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qualifications ■ ■ ■ ■

OTHM LEVEL 4 AWARD IN INTERNAL QUALITY ASSURANCE OF ASSESSMENT PROCESSES AND PRACTICE

Qualification Number: 603/5203/6

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

Qualification Number: 603/5202/4

May 2023

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QUALIFICATION OBJECTIVES

These qualifications are closely aligned with the specifications for Assessment and Quality Assurance of Assessment originally developed by Lifelong Learning UK (LLUK) after consultations with awarding organisations, Sector Skills Councils and learning and development experts. It is also aligned closely with the National Occupational Standards developed by LLUK and enables learners to gain the knowledge, skills and understanding required to achieve competence in Internal Quality Assurance of Assessment practice.

Please note, from March 2013 LLUK was replaced by LSIS, which, later in 2013, was replaced by the Education and Training Foundation (ETF).

OTHM supports the education and learning industry to have sufficiently trained Internal Quality Assurers who hold a recognised qualification that upholds industry standards.

The objective of the Level 4 Internal Quality Assurance of Assessment Processes and Practice qualifications are to develop learners' understanding of theory and practice relating to their quality assurance role in education. It will provide knowledge that underpins the ability to work as an effective quality assurance practitioner. The units combine both theoretical and practical knowledge in the education profession and will develop and enhance knowledge and skills in the areas of effective performance, planning and accountability and development.

Successful completion of these qualifications will enable learners to gain an internal quality assurance role or to develop within that role, and to lead a team of the internal quality assurance practitioners. Learners will also be able to work in a variety of other roles within education administration and/or management.

QUALITY, STANDARDS AND RECOGNITIONS

OTHM Qualifications are approved and regulated by Ofqual (Office of Qualifications and Examinations Regulation). Visit register of Regulated Qualifications.

OTHM has progression arrangements with several UK universities that acknowledges the ability of learners after studying Level 3-7 qualifications to be considered for advanced entry into corresponding degree year/top up and Master's/top-up programmes.

REGULATORY INFORMATION

The Qualification Number (QN) should be used by centres when they wish to register their learners. Each unit within a qualification will also have a unique reference number (Unit code). The qualification and unit reference numbers will appear on learners' final certification documentation. The QN for the qualifications in this publication are:

OTHM Level 4 Award in Internal Quality Assurance of Assessment Processes and Practice	603/5203/6
OTHM Level 4 Certificate in Leading the Internal Quality Assurance of Assessment Processes and Practice	603/5202/4

These qualification titles will appear on learners' certificates. Learners need to be made aware of this when they are recruited by the centre and registered

Regulation Start Date	09-Oct-2019
Operational Start Date	09-Oct-2019
Overall Grading Type	Pass / Fail
Sector Subject Area (SSA)	13.1 Teaching and Lecturing
Assessment Methods	Coursework, Portfolio of Evidence
Language of Study	English

EQUIVALENCES

OTHM qualifications at Level 4 represent practical knowledge, skills, capabilities and competences that are assessed in academic terms as being equivalent level to Higher National Certificates (HNC) and Year 1 of a three-year UK Bachelor's degree programme.

QUALIFICATION STRUCTURE

OTHM Level 4 Award in Internal Quality Assurance of Assessment Processes and Practice

The OTHM Level 4 Award in Leading the Internal Quality Assurance of Assessment Processes and Practice qualification consists of 2 mandatory units for a combined total of 12 credits, 120 hours Total Qualification Time (TQT) and 90 Guided Learning Hours (GLH) for the completed qualification.

Unit Ref. No.	Unit title	Level	Credit	GLH	TQT
D/617/8463	Understanding the Principles and Practices of Internally Assuring the Quality of Assessment	4	6	45	60
H/617/8464	Internally Assure the Quality of Assessment	4	6	45	60
	Total:		12	90	120

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

The OTHM Level 4 Certificate in Leading the Internal Quality Assurance of Assessment Processes and Practice qualification consists of 3 mandatory units for a combined total of 18 credits, 180 hours Total Qualification Time (TQT) and 115 Guided Learning Hours (GLH) for the completed qualification.

Unit Ref. No.	Unit title	Level	Credit	GLH	TQT
D/617/8463	Understanding the Principles and Practices of Internally Assuring the Quality of Assessment	4	6	45	60
H/617/8464	Internally Assure the Quality of Assessment	4	6	45	60
K/617/8465	Plan, allocate and monitor work in own area of responsibility	4	6	25	60
	Total:		18	115	180

DEFINITIONS

Total Qualification Time (TQT) is the number of notional hours which represents an estimate of the total amount of time that could reasonably be expected to be required in order for a Learner to achieve and demonstrate the achievement of the level of attainment necessary for the award of a qualification.

