

ABC Awards

**SEG Awards ABC Level 4 Award in
Understanding the Internal Quality
Assurance of Assessment Processes and
Practice**

**SEG Awards ABC Level 4 Award in the
Internal Quality Assurance of
Assessment Processes and Practice**

**SEG Awards ABC Level 4 Certificate in
Leading the Internal Quality Assurance
of Assessment Processes and Practice**

Qualification Guidance

[60001781]

[60001793]

[6000180X]

About Us

At the Skills and Education SEG Awards (ABC)¹ we continually invest in high quality qualifications, assessments and services for our chosen sectors. As a UK leading sector specialist we continue to support employers and skills providers to enable individuals to achieve the skills and knowledge needed to raise professional standards across our sectors.

ABC has an on-line registration system to help customers register learners on its qualifications, units and exams. In addition it provides features to view exam results, invoices, mark sheets and other information about learners already registered.

The system is accessed via a web browser by connecting to our secure website using a username and password:

https://secure.ABCawards.co.uk/ors/secure_login.asp

Sources of Additional Information

The ABC website www.ABCawards.co.uk provides access to a wide variety of information.

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Contents

Qualification Summary	1
Introduction	11
Aims	11
Target Group	11
Progression Opportunities	12
Unit Details	13
Recognition of Prior Learning (RPL), Exemption and Credit Transfer	58
Certification	59
Glossary of Terms	60

This is a live document and as such will be updated when required. It is the responsibility of the approved centre to ensure the most up-to-date version of the Qualification Guide is in use. Any amendments will be published on our website and centres are encouraged to check this site regularly.

Qualification Summary

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

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

ABC Level 4 Certificate in Leading the Internal Quality Assurance of Assessment Processes and Practice

Qualifications	
<p>Level 4 Award in Understanding the Internal Quality Assurance of Assessment Processes and Practice [60001781] Op End Date: 31/12/2017</p> <p>Level 4 Award in the Internal Quality Assurance of Assessment Processes and Practice [60001793]</p> <p>Level 4 Certificate in Leading the Internal Quality Assurance of Assessment Processes and Practice [6000180X] Op End Date: 31/12/2017</p>	
Assessment	Internal assessment, internal and external moderation
Grading	Pass
Progression	<p>Learners will be able to progress through awards to certificates and, if appropriate to their job role, could progress to:</p> <p>ABC Level 4 Award in Understanding the External Quality Assurance of Assessment Processes and Practice</p> <p>ABC Level 4 Award in the External Quality Assurance of Assessment Processes and Practice</p> <p>ABC Level 4 Certificate in Leading the External Quality Assurance of Assessment Processes and Practice</p> <p>Centres should be aware that reasonable Adjustments which may be permitted for assessment may in some instances limit a learner's progression into the sector. Centres must, therefore, inform learners of any limits their learning difficulty may impose on future</p>

	progression.
Operational Start Date	01/03/2011
Review Date	<p>The review date is 31/12/2018 for the following qualifications:</p> <ul style="list-style-type: none"> • Level 4 Award in the Internal Quality Assurance of Assessment Processes and Practice (Ofqual Ref: 60001793) • Level 4 Award in Understanding the Internal Quality Assurance of Assessment Processes and Practice (Ofqual Ref: 60001781) <p>The review date is 31/05/2017 for the following qualification:</p> <ul style="list-style-type: none"> • Level 4 Certificate in Leading the Internal Quality Assurance of Assessment Processes and Practice (Ofqual Ref: 6000180X)
Operational End Date	<p>Level 4 Certificate in Leading the Internal Quality Assurance of Assessment Processes and Practice (Ofqual Ref: 6000180X): 31/12/2017</p> <p>Level 4 Award in Understanding the Internal Quality Assurance of Assessment Processes and Practice (Ofqual Ref: 60001781) 31/12/2017</p>
Certification End Date	<p>Level 4 Certificate in Leading the Internal Quality Assurance of Assessment Processes and Practice (Ofqual Ref: 6000180X): 31/12/2021</p> <p>Level 4 Award in Understanding the Internal Quality Assurance of Assessment Processes and Practice (Ofqual Ref: 60001781) 31/12/2018</p>
ABC Sector	Teaching and Learning Support
QCDA Tier 2 Sector	13.1 Teaching and Lecturing Unit H/600/9674 Plan, allocate and monitor work in own area of responsibility:

	1.4 Public services, 14.1 Foundations for learning and life, 15.2 Administration, 15.3 Business management, 15.4 Marketing and sales
Support from sector bodies	Lifelong Learning UK
ABC Administering Office	Additional guidance and advice to support these qualifications and units is freely available to approved ABC centres. See ABC web site for the contact details of the administering office

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

Rules of Combination: Learners must achieve a minimum of 6 credits from the one mandatory unit.

Unit	Level	Credit Value	GLH
Mandatory Unit			
Understanding the principles and practices of internally assuring the quality of assessment [T/601/5320]	4	6	45

Numbers in box brackets indicate unit number

If learners achieve credits from units of the same title (or linked titles) at more than one level, they cannot count credits achieved from both units towards the credit target of a qualification.

Entry Requirements	This qualification is intended for those who wish to gain an understanding of the principles and practices of internal quality assurance without any requirement to practise.					
Section 96/97	Pre 16		16 – 18		19 +	✓
LAD Aim Reference	60001781					
Recommended GLH²	45					
Recommended TQT³	60					
Points Score	See ABC web site / Qualifications Directory					
Contribution to Threshold	See ABC Qualifications Directory					
ASL Option	N/A					
Foundation Learning	N/A					
Type of Funding Available	See LAD (Learning Aims Database)					
Minimum Qualification Fee	See ABC web site for current fees and charges					
Unit Fee	Unit fees are based upon a unit's individual credit value. Please see the ABC web site for the current					

² See Glossary of Terms

³ See Glossary of Terms

	fee charged per credit.
Additional Information	Please see ABC web site for qualifications that are eligible for Credit Transfer/RPL/Exemption

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

Rules of Combination: Learners must achieve a minimum of 12 credits from the two mandatory units.

Unit	Level	Credit Value	GLH
Mandatory Units			
Understanding the principles and practices of internally assuring the quality of assessment [T/601/5320]	4	6	45
Internally assure the quality of assessment [A/601/5321]	4	6	45

Numbers in box brackets indicate unit number

If learners achieve credits from units of the same title (or linked titles) at more than one level, they cannot count credits achieved from both units towards the credit target of a qualification.

Entry Requirements	The qualification is intended for those who maintain the quality of assessment from within an organisation or assessment centre.					
Section 96/97	Pre 16		16 – 18		19 +	✓
LAD Aim Reference	60001793					
Recommended GLH⁴	90					
Recommended TQT⁵	120					
Points Score	See ABC web site / Qualifications Directory					
Contribution to Threshold	See ABC Qualifications Directory					
ASL Option	N/A					
Foundation Learning	N/A					
Type of Funding Available	See LAD (Learning Aims Database)					
Minimum Qualification Fee	See ABC web site for current fees and charges					

⁴ See Glossary of Terms

⁵ See Glossary of Terms

Unit Fee	Unit fees are based upon a unit's individual credit value. Please see the ABC web site for the current fee charged per credit.
Additional Information	Please see ABC web site for qualifications that are eligible for Credit Transfer/RPL/Exemption

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

Rules of Combination: Learners must achieve a minimum of 17 credits from the three mandatory units.

Unit	Level	Credit Value	GLH
Mandatory Units			
Understanding the principles and practices of internally assuring the quality of assessment [T/601/5320]	4	6	45
Internally assure the quality of assessment [A/601/5321]	4	6	45
Plan, allocate and monitor work in own area of responsibility [H/600/9674]	4	5	25

Numbers in box brackets indicate unit number

If learners achieve credits from units of the same title (or linked titles) at more than one level, they cannot count credits achieved from both units towards the credit target of a qualification.

Entry Requirements	This qualification is intended for those who lead a team of internal quality assurance staff.					
Section 96/97	Pre 16		16 – 18		19 +	✓
LAD Aim Reference	6000180X					
Recommended GLH⁶	115					
Recommended TQT⁷	170					
Points Score	See ABC web site / Qualifications Directory					
Contribution to Threshold	See ABC Qualifications Directory					
ASL Option	N/A					
Foundation Learning	N/A					
Type of Funding Available	See LAD (Learning Aims Database)					
Minimum	See ABC web site for current fees and charges					

⁶ See Glossary of Terms

⁷ See Glossary of Terms

Qualification Fee	
Unit Fee	Unit fees are based upon a unit's individual credit value. Please see the ABC web site for the current fee charged per credit.
Additional Information	Please see ABC web site for qualifications that are eligible for Credit Transfer/RPL/Exemption

Introduction

These qualifications were developed with Lifelong Learning UK. The Level 4 Award consisting of one unit is for those who wish to gain an understanding of the principles and practices of internal quality assurance without any requirement to practise and the two unit Award is for those who wish to maintain the quality of assessment from within an organisation or assessment centre. The Level 4 Certificate is intended for those who lead a team of internal quality assurance staff.

