

# **Approval Guide for Centres Wishing to Offer Learning and Development Awards/Units (including the A and V Units)**

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## **Introduction and purpose of the guide**

This guide has been written by External Moderators from the SQA Learning and Development Moderation Group. It has been informed by our experience in working with centres seeking to gain approval for the full range of Learning and Development Awards.

The purpose of the guide is to help your centre obtain the approval needed to offer Learning and Development Awards.

## Summary of Awards/Units available in Learning and Development

For more detailed Award and Unit information, refer to the CD-ROM for Learning and Development, and Assessment and Verification or search under 'Award Code' on SQA's website.

<b>Award</b>	<b>SQA Code</b>	<b>Who is it suitable for</b>
<b>SVQs</b>		
Direct Training and Support level 3	G71R 23	People delivering training in a workplace or training centre.
Learning and Development level 3	G71R 23	People who design and deliver learning and development in a workplace or training centre.
Learning and Development level 4	G71V 24	People with responsibility for learning and development across most of the training cycle — needs identification, design, management of delivery, delivery, evaluation and improvement.
Management of Learning and Development Provision level 4	G71X 24	People who manage learning and development mainly delivered by others.
Co-ordination of Learning and Development Provision level 4	G71P 24	People with responsibility for coordinating learning and development delivery including that delivered by others.
Learning and Development level 5	G71W 25	Those with responsibility for management and delivery of an organisation's learning and development programmes.
<b>Professional Development Awards (PDAs)</b>		
Certificate in Assessing Candidates using a range of methods	G7ET 15	Assessors of work place awards (SVQs) using at least four assessment methods — usually for SVQs at level 3 and above and for some level 2 SVQs.
Certificate in Assessing Candidates through observation	G7EV 15	Workplace assessors of level 1 and two SVQs who assess by observation of candidate performance and questioning.

<b>Award</b>	<b>SQA Code</b>	<b>Who is it suitable for</b>
<b>PDA</b>		
Certificate in Conducting Internal Quality Assurance of the Assessment Process	G7ER 15	Those who evaluate the internal quality assessment process in a centre, monitor and review systems and carry out internal verification of assessment.
Certificate in Conducting External Quality Assurance of the Assessment Process	G7EP 15	Those who evaluate assessment quality assurance processes within centres on behalf of an awarding body.
Certificate in Supporting Learning in the Workplace	G7EM 15	Those who work with learners but may not have delivered their initial training, but have an important supporting role in developing candidate competence through, ie coaching/mentoring, review and assessment.
Certificate in Delivering Training in the Workplace	G7EN 15	Those who deliver training in the workplace to individuals and/or groups and are involved in activities such as design, delivery, review and assessment.
<p>For SVQs and PDAs, the selection of the appropriate optional units will depend on the work role of the candidate. Some will design whole training programmes, whilst others may purely develop individual training sessions within a given programme.</p> <p>The methods of assessment used will also vary with the level and nature of the Awards/Units selected. Some candidates do not subsequently assess their trainees in the workplace. However, they may monitor and review their learners' achievement and progress and provide further support through coaching/mentoring. Others may concentrate on the strategic planning and management of learning within their organisation.</p> <p>It is important to spend time establishing the existing competence of learners prior to the start of the assessment process to enable the appropriate Units to be selected and subsequently to help plan any required development and/or assessment.</p>		

Single Units		
A2	D94M 04	Workplace Assessors who assess by observation and questioning — usually for SVQs at levels 1 and 2.
A1	D94L 04	Workplace Assessors using at least four assessment methods — usually for SVQs at level 3 and above and for some level 2 SVQs.
V1	D94P 04	Those who evaluate the internal quality assessment process in a centre, monitor and review systems and carry out internal verification of assessment.
V2	D94N 04	Those who evaluate assessment quality assurance processes within centres on behalf of an awarding body.

Similar to all other occupational areas, candidates may be entered for any of the individual units in Learning and Development. The above are the most popular single units that candidates are entered for.

SVQs/Units in Learning and Development can also contribute towards a Modern Apprenticeship in Learning and Development. This apprenticeship consists of either of the level 3 SVQs in Learning and Development, plus one enhancement unit and the following Core Skills:

- ◆ Communication ( Intermediate 2)
- ◆ Numeracy (Intermediate 1)
- ◆ Problem Solving (Intermediate 1)
- ◆ Working with others (Intermediate 1)
- ◆ Information Technology (Intermediate 1)

These must be separately certificated. For further information see the Scottish Modern Apprenticeship Website at: [www.mascot.uk.com](http://www.mascot.uk.com). If you wish to offer this Modern Apprenticeship your centre will have to be approved to offer the Core Skills listed above, or you must have the access to certification from a centre which is approved.