Total Qualification Time is comprised of the following two elements –
a) the number of hours which an awarding organisation has assigned to a qualification for Guided Learning, and
b) an estimate of the number of hours a Learner will reasonably be likely to spend in preparation, study or any other form of participation in education or training, including assessment, which takes place as directed by – but, unlike Guided Learning, not under the Immediate Guidance or Supervision of – a lecturer, supervisor, tutor or other appropriate provider of education or training.

(Ofqual 15/5775 September 2015)

Guided Learning Hours (GLH) is defined as the hours that a teacher, lecturer or other member of staff is available to provide immediate teaching support or supervision to a student working towards a qualification.

Credit value is defined as being the number of credits that may be awarded to a Learner for the successful achievement of the learning outcomes of a unit. One credit is equal to 10 hours of TQT.

ENTRY REQUIREMENTS

OTHM Level 4 qualifications can be offered to learners from age 18. OTHM does not specify entry requirements for these qualifications. OTHM ensures that learners admitted to the programme have sufficient capability at the right level to undertake the learning and assessment criteria.

OTHM Centres must ensure learners are recruited with integrity onto appropriate qualifications that will meet their needs, enable and facilitate learning and achievement enable progression. The qualification is offered in English.

English requirements: If a learner is not from a majority English-speaking country must provide evidence of English language competency. For more information visit the English Language Expectations page.

PROGRESSION

Successful completion of the Internal Quality Assurance of Assessment Processes and Practice qualifications at level 4 provides learners with the opportunity for progressions to relevant qualifications at level 5. For more information visit the University Progressions page.

DELIVERY OF OTHM QUALIFICATIONS

OTHM do not specify the mode of delivery for its qualifications, therefore OTHM Centres are free to deliver this qualification using any mode of delivery that meets the needs of their Learners. However, OTHM Centres should consider the Learners' complete learning experience when designing the delivery of programmes.

OTHM Centres must ensure that the chosen mode of delivery does not unlawfully or unfairly discriminate, whether directly or indirectly, and that equality of opportunity is promoted. Where it is reasonable and practicable to do so, it will take steps to address identified inequalities or barriers that may arise.

Guided Learning Hours (GLH) which are listed in each unit gives the Centres the number of hours of teacher-supervised or direct study time likely to be required to teach that unit.

ASSESSMENT AND VERIFICATION

All units within this qualification are internally assessed by the centre and externally verified by OTHM. The qualifications are criterion referenced, based on the achievement of all the specified learning outcomes.

To achieve a 'pass' for a unit, learners must provide evidence to demonstrate that they have fulfilled all the learning outcomes and meet the standards specified by all assessment criteria. Judgement that the learners have successfully fulfilled the assessment criteria is made by the Assessor.

The Assessor should provide an audit trail showing how the judgement of the learners' overall achievement has been arrived at.

Specific assessment guidance and relevant marking criteria for each unit are made available in the Assignment Brief document. These are made available to centres immediately after registration of one or more learners.

OPPORTUNITIES FOR LEARNERS TO PASS

Centres are responsible for managing learners who have not achieved a Pass for the qualification having completed the assessment. However, OTHM expects at a minimum, that centres must have in place a clear feedback mechanism to learners by which they can effectively retrain the learner in all the areas required before re-assessing the learner.

RECOGNITION OF PRIOR LEARNING AND ACHIEVEMENT

Recognition of Prior Learning (RPL) is a method of assessment that considers whether learners can demonstrate that they can meet the assessment requirements for a unit through knowledge, understanding or skills they already possess and do not need to develop through a course of learning.

RPL policies and procedures have been developed over time, which has led to the use of a number of terms to describe the process. Among the most common are:
- Accreditation of Prior Learning (APL)
- Accreditation of Prior Experiential Learning (APEL)
- Accreditation of Prior Achievement (APA)
- Accreditation of Prior Learning and Achievement (APLA)

All evidence must be evaluated with reference to the stipulated learning outcomes and assessment criteria against the respective unit(s). The assessor must be satisfied that the evidence produced by the learner meets the assessment standard established by the learning outcome and its related assessment criteria at that particular level.

