QNUK Level 4 Award in

Understanding External Quality Assurance of Assessment Processes and Practice (RQF)

601/6013/5

Contents

1. Introduction

Qualifications Network Limited (QNUK) is an Awarding Organisation recognised and regulated by the Office of Qualifications and Examinations (Ofqual) in England, the Council for Curriculum, Examinations and Assessment (CCEA) in Northern Ireland and Qualifications Wales.

This specification outlines key information required by users of this qualification to ensure they can make an informed decision about the suitability of the qualification they are taking or proposing to take for the purposes that they intend to use it.

2. Contact Us

Please get in touch if you need any advice or guidance with this qualification.

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3. Version Number

Centres should make sure they are using the most up to date document by checking the footer which will confirm the current version number.

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4. Qualification Objective

This qualification is for experienced Internal Quality Assurers who wish to develop their understanding of the principles and practices of externally assuring the quality of assessment. This qualification will support a role in the workplace.

5. Sector Support and Industry Recognition

This qualification relates to the Professional Standards in Teaching in the Lifelong Learning Sector, supported by the Education and Training Foundation.

6. Geographical Coverage of this Qualification

This qualification is available in across the UK. The qualification can be delivered internationally; however, learners should be aware that the protocols meet current UK guidelines.

7. Benefit for Learners

This qualification develops knowledge and understanding of the external quality assurance of assessment processes and practices in a training provider, FE college or an organisation's inhouse training department in a variety of sectors. This qualification could help progression into an internal quality assurance role.

8. Progression

Learners could progress to:

- QNUK Level 4 Award in the External Quality Assurance of Assessment Process and Practice (RQF)
- into employment as an trainee External Quality Assurer

9. Recognition of Prior Learning

QNUK are unable to accept requests for recognition of prior learning (RPL) for this qualification.

10. Complementary Courses

This qualification will complement any course providing the learner with an additional skillset to enhance their employability.

11. Qualification Information

Qualification Number (QN)	601/6013/5
Learning Aim	60160135
Total Qualification Time (TQT)	60
Guided Learning Hours (GLH)	45
Credit value	6
Level	4
Validity	Lifetime
Assessment	Portfolio of Evidence
Achieving the qualification	Learners must achieve the mandatory unit

12. Qualification Structure

Unit No.	Unit Title	Level	Credit	GLH
Mandatory units				
F/601/5322	Understanding the Principles and Practices of Externally Assuring the Quality of Assessment	4	6	45

The learning outcomes for the qualification may be found in Appendix 1. The Assessment Guidance details the assessment criteria which are used to determine if a learner has met the requirements of the learning outcomes. Further depth of coverage is also provided in the Assessment Guidance.

13. Learner Entry Requirements

It is recommended that learners have experience of assessment and internal quality assurance. It would be helpful if one of the following qualifications were held:

- Level 3 Award in Assessing Competence in the Work Environment
- Level 3 Award in Assessing Vocationally Related Achievement
- Level 3 Certificate in Assessing Vocational Achievement
- Level 4 Award in Internal Quality Assurance of Assessment Processes and Practice
- A1 Assess Candidate Performance using a Range of Methods
- A2 Assess Candidate Performance through Observation
- V1 Conduct Internal Quality Assurance of the Assessment Process

Entry is at the discretion of the centre; however, learners should be aged 19 years and over to take this qualification.

Learners must have sufficient command of the English language to understand and undertake the recommended assessment methods for this qualification.

There are no other pre-requisites for this qualification. However, learners should be able to work at level 3 and above.

14. Delivery

This qualification can be delivered in a face-to-face setting or remotely by appropriate online methodology. Learners should complete the qualification within 12 months.

14.1. Venue Requirements

The training venue should be suitable for learning and meet all relevant Health and Safety requirements.

14.2. Blended Learning

Blended learning is acceptable for this qualification provided suitable controls are in place to ensure learners complete all elements.

14.3. Trainer to Learner Ratio

There is no maximum Trainer to learner ratio for this qualification; however, Trainers/Assessors must be able to support all learners robustly, equally and fairly.

15. Centre Personnel Requirements

This qualification is delivery by suitably qualified trainers.

