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Pearson Edexcel Level 4 Awards and Certificates in Assuring the Quality of Assessment

Specification

Professional qualification

First teaching September 2010

Issue 4

Pearson

Edexcel, BTEC and LCCI qualifications

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This specification is Issue 4. Key changes are listed in the summary table on the next page. We will inform centres of any changes to this issue. The latest issue can be found on the Pearson website: qualifications.pearson.com

These qualifications were previously known as:

Edexcel Level 4 Awards and Certificates in Assuring the Quality of Assessment (QCF)

The QNs remain the same.

References to third party material made in this specification are made in good faith. Pearson does not endorse, approve or accept responsibility for the content of materials, which may be subject to change, or any opinions expressed therein. (Material may include textbooks, journals, magazines and other publications and websites.)

All information in this specification is correct at time of publication.

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Summary of Pearson Edexcel Level 4 Awards and Certificates in Assuring the Quality of Assessment specification Issue 4 changes

Summary of changes made between previous Issue 3 and this current Issue 4	Page/section number
All references to QCF have been removed throughout the specification	Throughout
Definition of TQT added	Section 1
Definition of sizes of qualifications aligned to TQT	Section 1
TQT value added	Section 2
Reference to credit transfer within the QCF removed	Section 6
QCF references removed from unit titles and unit levels in all units	Section 12
Guided learning definition updated	Section 12

Earlier issue(s) show(s) previous changes.
If you need further information on these changes or what they mean, contact us via our website at: qualifications.pearson.com/en/support/contact-us.html.

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Purpose of this specification

The purpose of a specification as defined by Ofqual is to set out:

- the qualification's objective
- any other qualification that a learner must have completed before taking the qualification
- any prior knowledge, skills or understanding that the learner is required to have before taking the qualification
- units that a learner must have completed before the qualification will be awarded and any optional routes
- any other requirements that a learner must have satisfied before they will be assessed or before the qualification will be awarded
- the knowledge, skills and understanding that will be assessed as part of the qualification (giving a clear indication of their coverage and depth)
- the method of any assessment and any associated requirements relating to it
- the criteria against which the learner's level of attainment will be measured (such as assessment criteria)
- any specimen materials
- any specified levels of attainment.

1 Introducing Pearson Professional qualifications

Pearson Professional qualifications are qualifications at Level 4 to Level 8 that are designed to provide professional work-related qualifications in a range of sectors. They give learners the knowledge, understanding and skills that they need to prepare for employment. The qualifications also provide career development opportunities for those already in work. Consequently, they provide a course of study for full-time or part-time learners in schools, colleges and training centres.

On successful completion of a Pearson Professional qualification, learners can progress to or within employment and/or continue their study in the same or related vocational area.

Sizes of Professional qualifications

For all regulated qualifications, Pearson specify a total number of hours that it is estimated learners will require to complete and show achievement for the qualification – this is the Total Qualification Time (TQT). The TQT value indicates the size of a qualification.

Within the TQT, Pearson identifies the number of Guided Learning Hours (GLH) that we estimate a centre delivering the qualification might provide. Guided learning means activities, such as lessons, tutorials, online instruction, supervised study and giving feedback on performance, that directly involve tutors and assessors in teaching, supervising and invigilating learners. Guided learning includes the time required for learners to complete external assessment under examination or supervised conditions.

In addition to guided learning, other required learning directed by tutors or assessors will include private study, preparation for assessment and undertaking assessment when not under supervision, such as preparatory reading, revision and independent research.

As well as TQT and GLH, qualifications can also have a credit value – equal to one tenth of TQT, rounded to the nearest whole number.

TQT and credit values are assigned after consultation with users of the qualifications.

Pearson Professional qualifications are generally available in the following sizes:

- Award – a qualification with a TQT value of 120 or less (equivalent to a range of 1–12 credits)
- Certificate – a qualification with a TQT value in the range of 121–369 (equivalent to a range of 13–36 credits)
- Diploma – a qualification with a TQT value of 370 or more (equivalent to 37 credits and above).

Other size references, such as Extended Diploma, may be used in a suite of qualifications depending on the specific needs of different sectors.

2 Qualification summary and key information

Qualification title	Pearson Edexcel Level 4 Award in Understanding the Internal Quality Assurance of Assessment Processes and Practice
Qualification Number (QN)	501/0775/6
Date registrations can be made	01/09/2010
Age range that the qualification is approved for	19+
Credit value	6
Assessment	Centre-devised assessment (internal assessment)
Total Qualification Time (TQT)	60
Guided learning hours	45
Grading information	The qualification and units are at pass grade.
Entry requirements	For details of entry requirements see below. Centres must also follow the Pearson *Access and Recruitment* policy (see section 9, *Access and Recruitment*)

Qualification title	Pearson Edexcel Level 4 Award in the Internal Quality Assurance of Assessment Processes and Practice
Qualification Number (QN)	501/0776/8
Date registrations can be made	01/09/2010
Age range that the qualification is approved for	19+
Credit value	12
Assessment	Centre-devised assessment (internal assessment)
Total Qualification Time (TQT)	120
Guided learning hours	90
Grading information	The qualification and units are at pass grade.
Entry requirements	For details of entry requirements see below. Centres must also follow the Pearson *Access and Recruitment* policy (see section 9, *Access and Recruitment*)

Qualification title	Pearson Edexcel Level 4 Certificate in Leading the Internal Quality Assurance of Assessment Processes and Practice
Qualification Number (QN)	501/0843/8
Date registrations can be made	01/09/2010
Age range that the qualification is approved for	19+
Credit value	17
Assessment	Centre-devised assessment (internal assessment)
Total Qualification Time (TQT)	170
Guided learning hours	115
Grading information	The qualification and units are at pass grade.
Entry requirements	For details of entry requirements see below. Centres must also follow the Pearson *Access and Recruitment* policy (see section 9, *Access and Recruitment*)

Qualification title	Pearson Edexcel Level 4 Award in Understanding the External Quality Assurance of Assessment Processes and Practice
Qualification Number (QN)	501/0777/X
Date registrations can be made	01/09/2010
Age range that the qualification is approved for	19+
Credit value	6
Assessment	Centre-devised assessment (internal assessment)
Total Qualification Time (TQT)	60
Guided learning hours	45
Grading information	The qualification and units are at pass grade.
Entry requirements	For details of entry requirements see below. Centres must also follow the Pearson *Access and Recruitment* policy (see section 9, *Access and Recruitment*)

Qualification title	Pearson Edexcel Level 4 Award in the External Quality Assurance of Assessment Processes and Practice
Qualification Number (QN)	501/1037/8
Date registrations can be made	01/09/2010
Age range that the qualification is approved for	19+
Credit value	12
Assessment	Centre-devised assessment (internal assessment)
Total Qualification Time (TQT)	120
Guided learning hours	75
Grading information	The qualification and units are at pass grade.
Entry requirements	For details of entry requirements see below. Centres must also follow the Pearson *Access and Recruitment* policy (see section 9, *Access and Recruitment*)

Qualification title	Pearson Edexcel Level 4 Certificate in Leading the External Quality Assurance of Assessment Processes and Practice
Qualification Number (QN)	501/0842/6
Date registrations can be made	01/09/2010
Age range that the qualification is approved for	19+
Credit value	17
Assessment	Centre-devised assessment (internal assessment)
Total Qualification Time (TQT)	170
Guided learning hours	100
Grading information	The qualification and units are at pass grade.
Entry requirements	For details of entry requirements see below. Centres must also follow the Pearson *Access and Recruitment* policy (see section 9, *Access and Recruitment*)

Qualification title and Qualification Number

Centres will need to use the Qualification Number (QN) when they seek public funding for their learners. The qualification title, unit titles and QN are given on each learner's final certificate. You should tell your learners this when your centre recruits them and registers them with us. There is more information about certification in our *UK Information Manual,* available on our website, qualifications.pearson.com

Objective of the qualifications

This specification includes the qualifications for internal and external quality assurers (previously interval and external verifiers). They were needed to meet the emerging needs of the developing qualification frameworks and to reflect changes in the practice of assessment.

These qualifications replace the V1 and V2 qualifications. They are part of the new suite of qualifications for assessors, internal quality assurers (IQA) and external quality assurers (EQA).

These qualifications will be required for:

- assessors and verifiers involved in National Vocational Qualifications (NVQs) for the next three years. Those who deliver these qualifications will need to be qualified to meet the requirements of the NVQ Code of Practice and Sector Skills Councils assessment strategies.
- assessors and quality assurance staff who deliver qualifications that use the term 'NVQ' in their title will also need these qualifications.
- Depending on the assessment strategies set by individual Sector Skills Councils, some staff, who are assessing and quality assuring qualifications within the that do not use the term 'NVQ' in their titles, but whose purpose is to confirm occupational competence, will need to hold IQA or EQA qualifications.

These qualifications would be helpful for teachers in schools who deliver vocational qualifications with applied learning, such as BTEC Firsts and Nationals.

Ofqual has confirmed that practitioners who hold the A, V or D units will not have to prequalify, but must be aware of and operate in accordance with the relevant new qualification.

For further information, please refer to *Annexe B* where there is an extract from the Lifelong Learning UK (LLUK) guidance document giving the LLUK Assessment Strategy. LLUK has been replaced by The Learning and Skills Improvement Service (LSIS) which now oversees the Assessment Strategy. Please note, that requirements set out in the Assessment Strategy are LLUK/LSIS requirements, not the requirements of the Regulators, Sector Skills Councils or awarding bodies for other qualifications. These will be covered by the assessment strategies relevant to those qualifications

The units in this specification can be approached as individual, stand-alone units but in different combinations they provide the appropriate qualification for:

- lead/internal quality assurers (formerly internal verifiers/lead internal verifiers)
- lead/external quality assurers (formerly external verifiers/lead external verifiers)
- learning and development managers

It is essential that the correct combinations are understood and that learners are guided by assessors and tutors to the appropriate combination.

These qualifications are for learners aged 19 and above who are capable of reaching the required standards in a learning and development delivery or assessment context.

Pearson's policy is that the qualifications should:

- be free from any barriers that restrict access and progression
- ensure equality of opportunity for all wishing to access the qualifications.

Individual qualifications in this specification document are particularly suitable for the following groups of learners:

The Pearson Edexcel Level 4 Award in Understanding the Internal Quality Assurance of Assessment Processes and Practice: for those who want to know about internal quality assurance, for example managers or those new to quality assurance and verification.

The Pearson Edexcel Level 4 Award in the Internal Quality Assurance of Assessment Processes and Practice: for those who internally quality assure assessors and assessment, but who do not manage the centre or other internal quality assures.

The Pearson Edexcel Level 4 Certificate in Leading the Internal Quality Assurance of Assessment Processes and Practice: for those who have wider quality assurance responsibilities and manage others, develop policies or manage External Quality Assurance (EQA) visits. This is a qualification for Lead Internal Quality Assurers.

The Pearson Edexcel Level 4 Award in Understanding the External Quality Assurance of Assessment Processes and Practice: for those who want to know about external quality assurance but who do not actually do it, for example managers or internal verifiers.

The Pearson Edexcel Level 4 Award in the External Quality Assurance of Assessment Processes and Practice: for those who externally quality assure centres.

The Pearson Edexcel Level 4 Certificate in Leading the External Quality Assurance of Assessment Processes and Practice: for those who have wider responsibilities and manage other external quality assurers across more than one centre.

Relationship with previous specifications

This specification is a direct replacement for the specification entitled *Pearson Edexcel Level 4 Awards in Assuring the Quality of Assessment and Pearson Edexcel Level 4 Certificates in Assuring the Quality of Assessment– for first teaching September 2010*. These changes have been made to reflect updates in our specification document layout. The structures, rules of combination, content and assessment of the qualifications in the earlier specification have not been altered.

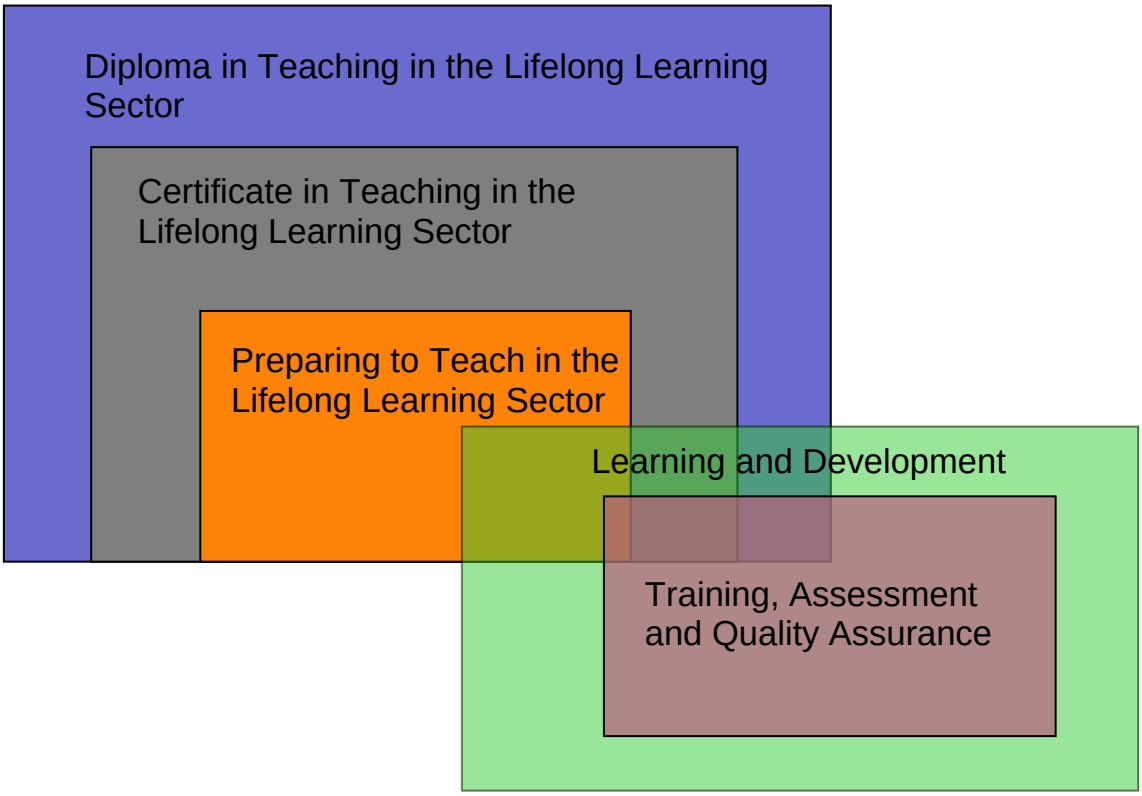
Related qualifications in the teaching, training and education suite

Which qualification is most appropriate for which role?