## Assessor and Verifier requirements

Primary and Independent Assessors and Internal and External Verifiers need to meet the occupational competence requirements of the *Assessment Strategy for Learning and Development* for all the Learning and Development Awards (Annex 4). See also *Guidance on the Assessment of Assessment and Verification Awards* and *Guidance for Assessors and Internal Verifiers of the A and V Units* (Annexes 5 and Annex 6).

In your centre you will need a minimum of three people to form the team to deliver any of the Learning and Development Awards:

- ◆ a Primary Assessor
- ◆ an Independent Assessor
- ◆ an Internal Verifier

All three need to be occupationally competent to the standards they assess or verify, and your centre will have to ensure that they continuously update their knowledge and skills and that their CPD is recorded.

## Independent Assessment of Learning and Development Awards/Units

*The Assessment Strategy for Learning and Development* requires that a substantive component of the evidence presented by a candidate for a Learning and Development Award is assessed by someone who is independent of the candidate. The term substantive component is further defined under the following paragraphs. The Independent Assessor may be employed by the same centre or by another assessment centre, but must be a competent job holder who is qualified as an Assessor, but does not act as a candidate's Primary Assessor or Internal Verifier.



## Independent assessment of the A and V Units (and single Unit PDAs based on A1/A2, V1/V2)

For single Units/single Unit Awards, the Independent Assessor would assess a substantive component such as:

A1.1 An assessment plan

A2.1 An assessment plan

V1.3 An observation of an assessor conducting the assessment process with a candidate

The above are only examples; centres may choose other components to independently assess. Further guidance on independent assessment is given in the *Employment NTO Guidance on Assessment of Assessment and Verification Awards (Annex 5)*.

## Independent assessment of SVQs and PDAs in Learning and Development

For a full SVQ or the following PDAs in Learning and Development: Certificate in Delivering Training in the Workplace or Certificate in Supporting Learning in the Workplace, a substantive component has been defined as **one full unit** of competence (or more — for example, in the case of a full SVQ). If the chosen optional units in the SVQ or PDA include the A1 or A2 or the V1 Unit, then the requirement for the independent assessment of these A and V Units also applies. Refer to *Guidance on Assessment of Assessment and Verification Awards (Annex 5)*.

# Getting ready for approval

## An overview

There are two types of approval:

- ◆ initial approval as an SQA Centre
- ◆ approval to offer specific qualifications

For initial approval, SQA makes sure that your centre has the management structure and quality assurance systems to support the delivery, assessment and internal verification of SQA qualifications.

For approval to offer specific qualifications, SQA will check once you have decided on delivering a particular qualification(s) that your centre has the staff, reference and learning materials, assessment materials, equipment and accommodation you will need to deliver and assess the specific qualification (s). Your internal verification system is also checked to ensure that it meets SQA's quality requirements.

For both types of approval, you must demonstrate your potential to meet SQA's approval criteria. After approval, you will have to show that you are continuing to meet SQA's criteria as you deliver and assess qualifications. For further information, consult SQA's publications or call the Approval Section on 0141-242 2121.

## Three stages

There are three main stages:

1. Choosing the Awards/Units you wish to offer.
2. Reviewing your existing quality procedures in relation to the awards/units you wish to offer.
3. Making the application.

The following pages will provide you with some guidance on each of these stages followed by some short case studies.

## Stage 1: Choosing the Awards/Units you wish to offer

What you will need	What to do	Tips
Information on the Awards that SQA offers.	Refer to CD-ROM on Learning and Development and Assessment and Verification or to SQA's website for complete Award and Unit listings.	SQA has made decisions on the range of awards it offers based on its own market research. Although SQA offers all Learning and Development SVQs and Units as published by the ENTO, it does not offer the certificate awards published on the ENTO website — instead, SQA offers Professional Development Awards (PDAs). It is therefore important that all award information is accessed from the SQA website/CD-ROM.
Potential number of candidates.	What is your client group — how many, what is their job role?	Consider the selection of the awards you want to offer carefully — for instance there is a limited market for level 5 SVQ Learning and Development in comparison to, eg Assessor Awards. There is no requirement for you to offer the entire suite of SVQs at every level.
Resources within your centre or available to your centre.	Check the assessment environment in which potential candidates work. Especially important for Assessor candidates working towards A1/A2.  Check the qualifications and CPD records of your staff or potential staff. Check physical resources, eg learning materials, reference materials etc.	Some qualifications look like SVQs but are assessed in a way that does not meet the Learning and Development Assessment Strategy. Refer to Non-SVQ Guidance. (Annex 7 )
Resources within your centre or available to your centre.	Identify the resources you will offer your candidates.	Check the evidence requirements for each unit. These are provided as Approved Common Evidence on the CD-ROM for Learning and Development and Assessment and Verification.  Consider carefully whether you have the resources to offer all the optional units available within the SVQs and PDAs. For example, in the level 3 Direct Training and Support SVQ, one of the optional Units is H&S D1, a Health & Safety Unit.
The Assessment Strategy for Learning and Development.	Check that you have the staff resources to meet the requirements of the Assessment Strategy.	You may not feel that you have the in-house expertise to deal with this Unit, and therefore could choose not to apply for approval to offer it or you could outsource any learning provision and/or assessment relevant to this Unit.  The Assessment Strategy for Learning and Development applies only to Learning and Development Awards. It defines what staff your centre has to have and how you use their skills and experience to deliver Awards.