All those who assess this qualification must:

1. Already hold the qualification they are assessing and must have experience as a qualified Quality Assurance practitioner carrying out internal or external quality assurance of qualifications for a minimum of two assessors.
2. have up-to-date working knowledge and experience of best practice in assessment and quality assurance;
3. hold one of the following qualifications or their recognised equivalent:
    a. Level 3 Award in Assessing Competence in the Work Environment (QCF/RQF); or
    b. Level 3 Certificate in Assessing Vocational Achievement (QCF/RQF); or
    c. A1 Assess candidate performance using a range of methods; or
    d. D32 Assess candidate performance and D33 Assess candidate using differing sources of evidence; and
4. show current evidence of continuing professional development in assessment and quality assurance.

Internal Quality Assurance Requirements

Each centre must have access to a suitably qualified IQA. The IQA cannot verify the delivery or assessment of individual learners or cohorts of learners where the IQA has been involved in the delivery or assessment of the qualification for those learners.

All those who are involved with the quality assurance of this qualification **internally** must:

1. have up-to-date working knowledge and experience of best practice in assessment and quality assurance;
2. hold one of the following assessor qualifications or their recognised equivalent:
    a. Level 3 Award in Assessing Competence in the Work Environment (QCF/RQF); or
    b. Level 3 Certificate in Assessing Vocational Achievement (QCF/RQF); or
    c. A1 Assess candidate performance using a range of methods; or
    d. D32 Assess candidate performance and D33 Assess candidate using differing sources of evidence;
3. hold one of the following internal quality assurance qualifications or their recognised equivalent:
    a. Level 4 Award in Internal Quality Assurance of Assessment Processes and Practice (QCF/RQF); or
    b. Level 4 Certificate in Leading the Internal Quality Assurance of Assessment Processes and Practice (QCF/RQF); or

c. V1 Conduct internal quality assurance of the assessment process; or

d. D34 Internally verify the assessment process; and

4. show current evidence of continuing professional development in assessment and quality assurance.

16. Assessment Requirements

There is no requirement for the units to be assessed separately. A holistic approach should be adopted wherever possible and Assessors are encouraged to use one activity as evidence for learning outcomes and assessment criteria across more than one unit. Learners must ensure that evidence for each assessment criteria is clearly identified.

Learners are assessed for this qualification through:

16.1. Portfolio of Evidence

Learners are assessed for this qualification using a portfolio of evidence. Learners are expected to produce valid, authentic and sufficient evidence for all assessment criteria in this qualification. 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.

The portfolio can include a range of assessment methods including:

- Written Questions
- Work Product
- Observation

Direct evidence such as this may be supplemented, where necessary, by:

- Professional discussion
- Reflective accounts
- Witness testimony

Language of assessment	English
Duration	As required
Pass mark	100%
Grading	Pass/Fail

Simulation is not permitted in this qualification.

17. Moderation

The level of external moderation required for this qualification will be risk based and in line with the Centre Assessment Standards Scrutiny Strategy applicable to this qualification.

There may be situations within the centre devised assessment methodology that require observations, in these situations QNUK EQA Department will also require to conduct verification visits to ensure the accuracy and consistency of assessment decisions.

QNUK EQA Department will advise the centre of the required levels of moderation/verification to anticipate for this qualification upon centre approval for delivery.

18. Resits

As this qualification is evidence based, resits are not required, however appropriate referral of submitted work from the learner may be used where additional detail or depth of knowledge is required.

19. Reasonable Adjustments

Learners are required to complete the assessments in a manner appropriate to the purpose of the qualification.

The prescribed assessment methods for this qualification should not unfairly disadvantage learners who would otherwise be able to demonstrate competence in line with the purpose of the qualification. Learners should contact their centre to discuss reasonable adjustment if they feel the prescribed assessment methods would disadvantage them.

20. Results

The centre is required to submit learner results within 10 working days of assessment to Qualifications Network UK for moderation. We will issue verified results and appropriate certification to the approved centre within 7 working days of receiving the results. Centres will forward results and/or certificates to learners, who can expect to receive them within 20 working days of taking the assessment. If learners have not received results and/or certificates within 25 working days, they should contact the centre in the first instance.

Appendix 1: Units

Unit 1 Understanding the Principles and Practices of Externally Assuring the Quality of Assessment (F/601/5322)

Unit Summary

This unit develops understanding of the principles and practices of external quality assurance. Learners will understand how to plan the external quality assurance of assessment, how to externally evaluate the quality of assessment and internal quality assurance and how to externally maintain and improve the quality of assessment. How to manage information relevant to, and the legal and good practice requirements for, the external quality assurance of assessment are also covered in this unit.