ROLE	QUALIFICATION
Assessor or Internal Quality Assurer	Training, Assessment and Quality Assurance (TAQA)
Trainer	Learning and Development (L&D)
New to teaching or training	Preparing to Teach in the Lifelong Learning Sector (PTLLS)
Associate or part-time teacher	Certificate in Teaching in the Lifelong Learning Sector (CTLLS)
Full-time teacher	Diploma in Teaching in the Lifelong Learning Sector (DTLLS)

Inter-relationships between teaching, training and education qualifications

- All of the teaching and learning qualifications contain some common units increasing both the transferability between the qualifications, and the choice of units available to centres and learners.
- Centres should select units that best reflect the needs of learner groups. These may include: training, assessing, quality assurance, part and full-time teaching.
- We encourage centres to make the most of the wide range of units now available from Pearson and recommend they use the qualification structure documents to design programmes that best suit learners.
- Centres should ensure they have the right resources and level of approval to offer these units and qualifications, and be aware of the specific delivery sequence for the Diploma in Teaching in the Lifelong Learning Sector, (further details in *Section 8, Programme Delivery*).



Progression opportunities through Pearson qualifications

Learners who achieve these qualifications have a wide range of qualification progression opportunities, for example the teaching in the lifelong learning sector suite of qualifications: Preparing to Teach in the Lifelong Learning Sector (PTLLS), the Certificate in Teaching in the Lifelong Learning Sector (CTLLS) and the Diploma in Teaching in the Lifelong Learning Sector (DTLLS).

See *Annexe A* for further information.

Industry Support and recognition

These qualifications are supported by the Learning and Skills Improvement Service (LSIS), the Standards Setting Body for teaching and learning.

Relationship with National Occupational Standards

These qualifications relate to the Professional Standards in Teaching in the Lifelong Learning Sector. The standards are available on the Learning and Skills Improvement Service Excellence Gateway, www.excellencegateway.org.uk. Further information is available, as well as advice on teaching in the further education sector, from the Information and Advice Service at enquiries@lsis.org.uk or telephone: 0300 303 1877.

3 Centre resource requirements

As part of the approval process, centres must make sure that the resources requirements below are in place before offering the qualification.

General resource requirements

- Centres must have appropriate physical resources (for example, equipment, IT, learning materials, teaching rooms) to support the delivery and assessment of the qualifications.
- Staff involved in the assessment process must have relevant expertise and occupational experience.
- There must be systems in place to make sure continuing professional development for staff delivering the qualifications.
- Centres must have appropriate health and safety policies in place relating to the use of equipment by learners.
- Centres must deliver the qualifications in accordance with current equality legislation.

Specific resource requirements

As well as the general requirements above, centres must meet any specific resource requirements outlined in Annexe B: LLUK Assessment Strategy. Staff assessing the learner must meet the requirements within the overarching assessment strategy for the sector.

4 Qualification structures

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

The learner will need to meet the requirements outlined in the table below before Pearson can award the qualification.

Minimum number of credits that must be achieved	6

Unit name	Unit no	Unit Ref No	Level	Credit	GLH
Mandatory Unit: 6 credits must be achieved from this group					
Understanding the Principles and Practices of Internally Assuring the Quality of Assessment	1	T/601/5320	4	6	45

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

The learner will need to meet the requirements outlined in the table below before Pearson can award the qualification.

Minimum number of credits that must be achieved	12

Unit name	Unit no	Unit Ref No	Level	Credit	GLH
Mandatory Units: 12 credits must be achieved from this group					
Understanding the Principles and Practices of Internally Assuring the Quality of Assessment	1	T/601/5320	4	6	45
Internally Assure the Quality of Assessment	2	A/601/5321	4	6	45

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

The learner will need to meet the requirements outlined in the table below before Pearson can award the qualification.

Minimum number of credits that must be achieved	17

Unit name	Unit no	Unit Ref No	Level	Credit	GLH
Mandatory Units: 17 credits must be achieved from this group					
Understanding the Principles and Practices of Internally Assuring the Quality of Assessment	1	T/601/5320	4	6	45
Internally Assure the Quality of Assessment	2	A/601/5321	4	6	45
Plan, Allocate and Monitor Work in Own Area of Responsibility	3	H/600/9674	4	5	25

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

The learner will need to meet the requirements outlined in the table below before Pearson can award the qualification.

Minimum number of credits that must be achieved	6

Unit name	Unit no	Unit Ref No	Level	Credit	GLH
Mandatory Unit: 6 credits must be achieved from this group					
Understanding the Principles and Practices of Externally Assuring the Quality of Assessment	4	F/601/5322	4	6	45

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

The learner will need to meet the requirements outlined in the table below before Pearson can award the qualification.

Minimum number of credits that must be achieved	12

Unit name	Unit no	Unit Ref No	Level	Credit	GLH
Mandatory Unit: 12 credits must be achieved from this group					
Understanding the Principles and Practices of Externally Assuring the Quality of Assessment	4	F/601/5322	4	6	45
Externally Assure the Quality of Assessment	5	J/601/5323	4	6	30

Pearson Edexcel Level 4 Certificate in Leading the External Quality Assurance of Assessment Processes and Practice

The learner will need to meet the requirements outlined in the table below before Pearson can award the qualification.

Minimum number of credits that must be achieved	17

Unit name	Unit no	Unit Ref No	Level	Credit	GLH
Mandatory Unit: 17 credits must be achieved from this group					
Understanding the Principles and Practices of Externally Assuring the Quality of Assessment	4	F/601/5322	4	6	45
Plan, Allocate and Monitor Work in Own Area of Responsibility	3	H/600/9674	4	5	25
Externally Assure the Quality of Assessment	5	J/601/5323	4	6	30

5 Assessment

The table below gives a summary of the assessment methods used in the qualifications

Units	Assessment method
All units	Centre-devised assessment

Centre-devised assessment (internal assessment)

A number of the assessment criteria in this specification document require the learner to produce evidence whereby the learner's competence can be assessed.

Where appropriate, centres need to write assignment briefs for the learners to show what evidence is required. Assignment briefs should indicate clearly which assessment criteria are being targeted and what evidence is required. There should be evidence in the course file that assignments have been internally reviewed and moderated.

Assignment briefs and evidence produced by learners must also meet any additional requirements in the *Assessment Requirements* section of the unit.

Unless otherwise indicated within the *Assessment Requirements* section of the unit, the centre can decide what form assessment evidence will take (eg performance observation, presentations, projects, tests, extended writing) as long as the methods chosen allow learners to produce valid, sufficient and reliable evidence of meeting the assessment criteria.

Centres are encouraged to provide learners with realistic scenarios and maximise the use of practical activities in delivery and assessment.

To avoid over-assessment, centres are encouraged to link delivery and assessment across units.

When writing assignments, centres should ensure that guidance is given for:

- date of issue and date for submission
- word count (where appropriate for depth or range required)
- sources/types of appropriate evidence
- any specific support for learners in generating appropriate evidence — including cross-referencing where a single piece of evidence relates to more than one unit, for example scheme of work/session plans/observation reports
- the use of Harvard referencing for all research materials.

There is more guidance about internal assessment on our website. See also *Section 13*, *Further information and useful publications.*

Assessment strategy

The overall grade for each qualification is a 'pass'. The learner must achieve all the required units within the specified qualification structure.

The assessment strategy for these qualifications has been included in Annexe B. It has been developed by the Learning and Skills Improvement Service (LSIS) in partnership with employers, training providers, awarding organisations and the regulatory authorities.

Evidence of competence may come from:

- **current practice** where evidence is generated from a current job role
- a **programme of development** where evidence comes from assessment opportunities built into a learning/training programme whether at or away from the workplace
- the **Recognition of Prior Learning (RPL)** where a learner can demonstrate that they can meet the assessment criteria within a unit through knowledge, understanding or skills they already possess without undertaking a course of learning. They must submit sufficient, reliable and valid evidence for internal and standards verification purposes. RPL is acceptable for accrediting a unit, several units or a whole qualification
- a **combination** of these.

It is important that the evidence is:

Valid	relevant to the standards for which competence is claimed
Authentic	produced by the learner
Current	sufficiently recent to create confidence that the same skill, understanding or knowledge persist at the time of the claim
Reliable	indicates that the learner can consistently perform at this level
Sufficient	fully meets the requirements of the standards.

Types of evidence (to be read in conjunction with the assessment strategy in Annexe B)

To successfully achieve a unit, the learner must:

- achieve all the specified learning outcomes
- satisfy all the assessment criteria by providing sufficient and valid evidence for each criterion
- show that the evidence is their own.

Evidence can take a variety of different forms, including the examples below. Centres should refer to the assessment strategy for information about which of the following are permissible:

- direct observation of the learner's performance by their assessor (O)
- outcomes from oral or written questioning (Q and A)
- products of the learner's work (P)

- personal statements and/or reflective accounts (RA)
- outcomes from simulation, where permitted by the assessment strategy (S)
- professional discussion (PD)
- assignment, project/case studies (A)
- authentic statements/witness testimony (WT)
- expert witness testimony (EPW)
- evidence of Recognition of Prior Learning (RPL).

The abbreviations may be used for cross-referencing purposes.

Learners can use one piece of evidence to prove their knowledge, skills and understanding across different assessment criteria and/or across different units. It is, therefore, not necessary for learners to have each assessment criterion assessed separately. Learners should be encouraged to reference the assessment criteria to which the evidence relates.

Evidence must be made available to the assessor, internal verifier and Pearson standards verifier. A range of recording documents is available on the Pearson website, qualifications.pearson.com. Alternatively, centres may develop their own.

6 Recognising prior learning and achievement

Recognition of Prior Learning

Recognition of Prior Learning (RPL) is a method of assessment (leading to the award of credit) 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 so do not need to develop through a course of learning.

Pearson encourages centres to recognise learners' previous achievements and experiences in and outside the workplace, as well as in the classroom. RPL provides a route for the recognition of the achievements resulting from continuous learning.

RPL enables recognition of achievement from a range of activities using any valid assessment methodology. If the assessment requirements of a given unit or qualification have been met, the use of RPL is acceptable for accrediting a unit, units or a whole qualification. Evidence of learning must be sufficient, reliable and valid.

Further guidance is available in our policy document *Recognition of Prior Learning Policy and Process*, available on our website, qualifications.pearson.com

7 Centre recognition and approval

Centre recognition

Centres that have not previously offered Pearson qualifications need to apply for, and be granted, centre recognition as part of the process for approval to offer individual qualifications. New centres must complete a *Pearson Vocational Centre & Qualification Approval Form (VCQA)*.

Existing centres will be given 'automatic approval' for a new qualification if they are already approved for a qualification that is being replaced by the new qualification and the conditions for automatic approval are met. Centres that already hold Pearson Centre approval are able to apply for qualification approval for a different level or different sector via Edexcel Online, up to and including level 3 only.

In some circumstances, qualification approval using Edexcel Online may not be possible. In such cases, guidance is available as to how an approval application may be made.

Approvals agreement

All centres are required to enter into an approval agreement that is a formal commitment by the head or principal of a centre to meet all the requirements of the specification and any associated codes, conditions or regulations. Pearson will act to protect the integrity of the awarding of qualifications. If centres do not comply with the agreement, this could result in the suspension of certification or withdrawal of approval.

8 Quality assurance of centres

Quality assurance is at the heart of vocational qualifications. The centre assesses BTEC qualifications. The centre will use quality assurance to make sure that their managers, internal verifiers and assessors are standardised and supported. Pearson use quality assurance to check that all centres are working to national standards. It gives us the opportunity to identify and provide support, if needed, to safeguard certification. It also allows us to recognise and support good practice.

For the qualifications in this specification, the Pearson quality assurance model will follow one of the processes listed below.

1 Delivery of the qualification as part of a BTEC Apprenticeship ('single click' registration):

- an annual visit by a Standards Verifier to review centre-wide quality assurance systems and sampling of internal verification and assessor decisions.

2 Delivery of the qualification outside the Apprenticeship:

- an annual visit to the centre by a Centre Quality Reviewer to review centre-wide quality assurance systems
- Lead Internal Verifier accreditation – this involves online training and standardisation of Lead Internal Verifiers using our OSCA platform, accessed via Edexcel Online. Please note that not all qualifications will include Lead Internal Verifier accreditation. Where this is the case, each year we will allocate a Standards Verifier to conduct postal sampling of internal verification and assessor decisions for the Principal Subject Area.

For further details please see the *UK Vocational Quality Assurance Handbook* on our website, qualifications.pearson.com

9 Programme delivery

Centres are free to offer the qualifications using any mode of delivery (for example full time, part time, evening only, distance learning) that meets their learners' needs. Whichever mode of delivery is used, centres must make sure that learners have access to the resources identified in the specification and to the subject specialists delivering the units.

Those planning the programme should aim to enhance the vocational nature of the qualification by:

- liaising with employers to make sure a course is relevant to learners' specific needs
- accessing and using non-confidential data and documents from learners' workplaces
- developing up-to-date and relevant teaching materials that make use of scenarios that are relevant to the sector
- giving learners the opportunity to apply their learning in practical activities
- including sponsoring employers in the delivery of the programme and, where appropriate, in the assessment
- making full use of the variety of experience of work and life that learners bring to the programme.

Where legislation is referred to in a unit, centres must ensure that current legislation is taught.

10 Access and recruitment

Pearson's policy regarding access to our qualifications is that:

- they should be available to everyone who is capable of reaching the required standards
- they should be free from any barriers that restrict access and progression
- there should be equal opportunities for all those wishing to access the qualifications.

Centres are required to recruit learners to Pearson Professional qualifications with integrity.

Applicants will need relevant information and advice about the qualification to make sure it meets their needs.

Centres should review the applicant's prior qualifications and/or experience, considering whether this profile shows that they have the potential to achieve the qualification.

For learners with disabilities and specific needs, this review will need to take account of the support available to the learner during teaching and assessment of the qualification. The review must take account of the information and guidance in *Section 12*, *Access to qualifications for learners with disabilities or specific needs*.

11 Access to qualifications for learners with disabilities or specific needs

Equality and fairness are central to our work. Pearson's Equality Policy requires all learners to have equal opportunity to access our qualifications and assessments and that our qualifications are awarded in a way that is fair to every learner.

We are committed to making sure that:

- learners with a protected characteristic (as defined by the Equality Act 2010) are not, when they are undertaking one of our qualifications, disadvantaged in comparison to learners who do not share that characteristic
- all learners achieve the recognition they deserve from undertaking a qualification and that this achievement can be compared fairly to the achievement of their peers.

