



Qualification Specification: Level 4 IQA of Assessment Processes and Practice Awards & Certificate

GA Level 4 Award in Understanding the Internal Quality Assurance of Assessment Processes and Practice	610/1043/1
GA Level 4 Award in the Internal Quality Assurance of Assessment Processes and Practice	610/1044/3
GA Level 4 Certificate in Leading the Internal Quality Assurance of Assessment Processes and Practice	610/1045/5

These qualifications are subject to the GA Centre Assessment and Standards Scrutiny and General Moderation policy.

Section 1 - Qualifications Overview

1.1 Introduction: About the Gatehouse Awards Level 4 IQA of Assessment Processes and Practice Awards & Certificate Qualifications

The Gatehouse Awards (GA) Level 4 IQA of Assessment Processes and Practice Awards & Certificate are designed for those who currently work, or wish to work, in the field of internal quality assurance.

There may be a requirement for internal quality assurers of competence to hold a particular qualification, although the actual requirements will vary within a sector. Reference should be made to the quality assurance requirements from the sector in which the IQA is working. These will be detailed within the relevant qualification specifications, or through referring to the sector skill council if relevant.

This document provides centre staff, candidates and employers with a comprehensive overview of the qualification content as well as the assessment and quality assurance requirements for these qualifications.

The qualifications are regulated by the Office of Qualifications and Examinations Regulations (Ofqual) in England and are part of the Regulated Qualifications Framework (RQF).

All versions of these qualifications are listed on the Register of Regulated Qualifications which is operated by Ofqual at <http://register.ofqual.gov.uk>.

1.2 Qualification Titles, Qualification Numbers and Important Dates

Qualification Title and Level	Qualification Number	Operational Start Date	Operational Review Date
GA Level 4 Award in Understanding the Internal Quality Assurance of Assessment Processes and Practice	610/1043/1	14/06/2022	June 2027
GA Level 4 Award in the Internal Quality Assurance of Assessment Processes and Practice	610/1044/3	14/06/2022	June 2027
GA Level 4 Certificate in Leading the Internal Quality Assurance of Assessment Processes and Practice	610/1045/5	14/06/2022	June 2027

1.3 Qualification Aims and Objectives

These qualifications provide the essential knowledge and understanding that internal quality assurance staff need. A learner can choose a qualification from the suite that is most appropriate to their current or intended job role. This suite of qualifications includes a unit that covers all the essential knowledge and understanding that quality assurance staff need, plus one or more units that describe competent practice.

The aims of the qualifications are to enable learners to:

- develop knowledge and understanding of the principles and practices of internal quality assurance
- assess performance in assuring the quality of assessment from within an organisation or assessment centre
- assess performance in leading the work of a team responsible for quality assurance within an organisation or assessment centre
- achieve a professional qualification for the knowledge, understanding and skills developed

The objective of these qualifications is to provide the essential knowledge and understanding that quality assurance staff need and offer additional units that describe competent practice. This approach gives flexibility and a greater potential to meet the needs of aspiring quality assurance staff.

These qualifications can be relied upon by employers to indicate that an individual can undertake a specific role in the workplace.

1.4 Qualification Structure and Overview: GLH*, TQT** and Credit Values

The GA IQA of Assessment Processes and Practice Awards and Certificate qualifications are listed on the Ofqual Register of Regulated Qualifications as part of the Regulated Qualifications Framework (RQF).

