessment	<p><b>Key concepts and principles of the internal quality assurance of assessment:</b> Planning: sampling strategies, identifying assessment requirements, methods and time scale for; monitoring: candidate induction, learner needs, feedback, ensuring consistent and reliable assessment, supporting assessors, recognition of prior learning etc.</p>
	1.3	Explain the roles of practitioners involved in the internal and external quality assurance process	<p><b>Roles of practitioners involved in the internal and external quality assurance process:</b> Practitioners: assessors, trainers, internal quality assurance, external quality assurance, witnesses (including experts); responsibilities: ensuring qualification integrity, observation of relevant occupational standards, responsibilities to the individuals/ organisations concerned.</p>

	1.4	Explain the regulations and requirements for internal quality assurance in own area of practice	<b>The regulations and requirements for internal quality assurance in own area of practice:</b> Additional requirements for Qualifications that use the title NVQ within the QCF (September 2009), Ofqual, Institute for Learning, QCF Regulatory Framework; relevant Sector Skills Councils, Sector Skills Bodies, Awarding Organisations, other companies/ organisations; further requirements: health and safety, data protection, safeguarding learners, maintaining records of and assessment decisions, informing learners as appropriate etc.
2. Understand how to plan the internal quality assurance of assessment	2.1	Evaluate the importance of planning and preparing internal quality assurance activities	<b>Planning and preparing internal quality assurance activities:</b> Scope: types of actions to take, timing; guaranteeing: accuracy, consistency and integrity; awareness of potential negative consequences in the absence of planning and preparation.
	2.2	Explain what an internal quality assurance plan should contain	<b>Internal quality assurance plan:</b> <b>Sampling:</b> Assessors, records, sites, methods, evidence and candidates (groups/ individuals). <b>Methodology and timescale:</b> When interventions will occur, clarifying and observing policies and procedures of the organisation, producing records, individuals to be involved, providing support to colleagues, summative/ interim sampling of assessment decisions.
	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>	<b>Preparations that need to be made for internal quality assurance:</b> Availability of necessary information, identifying which individuals need to be involved, understanding relevant policies and procedures, assembling resources needed for making records, ensuring staff availability, associated costs and additional practical arrangements as required to ensure plans are implemented.

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	<p><b>Different techniques for sampling evidence of assessment:</b> Theme-based sampling, vertical sampling (identical elements from different assessors/sites), horizontal sampling (a particular feature of all units over the course of time); candidate interviews/ statements, liaising with assessors and scrutinising their records, directly observing practice of assessment, consulting witnesses.</p> <p><b>Factors:</b> Numbers of learners, numbers of sites, availability /format of evidence, whether information is stored electronically, quality of assessors (experience, qualifications); regulatory/ awarding body requirements, relevant assessment strategies, organisation policies and procedures.</p>
	3.2	Explain the appropriate criteria to use for judging the quality of the assessment process	<p><b>Appropriate criteria to use for judging the quality of the assessment process:</b> Assessment decisions: objective, consistent and relate to relevant assessment criteria and learning outcomes; evidence/ records: valid, up-to-date and comprehensive; assessors ensure: equality, inclusion, safeguarding, health and safety and relevant learner needs are addressed; ensuring assessors apply: suitable assessment methods according to situation, assessment strategies, regulatory requirements, awarding body requirements and any relevant policies and procedures; compare methods/ conclusions different assessors reach for the same assessment criteria.</p>
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	<p><b>Types of feedback, support and advice for assessors to maintain and improve quality of assessment:</b> Targeted at assessors, relates to their learning needs, factual, constructive, relevant to assessment strategies and policies and procedures, understandable, refers to specific examples/ areas to improve, encourages discussion with other assessors, focuses on on-going and permanent improvement not temporary expedients, identifies useful resources/ training opportunities for assessors and avoids targeting learners.</p>
	4.2	Explain standardisation requirements in relation to assessment	<p><b>Standardisation requirements in relation to assessment:</b> Accuracy, consistency, objectivity; observes: regulatory, awarding body and centre requirements, policies and procedures of organisation and any further regulations as appropriate; frequency: according to number of assessment events, monthly, quarterly etc.</p>

