

**Level 4 Award In External Quality Assurance of Assessment
Processes and Practice**

601/5642/9

Qualification and Unit Specification

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About SFEDI Awards

SFEDI Awards was founded in 2007 creating the first dedicated Awarding Organisation specialising in business enterprise and business support, a standing still enjoyed to this day within the UK.

Our qualifications are built on the extensive research that underpins the SFEDI® National Occupational Standards and the expertise of the Institute of Enterprise and Entrepreneurs, the UKs only professional Institute dedicated to enterprise.

With our qualifications having been designed to be flexible to meet the wide range of demand within enterprise learning, we recognise the needs of industry to develop enterprising and entrepreneurial individuals to support the sustainability and growth of business and the wider community.

As the only dedicated UK Awarding Organisation, SFEDI Awards designs and develops a range of bespoke business enterprise and business support qualifications that are delivered through members of our both UK based and international centre network.

Within this we also develop and publish best practice materials and resources to support the delivery of our qualifications to a high standard to ensure that your customers gain all they require when either starting or progressing their enterprise journey.

Customer Feedback

We are always keen to understand learners and centres thoughts on the content of all aspects of our qualifications and welcome your feedback. This can be done by emailing us at customerservices@sfediawards.com and indicate in the header field, 'Customer Feedback'.

Qualification Overview

Qualification Title	Level 4 Award In External Quality Assurance of Assessment Processes and Practice			
Qualification Reference Number	601/5642/9			
Those who may wish to undertake this qualification	Those who wish to carry out the role of an External Quality Assurer covering the duties and policies involved within the job role.			
Structure	2 mandatory units to be achieved.			
Assessment method	Assessment should be through the production of a portfolio of evidence presented for assessment by a suitably qualified Assessor. See individual units for details of mandatory assessment methods.			
Entry Requirements	Learners should hold D34, V1 or their equivalent updated versions in order to undertake this qualification. Learners should also possess communication skills sufficient to allow them to address the assessment requirements.			
Available Age Groups	Pre-16	16-18	18+	19+
	x	x	x	✓
Qualification Start Date	1 March 2015			
Last Date for Registration	31 December 2024			
Assessment Qualification Required	The assessment qualification is required in order to deliver this qualification.			
Internal Quality Assurance Qualification Required	The internal quality assurance qualification is required in order to quality assure this qualification.			
Progression Routes	Those who undertake this qualification may wish to further develop their management skills by undertaking a management qualification.			

Unit Overview

The table below lists the units that are available within this qualification.

In order to achieve this qualification the learner must complete the 2 mandatory units listed below.

Unit Reference Number	Unit Title	Status	Credit Value	Guided Learning Hours
F/601/5322	Understanding the Principles and Practices of Externally Assuring the Quality of Assessment	Mandatory	6	45
J/601/5323	Externally Assure the Quality of Assessment	Mandatory	6	30

The Qualification Credit Framework (QCF)

The Qualification Credit Framework (QCF) is the vehicle for recognising qualifications within England, Wales and Northern Ireland and, for most vocational qualifications, is a replacement to the National Qualification Framework (NQF). The QCF allows the learner to work toward credits from units or qualifications.

QCF qualifications have both a level and a size allocated to them and each unit is awarded a credit value. The unit credit value is a direct correlation of how many learning hours should be put into the achievement of that unit, for example 10 hours equates to 1 credit value.

Each QCF qualification title contains the following:

- The level of the qualification (from entry level to Level 8)
- The size of the qualification (Award/Certificate/Diploma)
- Details indicating the content of the qualification

Rules of Combination

The Rules of Combination set out the number of credits that must be achieved by the learner in order to complete their qualification and also stipulates where the credits must be achieved from. They apply across QCF qualifications and so enable a learner to transfer credits easily between qualifications and Awarding Organisations.

What Does SFEDI Awards Expect?

To offer this qualification you will be required to hold SFEDI Awards centre status and also apply for qualification approval. Approval is completed by submission of the centre or qualification application form to customerservices@sfediawards.com available on the [SFEDI Awards website](#).

Centre Policies

Centres should read the SFEDI Awards Centre Manual available on the [SFEDI Awards website](#) which details the requirements that centres must meet in terms of policies and documentation that must be in place in order to deliver SFEDI Awards qualifications.