The structure of each qualification is as follows:

GA Level 4 Award in Understanding the Internal Quality Assurance of Assessment Processes and Practice				
Mandatory Units	Unit Reference	Credits	GLH*	Study Time*
Understanding the Principles and Practices of Internally Assuring the Quality of Assessment	M/650/2795	6	45	15
		Total Credits 6	Total GLH* 45	TQT* 60

GA Level 4 Award in the Internal Quality Assurance of Assessment Processes and Practice				
Mandatory Units	Unit Reference	Credits	GLH*	Study Time*
Understanding the Principles and Practices of Internally Assuring the Quality of Assessment	M/650/2795	6	45	15
Internally Assure the Quality of Assessment	M/650/2786	6	45	15
		Total Credits 12	Total GLH* 90	TQT* 120

GA Level 4 Certificate in Leading the Internal Quality Assurance of Assessment Processes and Practice				
Mandatory Units	Unit Reference	Credits	GLH*	Study Time*
Understanding the Principles and Practices of Internally Assuring the Quality of Assessment	M/650/2795	6	45	15
Internally Assure the Quality of Assessment	M/650/2786	6	45	15
Plan, Allocate and Monitor Work in Own Area of Responsibility	A/650/2914	5	25	25
		Total Credits 17	Total GLH* 115	TQT* 170

*Guided Learning Hours (GLH): Definition

The activity of a learner in being taught or instructed by – or otherwise participating in education or training under the immediate guidance or supervision of – a lecturer, supervisor, tutor or other appropriate provider of education or training.

**Total Qualification Time (TQT): Definition

The number of Guided Learning Hours assigned, plus an estimate of the number of study hours a learner will reasonably be likely to spend in preparation, study or any other form of participation in education or training, including assessment, which takes place as directed by – but, unlike Guided Learning, not under the immediate guidance or supervision of a lecturer, supervisor, tutor or other appropriate provider of education or training.

The number of study hours a learner is expected to undertake in order to complete each unit is expressed in the ‘Study Time’ above. This, including the GLH, provides the Total Qualification Time, or TQT, and 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 these qualifications.

The estimates for Guided Learning Hours and Total Qualification Time above have been produced with due regard to information gathered from those with experience in education and training and is in line with guidance published by Ofqual on the allocation and expression of Total Qualification Time and Guided Learning Hours.

Level

The qualifications within this specification are designated at Level 4 on the Regulated Qualification Framework (RQF) according to the Level Descriptors for knowledge and understanding, which build on those used within the Qualifications and Credit Framework (QCF) and the European Qualifications Framework (EQF). This means that these qualifications are considered by GA to lead to the outcome as follows:

Achievement at Level 4 reflects the ability to identify and use relevant understanding, methods and skills to address problems that are well defined but complex and non-routine. It includes taking responsibility for overall courses of action as well as exercising autonomy and judgement within fairly broad parameters. It also reflects understanding of different perspectives or approaches within an area of study or work.

1.5 Intended Audience, Age and Entry Requirements

The GA Level 4 Award in Understanding the Internal Quality Assurance of Assessment Processes and Practice is intended for those who wish to gain an understanding of the principles and practices of internal quality assurance without any requirement to practice.

The GA Level 4 Award in the Internal Quality Assurance of Assessment Processes and Practice is intended for those who maintain the quality of assessment from within an organisation or assessment centre. This qualification confirms competence in an occupational role to the standards required.

The GA Level 4 Certificate in Leading the Internal Quality Assurance of Assessment Processes and Practice is intended for those who lead a team of internal quality assurance staff. This qualification confirms competence in an occupational role to the standards required.

These qualifications are available to candidates aged 19 and over.

There are no specific recommended prior learning requirements for these qualifications; however, learners may find it helpful if they've already achieved a Level 3 qualification.

It is recommended that those undertaking a qualification have a proficient level of English and maths.

It is also recommended that prior to commencing a programme of study leading to any of these qualifications, candidates receive detailed advice and guidance from the training provider in order to ensure the programme will meet their needs.

1.6 Rules of Combination

Component units of each qualification are listed in 1.4 above.

There are no further Rules of Combination.

1.7 Recognition of Prior Learning, Transfer of Credits and Exemptions

Recognition of Prior Learning (RPL) is a method of assessing whether a learner's previous experience and achievements meet the standard requirements of a GA unit or units prior to the candidate taking the assessment for the qualification, or part of the qualification, they are registered for.