For learners with disabilities and specific needs, the assessment of their potential to achieve the qualification must identify, where appropriate, the support that will be made available to them during delivery and assessment of the qualification. Please see the information on reasonable adjustments and special consideration in *Section 4, Assessment.*

Learners taking a qualification may be assessed in British sign language or Irish sign language where it is permitted for the purpose of reasonable adjustments.

12 Unit format

Units in this specification have the following sections:

Unit title

This is the formal title of the unit that will appear on the learner's certificate.

Unit reference number

Each unit is assigned a unit reference number that appears with the unit title on the Register of Regulated Qualifications.

Level

All units and qualifications have a level assigned to them. The level assigned is informed by the level descriptors defined by Ofqual, the qualifications regulator.

Credit value

When a learner achieves a unit, they gain the specified number of credits.

Guided learning hours

Guided Learning Hours (GLH) is the number of hours that a centre delivering the qualification needs to provide. Guided learning means activities that directly or immediately involve tutors and assessors in teaching, supervising, and invigilating learners, for example lectures, tutorials, online instruction and supervised study.

Unit aim

This gives a summary of what the unit aims to do.

Assessment requirements

This section lists any specialist assessment requirements, in line with SSB guidance and assessment strategies, needed to deliver the unit. The centre will be asked to make sure that these are in place when it seeks approval from Pearson to offer the qualification.

Learning outcomes

The learning outcomes of a unit set out what a learner knows, understands or is able to do as the result of a process of learning.

Assessment criteria

The assessment criteria specify the standard required by the learner to achieve the learning outcome.

Unit amplification

This section gives further clarification on what a learner needs to know to achieve a learning outcome. Information in brackets gives exemplification for specific areas of knowledge.

For the purposes of this suite of qualifications, the following terms are used:

Tutor — the person carrying out the teacher education

Learner – the person taking the qualification

Student — the person being taught or assessed by the learners

Practitioner – anyone with a learning and development responsibility as the whole or a part of their role.

Note: Learning and Development units which are offered as optional units in the Certificate in Teaching in the Lifelong Learning Sector Qualifications (CTLLS) and the Diploma in Teaching in the Lifelong Learning Sector qualifications (DTLLS) have the following additional unit section:

- Target Groups (a recommendation for whom the unit is best suited)

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

Unit reference number: T/601/5320

Level: 4

Credit value: 6

Guided learning hours: 45

Unit aim

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.

Target groups

This unit is suitable for anyone wishing to gain knowledge about internal quality assurance. For example, teachers, tutors, trainers, programme managers, course leaders or staff working in quality departments both in private training organisations and colleges of further education.

Assessment requirements

This unit must be assessed using methods appropriate to the assessment of knowledge and understanding. There is no requirement for practice in this unit. In achieving the assessment criteria, learners must use reflective practice to identify possible continuing professional development needs in relation to internal quality assurance.

Learning outcomes, assessment criteria and unit amplification

To pass this unit, the learner needs to demonstrate that they can meet all the learning outcomes for the unit. The assessment criteria determine the standard required to achieve the unit.

Learning outcomes		Assessment criteria		Unit amplification
1	Understand the context and principles of internal quality assurance	1.1	Explain the functions of internal quality assurance in learning and development	□ Quality assurance in assessment of product and process, eg linking assessment to the learning cycle, standardisation, moderation of assessment to assessment criteria and standards, between students, between assessors, between programmes, between qualifications, between employers; checking organisation standards and national standards, eg requirement of awarding organisation, occupational, vocational standards, integrity of programmes, accountability, measure of achievement, benchmarking, identifying continuing professional development needs.
		1.2	Explain the key concepts and principles of the internal quality assurance of assessment	□ Planning cycle, eg timing of quality assurance at different stages — at planning stage, ongoing/interim or final, per unit, term, annual; quality assurance of process and product, eg standardisation between assessment methods, assessors, use of diverse evidence, standardisation across, desk-based, online or live, work-based; quality improvement, eg INSET, continuing professional development, professional, occupational updating.
		1.3	Explain the roles of practitioners involved in the internal and external quality assurance process	□ Role allocation, eg assessors, tutors, mentors, peers, employers, quality assurance team, quality assurance manager. □ Roles of practitioners, eg assessor tasks are plan, deliver, judge, record, communicate assessment outcomes. □ Internal quality assurance tasks, eg plan, monitor, review, intervene, organise meetings and develop standards. □ External quality assurance tasks, eg plan, monitor, review, advise, report decisions; quality manager tasks are overseeing processes rather than products.

Learning outcomes		Assessment criteria		Unit amplification
		1.4	Explain the regulations and requirements for internal quality assurance in own area of practice	□ Organisation policies and procedures, eg health and safety, equal opportunities, recording and reporting, quality assurance strategy, contribution to internal reviewing processes/self-assessment review. □ Regulatory bodies, eg standards, levels, performance/assessment criteria, skills, knowledge, understanding, awarding organisation, SSC, Ofqual, Ofsted, employer, measure of accountability, benchmarking.
2	Understand how to plan the internal quality assurance of assessment	2.1	Evaluate the importance of planning and preparing internal quality assurance activities	□ Identifying what and for whom, eg qualification, module, unit, assignment, performance, assessment criteria, standards, product versus process, involvement of students, assessors, trainers, teachers, tutors, employers, others; timing frequency and context, eg planning, formative, summative, intervention; quality assurance of process and product, recording and sharing outcomes; feedback, support, advice.
		2.2	Explain what an internal quality assurance plan should contain	□ Should include coverage of a range of aspects of assessment, eg every student, assessor, location, unit of assessment, assessment method, examination of products of work. □ Standardisation meetings, eg current and new standards, completing documentation, standardising approaches. □ Flexibility to take account of emerging needs, timings, frequency, intervention (ie traffic-light system flags up those at risk), monitoring of practice, observation of practice, interviews, feedback from students, peers, employers, sharing good practice, work shadowing; product and process checks.

Learning outcomes		Assessment criteria		Unit amplification
		2.3	Summarise the preparations that need to be made for internal quality assurance, including: • information collection • communications • administrative arrangements • resources	□ Planning appropriate approaches to information collection; analysis of data collected; communicating and negotiating with students, assessors, colleagues, employers. □ Administrative arrangements, eg timing, venue, agenda, continuing professional development activities to prepare participants; resources, eg assessor records, assessment plans, sampling, organisation documentation, templates for recording outcomes, technology.
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 of product and process, eg on-site, desktop, remotely using technology, online sampling portfolio evidence ie hard copy or electronic, sampling across learners in workplace. □ Methods of sampling product evidence, eg random, banded, targeted, representational, percentage coverage, across units for single unit, observation, questioning, professional discussion, witness testimony.
		3.2	Explain the appropriate criteria to use for judging the quality of the assessment process	□ Organisation standards, eg health and safety, equality and diversity, evidence trail, meeting targets, student satisfaction, improvement, progression. □ Awarding organisation standards, eg performance criteria, levels, performance indicators, checklists, logging and tracking documents, portfolios; Sector Skills Council, occupational, vocational standards, National Occupational Standards; government regulatory body standards, eg Ofqual/Ofsted.

Learning outcomes		Assessment criteria		Unit amplification
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	□ Feedback, eg one-to-one, written and verbal, formal and informal, online, team meetings, self-assessment report; forms of support, eg from colleagues, mentor, line manager, quality manager, specific subject or additional needs support ie functional skills, staff development team to provide continuing professional development, in service education and training; awarding organisation/Sector Skills Council helplines.
		4.2	Explain standardisation requirements in relation to assessment	□ Standardisation requirements, eg awarding organisation, Sector Skills Council, regulatory bodies, employers, standards to meet external bodies; standardisation of assessment practice, eg assessment is against specific and current criteria, standards, reliable, fair, safe, consistent, uniformly applied and judged without bias, robust and can be replicated, shared with students.
		4.3	Explain relevant procedures regarding disputes about the quality of assessment	□ Organisation policies and procedures — shared with students in keeping with external requirements, eg awarding organisation policies and procedures, Sector Skills Council, Ofqual. □ Clear procedures and chain for addressing disputes, eg made accessible to all students, assessor, tutor, arbitrator, peer support.
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, eg recording, logging, tracking documentation, outcomes shared with students, safeguarding recording and storage of information, eg organisational procedures, data protection, security and safety of paper-based records, electronic formats for recording and storage and electronic safeguards; secure environment for providing feedback to student. □ Identifying those with legitimate access and limiting access, eg recording evidence in a way that can be shared with appropriate access, team meetings, assessment or standardisation meetings.

Learning outcomes		Assessment criteria		Unit amplification
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	□ Regulatory bodies of standards, eg Ofqual, Sector Skills Councils, awarding organisations, Institute for Learning; other regulations, eg health and safety, equality and diversity – including bilingualism where appropriate, data protection. □ Organisational policies and procedures for quality assurance, eg safeguarding students during assessment, standardisation, moderation and verification of assessment; qualifications and occupational competence of assessors, professional updating, continuing professional development requirements.
		6.2	Evaluate different ways in which technology can contribute to the internal quality assurance of assessment	□ Use of technology, eg storage, retrieval of evidence from initial assessments, online testing, recording of evidence including audio or visual, assignments submitted electronically, electronic feedback to students, emailing feedback; technology for recording and storing assessment evidence, eg software, awarding organisation's online provision, students managing own electronic records, security, issues of authenticity.
		6.3	Explain the value of reflective practice and continuing professional development in relation to internal quality assurance	□ Reflective practice, eg self-assessment, evaluation, SWOT analysis (ie strengths, weaknesses, opportunities, threats), realistic goals and targets for own development in relation to quality assurance, use of feedback from students, colleagues, managers, external evaluators, other individuals and professionals, self and quality assurance team reviews, formal and informal evaluation procedures, observation reports, outcome from appraisal, milestones, monitoring and modifications, updating knowledge, occupational expertise, modifications to assessment plans, developing technologies to extend and enhance assessment process, contributing to curriculum development.

Learning outcomes		Assessment criteria		Unit amplification
		6.4	Evaluate requirements for equality and diversity and, where appropriate, bilingualism, in relation to the internal quality assurance of assessment	□ Range, eg inequality, discrimination and impact on individuals, relevant legislation, employment regulations, policies, codes of practice relevant to the promotion of equality and valuing of diversity eg visual auditory impairment, physical disability, bilingualism. □ Flexibility in approach to planning of assessment and quality assurance, eg negotiating timing, context, providing additional resources where appropriate, recognising additional support needs, alternative approaches, evidence.

Unit 2: Internally Assure the Quality of Assessment

Unit reference number: A/601/5321

Level: 4

Credit value: 6

Guided learning hours: 45

Unit aim

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.

Target groups

This unit is suitable for those who have responsibility for the internal quality assurance of assessment. It would be helpful for any teacher, trainer or course leader, to aid understanding of internal quality assurance processes.

Assessment requirements

This unit is assessed in the workplace and evidence for all learning outcomes for this unit must come from performance in the work environment. Simulations are not allowed. All learning outcomes in this unit must be assessed using methods appropriate to the learner's IQA performance. As a minimum, the assessment of this unit must include monitoring of at least two assessors – each with a minimum of two candidates of their own. The range of direct evidence must include: observation of practice, examination of products of work and questioning of the learner.

These can be supplemented, where necessary, with professional discussion, reflective accounts or witness statements. One piece of evidence may be used to meet the requirements of more than one learning outcome or assessment criterion.

Supporting evidence for this unit can potentially include any of the following:

- quality assurance policy, documents, data protection, summaries of key documentation, eg awarding organisation documentation, organisation procedures and legal requirements eg review/self assessment review policies/documentation
- organisation management structure – indicating roles/responsibilities for internal quality assurance and planning, eg annual planner, visits of external quality assurance bodies
- samples of assessment tracking/logging pro forma, evaluation pro forma
- quality assurance plan indicating, eg how learner is involved, the timing, information required, administrative arrangements

- records of formal/informal assessment according to organisational and/or awarding body requirements for standardisation external quality assurance planning documents
- minutes of team meetings associated with standardisation/quality assurance.

Understanding of the significance of supporting evidence should be checked (this may be done through discussion or in writing).

Learning outcomes, assessment criteria and unit amplification

To pass this unit, the learner needs to demonstrate that they can meet all the learning outcomes for the unit. The assessment criteria determine the standard required to achieve the unit.

Learning outcomes		Assessment criteria		Unit amplification
1	Be able to plan the internal quality assurance of assessment	1.1	Plan monitoring activities according to the requirements of own role	□ Monitoring activities, eg standards, product versus process, for students, assessors, trainers, teachers, tutors, employers and others; timing and context eg per assessment, at planning stage, ongoing/interim or final, per module, term, annual, intervention; range of methods eg 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.	□ Monitoring approaches, eg every student, assessor, location, unit of assessment, assessment method; standardisation meetings, eg current and new standards, completing documentation, standardising approaches; timings, frequency, risk, ie traffic light system flags up those at risk; reviewing and monitoring of practice, observation of practice, interviews, feedback from students/peers/employers, sharing good practice, work shadowing; product and process checks.
2	Be able to internally evaluate the quality of assessment	2.1	Carry out internal monitoring activities to quality requirements	□ Internal monitoring activities, eg every student, assessor, location, unit of assessment, assessment method; standardisation meetings, eg examination of product evidence, completing documentation; flexibility to take account of emerging needs, timings, observation of practice, interviews, feedback from students/peers/ employers, sharing good practice, work shadowing.

Learning outcomes		Assessment criteria		Unit amplification
		2.2	Evaluate assessor expertise and competence in relation to the requirements of their role	□ Evaluate staff records, eg CV, continuing professional development, updating of qualifications, self-assessment report, student achievement records, progress checks, currency of occupational experience/expertise; knowledge of regulatory bodies of standards, eg Ofqual, Sector Skills Councils, Awarding Organisations, Institute for Learning; other regulations, eg health and safety, equality and diversity, safeguarding students during assessment; standardisation, moderation and verification of assessment.
		2.3	Evaluate the planning and preparation of assessment processes	□ Planning and preparation of assessment processes, eg standards, product versus process, involvement of students, assessors, trainers, teachers, tutors, employers, others; timing and context, eg formative, summative, work-based, skills, knowledge, understanding; range of methods, eg observation, examination of product evidence, questioning, witness statements, professional discussion; quality assurance of process and product; recording and sharing outcomes.
		2.4	Determine whether assessment methods are safe, fair, valid and reliable	□ Assessment methods, eg observation, performance evidence, discussion, witness or student statement; assessment of knowledge or understanding, eg tests, multiple-choice questions, written assignment task, reflective journal, verbal questioning, discussions; fit for purpose, eg students' needs, context, measures of achievement ie performance criteria, assessment criteria; practical limitations, eg numbers involved, range, opportunity, time constraints, resources, staffing, observation of performance, examining products of work, questioning the student, discussing with student, use of others ie witness testimony, student statements, recognising prior learning.

