CMI LEVEL 4 INTERNAL QUALITY ASSURANCE QUALIFICATIONS

(RQF) Syllabus | November 2018 | Version 5

CMI Chartered Management Institute

CONTENTS

UNITS

QUALIFICATION PURPOSE

The purpose of these qualifications is to confirm competence in an occupational role to the standards required.

CMI Level 4 Award in the Internal Quality Assurance of Assessment Processes and Practice is intended for those who maintain the quality of assessment from within an organisation or assessment centre.

CMI Level 4 Certificate in Leading the Internal Quality Assurance of Assessment Processes and Practice is intended for those who lead a team of internal quality assurance staff.

TITLES AND REFERENCE NUMBERS

The titles given below are the titles as they will appear on the qualification when awarded to the Learner. The qualification reference number is the number allocated to the qualification by the Regulator at the time of submission, which confirms that this is a regulated qualification on the RQF and on the Register. The CMI code is the code which should be used when registering Learners with CMI.

Therefore all CMI Centres must use the full qualification title as per below when advertising or making reference to the qualifications.

CMI CODE	TITLE	QUALIFICATION REFERENCE NUMBER
4A19V2	CMI Level 4 Award in the Internal Quality Assurance of Assessment Processes and Practice	600/0350/9
4C19V2	CMI Level 4 Certificate in Leading the Internal Quality Assurance of Assessment Processes and Practice	501/2389/0

KEY DATES

These qualifications are regulated from 1st October 2010 and the operational start date in CMI Centres is 1st January 2011. The last registration date for these qualifications is 31st December 2018, with a certification end date of 31st December 2019 (4A19V2) and 31st December 2021 (4C19V2).

PROGRESSION

Upon completion of an Internal Quality Assurance qualification at Level 4, Learners can progress to other qualifications within the suite.

ENTRY AND RECRUITMENT

These qualifications can be offered to Learners from age 19. CMI does not specify entry requirements for these qualifications, but Centres are required to ensure that Learners admitted to the programme have sufficient capability at the right level to undertake the learning and assessment.

CMI Centre must ensure Learners are recruited with integrity onto appropriate qualifications that will:
- meet their needs
- enable and facilitate learning and achievement
- enable progression

In order to achieve this, the CMI Centre will need to:
- Provide relevant programme information, guidance and advice, to enable informed Learner choice
- Publish entry and selection criteria
- Demonstrate that Learners are recruited with integrity
- Carry out comprehensive Learner induction that:
  o addresses programme and organisational requirements
  o explains Learner facilities
  o identifies Learners' development needs
  o develops an Individual Learning Plan

The qualification is offered in the medium of the English Language.

DEFINITIONS

Total Qualification Time (TQT) is defined as *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 not under the immediate supervision of – a lecturer, supervisor, tutor or other appropriate provider of education or training.*

Total Unit Time (TUT) is defined as *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 unit.*

Guided Learning Hours is defined as *the activity of a Learner in being taught or instructed by – or otherwise participating in education or training under the Immediate Guidance or Supervision of – a lecturer, supervisor, tutor or other appropriate provider of education or training.*

Immediate Guidance or Supervision is defined as *the guidance or supervision provided to a Learner by a lecturer, supervisor, tutor or other appropriate provider of education or training –*

a) *with the simultaneous physical present of the Learner and that person, or*

b) *remotely by means of simultaneous electronic communication*

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.*

Rule of Combination is defined as being *a rule specifying the combination of unit which may be taken to form a particular qualification, any units which must be taken and any related requirements.*

RULES OF COMBINATION

CMI Level 4 Award in the Internal Quality Assurance of Assessment Processes and Practice
Learners need to complete the mandatory units to a total of 12 credits to achieve this qualification. The Total Qualification Time is 120 hours, including 90 hours of Guided Learning.