Any prior learning must be relevant to the knowledge, skills and understanding which will be assessed as part of that qualification, and GA will subsequently amend the requirements which a candidate must have satisfied before they are assessed as eligible to be awarded the qualification.

Where there is evidence that the candidate's knowledge and skills are current, valid and sufficient the use of RPL may be acceptable for recognising achievement of a unit, units or whole qualification. The requirement for RPL in such instances will include a consideration of the currency of the knowledge gained by the candidate at the time they undertook the prior learning. RPL cannot be guaranteed in instances where industry practice or legislation has significantly changed in the time since the prior learning was undertaken / a previous award was issued.

Where a learner has already achieved a unit with credit, GA will recognise that prior learning and will allow the credit to be transferred onto a new qualification, provided that the units have the same Ofqual reference number.

1.8 Relationship to Other Qualifications & Progression Opportunities

Learners can progress from an Award to a Certificate within this suite.

Learners who achieve one of these qualifications could progress onto further teaching and lecturing qualifications for example the Certificate or Diploma in Education and Training.

1.9 Language of Assessment

These qualifications are offered in English. Further information concerning the provision of qualification and assessment materials in other languages may be obtained from GA.

1.10 Grading

All learning outcomes and assessment requirements must be met before a learner can be considered having achieved these qualifications.

These qualifications are not graded on a scale. Learners are assessed as Pass or Fail. Learners who aren't successful can resubmit work within the registration period.

1.11 Qualification Availability

These qualifications are available via GA Approved Centres in the UK and internationally. If you would like further information on offering these qualifications, please contact us.

Our contact details appear on our website, www.gatehouseawards.org

Section 2: Qualification Delivery, Assessment & Quality Assurance Model

2.1 Teaching and Learning Requirements

Courses leading to these qualifications can consist of e-learning, distance learning or classroom-based or workplace-based training (or a combination of these), offered through GA approved centres.

Learners must have suitable access to teaching staff as well as technical support. Specialist staff, high quality learning materials and access to assessment opportunities are essential.

Further details and guidance on the content of teaching and learning can be accessed via the Ark (GA's online Learner Management System, available to all GA Approved Centres).

2.2 Assessment & Quality Assurance Model

This qualification is a centre-assessed qualification. This means that it is internally assessed and internally moderated by centre staff to clearly show where learners have achieved the learning outcomes and qualification requirements. There is no requirement for external summative assessment.

Assessment, internal moderation and quality assurance activities are subject to external moderation and quality assurance conducted by GA.

This qualification is subject to the GA Centre Assessment and Standards Scrutiny (CASS) and General Moderation Policy.

2.3 Portfolio Requirements

Learners are expected to build a portfolio of evidence, clearly demonstrating where they have met the learning outcomes and qualification requirements.

Various types of evidence may be used, for example:

- essays/assignments
- short questions and answers
- workbooks
- professional discussions
- observations of performance in the workplace
- product evidence
- reflective accounts
- witness testimony
- records of questioning

Evidence in the portfolio should be mapped against the learning outcomes, reflect the type of evidence supplied and indicate its location within the portfolio. By using portfolio reference numbers, it will enable the candidate, assessor, IQA and EQA to quickly locate the evidence submitted.

All evidence must meet CRAVES requirements (see Section 2.4 below).

2.4 Assessment of Learners: CRAVES

Assessors must ensure that all evidence within the learner's portfolio judged to meet GA's 'CRAVES' requirements is:

- **current:** the work is relevant at the time of the assessment
- **reliable:** the work is consistent with that produced by other learners
- **authentic:** the work is the candidate's own work
- **valid:** the work is relevant and appropriate to the subject being assessed and is at the required level
- **evaluated:** where the learner has not been assessed as competent, the deficiencies have been clearly and accurately identified via feedback to the learner
- **sufficient:** the work covers the expected learning outcomes and any range statements as specified in the criteria or requirements in the assessment strategy.