1. The learner will: Understand the context and principles of external quality assurance		
Assessment Guidance		**Types of Evidence**
1.1	Analyse the functions of external quality assurance of assessment in learning and development	Written Questions
1.2	Evaluate the key concepts and principles of external quality assurance of assessment	Written Questions
1.3	Evaluate the roles of practitioners involved in the quality assurance process	Written Questions
1.4	Explain the regulations and requirements for external and internal quality assurance in own area of practice	Written Questions

2. The learner will: Understand how to plan the external quality assurance of assessment		
Assessment Guidance		**Types of Evidence**
2.1	Evaluate the importance of planning and preparing external quality assurance activities	Written Questions
2.2	Explain what an external quality assurance plan should contain	Written Questions
2.3	Summarise the preparations that need to be made for external quality assurance activities	Written Questions
2.4	Explain how to adapt external monitoring and evaluation approaches to meet customer need without compromising quality standards	Written Questions

3. The learner will: Understand how to externally evaluate the quality of assessment and internal quality assurance		
Assessment Guidance		**Types of Evidence**
3.1	Explain the procedures for externally monitoring and evaluating internal quality assurance arrangements and practices	Written Questions
3.2	Interpret the requirements for externally monitoring and evaluating internal assessment arrangements and practices	Written Questions

3.3	Evaluate different techniques for externally sampling evidence of assessment, including those that use technology	Written Questions

4. The learner will: Understand how to externally maintain and improve the quality of assessment		
Assessment Guidance		**Types of Evidence**
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	Written Questions
4.2	Evaluate standardisation requirements relevant to the external quality assurance of assessment	Written Questions
4.3	Explain the importance of providing feedback, support and advice to internal assessment and quality assurance staff that is consistent with standardisation requirements	Written Questions
4.4	Explain the relevant procedures to follow when there are disputes concerning quality assurance and assessment	Written Questions

5. The learner will: Understand how to manage information relevant to external quality assurance		
Assessment Guidance		**Types of Evidence**
5.1	Evaluate requirements for information management, data protection and confidentiality in relation to external quality assurance	Written Questions

6. The learner will: Understand the legal and good practice requirements relating to external quality assurance		
Assessment Guidance		**Types of Evidence**
6.1	Evaluate legal issues, policies and procedures that are relevant to external quality assurance, including those for Health, Safety and Welfare	Written Questions
6.2	Critically compare different ways in which technology can contribute to external quality assurance	Written Questions
6.3	Evaluate requirements for equality and diversity and, where appropriate, bilingualism, in relation to the external quality assurance of assessment	Written Questions
6.4	Explain the value of reflective practice and continuing professional development in relation to external quality assurance	Written Questions

Rationale for level

	Level	Emphasis	Comments
Knowledge	4	Strong	
Skills	N/A	N/A	
Overall	4		

Rationale for TUT and credit

	Hours	Comments	
Guided learning	45		
Directed study	N/A		
Independent study	15		
Non invigilated assessment	N/A		
TUT:	60	**Credit:**	6

What needs to be learnt?

Unit 1 Understanding the Principles and Practices of Externally Assuring the Quality of Assessment (F/601/5322)

1.1	The functions of external quality assurance of assessment in learning and development including: • definition of external quality assurance • purpose of quality assurance in assessment of product and process • learning cycle • standardisation: moderation of assessment against assessment criteria and specified standards, between assessors, between students, between qualifications and programmes of learning, between centres • checking organisation standards and national standards • requirements of Awarding Organisation, occupational/national standards, ensuring systems are robust, fit for purpose, justified, reliable, reviewed, have specific targets; accountability, benchmarking, leading to improvement.
1.2	The key concepts and principles of external quality assurance of assessment including: • planning cycle: planning stage; timing of quality assurance - ongoing/final, per term, annual, per unit, per student • quality assurance of process and product: standardisation between assessment methods, between assessors, use of range of evidence; standardisation across cohorts and time; standardisation meetings, face-to-face, online, desk-based.

