

SPECIFICATION

IAO LEVEL 4 CERTIFICATE IN LEADING THE INTERNAL QUALITY ASSURANCE PROCESSES AND PRACTICE

Qualification number: 601/4414/2

Innovate Awarding is an Ofqual regulated awarding organisation with an innovative and dynamic approach. We develop off-the-shelf, customised and fully bespoke qualifications across a growing number of sectors – all on the Regulated Qualifications Framework (RQF).

Our portfolio is always growing, and we currently have qualifications in the following sectors:

Active Leisure
Business and Management
Childcare
Employability
Retail

Health and Social Care
Hospitality and Catering
IT
Logistics
Education and Training

We currently offer over 100 qualifications and we're continuously developing and diversifying our portfolio. Please visit our website regularly to keep up-to-date www.innovateawarding.org

This document will be updated if there are any changes so it is important to make sure you are working from the most up-to-date version, which is available to download from our website.

This specification also provides details on administration, quality assurance policies and the requirements as well as responsibilities that are associated with the delivery of vocational qualifications.

Innovate Awarding is recognised as an awarding organisation by the following qualifications regulators – Ofqual (England).

If you have any questions regarding qualifications in general, aspects of specific qualifications or our quality assurance policies and procedures, visit our website where a lot more information is available.

If you cannot find what you are looking for on our website, please call or email our customer support team:

Telephone: 0117 314 2800

Email: contactus@innovateawarding.org

“ We work with a wide variety of organisations such as employers, training providers, FE colleges and Sector Skills Councils and develop off-the-shelf, customised and bespoke qualifications. ”

Qualification summary

Qualification Accreditation Number (QAN)	601/4414/2
Qualification review date	30 th June, 2025
Guided Learning Hours (GLH)	Minimum 115 hours
Total Qualification Time (TQT)	170 hours
RQF level	4
Qualification credit value	17 credits
Minimum credits at/above level	17 credits
Assessment requirements	<p>Portfolio of Evidence</p> <p>This qualification is internally assessed and internally quality assured by Centre staff and externally quality assured by Innovate Awarding External Quality Advisors (EQAs).</p>
Aims and objectives of the qualification	<p>The aim of this qualification is to allow learners to develop knowledge and understanding and skills to lead a team of internal quality assurance staff.</p>
Entry guidance	<p>There are no formal entry requirements for this qualification.</p> <p>This qualification is intended for those who lead a team of internal quality assurance staff.</p>
Progression opportunities	<p>Learners who achieve this qualification may wish to obtain an Award in External Quality Assurance of Assessment Processes and Practice. Depending on your role and career aspirations you may wish to obtain other qualifications such as:</p> <ul style="list-style-type: none"> • IAO Level 4 Certificate in Education and Training

Funding

For details on eligibility for government funding please refer to the following websites:

<http://www.education.gov.uk/section96/>

<https://www.gov.uk/government/organisations/skills-funding-agency>

Occupational competence requirements

Tutors, Assessors and Quality Assurance Staff

Required Criteria

All Tutors, Assessors and Quality Assurance Staff must:

- Have a specific qualification equivalent to the qualification or units being taught / assessed or quality assured
- Have relevant industry experience
- Demonstrate active involvement in a process of industry relevant Continued Professional Development during the last two years (this may be discipline/ contextspecific or relevant to tutoring assessing or quality assurance)

Tutors

Tutors must hold or be working towards a teaching qualification. The following are acceptable:

- Level 3 Award, Level 4 Certificate or Level 5 in Education and Training
- Level 3 Award in Preparing to Teach in the Lifelong Learning Sector (PTTLS)
- Level 4 Award in Preparing to Teach in the Lifelong Learning Sector (PTTLS)
- Level 4 Certificate in Teaching in the Lifelong Learning Sector (CTTLS)
- Level 5 Diploma in Teaching in the Lifelong

Learning

- Sector (DTTLS) Relevant predecessor NQF tutor qualifications

Assessors

Assessors must hold or be working towards any of the following:

- Level 3 Award in Assessing Vocationally Related Achievement
- Level 3 Award in Assessing Competence in the Work Environment
- Level 3 Certificate in Assessing Vocational Achievement
- A1 (previously D32, D33) or
- Relevant predecessor NQF assessor qualifications

Assessors holding historical qualifications such as unit A1, unit A2, and/or unit D32, and/or unit D33, are required to demonstrate that they meet the same standards of assessment practice as set out in the Learning and Development National Occupational Standard - Standard 9 Assess Learner Achievement. Suggested evidence that demonstrates this requirement may include CPD records, a Personal Development Plan (PDP) and/or records of work completed.