Aims

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

This qualification is intended for those who wish to gain an understanding of the principles and practices of internal quality assurance without any requirement to practise.

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

This qualification is intended for those who maintain the quality of assessment from within an organisation or assessment centre.

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

This qualification is intended for those who lead a team of internal quality assurance staff.

Target Group

These qualifications are designed for those learners who are aged 19+ and who wish to gain the essential knowledge and understanding of the principles and practices that underpin the internal quality assurance of assessment. They are also intended for those who maintain the quality of assessment within an organisation and for those who lead a team of internal quality assurance staff.

ABC expects approved centres to recruit with integrity on the basis of a learner's ability to contribute to and successfully complete all the requirements of a unit(s) or the full qualification

Progression Opportunities

Learners will be able to progress through Awards to Certificates. If appropriate to an individual's job role, learners could progress to ABC's qualifications for External Quality Assurance.

Centres should be aware that Reasonable Adjustments which may be permitted for assessment may in some instances limit a learner's progression into the sector. Centres must, therefore, inform learners of any limits their learning difficulty may impose on future progression.

Language

These specifications and associated assessment materials are in English only.

Unit Details

Understanding the Principles and Practices of Internally Assuring the Quality of Assessment

Unit Reference	T/601/5320
Level	4
Credit Value	6
Guided Learning Hours	45
Unit Summary	<p>The aim of this unit is to assess the knowledge and understanding a learning and development practitioner requires for the internal quality assurance of assessment.</p> <p>'Practitioner' means anyone with a learning and development responsibility as the whole or a part of their role</p>
Learning Outcomes (1 to 6) <i>The learner will</i>	Assessment Criteria (1.1 to 6.4) <i>The learner can</i>
1. Understand the context and principles of internal quality assurance	<p>1.1 Explain the functions of internal quality assurance in learning and development</p> <p>1.2 Explain the key concepts and principles of the internal quality assurance of assessment</p> <p>1.3 Explain the roles of practitioners involved in the internal and external quality assurance process</p> <p>1.4 Explain the regulations and requirements for internal quality assurance in own area of practice</p>
2. Understand how to	2.1 Evaluate the importance of planning and

<p>plan the internal quality assurance of assessment</p>	<p>preparing internal quality assurance activities</p> <p>2.2 Explain what an internal quality assurance plan should contain</p> <p>2.3 Summarise the preparations that need to be made for internal quality assurance, including</p> <ul style="list-style-type: none"> • information collection • communications • administrative arrangements • resources
<p>3. Understand techniques and criteria for monitoring the quality of assessment internally</p>	<p>3.1 Evaluate different techniques for sampling evidence of assessment, including use of technology</p> <p>3.2 Explain the appropriate criteria to use for judging the quality of the assessment process</p>
<p>4. Understand how to internally maintain and improve the quality of assessment</p>	<p>4.1 Summarise the types of feedback, support and advice that assessors may need to maintain and improve the quality of assessment</p> <p>4.2 Explain standardisation requirements in relation to assessment</p> <p>4.3 Explain relevant procedures regarding disputes about the quality of assessment</p>
<p>5. Understand how to manage information relevant to the internal quality assurance of assessment</p>	<p>5.1 Evaluate requirements for information management, data protection and confidentiality in relation to the internal quality assurance of assessment</p>
<p>6. Understand the</p>	<p>6.1 Evaluate legal issues, policies and procedures</p>

<p>legal and good practice requirements for the internal quality assurance of assessment</p>	<p>relevant to the internal quality assurance of assessment, including those for health, safety and welfare</p> <p>6.2 Evaluate different ways in which technology can contribute to the internal quality assurance of assessment</p> <p>6.3 Explain the value of reflective practice and continuing professional development in relation to internal quality assurance</p> <p>6.4 Evaluate requirements for equality and diversity and, where appropriate, bilingualism, in relation to the internal quality assurance of assessment</p>
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Mapping to National Occupational Standards
 Learning and Development NOS Standard 11: Internally monitor and maintain the quality of assessment.

Supporting Unit Information

T/601/5320 Understanding the principles and practices of internally assuring the quality of assessment – Level 4

Indicative Content

Learning Outcome 1. Understand the context and principles of internal quality assurance

1.1 Explain the functions of internal quality assurance in learning and development

Centres have the responsibility for quality assuring the assessment process and ensuring that decisions made by the assessors are accurate and reliable. Internal quality assurers carry out this role and it should happen at regular intervals during learner progress towards a qualification. This enables any incorrect decisions or inconsistencies to be put right as soon as possible. Internal quality assurers are required to make a final or summative check on each learner's portfolio of evidence prior to claiming for certification.

The activities can include

- internal moderation of assessment to assessment criteria and standards, between learners, between assessors, between programmes, between qualifications, between employers
- checking organisation standards and national standards e.g. requirement of awarding organisation, occupational, vocational standards, integrity of programmes, accountability, measure of achievement, benchmarking
- identifying Continuing Professional Development (CPD) needs

1.2 Explain the key concepts and principles of the internal quality assurance of assessment

The internal quality assurer's role includes supporting assessors, monitoring the quality of their performance and ensuring standardisation sessions are set up for the assessment team. Internal quality assurers are also responsible for operating and evaluating the centre's quality assurance system to ensure it is effective in satisfying the requirements of the awarding organisation and other organisations which carry out external audits.

The internal quality assurer needs to

- work closely with the team of assessors to ensure quality provision and consistent assessment practices

- ensure consistent assessment practices via the sampling of learner assessments
- ensure that assessment and internal quality assurance records and documentation are suitable and meet the requirements of the awarding organisation
- ensure that certification requests to the awarding organisation are based on accurate and consistent assessment decisions
- provide the assessors with ongoing support and guidance
- plan timings of quality assurance activity e.g. planning stage, ongoing, final, per module, termly, annually etc.

1.3 Explain the roles of practitioners involved in the internal and external quality assurance process

The internal quality assurer plays a key role within the centre's quality assurance system particularly with regard to certification and staff development. Internal quality assurance activities should feed into the overall management structure within the centre. The internal quality assurer needs to ensure that when certification is claimed a learner has achieved the required national standards for that qualification. The three main aspects of the internal quality assurer's role are to

- internally quality assure assessments
- develop and support the assessment team
- for the qualifications delivered, manage the quality

The external quality assurer is the key link between the centre and the awarding organisation. The main aspects of the external quality assurer's role are to

- ensure assessment decisions across centres are consistent
- ensure that the quality of assessment and internal quality assurance within centres meets the national standards
- ensure that during external quality assurance activities at centres learner assessments are sampled and assessment and internal quality assurance practices are monitored
- ensure centres are provided with positive constructive feedback
- carry out regular visits to centres and assessment locations following awarding organisation guidelines

1.4 Explain the regulations and requirements for internal quality assurance in own area of practice

The aims of the internal quality assurer are to ensure that assessment decisions are consistent and reliable, to monitor the assessment quality and to highlight any development needs of the assessment team. This is achieved by sampling learner assessments, monitoring the assessment practices of assessors and carrying out

standardisation initiatives with the assessment team. The internal quality assurer's role includes ensuring that the assessment team are provided with help, support and guidance on an ongoing basis. This is particularly the case when

- a new assessor joins the team
- the occupational standards change or the guidance provided is revised
- action plans arise after external quality assurance activities

The internal quality assurer needs to ensure that all of the assessment team have copies of the national occupational standards and are provided with standardised assessment centre documentation. The internal quality assurer needs to ensure the assessment resources including staff and workplaces are effectively managed and planned. The external quality assurer is a key link between the centre, the awarding organisation and regulatory bodies.

Also need to operate within own organisation's policies and procedures e.g. health and safety, equal opportunities, recording and reporting, quality assurance strategy, contribution to internal reviewing processes/self-assessment review (SAR); regulatory bodies e.g. standards, levels, performance/assessment criteria, skills, knowledge, understanding, awarding organisation, SSC, Ofqual, Ofsted, employer, measure of accountability.

Learning Outcome 2. Understand how to plan the internal quality assurance of assessment

2.1 Evaluate the importance of planning and preparing internal quality assurance activities

Planning starts at the beginning of the programme once the learners have been inducted, allocated assessors and registered for the qualification to be undertaken. The internal quality assurer develops a schedule to ensure that all assessors, learners, units, methods of assessment, records of assessment and satellite sub-centres are sampled during the programme.