Equal Opportunities and Access to Assessment

SFEDI Awards centres are expected to operate Equal Opportunities policies that demonstrate a clear commitment to equality and fair access to programmes and assessment. It is expected that these policies are also shared with learners and staff members and information as to the effectiveness of the implementation of the policies should be recorded and used for centre improvement plans.

Data Protection

SFEDI Awards centres are expected to operate Data Protection policies, in line with the Data Protection Act, in connection with the provision of programmes and qualifications and in communication with SFEDI Awards. It is expected that these policies are also shared with learners and staff members and information as to the effectiveness of the implementation of the policies should be recorded and used for centre improvement plans.

Learner Registration

Learners should be registered with SFEDI Awards, in accordance with the SFEDI Awards Centre Manual, within 4 weeks of commencing the programme or qualification. Centres should obtain a Unique Learner Number (ULN), from the [Learner Records Service](#), in order that their achievements can be recorded on their Learner Achievement Record.

Certification

SFEDI Awards centres must use the Registr8 system to indicate where a learner has successfully completed the qualification and/or units within it. Where a centre holds Direct Claims Status (DCS) certificates will be issued, where this is not the case an External Quality Assurer will contact the centre to arrange sampling.

The learner will receive two certificates on achieving the qualification. One will detail the qualification itself and the other will list the units completed. If only units and not the full qualification have been undertaken by the learner then they will receive one certificate listing the units completed.

Assessment Access Arrangements and Special Considerations

Reasonable adjustments can be made to assessments to ensure fair access for learners of qualifications, irrespective of their abilities or disabilities. Further guidance on reasonable adjustments and what circumstances they can be used can be accessed on the [SFEDI Awards website](#).

Quality Assurance

External Quality Assurance

A SFEDI Awards External Quality Assurer will complete checks on centres involving a sample of learner's documents, assessment decisions and Internal Quality Assurance activity. This ensures that all activity around assessments is consistent across the centre and the UK and that the centre continues to meet their approval requirements. This will be conducted by a suitably experienced External Quality Assurer using SFEDI Awards' procedures and documentation.

Internal Quality Assurance

Internal Quality Assurance will be completed by the SFEDI Awards centre and involves sampling of learners' documents and assessment decisions to ensure standardisation across Delivery/Assessment staff and consistency and fairness of assessment following Awarding Organisation requirements.

SFEDI Awards provides quality assurance documentation that can be used by the centre for recording quality assurance decisions which can be accessed on the [SFEDI Awards website](#). These documents are provided for the centre to use but, if the centre wishes to develop their own recording material, the minimum requirements must be met to ensure quality assurance practices are not disadvantaged. Minimum requirements can be accessed on the [SFEDI Awards website](#).

Delivery/Assessment

SFEDI Awards centre staff should work with learners to ensure they understand the nature of the qualification and assessment approach. Both centre staff and the learner should agree at the beginning of the assessment journey how the assessment will be undertaken and what each can expect from the other, including arranging times and dates for learning and assessment activity and support. The Delivery/Assessment staff will follow the principles of plan, judge and feedback as described within professional standards.

SFEDI Awards provides assessment documentation that can be used by the centre for recording the planning, judging and feeding back of assessments which can be accessed on the [SFEDI Awards website](#). These documents are provided for the centre to use but, if the centre wishes to develop their own recording material, the minimum requirements must be met to ensure assessment practices are not disadvantaged. Minimum requirements can be accessed on the [SFEDI Awards website](#).

Delivery/Assessment/Quality Assurance Staff Requirements

All Assessors must have the necessary competence in the subject matter of the qualification and the necessary competence in the assessment procedures to be used. They must also hold or be working towards the appropriate Assessor qualification, eg. D32/33 or A1. Assessors must also hold occupational competence for the units that have been selected to the level and content of the unit.

Quality Assurance staff must have the necessary competence in the subject matter of the qualification and the necessary competence in the assessment and quality assurance procedures to be used. They must also hold or be working towards the appropriate Quality Assurance qualification, eg. D34 or V1. Quality Assurance staff must also hold occupational competence for the units that have been selected to the level and content of the unit.