Internal Quality Assurers

Internal quality assurers must hold or be working towards any of the following:

- Level 4 Award in the Internal Quality Assurance of Assessment Processes and Practice
- Level 4 Certificate in Leading the Internal Quality Assurance of Assessment Processes and Practice
- V1 (previously D34)
- Relevant predecessor NQF internal quality assurance qualifications

Internal verifiers holding historical qualifications such as unit V1 – Conduct internal quality assurance of the assessment process and/or unit D34, are required to demonstrate that they meet the same standards for monitoring assessment processes and decisions as set out in the Learning and Development National Occupational Standard – Standard 11 Internally monitor and maintain the quality of assessment. Suggested evidence that demonstrates this requirement may include CPD records, a Personal Development Plan (PDP) and/or records of work completed.

It is recommended that internal quality assurance staff also hold a relevant assessing qualification as detailed above.

External Quality Assurers

External quality assurers must hold or be working towards any of the following:

- Level 4 Award in the External Quality Assurance of Assessment Processes and Practice
- Level 4 Certificate in Leading the External Quality Assurance of Assessment Processes and Practice
- V2 (previously D35)

External verifiers holding historical qualifications such as unit V2 – Conduct external quality assurance of the assessment process and/or unit D35, are required to demonstrate that they meet the same standards for monitoring assessment processes and decisions as set out in the Learning and Development National Occupational Standard – Standard 12 Externally monitor and maintain the quality of assessment. Suggested evidence that demonstrates this requirement may include CPD records, a Personal Development Plan (PDP) and/or records of work completed.

It is recommended that external quality assurance staff also hold a relevant assessing and internal quality assurance qualifications as detailed above.

All new assessors and quality assurance staff must be given a clear action plan for achieving the appropriate qualification(s) and should be countersigned by an appropriately qualified individual until the qualification(s) are achieved.

Innovate Awarding

When you work with Innovate Awarding, you're working with an awarding organisation that sets itself apart – a dynamic company with a collaborative approach to doing business. We're consultative and innovative...everything that our customers say they want an awarding organisation to be.

We're easy to work with, committed and passionate about exceeding our customers' expectations. We're not tied down by bureaucracy and red tape and can think outside the box and respond quickly to our customers' needs.

We have a Performance Pledge that details guaranteed response times. Copies of these can be found on our website www.innovateawarding.org.

Feedback

Your feedback is very important to us. We're always open to suggestions when it comes to enhancing and improving our services, products and systems. Email us at contactus@innovateawarding.org or call us on 0117 314 2800.

Complaints

If we do get things wrong, we will make every effort to resolve your issues quickly and efficiently. If you'd like to raise a formal complaint, then we recommend you read our Complaints Procedure which can be found on our website.

Fees

Our fees structure is transparent and straightforward. Our fees are published on our website in a clear format with no hidden charges. Unlike other awarding organisations, we do not charge an annual centre fee. Visit our website to compare our fees.

Enquiries and appeals

We recognise that sometimes decisions are made that a centre (or learner) may wish to appeal. We have an Enquiries and Appeals Policy and Process on our website that sets out guidelines on grounds for appeal and the process.

Data Protection

Innovate Awarding takes the protection of data seriously; we have a data protection statement outlining how we and our centres, comply with the current legislation on data protection. This statement can be found on our website.

Equality and Diversity

Innovate Awarding is committed to giving everyone who wants to gain one of our qualifications an equal opportunity of achieving it in line with current UK legislation (Equality Act 2010) and EU directives.