	4.3	Explain relevant procedures regarding disputes about the quality of assessment	Relevant procedures regarding disputes about quality of assessment including: Appeals procedures (awarding organisation, centre), regulatory requirements, policies and procedures of the relevant organisations.
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	Requirements for information management, data protection and confidentiality in relation to internal quality assurance of assessment: Maintaining complete, accurate and relevant records; ensuring records are stored safely and securely and recognising risks/ benefits according to the situation; ensuring centres record the appropriate information; identifying confidential information and which individuals are authorised to access it in accordance with confidentiality rules.
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	Legal issues, policies and procedures relevant to the internal quality assurance of assessment: Relating to awarding organisation, company and regulatory body; covering: secure storage/ restricted access to records, health and safety, equality and diversity, confidentiality, data protection, safeguarding learners.
	6.2	Evaluate different ways in which technology can contribute to the internal quality assurance of assessment	How technology can contribute to internal quality assurance of assessment: Audio/ visual recording of evidence, saved email correspondence between assessors and learners, online tests, electronic portfolios, readily accessible and user-friendly computerised records.
	6.3	Explain the value of reflective practice and continuing professional development in relation to internal quality assurance	The value of reflective practice and continuing professional development in relation to internal quality assurance: Utilising experience: in sector, working with other assessors, quality assurance personnel and learners; keeping up-to-date with relevant National Occupational Guidelines, regulatory, awarding body and organisational requirements; continuous training in the use of relevant technology, sharing effective working practices and adhering to current standards; maintaining knowledge of assessment standards as they develop; using reflection to recognise where knowledge could be improved and identifying methods/ opportunities to do this.

	6.4	Evaluate requirements for equality and diversity and, where appropriate, bilingualism, in relation to the internal quality assurance of assessment	<a href="#">Requirements for equality, diversity and bilingualism in relation to internal quality assurance of assessment</a> : Recognise scope of diversity including: linguistic, gender, ethnicity, religion, sexual orientation, gender etc.; relevant requirements: identify them, appreciate their impact upon quality assurance, how to implement them; observing: Equality Act 2010, Human Rights Act 1998 (Amendment) Order 2004, Code of Practice on the duty to promote race equality 2002, Disability Equality Scheme.
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## Unit 1 Guidance on Delivery and Assessment

### Delivery

This unit develops the learner's knowledge of the principles and practices for internally assuring the quality of assessment. They should understand the context, principles and how to plan the internal quality assurance of assessment. It covers the techniques and criteria for monitoring the quality of assessment internally and how to maintain and improve upon it. The learner should understand how to manage relevant information and the legal and good practice requirements for the internal quality assurance of assessment.

### Assessment

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

There must be valid, authentic and sufficient evidence for all the assessment criteria. However, one piece of evidence may be used to meet the requirements of more than one assessment criterion.

This unit must be assessed in accordance with the Lifelong Learning UK Assessment Strategy (see Appendix A at the end of this document).

### Links

This unit is linked to the National Occupational Standards for Learning and Development Standard 11: Internally monitor and maintain the quality of assessment.

## Appendix A

## Lifelong Learning UK assessment strategy

**Please note: what follows are Lifelong Learning UK requirements for the qualifications described in this booklet. They are not the requirements of the Regulators, Sector Skills Councils or awarding organisations for other qualifications and should not be applied to them. These will be covered by Assessment Strategies relevant to those qualifications.**

### 1. Quality Assurance

Centres offering these qualifications must provide internal quality assurance to ensure that assessment meets all awarding organisation requirements and is standardised across individual assessors, assessment locations and learners. In addition, the awarding organisation must ensure there is a robust system of external quality assurance to ensure quality and standardisation across centres.

Awarding organisations should apply appropriate risk rating measures to individual assessment centres and ensure that robust quality assurance systems are in place to manage these risks on an individual basis.

Lifelong Learning UK will also expect the different awarding organisations offering these qualifications to meet on a regular basis through an Awarding Organisation Forum to compare practice and identify issues of concern.