Learning outcomes		Assessment criteria		Unit amplification
		2.5	Determine whether assessment decisions are made using the specified criteria	□ Assessment decisions, eg meeting outcomes and objectives identified in assessment plan, evidence is coherent, accessible, realistic, relevant, can be identified as attributed to the student, achieved within time constraints; credible and compatible with learning programme and required assessment outcomes eg context, adhering to organisation, industry, awarding body and government requirements and standards.
		2.6	Compare assessor decisions to ensure they are consistent.	□ Decisions addressing quality standards, eg awarding organisation, Sector Skills Council, regulatory bodies, employers, standards to meet external bodies; standardisation of assessment practice, eg assessment is reliable, fair, safe, consistent across assessors and students; context, eg appropriate to range of evidence, reflecting nature, level of qualification; uniformly applied and judged without bias, robust and can be replicated.
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	□ Feedback, eg one-to-one, written and verbal, formal and informal, online, team meetings, staff review ie SAR; forms of support, eg from colleagues, mentor, line manager, quality manager, specific subject or additional needs support ie functional skills, continuing professional development.
		3.2	Apply procedures to standardise assessment practices and outcomes.	□ Procedures, eg complying with awarding body, National Occupational Standards requirements; team, assessor standardisation eg observations of practice, standardisation meetings, sharing good practice, observation of peers, work shadowing, feedback, comparisons of process and product; evaluation procedures with students, colleagues, managers, employers.

Learning outcomes		Assessment criteria		Unit amplification
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	□ Procedures to maintain records, eg observation and interview, discussion records, written records, video, audio; student and witness statement; record of product eg quality assurance tracking and logging documents, assessor action plans; recording evidence in a way that can be shared, eg use of technology, team meetings, assessment or standardisation meetings.
		4.2	Follow procedures to maintain confidentiality of internal quality assurance information	□ Maintaining confidentiality, eg secure environment for providing feedback to student; safeguarding recording and storage of information, eg organisational procedures, data protection, security and safety of paper-based records, electronic formats for recording and storage and electronic safeguards; identifying those with legitimate access and limiting access.
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	□ Policies, procedures and legislation, eg Ofqual, Sector Skills Councils, awarding organisations, Institute for Learning; other regulations, eg health and safety, equality and diversity including bilingualism where appropriate, eg Welsh speakers or those for whom English is not their first language, data protection; organisational policies and procedures for quality assurance, eg safeguarding students during assessment, standardisation, moderation and verification of assessment; qualifications and occupational competence of assessors, professional updating, CPD requirements.
		5.2	Apply requirements for equality and diversity and, where appropriate, bilingualism, in relation to internal quality assurance	□ Equality and diversity, eg visual auditory impairment, physical disability, bilingualism; flexibility in approach to planning of assessment and quality assurance, eg negotiating timing/context, providing additional resources where appropriate, recognising additional support needs, alternative approaches/evidence.

Learning outcomes		Assessment criteria		Unit amplification
		5.3	Critically reflect on own practice in internally assuring the quality of assessment	□ Reflective practice, eg self-assessment, evaluation, SWOT analysis (ie strengths, weaknesses, opportunities, threats), realistic goals and targets for own development in relation to quality assurance, using feedback from students, colleagues, managers, external evaluators, other individuals and professionals, self and quality team reviews, formal and informal evaluation procedures, observation reports, outcome from appraisal, milestones, monitoring and modifications, updating knowledge, occupational expertise, skills and self-confidence, modifications to assessment plans, developing technologies to extend and enhance assessment process, contributing to curriculum development.
		5.4	Maintain the currency of own expertise and competence in internally assuring the quality of assessment.	□ Currency using review of competence, eg identifying constraints and opportunities, action planning, establishing realistic goals and targets for own occupational competence, updating occupational expertise, skills and self-confidence, modifications to assessment plans, exploring alternative approaches to assessment, changes in policies, procedures or regulations relating to assessment, technologies to develop and improve own assessing, continuing professional development, awarding organisation provision for professional updating, monitoring Sector Skills Council websites.

Unit 3: Plan, Allocate and Monitor Work in Own Area of Responsibility

Unit reference number: H/600/9674

Level: 4

Credit value: 5

Guided learning hours: 25

Unit aim

This unit helps learners to plan, allocate and monitor work in their own area of responsibility, and make any necessary changes to original work plans.

Assessment requirements

To pass the unit, learners must meet all of the assessment criteria.

This unit requires performance evidence of the practitioner working with real learners/staff/customers in a real organisational context.

Primary assessment methods must include: observation of performance in a work environment and examining products of work.

Supplementary evidence may be gathered by: questioning, professional discussion, use of others (witness testimony)and looking at practitioner statements.

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.

This unit is assessed in the workplace. Simulation is not permitted in this unit.

Learning outcomes, assessment criteria and unit amplification

To pass this unit, the learner needs to demonstrate that they can meet all the learning outcomes for the unit. The assessment criteria determine the standard required to achieve the unit.

Learning outcomes		Assessment criteria		Unit amplification
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	□ Area of work, eg organisation policies, procedures, management structure, regulations, awarding organisations, occupational/vocational standards. □ Legal requirements, eg health and safety, equality and diversity, data protection; skills, knowledge and understanding requirements, eg individual or team working, timescales, resource requirements, funding, required outcomes, monitoring of process and product.
		1.2	Identify the skills base and the resources available	□ Number and range of staff, eg individual or team working, vocational/occupational competence, currency of qualifications, experience, expertise, skills, knowledge and understanding, competence, roles and responsibilities, flexibility and adaptability. □ Resources, eg administrative support, tools and equipment, location, materials, paper based or documentation, technology, eg hardware, software.
		1.3	Examine priorities and success criteria needed for the team	□ Priorities and success criteria for team: external, eg requirements and regulations of awarding organisations, occupational, vocational standards, regulatory bodies ie Ofsted/Ofqual, benchmarking, target setting; internal, eg organisation objectives, job descriptions, training needs analysis, individual evaluation, achievement, performance indicators, staff reviews, quality improvement targets.

Learning outcomes		Assessment criteria		Unit amplification
		1.4	Produce a work plan for own area of responsibility	□ Planning specific outcomes, eg assessment programme, team targets, SMART targets, identification of staff most in need of support/guidance; shared responsibilities, eg use of staff with specific skills or expertise, team working, delegation. □ Monitoring eg organisation of programme information, assessment and evaluation pro forma, timetabling.
2	Be able to allocate and agree responsibilities with team members	2.1	Identify team members' responsibilities for identified work activities	□ Responsibilities: working in teams, eg models of team working eg Belbin, Tuckman, working with others, communication, individual roles and responsibilities, experience and expertise, individual targets, negotiating responsibilities, sharing best practice, individual skills, knowledge and understanding, peer support, work shadowing, mentoring, use of expertise in technology.
		2.2	Agree responsibilities and SMART (Specific, Measurable, Achievable, Realistic and Time-bound) objectives with team members.	□ Responsibilities and SMART objectives: managing teams, eg meeting outcomes and objectives, achieved within time constraints; credible and compatible with work plan and required outcomes, eg adhering to organisation, industry, awarding body and government requirements and standards; negotiated discussion, focus on positive outcomes, identifies opportunities for progression, setting realistic goals/targets; offering advice/recommendations, eg new initiatives, alternative approaches to assessment or internal quality assurance processes, updating currency of regulations, recommending improvements to existing procedures, opportunities for professional development.

Learning outcomes		Assessment criteria		Unit amplification
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	□ Formal ways of monitoring, eg periodic, regular or annual appraisal, staff reviews, regular feedback schedules, individual or team responsible for quality assurance and improvement, monitoring outcomes, quality checks, observation of practice, report; informal ways, eg one-to-one feedback, discussion, self-assessment. □ Approaches to monitoring, eg regular reviewing of outcomes, interview, discussion, observation of practice, performance evidence, tracking documentation review, staff or witness statements; standardisation across range of assessors, use of quality assurance teams, collection of evidence. □ Feedback, eg supportive feedback, recommendations, identifying problems and areas of good practice, views of staff on measures to enhance provision for action planning.
		3.2	Monitor and evaluate progress against agreed standards and provide feedback to team members	□ External standards, eg awarding organisation, occupational, vocational standards, employer needs, local and national benchmarking; internal standards, eg organisation policies and procedures, legal issues. □ Feedback to team members, eg discussing progress, staff reviews, team meetings, one-to-one feedback, measuring outcomes against agreed targets, specific feedback, against agreed objectives, realistic outcomes, time-managed.

Learning outcomes		Assessment criteria		Unit amplification
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	□ Reviewing, eg feedback from others, observation of practice, training needs analysis, outcomes of team meetings and reviews, quality reviews, learner and employers evaluations, self-appraisal against targets, report, management review. □ Amend work plan, eg objectives, targets, priorities, roles and responsibilities, use of technology, sharing good practice, work shadowing; adapting to changing demands, flagging system for priority areas.
		4.2	Communicate changes to team members	□ Regulations, policies and procedures relating to changes, eg national occupational standards, awarding organisation changes, employer needs, rationale for changes. □ Communication with teams, eg justifying need for change through meeting one-to-one, team meetings, cross organisation, electronic, during performance review, external, internal quality assurance feedback, negotiation.

Unit 4: Understanding the Principles and Practices of Externally Assuring the Quality of Assessment

Unit reference number: F/601/5322

Level: 4

Credit value: 6

Guided learning hours: 45

Unit aim

The aim of this unit is to assess the knowledge and understanding a learning and development practitioner requires for the external quality assurance of assessment.

Target groups

This unit is suitable for those involved in the maintenance and improvement of quality assurance. The unit highlights the need for internal quality assurance staff to reflect on the maintenance and improvement of quality assurance within the organisation through their own continuing professional development. The unit gives learners the opportunity to review different aspects of preparation and planning for external quality assurance activities.

Assessment requirements

There is no requirement for practice in this unit. In order to achieve the assessment criteria, learners will require access to external quality assurance processes and data.

Learning outcomes, assessment criteria and unit amplification

To pass this unit, the learner needs to demonstrate that they can meet all the learning outcomes for the unit. The assessment criteria determine the standard required to achieve the unit.

Learning outcomes		Assessment criteria		Unit amplification
1	Understand the context and principles of external quality assurance	1.1	Analyse the functions of external quality assurance of assessment in learning and development	□ Quality assurance of product and process, eg linking assessment to the learning cycle, standardisation, moderation of assessment to assessment criteria and standards, between students, between assessors, between programmes, between qualifications; checking organisation standards and national standards, eg requirement of awarding organisation, occupational standards, national standards, ensuring systems are robust, fit for purpose, justified, reliable, targeted, reviewed, flexible, leading to improvement
		1.2	Evaluate the key concepts and principles of external quality assurance of assessment	□ Planning cycle, eg timing of quality assurance at different stages, per module, term, annual; quality assurance of process and product, eg standardisation between assessment methods, assessors, employers, use of diverse evidence, standardisation across desk-based, online, live and work-based assessments
		1.3	Evaluate the roles of practitioners involved in the quality assurance process	□ Role allocation, eg assessors, tutors, mentors, peers, employers, quality assurance team, quality assurance manager □ Roles of practitioners, eg assessor tasks are plan, deliver, judge, record, communicate assessment outcomes □ Internal quality assurance tasks, eg plan, monitor, review, intervene, organise meetings and develop standards □ External quality assurance tasks, eg plan, monitor, review, advise, report decisions; quality manager tasks are overseeing processes rather than products

Learning outcomes		Assessment criteria		Unit amplification
		1.4	Explain the regulations and requirements for external and internal quality assurance in own area of practice	□ Organisation policies and procedures, eg health and safety, equal opportunities, recording and reporting, quality assurance strategy, contribution to internal reviewing processes, SAR, identifying CPD needs; regulatory bodies, eg awarding organisation, SSC, Ofqual, Ofsted, employer, measure of accountability, integrity of programmes, measure of achievement, benchmarking
2	Understand how to plan the external quality assurance of assessment	2.1	Evaluate the importance of planning and preparing external quality assurance activities	□ Requirements, eg standards, product versus process, involvement of students, assessors, trainers, teachers, tutors, employers, others; range of evidence, eg observation of performance, performance evidence, tracking and logging documents, meetings of assessment teams; timing and context, eg per assessment, at planning stage, ongoing/interim or final, per module, term, annual; quality assurance of process and product, who; recording and sharing outcomes
		2.2	Explain what an external quality assurance plan should contain	□ Coverage, eg every student, assessor, location, unit of assessment, assessment method; standardisation meetings, eg current and new standards, completing documentation, standardising approaches; flexibility to take account of emerging needs, timings, frequency, risk (traffic light system flags up those at risk), monitoring of practice, observation of practice, interviews, feedback from students, peers, employers, sharing good practice, work shadowing; product and process checks; areas for change, eg action plans, identifying targets

Learning outcomes		Assessment criteria		Unit amplification
		2.3	Summarise the preparations that need to be made for external quality assurance activities, including: • information collection • communications • administrative arrangements • resources	□ Planning, eg appropriate approaches to information collection, analysis of data collected; communicating and negotiating agenda with students, assessors, colleagues, employers; administrative arrangements, eg timing, venue, agenda, CPD activities to prepare participants; resources, eg assessors' records, assessment plans, sampling, organisation documentation, templates for recording outcomes, action plans, opportunities for professional progression
		2.4	Explain how to adapt external monitoring and evaluation approaches to meet customer need without compromising quality standards	□ Range of approaches, eg timing and content of visits, negotiating visit plan prior to monitoring activity, negotiating monitoring through selected assessors (traffic light system to flag up areas of concern), identifying specific needs for monitoring, meeting range of assessors/verifiers; providing supportive feedback, recommendations, advice and guidance to identify/share good practice, considering issues raised by students and in team meetings, problems and areas of good practice, views of staff on measures to enhance the programme
3	Understand how to externally evaluate the quality of assessment and internal quality assurance	3.1	Explain the procedures for externally monitoring and evaluating internal quality assurance arrangements and practices	□ Identifying people in process, eg internal, external, internal verifier, external verifier, standards verifier; awarding organisation requirements, eg range of work, assessments required for review, involvement of students, assessors, trainers, teachers, tutors, employers, others; monitoring, eg observation of practice, discussions, interviews, statements, team meetings, product sampling; timing and context, eg per assessment, at planning stage, ongoing, interim or final, per module, term, annual; quality assurance of process and product, who; recording and sharing outcomes

