Version Control Information

Document details	
Document name	FAQ Level 4 Certificate in Leading the Internal Quality Assurance of Assessment Processes and Practice - Specification 501/2177/7
Purpose of document	Qualification specification, component contents, assessment guidelines and information for centres.
Change applied to existing version	L4CLIQAAPP_V2_08/08/2019
Document owner	Product Development Team

Version history			
New version number after amendment	**Date amended**	**Section**	**Details of change/s**
L4CLIQAAPP_V2_08/08/2019	August 2019	Throughout	Administration updates, correcting typos, web links and Assessment Principles.
L4CLIQAAPP_V2.1_12/01/2022	January 2022	Front cover and back page	Rebrand

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Section One

Centre Requirements

1.1 Introduction

Introduction to FutureQuals

FutureQuals is forward thinking, learner and customer-focused, and committed to delivering inspiring learning and skills.

Our Values
"We are a Visionary, Supportive, Innovative and Professional Awarding Organisation that is committed to excellence."

Our Vision
"We envisage a place in which every learner realises their full potential."

Our Mission
"To provide respected and valued qualifications and assessment to enable quality assured learning."

FutureQuals is recognised to deliver regulated qualifications by Ofqual in England, CCEA Regulation in Northern Ireland, the Scottish Qualifications Authority (SQA Accreditation) and Qualifications Wales to offer a comprehensive and diverse range of qualifications across a wide range of vocational areas many of which are transferable across industries and sectors.

A full list of FutureQuals current qualifications can be accessed at https://www.futurequals.com/

We have developed a genuine understanding and insight into all types of educational organisations, which ensures that we are highly responsive to their needs. We offer a wide range of benefits and support for our learners, our approved centres, and their assessment and quality assurance teams.

FutureQuals offers a wide range of benefits and support for all of our educational products and services including:

- Vocational qualifications accredited by the UK regulators and recognised by employers, universities and professional bodies
- 24/7 online management systems for the registration of learners, ensuring highly efficient services and access to assessment and results
- A diverse range of qualifications
- A flexible approach to assessment
- A network of professionals who examine and quality assure our regulated qualifications and assessments
- Regular updates on new developments in education and training
- Unrivalled customer service support and extensive guidance materials

Introduction to Qualification Specification

Welcome to the FutureQuals Specification for the **FAQ Level 4 Certificate in Leading the Internal Quality Assurance of Assessment Processes and Practice**. The aim of this specification is to provide our centres with guidance to assist in the administration, delivery and assessment of this qualification. It is recommended that you study this specification in detail and become fully conversant with the procedures and accompanying documents.

This specification is a live document and, as such, will be updated when required. Centres will be notified when changes are made. It is the responsibility of the approved centre to ensure the most up to date version of the Approved Specification is in use.

This document is copyright but may be copied by approved centres for the purpose of assessing learners. It may also be copied by learners for their own use.

1.2 Data Protection

FutureQuals is registered with the Data Protection Act and handles all data in accordance with the required procedures of the Act.

1.3 Complaints

FutureQuals aims to constantly monitor the levels of service provided and report on performance indicators on a regular basis. We will endeavour to be open about the levels of service we aim to offer all our customers.

However, if we fall short of expectations or our own standards, we want to give the opportunity for those affected to provide feedback so we can put things right.

Our Complaints Policy, which includes information on how to make a complaint, can be found on the FutureQuals website.

1.4 Enquiries

Any enquires relating to this qualification should be addressed to:

Future (Awards and Qualifications) Ltd
EMP House
Telford Way
Coalville
Leicestershire
LE67 3HE

Tel: 01530 836662

E-mail: qualifications@futurequals.com
Website: https://www.futurequals.com/

Section Two

Qualification Information

2.1 Qualification Outline

Purpose and Aims

The purpose of this **FAQ Level 4 Certificate in Leading the Internal Quality Assurance of Assessment Processes and Practice** is to provide the learner with the skills, knowledge, and understanding relating to the internal quality assurance of the assessment processes, incorporating management theories.