UNIT NUMBER	UNIT NAME	CREDITS	GLH	TUT
4010	Understanding the principles and practices of internally assuring the quality of assessment	6	45	60
4011	Internally assure the quality of assessment	6	45	60

CMI Level 4 Certificate in Leading the Internal Quality Assurance of Assessment Processes and Practice
Learners need to complete the mandatory units to a total of 17 credits to achieve this qualification. The Total Qualification Time is 170 hours, including 115 hours of Guided Learning.

UNIT NUMBER	UNIT NAME	CREDITS	GLH	TUT
4010	Understanding the principles and practices of internally assuring the quality of assessment	6	45	60
4011	Internally assure the quality of assessment	6	45	60
ND6	Plan, allocate and monitor work in own area of responsibility	5	25	50

RELATIONSHIP TO NATIONAL OCCUPATIONAL STANDARDS (NOS)

The units within these qualifications have been aligned to the National Occupational Standards (NOS) for Learning & Development or Management & Leadership.

UNIT NUMBER	UNIT NAME	NOS UNITS
4010	Understanding the principles and practices of internally assuring the quality of assessment	11:Internally monitor and maintain the quality of assessment – NOS L&D
4011	Internally assure the quality of assessment	11:Internally monitor and maintain the quality of assessment – NOS L&D
ND6	Plan, allocate and monitor work in own area of responsibility	D6 – NOS M&L

DELIVERY OF CMI QUALIFICATIONS

CMI does not specify the mode of delivery for its qualifications at Level 4; therefore CMI Centres are free to deliver the Level 4 qualifications using any mode of delivery that meets the needs of their Learners. However, CMI Centres should consider the Learners' complete learning experience when designing the learning programmes.

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

Please ensure that the content of the Centre Delivery plan is approved by the CMI Quality Manager. For CMI requirements regarding Tutor/Deliverers of CMI qualifications please refer to the CMI Centre Handbook for more information.

ASSESSMENT AND VERIFICATION

The criteria of the assessment of a CMI qualification will be to meet the assessment criteria detailed within each individual unit.

The primary interface with the Learner is the Assessor whose job it is to assess the evidence presented by the Learner. The Assessor should provide an audit trail showing how the judgement of the Learner's overall achievement has been arrived at.

The CMI Centre's assessment plan, to be agreed with the Quality Manager, should include a matrix for each qualification showing how each unit is to be assessed against the relevant criteria and which specific piece or pieces of work will be identified in relation to each unit. It should also show how assessment is scheduled into the delivery programme.

In designing the individual tasks and activities, CMI Centres must ensure that:

- The selected assessment task/activity is relevant to the content of the unit
- There are clear instructions given to Learners as to what is expected
- Learners are clearly told how long the assessment will take (if it is a timed activity), and what reference or other material they may use (if any) to complete it
- The language used in the assessment is free from any bias
- The language and technical terms used are at the appropriate level for the Learners

In addition to the specific assessment criteria in each unit, the Learner's work must be:

- Accurate, current and authentic
- Relevant in depth and breadth

and must also show the Learner's:

- Clear grasp of concepts
- Ability to link theory to practice, and
- Ability to communicate clearly in the relevant discipline at the expected level for the qualification

EVIDENCE REQUIREMENT & ASSESSMENT GUIDANCE

Unit 4010 - Understanding the principles and practices of internally assuring the quality of assessment

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 assessment criteria 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 4011 - Internally assure the quality of assessment

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

All assessment criteria in this unit must be assessed using methods appropriate to the learner Internal Quality Assurer's (IQA) 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.

Remote observation is not acceptable for assessment of IQAs; in other words the assessor and the learner 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 assessment criterion.

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

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

Unit ND6 - Plan, allocate and monitor work in own area of responsibility

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 assessment criteria in this unit must be assessed using methods appropriate to the Learner 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 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.

This information is provided based on The Education & Training Foundation's *Qualification Guidance* document.

ACCESSIBILITY OF CMI QUALIFICATIONS

There may be incidents where Learners may require special consideration and reasonable adjustments to the delivery and assessment of qualifications. In the event of this, Centres should notify their allocated Quality Manager and CMI.

RECOGNITION OF PRIOR LEARNING AND ACHEIVEMENT

For further guidance on RPL and exemptions can be found in CMI RPL policy. Please click here.

