

Level 4 Certificate in Leading the Internal Quality Assurance of Assessment Processes and Practice 6317-42

Candidate logbook
501/1680/0



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Version and date	Change details	Section
1.1 January 2017	Unit end date removed Contact details updated	Unit 403 Useful Contacts

1 About your candidate logbook

1.1 Contact details

Candidate name	
Candidate registration no	
Centre name	
Centre number	
Programme start date	
Date of registration with City & Guilds	

Keep a record of relevant contact details in the space provided below. You may find it helpful to make a note of phone numbers and e-mail addresses here.

Your Assessor(s)	
Your Internal Quality Assurer	
Quality Assurance Contact	

1 About your candidate logbook

1.2 Introduction to the logbook

This logbook will help you complete the units in City & Guilds' **Level 4 Certificate in Leading the Internal** Quality Assurance of Assessment Processes and Practice 6317-42 it contains forms you can use to record your evidence of what you have done.

There are three Level 4 units in this qualification.

Your centre will decide exactly how you will achieve the qualification. The programme may include: induction, initial assessment, training support and on going assessment.

About City & Guilds

City & Guilds is your awarding body for this qualification. City & Guilds is the UK's leading awarding body for vocational qualifications.

Information about City & Guilds and our qualifications is available on our website **www.cityandguilds.com**.

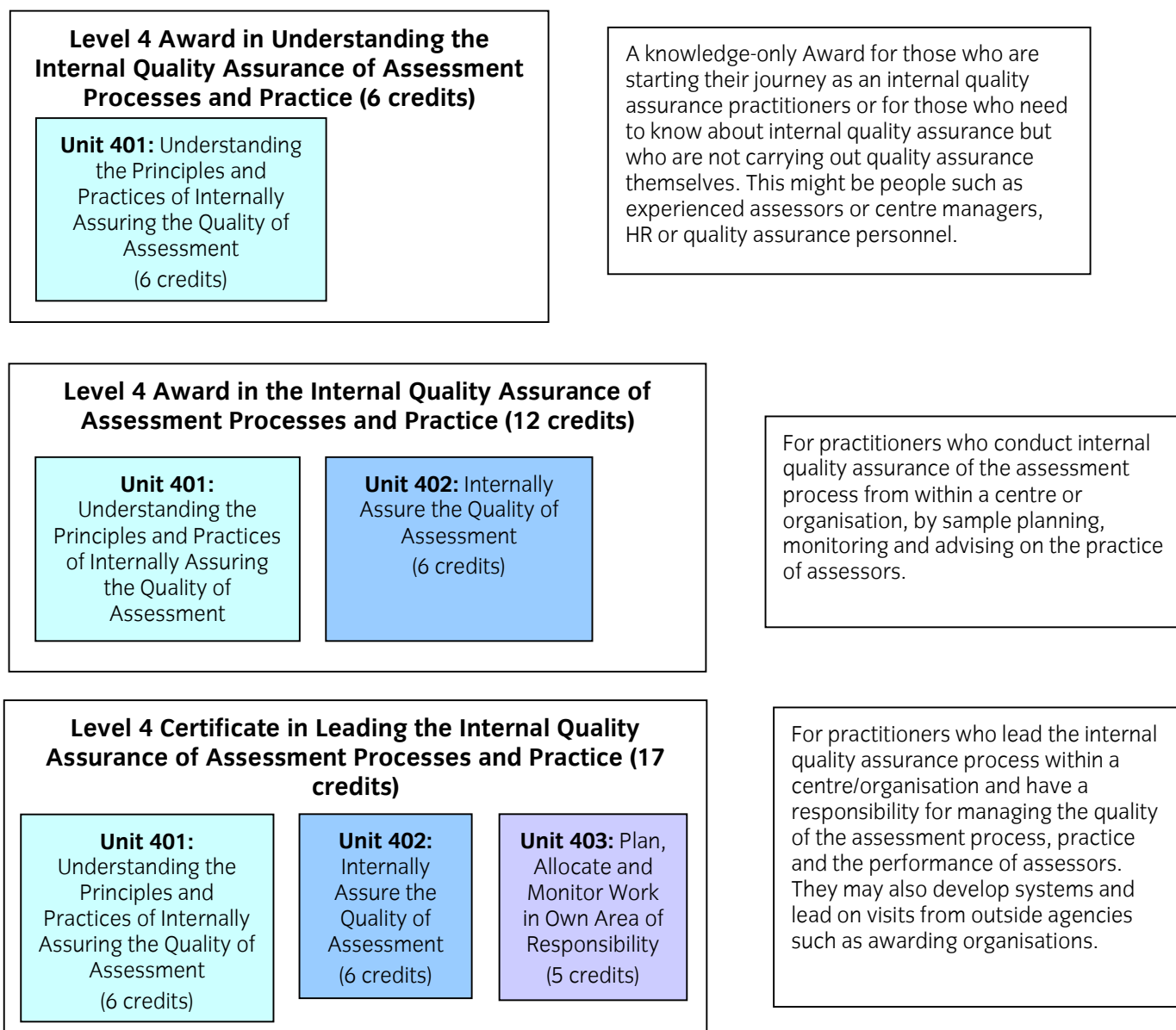
2 The IQA Units

To achieve the **Level 4 Certificate in Leading the Internal Quality Assurance of Assessment Processes and Practice 6317-42**, Candidates must complete Units **401**, **402** and **403** and so achieve the required **17** credits.

City & Guilds unit	Unit title	GLH	Credit value
401	Understanding the principles and practices of internally assuring the quality of assessment	45	6 credits
402	Internally assure the quality of assessment	45	6 credits
403	Plan, allocate and monitor work in own area of responsibility	25	5 credits

The structure of the qualifications in IQA are:

The Level 4 qualifications for Quality Assurance



3 The assessment process

Candidate role and responsibilities

Your responsibilities as a City & Guilds candidate are to

- provide your centre with your personal details so you can be registered with City & Guilds
- participate in an initial assessment and induction
- agree a personal assessment plan with your assessor
- complete any training or learning activities set by your assessor/tutor
- collect and organise your work as agreed in your assessment plan
- maintain regular contact with your assessor to discuss your progress and to amend your plan when required
- meet with other centre and City & Guilds staff to talk about your qualification if requested
- make sure you understand and comply with relevant law and regulations such as Health & Safety at Work, Equality, Data Protection etc.