### 2. Requirements for Assessors

All those who assess these qualifications must:

- already hold the qualification (or previous equivalent qualification) they are assessing and have successfully assessed learners for other qualifications; if assessing quality assurance roles, they must have experience as a qualified quality assurance practitioner of carrying out internal or external quality assurance of qualifications for a minimum of two assessors
- have up-to-date working knowledge and experience of best practice in assessment and quality assurance
- hold one of the following qualifications or their recognised equivalent:
  - the Level 3 Award in Assessing Competence in the Work Environment *or*
  - the Level 3 Certificate in Assessing Vocational Achievement, *or*
  - A1 Assess candidate performance using a range of methods, *or*
  - D32 Assess candidate performance and D33 Assess candidate using differing sources of evidence.
- show current evidence of continuing professional development in assessment and quality assurance.

### 3. Requirements for Internal Quality Assurance

All those who quality assure these qualifications internally must:

- have up-to-date working knowledge and experience of best practice in assessment and quality assurance
- hold one of the following assessor qualifications or their recognised equivalent:
  - the Level 3 Award in Assessing Competence in the Work Environment, *or*
  - the Level 3 Certificate in Assessing Vocational Achievement, *or*
  - A1 Assess candidate performance using a range of methods, *or*
  - D32 Assess candidate performance and D33 Assess candidate using differing sources of evidence.
- hold one of the following internal quality assurance qualifications or their recognised equivalent:
  - the Level 4 Award in the Internal Quality Assurance of Assessment Processes and Practice, *or*
  - the Level 4 Certificate in Leading the Internal Quality Assurance of Assessment Processes and Practice, *or*
  - V1 Conduct internal quality assurance of the assessment process, *or*
  - D34 Internally verify the assessment process.
- show current evidence of continuing professional development in assessment and quality assurance.

### 4. Requirements for External Quality Assurance

All those who externally quality assure these qualifications must:

- have up-to-date working knowledge and experience of best practice in assessment and quality assurance

- hold one of the following assessor qualifications or their recognised equivalent:
  - the Level 3 Award in Assessing Competence in the Work Environment *or*
  - the Level 3 Certificate in Assessing Vocational Achievement, *or*
  - A1 Assess candidate performance using a range of methods, *or*
  - D32 Assess candidate performance and D33 Assess candidate using differing sources of evidence.
- hold one of the following external quality assurance qualifications or their recognised equivalent:
  - the Level 4 Award in Externally Assuring the Quality of Assessment Processes and Practice, *or*
  - the Level 4 Certificate in Leading the External Quality Assurance of Assessment Processes and Practice, *or*
  - V2 Conduct external quality assurance of the assessment process, *or*
  - D35 Externally verify the assessment process
- show current evidence of continuing professional development in assessment and quality assurance.

Best practice would suggest that external quality assurance staff should also hold an appropriate internal quality assurance qualification, either:

- the Level 4 Award in the Internal Quality Assurance of Assessment Processes and Practice, *or*
- the Level 4 Certificate in Leading the Internal Quality Assurance of Assessment Processes and Practice, *or*
- V1 Conduct internal quality assurance of the assessment process, *or*
- D34 Internally verify the assessment process.

## Resources

### Training Resources

Centres may use their own, or published learner support materials in delivering the qualification. Whatever support materials centres choose to use, they should ensure that their delivery methodology adequately prepares the learner for assessment.

IQ endorses published training resources and learner support materials by submitting the materials to a rigorous and robust quality assurance process, thus ensuring such materials are relevant, valid and appropriately support the qualification.

### Resources and Useful Websites

Learning and Skills Improvement Service (LSIS)	<a href="http://www.excellencegateway.org.uk/">http://www.excellencegateway.org.uk/</a>
Council for Administration (CfA)	<a href="http://www.cfa.uk.com/">http://www.cfa.uk.com/</a>
Ofqual	<a href="http://www.ofqual.gov.uk">http://www.ofqual.gov.uk</a>
Health and Safety Executive	<a href="http://www.hse.gov.uk">www.hse.gov.uk</a>
The National Archives (for all UK legislation)	<a href="http://www.legislation.gov.uk">http://www.legislation.gov.uk</a>
National Occupational Standards	<a href="http://www.ukstandards.co.uk">http://www.ukstandards.co.uk</a>