2.5 Internal Moderation and Quality Assurance Arrangements

Internal Moderators (also known as Internal Quality Assurers or IQAs) ensure that Assessors are assessing to the same standards, i.e. consistently and reliably, and that assessment decisions are correct. IQA activities will include:

- ensuring Assessors are suitably experienced and qualified in line with the qualification requirements
- sampling assessments and assessment decisions
- ensuring that assessment decisions meet the GA 'CRAVES' requirements (Current, Reliable, Authentic, Valid, Evaluated and Sufficient)
- conducting standardisation and moderation of assessment decisions
- providing Assessors with clear and constructive feedback
- supporting Assessors and providing training and development where appropriate
- ensuring any stimulus or materials used for the purposes of assessment are fit for purpose.

Sampling of assessment will be planned and carried out in line with a clear IQA and moderation strategy, which incorporates the number of candidates, number of Assessors, and the experience and competency of Assessors.

Centre IQAs may wish to refer to the guidance documents provided by GA to approved centres (available on the Ark) in order to formulate an appropriate Sampling Strategy.

2.6 External Moderation and Quality Assurance Arrangements

All GA Approved Centres are entitled to two EQA visits per year. Additional visits can be requested, for which there may be an additional charge.

EQA activities will focus on the centre's continuing adherence to and maintenance of the *GA Centre Approval Criteria* and the criteria and requirements for the specific qualifications for which it holds approval.

Through discussions with centre staff, examining candidate's work, moderation of assessment, talking to candidates and reviewing documentation and systems, the GA EQA will provide the centre with full support, advice and guidance as necessary.

2.7 Registering Candidates and Unique Learner Numbers (ULNs)

Learners must be registered through the Ark, the GA online Learner Management System.

Owing to the Total Qualification Time of this qualification, the validity period of registrations made will be 1 year. Should a learner not have achieved in the timescale, a new registration is required.

Each approved GA centre is provided with a user account to allow approved staff access to the online system.

Where the Unique Learner Number (ULN) of a candidate is known, this should be provided at the point of registration in order for GA to issue updates to the Learner Record Service.

2.8 ID Requirements

It is the responsibility of the centre to have systems in place to confirm each learner's identity.

Learners are required to declare that all work submitted for assessment is their own work.

2.9 Record Keeping

Records of learner's details, their work and any records of Reasonable Adjustments, Special Considerations and records containing learners' personal details must be kept by the centre in line with the Data Protection Act 2018 (including GDPR and all relevant privacy regulations) for a minimum of 2 years.

The centre must operate a safe and effective system of care and comply with clinical and information governance requirements, with appropriate policies and procedures in place to maintain confidentiality, both related to patients and clients, staff and learners.

All records must be easily retrievable and made available to GA or the Regulator upon request.

Portfolios must be retained until the following External Quality Assurance visit to allow them to be sampled. Following external moderation and the award of a qualification by GA, centres may return portfolios to learners.

Records of all internal quality assurance and moderation activity undertaken must be kept and made available to GA upon request.

Section 3: Staff and Resource Requirements for Centres

In order to deliver this qualification, a centre must ensure that they have the following resources in place.

3.1 General Staff Requirements

Centres delivering any GA qualification must:

- have a sufficient number of appropriately qualified/experienced Assessors to assess the volume of learners they intend to register
- have a sufficient number of appropriately qualified/experienced Internal Quality Assurers to internally quality assure the anticipated number of Assessors and learners
- ensure that all staff involved in assessment and internal quality assurance are provided with appropriate training and undertake meaningful and relevant continuing professional development
- implement effective internal quality assurance systems and processes to ensure all assessment decisions are reliable, valid, authentic, sufficient and current. This should include standardisation to ensure consistency of assessment
- provide all staff involved in the assessment process with sufficient time and resources to carry out their roles effectively.