Sampling assessments should involve reviewing the quality of assessor judgements during the formative (interim) stage and carrying out a final summative check prior to claims for certification. Internal quality assurance activities include assessor observations, sampling of learner portfolios of evidence, quality assurance meetings and standardisation initiatives.

2.2 Explain what an internal quality assurance plan should contain.

In developing an internal quality assurance strategy the following need to be taken into account

- length of time the qualification has been offered by the centre
- number and experience of assessors
- number of registered learners and type e.g. full or part time
- programme start dates
- satellite sub-centres if appropriate
- assessment methods and types of evidence generated
- previous action plans
- size of sample needed to ensure consistency and reliability

The internal quality assurer then needs to develop a sampling plan.

This needs to reflect the quality of assessments within the centre and support confidence that those decisions not sampled also meet the national occupational standards. The sampling plan should cover

- assessors
- registered learners
- methods of assessment
- evidence generated
- assessment records
- location of the assessments

2.3 Summarise the preparations that need to be made for internal quality assurance, including

Information collection. In preparing for internal quality assurance, information needs to be provided by the assessor on the title and level of qualification, registered learners, dates of registration and first assessment, assessment locations, units to be assessed, any special assessment needs or requirements and methods of assessment. These details should be recorded on appropriate tracking documentation.

Communications. The internal quality assurer and assessor should discuss how sampling of learner evidence and assessment decisions will take place. This could be done either verbally or electronically. The sampling strategy should be documented once agreed. The internal quality assurance sampling plan should be updated with relevant information. Good clear lines of communication between the internal quality assurer and assessor are essential.

Administrative arrangements. In carrying out internal quality assurance activities administrative arrangements need to be fully in place, efficient and effective. These can be discussed on a one to one basis with the assessors so that individual queries can be dealt with. Alternatively arrangements can be made at quality assurance

meetings. If the assessor is to be observed by the internal quality assurer then arrangements need to be agreed on the date, time, location, learner, the unit(s) to be assessed and the methods of assessment to be used. If portfolios of evidence are required for sampling the assessor needs to know which ones are required and when.

Resources. When carrying out internal quality assurance observations of the assessment activity it is essential that all appropriate physical resources are in place or are readily available. If practical activities are to be observed appropriate PPE needs to be in place and risk assessments carried out as appropriate. If the internal quality assurer wishes to sample learner portfolios of evidence these need to be made available on the agreed date at the agreed location.

Learning Outcome 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

Sampling could be on-site, desktop, remotely using technology, online sampling portfolio evidence (hardcopy or electronic), sampling across learners in workplace.

Sampling could be banded, targeted, representational, percentage coverage, across units for single unit.

Sampling carried out by the internal quality assurer should not be random. The aim is to take into account all the required factors but for cost effectiveness the sample should be as small as possible consistent with covering all of the required areas.

The amount of sampling that takes place should reflect the internal quality assurer's confidence in the assessment practices at the centre. If the assessors are new and there are new satellite sub-centres sampling needs to increase. However, if the assessors are well established sampling can be reduced. Sampling would increase if new national occupational standards are introduced and would only be reduced once the internal quality assurer is confident in the assessment decisions.

The internal quality assurer should sample all of the assessment team via observations of the assessment practice and checking of learner portfolios of evidence. It is likely that most portfolios will contain a mixture of evidence.

Electronically based evidence including e-portfolios can be easily transmitted or accessed from a distance. Such systems incorporate

progress reports, tracking and feedback forms and should support audit trailing of internal quality assurance activities by automatic logging of details such as learners, units, date, time and even parts of the portfolio accessed.

Effective security mechanisms are built into these systems with password access given only to approved people to prevent unauthorised changes to records and evidence and logged on each occasion of access. Confidentiality is supported by automatic restriction of access to personal details within systems. Suitable arrangements need to be in place for archiving and back-up in case of systems failure.

The external quality assurer must have access to records held on the system and if necessary be familiarised with how the system works.

3.2 Explain the appropriate criteria to use for judging the quality of the assessment process

Organisation standards e.g. health and safety, equality and diversity, evidence trail, meeting targets, learner satisfaction, improvement, progression; awarding organisation standards e.g. performance criteria, levels, performance indicators, checklists, logging and tracking documents, portfolios; SSC, occupational, vocational standards, National Occupational Standards (NOS); government regulatory body standards e.g. Ofqual/Ofsted.

For practical assessment good practice

- each assessor should be observed by the internal quality assurer at least twice in a twelve month period
- frequency should be increased if specific training needs are identified
- internal quality assurer should provide the assessor with advance written notice of the observation. The internal quality assurer should be made aware of any safety, confidentiality, security and any other additional organisational requirements which could be affected by their presence. These should be discussed with the assessor before arranging the observation.

The internal quality assurer should record the observation via an appropriate report form covering the following

- assessment planning
- physical resources
- briefing of the learner
- unobtrusive assessment
- questioning the learner

- the assessment decision
- feedback
- completion of assessment documentation
- the audit trail relating to signatures and dating by assessor and learner

Learner portfolio sampling should be recorded in an appropriate way to include

- evidence recording
- cross referencing of evidence
- evidence is sufficient, reliable, authentic, valid and current
- learning outcomes and in particular assessment criteria and knowledge evidence requirements have been fully met
- assessment documentation has been fully completed
- complete audit trails relating to signatures and dating by assessor and learner

Learning Outcome 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.

The internal quality assurer provides oral and written feedback relating to the observation of assessor performance.

Can be - one to one, written and verbal, formal and informal, online, team meetings, SAR.

If assuring assessment of practical work on site, best practice is to feedback at the end of the observation and focus on being positive and constructive. All internal quality assurance feedback must be recorded in an appropriate format. Any written feedback can be backed up by oral feedback when appropriate. The internal quality assurer can support the assessment team by

- disseminating new information as soon as it is received highlighting any changes
- providing guidance and advice on evidence suitability, particularly if issues are identified
- developing and providing standardised assessment documentation which is user friendly
- providing help, support and guidance on the use of cross referencing
- providing specific guidance on how to assess learners who may have learning difficulties

- setting up standardisation initiatives

4.2 Explain standardisation requirements in relation to assessment.

A key role of the internal quality assurer is to

- address quality standards e.g. awarding organisation, SSC, regulatory bodies, employers, standards to meet external bodies
- standardise the assessment judgements of the assessment team to ensure that each assessor consistently makes valid and accurate decisions against current criteria/standards
- ensure that the assessment team make the same decision on a common form of evidence
- ensure that all of the learners are assessed fairly and that assessment decisions can be confidently shared with learners

Best practice:

Quality assurance meetings with the assessment team should be held on a regular basis and include standardisation exercises and provide the assessors with the opportunity to ask questions and seek further guidance e.g. to authenticate a piece of evidence.

The internal quality assurer needs to check that the assessors within the assessment team are asking the right questions when looking at a piece of evidence and are making the same sound and correct decisions. Evidence can be generated at these meetings in the form of minutes.

4.3 Explain relevant procedures regarding disputes about the quality of assessment

All internal quality assurers and assessors should be aware of an organisation's disputes and appeals procedure (could be an induction activity led by internal quality assurer).

Learners have the right to challenge assessment decisions if they feel the assessments have not been carried out correctly. This could highlight issues such as the conduct of the assessment, suitability of evidence generated and use of appropriate methods of assessment. If a learner wishes to appeal the organisation's disputes and appeals procedure must be followed.

The appeal is usually put in writing.

At most centres the appeal will be passed on to the centre's quality assurance manager, consultations will take place with the internal quality assurer and advice may be sought from the internal quality assurer.

An investigation will usually be set up and a disputes and appeals panel will look at the evidence generated before making a final

decision. Throughout the process there will be time limits and it will be fully documented.

The following need to be embedded within the process

- objectivity
- independence
- equal opportunities
- anti discrimination
- fairness
- natural justice
- consideration of special needs if appropriate

If the learner still remains unsatisfied he/she may complain directly to the awarding organisation who will then investigate. Monitoring of disputes and appeals by centres can be effectively achieved at quality assurance meetings with the minutes generated available to be checked by the external quality assurer.

Learning Outcome 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

Information management e.g. recording, logging, tracking documentation, outcomes shared with learners, safeguarding recording and storage of information.

Data protection legislation must be adhered to all times. Assessment and internal quality assurance records generated need to be securely stored. They should only be accessible to those who have a right to see the information i.e. learner, assessor, internal and external quality assurers.

The internal quality assurer needs to ensure that the assessment and internal quality assurance records are complete, legible, accurate and auditable. Records for a cohort of learners who have completed their qualification and who have been certificated need to be securely retained by the centre for a period of three years.

Learner portfolios of evidence must be retained and be available at the next external quality assurance activity if certificates have been claimed between activities.

All of the records must be made available if requested by an external quality assurer e.g. 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.

Learning Outcome 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.