Learning outcomes		Assessment criteria		Unit amplification
		3.2	Interpret the requirements for externally monitoring and evaluating internal assessment arrangements and practices	□ Organisation policies and procedures, eg health and safety, equal opportunities, recording and reporting, quality assurance strategy, contribution to internal reviewing processes, SAR; regulatory bodies, eg awarding organisations, SSC, Ofqual, Ofsted, employer, measure of accountability, benchmarking; evaluation of quality assurance documentation eg course files, tracking and logging, standardisation procedures, sampling strategies
		3.3	Evaluate different techniques for externally sampling evidence of assessment, including those that use technology	□ Sampling of product and process, eg on-site, desktop, remotely using technology, online sampling portfolio evidence (hard copy or electronic), sampling across students in workplace; methods of sampling product evidence, eg random, banded, targeted, representational, percentage coverage, across units for single unit; sampling across programme, eg skills, knowledge and understanding, across students, across assessors, across verifiers, across programmes or contexts
4	Understand how to externally maintain and improve the quality of assessment	4.1	Critically compare the types of feedback, support and advice that internal assessment and quality assurance staff may need to maintain and improve the quality of assessment	□ Range of feedback, eg one-to-one, written and verbal, formal and informal, online, team meetings, self-assessment review (SAR), student feedback, evaluations; forms of support, eg from colleagues, mentor, line manager, quality manager, specific subject or additional needs support (functional skills), awarding organisations, occupational standards, employers, staff development team to provide CPD
		4.2	Evaluate standardisation requirements relevant to the external quality assurance of assessment	□ Addressing quality standards, eg assessment standards and criteria, awarding organisation, SSC, regulatory bodies, employers, standards to meet external bodies, eg standardisation of assessment practice, students' performance of skills, knowledge, understanding, product and process, assessment is reliable, fair, safe, consistent across assessors and learners, uniformly applied and judged without bias, robust and can be replicated, assessment meetings; student feedback

Learning outcomes		Assessment criteria		Unit amplification
		4.3	Explain the importance of providing feedback, support and advice to internal assessment and quality assurance staff that is consistent with standardisation requirements	□ Feedback, eg linked to specified outcomes, criteria and standards against range of available evidence; setting action points; providing appropriate levels of support, eg providing opportunity for staff to provide their own feedback, avoiding personal issues or bias, peer support, negotiated discussion, focus on positive outcomes, identifying opportunities for progression, setting realistic targets; offering recommendations, eg new initiatives, alternative approaches to assessment or internal quality assurance processes, updating currency of regulations, recommending improvements to existing procedures, opportunities for professional development
		4.4	Explain the relevant procedures to follow when there are disputes concerning quality assurance and assessment	□ Organisation policies and procedures — shared with students in keeping with external requirements, eg awarding organisation policies and procedures, SSC, Ofqual, appeals procedures; assessment processes appropriate; assessment meetings; clear procedures and chain for addressing disputes, eg made accessible to all students, assessor, tutor, arbitrator, peer support
5	Understand how to manage information relevant to external quality assurance	5.1	Evaluate the requirements for information management, data protection and confidentiality in relation to external quality assurance	□ Information management, eg organisational procedures, data protection, safeguarding recording and storage of information, electronic formats for recording and storage and electronic safeguards; secure environment for providing feedback to student; identifying those with legitimate access and limiting access, eg recording evidence in a way that can be shared with appropriate access, use of technology, electronic formats, team meetings, assessment or standardisation meeting
6	Understand the legal and good practice requirements relating to external quality assurance	6.1	Evaluate legal issues, policies and procedures that are relevant to external quality assurance, including those for health, safety and welfare	□ Regulatory bodies of standards, eg Ofqual, Sector Skills Councils, awarding organisations, Institute for Learning; other regulations, eg health and safety, equality and diversity, data protection; organisational policies and procedures for quality assurance, eg safeguarding students during assessment, standardisation, moderation and verification of assessment, appeals procedures

Learning outcomes		Assessment criteria		Unit amplification
		6.2	Critically compare different ways in which technology can contribute to external quality assurance	□ Appropriate technology, eg storage and retrieval of evidence from initial assessments, online testing, recording of evidence including audio or visual, assignments submitted electronically, electronic feedback to students, emailing feedback; technology for recording and storing assessment evidence, eg software, awarding organisation's online provision, students managing own electronic records, security, issues of authenticity, online CPD provision and recording
		6.3	Evaluate requirements for equality and diversity and, where appropriate, bilingualism, in relation to the external quality assurance of assessment	□ Identifying areas of good practice, eg forms of inequality and discrimination and their impact on individuals, the relevant legislation, employment regulations and policies, codes of practice relevant to the promotion of equality and valuing of diversity, eg visual auditory impairment, physical disability, bilingualism, additional support in assessment of skills, knowledge, understanding, alternative strategies, identifying and addressing individual needs as appropriate
		6.4	Explain the value of reflective practice and continuing professional development in relation to external quality assurance	□ Reflective practice, eg self-assessment, evaluation, SWOT analysis (strengths, weaknesses, opportunities, threats), realistic goals and targets for own development in relation to quality assurance, identifying constraints and opportunities, use of feedback from students, colleagues, managers, external evaluators, other individuals and professionals, self and quality assurance team reviews, formal and informal evaluation procedures, observation reports, outcome from appraisal, milestones, monitoring and modifications, updating knowledge, occupational expertise, skills and self-confidence, modifications to quality assurance plans, developing technologies to extend and enhance assessment process, contributing to curriculum development

Unit 5: Externally Assure the Quality of Assessment

Unit reference number: J/601/5323

Level: 4

Credit value: 6

Guided learning hours: 30

Unit aim

The aim of this unit is to assess the performance of a learning and development practitioner with responsibility for the external quality assurance of assessment – usually an external quality assurer (EQA).

The unit gives learners the opportunity to apply the principles learned from the theory unit *Unit 4: Understanding the Principles and Practices of Externally Assuring the Quality of Assessment (Level 4)*. This opportunity is achieved through the preparation and planning for external quality assurance activities and communicating effectively with the staff involved in the process. The requirements of external monitoring will need to be met through planning, reviewing and evaluating the quality of the internal administrative arrangements, the quality of staffing, assessment arrangements, monitoring procedures, standardisation and sampling as well as the contribution of technology to the quality assurance process. The unit focuses on the importance of being able to monitor and judge the internal quality assurance processes based on the management of the assessment evidence. This should include response to a range of requirements such as legal issues, health and safety, equality and diversity, data protection and confidentiality, awarding body requirements and sector skills occupational regulations.

Learners will be able to demonstrate ways in which external quality assurance outcomes can be seen as providing opportunities for feedback, support and advice to staff. This unit allows learners to improve professional competence by reflecting on the assessment processes and how these processes contribute to the maintenance and improvement of quality assurance.

Assessment requirements

All learning outcomes in this unit must be assessed using methods appropriate to the candidate EQA's performance. These must include: observation of performance, examining products of work and questioning.

Direct evidence of this kind may be supplemented, where necessary, by professional discussion, reflective accounts or witness testimony. Simulations are not allowed.

Learning outcomes, assessment criteria and unit amplification

To pass this unit, the learner needs to demonstrate that they can meet all the learning outcomes for the unit. The assessment criteria determine the standard required to achieve the unit.

Learning outcomes		Assessment criteria		Unit amplification
1	Be able to plan the external quality assurance of assessment	1.1	Plan procedures for the external quality assurance of assessment	Regulatory bodies, eg awarding organisation, SSC, Ofqual, Ofsted, employer, measure of accountability, benchmarking; organisation policies and procedures, eg health and safety, equal opportunities, recording and reporting, quality assurance strategy, contribution to internal reviewing processes; clear objectives, eg standards, criteria, product versus process, involvement of learners, assessors, trainers, teachers, tutors, employers; timing and context, eg annual, linked to certification, risk, quality cycle, quality assurance of process and product
		1.2	Communicate procedures for external quality assurance to the organisations and individuals concerned	Pre-visit plan, eg specifying and negotiating objectives, targets, identifying requirements, planning appropriate approaches to information collection, analysis of data collected; communicate and negotiate agenda with staff or organisation; administrative arrangements, eg timing, venue, agenda; availability of resources, eg assessors' records, assessment plans, sampling strategy of process, product, portfolios, organisation documentation, templates for recording outcomes, use of technology as appropriate

Learning outcomes		Assessment criteria		Unit amplification
		1.3	Ensure arrangements and resources are in place for external monitoring and evaluation	□ Identifying what and for whom, eg standards, product and process, involvement of learners, assessors, trainers, teachers, tutors, employers; timing and context; sampling of product and process, eg on-site, desktop, remotely using online sampling portfolio evidence, sampling across learners in workplace; methods of sampling product evidence, eg random, banded, targeted, representational, percentage coverage, across units for single unit; sampling across programme, eg skills, knowledge and understanding, across learners, across assessors, across verifiers, across programmes or contexts Requirements for externally monitoring and evaluating internal arrangements and practices: organisation policies and procedures, eg health and safety, equal opportunities, recording and reporting, quality assurance strategy, contribution to internal reviewing processes, SAR, CPD activities to prepare participants; regulatory bodies, eg awarding organisation, SSC, Ofqual, Ofsted, employer, measure of accountability, benchmarking; evaluation of quality assurance documentation, eg course files, tracking and logging, standardisation procedures, sampling strategies
2	Be able to externally evaluate internal quality assurance and assessment	2.1	Carry out monitoring activities to quality requirements	Identifying what and for whom, eg standards, product versus process, involvement of learners, assessors, trainers, teachers, tutors, employers; monitoring, eg observation of practice, discussions, interviews, statements, team meetings, product sampling; timing and context eg per-assessment, at planning stage, ongoing, interim or final, per module, term, annual; quality assurance of process and product, who; recording and sharing outcomes

Learning outcomes		Assessment criteria		Unit amplification
		2.2	Evaluate the quality of internal quality assurance systems	Monitoring standards, eg awarding organisation, occupational, vocational standards, SSC; organisation policies and procedures, eg assessment and internal quality assurance strategies, rigour, deadlines, tracking and logging of assessment and internal quality assurance, standardisation, moderation, consistency across decisions, addressing performance or assessment criteria, meeting standard requirements, appropriate outcomes
		2.3	Evaluate the quality of internal administrative arrangements	□ Management procedures, eg registration of learners, team and individual roles and responsibilities, responsiveness of assessors, verifiers and teams, administrative systems, management and storage of course files and documents, availability of assessment documentary evidence, minutes of course team meetings, assessor and verifier updating and CPD, identification and response to individual learner needs, appeals procedures, learner evaluations, staff evaluations, team reviews
		2.4	Evaluate the quality of internal staffing and internal staff expertise and competence	□ Organisation documentation, eg staff CV profiles, SAR (self-assessment reviews) staff performance reviews and development plans, target setting, action planning, continuing professional development records, opportunities for staff development, learners' and employers' feedback and evaluations, course and team review records and planning, occupational competence and opportunities for updating, qualifications and opportunities for professional progression, team working, roles and responsibilities, technical competence, functional skills
		2.5	Determine whether assessment arrangements, methods and decisions meet quality requirements	□ Arrangements, eg timing, frequency, deadlines, timing of feedback; range of methods, meeting individual needs, negotiation of assessment process and product as appropriate, offering alternative assessment methods appropriate to individual needs, contexts, sufficiency of evidence, opportunities for learners to feedback to assessors on assessment decisions, appeals procedures

Learning outcomes		Assessment criteria		Unit amplification
3	Be able to maintain and improve internal quality assurance processes	3.1	Provide staff with feedback, advice and support which help them maintain and improve the quality of assessment	□ Feedback to staff makes use of appropriate approaches, eg linked to specified outcomes, criteria and standards and range of available evidence; offering advice, eg new initiatives, alternative approaches to assessment or internal quality assurance processes, updating currency of regulations, recommending improvements to existing procedures, opportunities for professional development; provides appropriate levels of support, eg provides opportunity for staff to provide their own feedback, avoids personal issues or bias, offer of peer support, Negotiated discussion, focus on positive outcomes, identifies opportunities for progression setting realistic goals
		3.2	Apply procedures for the standardisation of assessment practices and outcomes	□ Addressing quality standards, eg awarding organisation, SSC, regulatory bodies, employers, standards to meet external bodies; standardisation of assessment practice eg assessment is reliable, fair, safe, consistent across assessors and learners, uniformly applied and judged without bias, robust and can be replicated
4	Be able to manage information relevant to the external quality assurance of assessment	4.1	Apply procedures for recording, storing, reporting information relating to external quality assurance	□ Range of information, eg observation, interview and discussion records, written records, video, audio; learner and witness statement; record of product, eg quality assurance tracking and logging documents, assessor action plans; sharing evidence, eg use of technology formats, team meetings, assessment standardisation meetings
		4.2	Apply procedures to maintain confidentiality of information relating to external quality assurance	□ Information management, eg safeguarding recording and storage of information, eg organisational procedures, data protection, security and safety of paper-based records, electronic formats for recording and storage and electronic safeguards; secure environment for providing feedback to learner; identifying those with legitimate access and limiting access, eg recording evidence in a way that can be shared with appropriate access, use of electronic formats, team meetings, assessment or standardisation meetings

Learning outcomes		Assessment criteria		Unit amplification
5	Be able to maintain legal and good practice requirements when externally monitoring and maintaining the quality of assessment	5.1	Apply policies, procedures and legislation relevant to the external quality assurance of assessment, including those for health, safety and welfare	□ Identifying areas of good practice, eg forms of inequality and discrimination and their impact on individuals, the Relevant legislation, employment regulations and policies, codes of practice relevant to the promotion of equality and valuing of diversity, eg visual auditory impairment, physical disability, bilingualism, additional support in assessment of skills, knowledge, understanding, alternative strategies, identifying and addressing individual needs as appropriate
		5.2	Apply requirements for equality and diversity and, where appropriate, bilingualism, to the external quality assurance of assessment	□ Forms of inequality and discrimination and their impact on individuals, the relevant legislation, employment regulations and policies and codes of practice relevant to the promotion of equality and valuing of diversity, eg visual auditory impairment, physical disability, bilingualism
		5.3	Critically reflect on own practice in externally assuring the quality of assessment	□ Reflective practice, eg self-assessment, evaluation, SWOT analysis (strengths, weaknesses, opportunities, threats), realistic goals and targets for own development in relation to quality assurance, identifying constraints and opportunities, use feedback from range of sources, self and 'quality' team reviews, external quality assurance, performance review, updating knowledge, occupational expertise, modifications to quality assurance plans, developing technologies in monitoring and recording outcomes, contributing to quality assurance, curriculum development
		5.4	Maintain the currency of own expertise and competence as relevant to external quality assurance	□ Using review of competence, eg action planning, establishing realistic goals and targets for own occupational competence, updating occupational expertise, skills and self-confidence, modifications to quality assurance plans, explore alternative approaches to planning, reviewing and monitoring, changes in policies, procedures or regulations relating to assessment, technologies to develop and improvement of own assessing, sector updating, work shadowing, placements, peer and line manager reviews, review of performance, professional development opportunities

13 Further information and useful publications

To get in touch with us visit our 'Contact us' pages:

- Edexcel, BTEC and Pearson Work Based Learning contact details: qualifications.pearson.com/en/support/contact-us.html
- books, software and online resources for UK schools and colleges: www.pearsonschoolsandfecolleges.co.uk

Key publications:

- *Adjustments for candidates with disabilities and learning difficulties, Access and Arrangements and Reasonable Adjustments, General and Vocational qualifications* (Joint Council for Qualifications (JCQ))
- *Supplementary guidance for reasonable adjustments and special consideration in vocational internally assessed units* (Pearson)
- *General and Vocational qualifications, Suspected Malpractice in Examination and Assessments: Policies and Procedures* (JCQ)
- *Equality Policy* (Pearson)
- *Recognition of Prior Learning Policy and Process* (Pearson)
- *UK Information Manual* (Pearson)
- *BTEC UK Quality Assurance Centre Handbook*

All of these publications are available on our website.