Centres must ensure that they hold up-to-date and detailed information about their staff and must make records available to GA upon request. The information GA expects the centre to hold for each member of staff includes, as a minimum:

- current up to date CV
- copies of relevant qualification certificates
- relevant and up to date CPD (Continuous Professional Development) records

Centres must also ensure that they have the management and administrative staffing arrangements in place which are suitable to support the registration of learners and the receipt of results and certificates.

The knowledge and experience of all staff involved in delivery, assessment and quality assurance will be considered during the approval and re-approval process and at EQA visits.

3.2 Requirements for Assessors

Assessors of these qualifications must:

- already hold the qualification they are assessing (or a recognised equivalent) and have successfully assessed learners for other Teaching, Learning or Assessment qualifications (if assessing quality assurance roles, they must have experience as a qualified quality

assurance practitioner of carrying out internal or external quality assurance of qualifications for a minimum of two assessors);

- have up-to-date working knowledge and experience of best practice in assessment and quality assurance
- hold one of the following qualifications or their recognised equivalent:
 - Level 3 Award in Assessing Competence in the Work Environment; or
 - Level 3 Certificate in Assessing Vocational Achievement; or
 - A1 Assess candidate performance using a range of methods; or
 - D32 Assess candidate performance and D33 Assess candidate using differing sources of evidence
- show current evidence of continuing professional development in assessment and quality assurance.

3.3 Requirements for Internal Moderators (also referred to as an Internal Quality Assurers or IQAs)

Staff involved in the internal moderation and quality assurance of these qualifications must:

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

3.4 External Moderation (also referred to as External Quality Assurance or EQA)

Assessment and internal moderation and quality assurance activities are subject to external moderation and wider scrutiny and centre controls as per GA's quality assurance arrangements for centre-assessed qualifications.

3.5 Venue Requirements

When training premises are used in the delivery of teaching and assessment of this qualification, centres should, wherever possible, provide suitable access in line with Disability Discrimination, Diversity & Equality law and regulations and any other regulations which apply. The centre must maintain and implement appropriate and up-to-date health and safety policies and procedures.

3.6 Equipment

Centres must ensure that all products and equipment used in the delivery and assessment of these qualifications are fit for purpose and compliant with current Health and Safety legislation and any other relevant regulations. This will be considered at approval and during the on-going monitoring of centres.

3.7 Teaching and Learning Resources

Whether delivering a programme of learning as a classroom-based or e-learning course, centres must ensure that their teaching and learning resources are high quality and are relevant, up-to-date and of industry standard, in order to allow learners to adequately prepare for assessment.

All delivery and assessment resources should be inclusive of the principles of equality and diversity and the safeguarding of learners.

Staff involved in the delivery and internal quality assurance of these qualifications must also be familiar with the following document:

- *Qualification Guidance: Assessment and Quality Assurance Qualifications – Assessing and Assuring the Quality of Assessment* (Education and Training Foundation, 2016).

3.8 Results and Certification

Following a successful external moderation (EQA) visit, claims for certification are made via the Ark, the GA Learner Management System. Certificates are usually issued within 10 working days.

The qualification certificate will indicate both the title and the level at which the qualification is achieved.

Certificates will only be issued to learners who have achieved sufficient credits and met the rules of combination for the qualification they are registered for. If a learner has not achieved sufficient credits or failed to meet the rules of combination, the qualification certificate will not be issued.

Replacement certificates are available upon request.

Amendments to certificates are available upon request but may require the centre to provide evidence of the need for any amendment (e.g. learner proof of identification) and will involve the return of the original certificate. Replacements and amendments may incur an additional charge.

3.9 Direct Claims Status (DCS)

Direct Claim Status is not available for these qualifications.

3.10 Appeals and Enquiries

GA has an appeals procedure in accordance with the arrangements for regulated qualifications.

General enquiries can be made at any time and should be directed to a GA Centre Administrator.