Your centre **may** ask you to agree and sign a learning contract with them to show how you will be assessed for your qualification

Candidate registration number

Make sure you keep a note of your unique City & Guilds registration number on the front page of this logbook.

You will need this number again if you take any other City & Guilds Qualifications – or add further units in the future. Using the same registration number helps City & Guilds keep a record of every unit and qualification you complete.

Moving to a new centre

If you change jobs or move to a new centre before you complete your qualification, you may be able to complete it at a new centre. Ask your centre to apply for any certificates of unit credit for you before you leave, and add them to your qualification records.

A new centre will need your candidate registration number, your assessment records and evidence to help you complete your qualification.

The Centre Team

The following people at your centre will explain exactly how the assessment process will work and help you achieve your unit.

The assessor/tutor

The assessor/tutor is the person you will have the most contact with as you work towards your unit. You may have more than one assessor/tutor. They will explain how the units will be delivered and tell you exactly what you need to do. They will:

1. Guide your learning,
2. Plan with you and prepare you for assessment
3. Carry out assessments of your work
4. Make assessment decisions
5. Give you feedback
6. Record the outcome

Irrespective of how the unit is delivered, your work will be assessed using a range of the following:

- Observation by your assessor
- Products of your IQA work
- Written statements
- Written answers to questions
- Verbal statements
- Verbal answers to questions
- Discussions between you and your assessor
- Witness statements
- Assignments
- Projects

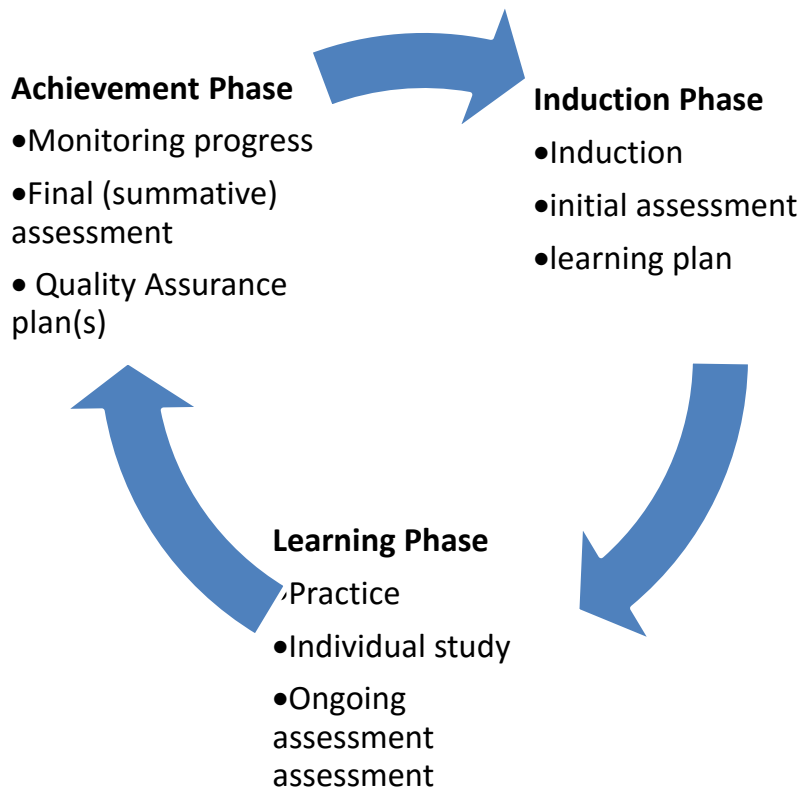
The internal quality assurer (IQA)

The internal quality assurer maintains the quality of assessment within the centre. They monitor the work of the tutor/assessors and may ask to see your work as part of their sample.

The external quality assurer (EQA)

The external quality assurer works for City & Guilds and helps to ensure that your centre meets the required standards for quality and assessment. They visit the centre periodically and monitor the work of the IQA and assessors.

This outlines the process that you are likely to experience to achieve your qualification



4 Skillscan

To help identify areas where you may need additional support - and as part of the initial assessment process - please complete these skillscans before you start working on the unit. You and your assessor need to keep a copy of the skillscans once they are complete.

Name	Date
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Unit 401: Understanding the Principles and Practices of Internally Assuring the Quality of Assessment

For each of the statements below mark 'YES' or 'NO' with a tick or cross in the box.

LO1 UNDERSTAND THE CONTEXT AND PRINCIPLES OF INTERNAL QUALITY ASSURANCE

Do you already know:		YES	NO	Notes
1.1	The functions of internal quality assurance in learning and development			
1.2	The key concepts and principles of the internal quality assurance of assessment			
1.3	The roles of practitioners involved in the internal and external quality assurance process			
1.4	The regulations and requirements for internal quality assurance in my own area of practice			

LO2 UNDERSTAND HOW TO PLAN THE INTERNAL QUALITY ASSURANCE OF ASSESSMENT

Do you already know:		YES	NO	Notes
2.1	The importance of planning and preparing internal quality assurance activities			
2.2	The components of an internal quality assurance plan			
2.3	The practical preparations that need to be made for internal quality assurance			

LO3 UNDERSTAND THE TECHNIQUES AND CRITERIA FOR MONITORING THE QUALITY OF ASSESSMENT INTERNALLY

Do you already know:		YES	NO	Notes
3.1	Different techniques for sampling evidence of assessment including the use of technology			
3.2	The appropriate criteria to use for judging the quality of the assessment process			

LO4 UNDERSTAND HOW TO INTERNALLY MAINTAIN AND IMPROVE THE QUALITY OF ASSESSMENT

Do you already know:		YES	NO	Notes
4.1	The types of feedback, support and advice that assessors may need to maintain and improve the quality of assessment			
4.2	The standardisation requirements in relation to assessment			
4.3	Relevant procedures regarding disputes about the quality of assessment			

LO5 UNDERSTAND HOW TO MANAGE INFORMATION RELEVANT TO THE INTERNAL QUALITY ASSURANCE OF ASSESSMENT

Do you already know:		YES	NO	Notes
5.1	The requirements for information management, data protection and confidentiality in relation to the internal quality assurance of assessment			

LO6 UNDERSTAND THE LEGAL AND GOOD PRACTICE REQUIREMENTS FOR THE INTERNAL QUALITY ASSURANCE OF ASSESSMENT

Do you already know:		YES	NO	Notes
6.1	Legal issues, policies and procedures relevant to the internal quality assurance of assessment, including those for health, safety and welfare			
6.2	Different ways in which technology can contribute to the internal quality assurance of assessment			
6.3	The value of reflective practice and continuing professional development in relation to internal quality assurance			
6.4	Requirements for equality and diversity and, where appropriate, bilingualism, in relation to the internal quality assurance of assessment			

Name	Date
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Unit 402: Internally Assure the Quality of Assessment

For each of the statements below indicate whether you carry out the activities listed: often (O), sometimes (S) or never (N). Jot down some possible evidence you could use.