The internal quality assurer needs to ensure the organisation is continuing to adhere to the policies and procedures relating to assessment. If dealing with an awarding organisation, these will have been put forward at qualification approval.

Of particular importance with practical assessment is health and safety. Risk assessments need to have been carried out and be in place for the activities undertaken. Learners need to consistently wear appropriate PPE.

Relevant policies and procedures which need to be implemented include data protection, confidentiality, internal quality assurance, disputes and appeals, staff development, learner support and equal opportunities, statements on disability and discrimination acts, induction procedure, appropriate CRB checks for assessors and internal quality assurers.

Monitoring of the implementation of many of these policies by organisations can be effectively achieved at quality assurance meetings with the minutes generated available to be checked by the external quality assurer.

6.2 Evaluate different ways in which technology can contribute to the internal quality assurance of assessment.

Electronic technology is becoming increasingly used within organisations.

Policies and procedures are often distributed via intranet access with notification of changes by email to all assessors and internal quality assurers.

Electronic technology can track the progress of learners.

E-portfolio systems incorporate progress reports, tracking and feedback forms and should support internal quality assurance activities by systematic provision of details such as title and level of qualification, registered learners, dates of enrolment, registration, dates of first assessment, assessment locations, units to be assessed, any special assessment needs or requirements and methods of assessment.

In addition, audit trailing of internal quality assurance activities is

supported by automatic logging of details such as learners, units, date, time and even parts of the portfolio accessed. Whilst the use of electronic technology is efficient and effective there are times when it can be impersonal. It should be used in conjunction with communications via direct contact and use of telephone. It is worth bearing in mind that in an age when staff may be faced with large numbers of emails it is worth checking that communications are known about and will be acted upon e.g. automatic acknowledgement requests.

If dealing with an awarding organisation, much of the communication is electronic. Awarding organisation policies, procedures and exemplars can be disseminated via open or restricted access to web sites. Learners can be registered online and arrangements for external quality assurance activities take place via the use of email.

6.3 Explain the value of reflective practice and continuing professional development in relation to internal quality assurance.

Use of feedback can

- extend and enhance assessment
- aid modification of assessment plans
- update knowledge and expertise
- inform curriculum development

Feedback can come from learners, colleagues, managers, external evaluators, other individuals and professionals, self and quality assurance team reviews, formal and informal evaluation procedures, observation reports, outcome from appraisal.

Important duties of the internal quality assurer are to provide specific guidance and support to members of the assessment team and to ensure they are able to access appropriate continuing professional development (CPD).

New assessors should receive a structured induction covering all aspects of assessment which is recorded in an appropriate way e.g. via an assessor induction checklist, signed/dated by assessor and internal quality assurer.

It is a good practice to establish a mentor/buddy system for new assessors but this must not be the internal quality assurer. The internal quality assurer must check that all members of the assessment team are appropriately occupationally competent to a level at least one up from the qualification they are assessing.

A system of CPD should be in place and maintained and, for best practice, each assessor could have an up to date CPD log which is made available for external quality assurance activities. Relevant CPD

activities include secondment into the workplace, technical skills update training, awarding organisation training events, study relating to job role, carrying out specific occupational tasks relating to the qualifications, qualifications development work, attending relevant courses and membership of relevant occupational bodies/institutes. The internal quality assurer needs to provide evidence that if issues were identified within the assessment team appropriate learning and development was put in place.

6.4 Evaluate requirements for equality and diversity and, where appropriate, bilingualism, in relation to the internal quality assurance of assessment.

All involved with assessment and internal quality assurance need to adhere to the organisation's equal opportunity/equality and diversity policy. The internal quality assurer should ensure the policy has been fully disseminated, implemented, monitored and reviewed. If the internal quality assurer identifies discriminatory practice this needs to be effectively dealt with and audit trails put in place. Discriminative practices in relation to gender, age, racial origins, nationality, creed, sexual orientation, marital status, employment status, disability and learning difficulties must be avoided.

Quality assurance meetings can be used to monitor equal opportunities and this can be evidenced by minutes generated. It is the responsibility of the awarding organisation to ensure that adequate mechanisms implemented to guarantee the consistency of assessment decisions across the languages of English and Welsh. Assessments carried out in a language other than English and Welsh must provide clear evidence that the learner is able to achieve at the same standards required for a competent performance anywhere throughout the UK.

Teaching Strategies And Learning Activities

The purpose of this knowledge unit is to establish an understanding of the principles and practices of internally assuring the quality of assessment. By establishing the function of internal quality assurance in relation to learning and development, it is possible to identify individual roles and responsibilities within this process.

Delivery of this unit could be linked with the following other units
Internally assure the quality of assessment [A/601/5321]

which appears in the following qualifications

ABC Level 4 Award in the Internal Quality Assurance of Assessment Processes and Practice 600/0179/3

ABC Level 4 Certificate in Leading the Internal Quality assurance of assessment Processes and Practice 600/0180/X

and

Plan, allocate and monitor work in own area of responsibility[H/600/9674]
which appears in the following qualification

ABC Level 4 Certificate in Leading the Internal Quality Assurance of Assessment Processes and Practice 600/0180/X

Learners should be made aware of the importance of their own professional practice and the opportunities for naturally occurring evidence to be used at all times where available or appropriate. Learners should be encouraged to evaluate their own experiences and assess relevant past and present practice.

Learners should be encouraged to follow best assessment practice, and understand the need to share information with others, including their own learners, when and where appropriate.

Sharing knowledge and experience with peers and colleagues provides an opportunity both to share good practice and to reflect on assessment approaches.

When dealing with peers and colleagues, issues of confidentiality should be considered at all times.

Learners could make use of the internet to aid their research. They should be encouraged to use up to date information from professional journals etc.

Centres should adopt a delivery approach which supports the development of their particular learners. The aims and aspirations of all learners, including those with identified special needs, including learning difficulties/disabilities, should be considered and appropriate support mechanisms put in place.

Methods Of Assessment

This unit will be internally assessed, internally and externally moderated via a learner's portfolio and other related evidence, against the unit outcomes and assessment criteria.

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 learning outcome or assessment criterion.

Minimum requirements when assessing this unit

ABC expects that staff will be appropriately qualified to assess learners against the outcomes and criteria within the units. Generally teaching staff should be qualified and/or vocationally experienced to at least a level above that which they are teaching.

Evidence Of Achievement

All learners must compile a portfolio of evidence that shows achievement of all the relevant learning outcomes and assessment criteria.

Evidence is not prescribed but may include any or all of the following*

- oral / written questions and answers
- direct observation
- witness statement
- reports / notes
- worksheets / workbooks
- recorded evidence (e.g. video or audio)
- photographic evidence
- case studies / assignments
- other suitable supplementary evidence
- interview / discussion

- reflective journals/diaries

*The most appropriate evidence for the qualification should be used. This is not an exhaustive list and other evidence is acceptable.

All evidence must be clearly signposted and made available for the external moderator upon request.

Additional Information

All internal assessments must be accompanied by a signed Declaration of Authenticity (this document is available on the ABC web site).

Additional guidance and advice to support these qualifications and units is freely available to approved ABC centres in the secure area of the ABC web site.

Internally Assure the Quality of Assessment

Unit Reference	A/601/5321
Level	4
Credit Value	6
Guided Learning Hours	45
Unit Summary	The aim of this unit is to assess the performance of a learning and development practitioner with responsibility for the internal quality assurance of assessment
Learning Outcomes (1 to 5) <i>The learner will</i>	Assessment Criteria (1.1 to 5.4) <i>The learner can</i>
1. Be able to plan the internal quality assurance of assessment	1.1 Plan monitoring activities according to the requirements of own role 1.2 Make arrangements for internal monitoring activities to assure quality
2. Be able to internally evaluate the quality of assessment	2.1 Carry out internal monitoring activities to quality requirements 2.2 Evaluate assessor expertise and competence in relation to the requirements of their role 2.3 Evaluate the planning and preparation of assessment processes 2.4 Determine whether assessment methods are safe, fair, valid and reliable

	<p>2.5 Determine whether assessment decisions are made using the specified criteria</p> <p>2.6 Compare assessor decisions to ensure they are consistent</p>
<p>3. Be able to internally maintain and improve the quality of assessment</p>	<p>3.1 Provide assessors with feedback, advice and support, including professional development opportunities, which help them to maintain and improve the quality of assessment</p> <p>3.2 Apply procedures to standardise assessment practices and outcomes</p>
<p>4. Be able to manage information relevant to the internal quality assurance of assessment</p>	<p>4.1 Apply procedures for recording, storing and reporting information relating to internal quality assurance</p> <p>4.2 Follow procedures to maintain confidentiality of internal quality assurance information</p>
<p>5. Be able to maintain legal and good practice requirements when internally monitoring and maintaining the quality of assessment</p>	<p>5.1 Apply relevant policies, procedures and legislation in relation to internal quality assurance, including those for health, safety and welfare</p> <p>5.2 Apply requirements for equality and diversity and, where appropriate, bilingualism, in relation to internal quality assurance</p> <p>5.3 Critically reflect on own practice in internally assuring the quality of assessment</p> <p>5.4 Maintain the currency of own expertise and competence in internally assuring the quality of assessment</p>

Mapping to National Occupational Standards

Learning and Development NOS Standard 11: Internally monitor and maintain the quality of assessment.

