



## **ProQual External Quality Assurance Qualifications**

**ProQual Level 4 Award in the External Quality Assurance of  
Assessment Processes and Practice**

**ProQual Level 4 Certificate in Leading the External Quality  
Assurance of Assessment Processes and Practice**

### **Qualification Specifications**

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## Introduction

This suite of qualifications provides nationally recognised qualifications for candidates whose role involves externally quality assuring competence based units or qualifications:

- **ProQual Level 4 Award in the External Quality Assurance of Assessment Processes and Practice**
- **ProQual Level 4 Certificate in Leading the External Quality Assurance of Assessment Processes and Practice**

The awarding organisation for these qualifications is ProQual AB. This qualification is regulated by the Office of Qualifications and Examinations Regulation (Ofqual) and the Council for the Curriculum Examinations and Assessment (CCEA) Regulation. The Regulated Qualifications Framework (RQF) includes those qualifications regulated by Ofqual and CCEA Regulation.

These qualifications have been accredited onto the Regulated Qualifications Framework (RQF). Candidates who achieve the Level 4 Award may progress to the Level 4 Certificate.

## Qualification Aims

These qualifications are aimed at those who maintain the quality of assessment from outside an organisation or assessment centre, usually on behalf of an awarding organisation.

### **Aims:**

- To assess the knowledge and understanding a learning and development practitioner requires for the external quality assurance of assessment.
- To assess the performance of a learning and development practitioner with responsibility for the external quality assurance of assessment – usually an external verifier.
- To plan, allocate and monitor work in own area of responsibility, and make any necessary changes to original work plans.

## Level 4 Award in the External Quality Assurance of Assessment Processes and Practices

Qualification title	<b>ProQual Level 4 Award in the External Quality Assurance of Assessment Processes and Practice</b>
Ofqual qualification number	600/2176/7
Level	Level 4
Guided learning hours	75
Total qualification time	120
Assessment	Pass or fail Internally assessed by centre staff External quality assurance by ProQual
Qualification start date	01/07/11
Qualification end date	

### Entry Requirements

There are no formal entry requirements for this qualification but it is recommended that external quality assurance staff also hold appropriate assessor/internal quality assurance qualifications, such as:

- Level 3 Certificate in Assessing Vocational Achievement, or
- A1 Assessor Award
- Level 4 Award in the 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

Centres should carry out an **initial assessment** of candidate skills and knowledge to identify any gaps and help plan the assessment.

## Qualification Structure

Candidates must complete the two Mandatory units.

Mandatory Units			
Unit Reference Number	Unit Title	Unit Level	GLH
F/601/5322	Understanding the principles and practices of externally assuring the quality of assessment	4	45
J/601/5323	Externally assure the quality of assessment	4	30

## Level 4 Certificate in Leading the External Quality Assurance of Assessment

Qualification title	<b>ProQual Level 4 Certificate in Leading the External Quality Assurance of Assessment</b>
Ofqual qualification number	600/2177/9
Level	Level 4
Guided learning hours	100
Total qualification time	170
Assessment	Pass or fail Internally assessed by centre staff External quality assurance by ProQual
Qualification start date	01/07/11
Qualification end date	

### Entry Requirements

There are no formal entry requirements for this qualification but it is recommended that external quality assurance staff also hold an appropriate assessor/internal quality assurance qualification, such as:

- Level 3 Certificate in Assessing Vocational Achievement, or
- A1 Assessor Award
- Level 4 Award in the 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

Centres should carry out an **initial assessment** of candidate skills and knowledge to identify any gaps and help plan the assessment.

## Qualification Structure

Candidates must complete three Mandatory units.

Mandatory Units				
Unit Reference Number	Unit Title	Unit Level	Credit Value	GLH
F/601/5322	Understanding the principles and practices of externally assuring the quality of assessment	4	6	45
J/601/5323	Externally assure the quality of assessment	4	6	30
H/600/9674	Plan, allocate and monitor work in own area of responsibility	4	5	25

## Recognition of Prior Learning

Candidates may request credit for non-certificated skills, knowledge or understanding that they already possess, to avoid repetition. This is called '**recognition of prior learning**' and is the process to follow if learners can demonstrate they meet the assessment criteria of that particular unit.