LO1 BE ABLE TO PLAN THE INTERNAL QUALITY ASSURANCE (IQA) OF ASSESSMENT

Are you already involved in:		O	S	N	Possible evidence/difficulties
1.1	Planning monitoring activities according to the requirements of your IQA role				
1.2	Making arrangements for internal monitoring activities to assure quality				

LO2 BE ABLE TO INTERNALLY EVALUATE THE QUALITY OF ASSESSMENT

Are you already involved in:		O	S	N	Possible evidence/difficulties
2.1	Carrying out internal monitoring activities to quality requirements				
2.2	Evaluating assessor expertise and competence in relation to the requirements of their role				
2.3	Evaluating the planning and preparation of assessment processes				
2.4	Determining whether assessment methods are safe, fair, valid and reliable				
2.5	Determining whether assessment decisions are made using the specified criteria				
2.6	Comparing assessor decisions to ensure they are consistent				

LO3 BE ABLE TO INTERNALLY MAINTAIN AND IMPROVE THE QUALITY OF ASSESSMENT

Are you already involved in:		O	S	N	Possible evidence/difficulties
3.1	Providing assessors with feedback, advice and support, including professional development opportunities, which help them to maintain and improve the quality of assessment				
3.2	Applying procedures to standardise assessment practices and outcomes				

LO4 BE ABLE TO MANAGE INFORMATION RELEVANT TO THE INTERNAL QUALITY ASSURANCE OF ASSESSMENT

Are you already involved in:		O	S	N	Possible evidence/difficulties
4.1	Applying procedures for recording, storing and reporting information relating to internal quality assurance				
4.2	Following procedures to maintain confidentiality of internal quality assurance information				

LO5 BE ABLE TO MAINTAIN LEGAL AND GOOD PRACTICE REQUIREMENTS WHEN INTERNALLY MONITORING AND MAINTAINING THE QUALITY OF ASSESSMENT

Are you already involved in:		O	S	N	Possible evidence/difficulties
5.1	Applying relevant policies, procedures and legislation in relation to internal quality assurance including those for health, safety and welfare				
5.2	Applying requirements for equality and diversity and where appropriate, bilingualism, in relation to internal quality assurance				
5.3	Critically reflecting on your own practice in internally assuring the quality of assessment				
5.4	Maintaining the currency of your own expertise and competence in internally assuring the quality of assessment				

Feedback and discussion

Candidate IQA signature		Date	
Assessor signature		Date	
Name			Date

Unit 403 Plan, Allocate and monitor work in own area of responsibility

For each of the statements below indicate whether you carry out the activities listed: often (O), sometimes (S) or never (N). Jot down some possible evidence you could use.

LO1 BE ABLE TO PRODUCE A WORK PLAN FOR OWN AREA OF RESPONSIBILITY

Are you already involved in:		O	S	N	Possible evidence/difficulties
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				

LO 2 BE ABLE TO ALLOCATE AND AGREE RESPONSIBILITIES WITH TEAM MEMBERS

Are you already involved in:		O	S	N	Possible evidence/difficulties
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				

LO3 BE ABLE TO MONITOR THE PROGRESS AND QUALITY OF WORK IN OWN AREA OF RESPONSIBILITY AND PROVIDE FEEDBACK

Are you already involved in:		O	S	N	Possible evidence/difficulties
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				

LO4 BE ABLE TO REVIEW AND AMEND PLANS OF WORK FOR OWN AREA OF RESPONSIBILITY AND COMMUNICATE CHANGES

Are you already involved in:		O	S	N	Possible evidence/difficulties
4.1	Review and amend work plan where changes are needed.				
4.2	Communicate changes to team members.				

Feedback and discussion

Candidate IQA signature		Date	
Assessor signature		Date	

The IQA Units

Unit 401

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

Title:	Understanding the Principles and Practices of Internally Assuring the Quality of Assessment
Level:	4
Credit value:	6
<p>General Guidance</p> <p>This unit assesses a candidate Internal Quality Assurer’s (IQA) knowledge of the principles and practices of quality assurance in a learning and development context.</p> <p>Evidence for this unit could take the form of:</p> <ul style="list-style-type: none"> • written statements or answers by the candidate Internal Quality Assurer (IQA) • oral statements or answers by the candidate Internal Quality Assurer (IQA) • discussions between the candidate IQA and their own assessor • assignments, or • projects <p>Considerable evidence could be generated for this unit in the form of statements and discussions if the candidate assessor attempts the following unit at the same time as this one:</p> <ul style="list-style-type: none"> • <i>Internally assure the quality of assessment</i> 	

Terminology

Authentic	Being the Candidate’s own work.
Equality	A state of fair treatment that is the right of all the people regardless of differences in, for example, culture, ability, gender race, religion, wealth, sexual orientation, or any other group characteristic
Diversity	Acknowledging that each individual is unique and recognising our individual differences in, for example, culture, ability, gender, race, religion, wealth, sexual orientation, or any other individual characteristic.
Evidence	Evidence of a Candidate’s knowledge, understanding, skill or competence that can be used to make a judgment of their achievement against agreed standards/criteria
Candidate	The person being assessed by the candidate assessor
Reliable	Consistently achieves the same results with different assessors and the same (or similar) group of Candidates.
Requirements	These could be the requirements of the practitioner’s own organisation or those of an external organisation, such as awarding organisation.
Sufficient	Enough evidence as specified in Evidence Requirements or Assessment Strategy.
Valid	Relevant to the standards/criteria against which the candidate is being assessed.
Fair	Ensuring that everyone has an equal chance of getting an objective and accurate assessment.