1.3	The roles of practitioners involved in the quality assurance process Roles: • Assessors/tutors: plan, deliver, judge, record, communicate assessment outcomes • Internal Quality Assurer: plan, monitor, review, intervene, organise meetings and develop standards • External Quality Assurer: plan, monitor, review, advise, report decisions • Quality Assurance Manager: overseeing quality assurance processes rather than quality assurance of products • Peers/Mentors: provide support, advice and guidance to colleagues.
1.4	The regulations and requirements for external and internal quality assurance in own area of practice including: • organisational policies and procedures: Health and Safety; Equal Opportunities; Quality Assurance Strategy; recording and reporting; internal review; self-assessment review; self-improvement plans; meeting workplace requirements • regulatory bodies: Ofqual, CCEA, Quals Wales, SQA, Sector Skills Councils (SSCs), Ofsted, Awarding Organisations, employers, accountability, benchmarking, integrity of programmes, measures of achievement.
2.1	The importance of planning and preparing external quality assurance activities including: • requirements e.g. product versus process, standards, involvement of students, assessors, trainers, teachers, tutors, employers, others • evidence e.g. observation of performance, performance evidence, tracking and logging documents, meetings of assessment teams • timing of activities e.g. per assessment, ongoing/interim, final, per module, term, annual, at planning stage • quality assurance of process and product.
2.2	What an external quality assurance plan should contain including: • details of coverage e.g. unit(s), learning outcomes(s), assessment criteria, assessment methods, assessor/teacher, all/randomly selected students, specific work products • purpose of activity e.g. standardisation meetings, standardising current and new standards, completing documentation, consistent and standardised approaches • necessary flexibility to account for emerging needs such as interventions; monitoring and observation of assessment practice, interviews, feedback from peers, employers, students, sharing best/good practice, work shadowing • frequency of activity e.g. monthly, termly, annually • work product; process reviews.
2.3	The preparations that need to be made for external quality assurance activities including: • information collection – planning appropriate ways to collect; analysis of data collected • communications – communicating and negotiating with students, assessors, colleagues, employers • administrative arrangements – such as venue, timing, meeting agenda, CPD activities to prepare participants • resources – assessor records, assessment plans, sampling, organisation documentation, templates for recording outcomes, action plans, opportunities for professional progression.

2.4	How to adapt external monitoring and evaluation approaches to meet customer need without compromising quality standards including: • approaches e.g. timing and content of visits, negotiating visit plan/agenda prior to monitoring activity, negotiating monitoring through selected assessors, identifying specific needs for monitoring, meeting range of assessors and verifiers. • feedback e.g. providing supportive feedback, recommendations, advice and guidance to share good/best practice, considering issues raised in team meetings and by students, identifying issues and problems, views of staff on measures and ways to enhance the programme.
3.1	The procedures for externally monitoring and evaluating internal quality assurance arrangements and practices including: • identifying people in the process e.g. assessor, teacher, tutor, internal and external quality assurance personnel, standards verifier, Quality Assurance Manager, employer • Awarding Organisation requirements e.g. range of work, assessments required for review, involvement of students, assessors, trainers, teachers, tutors, employers, others • monitoring activities e.g. observation of practice, discussions, interviews, statements, team meetings, product sampling • timing and context e.g. per assessment, at planning stage, ongoing, interim or final, per module, term, annual • quality assurance of process and product • recording and sharing outcomes.
3.2	The requirements for externally monitoring and evaluating internal assessment arrangements and practices including: • organisation policies and procedures e.g. Health and Safety, Equal Opportunities, recording and reporting, Quality Assurance strategy, contribution to internal reviewing processes, self-assessment review • regulatory bodies e.g. Awarding Organisations, SSC, Ofqual, Ofsted, employer, measure of accountability, benchmarking • evaluation of quality assurance documentation e.g. course files, tracking and logging, standardisation procedures, sampling strategies.
3.3	The different techniques for externally sampling evidence of assessment, including those that use technology considering: • sampling of product and process e.g. on-site, desktop, remotely using technology, online sampling portfolio evidence, sampling across students in workplace • methods of sampling product evidence e.g. random, targeted, banded, representative of cohort, percentage coverage, single unit across units • sampling across programme/qualification e.g. skills, knowledge and understanding, across students, assessors, verifies, programmes or contexts.
4.1	The types of feedback, support and advice that internal assessment and quality assurance staff may need to maintain and improve the quality of assessment including: • feedback: one-to-one, written, verbal, informal / formal, online, team meetings, self-assessment review, student feedback, evaluations • support: colleagues, mentor, line manager, Quality Manager, subject specific or additional needs support e.g. staff development team providing continuing professional development, INSET activities. • advice: Awarding Organisations, Sector Skills Councils, Regulatory bodies