## Centre Requirements

Centres must be approved to offer this qualification. If your centre is not approved please complete and submit form **ProQual Additional Qualification Approval Application**.

### Staff

Staff delivering this qualification must be appropriately qualified and/or occupationally competent.

### Assessors/Internal Quality Assurance

For each competence-based unit centres must be able to provide at least one assessor and one internal quality assurance verifier who are suitably qualified for the specific occupational area. Assessors and internal quality assurance verifiers for competence-based units or qualifications will normally need to hold appropriate assessor or verifier qualifications, such as:

- Award in Assessing Competence in the Work Environment
- Award in Assessing Vocationally Related Achievement
- Certificate in Assessing Vocational Achievement
- Award in the Internal Quality Assurance of Assessment Processes and Practices
- Certificate in Leading the Internal Quality Assurance of Assessment Processes and Practices

## Support for Candidates

Materials produced by centres to support candidates should:

- enable them to track their achievements as they progress through the learning outcomes and assessment criteria;
- provide information on where ProQual's policies and procedures can be viewed;
- provide a means of enabling Internal and External Quality Assurance staff to authenticate evidence



## Assessment

This suite of qualifications are competence-based, candidates must demonstrate the level of competence described in the units. The qualifications must be assessed by an appropriately experienced and qualified assessor, and must be internally quality assured by an appropriately experienced and qualified internal quality assurance verifier.

Each candidate is required to produce a portfolio of evidence which demonstrates their achievement of all of the learning outcomes and assessment criteria for each unit.

- Evidence can include:
- observation report by assessor
  - assignments/projects/reports
  - professional discussion
  - witness testimony
  - candidate product
  - worksheets
  - record of oral and written questioning
  - Recognition of Prior Learning

**Learning outcomes** set out what a candidate is expected to know, understand or be able to do.

**Assessment criteria** specify the standard a candidate must meet to show the learning outcome has been achieved.

*Learning outcomes and assessment criteria are included in this document from page 11 onwards.*

## Internal Quality Assurance

An internal quality assurance verifier confirms that assessment decisions made in centres are made by competent and qualified assessors, that they are the result of sound and fair assessment practice and that they are recorded accurately and appropriately.

## Adjustments to Assessment

Adjustments to standard assessment arrangements are made on the individual needs of candidates. ProQual's Reasonable Adjustments Policy and Special Consideration Policy sets out the steps to follow when implementing reasonable adjustments and special considerations and the service that ProQual provides for some of these arrangements.

Centres should contact ProQual for further information or queries about the contents of the policy.

## Results Enquiries and Appeals

All enquiries relating to assessment or other decisions should be dealt with by centres, with reference to ProQual's Enquiries and Appeals Procedures.

## Certification

Candidates who achieve the requirements for qualifications will be awarded:

- A certificate listing all units achieved, and
- A certificate giving the full qualification title -

**ProQual Level 4 Award in the External Quality Assurance of Assessment Processes and Practice**

**ProQual Level 4 Certificate in Leading the External Quality Assurance of Assessment Processes and Practice**

### Claiming certificates

Centres may claim certificates for candidates who have been registered with ProQual and who have successfully achieved the requirements for a qualification. All certificates will be issued to the centre for successful candidates.

### Unit certificates

If a candidate does not achieve all of the units required for a qualification, the centre may claim a unit certificate for the candidate which will list all of the units achieved.

### Replacement certificates

If a replacement certificate is required a request must be made to ProQual in writing. Replacement certificates are labelled as such and are only provided when the claim has been authenticated. Refer to the Fee Schedule for details of charges for replacement certificates.