The Total Qualification Time (TQT) for this qualification is 170 hours
Guided Learning (GL) for this qualification is 115 hours
Minimum credits required to achieve the qualification: 17

Suitable for age ranges: 18+ 19+

Method of assessment:
- Oral Examination
- Portfolio of Evidence
- Practical Demonstration/Assignment
- written statements or answers by the learner Internal Quality Assurer (IQA)
- oral statements or answers by the learner Internal Quality Assurer (IQA)
- discussions between the learner IQA and their own assessor
- assignments, or
- projects
- observation of performance
- examining products of work
- questioning

This qualification is internally assessed and internally quality assured by Centre staff and externally quality assured by FutureQuals External Quality Advisors (EQAs).

If the method of assessment includes formative assessments such as practical tasks, written questions, multiple choice/short answer and knowledge assessment tasks where supervision of a learner assessment is required, assessment must be undertaken in line with the requirements set on in the FutureQuals Instructions for Conducting Controlled Assessments Policy. This document is published on the Policies and Procedures section of the FutureQuals website.

Grading: There is no specific grading criteria for this qualification.

Entry guidance: There are no formal qualification entry requirements that a learner must have completed before taking this qualification and no requirement for learners to have prior skills, knowledge or understanding

2.2 Additional Information

This qualification is regulated by the Office of the Qualifications and Examinations Regulator (Ofqual) in England https://register.ofqual.gov.uk/, Qualifications Wales in Wales https://www.qiw.wales/, and CCEA Regulation in Northern Ireland http://ccea.org.uk/regulation

It may be eligible for public funding as determined by the Department for Education (DfE) under Sections 96 and 97 of the Learning and Skills Act 2000, Qualification Wales and Department for the Economy in Northern Ireland.

For information regarding potential sources of funding please visit the following websites;
https://hub.fasst.org.uk/Pages/default.aspx
https://www.gov.uk/government/organisations/education-and-skills-funding-agency
https://www.qiw.wales/
https://www.economy-ni.gov.uk/

Alternately, contact your local funding office.

You should use the Qualification Accreditation Number (QAN) when you wish to seek public funding for your learners. Each component within a qualification will also have a unique reference number (Component Reference Number), which is listed in this specification. The qualification title and component reference numbers will appear on the learner's final certification document. Learners need to be made aware of this detail when they are recruited by the centre and registered with FutureQuals.

2.3 Progression

The **FAQ Level 4 Certificate in Leading the Internal Quality Assurance of Assessment Processes** and **Practice** can support progression on to further learning by undertaking a range of level 4 or higher qualifications including Management.

2.4 Assessment Principles

The **FAQ Level 4 Certificate in Leading the Internal Quality Assurance of Assessment Processes** and **Practice** must be assessed according to The Education and Training Foundation Qualification Guidance.

2.5 Qualification Structure

To achieve the Level 4 Certificate in Leading the Internal Quality Assurance of Assessment Processes and Practice learners must achieve a total of 17 credits from 3 mandatory components.

Group M – Mandatory				
Component Number	URN	Component Name	Credit Value	Level
1	T/601/5320	Understanding the principles and practices of internally assuring the quality of assessment	6	4
2	A/601/5321	Internally assure the quality of assessment	6	4
3	H/600/9674	Plan, allocate and monitor work in own area of responsibility	5	4

2.6 Barred Components and Exemptions

Components with the same title at different levels, or components with the same content, cannot be combined in the same qualification.

Section Three

Assessment Principles and Component Specifications

3.1 Assessment Principles

FutureQuals qualifications will always include Assessment Principles whether they have been developed by a Sector Skills Council (SSC) or FutureQuals own. The latest version of the generic Assessment Principles are available on the FutureQuals website and should be used in conjunction with any qualification-specific assessment principles. You can view the principles here: https://www.futurequals.com/assets/AssessmentPrinciples.pdf.

Any Assessment Principles specific to a qualification will always be re-produced in the specification they relate to.

Centres must refer to **The Education and Training Foundation Qualification Guidance: Assessment and Quality Assurance Qualifications.** The assessment strategy includes requirements for who can assess and quality assure this qualification.

3.2 Component Specifications

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

Component Reference Number: T/601/5320

Level: 4
Credit: 6
GL: 45

Component Summary

This component assesses a candidate Internal Quality Assurer's (IQA) knowledge of the principles and practices of quality assurance in a learning and development context.