4.2	The standardisation requirements relevant to the external quality assurance of assessment including Awarding Organisations, SSCs, Regulatory bodies, standards set by external bodies; standardisation of assessment practice, student's performance of skills, knowledge, understanding, product and process; assessment is reliable, fair, safe, consistent, uniformly applied, judged without bias, robust, repeatable, shared with students, assessment meetings.
4.3	The importance of providing feedback, support and advice to internal assessment and quality assurance staff that is consistent with standardisation requirements including: • feedback e.g. linked to specified outcomes, criteria and standards against a range of available of evidence, setting action points • providing appropriate levels of support e.g. providing opportunity for staff to provide own feedback, avoiding personal issues or bias, peer support, negotiated discussion, focus on positive outcomes, identifying areas for development and improvement, setting realistic targets, identifying opportunities for progression • advice and recommendations e.g. new initiatives, alternative approaches to internal quality assurance or assessment processes, updating currency of regulations, recommending improvements to existing procedures, opportunities for progress and professional development.
4.4	The relevant procedures to follow when there are disputes concerning quality assurance and assessment referring to: • organisational policies and procedures – students should be aware of these; in line with Awarding Organisation policies and procedures; SSC requirements; Ofqual requirements; appeals procedures; assessment meetings; appropriate for the assessment process • disputes – clear procedures for addressing; accessible to all students; assessors/tutors; arbitrator; peer support.
5.1	The requirements for information management, data protection and confidentiality in relation to external quality assurance and should consider: • information management: recording, logging, tracking documentation, outcomes shared with students • safeguarding recording and storage of information: organisational procedures; data protection; security and safety of paper-based records; electronic formats for recording and storage and electronic safeguards; secure environment for providing feedback to student • confidentiality: identifying those with legitimate access, limiting access, recording evidence in a way that can be shared with appropriate access, team meetings, assessment or standardisation meetings.
6.1	The legal issues, policies and procedures that are relevant to external quality assurance, including those for Health, Safety and Welfare referring to: • regulatory bodies: Ofqual, CCEA, Quals Wales, SQA, SSCs, Awarding Organisations, Education and Training Foundation • regulations: Health and Safety, Data Protection, Equality and Diversity • organisation policies and procedures for quality assurance: safeguarding students during assessment; standardisation, moderation and verification of assessment; appeal procedures.
6.2	The different ways in which technology can contribute to external quality assurance considering storage; retrieving evidence from initial assessments; online testing; recording audio/visual evidence; assignments/coursework submitted electronically; electronic feedback to learners including email; using technology to record and store assessment evidence; software; Awarding Organisation's online provision; students managing own electronic records; security; authenticity of evidence; online CPD provision and recording.

6.3	The requirements for equality and diversity and, where appropriate, bilingualism, in relation to the external quality assurance of assessment including identifying good practice e.g. relevant legislation, employment regulations and policies, codes of practice relevant to the promotion of equality and diversity, identifying forms of inequality and discrimination and their impact on individuals, visual auditory impairment, physical disability, bilingualism, additional support in assessment of skills, knowledge, understanding, alternative strategies, identifying and addressing individual needs as appropriate.
6.4	The value of reflective practice and continuing professional development in relation to external quality assurance including: • reflective practice: self-assessment and evaluation; analysis of strengths, weakness, opportunities, threats; setting realistic targets and goals for own development in relation to quality assurance; feedback from students, colleagues, managers, external quality assurers, other professionals; self and quality assurance team reviews; formal / informal evaluation requirements; observation reports; appraisals; milestones; monitoring; modifications. • continual professional development: updating assessment knowledge; occupational expertise; modifications to quality assurance plans; developing technologies to extend and enhance assessment process; contributing to curriculum development.

Appendix 2: Command Verbs

To ensure that learners can meet the requirements of each criterion, they should be explained to the learner prior to assessment and fully understood by the Assessor for this qualification.	
Analyse	Examine in detail to discover meaning or break down into component parts to develop understanding
Apply	Explain how knowledge, practices, policies and standards can be linked to new or different situations
Carry out	Conduct
Communicate	Share / exchange information with relevant audience
Critically compare	Making judgements on relative features, effectiveness or outcome of two or more examples
Critically reflect	Making judgements on own learning to consider improvements or what should be done differently next time
Determine	Conclude after observation or consideration
Ensure arrangements	Make certain plans can be carried out accordingly
Evaluate	Review evidence from different perspectives and come to a valid conclusion or reasoned judgement
Explain	Make clear / Give reasons for
Interpret	Understand the context and provide meaning
Maintain currency	Keep up to date with occupational and educational developments
Plan	Organise information and activities in a logical way to achieve desired outcomes
Provide	Supply relevant information, products or resource
Summarise	Brief account giving the main points