## Learning Outcomes and Assessment Criteria

### Unit F/601/5322: Understanding the principles and practices of externally assuring the quality of assessment

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

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

Learning Outcomes – the learner will	Assessment Criteria
	<p>1.4 Explain how to adapt external monitoring and evaluation approaches to meet customer needs without compromising quality standards</p>
<p>3. Understand how to externally evaluate the quality of assessment and internal quality assurance</p>	<p>3.1 Explain the procedures for externally monitoring and evaluating internal quality assurance arrangements and practices</p>
	<p>3.2 Interpret the requirements for externally monitoring and evaluating internal assessment arrangements and practices</p>
	<p>3.3 Evaluate different techniques for externally sampling evidence of assessment, including those that use technology</p>
<p>4. Understand how to externally evaluate the quality of assessment and internal quality assurance</p>	<p>4.1 Critically compare the types of feedback, support and advice that internal assessment and quality assurance staff may need to maintain and improve the quality of assessment</p>
	<p>4.2 Evaluate standardisation requirements relevant to the external quality assurance of assessment</p>
	<p>4.3 Explain the importance of providing feedback, support and advice to internal assessment and quality assurance staff that is consistent with standardisation requirements</p>
	<p>4.4 Explain relevant procedures to follow when there are disputes concerning quality assurance and internal assessment</p>

Learning Outcomes – the learner will	Assessment Criteria
5. Understand how to manage information relevant to the external quality assurance	5.1 Evaluate requirements for information management, data protection and confidentiality in relation to the external quality assurance
6. Understand the legal and good practice requirements relating to external quality assurance	6.1 Evaluate legal issues, policies and procedures relevant to the external quality assurance, including those for health, safety and welfare
	6.2 Critically compare different ways in which technology can contribute to the external quality assurance
	6.3 Evaluate requirements for equality and diversity and, where appropriate, bilingualism, in relation to the external quality assurance of assessment
	6.4 Explain the value of reflective practice and continuing professional development in relation to external quality assurance

## Assessment

All learning outcomes in this unit must be assessed using methods appropriate to the assessment of the 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 J/601/5323: Externally assure the quality of assessment

The aim of this unit is to assess performance in assuring the quality of assessment from outside an organisation or assessment centre, usually on behalf of an awarding organisation.

Learning Outcomes – the learner will	Assessment Criteria
1. Be able to plan the external quality assurance of assessment	1.1 Plan procedures for the external quality assurance of assessment
	1.2 Communicate procedures for external quality assurance to the organisations and individuals concerned
	1.3 Ensure arrangements and resources are in place for external monitoring and evaluation
2. Be able to externally evaluate internal quality assurance and assessment	2.1 Carry out monitoring activities to quality requirements
	2.2 Evaluate the quality of internal quality assurance systems
	2.3 Evaluate the quality of internal administrative arrangements
	2.4 Evaluate the quality of internal staffing and internal staff expertise and competence
	2.5 Determine whether assessment arrangements, methods and decisions meet quality requirements
3. Be able to maintain and improve internal quality assurance processes	3.1 Provide staff with feedback, advice and support which help them maintain and improve the quality of assessment

Learning Outcomes – the learner will	Assessment Criteria
	3.2 Apply procedures for the standardisation of assessment practices and outcomes
4. Be able to manage information relevant to the external quality assurance of assessment	4.1 Apply procedures for recording, storing, reporting information relating to external quality assurance
	4.2 Apply procedures to maintain confidentiality of information relating to external quality assurance
5. Be able to maintain legal and good practice requirements when externally monitoring and maintaining the quality of assessment	5.1 Apply policies, procedures and legislation relevant to the external quality assurance of assessment, including those for health, safety and welfare
	5.2 Apply requirements for equality and diversity and, where appropriate, bilingualism, to the external quality assurance of assessment
	5.3 Critically reflect on own practice in externally assuring the quality of assessment
	5.4 Maintain the currency of own expertise and competence as relevant to external quality assurance

## Assessment

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

- observation of performance
- examining products of work
- questioning

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

Simulations are not allowed.

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 assessment criterion.

Evidence must come from performance in the work environment. There must be evidence of carrying out at least two external centre visits, including the preparation for and actions after the actual visit itself.



## Unit H/600/9674: Plan, allocate and monitor work in own area of responsibility

The aim of this unit is to assess performance in leading the work of a team responsible for the external quality assurance of assessment centres.

Learning Outcomes – the learner will	Assessment Criteria
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

Learning Outcomes – the learner will	Assessment Criteria
	4.2 Communicate changes to team members

## Assessment

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

- observation of performance
- examining products of work
- 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 one piece of evidence may be used to meet the requirements of more than one assessment criterion.

Evidence must come from performance in the work environment.



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