Learning outcomes <i>The candidate internal quality assurer (IQA) will:</i>	Assessment criteria <i>The candidate internal quality assurer (IQA) can:</i>	Evidence Guidelines <i>The candidate internal quality assurer (IQA) provides evidence that they understand:</i>
<p>1. Understand the context and principles of internal quality assurance</p>	<p>1.1 explain the functions of internal quality assurance in learning and development</p>	<p>The functions of:</p> <ul style="list-style-type: none"> • upholding employer, learner and public credibility and respect for the qualifications being delivered • ensuring quality in all learning delivery and assessment • ensuring assessors comply with the assessment strategy for the qualification they are assessing (if applicable) • ensuring the accuracy and consistency of assessment decisions between assessors operating in a centre • ensuring that assessors are consistent in their interpretation of the standards/outcome and criteria contained within the relevant qualifications • assessing and managing risk • monitoring the quality of training delivery and assessment. • identifying issues and trends • identifying assessor development needs • identifying assessment development opportunities • supporting and ensuring the continuing professional development of assessors
	<p>1.2 explain the key concepts and principles of the internal quality assurance of assessment</p>	<p>The concepts and principles of ensuring:</p> <ul style="list-style-type: none"> • planning • sampling strategies • rationales for sampling • consistency • reliability • supporting assessors • developing assessors

Learning outcomes The candidate internal quality assurer (IQA) will:	Assessment criteria The candidate internal quality assurer (IQA) can:	Evidence Guidelines The candidate internal quality assurer (IQA) provides evidence that they understand:
	1.3 explain the roles of practitioners involved in the internal and external quality assurance process	The roles and responsibilities of each of the following in the quality assurance process: <ul style="list-style-type: none"> • the trainer • expert witness • other witnesses • the assessor • any independent assessor • internal quality assurance staff • external quality assurance staff
	1.4 explain the regulations and requirements for internal quality assurance in own area of practice	The relevant sections of the regulations under which the qualifications fall, for example, the <i>Regulatory Arrangements for the Qualifications and Credit Framework</i> or the <i>NVQ Code of Practice</i> as they apply to the assessment and quality assurance of qualifications.
2. Understand how to plan the internal quality assurance of assessment	2.1 evaluate the importance of planning and preparing internal quality assurance activities	A clear explanation of the benefits of planning internal quality assurance and the risks to accuracy, validity, fairness and consistency in assessment practice if planning does not take place. Holistic assessment opportunities If the candidate IQA is also attempting the following unit: <ul style="list-style-type: none"> • <i>Internally assure the quality of assessment</i> evidence for the above could come from a discussion with the candidate IQA about how they have planned and prepared internal quality assurance processes.
	2.2 explain what an internal quality assurance plan should contain	Required timeframes and arrangements for: <ul style="list-style-type: none"> • assessment of risk • interim sampling of assessment decisions • summative sampling of assessment decisions • monitoring assessment practice • standardising assessment decisions • supporting assessors That planned sampling needs to take account of different types of: <ul style="list-style-type: none"> • candidates • assessors • assessment methods • evidence/elements • records • assessment sites

Learning outcomes The candidate internal quality assurer (IQA) will:	Assessment criteria The candidate internal quality assurer (IQA) can:	Evidence Guidelines The candidate internal quality assurer (IQA) provides evidence that they understand:
		<p><i>Holistic assessment opportunities</i></p> <p>If the candidate IQA is also attempting the following unit:</p> <ul style="list-style-type: none"> • <i>Internally assure the quality of assessment</i> <p>evidence for the above could come from the internal quality assurance plan that the candidate IQA has produced.</p>
	<p>2.3 summarise the preparations that need to be made for internal quality assurance, including:</p> <ul style="list-style-type: none"> • information collection • communications • administrative arrangements • resources 	<p>Explanation of the practical arrangements that internal quality assurance staff need to carry out in order to put the quality assurance plan into practice to meet the guidelines in 2.2 above</p> <hr/> <p><i>Holistic assessment opportunities</i></p> <p>If the candidate IQA is also attempting the following unit:</p> <ul style="list-style-type: none"> • <i>Internally assure the quality of assessment</i> <p>evidence for the above could come from the internal quality assurance preparations that the candidate IQA has produced.</p>

Learning outcomes The candidate internal quality assurer (IQA) will:	Assessment criteria The candidate internal quality assurer (IQA) can:	Evidence Guidelines The candidate internal quality assurer (IQA) provides evidence that they understand:
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	<p>The benefits, requirements and differences between interim and summative sampling</p> <p>The varying uses of different types of sampling:</p> <ul style="list-style-type: none"> • Vertical (sampling one unit or learning outcome across assessors or sites etc) • Horizontal (sampling something of all units or learning outcomes over a period of time) • Theme-based (sampling related to a particular activity) <p>Benefits of different sampling techniques such as:</p> <ol style="list-style-type: none"> 1. Observations of assessors 2. Discussions with candidates 3. Discussions with witnesses 4. Sampling products 5. Sampling assessor records <p>Sampling strategies to ensure reliability</p> <p>Different approaches to sampling according to factors including:</p> <ul style="list-style-type: none"> • the types of assessment methods and evidence available • experience, workload and location of assessors involved • levels of complexity • level of experience and maturity of centre • 'problem' units • number of assessment sites • numbers of learners • types of records • availability of observation of assessors <p>Use of information technology to store and sample evidence and assessment records</p>
		<p><i>Holistic assessment opportunities</i></p> <p>If the candidate IQA is also attempting the following unit:</p> <ul style="list-style-type: none"> • <i>Internally assure the quality of assessment</i> <p>evidence for the above could come from a discussion with the candidate IQA about how they have planned and prepared internal quality assurance processes.</p>

Learning outcomes The candidate internal quality assurer (IQA) will:	Assessment criteria The candidate internal quality assurer (IQA) can:	Evidence Guidelines The candidate internal quality assurer (IQA) provides evidence that they understand:
	3.2 explain the appropriate criteria to use for judging the quality of the assessment process	<p>How and why to select different assessment methods to check for:</p> <ul style="list-style-type: none"> • validity • authenticity • sufficiency • currency of evidence • accuracy of assessment decisions • consistency of assessment decisions • assessor record keeping <hr/> <p><i>Holistic assessment opportunities</i> If the candidate IQA is also attempting the following unit:</p> <ul style="list-style-type: none"> • <i>Internally assure the quality of assessment</i> <p>evidence for the above could come from a discussion with the candidate IQA about how they have planned and prepared internal quality assurance processes.</p>
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	<p>That feedback should be:</p> <ul style="list-style-type: none"> • aimed at assessors and not learners • clear – leaving no ambiguity • based on facts • honest – identifying both the strengths and weaknesses of the assessors practice • specific and detailed • directly stating what is good practice and/or what needs to be changed • positive and constructive – focusing on how assessment practice can improve • helpful and supportive – pointing the assessor to useful resources and documents • strategic – seeking to improve the assessor’s performance over the long term <hr/> <p><i>Holistic assessment opportunities</i> If the candidate IQA is also attempting the following unit:</p> <ul style="list-style-type: none"> • <i>Internally assure the quality of assessment</i> <p>some evidence for the above could come from a discussion with the candidate IQA about how they provided feedback and support.</p>