## Stage 2: Reviewing your existing quality procedures

What you will need	What to do	Tips
<p>Centre procedures which meet SQA quality criteria to offer Learning and Development Awards.</p>	<p>Review existing procedures.</p> <p>Check the Learning and Development Assessment Strategy.</p> <p>Check the Agreed Common Evidence requirements for the Learning and Development Awards you want to offer.</p>	<p>Find out when you last had a visit from an SQA Quality Assurance Manager and what, if any, changes were made to the procedures following that visit. This will give you an indication of how up-to-date your procedures are in terms of SQA's quality criteria for the operation of centres.</p> <p>It is worth looking at SQA's website: <a href="http://www.sqa.org.uk">www.sqa.org.uk</a> for a copy of the Centre Approval form CA1(2), which gives you up-to-date information on SQA's quality requirements for the operation of a centre. This will provide you with headings under which you can research whether your centre has the resources to offer the awards you've chosen.</p>

### Stage 3: Making the application

What you will need	What to do	Tips
<p>Completed form SA1(2) and staff information sheets for all those likely to be involved in assessment and verification of the Awards.</p> <p>Sufficient Assessors and Verifiers.</p> <p>Resources — reference and learning materials.</p>	<p>Go to SQA website (sqa.org.uk) to download the SA1(2) form.</p> <p>The Staff Information sheet is part of the SA1(2). Collect CVs, qualifications and continuing professional development records for all potential assessors and verifiers. Check these against Assessment Strategy requirements.</p> <p>Check who you have and what time commitment they will have to make as well as their qualifications and experience.</p> <p>Provide access to learning opportunities appropriate to candidate's needs — workshops, reference books/materials, handouts etc.</p> <p>Learning materials provide candidates/employees support in 'learning the job', eg Induction materials, text books, videos, handouts from courses/ workshops.</p> <p>Reference materials allow candidates/employees to continue to perform effectively, eg centre/company policies, and procedures, operator manuals/guidance, trade magazines, the internet.</p>	<p>As a minimum, you are going to need a Primary Assessor, an Independent Assessor and an Internal Verifier for the Learning and Development award(s) that you offer, all of whom have to have the experience and qualifications specified in the Assessment Strategy.</p> <p>Ensure that your assessors and verifiers keep their CPD records up to date.</p> <p>Plan your CPD carefully. At various points in the year, there will be occasions when a member of staff could attend, eg a Quality Network, or some development work has to be done in relation to the Learning and Development Awards you offer. This can be used as CPD.</p> <p>CPD activities are defined in the Assessment Strategy. (Annex 4) A CPD record template is provided with this guide, in Annex 1 on page 16. Candidates can be referred to your in-house library and websites to get reference material, eg the Employment NTO and CIPD websites.</p> <p>It can be worth looking on sites such as Amazon (<a href="http://www.amazon.co.uk">www.amazon.co.uk</a>) because they often sell material which has been written to be directly relevant to SVQs.</p> <p>It can be useful for candidates to be given a list of publications/learning materials, so that they are aware of the support on offer.</p>