Centres are required, as conditions of approval, to use an equality and diversity policy that works together with ours and that they maintain an effective complaint and appeals process. We expect centres to tell learners how to find and use their own equality and diversity and appeals processes. For information, please visit our website.

Reasonable Adjustment and Special Consideration

All learners must be treated fairly and equally and be given every opportunity to achieve our/the qualifications. A copy of our policy on Reasonable Adjustments and Special Considerations, and application form, can be found on our website.

Malpractice and Maladministration

Innovate Awarding has a responsibility to do everything it can to prevent any malpractice or maladministration from occurring, and where it has already occurred, ensuring action is taken proportionate to the gravity and scope of the occurrence.

A copy of our policy and procedure on Malpractice and Maladministration is available on our website.

Recognition of Prior Learning (RPL)

RPL recognises how the contribution of a learner's previous experience could contribute to a qualification or unit. Innovate Awarding have produced guidance on RPL and this can be found within our Information and Guidance for Centres on our website.

Please note the above is not a comprehensive guide to running IAO qualifications. Once approved centres must adhere to the Centre Agreement and Information and Guidance for Centres.

The Regulated Qualifications Framework (RQF)

What is the RQF?

The Regulated Qualifications Framework (RQF) is an Ofqual regulated system of cataloguing qualifications. Qualifications on the RQF can be found by their size or level. Qualifications at a given level can differ depending on their content and purpose.

All of Innovate Awarding's qualifications are on the RQF.

Qualification Level

The level reflects the challenge or difficulty of the qualification. There are eight levels of qualification from 1 to 8, supported by three "Entry" levels.

Qualification Size

The size of a qualification reflects the estimated total amount of time it would take the average learner to study and be assessed. The size of a qualification is expressed in terms of Total Qualification Time (TQT). The time spent being taught or supervised, rather than studying alone, is the Guided Learning Hours (GLH).

Qualifications can sit at different levels, but require similar amounts of study and assessment. Similarly, qualifications at the same level can take different amounts of time to complete.

Credit values

Every unit and qualification on the RQF has been given a credit value, which denotes the number of credits that will be awarded to each candidate who successfully completes the unit or qualification.

- **1** credit represents **10** notional learning hours

Notional learning hours represent the amount of time a learner is expected to take, on average, to complete the learning outcomes of the unit to the standard required within the assessment criteria. It is important to note that notional learning hours is not the same as guided learning hours (GLH). GLH represents the hours during which a tutor or trainer is present and contributing to the learning process. Notional learning hours represents the hours which are needed to successfully cover all the learning required to achieve the unit, either guided or independently.

RQF terminology

Whilst the evidence outcomes required from RQF and NVQ units are the same, the RQF units use different terminology to the NVQ units. The assessment criteria for NVQ units are 'what you must do' and 'what you must know' whereas the RQF units are all 'the Learner can' or 'the Learner is able to'.

Rules of Combination (RoC)

Every qualification on the RQF is structured through Rules of Combination. Rules of Combination are important because they define the number of credits which need to be achieved and where these credits must come from in order for a Learner to achieve the qualification. Rules of Combination also state what the potential is for Learners who wish to transfer credits between qualifications and awarding bodies.

Assessment strategy

There is no requirement for each unit to be assessed separately. Assessors are advised to adopt a holistic approach and, where possible, to use one activity as evidence for learning outcomes and assessment criteria for both units. For example, a professional discussion for the unit *Internally assure the quality of assessment* might also provide some evidence for the unit *Understanding the principles and practices of internally assuring the quality of assessment*. In the same way, evidence for the unit *Internally assure the quality of assessment* could also be used for the unit *Plan, allocate and monitor work in own area of responsibility*. However, it is essential that evidence for the assessment criteria in each unit is identified individually.

Unit 1- Understanding the principles and practices of internally assuring the quality of assessment (T/601/5320)

The aim of this unit is to assess knowledge and understanding of the principles and practices that underpin the internal quality assurance of assessment.

All learning outcomes in this unit must be assessed using methods appropriate to the assessment of knowledge and understanding.