Most often RPL will be used for units. It is not acceptable to claim for an entire qualification through RPL. Where evidence is assessed to be only sufficient to cover one or more learning outcomes, or to partly meet the need of a learning outcome, then additional assessment methods should be used to generate sufficient evidence to be able to award the learning outcome(s) for the whole unit. This may include a combination of units where applicable.

EQUALITY AND DIVERSITY

OTHM provides equality and diversity training to staff and consultants. This makes clear that staff and consultants must comply with the requirements of the Equality Act 2010, and all other related equality and diversity legislation, in relation to our qualifications.

We develop and revise our qualifications to avoid, where possible, any feature that might disadvantage learners because of their age, disability, gender, pregnancy or maternity, race, religion or belief, and sexual orientation.

If a specific qualification requires a feature that might disadvantage a particular group (e.g. a legal requirement regarding health and safety in the workplace), we will clarify this explicitly in the qualification specification.

CONTACT DETAILS

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UNIT SPECIFICATIONS

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

Unit Reference Number	D/617/8463
Unit Title	Understanding the Principles and Practices of Internally Assuring the Quality of Assessment
Unit Level	4
Number of Credits	6
Total Qualification Time (TQT)	60 Hours
Guided Learning Hours (GLH)	45
Mandatory / Optional	Mandatory
Unit Grading Structure	Pass / Fail

Unit Aims

The aim of this unit is to assess the knowledge and understanding a learning and development practitioner requires in order to carry out internal quality assurance of assessments carried out.

Learning Outcomes, Assessment Criteria and Indicative Content

Learning Outcomes The learner will:	Assessment Criteria The learner can:	Indicative content
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	The functions of internal quality assurance in learning and development: monitoring the effectiveness of the assessment and methodologies, measurement of objectives against outcomes, meeting national standards and benchmarking, meeting legislative requirements, identification of areas for development or improvement, highlighting of good practice, supporting standardisation of practice, review and forward planning with assessor involvement, liaison with external quality assurers who are

	practice.	the link to the awarding organisation. Regulations and requirements include information sharing, agreements, confidentiality, data protection, knowledge and understanding requirements, timescales, resource requirements, funding restrictions, required outcomes, monitoring of process, progress and product, requirements of sector standards, awarding organisations.
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. 2.4 Analyse requirements for information management, data protection and confidentiality in relation to internal quality assurance.	Planning the internal quality assurance of assessment: information collection, communications, administrative arrangements, resources. Internal quality assurance of assessment evidence, make decisions based on specified criteria, maintain records according to agreed ways of working, share documentation as required, maintain the confidentiality of information, safe storage.
3. Understand how to internally maintain and improve the quality of assessment.	3.1 Explain the criteria used for judging the quality of the assessment process. 3.2 Summarise the types of feedback, support and advice that assessors may need to maintain and improve the quality of assessment. 3.3 Explain standardisation requirements in relation to assessment. 3.4 Explain relevant procedures regarding disputes about the quality of assessment.	Internally maintaining and improving the quality of assessment, agreed standards and outcomes, constructive feedback to assessors, advice, guidance and support, identification of development needs and good practice, signposting to additional support and information. Standardisation of assessment, agreed documentation, agreed outcomes, sharing of practice. Understanding of complaints and appeals procedures, measuring the effectiveness of the assessment and methodologies, measurement of objectives against outcomes, learner achievement, meeting national standards and benchmarking, meeting legislative requirements.
4. Understand the legal and practice requirements for the internal quality assurance of	4.1 Evaluate legal issues, policies and procedures relevant to the internal quality assurance of assessment. 4.2 Evaluate different ways in which technology	Legal and practice requirements including those for confidentiality, health, safety and welfare. Use of technology to include recording findings, online planning and feedback, updating, mechanism for meetings. Equality

assessment.	can contribute to the internal quality assurance of assessment. 4.3 Explain the value of reflective practice and continuing professional development in relation to internal quality assurance. 4.4 Evaluate requirements for equality and diversity in relation to the internal quality assurance of assessment.	and diversity, data protection, skills, knowledge and understanding requirements, timescales, resource requirements, required outcomes, monitoring of process, progress and product. Application of reflective practice, how and where to seek information about current best practice, sources of feedback on practice, seeking a critique of skills, knowledge and practical competence, observations, mentoring and critical friend model, gathering and record information in order to engage in continuing professional development (CPD), influences on own knowledge, skills and practical competence. Legal and good practice requirements when assessing, health and safety, confidentiality, equality. Organisational policies and procedures. Differentiation, interpretation, translation. Review practice, reflection, application of new skills and knowledge, continuing professional development relevant to role and sector.