Supporting Unit Information

A/601/5321 Internally assure the quality of assessment – Level 4

Indicative Content

Learning Outcome 1. Be able to plan the internal quality assurance of assessment

1.1 Plan monitoring activities according to the requirements of own role

Internal quality assurance is the process of monitoring assessment practice to ensure assessment decisions are consistently accurate. The role covers

- monitoring the conduct of the assessment
- sampling learner evidence to ensure assessment decisions are appropriate
- ensuring the quality of the systems and procedures used for assessment and internal quality assurance procedures
- providing assessors with support and advice
- ensuring that assessment and internal quality assurance records are up to date
- generating information and records to be used for analysis by the centre and awarding organisation

The internal quality assurance within a centre for each qualification needs to be planned and a strategy developed.

This needs to cover internal quality assurance observations and portfolio sampling to ensure that the assessment decisions are valid and correct.

Planning arrangements need to be agreed at the beginning of the programme and internal quality assurance should take place throughout the assessment process rather than just at the end.

Needs to identify

- timings and context e.g. per assessment, at planning stage, ongoing/interim or final, per module, termly, annually, intervention
- range of methods e.g. observation, examination of product, questioning, witness statements, self-assessment; information collection, interrogation/analysis of data collected

1.2 Make arrangements for internal monitoring activities to assure quality.

Internal quality assurance should be carried out rigorously to ensure the assessment practices are appropriate and sound leading to consistent and valid assessment decisions over a period of time for all learners. The internal quality assurer needs to agree with the assessment team the activities to be undertaken. This could be done verbally and followed up electronically or in written form.

Internal quality assurance arrangements should include

- observing (best practice: each assessor at least twice per year)
- sampling learner portfolios of evidence at the formative stage of development and covering all learners and each unit assessed across the qualification
- summative internal quality assurance of portfolios of evidence
- planned quality assurance meetings
- planned standardisation initiatives

The internal quality assurer should make sure the learners sampled are fully aware of the process and their involvement in it.

Learning Outcome 2. Be able to internally evaluate the quality of assessment

2.1 Carry out internal monitoring activities to quality requirements

The internal quality assurer carries out internal quality assurance activities throughout the programme including

- ensuring the assessors within the team meet requirements required by agencies such as awarding organisations
- ensuring the assessment practices within the team meet standards (national, awarding organisations etc.)
- checking the decisions made by the assessors and the evidence provided by the learners fully satisfies the required standards via observation of assessors and portfolio sampling
- ensuring up to date assessment documentation is completed as required by the organisation and others e.g. awarding organisation requirements
- checking that the feedback provided to learners is appropriate and constructive
- ensuring that assessment and internal quality assurance records meet the requirements of the organisation and others such as awarding organisations
- ensuring that if any disputes and appeals occur these are effectively dealt with and records can be provided
- ensuring all learners being assessed have equality of access
- ensuring any certification requests to the awarding organisation are

fully appropriate

2.2 Evaluate assessor expertise and competence in relation to the requirements of their role

In monitoring assessment practice, the internal quality assurer needs to be fully aware of the assessor's expertise and competence to make assessment decisions.

The assessor should be occupationally competent at a level one up from the qualification he/she is assessing.

The internal quality assurer is responsible for ensuring the assessors continue to meet the requirements for assessor competence by checking how they plan assessments, judge the evidence generated, question learners and provide feedback. This could be by observation/discussion.

The internal quality assurance process should be able to identify problems and solve them at an early stage before the learner has completed.

If the assessor is working towards an assessor qualification, the internal quality assurer should ensure a qualified occupationally competent assessor is checking and countersigning decisions made by the assessor.

In ensuring the assessor is competent to assess against the required standards the internal quality assurer should

- check that the evidence signed off by the assessor is sufficient.
- observe a range of assessment activities and witness the feedback provided as appropriate
- observe summative assessment activities between the assessor and the learner as appropriate
- carry out standardisation exercises with a group of assessors

2.3 Evaluate the planning and preparation of assessment processes

The internal quality assurer should be checking assessment plans during observation of an assessor assessing learners and when checking evidence generated in portfolios for units of the qualification.

Can look at

- cost effectiveness of evidence generation
- utilisation of a range of assessment opportunities to include witness testimony
- the use of appropriate holistic approaches to assessment
- learner involvement in planning

- audit trails in the assessment plans e.g. signing and dating of agreement to plans and outcomes
- clarity of what is to be assessed ,and when e.g. specific units to be assessed, date and time of assessment, location, any special assessment requirements

2.4 Determine whether assessment methods are safe, fair, valid and reliable

An organisation needs to have written internal quality assurance procedures in place to ensure the accuracy and consistency of the assessment decisions made by the team of assessors.

The internal quality assurer needs to

- sample learner evidence and check the most appropriate methods of assessment are being used. It is essential the assessors consistently and accurately interpret and apply the required standards
- check that assessment is conducted in the most appropriate environment in relation to the required standards e.g. learner's workplace or in a realistic work environment
- the use of an appropriate range of assessment methods
- check that over assessment is not occurring
- check that cross referencing is appropriately taking place
- check the assessment decisions made by the assessor are recorded efficiently, effectively and accurately

Sampling of evidence will occur via the internal quality assurer observing the assessor assessing learners and by checking portfolios of evidence to ensure the assessment methods are safe, fair, valid and reliable. The internal quality assurer can also interview learners to check that they were happy with how they were assessed. Issues identified with the conduct of assessment should be discussed at quality assurance meetings or incorporated into standardisation events.

The minutes of meetings or standardisation programmes should be available to be checked by the external quality assurer as appropriate.

2.5 Determine whether assessment decisions are made using the specified criteria

Internal assurers must be aware of the specific criteria against which assessment decisions are being made.

They need to check that any evidence of achievement which has been assessed clearly relates to specific criteria. This may include

- observation of the assessor assessing learners
- sampling of learner portfolios of evidence

2.6 Compare assessor decisions to ensure they are consistent

The internal quality assurer should ensure the sample includes assessment decisions made on the same units by different assessors. A comparison should be made to ensure a consistent approach has been adopted by the assessment team.

If there is a lack of consistency this creates the opportunity for a standardisation exercise to be held with a group of assessors who are each asked to judge the same evidence. This enables comparisons to be made and discussions can be held relating to naturally occurring evidence, effective and efficient cross referencing and whether assessment decisions are recorded accurately.

If appropriate, internal assurers might wish to observe different assessors assessing the same unit can also be used as a comparison to ensure a consistent approach has been adopted by the assessment team.

Learning Outcome 3. Be able to internally maintain and improve the quality of assessment

3.1 Provide assessors with feedback, advice and support, including professional development opportunities, which help them to maintain and improve the quality of assessment

Monitoring of assessment practices by the internal quality assurer creates the opportunity to provide assessors with clear and constructive feedback and where appropriate agree training and development needs.

Range of feedback e.g. one to one, written and verbal, formal and informal, online, team meetings, staff review

In providing feedback the internal quality assurer needs to ensure

- objectivity in feedback
- feedback is positive and where appropriate includes identification of good practice as well as constructively identifying areas for improvement
- actions are fully agreed between the assessor and internal quality assurer
- the assessor is fully aware of why an action plan needs to be in place
- feedback is constructive at all times and includes suggested solutions to resolve the issues identified
- feedback provided to the assessor is not given in front of the learners so as not to embarrass the assessor or to diminish the learner's confidence in the assessor

Forms of support available include from colleagues, mentor, line

manager, quality manager, specific subject or additional needs support (functional skills), CPD

3.2 Apply procedures to standardise assessment practices and outcomes

The internal quality assurer's responsibilities include ensuring that assessors continue to meet the requirements for assessor competence as laid down by the appropriate organisation e.g. internal procedures, awarding organisations, Sector Skills Council requirements.

This can be done via monitoring activities including observing the assessor assessing learners. This enables the internal quality assurer to check how the assessor plans assessments, judges evidence, questions learners and provides feedback. If issues are identified these can be resolved at an early stage before the learner completes. It is essential that all members of the assessment team assess to the same standards to avoid disadvantaging the learners. The internal quality assurer could set up standardisation sessions attended by the assessors who could look at the same pieces of evidence. They could be asked to consider the following

- Is evidence generation cost effective
- Is naturally occurring evidence in place
- Are learners being over assessed
- Is effective cross referencing in place
- Are the assessment decisions recorded effectively, efficiently and accurately

Records should be generated from these sessions as evidence of continuous professional development (CPD).