Learning outcomes The candidate internal quality assurer (IQA) will:	Assessment criteria The candidate internal quality assurer (IQA) can:	Evidence Guidelines The candidate internal quality assurer (IQA) provides evidence that they understand:
	4.2 explain standardisation requirements in relation to assessment	<p>The importance of standardisation and the role it plays in quality assurance</p> <p>The centre and awarding organisation's procedures for standardisation and how the internal quality assurance process should manage this.</p> <hr/> <p><i>Holistic assessment opportunities</i></p> <p>If the candidate IQA is also attempting the following unit:</p> <ul style="list-style-type: none"> • <i>Internally assure the quality of assessment</i> <p>some evidence for the above could come from a discussion with the candidate IQA about how they and why they have co-ordinated standardization processes.</p>
	4.3 explain relevant procedures regarding disputes about the quality of assessment	<p>The IQA role in disputes</p> <p>The centre and awarding organisation's appeals procedures and the role of quality assurance in the appeals procedures.</p>
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	<p>The importance of record keeping in the assessment and quality assurance process and the safe and secure storage of records.</p> <p>The relevant requirements on the quality assurance process in the centre for record keeping and management – including what information must be recorded.</p> <p>The requirements of the quality assurance process for data protection and the rules governing confidentiality, for example what information is confidential and who is allowed access to it.</p>
		<p><i>Holistic assessment opportunities</i></p> <p>If the candidate IQA is also attempting the following unit:</p> <ul style="list-style-type: none"> • <i>Internally assure the quality of assessment</i> <p>some evidence for the above could come from a discussion with the candidate IQA about how they have managed information about the assessment and quality assurance process and how they have observed certain requirements.</p>

Learning outcomes The candidate internal quality assurer (IQA) will:	Assessment criteria The candidate internal quality assurer (IQA) can:	Evidence Guidelines The candidate internal quality assurer (IQA) provides evidence that they understand:
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	<p>Legal requirements and the policies and procedures of own organisation and awarding organisation concerning:</p> <ul style="list-style-type: none"> • health and safety, including Candidate emotional welfare • confidentiality • transparency • record keeping • security and safe storage of information • equal opportunities and diversity <hr/> <p><i>Holistic assessment opportunities</i> If the candidate IQA is also attempting the following unit:</p> <ul style="list-style-type: none"> • <i>Internally assure the quality of assessment</i> <p>some evidence for the above could come from a discussion with the candidate IQA about the legal issues and the centre's and awarding organisation's policies and procedures and how they have followed these in their internal quality assurance practice.</p>
	6.2 evaluate different ways in which technology can contribute to the internal quality assurance of assessment	<p>How technology can be used to enhance the assessment and quality assurance process:</p> <ul style="list-style-type: none"> • video evidence of skills/performance • recording of oral evidence • e-portfolios • computer-based/on-line testing • electronic management of records and evidence • virtual standardisation activities • electronic communication e.g. between assessors and learners <hr/> <p><i>Holistic assessment opportunities</i> If the candidate IQA is also attempting the following unit:</p> <ul style="list-style-type: none"> • <i>Internally assure the quality of assessment</i> <p>some evidence for the above could come from a discussion with the candidate IQA about how they have used technology to enhance their internal quality assurance practice.</p>

Learning outcomes The candidate internal quality assurer (IQA) will:	Assessment criteria The candidate internal quality assurer (IQA) can:	Evidence Guidelines The candidate internal quality assurer (IQA) provides evidence that they understand:
	6.3 explain the value of reflective practice and continuing professional development in relation to internal quality assurance	How staff involved in assessment and quality assurance must: <ul style="list-style-type: none"> • ensure their practice is in line with the current NOS in assessment and/or quality assurance • continuously reflect on their practice and ensure it meets legal, organisational and awarding body requirements • learn lessons from their practice, interactions with learners, other assessors and those involved in the quality assurance and standardisation processes and improve what they do • maintain their occupational expertise by keeping up with changes in technology, working practices and standards in their sector • maintain their expertise in assessment and quality assurance by keeping up-to-date with new assessment standards, requirements and methods
		<i>Holistic assessment opportunities</i> If the candidate IQA is also attempting the following unit: <ul style="list-style-type: none"> • <i>Internally assure the quality of assessment</i> some evidence for the above could come from a discussion with the candidate IQA about how they have maintained their own occupational and quality assurance expertise and competence.
	6.4 evaluate requirements for equality and diversity and, where appropriate, bilingualism, in relation to the internal quality assurance of assessment	How legal and best practice requirements may have implications for the assessment and quality assurance process. Particularly in relation to issues of: <ul style="list-style-type: none"> • gender • disability • race/culture/religion • language <i>Holistic assessment opportunities</i> If the candidate IQA is also attempting the following unit: <ul style="list-style-type: none"> • <i>Internally assure the quality of assessment</i> some evidence for the above could come from a discussion with the candidate IQA about how they took account of equality and diversity issues and – where appropriate bilingualism – in their internal quality assurance work.