3.11 Ongoing Support

There are a number of documents on the GA website that centres and learners may find useful:
www.gatehouseawards.org

The website is updated regularly with news, information about GA qualifications, sample materials, updates on regulations and other important notices.

Within the centre, a named Examinations Officer is responsible for ensuring that all information and documents provided to centre staff and learners are correct and up to date.

GA must be kept up to date with contact details of all changes of personnel so centres can be provided with the best level of support and guidance.

At the time of approval, centres are assigned a designated Centre Administrator who is their primary point of contact for all aspects of service or support.

Learners should always speak to a member of staff at the centre for information relating to GA and our qualifications prior to approaching GA directly.

Contact details for GA can be found on the GA website www.gatehouseawards.org.

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Section 4 – Qualification Unit Specifications

4.1 Understanding the principles and practices of internally assuring the quality of assessment

Unit Title	Level	GLH	Credits	Unit Reference
Understanding the principles and practices of internally assuring the quality of assessment	4	45	6	M/650/2795
The aim of this unit is to assess the knowledge and understanding of the principles and practices that underpin the internal quality assurance of assessment.				
Delivery and Assessment Guidance				
A range of assessment evidence can be used for this unit as long as all learning outcomes and assessment criteria are covered, and the evidence generated can be internally and externally quality assured.				

Learning Outcomes	Assessment Criteria
The learner will:	The learner can:
1 Understand the context and principles of internal quality assurance	1.1 Explain the functions of internal quality assurance in learning and development
	1.2 Explain the key concepts and principles of the internal quality assurance of assessment
	1.3 Explain the roles of practitioners involved in the internal and external quality assurance process
	1.4 Explain the regulations and requirements for internal quality assurance in own area of practice
2 Understand how to plan the internal quality assurance of assessment	2.1 Evaluate the importance of planning and preparing internal quality assurance activities
	2.2 Explain what an internal quality assurance plan should contain
	2.3 Summarise the preparations that need to be made for internal quality assurance, including: <ul style="list-style-type: none"> ▪ information collection ▪ communications ▪ administrative arrangements

	<ul style="list-style-type: none"> ▪ resources
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
	3.2 Explain the appropriate criteria to use for judging the quality of the assessment process
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
	4.2 Explain standardisation requirements in relation to assessment
	4.3 Explain relevant procedures regarding disputes about the quality of assessment
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
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
	6.2 Evaluate different ways in which technology can contribute to the internal quality assurance of assessment
	6.3 Explain the value of reflective practice and continuing professional development in relation to internal quality assurance
	6.4 Evaluate requirements for equality and diversity and, where appropriate, bilingualism, in relation to the internal quality assurance of assessment

4.2 Internally assure the quality of assessment

Unit Title	Level	GLH	Credits	Unit Reference
Internally assure the quality of assessment	4	45	6	M/650/2786
<p>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.</p>				
<p>Delivery and Assessment Guidance</p>				
<p>Evidence for all learning outcomes must come from performance in the work environment.</p> <p>There must be evidence of the internal quality assurer (IQA) learner monitoring a minimum of 2 assessors, each with a minimum of 2 trainees of their own, through components of a qualification.</p> <p>All learning outcomes in this unit must be assessed using methods appropriate to the learner IQA performance. These must include:</p> <ul style="list-style-type: none"> • observation of performance • examining products of work • questioning. <p>Direct evidence of this kind may be supplemented, where necessary, by discussion, reflective accounts or witness testimony.</p> <p>Simulations are not allowed.</p>				

Learning Outcomes	Assessment Criteria
The learner will:	The learner can:
1 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 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
	2.5 Determine whether assessment decisions are made using the specified criteria
	2.6 Compare assessor decisions to ensure they are consistent
3 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
	3.2 Apply procedures to standardise assessment practices and outcomes
4 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
	4.2 Follow procedures to maintain confidentiality of internal quality assurance information
5 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
	5.2 Apply requirements for equality and diversity and, where appropriate, bilingualism, in relation to internal quality assurance
	5.3 Critically reflect on own practice in internally assuring the quality of assessment
	5.4 Maintain the currency of own expertise and competence in internally assuring the quality of assessment

4.3 Plan, allocate and monitor work in own area of responsibility

Unit Title	Level	GLH	Credits	Unit Reference
Plan, allocate and monitor work in own area of responsibility	4	25	5	A/650/2914

The aim of this unit is to help learners to plan, allocate and monitor work in own area of responsibility, and make any necessary changes to original work plans.