<p>Assessment records.</p> <p>The resources to provide for all stages of each candidate's path to achieving their award. Refer to Annex 2 on page 17</p> <p>An Internal verification system which meets the Learning and Development Assessment Strategy.</p>	<p>Devise or purchase an assessment recording system for candidates to use to present their evidence so that it provides an audit trail for their Primary Assessor, Independent Assessor, Internal Verifier and External Verifier to follow.</p> <p>Check that you have a system for:</p> <ul style="list-style-type: none"> <li>◆ inducting Assessor/Verifiers</li> <li>◆ supporting them</li> <li>◆ reviewing candidate evidence for consistency</li> <li>◆ standardising assessment decisions</li> <li>◆ sampling evidence for IVing</li> <li>◆ feeding back</li> <li>◆ planning and recording CPD.</li> </ul>	<p>Particularly if you are offering Assessor awards, it may be worth making the format of your evidence portfolio for Learning and Development candidates similar to that used by candidates for other SVQs that you offer. This avoids confusing your Learning and Development candidates and gets them used to the format their candidates use.</p> <p>SQA produces candidate evidence portfolios for all the Learning and Development Awards. Contact SQA publications.</p> <p>For Learning and Development Awards you will need a recording document for Independent Assessment.</p> <p>Ask your Assessors and Verifiers to develop and agree materials and procedures to support the standards for the awards. It's a good way of developing their understanding of the evidence requirements and getting consistency — and also counts as CPD.</p> <p>Look at V1 standards for guidance on how your Internal Verification System should operate.</p> <p>Internal Verifiers of Assessor/Verifier Units have to have current evidence of CPD relevant to assessment of the Learning and Development Awards you offer.</p> <p>Keep up to date — check the SQA and ENTO websites.</p> <p>Have regular standardisation meetings of assessors and verifiers. Refer to sample agenda at Annex 3 on page 18.</p>
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## Brief case studies

### Case 1 — Which Awards?

North Caledonia Council has a training department responsible for managing and co-ordinating training for the 4,500 employees of the Council. The Council is committed to the use of SVQs in its Youth Recruitment Programme and offers them as training and development opportunities to existing staff. The training department co-ordinates the delivery of assessment to SVQs in a wide range of occupational areas relevant to the work of the Council and therefore has a need for qualified workplace Assessors and Verifiers with a variety of occupational competences.

While the Council would like to offer Learning and Development SVQs, the only staff who have these awards identified as a priority in their Personal Development Plans are members of the training department, all of whom already have SVQs in Training and Development. Turnover in this department is very low.

The Centre has therefore decided not to apply for approval for the Learning and Development SVQs as maintaining CPD for these awards for a small number of candidates is not cost-effective. However, given the constant need for workplace assessors and verifiers for the other SVQs offered by the Council, they have a need to train and assess 40-plus assessors and at least ten Verifiers per year.

They have decided to seek approval for:

- ◆ A1 for Assessors working with SVQs in Care at level 2 and above and for Assessors working with level 3 SVQs in other areas.
- ◆ A2 for Assessors working with level 2 SVQs where the majority of assessment is carried out by observation and questioning eg, Catering and Hospitality, Administration and Vehicle Maintenance.
- ◆ V1 for Internal Verifiers of these Awards.

## **Case 2 — Which Awards?**

Fisk HR plc has a large number of client companies of varying sizes throughout Scotland. The services they are likely to provide to their client companies include not only establishing and maintaining assessment and verification systems for SVQs, but also ensuring that staff in Training and HR departments in these companies have appropriate qualifications.

They have identified that they have sufficient potential candidates for the full range of Learning and Development awards — SVQs, PDAs and Assessor/Verifier Units. Prior to approval, they engaged in an exercise in which they reviewed the experience and qualifications of their own staff in relation to each of the award areas they wished to seek approval for. This involved matching individuals' specific experience and qualifications against each award area and its Assessment Strategy. This gave the company an accurate picture of what HR resources it could potentially use and what was still required.

## **Case 3 — Enough in-house Assessors to provide primary and independent assessment?**

Mulligan Training Services offers SVQs across a number of occupational areas. It decided to offer Assessor Units to ensure that its workplace Assessors in Care, Administration and Waste Management were appropriately trained and qualified. The Centre's candidates for A1 and A2 come from a large geographical area and are not likely to number more than 10-15 a year. This did not make it cost effective for MTS to have three local staff — an Assessor, an Independent Assessor and an Internal Verifier for every A1/A2 candidate. The Centre identified that some of its Internal Verifiers from other SVQ areas were appropriately qualified to act as Assessors/Independent Assessors of A1/A2 candidates. This made it effective for the centre as its Internal Verifiers could provide award specific support, and their role included observing/monitoring assessors anyway. This helped MTS provide sufficient staffing resource in the right place and also that it operated an integrated quality assurance system across its SVQs.



## **Case 4 — Outsourcing Independent Assessors?**

Kinch Development Company Limited only has one Assessor and one Internal Verifier who meet the Assessment Strategy requirements. It identified a recently retired member of staff who had been an Assessor for D Unit awards in the past. It contracted with this former member of staff to provide independent assessment of part of each A1/A2 candidate's portfolio. Prior to using the person as an Independent Assessor, the Company arranged for him to be updated to the new standards and to be actively involved in the centre's CPD activities.