Publications on the quality assurance of BTEC qualifications are also available on our website.

Our publications catalogue lists all the material available to support our qualifications. To access the catalogue and order publications, please visit our website.

Additional resources

If you need further learning and teaching materials to support planning and delivery for your learners, there is a wide range of BTEC resources available.

Any publisher can seek endorsement for their resources and, if they are successful, we will list their BTEC resources on our website.

14 Professional development and training

Pearson supports UK and international customers with training related to BTEC qualifications. This support is available through a choice of training options offered on our website.

The support we offer focuses on a range of issues, such as:

- planning for the delivery of a new programme
- planning for assessment and grading
- developing effective assignments
- building your team and teamwork skills
- developing learner-centred learning and teaching approaches
- building in effective and efficient quality assurance systems.

The national programme of training we offer is on our website. You can request centre-based training through the website or you can contact one of our advisers in the Training from Pearson UK team via Customer Services to discuss your training needs.

BTEC training and support for the lifetime of the qualifications

Training and networks: our training programme ranges from free introductory events through sector-specific opportunities to detailed training on all aspects of delivery, assignments and assessment. We also host some regional network events to allow you to share your experiences, ideas and best practice with other BTEC colleagues in your region.

Regional support: our team of Curriculum Development Managers and Curriculum Support Consultants, based around the country, are responsible for providing advice and support in centres. They can help you with planning and curriculum developments.

To get in touch with our dedicated support teams please visit our website.

Your Pearson support team

Whether you want to talk to a sector specialist, browse online or submit your query for an individual response, there's someone in our Pearson support team to help you whenever – and however – you need:

- Subject Advisors: find out more about our subject advisor team – immediate, reliable support from a fellow subject expert
- Ask the Expert: submit your question online to our Ask the Expert online service and we will make sure your query is handled by a subject specialist.

Please visit our website at qualifications.pearson.com/en/support/contact-us.html

Annexe A

Progression opportunities

These are examples of progression opportunities to other Pearson qualifications within the Learning and Development sector.

Level	General qualifications	BTEC full vocationally-related qualifications	Pearson Specialist and Professional courses	NVQ/occupational
8				
7			Pearson Edexcel Diploma in the Management of Assessment	
6				
5			Pearson Edexcel Diploma in Teaching in the Lifelong Learning Sector	

Level	General qualifications	BTEC full vocationally-related qualifications	Pearson Specialist and Professional courses	NVQ/occupational
4			Pearson Edexcel Award in Preparing to Teach in the Lifelong Learning Sector Pearson Edexcel Certificate in Teaching in the Lifelong Learning Sector Pearson Edexcel Award in Assuring the Quality of Assessment Pearson Edexcel Certificate in Assuring the Quality of Assessment	
3		Pearson Edexcel Award, Certificate, Diploma in Supporting Teaching and Learning in Schools	Pearson Edexcel Award in Preparing to teach in the Lifelong Learning Sector Pearson Edexcel Certificate in Teaching in the Lifelong Learning Sector	
2		Pearson Edexcel Award in Support Work in Schools Pearson Edexcel Certificate in Supporting Teaching and Learning in Schools		
1				
Entry				

Annexe B

LLUK Assessment Strategy

The following assessment strategy sets out the requirements of Lifelong Learning UK (now Learning and Skills Improvement Service, LSIS) for the qualifications in this specification. They are not the requirements of the Regulators, Sector Skills Councils or awarding organisations for other qualifications and should not be applied to them. This is taken from LLUK Assessing and Assuring the quality of Assessment Guidance for awarding organisations, March 2010.

Quality assurance

Centres offering these qualifications must provide internal quality assurance to ensure assessment meets all Awarding Organisation requirements and is standardised across individual assessors, assessment locations and learners. In addition, the Awarding Organisation must ensure there is a robust system of external quality assurance to ensure quality and standardisation across centres. Awarding organisations should apply appropriate risk rating measures to individual assessment centres and ensure that robust quality assurance systems are in place to manage these risks on an individual basis.

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

Requirements for Assessors

All those who assess these qualifications must:

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

and

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

Requirements for Internal Quality Assurance

All those who quality assure these qualifications internally must:

- have up-to-date working knowledge and experience of best practice in assessment and quality assurance
- hold one of the following assessor qualifications or their recognised equivalent:
  - the Level 3 Award in Assessing Competence in the Work Environment,

  or

  - the Level 3 Certificate in Assessing Vocational Achievement, or
  - A1 Assess candidate performance using a range of methods, or
  - D32 Assess candidate performance and D33 Assess candidate using differing sources of evidence
- hold or be working towards, one of the following internal quality assurance qualifications or their recognised equivalent:
  - the Level 4 Award in the Internal Quality Assurance of Assessment Processes and Practice, or
  - the Level 4 Certificate in Leading the Internal Quality Assurance of
  - Assessment Processes and Practice, or
  - V1 Conduct internal quality assurance of the assessment process, or
  - D34 Internally verify the assessment process

and

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

Requirements for external quality assurance

All those who provide external quality assurance for these qualifications must:

- have up-to-date working knowledge and experience of best practice in Learning and Development
- hold one of the following qualifications or their recognised equivalent:
  - the Level 3 Award in Assessing Competence in the Work Environment

  or

  - the Level 3 Certificate in Assessing Vocational Achievement, *or*
  - A1 Assess candidate performance using a range of methods, *or*
  - D32 Assess candidate performance and D33 Assess candidates using differing sources of evidence

- hold, or be working towards, one of the following external quality assurance qualifications or their recognised equivalent:
  - the Level 4 Award in Externally Assuring the Quality of Assessment Processes and Practice, *or*
  - the Level 4 Certificate in Leading the External Quality Assurance of Assessment Processes and Practice, *or*
  - V2 Conduct external quality assurance of the assessment process,

  or

  - D35 Externally verify the assessment process.

and

- show current evidence of continuing professional development in learning and development, assessment and quality assurance.

In terms of best practice, external quality assurance staff might also be expected to hold an appropriate internal quality assurance qualification, either:

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

Annexe C

Unit Delivery and Assessment Guidance

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

Delivery

A holistic approach to learning and assessment is helpful to learners, showing them how to relate their own achievements to the underpinning theory, Professional Standards (PS) and National Occupational Standards (NOS). Learners should be aware of the importance of their own professional practice and the opportunities for using naturally occurring evidence whenever available or appropriate. Learners should be encouraged to evaluate their own experiences and assess relevant past and present practice.

This knowledge-based unit provides the underpinning theory for the practical unit *Unit 2: Internally Assure the Quality of Assessment.* The unit emphasises the importance of the shared knowledge and experience of peers and colleagues for good practice and reflection on assessment approaches. When dealing with peers and colleagues, any applicable policies and procedures regarding confidentiality should be followed.

This unit should enable learners to recognise the different contexts in which they may be assessing quality assurance — in particular the different levels of responsibility that may be expected of those undertaking internal quality assurance roles. Using naturally occurring evidence will enable learners to relate to evidence from their own practice. Learners can use real documents from their own practice as evidence. This will contextualise the underpinning knowledge and help to build effective assessment processes used in *Unit 2: Internally Assure the Quality of Assessment.* It will also help to build effective quality assurance processes.

Learners should be given opportunities to share best practice in a way that can be transferred to real situations through the practical unit *Unit 2: Internally Assure the Quality of Assessment*. Learners need to be given a range of measures of quality against which they will be able to make reasoned judgments that can inform and develop their own practice. Learners also require opportunities to reflect on the roles and responsibilities of those involved in the internal quality assurance of the assessment process.

Learners will need to understand what is required for the planning, preparation, standardisation, resolution of disputes and evaluation of quality assurance. There is scope for individual and group activity in the planning of assessment processes and for exploring, (with colleagues and senior staff within different organisations), how data is used in providing feedback, support and advice to assessors to inform and develop continuing professional development.

It is important to emphasise links with the current professional standards and National Occupational Standards and to discuss the issues raised by the unit content both formally and informally. Learners should demonstrate their understanding of both organisational and external requirements. They should make

special reference to maintaining standards of quality that meet the requirements of external moderation, examination and quality assurance. Learners should also consider ways to address the needs of those learners unable to access usual assessment strategy.

It is also important for learners to recognise the need to be adaptable to changing circumstances. They need to develop the confidence and flexibility to be able to adapt and develop their own skills, knowledge and understanding in relation to internally assuring the quality of assessment. Knowledge gained from the unit should encourage learners to explore different aspects of their own assessment so that they can contribute effectively to the quality assurance process and communicate the outcomes of quality assurance appropriately with learners, colleagues and external bodies. Learners should be encouraged to follow best assessment practice, and understand how to share information with others (including their students) when and where appropriate.

A mentoring system should be in place, offering informal support and guidance for learners undertaking assessment and giving them the opportunity to record their own professional development and possible routes for progression, with the aid of a personal learning log.

Assessment

For assessment purposes, links should be made between this unit and the practical unit *Unit 2: Internally Assure the Quality of Assessment.* This will give candidate assessors opportunities to identify a range of learner evidence that can cover assessment criteria in this unit whilst providing the underpinning knowledge required for the practical unit through a holistic assessment strategy that generates transferable skills.

Supporting evidence for this unit could include any of the following:

- summaries of key documentation eg awarding organisation documentation, quality assurance policy, documents, data protection, organisation procedures and legal requirements eg review, SAR policies, documentation
- organisation management structure – indicating roles/responsibilities for internal quality assurance and planning, eg annual planner, visits of external quality assurance bodies
- samples of assessment tracking/logging pro forma, evaluation pro forma
- quality assurance plan including timing, information required, administrative arrangements etc
- a written report that includes examples of standardisation, sampling techniques, roles and responsibilities in the quality assurance procedures relevant to the assessment processes within a specific programme
- records of formal or informal assessment according to organisational and/or awarding body requirements for standardisation
- minutes of team meetings associated with standardisation/quality assurance.

It is important that the assessor plans and carries out questioning and/or discussion with the student assessor/learner to ensure that they can demonstrate applied knowledge that has informed their production of any documents.

Assessment criteria requiring knowledge- based evidence should include reflective journals and other forms of evaluation, including professional discussion. This will enable learners to draw on research to provide understanding that can be transferred into a practical context and lead to quality improvement as well as quality assurance.

Links should be maintained with the practical unit *Unit 2: Internally Assure the Quality of Assessment* as far as possible. Ideally these two units should be delivered and assessed in conjunction for the holistic approach. Some of the assessment criteria may occur in more than one task. This allows different perspectives and can cover a variety of evidence.

Sample holistic assessment activity

As a part of CPD self-assessment and professional development, learners should produce a reflective journal entry to review the policies and procedures in their organisation and explain the function of internal quality assurance. Included should be:

- the organisation's policies, procedures and responsibilities for internal quality assurance
- regulations and requirements of external bodies, eg awarding organisations, sector skills councils, occupational/vocational bodies, employers
- legal issues that have to be addressed, eg health, safety and welfare, management of information, confidentiality and data protection
- specific equality and diversity policies and procedures that have to be followed eg disability regulations, bilingualism/English as a second/other language, deaf awareness, appeals/disputes procedures.

(Assessment criteria: 1.1; 1.2; 1.3; 5.1; 6.1; 6.2)

Learners should explain role and responsibilities, and relationships to other practitioners, in deciding the content for planning, preparing and judging the quality of the assessment process. This should include:

- arrangements for information collection
- sampling and standardisation across **at least two assessors**, each with a minimum of two candidates/students, with different needs or in different contexts
- administrative arrangements
- requirements for resources (including using technology)
- arrangements for communicating with others
- how disputes would be handled.

(Assessment criteria 1.4; 2.1; 2.2; 2.3; 3.1; 3.2; 4.2; 4.3; 6.2)

Learners should use a reflective journal to explain how different types of feedback could be used to share the outcomes of a quality assurance activity. They should explain what support and advice could be offered by a minimum of two assessors to maintain and improve assessment and verification practice within the organisation as well as identify opportunities to improve practice.

(Assessment criteria: 4.1; 6.3)

Unit 2: Internally Assure the Quality of Assessment

Delivery

A holistic approach to learning and assessment is helpful to learners, showing them how to relate their own achievements to the underpinning theory, Professional Standards (PS) and National Occupational Standards (NOS). Learners should be aware of the importance of their own professional practice and the opportunities for using naturally occurring evidence whenever available or appropriate. Learners should be encouraged to evaluate their own experiences and assess relevant past and present practice.

This unit is a practical unit linked to *Unit 1: Understanding Principles and Practices of Internally Assuring the Quality of Assessment.* Learners must be able to relate underpinning knowledge and understanding to practice of internal quality assurance. 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, any applicable policies and procedures regarding confidentiality should be followed.

Delivery of this unit should help learners recognise the need for a practical approach to the different contexts in which they may be undertaking quality assurance. In particular, they should recognise the different levels of responsibility that may be expected of those undertaking internal quality assurance roles. Using naturally occurring evidence will enable learners to relate to evidence from their own practice. This unit provides an opportunity for the underpinning knowledge of *Unit 1: Understanding the Principles and Practices of Internally Assuring the Quality of Assessment* to be contextualised and helps to build effective quality assurance processes.