There must be valid, authentic and sufficient evidence for all the assessment criteria. However, one piece of evidence may be used to meet the requirements of more than one learning outcome or assessment criterion.

Unit 2- Internally assure the quality of assessment (A/601/5321)

The aim of this unit is to assess the IQA candidate's performance in assuring the quality of assessment from within an organisation or assessment centre.

All learning Q. 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.

Remote observation is not acceptable for assessment of IQAs; in other words the assessor and the trainee IQA must be in the same location at the same time when observations are being carried out.

There must be valid, authentic and sufficient evidence for all the assessment criteria. Holistic assessment is encouraged and one piece of evidence may be used to meet the requirements of more than one learning outcome or assessment criterion.

Evidence must come from the IQA candidate's performance in the work environment.

There must be evidence of the IQA candidate monitoring a minimum of two assessors, each with a minimum of two candidates of their own, through components of a qualification.

Unit 3- Plan, allocate and monitor the quality of work in own area of responsibility (H/600/9674)

The aim of this unit is to assess performance when leading the work of a team of IQA staff who are responsible for the internal quality assurance within an organisation or assessment centre.

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.

There must be valid, authentic and sufficient evidence for all the assessment criteria. Holistic assessment is encouraged and once piece of evidence may be used to meet the requirements of more than one learning outcome or assessment criterion.

Evidence must come from performance in the work environment.

Requirements for Assessors

All those who assess these qualifications must:
already hold the qualification they are assessing (or a recognised equivalent) and have successfully assessed learners for other Teaching, Learning or Assessment qualifications (if assessing quality assurance roles, they must have experience as a qualified quality assurance practitioner of carrying out internal or external quality assurance of qualifications for a minimum of two assessors);

have up-to-date working knowledge and experience of best practice in assessment and quality assurance;

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

Requirements for Internal Quality Assurance

All those who are involved with the quality assurance of 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:
 - Level 3 Award in Assessing Competence in the Work Environment; or
 - Level 3 Certificate in Assessing Vocational Achievement; or
 - A1 Assess candidate performance using a range of methods; or
 - D32 Assess candidate performance and D33 Assess candidate using differing sources of evidence;
- hold one of the following internal quality assurance qualifications or their recognised equivalent:
 - Level 4 Award in Internal Quality Assurance of Assessment Processes and Practice; or
 - Level 4 Certificate in Leading the Internal Quality Assurance of Assessment Processes and Practice; or
 - V1 Conduct internal quality assurance of the assessment process; or
 - D34 Internally verify the assessment process; and
- show current evidence of continuing professional development in assessment and quality assurance.

Requirements for External Quality Assurance

All those who externally quality assure these qualifications must:

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

Best practice would suggest that external quality assurance staff should also 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.

Qualification structure

This qualification consists of three mandatory units and the learner must complete them all to gain 17 credits in order to achieve this qualification.

The total Guided Learning Hours (GLH) for this qualification is 115 hours.

The Total Qualification Time (TQT) for this qualification is 170 hours.

Unit Structures

All units are listed below

Mandatory units

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

Title:	T/601/5320 Understanding the principles and practices of internally assuring the quality of assessment
Level:	4
Credit value:	6
GLH:	45
Learning outcomes The learner will:	Assessment criteria The learner can:
1. Understand the context and principles of internal quality assurance	1.1 Explain the functions of internal quality assurance in learning and development 1.2 Explain the key concepts and principles of the internal quality assurance of assessment 1.3 Explain the roles of practitioners involved in the internal and external quality assurance process 1.4 Explain the regulations and requirements for internal quality assurance in own area of practice
2. Understand how to plan the internal quality assurance of assessment	2.1 Evaluate the importance of planning and preparing internal quality assurance activities 2.2 Explain what an internal quality assurance plan should contain 2.3 Summarise the preparations that need to be made for internal quality assurance, including: <ul style="list-style-type: none"> • information collection • communications • administrative arrangements • 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