Assessment Guidance

Evidence for this component could take the form of:
- written statements or answers by the learner Internal Quality Assurer (IQA)
- oral statements or answers by the learner Internal Quality Assurer (IQA)
- discussions between the learner IQA and their own assessor
- assignments, or
- projects

Additional Assessment Requirements

All learning outcomes in this unit must be assessed using methods appropriate to the assessment of knowledge and understanding. In gathering evidence for these qualifications, an unqualified trainee IQA is not allowed to internally quality assure the work of another unqualified IQA.

Relationship to Occupational Standards

This unit is underpinned by the Learning and Development National Occupational Standards, Standard 11: Internally monitor and maintain the quality of assessment.

Learning Outcome - The learner will:	Assessment Criterion - The learner can:
1 Understand the context and principles of internal quality assurance	1.1 Explain the functions of internal quality assurance in learning and development 1.2
	1.2 Explain the key concepts and principles of the internal quality assurance of assessment
	1.3 Explain the roles of practitioners involved in the internal and external quality assurance process
	1.4 Explain the regulations and requirements for internal quality assurance in own area of practice

2 Understand how to plan the internal quality assurance of assessment	2.1 Evaluate the importance of planning and preparing internal quality assurance activities
	2.2 Explain what an internal quality assurance plan should contain
	2.3 Summarise the preparations that need to be made for internal quality assurance, including: • 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
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

Component 2: Internally Assure the Quality of Assessment

Component Reference Number: A/601/5321

Level: 4
Credit: 6
GL: 45

Component Summary

This component assesses a learners IQA's competence in assuring the quality of assessment from within an assessment centre or organisation. Primary evidence for the learning outcomes and assessment criteria must come from the learners IQA monitoring and quality assuring the work of two assessors, each with a minimum of two learner of their own through components of a qualification.

Assessment Guidance

Evidence for all learning outcomes must come from performance in the work environment. All learning outcomes in this unit must be assessed using methods appropriate to the candidate IQA's performance.

These must include:
  • observation of performance
  • examining products of work
  • questioning

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

In gathering evidence for these qualifications, an unqualified trainee IQA is not allowed to internally quality assure the work of another unqualified IQA.

Additional Assessment Requirements

Evidence must come from the trainee IQA's performance in the work environment. There must be evidence of the trainee IQA monitoring a minimum of two assessors, each with a minimum of two learners of their own, through components of a qualification.

Learning Outcome - The learner will:	Assessment Criterion - The learner can:
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
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

Component 3: Plan, Allocate and Monitor Work in own Area of Responsibility

Component Reference Number: H/600/9674

Level: 4
Credit: 5
GL: 25

Component Summary

This component helps learners to plan, allocate and monitor work in own area of responsibility, and make any necessary changes to original work plans. The aim of this unit is to assess performance in leading the work of a team responsible for the external quality assurance of an organisation or assessment centre.

Additional Assessment Requirements

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

•   observation of performance
•   examining products of work
•   questioning

Direct evidence of this kind may be supplemented, where necessary, by professional discussion, reflective accounts or witness testimony. In this suite of qualifications, evidence for this unit must come from co-ordinating the work of a team of IQAs (if the learner is a trainee IQA) or EQAs (if the learner is a trainee EQA) in the work environment.

Relationship to Occupational Standards

MSC D6 Allocate and monitor the progress and quality of work in your area of responsibility.

Learning Outcome - The learner will:	Assessment Criterion - The learner can:
1 Be able to produce a work plan for own area of responsibility	1.1 Explain the context in which work is to be undertaken
	1.2 Identify the skills base and the resources available
	1.3 Examine priorities and success criteria needed for the team
	1.4 Produce a work plan for own area of responsibility
2 Be able to allocate and agree responsibilities with team members	2.1 Identify team members' responsibilities for identified work activities
	2.2 Agree responsibilities and SMART (Specific, Measurable, Achievable, Realistic and Time-bound) objectives with team members
3 Be able to monitor the progress and quality of work in own area of responsibility and provide feedback	3.1 Identify ways to monitor progress and quality of work
	3.2 Monitor and evaluate progress against agreed standards and provide feedback to team members

| 4 Be able to review and amend plans of work for own area of responsibility and communicate changes | 4.1 Review and amend work plan where changes are needed |
| | 4.2 Communicate changes to team members |

Section Four

Centre Information

4.1 Centre Operations Manual

Information regarding centre support, learner registration, certification, reasonable adjustments and special consideration, complaints and appeals can be found in the [Centre Operations Manual](#).