This unit focuses on the application of the underpinning principles of internal quality assurance strategies and it is necessary for evidence to be generated from real situations. Learners should be given a range of opportunities to measure quality that will enable them to make reasoned judgements – using both process and product — that can inform and develop their own practice. Learners need to be able to demonstrate their understanding of both organisational and external requirements in a practical context, allowing them to share with others the need to maintain and improve practice.

A mentoring system should be in place, offering informal support and guidance for learners undertaking assessment and giving them the opportunity to record their own professional development and possible routes for progression, with the aid of a personal learning log.

Assessment

Assessment should focus on real work activities so that naturally occurring evidence can be assessed. This unit should be used in conjunction with other appropriate units, such as *Unit 1: Understanding the Principles and Practices of Internally Assuring the Quality of Assessment,* as an opportunity for a holistic assessment strategy.

The assessment of this unit must include monitoring of a **minimum of two** assessors – each with a **minimum of two** candidates of their own. The range of direct evidence **must** include:

- observation of practice
- examination of products of work
- questioning.

These forms of evidence can be supplemented, where necessary, with professional discussion, reflective accounts or witness statements. One piece of evidence may be used to meet the requirements of more than one learning outcome or assessment criterion.

Supporting evidence for this unit can potentially include any of the following:

- Summaries of key documentation eg awarding organisation documentation, quality assurance policy, documents, data protection, organisation procedures and legal requirements eg review/SAR policies/documentation
- organisation management structure – indicating roles/responsibilities for internal quality assurance and planning, eg annual planner, visits of external quality assurance bodies
- samples of assessment tracking/logging pro forma, evaluation pro forma
- quality assurance plan indicating how is involved, the timing, information required, administrative arrangements etc
- records of formal/informal assessment according to organisational and/or awarding body requirements for standardisation
- external quality assurance planning documents
- minutes of team meetings associated with standardisation/quality assurance.

Evidence for this unit must include assessor observations and questioning/ discussions with the learner. Understanding of the significance of supporting evidence should be checked (this may be done through discussion or in writing).

Sample holistic assessment activity

Produce a plan for internal quality assurance. The plan must cover a minimum of **two** assessors, each with a minimum of **two** students, through the components of a qualification, involving the observation of the assessors and examination of the product evidence.

The plan must cover organisational and legal requirements and include:

- relevant policies and procedures, eg standardisation
- frequency and timing
- health and safety, equality and diversity (including bilingualism where relevant)
- data protection/confidentiality
- awarding body requirements/occupational standard requirements.

(Assessment criteria: 1.1; 1.2; 5.1; 5.2)

Plan and carry out **one** observation with **each** assessor with at least one candidate to provide evidence of the quality of the process of assessment judged against appropriate standards. Follow up the observation as soon as possible with an opportunity for questioning to demonstrate their understanding of the assessment requirements and provide the assessor with feedback that identifies appropriate action points.

Carry out a **second** monitoring activity from the plan with **each** assessor to examine the product evidence, eg their assessment plans for their (minimum) two specific students, sample assessment activities, examples of tests/assignments/ project or practical outlines, assessment records/tracking and logging documents, samples of evidence, minutes of team meetings, course file.

(Assessment criteria: 2.1; 2.2; 2.3; 2.4; 2.5; 2.6)

(Note: Different courses will have different types of product relevant to this process and this should be negotiated with each assessor as early as possible in your planning stage.)

Following the observation and review of documentation, provide feedback to each of the assessors in order to advise them of how their practices meet the appropriate criteria and compare with the required standards. Provide appropriate support (including suggestions for professional development opportunities) which will help them to maintain and improve their own quality of assessment.

(Assessment criteria: 2.6; 3.1; 3.2)

Observe appropriate levels of confidentiality in order to carry out all necessary recording, storing and reporting of information relating to the quality assurance information. Use experiences to evaluate practice in internally assuring the quality of assessment and highlight ways in which you can maintain the currency of expertise and competence.

(Assessment criteria: 4.1; 4.2; 5.2; 5.3; 5.4)

Unit 3: Plan, Allocate and Monitor Work in Own Area of Responsibility

Delivery

This is a management unit which addresses the need to develop and accredit management skills and functions in quality assurance. This unit complements the other units relating to verification and quality assurance.

This unit relates to the management of the quality assurance process and the responsibility of the lead verifier or learning development manager/quality assurance manager to provide a coherent approach to the assessment and verification processes within the learner's organisation. Within a small organisation there may be a limited number of different individuals, teams or approaches. Within larger organisations there may be a greater number of individuals working in the verifier role, each with responsibility for a large number of assessors. The quality assurance of the organisation can become fragmented in instances where individual assessors have their own assessment plans, records and evaluation processes and internal quality assurers have their own assessment and quality assurance plans.

This unit draws all the assessment and quality assurance processes together so that the evidence can be used more centrally in order to monitor the process. By involving teams more closely for example 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.

Within this unit there is significant focus on effective management of teams that aims to improve quality and responsiveness to change where required. Planning of the quality assurance is essential in making 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. Developing a more cohesive approach to the management of the quality process within an organisation will help teams to respond more effectively to the demands made on them.

A holistic approach to learning and assessment is helpful to learners, showing them how to relate their own achievements to the underpinning theory, Professional Standards (PS) and National Occupational Standards (NOS). Learners should be aware of the importance of their own professional practice and the opportunities for using naturally occurring evidence whenever available or appropriate. Learners should be encouraged to evaluate their own experiences and assess relevant past and present practice.

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, any applicable policies and procedures regarding confidentiality should be followed.

Delivery of this unit must recognise that those undertaking it will have responsibility for planning and coordinating the work of others within teams. Learners will need to demonstrate a clear understanding of the context in which they and members of their team are working in order to provide a framework within which all can work efficiently and effectively.

Learners need to be able to identify the criteria against which the work in their own area of responsibility will be judged in order to be able to plan effectively to achieve specific targets. Learners must be given opportunities to prioritise from a range of possible routes, depending on particular sets of circumstances. They need to be able to identify the resources available to them when planning so that they can make the best possible use of them.

The product for this unit relates specifically to practical outcomes:

- produce a work plan
- allocate and agree responsibilities with team members
- monitor the progress and quality of work and provide feedback
- review and amend plans of work and communicate changes.

Delivery needs to focus on providing opportunities for the collection of evidence arising from real work activities, and experiences with evaluation and discussion around the successes and weaknesses of different approaches.

It is essential that learners appreciate the importance of a team approach in planning. This will involve the need to identify opportunities to engage with individuals in order to build on the responsibilities of team members in the sharing of the SMART objectives. In order to encourage teams and team members to be responsive to the need for change, learners will review opportunities and methods of providing feedback and communication to teams, individually and collectively.

Unit delivery should reflect the need to examine planning for different ways of monitoring progress and quality of work. Progress against appropriate standards is then evaluated and this information used in future planning, with the aim of improving team performance.

Learners should be given the opportunity to plan a team activity within their own area of responsibility. It should include agreeing priorities, objectives, standards and responsibilities, as well as monitoring and evaluating to bring about change where needed, eg producing a plan for a quality assurance activity. There is scope for individual and group activity in the planning processes. There is also scope for exploring (with colleagues and other senior staff) how different approaches can be used in planning, monitoring and management of quality assurance.

It is important to emphasise links with current professional standards and National Occupational Standards and to discuss the issues raised by the unit content both formally and informally. Learners should be given opportunities to demonstrate their understanding of organisational and external requirements, with special reference to the need to maintain standards of quality that will meet the requirements of external moderation, examination, verification and quality assurance. Reference should also be made to addressing the needs of those learners unable to access the usual assessment strategy.

A mentoring system should be in place. The mentoring system should offer informal support and guidance for learners undertaking assessment and give them the opportunity to record their own professional development, along with possible routes for progression.

Assessment

Practical assessment activities and opportunities will generate evidence that can be used to cover the assessment criteria. This evidence should be used in conjunction with other appropriate units such as *Unit 2: Internally Assure the Quality of Assessment* and *Unit 5: Externally Assure the Quality of Assessment* as an opportunity for a holistic assessment strategy. Learners' understanding of the presented evidence can be confirmed through discussion or in writing. The assessment for this unit should come from a practical context and include opportunities for the observation of practice as well as the examination of evidence.

Supporting evidence for this unit can include any of the following:

- summaries of key documentation, eg NOS, awarding organisation documentation
- quality assurance policy, documents, procedures and legal requirements
- assessment plan indicating when/how learners are involved, eg through providing feedback/action planning/record keeping
- records of assessment according to organisational and/or awarding body requirements to demonstrate how these can be used to inform changes and/or modifications to a selected curriculum/training area
- records of internal quality assurance/internal verification/standardisation according to organisational and/or awarding body requirements to demonstrate how they can be used to inform changes and/or modifications to a selected curriculum/training area
- organisation SAR (self-assessment review), planning, monitoring, evaluation pro forma
- organisation annual planner/programme including information relevant to quality assurance or quality reviews
- minutes from team meetings/standardisation meetings
- external quality assurance reports
- intranet or website used by learner's organisation for communicating changes with staff involved in quality assurance.

Evidence for this unit should include assessor observations of practice and questioning or discussions with the learner. Documentary evidence should be used only to support and inform practice.

Sample holistic assessment activity

This activity is based on the role of a lead verifier or learning development manager with responsibility for the management of a team of individuals. These individuals undertake responsibility for assessors who are assessing individual learners in the workplace. Each assessor records the evidence from their learners and this evidence is checked against the relevant occupational standards by the team of internal quality assurers. The quality assurers each have their own records.

Provide a brief statement to identify:

- individual areas of responsibility
- the context, organisation policies and procedures
- identification and prioritising of relevant occupational standards and success criteria
- awarding organisation requirements – prioritised along with success criteria
- staffing and other resources available.

(The statement can be made through discussion or in writing.)

(Assessment criteria: 1.1; 1.2; 1.3)

Learners are required to produce a plan for their area of responsibility in preparation for an external quality assurance inspection. The plan needs to include:

- identified criteria and planning objectives
- identification and agreement of individual/team member responsibilities that are SMART (specific, measureable, achievable, realistic and time constrained)
- a range of opportunities and methods to monitor quality assurance activities
- timescales for achievement of each identified objective
- appropriate methods for evaluating and reviewing progress
- opportunities for providing feedback to team members – individually or in groups
- measures to review the need to amend plans of work
- opportunities for amending plans.

(Assessment criteria: 1.4; 2.1; 2.2; 3.1; 3.2)

Use the experience of putting this plan into effect to review the successes of the planning process in achieving the identified objectives and standards. Explain how you would communicate the identified changes to your team members.

(This may be done through discussion or in writing.)

(Assessment criteria: 4.1; 4.2)

Unit 4: Understanding the Principles and Practices of Externally Assuring the Quality of Assessment

Delivery

A holistic approach to learning and assessment is helpful to learners, showing them how to relate their own achievements to the underpinning theory, Professional Standards (PS) and National Occupational Standards (NOS). Learners should be aware of the importance of their own professional practice and the opportunities for using naturally occurring evidence whenever available or appropriate. Learners should be encouraged to evaluate their own experiences and assess relevant past and present practice.

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, any applicable policies and procedures regarding confidentiality should be followed.

Delivery of this unit should recognise the different contexts in which learners may be undertaking external quality assurance– in particular the different levels of responsibility that may be expected of those undertaking external quality assurance roles. Full use should be made of naturally occurring evidence; this means that evidence can be generated from learners' own practice. This ensures that the underpinning knowledge can be contextualised and helps to build and maintain effective external quality assurance processes.

This unit focuses on the underpinning principles of external quality assurance strategies and learners should be given opportunities to share best practice in a way that can be transferred to real situations. Learners need to be given a range of measures so that they can judge the quality of quality assurance processes in order to standardize their assessments. They also require opportunities to use their experiences so that they can reflect on their own roles and responsibilities in the external quality assurance of the assessment process and develop their own practice.

Learners will need to understand what is required for the planning, preparation, standardisation, and evaluation of quality assurance and resolution of disputes. There is scope for individual and group activity in sharing approaches to the planning of external quality assurance processes. There is also scope for exploring, with colleagues and senior staff within different organisations, how data is used in providing feedback, support and advice to assessors and internal verifiers, with the aim of informing and evolving continuing professional development.

It is important to emphasise links with the current professional standards and National Occupational Standards and to discuss the issues raised by the unit content both formally and informally. Learners should be given opportunities to demonstrate their understanding of both organisational and external requirements. They should make special reference maintaining standards of quality that will meet the requirements of external moderation, examination and quality assurance. They should also refer to addressing the needs of those learners unable to access the usual assessment strategy.

It is also important for learners to recognise the need to be adaptable to changing circumstances and to develop both the confidence and flexibility to be able to adapt and develop their own skills, knowledge and understanding in relation to externally assuring the quality of assessment. The learning gained in the unit should encourage individuals to explore aspects of their own approaches in order to

contribute effectively to the quality assurance process, communicating the outcomes of quality assurance appropriately with staff and external bodies. Learners should be encouraged to follow quality assurance practice.

A mentoring system should be in place, offering informal support and guidance for learners undertaking assessment and giving them the opportunity to record their own professional development and possible routes for progression, with the aid of a personal learning log.

Assessment

Although this is a knowledge-based unit, it is important that practical activities and opportunities are used to capture a range of evidence that can be used to cover the assessment criteria. This evidence should also be used in conjunction with other appropriate units, such as *Unit 5: Externally Assure the Quality of Assessment* as an opportunity for a holistic assessment strategy that provides an opportunity to link theory to practice.

Knowledge or understanding based evidence can include reflective journals and other forms of evaluation that draw on research to cover practical experiences and help learners' understanding to be put into a practical context. Written assignments are valuable tools in evaluation and provide an opportunity to work at level 4. It is important that the assessor includes questioning and/or discussion with the candidate assessor/learner to ensure that they can demonstrate applied knowledge that has informed their presentation of any documents.

Supporting evidence for this unit can potentially include any of the following:

- oral or written summaries of key documentation eg awarding organisation documentation, quality assurance policy
- organisation management structure – procedures eg planning timing, information required, administrative arrangements, standardisation and sampling techniques, roles and responsibilities in the quality assurance procedures, data protection, legal requirements, internal quality review, SAR policies
- samples of organisation assessment tracking, logging pro forma, evaluation pro forma
- organisation quality assurance plan indicating how is involved
- sample external quality assurance activity pre-visit plan or request for sampling, external verifier/examiner report
- records of meetings to provide feedback with the individuals responsible for managing the organisation quality assurance.

Sample holistic assessment activity

This activity is in three parts. **All** three parts have to be completed to provide the evidence to achieve this unit.