## **Case 5 — Keeping Assessors/Verifiers current?**

Jimbo HR Development set up a system which involved rotating roles so that all staff members were allocated as Primary Assessor, Independent Assessor and Internal Verifier to different candidates.

The company also made it a mandatory job requirement that to continue to operate as an assessor or verifier, CPD records had to be submitted on an annual basis.

It inducted staff to its CPD system and looked for development opportunities from planned work activity. For example, a member of staff attending a Quality Network meeting about Learning and Development Awards fed back to other members of staff. Both the individual feeding back and those who received the feedback entered this on their CPD record form. Refer to page 16 for sample CPD recording format.

## **Recording Continuing Professional Development**

Continuing Professional Development (CPD) is about how you use a variety of learning experiences to develop yourself professionally and personally. There is a common principle in how you approach CPD, whether you think of it in terms of self-development or lifelong learning. It is about the learning and development that you undertake and the methods you use to reflect on and record this learning.

Putting evidence of attendance at a learning event into a portfolio does not provide evidence of development. What the Learning and Development Assessment Strategy requires you to do is to demonstrate that you have updated and enhanced your competence, within the last year, by completing at least two development activities.

# Annex 1: Continuing Professional Development Record

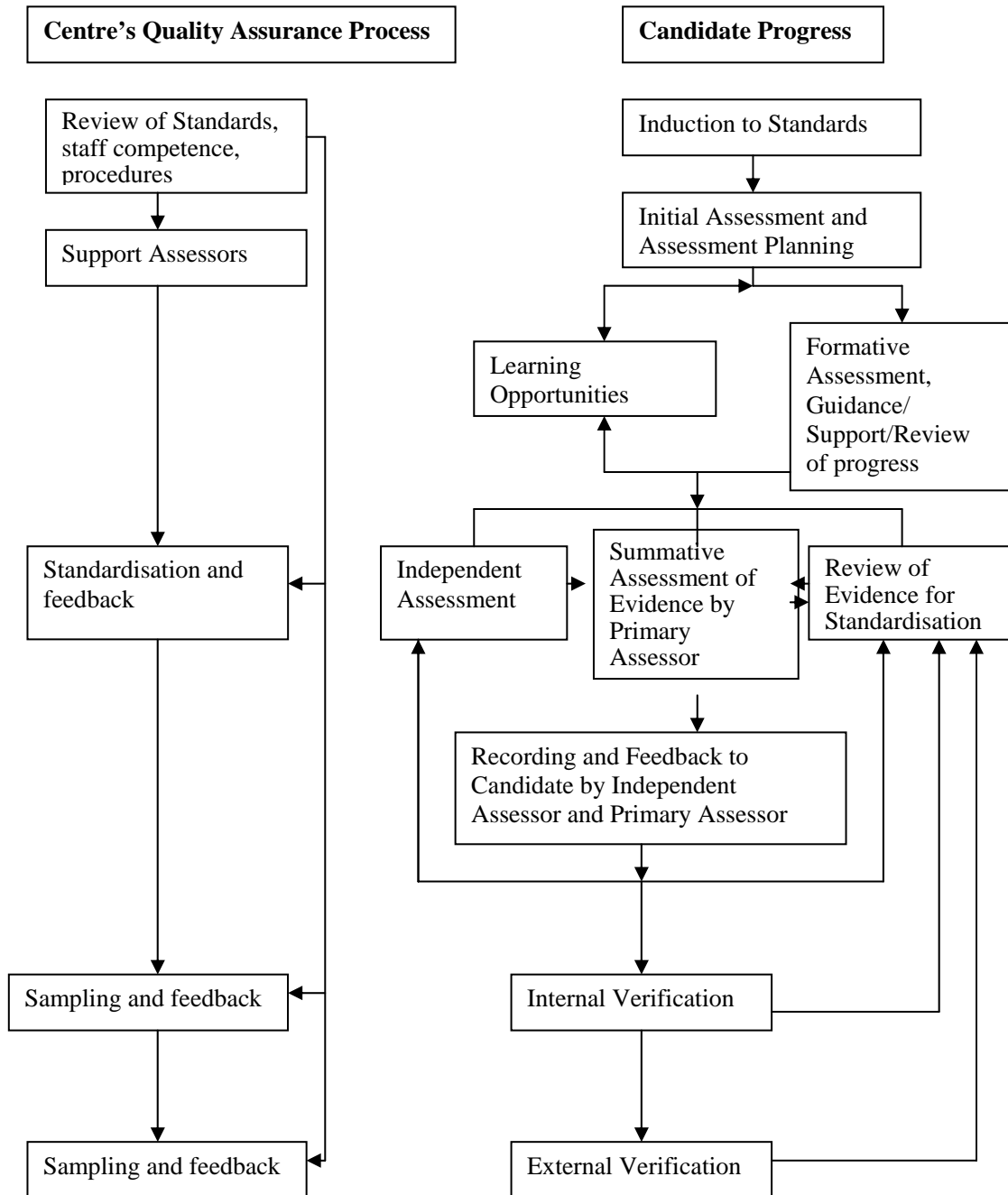
Name: \_\_\_\_\_

Covering the period from: \_\_\_\_\_ to: \_\_\_\_\_

<b>Date of activity.</b>	<b>What did you do that contributes to your CPD?</b>	<b>Link activity to specific objectives in your Development Plan.</b>	<b>What did you learn from this activity that relates to some aspect of your CPD?</b>	<b>How would you implement this learning? Is there any further action?</b>

Signature: \_\_\_\_\_

## Annex 2: Candidate path to achievement of an Award



### **Annex 3: Standardisation meeting — Sample Agenda**

- ◆ review of candidate progress
- ◆ review of selected candidate evidence
- ◆ issues from assessment
- ◆ issues from internal verification
- ◆ issues from external verification
- ◆ plans for CPD activity
- ◆ Action Points:
  - by whom
  - how
  - by when

## Annex 4: The Learning and Development Assessment Strategy

### Introduction

The standards require evidence of consistent occupational competence as defined by the standards, through relevant work activities. A variety of assessment methods should be used to confirm competence as defined in the standards. Assessment of knowledge should be integrated with the assessment of performance wherever possible and appropriate.

ENTO has an Awarding Body Forum which will implement and review these Assessment Strategy arrangements in the light of the prevailing requirements of the regulatory authorities.

### Assessment of performance and knowledge in the workplace

All evidence must be derived from performance within the workplace, with some exceptions. The standards relating to these aspects of competence have been identified and specific forms of assessment attached to them as part of the assessment guidance. The following table produces a summary of the relevant elements:

Element and criterion	Preferred form of assessment
L5.1. h)	Assessor questioning using hypothetical context
L5.2. d)	Assessor questioning using hypothetical context
L.6.1. c)	Assessor questioning as to alternatives considered
L.7.1. e) and f)	Candidate presentation of ILT alternatives considered
L7.2. h)	Assessor questioning of selection of materials against equality and diversity criteria
L7.2. i)	Assessor questioning on checks conducted to ensure training facilities meet HSEP requirements
L.8.3. e)	Assessor questioning using hypothetical context
1.9.3. c), d), e) and f)	Assessor questioning using hypothetical context
1.12.2 b)	Candidate presentation of ILT alternatives considered
L.13.1. e) and g)	Assessor questioning using hypothetical context
L. 15.2 d)	Candidate presentation of ILT alternatives considered
15.2. h)	Assessor questioning using hypothetical context

### Simulated working conditions

Performance of real work activities in the real working environment means that none of the performance criteria in the standards require the use of simulations.

## **External Quality Control**

### **Independent assessment**

This will require candidates to present a balance of evidence which must include a substantive component which has been assessed by someone who is independent from the candidate. Substantive is defined here as a primary piece of outcome evidence for one or more units of competence. Independence is defined here as a competent job holder who is qualified as an Assessor but will not act as the candidate's Primary Assessor

### **The requirements for occupational competence of Assessors and Verifiers**

#### **Assessors**

All Assessors selected by centres must have sufficient occupational competence to ensure an up-to-date working knowledge and experience of the principles and practices specified in the standards they are assessing. Sufficient occupational competence is defined as:

Having held a post for a minimum of one year within the last two years which involved performing the activities defined in the standards as an experienced practitioner.

#### **Or**

Being an experienced trainer or instructor of at least one year's standing in the competence area of the standards.

#### **And for both of the above**

Having demonstrated updating within the last year involving at least two of the following activities:

- ◆ work placement
- ◆ job shadowing
- ◆ technical skill update training
- ◆ attending courses
- ◆ studying for learning and development Units
- ◆ study related to job role
- ◆ collaborative working with Awarding Bodies
- ◆ examining
- ◆ qualifications development work
- ◆ other appropriate occupational activity as agreed with the Internal Verifier

All Assessors will have a sound working knowledge of the content of the standards they are assessing and their assessment requirements. All Assessors will

either hold the relevant qualification for Assessors of National Occupational Standards or have a development plan indicating progress towards that qualification.

Assessors of Assessor-candidates are required to have achieved their relevant Assessor unit(s) before they can start to assess Assessor-candidates. Similarly, Assessors of Internal and External Verifier candidates need to have achieved their own Assessor and Verifier Units before they can start to assess Verifier-candidates.