4.2 Initial Assessment and Centre Learner Support

It is important that centres carry out an initial assessment to identify what knowledge and degree of skills the learner already has, and to identify if any support or reasonable adjustments will be required to enable them to be assessed fairly. This should include an assessment of minimum core personal skills in English, Mathematics and ICT.

This should be recorded so that centres can identify any associated needs and record this in appropriate plans. This will help in planning the learning programme. It is important at the initial assessment stage to ensure that learners commence a programme at the appropriate level.

Centres should assess each learner's potential and make a professional judgement about his/her ability to successfully complete the programme of study and achieve the qualification.

This assessment will need to take account of:

- the support available to the learner within the centre during his/her programme of study
- any specific support that might be necessary to allow the learner to access the assessment for the qualification
- diagnoses of the requirements of the learner, making use of specialist advice from external sources, as appropriate

Centres should identify any learner requirements and how they may affect successful completion of the particular programme. Programme teams should refer closely to the qualification specifications when discussing possible options for learners. They should advise learners on the appropriateness of the qualification to the learner and identify more suitable qualifications if necessary.

It is our intention that there should be no discrimination on the grounds of a protected characteristic. FutureQuals and approved centres have a responsibility to ensure that the process of assessment is robust and fair and allows a learner to show what they know and can do without compromising the assessment criteria.

Details on how to make adjustments for learners to ensure fair access to assessment is set out in the FutureQuals Reasonable Adjustment and Special Considerations Policy.

4.3 Identification Requirements and Learner Authenticity

Identification Requirements

It is a centre's responsibility to confirm the identity of a learner as part of its registration process. A centre may do this by requesting sufficient personal data and a unique learner number (ULN) to ensure the learner can be clearly and uniquely identified.

The use of a ULN is now a mandatory requirement for publicly funded education and when submitting Individualised Learner Record (ILR) returns.

Centres must have systems in place to ensure that an individual completing an assessment is the person he/she is claiming to be.

Therefore, centres are required to ensure that each learner's identification is checked and that the type of identification provided by each learner is recorded before assessments are undertaken. FutureQuals External Quality Assurers will check this record during quality assurance monitoring activities.

The following would be permitted proof of a learner's Identity:

- a valid passport (any nationality)
- a signed UK photo card driving licence
- valid warrant card issued by HM Forces or the Police
- other photographic ID card, e.g. employee ID card (must be current employer), student ID card, travel card
- UK biometric residence permit

If an assessment is taking place in a learner's place of work and a learner is unable to supply any of the above, authentication of a learner's identity by a third-party representative, for example his/her line manager or a member of his/her workplace Human Resources Team can be accepted.

Learner Authenticity

It is a regulatory requirement that every assessment submission is authenticated as the work of the named learner whether submitted to a centre or to FutureQuals. Therefore, the FutureQuals Evidence Logbook requires that a declaration of authenticity is signed by a learner for each assessment submitted.

By signing the declaration, a learner is acknowledging that if the statement is untrue, an assessment breach has been committed.

If a centre uses electronic systems or e-portfolios, an alternate form of formal declaration of authenticity must be completed with each assessment that is submitted.

If a centre uses its own version of the FutureQuals Evidence Logbook it must ensure that the version used captures the same information i.e. the assessment method, evidence reference, the assessor's

decision (including the signature and date to evidence completion assessment) and the learner's declaration of authenticity.

Any submission that does not carry a formal declaration of authenticity will not be externally quality assured. If an alternate formal declaration of authenticity is completed by a learner it must, as a minimum, include the statement:

Statement of confirmation of authenticity

I declare that the work presented for this component is entirely my own work.

The learner must sign and date the declaration.

4.4 Legal Considerations

Learners and centres should be aware of regulations affecting those who deal with children, young people and vulnerable adults in the country the qualification is delivered in.

The Prevent Duty Guidance available from the Home Office makes clear the important role of further education leaders in stopping extremists seeking to radicalise learners on campuses and in supporting learners at risk of extremist influences.

Ofsted has responsibility for monitoring the Prevent Duty in publicly funded further education and skills providers.

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FAQ **LEVEL 4** CERTIFICATE IN
LEADING THE INTERNAL QUALITY ASSURANCE OF
ASSESSMENT PROCESSES AND PRACTICE

FutureQuals®