Assessment Methods

The following provides examples and explanations of the most common forms of assessment methods. Other methods can be used by centres to enable learners to demonstrate they meet the standards as detailed within the units.

Mandatory Assessment Methods

Some units may require mandatory forms of assessment to be completed. SFEDI Awards will make note in each unit whether mandatory assessment methods apply. If it states that there are no mandatory assessment methods, a suggestion of the types of assessments that could be used will be made.

Expert Witness/Witness Testimony

These are provided by external people as the Delivery/Assessment staff cannot possibly be present at all times when a learner completes a task that could be used as evidence. The testimony will be expected to detail who and what the activity entailed and where the activity took place.

Observation

This is a recorded report of an observed activity to show who and what the activity entailed and where the activity took place. It is normally recorded by the Delivery/Assessment staff and should be planned for. On occasions the opportunity may arise for a naturally occurring observation but this must not be seen as common practice.

Product Evidence

This is a work product, for example a letter or research, that has been produced which can support the evidencing of performance. When using this form of evidence it is important to ensure that confidentiality is adhered to and no information is provided that may compromise this. It may be appropriate to reference the location of product evidence within a professional discussion so that, if the quality assurer wishes to view it, then they can request a copy.

Professional Discussion

This is a recorded report of a discussion between the learner and the Delivery/Assessment staff and should give real examples, where possible, of activity completed. It is normally recorded by the Delivery/Assessment staff and should be planned for. A Professional Discussion is not a question and answers session and should be led by the learner.

Recognition of Prior Achievement

Prior Achievement may be recognised where a learner has already achieved an appropriate QCF unit towards a qualification. In this instance the QCF unit can be transferred over so the learner does not have to repeat the particular unit again. In this instance a copy of the unit certificate should be provided within the portfolio as evidence of prior achievement.

Recognition of Prior Learning

Prior Learning can form part of the assessment process where the learner is able to demonstrate that they meet the assessment requirements for a unit through knowledge, understanding or skills that they already possess. In this instance the learner must provide evidence to show that the assessment criteria have been met. The Assessor will make a professional judgement about the evidence presented, which could be in a variety of forms, including, a statement or professional discussion to explain what prior activity has taken place and how this links to the standards to be achieved. The assessment process for Recognition of Prior Learning should be rigorous, reliable and fair.

Simulation

In exceptional circumstances evidence from simulation can be used to complement the primary evidence drawn from business enterprise activities. Simulation should only occur where:

- The candidate would otherwise be precluded from providing the necessary evidence for demonstrating they met the requirements of the standards because of the nature of their business or business idea

Simulated activities should match as closely as possible those that occur in a real business environment. This is particularly important where these activities and their outcomes are being assessed to provide evidence to demonstrate the candidate is meeting the requirements of the standards. If simulation is to be used, prior agreement as to the arrangements must be sought from SFEDI Awards prior to the assessment taking place.

Activities should take place in a realistic working environment that:

- Is based on business enterprise activities, events, challenges and markets
- Includes a comprehensive range of demands, activities, constraints and challenges typical of those that would be met in real a business enterprise
- Gives candidates access to facilities, advice and support that would be normal for the business enterprise activity, event or type of challenge represented
- Places candidates under pressures of time, resources and access to support that would be normal in a business enterprise
- Is organised and managed as would a real business enterprise situation
- Is subject to normal workplace controls regarding health and safety, equal opportunities, and codes of conduct

Authentication of Learner Evidence

Centres must have knowledge and certainty that all assessments undertaken are entirely the work of the learner being assessed and a statement of authenticity signed by the learner and Assessor must be present within the portfolio.

Feedback

Feedback must be provided to the learner for each assessment carried out and recorded on the assessment documentation and should feed into both assessment planning and the completion of progress reviews. The feedback should provide the learner with information relating to:

- Whether the planned assessment has been completed
- The quality of the assessment completed
- What has been covered within the standards
- What is required to be completed to move the qualification forward

Unit Structure

The following demonstrates the structure of units within SFEDI Awards qualifications:

Unit Reference Number Unit Title

Unit Status This will show whether the unit is mandatory or optional

QCF Unit Level Level allocated to the unit on the QCF unit databank

QCF Credit Value Credit value assigned to the unit

Unit Learning hours Learning hours required to complete the unit

Unit Overview and Main Outcomes

This will provide you with the rationale for the unit and the knowledge and skills the learner will develop by undertaking the unit.