MEMBERSHIP

If an individual is not already in membership at the time of registering on a CMI qualification then your Learner will be provided with free Affiliate membership of the CMI through until the completion of their studies. For details of the benefits of membership please click here. There may be the opportunity to upgrade during the Learners studies dependant on successfully completing an assessment with CMI.

CHARTERED MANAGER

Chartered Managers are consistent high performer, committed to current best practice and ethical standards.

A unique designation, exclusively awarded by the Chartered Management Institute, Chartered Manager embodies a professional approach to management through knowledge, competence, professional standards and commitment to continuing professional development (CPD).

To find out more about how to become a Chartered Manager please click here.

STUDY RESOURCES

Management Direct

www.managers.org.uk/members

It's fast, comprehensive and free to members

Management Direct is a complete online library of comprehensive and up-to-date material that addresses current management practice, supports studying and those looking to develop their skills.

• 220 Management Checklists and 60 Management Thinker profiles

• One page overviews of key Management Models

• Multimedia resources – 400 Leader Videos and e-learning modules

• CMI research and Professional Manager articles

• Authoritative definitions of management terms

• Over 11,000 articles and 600 ebooks to read online when you need them

• Learning Journey playlists for many units giving you easy access to resources specifically selected to support your studies

• Resources to develop your Study Skills, including factsheets on assignment writing, references and citations, learning styles, note taking and avoiding plagiarism.

All these resources are freely available to members from one source. Definitions give you a headline understanding of topic; Checklists and Models provide the essentials; and books and articles enable you to research further. Depending on your need you choose how far you want to go.

E-journals

For in depth research try our e-journals service

CMI has joined forces with EBSCO Information Services to offer members access to Business Source: Corporate, a database providing direct access to articles on management and business from a range of academic journals and business magazines. Members also have access to country, company and industry reports from leading providers.

Access to Business Source Corporate is through ManagementDirect

Online CPD

CPD can take many forms, but the most important feature of any activity you undertake is that there are clear learning outcomes. In many cases these may enable you to have a direct impact at work.

Our online CPD scheme enables you to record your learning objectives and the activities you have undertaken and encourages you to assess its impact in your role as a manager. Print reports for your reviews, appraisals or interviews.

Access to CPD is through ManagementDirect.

UNDERSTANDING THE PRINCIPLES AND PRACTICES OF INTERNALLY ASSURING THE QUALITY OF ASSESSMENT	Unit Level	4
	Unit Number	4010
	Regulatory Reference Number	T/601/5320
	Credit Value	6
	Total Unit Time (TUT)	60
	Guided Learning (GL)	45

LEARNING OUTCOMES

		ASSESSMENT CRITERIA		
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:	

			• 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
4	Understand how to internally maintain and improve the quality of assessment	**4.1**	Summarise the types of feedback, support and advice that assessors may need to maintain and improve the quality of assessment
		4.2	Explain standardisation requirements in relation to assessment
		4.3	Explain relevant procedures regarding disputes about the quality of assessment
5	Understand how to manage information relevant to the internal quality assurance of assessment	**5.1**	Evaluate requirements for information management, data protection and confidentiality in relation to the internal quality assurance of assessment
6	Understand the legal and good practice requirements for the internal quality assurance of assessment	**6.1**	Evaluate legal issues, policies and procedures relevant to the internal quality assurance of assessment, including those for health, safety and welfare
		6.2	Evaluate different ways in which technology can contribute to the internal quality assurance of assessment
		6.3	Explain the value of reflective practice and continuing professional development in relation to internal quality assurance
		6.4	Evaluate requirements for equality and diversity and, where appropriate, bilingualism, in relation to the internal quality assurance of assessment

ADDITIONAL INFORMATION ABOUT THIS UNIT

Unit Aims	The aim of this unit is to assess the learning and development practitioner's knowledge and understanding of the principles and practices of assessment. 'Practitioner' means anyone with a learning and development responsibility as the whole or a part of their role.