Unit 402

Internally Assure the Quality of Assessment

Title:	Internally Assure the Quality of Assessment
Level:	4
Credit value:	6
<p>General Guidance</p> <p>This unit assesses a candidate 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 candidate IQA monitoring and quality assuring the work of two assessors, each with a minimum of two candidates of their own through components of a qualification.</p> <p>Evidence from this unit – in the form of statements and discussions – can be used as evidence for the following unit:</p> <p><i>401: Understanding the principles and practices of internally assuring the quality of assessment</i></p>	

Terminology

Authentic	<i>Being the Candidate's own work.</i>
Equality	<i>A state of fair treatment that is the right of all the people regardless of differences in, for example, culture, ability, gender race, religion, wealth, sexual orientation, or any other group characteristic</i>
Diversity	<i>Acknowledging that each individual is unique and recognising our individual differences in, for example, culture, ability, gender, race, religion, wealth, sexual orientation, or any other individual characteristic.</i>
Evidence	<i>Evidence of a Candidate's knowledge, understanding, skill or competence that can be used to make a judgment of their achievement against agreed standards/criteria</i>
Candidate	<i>The person being assessed by the candidate assessor</i>
Reliable	<i>Consistently achieves the same results with different assessors and the same (or similar) group of learners.</i>
Requirements	<i>These could be the requirements of the practitioner's own organisation or those of an external organisation, such as awarding organisation.</i>
Sufficient	<i>Enough evidence as specified in Evidence Requirements or Assessment Strategy.</i>
Valid	<i>Relevant to the standards/criteria against which the candidate is being assessed.</i>
Fair	<i>Ensuring that everyone has an equal chance of getting an objective and accurate assessment.</i>

Unit 402

Internally Assure the Quality of Assessment

Learning outcomes <i>The candidate internal quality assurer (IQA) will:</i>	Assessment criteria <i>The candidate internal quality assurer (IQA) can:</i>	Evidence <i>The candidate internal quality assurer (IQA) must provide the following:</i>	Best Practice Guide <i>To meet best practice standard the following should apply:</i>
1. Be able to plan the internal quality assurance of assessment	1.1 plan monitoring activities according to the requirements of own role	Products of work showing a plan to monitor the work of two assessors each working with two learners to cover the components of a qualification.	The candidate IQA's plan(s) should include: <ul style="list-style-type: none"> • risk assessment and approach to managing risk • monitoring of documentation, information and other resources provided to the assessors and learners • observation of assessors • sampling assessment plans and candidate induction • discussions with candidates and witnesses • sampling of products • monitoring the quality of assessment decisions • monitoring assessment record keeping and certification claims • evaluating the occupational and assessment competence of assessors • checking the continuing professional development of assessors • taking part in standardisation processes and activities • monitoring learner needs and progress reviews • checking the application of all relevant policies, including those for equality and diversity Planning should show regular activity over the period of assessment and not be targetted towards or at the end of the learning and assessment process. This could be confirmed by witness testimony

Learning outcomes <i>The candidate internal quality assurer (IQA) will:</i>	Assessment criteria <i>The candidate internal quality assurer (IQA) can:</i>	Evidence <i>The candidate internal quality assurer (IQA) must provide the following:</i>	Best Practice Guide <i>To meet best practice standard the following should apply:</i>
	1.2 make arrangements for internal monitoring activities to assure quality	Products of work showing practical arrangements to monitor the work of two assessors each working with two learners to cover the components of a qualification.	The candidate IQA's preparations should include: <ul style="list-style-type: none"> • times and locations for observations and meetings with assessors • opportunities to feedback to assessors • arrangements for discussions with learners and witnesses • arrangements for portfolios and other forms of evidence • arrangements for assessment records • arrangements for information on assessors and learners • arrangements for standardisation activities This could be confirmed by witness testimony
2. Be able to internally evaluate the quality of assessment	2.1 carry out internal monitoring activities to quality requirements	At least one observation supported by products of work showing monitoring of the work of two assessors each working with two learners to cover the components of a qualification.	Observation of the candidate IQA observing and giving feedback to assessor(s) who are carrying out assessment activities with learner(s) The candidate IQA has to demonstrate that all aspects of their monitoring and quality assurance plan has been followed through and that all centre and Awarding Organisation policies, procedures and criteria have been followed.
	2.2 evaluate assessor expertise and competence in relation to the requirements of their role	Products of work, supported by at least one observation, showing how the candidate IQA has checked the expertise and competence of two assessors each working with two learners to cover the components of a qualification.	The candidate IQA should show, through a discussion or statement, what requirements they evaluated assessor expertise and competence against and how they carried out the evaluation.

Learning outcomes <i>The candidate internal quality assurer (IQA) will:</i>	Assessment criteria <i>The candidate internal quality assurer (IQA) can:</i>	Evidence <i>The candidate internal quality assurer (IQA) must provide the following:</i>	Best Practice Guide <i>To meet best practice standard the following should apply:</i>
	2.3 evaluate the planning and preparation of assessment processes	Products of work showing how the candidate IQA has evaluated the planning and preparation of assessments by two assessors each working with two learners to cover the components of a qualification.	The candidate IQA should show, through a discussion or statement, what they were looking for in their assessors' planning and preparation and how they determined whether planning and preparation were appropriate.
	2.4 determine whether assessment methods are safe, fair, valid and reliable	Products of work, supported by at least one observation, and discussions showing how the candidate IQA has checked the assessment methods used by two assessors each working with two learners to cover the components of a qualification.	Observation of the candidate IQA giving feedback to assessor(s) carrying out assessment activities with learner(s) The candidate IQA should show, through a discussion or statement, how they checked the safety, fairness, validity and reliability of the assessment methods used by their assessors.
	2.5 determine whether assessment decisions are made using the specified criteria	Products of work supported by at least one observation and discussions showing how the candidate IQA has checked the assessment decisions by two assessors each working with two learners to cover the components of a qualification.	Observation of the candidate IQA giving feedback to assessor(s) carrying out assessment activities with learner(s) The candidate IQA should demonstrate through discussion how they evaluated the assessment decisions made by their assessors and determined whether or not they met agreed criteria for the learners' qualification.
	2.6 compare assessor decisions to ensure they are consistent	Products of work supported by discussions showing how the candidate IQA has checked the assessment decisions by two assessors each working with two learners to cover the components of a qualification.	The candidate IQA should demonstrate through discussion how they compared assessment decisions made by the same assessor across different learners to ensure that they were operating in a consistent manner. They should also demonstrate how they have compared the assessment decisions of a number of assessors to ensure consistency between them.