### **Internal Verifiers**

All Internal Verifiers will have sufficient experience of having conducted assessments of the specific national occupational standards they are verifying or in an appropriate and related occupational area.

Sufficient occupational competence is defined as:

Having been an assessor for the standards being assessed, or for a set of standards in a related occupational area, for a minimum of one year within the last two years.

### **And**

Having demonstrated updating within the last year involving at least two of the following activities:

- ◆ attending Awarding Body verification training courses
- ◆ studying for learning and development Units
- ◆ study related to job role
- ◆ collaborative working with Awarding Bodies
- ◆ qualifications development work
- ◆ other appropriate occupational activity as agreed with the External Verifier

All Internal Verifiers will have direct responsibility and quality control of assessments of the occupational standards or the quality assurance of the assessment process within an assessment centre which has been approved by an Awarding Body.

All Internal Verifiers will have a sound working knowledge of assessment and verification principles as defined in the national standards for internal quality assurance and the particular internal verification requirements. All Internal Verifiers will either hold the relevant qualification for Internal Verifiers of National Occupational Standards, or have a development plan indicating progress towards that qualification.

Internal Verifiers of Assessor-candidates are required to have achieved their Internal Verification unit before they can start to internally verify Assessor-candidates. Similarly, Internal Verifiers of Internal and External Verifier



candidates need to have achieved their own Assessor and Verifier Units before they can start to internally verify Verifier-candidates.

### **External Verifiers**

All External Verifiers will be drawn from experienced senior practitioners in the broad occupational area of the standards they will verify.

Experienced senior practitioner is defined as:

Having held posts of responsibility involving the monitoring and review of the occupational competence of others.

### **Or**

Having been responsible for internal verification and assessment of National Occupational Standards.

### **And for both of the above**

Having demonstrated updating and continuing competence within the last year involving at least two of the following activities:

- ◆ attending at least one External Verifier induction/training event run by an Awarding Body
- ◆ shadowing an experienced External Verifier on centre visits
- ◆ collaborative working with Awarding Bodies such as redevelopment of external monitoring systems
- ◆ study related to job role

All External Verifiers will have a sound working knowledge and experience of vocational assessment. They must also be familiar with internal as well as external verification procedures as defined in the national standards for external quality assurance. They must also demonstrate competence in the particular external verification procedures set down by the Awarding Body for the qualification (including appeals and complaints procedures).

All External Verifiers will either hold the relevant qualification for External Verifiers of National Occupational Standards, or have a development plan indicating progress towards that qualification.

External Verifiers of Assessor-candidates are required to have achieved their External Verification Unit before they can start to externally verify Assessor-candidates. Similarly, External Verifiers of Internal and External Verifier-candidates need to have achieved their own Assessor and External Verifier Unit(s) before they can start to externally verify Verifier-candidates.

## **Annex 5: Guidance on the assessment of Assessment and Verification Awards**

The Assessment and Verification Units are part of the Learning and Development suite of Standards and thus the Learning and Development Assessment Strategy, approved February 2002, is applicable.

### **Assessment in the Workplace and Use of Simulation**

This Assessment Strategy makes clear that all evidence must be derived from performance in the workplace and that none of the performance criteria in the A and V units require simulation.

### **Independent assessment**

The requirements for Independent Assessment say:

‘This will require candidates to present a balance of evidence which must include a substantive component which has been assessed by someone who is independent from the candidate. Substantive is defined here as a primary piece of outcome evidence for one or more Units of competence. Independence is defined here as a competent job holder who is qualified as an assessor but will not act as the candidate’s Primary Assessor’

While this will work for the Learning and Development S/NVQs with eight or more Units it will create problems in the single Unit Awards which could be interpreted to mean that the Unit has to be assessed twice, once by their Assessor and then again by an independent Assessor. This will have the effect of undermining the first Assessor and making the process more cumbersome and bureaucratic.

The ENTO proposes that for the Single Unit Awards Independent Assessment should mean:

The candidate is required to present a substantive primary piece of outcome evidence for each of the specified Units which has been assessed by a second assessor who is independent from the candidate. For example:

- A1.1 an Assessment Plan
- A2.1 an Assessment Plan
- V1.3 an observation of an Assessor conducting the assessment process with the candidate
- V2.2 a final report on a visit to a centre

The independent Assessor may be employed by the same Assessment Centre or by another Assessment Centre.

## **Occupational Competence for Assessors and Verifiers of the Assessment and Verification Units**

This is defined in the Learning and Development Assessment Strategy and is as follows.

### **Assessors**

All Assessors selected by centres must have sufficient occupational competence to ensure an up-to-date working knowledge and experience of the principles and practices specified in the standards they are assessing.