<p>4. Understand how to internally maintain and improve the quality of assessment</p>	<p>4.1. Summarise the types of feedback, support and advice that assessors may need to maintain and improve the quality of assessment</p> <p>4.2. Explain standardisation requirements in relation to assessment</p> <p>4.3. Explain relevant procedures regarding disputes about the quality of assessment</p>
<p>5. Understand how to manage information relevant to the internal quality assurance of assessment</p>	<p>5.1 Evaluate requirements for information management, data protection and confidentiality in relation to the internal quality assurance of assessment</p>
<p>6. Understand the legal and good practice requirements for the internal quality assurance of assessment</p>	<p>6.1 Evaluate legal issues, policies and procedures relevant to the internal quality assurance of assessment, including those for health, safety and welfare</p> <p>6.2 Evaluate different ways in which technology can contribute to the internal quality assurance of assessment</p> <p>6.3 Explain the value of reflective practice and continuing professional development in relation to internal quality assurance</p> <p>6.4 Evaluate requirements for equality and diversity and, where appropriate, bilingualism, in relation to the internal quality assurance of assessment</p>
<p>Additional information about this unit N/A</p>	
<p>Unit aim (s)</p>	<p>The aim of this unit is to assess the knowledge and understanding a learning and development practitioner requires for the internal quality assurance of assessment.</p>
<p>Assessment requirements specified by a sector or regulatory body (if appropriate)</p>	<p>All learning outcomes in this unit must be assessed using methods appropriate to the assessment of knowledge and understanding.</p> <p>In gathering evidence for these qualifications, an unqualified trainee IQA is not allowed to internally quality assure the work of another unqualified IQA.</p>

Details of the relationship of the unit and relevant national occupational standards	This unit is underpinned by the Learning and Development National Occupational Standards, Standard 11: Internally monitor and maintain the quality of assessment.
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Title:	A/601/5321 Internally assure the quality of assessment
Level:	4
Credit value:	6
GLH:	45
Learning outcomes The learner will:	Assessment criteria 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 outcome
4. Be able to manage information relevant to the internal quality assurance of assessment	4.1. Apply procedures for recording, storing and reporting information relating to internal quality assurance

	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	<p>5.1 Apply relevant policies, procedures and legislation in relation to internal quality assurance, including those for health, safety and welfare</p> <p>5.2 Apply requirements for equality and diversity and, where appropriate, bilingualism, in relation to internal quality assurance</p> <p>5.3 Critically reflect on own practice in internally assuring the quality of assessment</p> <p>5.4 Maintain the currency of own expertise and competence in internally assuring the quality of assessment</p>
Additional information about this unit N/A	
Unit aim(s)	<p>The aim of this unit is to assess the performance of a learning and development practitioner with responsibility for the internal quality assurance of assessment.</p> <p>'Practitioner' means anyone with a learning and development responsibility as part of their role.</p>
Assessment requirements specified by a sector or regulatory body (if appropriate)	<p>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:</p> <ul style="list-style-type: none"> • observation of performance • examining products of work • questioning <p>Direct evidence of this kind may be supplemented, where necessary, by discussion, reflective accounts or witness testimony.</p> <p>Simulations are not allowed</p>
Details of the relationship of the unit and relevant national occupational standards	This unit is underpinned by the Learning and Development

	National Occupational Standards, Standard 11: Internally monitor and maintain the quality of assessment.
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Title:	H/600/9674 Plan, allocate and monitor work in own area of responsibility
Level:	4
Credit value:	5
GLH:	25
Learning outcomes The learner will:	Assessment criteria 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 of 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
Additional information about this unit	
N/A	

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.
Assessment requirements specified by a sector or regulatory body (if appropriate)	<p>All learning outcomes in this unit must be assessed using methods appropriate to the candidate's performance. These must include:</p> <ul style="list-style-type: none"> • observation of performance • examining products of work • questioning. <p>Direct evidence of this kind may be supplemented, where necessary, by professional discussion, reflective accounts or witness testimony.</p> <p>In this suite of qualifications evidence for this unit must come from co-ordinating the work of a team of IQAs (if the candidate is a trainee IQA) or EQAs (if the candidate is a trainee EQA) in the work environment.</p>
Details of the relationship of the unit and relevant national occupational standards	N/A