Guidance for developing assessment arrangements for units (if applicable)	N/A
Additional assessment requirements specified by a sector or regulatory body	All assessment criteria in this unit must be assessed using methods appropriate to the assessment of knowledge and understanding. In gathering evidence for these qualifications, an unqualified learner IQA is not allowed to internally quality assure the work of another unqualified IQA.
Relationship to Other Standards and Frameworks	This unit is underpinned by the Learning & Development National Occupational Standards (NOS), standard 11: Internally monitor and maintain the quality of assessment.

INTERNALLY ASSURE THE QUALITY OF ASSESSMENT

Unit Level	4
Unit Number	4011
Regulatory Reference Number	A/601/5321
Credit Value	6
Total Unit Time (TUT)	60
Guided Learning (GL)	45

LEARNING OUTCOMES		ASSESSMENT CRITERIA	
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 outcomes
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	**5.1**	Apply relevant policies, procedures and legislation in relation to internal quality assurance, including those for health, safety and welfare
		5.2	Apply requirements for equality and diversity and, where appropriate, bilingualism, in relation to internal quality assurance
		5.3	Critically reflect on own practice in internally assuring the quality of assessment
		5.4	Maintain the currency of own expertise and competence in internally assuring the quality of assessment

ADDITIONAL INFORMATION ABOUT THIS UNIT

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' means anyone with a learning and development responsibility as the whole or a part of their role.
Guidance for developing assessment arrangements for units (if applicable)	Evidence for all learning outcomes must come from performance in the work environment. All assessment criteria in this unit must be assessed using methods appropriate to the learner Internal Quality Assurer's (IQA) performance. These must include: • observation of performance • examining products of work • questioning
Additional assessment requirements specified by a sector or regulatory body	Evidence must come from the learner IQA's performance in the work environment. There must be evidence of the learner IQA monitoring a minimum of two assessors, each with a minimum of two learners of their own, through components of a qualification.

Relationship to Other Standards and Frameworks	This unit is underpinned by the Learning & Development National Occupational Standards (NOS), standard 11: Internally monitor and maintain the quality of assessment.

PLAN, ALLOCATE AND MONITOR WORK IN OWN AREA OF RESPONSIBILITY

Unit Level	4
Unit Number	ND6
Regulatory Reference Number	H/600/9674
Credit Value	5
Total Unit Time (TUT)	50
Guided Learning (GL)	25

LEARNING OUTCOMES

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		2.1	Identify team members' responsibilities for identified work activities

	Be able to allocate and agree responsibilities with team members	2.2	Agree responsibilities and SMART (Specific, Measurable, Achievable, Realistic and Time-bound) objectives with team members
3	Be able to monitor the progress and quality of work in own area of responsibility and provide feedback	3.1	Identify ways to monitor progress and quality of work
		3.2	Monitor and evaluate progress against agreed standards and provide feedback to team members
4	Be able to review and amend plans of work for own area of responsibility and communicate changes	4.1	Review and amend work plan where changes are needed
		4.2	Communicate changes to team members

ADDITIONAL INFORMATION ABOUT THIS UNIT

Unit Aims	This units helps learners to plan, allocate and monitor work in own area of responsibility, and make any necessary changes to original work plans.
Guidance for developing assessment arrangements for units (if applicable)	N/A
Additional assessment requirements specified by a sector or regulatory body	All assessment criteria in this unit must be assessed using methods appropriate to the learner'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. In this suite of qualifications evidence for this unit must come from coordinating the work of a team of IQAs (if the learner is a learner IQA) in the work environment.
Relationship to Other Standards and Frameworks	This unit is underpinned by the 2008 Management & Leadership National Occupational Standards (NOS), D6 – Allocate and Monitor the Progress and Quality of Work in Your Area of Responsibility.

APPENDIX 1

Revisions to Document

The below table summarises any revisions made to this document since March 2018.

Revisions to Document	Rationale for Revision	Document Version	Date Revisions Made
Qualification extended	Qualification extended to 31st July 2020	Version 4	15th March 2018
First publication		Version 1	1st July 2011