Learning outcomes <i>The candidate internal quality assurer (IQA) will:</i>	Assessment criteria <i>The candidate internal quality assurer (IQA) can:</i>	Evidence <i>The candidate internal quality assurer (IQA) must provide the following:</i>	Best Practice Guide <i>To meet best practice standard the following should apply:</i>
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	Products of work in the form of records of meetings between the candidate IQA and both assessors, supported by an observation of feedback sessions with different assessors.	Observation of the candidate IQA giving feedback and guidance to assessor(s) Records of meetings and observations should show that the candidate IQA: <ul style="list-style-type: none"> • specifies the evidence used, assessments carried out and records made by the assessors • is specific about strengths and weaknesses in terms of the quality of planning, evidence, observations, assessment decisions and records • provides constructive criticism which praises the strengths and is honest and clear about areas where changes of practice are required • provides specific advice on how the assessment practice could be developed and improved further • highlights opportunities for continuing professional development for the assessors If the candidate IQA does not identify specific areas for change or development in the assessors' practice, they will demonstrate through discussion what types of assessment practice issues they might encounter and what forms of feedback, advice and support they would provide, including CPD opportunities.

Learning outcomes <i>The candidate internal quality assurer (IQA) will:</i>	Assessment criteria <i>The candidate internal quality assurer (IQA) can:</i>	Evidence <i>The candidate internal quality assurer (IQA) must provide the following:</i>	Best Practice Guide <i>To meet best practice standard the following should apply:</i>
	3.2 apply procedures to standardise assessment practices and outcomes	Products of work in the form of meeting records showing the candidate IQA has taken part in standardisation processes within the centre on at least two occasions.	Products of work should demonstrate that the candidate IQA has participated in standardisation processes and activities within the centre and has worked with assessors (and other IQAs if applicable) to achieve a common interpretation of criteria, standardised assessment decisions and identified areas for improvement. This could be confirmed by witness testimony
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	There must be evidence through products of work in the form of records appropriately stored by the candidate IQA and reports they have produced.	Records must be completed according to centre and awarding organisation requirements. These must be stored in a way that meets awarding organisation and centre requirements. This could be confirmed by witness testimony. The candidate IQA must produce at least one report (for their line manager/organisation) outlining and reporting back on their monitoring and other QA activities.
	4.2 follow procedures to maintain confidentiality of internal quality assurance information	Products of work and discussion.	Records and reports must be securely stored, enabling access to authorised personnel only. There should also be a discussion with the candidate IQA or a statement from them outlining the confidentiality requirements and how they go about maintaining these. This could also be confirmed by witness testimony
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	Records of observations of assessment practice, products of work and discussion.	All observations and products of work must confirm that the candidate IQA has followed all relevant centre and awarding organisation policies and procedures and any appropriate legislation. This should include health and safety. This evidence should be supported by a discussion or statement from the candidate IQA about the key policies, procedures and areas of legislation that they should follow and an explanation as to how they do this. This could be confirmed by witness testimony

Learning outcomes <i>The candidate internal quality assurer (IQA) will:</i>	Assessment criteria <i>The candidate internal quality assurer (IQA) can:</i>	Evidence <i>The candidate internal quality assurer (IQA) must provide the following:</i>	Best Practice Guide <i>To meet best practice standard the following should apply:</i>
	5.2 apply requirements for equality and diversity and, where appropriate, bilingualism, in relation to internal quality assurance	Records of observations of assessment practice ,products of work supported by discussion or statement	All observations and products of work must confirm that the candidate IQA has followed all relevant centre and awarding organisation policies and procedures and any appropriate legislation in regard to equality and diversity. This evidence should be supported by a discussion or statement from the candidate IQA about equality and diversity in the assessment and QA process and what constitutes good practice in regard to these. This could be confirmed by witness testimony
	5.3 critically reflect on own practice in internally assuring the quality of assessment	Discussion or statement	There should be an explanation by the candidate IQA – either through a discussion or statement – as to how they will continue to reflect on their practice and plan and take part in continuing professional development in respect of both their occupational expertise in the sector and their competence in assessment and quality assurance.
	5.4 maintain the currency of own expertise and competence in internally assuring the quality of assessment	Documentation outlining actions taken to maintain own CPD and competence	CPD records, attendance records, certificates showing how candidate IQA has maintained currency of expertise and competence.

Unit 403

Plan, Allocate and Monitor Work in Own Area of Responsibility

Title:	Plan, allocate and monitor work in own area of responsibility	
Level:	4	
Credit value:	5	
Learning outcomes	Assessment criteria	
The learner will:	The learner can:	
1. Be able to produce a work plan for own area of responsibility.	1.1 Explain the context in which work is to be undertaken. 1.2 Identify the skills base and the resources available. 1.3 Examine priorities and success criteria needed for the team. 1.4 Produce a work plan for own area of responsibility.	
2. Be able to allocate and agree responsibilities with team members.	2.1 Identify team members' responsibilities for identified work activities. 2.2 Agree responsibilities and SMART (Specific, Measurable, Achievable, Realistic and Time-bound) objectives with team members.	
3. Be able to monitor the progress and quality of work in own area of responsibility and provide feedback.	3.1 Identify ways to monitor progress and quality of work. 3.2 Monitor and evaluate progress against agreed standards and provide feedback to team members.	
4. Be able to review and amend plans of work for own area of responsibility and communicate changes.	4.1 Review and amend work plan where changes are needed. 4.2 Communicate changes to team members.	

Unit 403 Plan, Allocate and Monitor Work in Own Area of Responsibility

Additional information about the unit	
Unit aim(s)	This unit helps learners to plan, allocate and monitor work in own area of responsibility, and make any necessary changes to original work plans.
Details of the relationship between the unit and relevant national occupational standards (if appropriate)	MSC D6 Allocate and monitor the progress and quality of work in your area of responsibility
Details of the relationship between the unit and other standards or curricula (if appropriate)	
Assessment requirements specified by a sector or regulatory body (if appropriate)	
Endorsement of the unit by a sector or other appropriate body (if required)	Management Standards Centre
Location of the unit within the subject/sector classification system	15.3
Name of the organisation submitting the unit	LLUK
Availability for use	Shared
Guided Learning Hours	25

5 Recording forms

This logbook contains all of the forms you and your assessor will need to plan, review and organise your work. Your assessor will be able to help you decide which forms you need to complete and help you fill them in.

Please copy these forms as required.