Learning Outcome 4. Be able to manage information relevant to the internal quality assurance of assessment

4.1 Apply procedures for recording, storing and reporting information relating to internal quality assurance

The internal quality assurer is responsible for co-ordinating the documentation and records used by the assessment team at the centre. At all times the data protection act should be adhered to and the records and information should be securely stored.

The following are examples of the records which should be in place and securely stored

- assessment schedule planner
- learner records - registration and enrolment dates, registration numbers, units achieved, learner progress
- assessor records - occupational and assessor qualifications

- physical resources - assessment locations, security of tenure agreements, inventory lists
- minutes of meetings - quality assurance and standardisation
- assessment records - names of learners and assessors, location and outcomes of assessment and location of evidence
- internal quality assurance records - sampling strategy, sampling plan, records of assessment samples, report/feedback forms
- certification records - requests for certification and copies of certificates
- disputes and appeals - records
- external quality assurance - visit planners and report forms

4.2 Follow procedures to maintain confidentiality of internal quality assurance information

Records need to be securely stored and confidentiality needs to be fully in place. This should follow organisational procedure.

Only those who have a right to see the information may do so. If access is required to external workplaces commercial confidentiality needs to be taken into account.

The internal quality assurer needs to make sure all of the assessment team conduct themselves professionally when assessing learners away from the centre.

Data protection legislation must be adhered to at all times.

The internal quality assurer disseminating the need for confidentiality could be evidenced in minutes of quality assurance meetings.

Consideration needs to be given to security and safety of paper-based records, electronic formats for recording and storage and electronic safeguards.

Learning Outcome 5. Be able to maintain legal and good practice requirements when internally monitoring and maintaining the quality of assessment

5.1 Apply relevant policies, procedures and legislation in relation to internal quality

assurance, including those for health, safety and welfare

In carrying out sampling of learner evidence and assessment decisions the internal quality assurer needs to check that relevant policies and procedures and legislation are being satisfied.

If offering a qualification, this information would form part of the centre approval process but centres need to continually monitor and update when appropriate.

This is particularly important in relation to issues such as health and

safety.

For example in relation to practical assessments, the internal quality assurer should carefully check that appropriate risk assessments are in place and the correct PPE is being worn by learners and where appropriate by assessors during observed assessments and also when sampling video and photographic evidence. In addition the internal quality assurer needs to ensure tools and equipment are suitable and well maintained.

These aspects can be monitored by discussion at quality assurance meetings and the minutes made available for the external quality assurer to inspect.

5.2 Apply requirements for equality and diversity and, where appropriate, bilingualism, in relation to internal quality assurance

Organisations should have an equality and diversity policy which will have been checked during the approval process. This needs to be monitored and updated as appropriate.

The internal quality assurer needs to ensure learners are fairly assessed. The internal quality assurer has a key role to play by

- providing assessors with guidance and support to ensure they don't discriminate against their learners either intentionally or unintentionally
- ensuring that the assessment and recording methods do not introduce requirements which are not part of the national standards
- checking that if individual learners have special assessment requirements the assessor adopts a more flexible approach to meet these requirements
- including monitoring of the equal opportunities policy within quality assurance meetings which are minuted
- ensuring assessment opportunities are available to all the assessors so that particular groups of people are not discriminated against

Assessment opportunities must be made available to all learners who have the potential to achieve the standards.

Regarding assessment for qualifications, it is the responsibility of the awarding organisation to ensure that adequate mechanisms are in place to guarantee the consistency of assessment decisions across the English and Welsh languages. Assessments carried out in a language other than English and Welsh must provide clear evidence that the learner is able to achieve at the same standards required for a competent performance anywhere throughout the UK.

5.3 Critically reflect on own practice in internally assuring the

quality of assessment

In carrying out internal quality assurance activities feedback should be encouraged from learners and assessors sampled to ensure they are happy with how it is being conducted.

The internal quality assurer should reflect on this feedback. If good practice is identified then this should be maintained. If issues are identified these should be worked on with the aim of improving performance and ensuring internal quality assurance is carried out fairly, accurately and consistently.

The internal quality assurer will also receive feedback from the external quality assurer and any issues identified should be addressed prior to the next quality assurance activity.

The internal quality assurer could attend awarding organisation training events when best practice is disseminated and opportunities arise for networking with other centres.

5.4 Maintain the currency of own expertise and competence in internally assuring the quality of assessment

Organisations are responsible for ensuring that the internal quality assurers are competent. If internally quality assuring for a qualification, this is monitored during external quality assurance activities. Without an occupationally competent internal quality assurer an organisation cannot submit claims for certification to the awarding organisation.

The internal quality assurer needs to be able to maintain occupational competence and expertise. The internal quality assurer needs to demonstrate

- internal quality assurance practices are being carried out competently
- occupational knowledge is being kept up to date
- required standards are clearly understood
- thorough understanding of awarding organisation systems and documentation if working on qualifications
- awareness of current best practice in assessment and quality assurance (could be via attendance at awarding organisation training events)

The internal quality assurer should have an up to date CPD log which is available for external quality assurance activities as appropriate.

Teaching Strategies And Learning Activities

This practical unit provides learners with the opportunity to apply the principles and requirements of internal quality assurance to a real working context and identify ways in which to develop and improve their practice. This unit needs to be delivered in a way for learners to recognise the need for a practical approach to the different contexts in which they may be undertaking quality assurance – in particular the different levels of responsibility that may be expected of those undertaking internal quality assurance roles.

Delivery of this unit could be linked with the following other units

Understanding the principles and practices of internally assuring the quality of assessment [T/601/5320]

which appears in the following qualifications

ABC Level 4 Award in Understanding the Internal Quality

Assurance of Assessment Processes and Practice 600/0178/1

ABC Level 4 Award in the Internal Quality Assurance of Assessment Processes and Practice 600/0179/3

ABC Level 4 Certificate in Leading the Internal Quality assurance of assessment Processes and Practice 600/0180/X

and

Plan, allocate and monitor work in own area of responsibility [H/600/9674]

which appears in the following qualification

ABC Level 4 Certificate in Leading the Internal Quality assurance of assessment Processes and Practice 600/0180/X

As much use as possible should be made of naturally occurring evidence - learners can use real documents from their own practice as evidence for learning to be more meaningful.

They should be made aware of the importance of their own professional practice and the opportunities for naturally occurring evidence to be used at all times where available or appropriate. Learners should be encouraged to evaluate their own experiences and assess relevant past and present practice.

Centres should adopt a delivery approach which supports the development of their particular learners. The aims and aspirations of all learners, including those with identified special needs, including learning difficulties/disabilities, should be

considered and appropriate support mechanisms put in place.

Methods Of Assessment

This unit will be internally assessed, internally and externally moderated via a learner's portfolio and other related evidence, against the unit outcomes and assessment criteria.

All learning outcomes in this unit must be assessed using methods appropriate to the learner IQA's performance. These must include

- observation of performance
- examining products of work
- questioning

Direct evidence of this kind may be supplemented, where necessary, by professional discussion, reflective accounts or witness testimony.

Simulations are not allowed.

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 assessment criterion.

Evidence must come from the Internal Quality Assurance (IQA) learner's performance in the work environment. There must be evidence of the IQA learner monitoring a minimum of two assessors, each assessing a minimum of two learners of their own, through components of a qualification.

Minimum requirements when assessing this unit

ABC expects that staff will be appropriately qualified to assess learners against the outcomes and criteria within the units. Generally teaching staff should be qualified and/or vocationally experienced to at least a level above that which they are teaching.

Evidence Of Achievement

All learners must compile a portfolio of evidence that shows achievement of all the relevant learning outcomes and assessment criteria

Evidence is not prescribed but may include any or all of the following*

- oral / written questions and answers
- direct observation
- witness statement
- reports / notes
- worksheets / workbooks
- recorded evidence (e.g. video or audio)
- photographic evidence
- case studies / assignments
- other suitable supplementary evidence
- interview / discussion
- reflective journals/diaries

*The most appropriate evidence for the qualification should be used. This is not an exhaustive list and other evidence is acceptable

All evidence must be clearly signposted and made available for the external moderator upon request.

Additional Information

All internal assessments must be accompanied by a signed Declaration of Authenticity (this document is available on the ABC web site).

Additional guidance and advice to support these qualifications and units is freely available to approved ABC centres in the secure area of the ABC web site.