Delivery and Assessment Guidance

Evidence for all learning outcomes must come from performance in the work environment.

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

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

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

Evidence must come from performance in the work environment and from co-ordinating the work of a team of IQAs.

Simulations are not allowed.

Learning Outcomes	Assessment Criteria
The learner will:	The learner can:
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
	1.2 Identify the skills base and the resources available
	1.3 Examine priorities and success criteria needed for the team

	1.4 Produce a work plan for own area of responsibility
2. Be able to allocate and agree responsibilities with team members	2.1 Identify team members' responsibilities for identified work activities
	2.2 Agree responsibilities and SMART (Specific, Measurable, Achievable, Realistic and Time-bound) objectives with team members
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
	3.2 Monitor and evaluate progress against agreed standards and provide feedback to team members
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
	4.2 Communicate changes to team members

Appendix 1: Internal Moderation and Quality Assurance Regulations and Guidance

3.1 Introduction to Internal Moderation

Internal Moderation is a centre's internal system that ensures learner evidence is complete and genuinely meets all the required criteria by which the learner is judged to have met in order to be awarded a qualification. The process involves regularly sampling and evaluating the centre's assessment practices and decisions, and it is the Internal Moderator's responsibility to act on their findings to ensure consistency and fairness.

Ensuring quality standards are maintained and are consistent within and across a centre's provision is the responsibility of the head of centre, who must ensure that suitable staff are in place to act as Internal Moderator(s) and provide full support and standards scrutiny of the centre's Assessment decisions.

3.2 Internal Moderation Processes

Internal Moderation involves three key processes: co-ordination of the assessment process, standardisation of assessment practice, and sampling of assessed work.

These processes are conducted by one Internal Moderator or, if there is more than one, a team of Internal Moderators who are under the direction of a Lead Internal Moderator.

Information about the experience and qualification requirements for Internal Moderators is provided in the *Qualification Specification*.

3.3. Co-ordination of the Assessment Process

Prior to delivery commencing, it is the Internal Moderator who will confirm that assessment tasks are appropriate. This may involve checking that proposed assessment activities, plans for practical assessments, or the briefs of any assignments or reports are fit for purpose. It may also include checking that internal tests or examination materials are fit for purpose.

In order to ensure that the planned assessment activities and materials are fit for purpose, the Internal Moderator will consider and judge whether the activities and materials provide inclusive opportunities for all learners to meet the assessment objectives and generate evidence which is current, reliable, authentic, valid, able to be evaluated and sufficient to meet the requirements of the qualification.

During delivery of assessment, Internal Moderators will work with the Assessment team, ensuring that assessment practices are being carried out correctly. This may involve observing assessment taking place.

3.4 Standardisation of Assessment

The standardisation process helps to ensure that all centre staff involved in the delivery, assessment and quality assurance are consistent and fair to all learners and interpret and follow the requirements of the qualification in the same way.

Internal Moderators are expected to ensure high levels of consistency across Assessors and centre delivery sites through sharing good practice and providing feedback and support, doing so accurately and in good time. The internal Moderator may highlight areas for further CPD or additional training as necessary.

3.5. Sampling Process

When planning and carrying out internal moderation activities, it is important that the Internal Moderator works to a sound sampling strategy to ensure that standardisation of assessment decisions can take place.

A centre's sampling strategy involves reviewing the quality of Assessor's judgements, which will include reviewing learner work.