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

Unit 401 Overall Assessment plan

Candidate		Unit	
Assessor		Learning outcomes	
Target date		Achievement date	

Date	Unit 401 Action Agreed	By when	Date of Review	Achieved?	Comments
	Complete induction				
	Undertake learning				
	Own research & reading Think about assignment Fill in Reflective journal				
	Contact assessor Online/phone support session Own research & reading Start assignment Fill in Reflective journal				
	Online/phone support session Own research & reading Work on assignment Fill in Reflective journal				
	Submit assignment				
	Online/phone feedback from assessor				

Signatures

Candidate _____

Date _____

Assessor _____

Date _____

Level 4 Certificate in Leading the Internal Quality Assurance of Assessment Processes and Practice
Unit 402 Overall Assessment plan

Candidate		Unit	
Assessor		Learning outcomes	
Target date		Achievement date	

Date	Unit 402 Action Agreed	By when	Date of Review	Achieved?	Comments
	Complete induction				
	Start gathering evidence Fill in Reflective journal				
	Online/phone support session Own research & reading Continue gathering evidence Contact with assessor to monitor progress Fill in Reflective journal				
	Online/phone support session Own research & reading Continue gathering evidence Contact with assessor to monitor progress Fill in Reflective journal				
	Submit unit for assessment				
	Feedback from assessor				
	Further evidence gathering and further assessment if required				

Signatures

Candidate _____

Date _____

Assessor _____

Date _____

**Level 4 Certificate in Leading the Internal Quality Assurance of
Assessment Processes and Practice**
Unit 403 Overall Assessment plan



Candidate		Unit	
Assessor		Learning outcomes	
Target date		Achievement date	

Date	Unit 403 Action Agreed	By when	Date of Review	Achieved?	Comments
	Complete induction				
	Start gathering evidence Fill in Reflective journal				
	Online/phone support session Own research & reading Continue gathering evidence Contact with assessor to monitor progress Fill in Reflective journal				
	Online/phone support session Own research & reading Continue gathering evidence Contact with assessor to monitor progress Fill in Reflective journal				
	Submit unit for assessment				
	Feedback from assessor				
	Further evidence gathering and further assessment if required				

Signatures

Candidate _____

Date _____

Assessor _____

Date _____

REFLECTIVE JOURNAL PAGE



Use this document to record what you have learnt in the process of completing the units. You can present it as part of your portfolio if you wish but it will not form part of the assessment process. Its purpose is to encourage you to consider what you have learnt and to identify how you can progress this further.

Candidate Name.....

The main points from this journal page relate to Unit(s).....

Name of session/activity:	
Date of session/activity:	
Main points I have learnt from this are:	
In relation to this area of IQA practice I need to know more about:	
Candidate signature:	Date:

Internal quality assurer (IQA) declaration: *This section to be left blank if sampling of this unit did not take place.*

I have quality assured the assessment work of this unit in the following ways:

<input type="checkbox"/> Sampling candidate and assessment evidence practice	<input type="checkbox"/> Observation of assessment practice
<input type="checkbox"/> Discussion with candidate	<input type="checkbox"/> Other

I confirm that the candidate's sampled work meets the standards specified for this unit and may be presented for external quality assurance

Name:.....	Signature:.....
Date:.....	
<input type="checkbox"/> not sampled	

Candidate name	<input type="text"/>
Assessor name:	<input type="text"/>

Element ref:	Areas discussed::
<input type="text"/>	<input type="text"/>

I have questioned the above candidate as indicated and the responses recorded and my assessment of them is as stated.

Assessor signature:	<input type="text"/>	Date	<input type="text"/>
Candidate signature:	<input type="text"/>	Date:	<input type="text"/>

On going Assessment Plan & Record



Your assessor/tutor will complete one of these forms every time they review your progress and you agree action. You need to keep the copies safe and be prepared to present them with your work

Assessor: Candidate:

Assessment Plan / Review of prior Assessment Plan

Review of activity / Feedback

Action points / Assessment Activities Planned for next Session

Signatures

Date, time & venue of next session :

Assessor: Date:

Candidate: Date:

Summary of City & Guilds assessment policies

Health and Safety

All centres have to make sure that they provide a safe and healthy environment for learning, including induction and assessment. City & Guilds external verifiers check this when they visit assessment centres.

Equal Opportunities

Your centre will have an equal opportunities policy. Your centre will explain this to you during your induction, and may give you a copy of the policy.

City & Guilds equal opportunities policy is available from our website www.cityandguilds.com, City & Guilds Customer Support Team or your centre.

Access to assessment

City & Guilds qualifications are open to all candidates, whatever their gender, race, creed, age or special needs. Some candidates may need extra help with their assessment, for example, a person with a visual impairment may need a reader.

If you think you will need alternative assessment arrangements because you have special needs, you should discuss this with your centre during your induction, and record this on your assessment plan. City & Guilds will allow centres to make alternative arrangements for you if you are eligible and if the qualification allows for this. This must be agreed before you start your qualification.

City & Guilds guidance and regulations document *Access to assessment and qualifications* is available on the City & Guilds website www.cityandguilds.com, from the City & Guilds Customer Support Team or your centre.

Complaints and appeals

Centres must have a policy and procedure to deal with any complaints you may have. You may feel you have not been assessed fairly, or may want to appeal against an assessment decision if you do not agree with your assessor.

These procedures will be explained during induction and you will be provided with information about the Quality Assurance Co-ordinator within your centre who is responsible for this.

Most complaints and appeals can be resolved within the centre, but if you follow the centre procedure and are still not satisfied you can complain to City & Guilds.

Our complaints policy is on our website www.cityandguilds.com or is available from the City & Guilds Customer Support Team or your centre.

Useful contacts

UK learners

General qualification information

E: learnersupport@cityandguilds.com

International learners

General qualification information

E: intcg@cityandguilds.com

Centres

Exam entries, Certificates, Registrations/enrolment, Invoices, Missing or late exam materials, Nominal roll reports, Results

E: centresupport@cityandguilds.com

Single subject qualifications

Exam entries, Results, Certification, Missing or late exam materials, Incorrect exam papers, Forms request (BB, results entry), Exam date and time change

E: singlesubjects@cityandguilds.com

International awards

Results, Entries, Enrolments, Invoices, Missing or late exam materials, Nominal roll reports

E: intops@cityandguilds.com

Walled Garden

Re-issue of password or username, Technical problems, Entries, Results, e-assessment, Navigation, User/menu option, Problems

E: walledgarden@cityandguilds.com

Employer

Employer solutions, Mapping, Accreditation, Development Skills, Consultancy

T: +44 (0)121 503 8993

E: business@cityandguilds.com

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