Assessment

To achieve a 'pass' for this unit, learners must provide evidence to demonstrate that they have fulfilled all the learning outcomes and meet the standards specified by all assessment criteria.

Learning Outcomes to be met	Assessment criteria to be covered	Type of assessment	Word count (approx. length of coursework)
1 – 4	All under LO 1-4	Essay / Case study	3500

Indicative Reading list

Avis J, Fisher R and Thompson R (eds). (2009). *Teaching in Lifelong Learning: A Guide to Theory and Practice.* Open University Press:

Cohen L, Manion L, Morrison K and Wyse D. (2017). *A Guide to Teaching Practice, 5th edition.* Routledge: London

Gravells, A. (2016). *Principles and Practices of Quality Assurance: A guide for internal and external quality assurers in the FE and Skills Sector.* Learning Matters: London.

Illeris, K. (2018) *Contemporary theories of learning: learning theorists: in their own words.* Routledge: London.

Internally Assure the Quality of Assessment

Unit Reference Number	H/617/8464
Unit Title	Internally assure the quality of assessment
Unit Level	4
Number of Credits	6
Total Qualification Time (TQT)	60 Hours
Guided Learning Hours (GLH)	45
Mandatory / Optional	Mandatory
Unit Grading type	Pass / Fail

Unit Aims

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.

'Practitioner' can be taken to mean anyone with a learning and development responsibility as part of their role.

Learning Outcomes, Assessment Criteria and Indicative Content

Learning Outcomes The learner will:	Assessment Criteria The learner can:	Indicative content
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.	Ensuring standards and procedures are adhered to at all times, identification of internal quality assurance activities, justification of activities, reporting and recording, standardisation of assessment.
2. Be able to internally evaluate the quality of assessment.	2.1 Carry out internal monitoring activities to quality requirements. 2.2 Evaluate the planning and preparation of	Planned monitoring, regularity of monitoring activities, adherence to regulatory requirements, monitoring and evaluation of activities carried out, monitoring of planning

		assessment processes. 2.3 Determine whether assessment methods are safe, fair, valid and reliable. 2.4 Determine whether assessment decisions are made using the specified criteria. 2.5 Compare assessor decisions to ensure they are consistent.	and preparation of assessment processes, ensuring assessment methods are safe, fair, valid and reliable, using specified criteria to ensure assessment decisions meet requirements, monitoring assessment decisions for consistency, feeding back on decision making, checking assessor expertise and competence in relation to the requirements of their role.
3.	Be able to internally maintain and improve the quality of assessment.	3.1 Provide assessors with feedback, advice and support which helps them to maintain and improve the quality of assessment. 3.2 Apply procedures to standardise assessment practices and outcome.	Facilitating feedback, observation, monitoring of outcomes, evaluation, inclusion of feedback into review cycle, identification of future goals and objectives resulting from learning activities, feedback on monitoring activities, advise and support assessors, facilitate standardisation activities.
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.	Manage and maintain records and report, accuracy of recording, safe storage of information, appropriate sharing of information.
5.	Be able to maintain legal and good practice requirements when internally monitoring the quality of assessment.	5.1 Apply relevant policies, procedures and legislation in relation to internal quality assurance. 5.2 Critically reflect on own practice in internally assuring the quality of assessment. 5.3 Create a plan to maintain the currency of own expertise and competence in internally assuring the quality of assessment.	Application of reflective practice, how and where to seek information about current best practice, sources of feedback on practice, seeking a critique of skills, knowledge and practical competence, observations, mentoring and critical friend model, gathering and record information in order to engage in continuing professional development (CPD), influences on own knowledge, skills and practical competence. Creation of a plan for own development in relation to internally assuring the quality of assessment. Policies, procedures and legislation to include those for health, safety and welfare.

Assessment

To achieve a 'pass' for this unit, learners must provide evidence to demonstrate that they have fulfilled all the learning outcomes and meet the standards specified by all assessment criteria.

Learning Outcomes to be met	Assessment criteria to be covered	Type of assessment	Assessment parameters
1 – 5	All under LO 1-5	Reflective account of work Observation of performance Work products (e.g. sign-off forms) Witness testimony/written feedback	IQA a minimum of two assessors.