Plan, Allocate and Monitor Work In Own Area of Responsibility

Unit Reference	H/600/9674
Level	4
Credit Value	5
Guided Learning Hours	25
Unit Summary	This unit helps learners to plan, allocate and monitor work in own area of responsibility, and make any necessary changes to original work plans
Learning Outcomes (1 to 4) <i>The learner will</i>	Assessment Criteria (1.1 to 4.2) <i>The learner can</i>
1. Be able to produce a work plan for own area of responsibility.	<p>1.1 Explain the context in which work is to be undertaken.</p> <p>1.2 Identify the skills base and the resources available.</p> <p>1.3 Examine priorities and success criteria needed for the team.</p> <p>1.4 Produce a work plan for own area of responsibility</p>
2. Be able to allocate and agree responsibilities with team members.	<p>2.1 Identify team members' responsibilities for identified work activities.</p> <p>2.2 Agree responsibilities and SMART (Specific, Measurable, Achievable, Realistic and Time-bound)</p>

	objectives with team members
3. Be able to monitor the progress and quality of work in own area of responsibility and provide feedback.	<p>3.1 Identify ways to monitor progress and quality of work.</p> <p>3.2 Monitor and evaluate progress against agreed standards and provide feedback to team members.</p>
4. Be able to review and amend plans of work for own area of responsibility and communicate changes	<p>4.1 Review and amend work plan where changes are needed</p> <p>4.2 Communicate changes to team members.</p>
<p>Mapping to National Occupational Standards MSC D6 Allocate and monitor the progress and quality of work in your area of responsibility</p>	

Supporting Unit Information

H/600/9674 Plan, allocate and monitor work in own area of responsibility

– Level 4

Indicative Content

Learning Outcome 1. Be able to produce a work plan for own area of responsibility

1.1 Explain the context in which work is to be undertaken

The internal quality assurer is appointed by an assessment centre and is responsible for the internal quality assurance of the assessment decisions of the centre. The internal quality assurer will be responsible for either an assessor or a team of assessors and may work either alone or as a member of a team of quality assurers.

The internal quality assurer will report to the quality assurance manager within the centre.

They will work within

- an organisation's management structure and its policies and procedures
- regulations set by awarding organisations
- legal requirements (health and safety, equality and diversity, data protection)

1.2 Identify the skills base and the resources available

In performing the internal quality assurer role, relevant occupational competence needs to be confirmed at qualification approval. This needs to be at least one level up from the qualification being internally quality assured.

The internal quality assurer needs to be in a position to maintain own occupational competence and generate evidence of relevant continuing professional development (CPD).

Also they need to identify the range and number of assessors, and their expertise.

The centres resources need to be appropriate for the qualification being delivered including delivery staff, and equipment/tools, technology and administrative support.

The learners need to have access to work placements or realistic working environments.

1.3 Examine priorities and success criteria needed for the team

The internal quality assurer's priority is to ensure standardised assessment practices are adopted across the assessment team and that sampling of learner evidence confirms the assessment decisions are appropriate. Internal quality assurance is also used to ensure evidence generated by learners is reliable, valid, authentic, sufficient and current. The main priorities for an internal quality assurer are to

- work closely with the team of assessors to ensure quality provision and consistent assessment practices
- ensure consistent assessment practices via the sampling of learner assessments
- ensure that assessment and internal quality assurance records and documentation are suitable and meet the requirements of the awarding organisation
- ensure that certification requests to the awarding organisation are based on accurate and consistent assessment decisions
- provide the assessors with ongoing support and guidance

The success criteria include

- successful quality assurance activities as evidenced by report forms
- good rates of learner retention
- good rates of learner achievement within agreed funding timescales
- achievement rates on target to ensure continued funding
- standardised assessment approach across the assessment team and satellites
- positive feedback from learners and employers
- successful self- assessment and inspections by regulatory bodies

1.4 Produce a work plan for own area of responsibility

The internal quality assurer develops a sampling strategy for the qualification being delivered. As part of the sampling strategy a work plan is developed which covers

- allocation of learners to appropriate assessors
- monitoring the conduct of assessment through observation of assessors and portfolio sampling
- sampling learner evidence to ensure that assessment decisions are appropriate
- providing assessors with support and advice
- checking and supporting the qualification and CPD development of the assessor team
- ensuring that assessment and internal quality assurance records are kept up to date
- monitoring and improving the systems and procedures used for

assessment and internal quality assurance

- generating information and records to be used for analysis by the centre and awarding organisation

Learning Outcome 2. Be able to allocate and agree responsibilities with team members.

2.1 Identify team members' responsibilities for identified work activities

The internal quality assurer is responsible for the team of assessors including the allocation of assessor responsibilities. These must be clearly understood by everyone involved and match the needs of learners and assessors.

Allocation of responsibilities needs to be negotiated and agreed with each assessor. Assessors need to be given sufficient time to carry out their role and meet the demands placed on them. Assessors are normally allocated a group of learners and are responsible for taking that group from initial assessment, through induction, assessment and finally to achievement leading to certification. In some organisations, the expertise of assessors may result in each assessor being allocated different units in relation to their specific areas of competence. Whilst each centre will have defined the target ratio of learners for each assessor practically this ratio will be affected by a number of factors such as

- structure of organisation/satellite assessment sites and geographical distribution
- ease of access of assessors to learners
- assessment systems/methods used
- time availability of each assessor and the constraints of other responsibilities

2.2 Agree responsibilities and SMART (Specific, Measurable, Achievable, Realistic and Time-bound) objectives with team members

Once allocations have been negotiated and agreed with each member of the assessment team this needs to be presented in the form of a SMART written commitment, for example

Specific e.g. identified learner numbers to achieve Award/Certificate/Diploma at levels 2 or 3

Measurable e.g. achievement rates - number of learners achieving full qualifications or units or withdrawing from the qualification

Achievable e.g. seasonal requirements of some unit(s) preclude their achievement within timescale planned

Realistic e.g. number of learners allocated to the assessor in relation to available assessor time/other commitments

Time bound - based on meeting deadlines for achievement to satisfy funding arrangements

Responsibilities related to the written commitment may be specified in the job description including responsibility for planning assessments with learners, making assessment decisions, providing feedback to learners and giving guidance on further actions, keeping detailed plans and records of all these activities.

In addition assessors should play a part in assuring quality within the centre in which they operate.

Learning Outcome 3. Be able to monitor the progress and quality of work in own area of responsibility and provide feedback.

3.1 Identify ways to monitor progress and quality of work

Progress towards achieving planned internal quality assurer activities such as observation of assessors and formative or summative portfolio sampling could be monitored using a sampling plan. This records planned dates for these activities and the date when the activity is actually carried out allowing the internal quality assurer to monitor whether the planned programme of activities is on track for completion prior to the visit of the external quality assurer.

A well structured documentation system supports monitoring to ensure that documentation is kept up to date e.g. progress in achieving individual assessment criteria can be monitored by checking completion of an assessment criteria checklist and when each completed unit is signed off this information is noted on the checklist of units completed for the qualification. The internal quality assurer will also need to monitor the completion of essential documents. The quality of work is monitored in a number of ways such as by observation of assessors, formative or summative portfolio sampling, standardisation meetings and formal agenda team meetings. These are particularly useful to monitor a number of key aspects relating to work quality, for example

- ensuring the assessors within the team meet awarding organisation requirements for occupational competence, achievement of assessment qualifications and hold occupationally relevant qualifications at an appropriate level
- ensuring the assessment practices within the team meet awarding organisation and national standards
- ensuring that assessment and internal quality assurance records

meet the requirements of the awarding organisation

- ensuring that all learners being assessed have equality of access
- ensuring that certification requests to the awarding organisation are fully appropriate

3.2 Monitor and evaluate progress against agreed standards and provide feedback to team members

Monitoring of progress needs to focus on the SMART action plan and in particular check that learners are on target to achieve within the agreed/contract timescales.

The internal quality assurer should be checking assessment plans and when checking assessment decisions, during observation of the assessor assessing learners and evidence generated in portfolios for relevant units across the qualification. During observation of the assessor assessing learners and sampling of learner portfolios of evidence the internal quality assurer needs to have the standards for the qualification available so that the generated evidence can be checked against the units learning outcomes and assessment criteria. It is essential the generated evidence fully satisfies each assessment criteria of a unit before it is signed off. Monitoring of assessment practices by the internal quality assurer creates the opportunity to provide assessors with clear and constructive feedback and where appropriate agree training and development needs.