The learner work may be sampled before the learner has completed the full qualification, for example by sampling one or two assignments, topic areas or units, as the learner completes them.

The Internal Moderator should check that planning and reviewing has taken place and feedback is given to learners by the Assessor. The Internal Moderator will also check and confirm the accuracy of the application of any mark schemes, guidance and overall assessment decisions.

The Internal Moderator will therefore be able to evaluate the quality and consistency of the Assessor's assessment decisions and be able to identify any problems at an early stage. It will highlight individual Assessor training and development needs, which in turn can inform the programme of CPD for the assessment team as a whole.

The Internal Moderator must plan their sampling activities as outlined below.

3.6 Establishing a Sampling Strategy

Sampling should enable the Internal Moderator to evaluate how Assessors have reached their decisions. They must be able to follow documentation which clearly shows that Assessors have checked that the evidence presented meets the rules of evidence.

Evidence must be confirmed by Assessors as '**CRAVES**'

- **Current:** the work is relevant at the time of the assessment
- **Reliable:** the work is consistent with that produced by other learners
- **Authentic:** the work is the learner's own work
- **Valid:** the work is relevant and appropriate to the subject being assessed and is at the required level
- **Evaluated:** where the learner has not been assessed as competent, the deficiencies have been clearly and accurately identified via feedback to the learner resulting in improvements in knowledge or competency leading to the award
- **Sufficient:** the work covers the expected learning outcomes and any range statements as specified in the criteria or requirements in the assessment strategy.

3.7 Planning Sampling Activities

The Internal Moderator should consider the following when considering the volume of work that they should sample:

- the learners' ethnic origin, age and gender to ensure a representative range of learners are sampled
- the Assessors' experience and qualifications, workload and their occupational competence. For example, if Assessors are qualified and experienced it may not be necessary to look at everything in a learner's portfolio. If Assessors have less than 12 months' experience, are new to the centre or a particular qualification, or perhaps have not assessed for a length of time, the Internal Moderator will need to sample substantially more of their decisions for the first 6 - 12 months
- the full range of assessment methods used for any one qualification, for example observation, witness testimony, professional discussion, reflective accounts, questioning, assignments, products, RPL, simulation, etc and ensure a good, representative range of assessment evidence is sampled
- previous feedback to Assessors regarding good practice and/or involved highlighting development needs, for example If the Internal Moderator has a particular concern regarding the assessment decisions of a particular Assessor they should focus on increasing the volume of work from that Assessor to continue increased monitoring and evaluation of risk
- whether any changes have been implemented relating to the assessment of the qualification or its units, for example if there have been amendments to the qualification specification, or instances where industry practice or legislation has changed
- the range of locations where assessments have taken place
- the sampling process must not be determined by any rule of thumb such as '10%.'

3.8 Producing a Sampling Plan

The Internal Moderator must develop a sampling plan at the beginning of the learner's (or cohort's) programme and record, on the plan, which topic areas/assessment methods they plan to sample, and when.

Copies of sampling plans should be made available to other Internal Moderators and the assessment team, and sampling carried out according to the plan.

Where variations are made, these should be recorded on the plan.

3.9 Completing a Sample Record

The Internal Moderator should record the quality assurance sampling activities on a Sample Record. As a minimum, this record must indicate the Assessor's decision, the content of the sample, the Internal Moderator's decision and relevant feedback to the Assessor.

Where the Internal Moderator agrees with the assessment decisions, certification claims can go ahead.

Where the Internal Moderator does not agree with the assessment decisions, full feedback must be given to the Assessor, with action points agreed which relate to the Assessor's areas for improvement and instructions for how the learner can be supported to produce the required evidence of knowledge and skills.

Sampling must take place before any certification claims are made by the centre and all records, including those of standardisation meetings, feedback to Assessors and CPD activity should be made available to the GA-appointed External Moderator (also referred to as the EQA) upon request.

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