Indicative Reading list

Avis J, Fisher R and Thompson R (eds). (2009). *Teaching in Lifelong Learning: A Guide to Theory and Practice.* Open University Press: Maidenhead.

Cohen L, Manion L, Morrison K and Wyse D. (2017). *A Guide to Teaching Practice, 5th edition.* Routledge: London

Duckworth, V. and Tummons, J. (2010). *Contemporary Issues in Lifelong Learning.* OU Press

Gravells, A. (2016). *Principles and Practices of Quality Assurance: A guide for internal and external quality assurers in the FE and Skills Sector.* Learning Matters: London.

Illeris, K. (2018) *Contemporary theories of learning: learning theorists: in their own words.* Routledge: London.

Wenger, E. (2000). *Communities of Practice: Learning, Meaning, and Identity.* Cambridge University Press.

Plan, Allocate and Monitor work in own area of responsibility

Unit Reference Number	H/617/8464
Unit Title	Plan, Allocate and Monitor work in own area of responsibility
Unit Level	4
Number of Credits	6
Total Qualification Time (TQT)	60 Hours
Guided Learning Hours (GLH)	45
Mandatory / Optional	Mandatory
Unit Grading type	Pass / Fail

Unit Aims

The aim of this unit is to develop learners' ability to plan, allocate and monitor work in their own area of responsibility, and to change work plans when justified or necessary.

Learning Outcomes, Assessment Criteria and Indicative Content

Learning Outcomes The learner will:	Assessment Criteria The learner can:	Indicative content
1. Be able to allocate and agree responsibilities with team members.	1.1 Agree responsibilities and SMART (Specific, Measurable, Achievable, Realistic and Timebound) objectives with team members. 1.2 Identify team members' responsibilities for identified work activities.	Confirm work required, clarify any outstanding points and issues. Plan how the work will be undertaken, seeking views from team members. Identify priorities/critical activities and make best use of available resources. Allocate work fairly and as appropriate to skills, knowledge, experience, workloads and the opportunity for
2. Be able to monitor the progress and quality of work in own area of responsibility and provide	2.1 Monitor and evaluate progress against agreed standards and provide feedback to team members. 2.2 Identify ways to monitor progress and quality	development. Fully brief team members of expected standard of work and how work links to vision/objectives for the team/organisation. Encourage open discussion

effective feedback.	of work.	about allocated work.
3. Be able to produce a work plan for own area of responsibility.	3.1 Communicate changes to team members. 3.2 Review and amend work plan where changes are needed.	Monitor progress and quality of the work against the standard or level of expected performance, constructive and timely feedback. Support team members in dealing with issues or unforeseen events. Recognise successful completion of significant pieces of work by team members. Review and update plans of work for your area, clearly communicating any changes to relevant team members.
4. Be able to review and amend work plans and communicate changes to work plans for own area of responsibility.	4.1 Explain the context in which work is to be undertaken. 4.2 Identify the skills base and the resources available. 4.3 Examine priorities and success criteria needed for the team. 4.4 Produce a work plan for own area of responsibility.	

Assessment

To achieve a 'pass' for this unit, learners must provide evidence to demonstrate that they have fulfilled all the learning outcomes and meet the standards specified by all assessment criteria.

Learning Outcomes to be met	Assessment criteria to be covered	Type of assessment	Word count (approx.)
1 – 4	All under LO 1-4	Report/reports which can include: • Work plans • Project plans • Meeting minutes • Appraisals/reviews • Reviews of KPIs	3500

Indicative Reading list

Gold, J. Thorpe, R. and Mumford, A. (2010) *Leadership and Management Development*.

MacBeath, J. (ed) (2008) *Connecting Leadership and Learning: Principles for Practice*

Northouse G., (2009) *Leadership: Theory and Practice* [Paperback]

Johnson, C. and Keddy, J (2010) *Managing Conflict at Work: Understanding and Resolving Conflict for Productive Working Relationships*.

Eckerson, W (2010) *Performance Dashboards: Measuring, Monitoring, and Managing Your Business*, 2nd Ed ISBN-10: 0470589833

IMPORTANT NOTE

Whilst we make every effort to keep the information contained in programme specification up to date, some changes to procedures, regulations, fees matter, timetables, etc may occur during the course of your studies.   You should, therefore, recognise that this booklet serves only as a useful guide to your learning experience.   For updated information please visit our website www.othm.org.uk.