Internal quality assurance feedback should be given orally and in writing. In providing feedback the internal quality assurer needs to ensure

- objective feedback is based on the national standards for assessors
- feedback is positive and where appropriate includes identification of good practice as well as constructively identifying areas for improvement
- that actions are fully agreed between the assessor and internal quality assurer and the assessor is fully aware of why an action plan needs to be in place
- feedback is constructive at all times and includes suggested solutions to resolve the issues identified
- feedback provided to the assessor is not given in front of the learners so as not to embarrass the assessor or to diminish the learner's confidence in the centre

Learning Outcome 4. Be able to review and amend plans of work for own area of responsibility and communicate changes

4.1 Review and amend work plan where changes are needed

During review of work plans it may be identified that issues have been identified including learners unlikely to achieve within set time scales. As a result contracts could be lost and qualifications would not be funded. There may be reasons why this has happened and these could include

- the ratio of learners to assessors is too high
- the allocated learners could be located too far away
- there could be insufficient time allocated for assessment
- the learners could be insufficiently motivated
- severe weather conditions could disrupt assessment
- the learner may no longer work at the same location

If any of these factors were identified it would be necessary to amend the work plan and it may also be expedient to allocate a different assessor(s). The work plan could be changed in terms of following

- ratio of learners to assessors reduced
- allocation of an assessor who is closer to the learners
- allocation of more time for assessment
- better induction, practical activities, different assessment methods adopted
- severe weather conditions may necessitate rescheduling and possible allocation of more resources - assessors or time allocation

4.2 Communicate changes to team members

The internal quality assurer and relevant assessment team members should meet and discuss the need for changes to ensure that possible loss of contracts by not achieving targets is avoided. Good clear lines of communication between the internal quality assurer and the assessor(s) are essential. The outcomes of discussions between the internal quality assurer and assessment team members need to be recorded and a number of actions will ensue

- the central database of learner records will need to be updated
- all tracking documentation will need to be updated
- the internal quality assurance records - sampling plan will need to be updated
- all of the details within relevant learner portfolios will need to be updated

Teaching Strategies And Learning Activities

This unit provides opportunities for learners to develop skills to examine

the issues involved in the management of the quality assurance process by identifying the responsibilities of all those involved in the process, e.g. in the role of lead quality assurers or quality assurance manager. Learners will also develop a broader understanding and approach to the monitoring, development and improvement of assessment and quality assurance processes involved in working with teams.

Delivery of this unit could be linked with the following other units

Understanding the principles and practices of internally assuring the quality of assessment [T/601/5320]

which appears in the following qualifications

ABC Level 4 Award in Understanding the Internal Quality Assurance of Assessment Processes and Practice 600/0178/1

ABC Level 4 Award in the Internal Quality Assurance of Assessment Processes and Practice 600/0179/3

ABC Level 4 Certificate in Leading the Internal Quality assurance of assessment Processes and Practice 600/0180/X

and

Internally assure the quality of assessment [A/601/5321]

which appears in the following qualifications

ABC Level 4 Award in the Internal Quality Assurance of Assessment Processes and Practice 600/0179/3

ABC Level 4 Certificate in Leading the Internal Quality assurance of assessment Processes and Practice 600/0180/X

This unit is intended to draw all the assessment and quality assurance processes together so that the evidence can be used to monitor the process. By involving teams more closely e.g. across the organisation or through an occupational specialism, through a more focused approach, there are more opportunities to share experiences and encourage practitioners to promote best practice.

The unit explores the effective management of teams with the aim of improving quality and responsiveness to change where required. Planning of the quality assurance process needs to be seen as essential in order to make the best possible use of the skills, knowledge and understanding of team members. The most obvious need for planning, to draw together a range of evidence from a variety sources, is in preparation for an external quality assurance visit or an external inspection.

Centres should adopt a delivery approach which supports the development of their particular learners. The aims and aspirations of all learners, including those with identified special needs, including learning difficulties/disabilities, should be considered and appropriate support mechanisms put in place.

Methods Of Assessment

This unit will be internally assessed, internally and externally moderated via a learner's portfolio and other related evidence, against the unit outcomes and assessment criteria.

All learning outcomes in this unit must be assessed using methods appropriate to the learner IQA's performance. These must include

- observation of performance
- examining products of work
- questioning

Direct evidence of this kind may be supplemented, where necessary, by professional discussion, reflective accounts or witness testimony.

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.

Evidence must come from performance in the work environment.

Minimum requirements when assessing this unit

ABC expects that staff will be appropriately qualified to assess learners against the outcomes and criteria within the units. Generally teaching staff should be qualified and/or vocationally experienced to at least a level above that which they are teaching.

Evidence Of Achievement

All learners must compile a portfolio of evidence that shows achievement of all the relevant learning outcomes and assessment criteria.

Evidence is not prescribed but may include any or all of the following*

- oral / written questions and answers
- direct observation
- witness statement
- reports / notes
- worksheets / workbooks
- recorded evidence (e.g. video or audio)
- photographic evidence
- case studies / assignments
- other suitable supplementary evidence
- interview / discussion
- reflective journals/diaries

*The most appropriate evidence for the qualification should be used. This is not an exhaustive list and other evidence is acceptable.

All evidence must be clearly signposted and made available for the external moderator upon request.

Additional Information

All internal assessments must be accompanied by a signed Declaration of Authenticity (this document is available on the ABC web site).

Additional guidance and advice to support these qualifications and units is freely available to approved ABC centres in the secure area of the ABC web site.

Recognition of Prior Learning (RPL), Exemption and Credit Transfer

ABC Awards policy enables learners to avoid duplication of learning and assessment in a number of ways:

- Recognition of Prior Learning (RPL) – a method of assessment that considers whether a learner can demonstrate that they can meet the assessment requirements for a unit through knowledge, understanding or skills they already possess and do not need to develop through a course of learning.
- Exemption - Exemption applies to any certificated achievement which is deemed to be of equivalent value to a unit within ABC qualification but which does not necessarily share the exact learning outcomes and assessment criteria. It is the assessor's responsibility, in conjunction with the Internal Moderator, to map this previous achievement against the assessment requirements of the ABC qualification to be achieved in order to determine its equivalence.

Any queries about the relevance of any certificated evidence, should be referred in the first instance to your centre's internal moderator and then to ABC.

It is important to note that there may be restrictions upon a learner's ability to claim exemption or credit transfer which will be dependent upon the currency of the unit/qualification and a learner's existing levels of skill or knowledge.

Where past certification only provides evidence that could be considered for exemption of part of a unit, learners must be able to offer additional evidence of previous or recent learning to supplement their evidence of achievement.

- Credit Transfer – ABC may attach credit to a qualification, a unit or a component. Credit transfer is the process of using certificated credits achieved in one qualification and transferring that achievement as a valid contribution to the award of another qualification. Units/Components transferred must share the same learning outcomes and assessment criteria along with the same unit number. Assessors must ensure that they review and verify the evidence through sight of:
 - original certificates OR
 - copies of certificates that have been signed and dated by the internal moderator confirming the photocopy is a real copy and make these available for scrutiny by the External Moderator.

- Equivalencies – opportunities to count credits from the unit(s) from other qualifications or from unit(s) submitted by other recognised organisations towards the place of mandatory or optional unit(s) specified in the rule of combination. The unit must have the same credit value or greater than the unit(s) in question and be at the same level or higher.

ABC encourages its centres to recognise the previous achievements of learners through Recognition of Prior Learning (RPL), Exemption and Credit Transfer. Prior achievements may have resulted from past or present employment, previous study or voluntary activities. Centres should provide advice and guidance to the learner on what is appropriate evidence and present that evidence to the external moderator in the usual way.

Certification

Learners will be certificated for all units and qualifications that are achieved and claimed.

ABC's policies and procedures are available on the ABC web site in the Examination Officers' Guide.

Appendices

Glossary of Terms

GLH (Guided Learning Hours)

GLH is where the learner participates in education or training under the immediate guidance or supervision of a tutor (or other appropriate provider of education or training). It may be helpful to think – ‘Would I need to plan for a member of staff to be present to give guidance or supervision?’

GLH is calculated at qualification level and not unit/component level.

Examples of Guided Learning include:

- Face-to-face meeting with a tutor
- Telephone conversation with a tutor
- Instant messaging with a tutor
- Taking part in a live webinar
- Classroom-based instruction
- Supervised work
- Taking part in a supervised or invigilated assessment
- The learner is being observed.

TQT (Total Qualification Time)

‘The number of notional hours which represents an estimate of the total amount of time that could reasonably be expected to be required, in order for a learner to achieve and demonstrate the achievement of the level of attainment necessary for the award of a qualification.’ The size of a qualification is determined by the TQT.

TQT is made up of the Guided Learning Hours (GLH) plus all other time taken in preparation, study or any other form of participation in education or training but not under the direct supervision of a lecturer, supervisor or tutor.

TQT is calculated at qualification level and not unit/component level.

Examples of unsupervised activities that could contribute to TQT include:

- Researching a topic and writing a report
- Watching an instructional online video at home/e-learning
- Watching a recorded webinar

- Compiling a portfolio in preparation for assessment
- Completing an unsupervised practical activity or work
- Rehearsing a presentation away from the classroom
- Practising skills unsupervised
- Requesting guidance via email – will not guarantee an immediate response.