PART ONE

Preparing for external quality assurance of assessment

Explain how the regulations, requirements and legal issues (for example health and safety, equality and diversity, data protection) are reflected in an organisation's policies and procedures for external quality assurance. (This may be done through discussion or in writing.)

(Assessment criteria: 1.1; 1.2; 1.4; 6.1; 6.3)

PART TWO

Planning for external quality assurance of assessment

Explain the role, and those of other practitioners in this area, in monitoring and reviewing internal quality assurance. Explain how this is applied to planning appropriate procedures for an external quality assurance activity that meets with appropriate regulations and requirements for assessment and verification. (This may be done through discussion or in writing.)

This should include:

- arrangements for the collection and management of information – including standardisation procedures, techniques for sampling
- data protection, confidentiality arrangements, disputes/appeals procedures, use of technology
- communication with individuals involved in the quality assurance process at appropriate stages in the quality review
- administration arrangements with individuals within the organisation
- resources required during the quality assurance process, including requirements for technology
- use of technology for recording, collecting, storing and sharing of assessment and quality assurance information.

Also include an opportunity to identify ways of adapting approaches to meet customer needs without compromising quality standards appropriate to the context.

(Assessment criteria: 1.3; 2.2; 2.3; 2.4; 3.1; 3.2; 3.3; 4.2; 4.4; 5.1; 6.2)

PART THREE

Outcomes of external quality assurance of assessment

Produce a written report which evaluates the importance of planning and preparing external quality assurance activities. Explain the need to use the outcomes – and a range of different types of feedback – to provide support and advice for individuals involved in internal quality assurance that is consistent with standardisation requirements. Identify ways in which this can be used so that internal quality

assurance staff have the guidance they need to maintain and improve the quality of assessment. You should also reflect on how you can use the experience to develop and improve your own practice in relation to external quality assurance.

(Assessment criteria: 2.1; 4.1; 4.3; 6.4)

Unit 5: Externally Assure the Quality of Assessment

Delivery

Assessors delivering this unit need to plan with learners that evidence for the different units are appropriately combined to enable holistic assessment. Whilst this unit refers specifically to the external quality assurance process, it is essential that all individuals involved in external quality assurance have an appropriate level of knowledge and understanding of all stages in the process from assessment and internal quality assurance to the external quality assurance processes.

It is important for learners to experience a holistic approach to assessment to help relate their own achievements to the underpinning theory, Professional Standards and National Occupational Standards where appropriate. Learners should be made aware of the importance of using evidence from their own professional practice and performance in the work environment, making use of naturally occurring evidence. Learners should be encouraged to evaluate their own experiences and assess relevant past and present practice from a minimum of **two** external centre visits, including preparations before, and actions after, the actual visit itself.

The importance of sharing the experience and expertise of peers and colleagues should be emphasised. When dealing with peers and colleagues, any applicable policies and procedures regarding confidentiality should be followed.

This unit provides the practical application of principles and practice from *Unit 4: Understanding the Principles and Practices of Externally Assuring the Quality of Assessment*. The delivery of this unit should be based on practical work-based opportunities to recognise and adapt to the different contexts in which learners may be undertaking external quality assurance – in particular the different levels of responsibility expected of those undertaking external quality assurance roles. Full use should be made of naturally occurring evidence so that learners can use real documents and evidence from their own practice.

This unit focuses on applying the underpinning principles of external quality assurance strategies to real situations. Learners will need to be able to undertake the planning, preparation, standardisation, evaluation and resolution of disputes as a part of the quality assurance within an organisation. There is scope for exploring, with colleagues and senior staff within different organisations, how data is used in providing feedback, support and advice to assessors and internal verifiers to inform and contribute to continuing professional development.

Delivery of this unit should emphasise links with the current awarding organisation, professional standards and National Occupational Standards. Formal and informal discussion around the issues raised by the unit content should be encouraged. Learners should be given opportunities to demonstrate their understanding of organisational and external requirements. They need to make special reference to the need to maintain standards of quality that meet the specific requirements of external moderation, examination, verification and quality assurance. They will also need refer to addressing the needs of those learners unable to access the usual assessment strategy.

It is important for learners to recognise that they need to be adaptable to changing circumstances. They also need to recognise the importance of developing the confidence and flexibility to be able to adapt and develop their own skills, knowledge and understanding in relation to externally assuring the quality of assessment.

A mentoring system should be in place, offering informal support and guidance for learners undertaking assessment and giving them the opportunity to record their own professional development and possible routes for progression, with the aid of a personal learning log.

Assessment

This is a practice-based unit and assessment should be based on the learner's actual work activities which naturally provide a range of evidence to meet the assessment criteria.

Evidence must be provided from a minimum of **two** external centre visits, including preparations before, and actions after, the actual visits themselves. Evidence should be used in conjunction with other appropriate units, such as *Unit 4: Understanding the Principles and Practices of Externally Assuring the Quality of Assessment*, as an opportunity for a holistic assessment strategy linking practice to principles. It is important that the assessor includes questioning and/or discussion with the candidate assessor/learner to ensure that they can demonstrate applied knowledge that has informed their presentation of any documents.

Supporting evidence for this unit can include any of the following:

- key documentation eg awarding organisation documentation, quality assurance policy
- organisation management structure – procedures, roles/responsibilities, planning timing, information required, administrative arrangements standardisation, sampling techniques, roles and responsibilities in the quality assurance procedures, data protection, legal requirements, internal quality review/SAR policies
- samples of organisation assessment tracking/logging pro forma, evaluation pro forma
- organisation quality assurance plan indicating who is involved, the minutes of team meetings associated with previous external quality assurance activities
- external quality assurance documentation, eg pre-visit plan or request for sampling, external quality assurer/examiner report
- records of meetings to provide feedback with the individuals responsible for managing the organisation quality assurance.

Evidence for this unit **must** include assessor observations of practice and questioning or discussions with the learner. Documentary evidence should be used only to support and inform practice.

Sample holistic assessment activity

The assessment for this unit is in three parts. **All** parts needs to be completed in order to demonstrate the range of evidence required for the unit. The assessment is based on planning a centre visit and then two visits to the centre.

PART ONE

Pre-activity plan: produce a plan for **one** external quality assurance visit to a selected centre and identify the arrangements and resources to be provided by staff before or during the visit.

The plan needs to include reference to:

- documents that will be required, eg organisation policies and procedures (including health and safety, equality and diversity, appeals/disputes, data protection)
- course files, eg staff CV, course programme, assessment programme, course handbook/workbook, session plans, assessment activities, course evaluations
- specific units/modules required for examining products of work
- organisation tracking/recording documents (computer access for electronic records/online reporting) plus evaluations from learners/staff
- meeting with staff including assessors/tutors/internal quality assurance
- meeting with learners (where possible).

Communicate this plan to the organisation and individuals concerned and invite their comments.

(Assessment criteria: 1.1; 1.2; 1.3)

PART TWO

External quality assurance visit: following the negotiations around the pre-visit plan, produce and carry out a detailed plan for the visit to include timings to monitor and review:

- products of work — the internal quality assurance systems – including the administration, management and roles/responsibilities/expertise/competence of staff involved
- products of work — management of assessment information, eg the standardisation/recording of assessment decisions, tracking and logging of assessment decisions, nature and quality of feedback to learners/stakeholders, security of storage, confidentiality
- questioning of staff involved in internal quality assurance of assessment, eg assessment arrangements, methods, standardisation, equality and diversity, evaluations, self-assessment
- questioning of learners' experiences of the organisation of assessment and quality assurance.

(Assessment criteria: 1.1; 2.1; 2.2; 2.3; 2.4; 2.5; 4.1; 4.2; 5.1; 5.2)

PART THREE

Feedback, advice, support and professional development: review the outcomes of the external quality assurance visit with the appropriate staff and discuss areas of good practice as well as opportunities for improvement in procedures or staff expertise.

Record the evidence from the review of the products of work and meetings with learners and staff and give the organisation a copy of your report, to include suggestions and measures for improvement in quality assurance.

Use the evidence from the report to plan a **second** return visit based on areas of concern. From the report, identify a single member of the assessment team to undertake an observation of performance in an appropriate working assessment context. Review and record the outcomes of the second external quality assurance visit with the appropriate staff, discussing areas of good practice and any further improvements required before subsequent visits.

Use the feedback from the staff, as well as an evaluation of plans, to reflect on your expertise and competence and identify areas where you develop and improve the currency of your own external quality assurance practice.

(Assessment criteria: 3.1; 3.2; 4.1; 4.1; 4.2; 5.1; 5.2; 5.3; 5.4)

Annexe D

Portfolio Evidence Record Sheets

Unit 1: Understanding the Principles and Practices of Internally Assuring the Quality of Assessment (Level 4)

Learning outcomes		Assessment criteria		Portfolio reference	Date
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		

Learning outcomes		Assessment criteria		Portfolio reference	Date
		2.3	Summarise the preparations that need to be made for internal quality assurance, including: • information collection • communications • administrative arrangements • 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		

Learning outcomes		Assessment criteria		Portfolio reference	Date
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		
Learner name:					Date:
Learner signature:					Date:
Assessor signature:					Date:
Internal verifier signature (if verified)					Date:

Unit 2: Internally Assure the Quality of Assessment (Level 4)

Learning outcomes		Assessment criteria		Portfolio reference	Date
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		
		2.5	Determine whether assessment decisions are made using the specified criteria		
		2.6	Compare assessor decisions to ensure they are consistent		
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		
		3.2	Apply procedures to standardise assessment practices and outcomes.		

Learning outcomes		Assessment criteria		Portfolio reference	Date
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		
		4.2	Follow procedures to maintain confidentiality of internal quality assurance information		
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		
		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.		
Learner name:					Date:
Learner signature:					Date:
Assessor signature:					Date:
Internal verifier signature (if verified)					Date:

Unit 3: Plan, Allocate and Monitor Work in Own Area of Responsibility (Level 4)

Learning outcomes		Assessment criteria		Portfolio reference	Date
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		

Learning outcomes		Assessment criteria		Portfolio reference	Date
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		
		4.4			
Learners name:					Date:
Learner signature:					Date:
Assessor signature:					Date:
Internal verifier signature (if verified)					Date:

Unit 4: Understanding the Principles and Practices of Externally Assuring the Quality of Assessment (Level 4)

Learning outcomes		Assessment criteria		Portfolio reference	Date
1	Understand the context and principles of external quality assurance	1.1	Analyse the functions of external quality assurance of assessment in learning and development		
		1.2	Evaluate the key concepts and principles of external quality assurance of assessment		
		1.3	Evaluate the roles of practitioners involved in the quality assurance process		
		1.4	Explain the regulations and requirements for external and internal quality assurance in own area of practice		
2	Understand how to plan the external quality assurance of assessment	2.1	Evaluate the importance of planning and preparing external quality assurance activities		
		2.2	Explain what an external quality assurance plan should contain		
		2.3	Summarise the preparations that need to be made for external quality assurance activities, including: • information collection • communications • administrative arrangements • resources		

Learning outcomes		Assessment criteria		Portfolio reference	Date
		2.4	Explain how to adapt external monitoring and evaluation approaches to meet customer need without compromising quality standards		
3	Understand how to externally evaluate the quality of assessment and internal quality assurance	3.1	Explain the procedures for externally monitoring and evaluating internal quality assurance arrangements and practices		
		3.2	Interpret the requirements for externally monitoring and evaluating internal assessment arrangements and practices		
		3.3	Evaluate different techniques for externally sampling evidence of assessment, including those that use technology		
4	Understand how to externally maintain and improve the quality of assessment	4.1	Critically compare the types of feedback, support and advice that internal assessment and quality assurance staff may need to maintain and improve the quality of assessment		
		4.2	Evaluate standardisation requirements relevant to the external quality assurance of assessment		
		4.3	Explain the importance of providing feedback, support and advice to internal assessment and quality assurance staff that is consistent with standardisation requirements		

Learning outcomes		Assessment criteria		Portfolio reference	Date
		4.4	Explain the relevant procedures to follow when there are disputes concerning quality assurance and assessment		
5	Understand how to manage information relevant to external quality assurance	5.1	Evaluate the requirements for information management, data protection and confidentiality in relation to external quality assurance		
6	Understand the legal and good practice requirements relating to external quality assurance	6.1	Evaluate legal issues, policies and procedures that are relevant to external quality assurance, including those for health, safety and welfare		
		6.2	Critically compare different ways in which technology can contribute to external quality assurance		
		6.3	Evaluate requirements for equality and diversity and, where appropriate, bilingualism, in relation to the external quality assurance of assessment		
		6.4	Explain the value of reflective practice and continuing professional development in relation to external quality assurance		
Learners name:					Date:
Learner signature:					Date:
Assessor signature:					Date:
Internal verifier signature (if verified)					Date:

Unit 5: Externally Assure the Quality of Assessment (Level 4)

Learning outcomes		Assessment criteria		Portfolio reference	Date
1	Be able to plan the external quality assurance of assessment	1.1	Plan procedures for the external quality assurance of assessment		
		1.2	Communicate procedures for external quality assurance to the organisations and individuals concerned		
		1.3	Ensure arrangements and resources are in place for external monitoring and evaluation		
2	Be able to externally evaluate internal quality assurance and assessment	2.1	Carry out monitoring activities to quality requirements		
		2.2	Evaluate the quality of internal quality assurance systems		
		2.3	Evaluate the quality of internal administrative arrangements		
		2.4	Evaluate the quality of internal staffing and internal staff expertise and competence		
		2.5	Determine whether assessment arrangements, methods and decisions meet quality requirements		

Learning outcomes		Assessment criteria		Portfolio reference	Date
3	Be able to maintain and improve internal quality assurance processes	3.1	Provide staff with feedback, advice and support which help them maintain and improve the quality of assessment		
		3.2	Apply procedures for the standardisation of assessment practices and outcomes		
4	Be able to manage information relevant to the external quality assurance of assessment	4.1	Apply procedures for recording, storing, reporting information relating to external quality assurance		
		4.2	Apply procedures to maintain confidentiality of information relating to external quality assurance		
5	Be able to maintain legal and good practice requirements when externally monitoring and maintaining the quality of assessment	5.1	Apply policies, procedures and legislation relevant to the external quality assurance of assessment, including those for health, safety and welfare		
		5.2	Apply requirements for equality and diversity and, where appropriate, bilingualism, to the external quality assurance of assessment		

Learning outcomes		Assessment criteria		Portfolio reference	Date
		5.3	Critically reflect on own practice in externally assuring the quality of assessment		
		5.4	Maintain the currency of own expertise and competence as relevant to external quality assurance		
Learners name:					Date:
Learner signature:					Date:
Assessor signature:					Date:
Internal verifier signature (if verified)					Date:

October 2017

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