Assessment and Grading of This Unit

This will provide you with the grading structure for the unit and also will list the mandatory and/or suggested assessment methods for use in the completion of the unit.

Unit Content

This will provide you with the learning outcomes and assessment criteria that the learner must provide evidence for in order to complete the unit.

Learning Outcome - The learner will:	Assessment Criterion - The learner can:
This shows what the learner needs to know, understand or do	This sets out the criteria the learner must meet and provide evidence against in order to complete the unit

Qualification Unit Details

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The following pages contain the units that are contained within this qualification

F/601/5322 Understanding the Principles and Practices of Externally Assuring the Quality of Assessment

Unit Status Mandatory

QCF Unit Level 4

QCF Credit Value 6

Unit Learning hours 45

Unit Overview and Main Outcomes

This unit contains 6 learning outcomes which will support the learner to be able to:

- Understand the context and principles of external quality assurance
- Understand how to plan the external quality assurance of assessment
- Understand how to externally evaluate the quality of assessment and internal quality assurance
- Understand how to externally maintain and improve the quality of assessment
- Understand how to manage information relevant to external quality assurance
- Understand the legal and good practice requirements relating to external quality assurance

Assessment and Grading of This Unit

This unit is graded on a pass or fail basis and the learner must demonstrate evidence against all of the listed assessment criteria in order to achieve this unit.

The following provides examples of assessment methods that could be used to generate evidence for this unit. This list is not an exhaustive list and other methods can be used by the centre.

- Product evidence
- Learner statement/case study
- Pre-approved worksheets
- Professional discussion
- Recognition of prior achievement
- Recognition of prior learning
- Witness testimony

Unit Content

Learning Outcome - The learner will:		Assessment Criterion - The learner can:	
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 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 activities, including: <ul style="list-style-type: none"> • information collection • communications • administrative arrangements • resources
		2.4	Explain how to adapt external monitoring and evaluation approaches to meet customer need without compromising quality standards
3	Understand how to externally evaluate the quality of assessment and internal quality assurance	3.1	Explain the procedures for externally monitoring and evaluating internal quality assurance arrangements and practices
		3.2	Interpret the requirements for externally monitoring and evaluating internal assessment arrangements and practices
		3.3	Evaluate different techniques for externally sampling evidence of assessment, including those that use technology
4	Understand how to externally maintain and improve the quality of assessment	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
		4.2	Evaluate standardisation requirements relevant to the external quality assurance of assessment
		4.3	Explain the importance of providing feedback, support and advice to internal assessment and quality assurance staff that is consistent with standardisation requirements
		4.4	Explain the relevant procedures to follow when there are disputes concerning quality assurance and assessment

5	Understand how to manage information relevant to external quality assurance	5.1	Evaluate the requirements for information management, data protection and confidentiality in relation to external quality assurance
6	Understand the legal and good practice requirements relating to external quality assurance	6.1	Evaluate legal issues, policies and procedures that are relevant to external quality assurance, including those for health, safety and welfare
		6.2	Critically compare different ways in which technology can contribute to 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

J/601/5323 Externally Assure the Quality of Assessment

Unit Status Mandatory

QCF Unit Level 4

QCF Credit Value 6

Unit Learning hours 30

Unit Overview and Main Outcomes

This unit contains 5 learning outcomes which will support the learner to be able to:

- Be able to plan the external quality assurance of assessment
- Be able to externally evaluate internal quality assurance and assessment
- Be able to maintain and improve internal quality assurance processes
- Be able to manage information relevant to the external quality assurance of assessment
- Be able to maintain legal and good practice requirements when externally monitoring and maintaining the quality of assessment

Assessment and Grading of This Unit

This unit is graded on a pass or fail basis and the learner must demonstrate evidence against all of the listed assessment criteria in order to achieve this unit. 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.**

The following provides examples of assessment methods that could be used to generate evidence for this unit. This list is not an exhaustive list and other methods can be used by the centre.

- Product evidence
- Learner statement/case study
- Pre-approved worksheets
- Professional discussion
- Recognition of prior achievement
- Recognition of prior learning
- Witness testimony

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

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