Sufficient occupational competence is defined as:

Having held a post for a minimum of one year within the last two years which involved performing the activities defined in the standards as an experienced practitioner.

### **Or**

Being an experienced trainer or instructor of at least one year's standing in the competence area of the standards.

### **And for both of the above**

Having demonstrated updating within the last year involving at least two of the following activities:

- ◆ work placement
- ◆ job shadowing
- ◆ technical skill update training
- ◆ attending courses
- ◆ studying for learning and development units
- ◆ study related to job role
- ◆ collaborative working with Awarding Bodies
- ◆ examining
- ◆ qualifications development work
- ◆ other appropriate occupational activity as agreed with the Internal Verifier

All Assessors will have a sound working knowledge of the content of the standards they are assessing and their assessment requirements. Assessors of Assessor-candidates are required to have achieved their relevant Assessor Unit(s) before they can start to assess Assessor-candidates. Similarly, Assessors of Internal and External Verifier candidates need to have achieved their own Assessor and Verifier Units before they can start to assess Verifier-candidates.

### **Internal Verifiers**

All Internal Verifiers will have sufficient experience of having conducted assessments of the specific national occupational standards they are verifying or in an appropriate and related occupational area.

Sufficient occupational competence is defined as:

Having been an assessor for the standards being assessed, or for a set of standards in a related occupational area, for a minimum of one year within the last two years.

### **And**

Having demonstrated updating within the last year involving at least two of the following activities:

- ◆ attending Awarding Body verification training courses
- ◆ studying for Learning and Development Units
- ◆ study related to job role
- ◆ collaborative working with Awarding Bodies
- ◆ qualifications development work
- ◆ other appropriate occupational activity as agreed with the External Verifier

All Internal Verifiers will have direct responsibility and quality control of assessments of the occupational standards or the quality assurance of the assessment process within an assessment centre which has been approved by an Awarding Body.

All Internal Verifiers will have a sound working knowledge of assessment and verification principles as defined in the national standards for internal quality assurance and the particular internal verification requirements. Internal Verifiers of Assessor-candidates are required to have achieved their Internal Verification unit before they can start to internally verify Assessor-candidates. Similarly, Internal Verifiers of Internal and External Verifier candidates need to have achieved their own Assessor and Verifier Units before they can start to internally verify Verifier-candidates.

### **External Verifiers**

All External Verifiers will be drawn from experienced senior practitioners in the broad occupational area of the standards they will verify. Experienced senior practitioner is defined as:

Having held posts of responsibility involving the monitoring and review of the occupational competence of others.

### **Or**

Having been responsible for internal verification and assessment of national occupational standards.

**And for both of the above**

Having demonstrated updating and continuing competence within the last year involving at least two of the following activities:

- ◆ attending at least one external verifier induction/training event run by an Awarding Body
- ◆ shadowing an experienced external verifier on centre visits
- ◆ collaborative working with Awarding Bodies such as redevelopment of external monitoring systems
- ◆ study related to job role

All External Verifiers will have a sound working knowledge and experience of vocational assessment. They must also be familiar with internal as well as external verification procedures as defined in the national standards for external quality assurance. They must also demonstrate competence in the particular external verification procedures set down by the Awarding Body for the qualification (including appeals and complaints procedures).

External Verifiers of Assessor-candidates are required to have achieved their External Verification Unit before they can start to externally verify Assessor-candidates. Similarly, External Verifiers of Internal and External Verifier candidates need to have achieved their own Assessor and External Verifier Unit(s) before they can start to externally verify Verifier-candidates.

**Qualification Requirements**

<b>In order to assess or verify a candidate for the Units below the Assessor/Verifier must have the following Awards</b>	<b>Assessor must have</b>	<b>Internal Verifier must have</b>	<b>External Verifier must have</b>
A1	A1 or D32-3	A1 + V1 or D32-4	A1 + V2 or D32-3 + D35
A2	A1 or D32-3	A1 + V1 or D32-4	A1 + V2 or D32-3 + D35
V1	A1 + V1 or D32-4	A1 + V1 or D32-4	A1 + V1 + V2 or D32-35
V2	A1 + V2 or D32-3 + D35	A1 + V1 + V2 or D32-35	A1 + V2 or D32-3 + D35

## **Annex 6: Guidance for Assessors and Internal Verifiers of the A and V Units**

The following is a summary of the experience and qualifications required by Assessors, Independent Assessors and Internal Verifiers of the A and V Units. Centres are advised to refer to the *Learning and Development Assessment Strategy* and the *Employment NTO Guidance on Assessment of Assessment and Verification Awards* for more detailed guidance.

### **To assess A1/A2, you should:**

- ◆ have been a qualified and practising Assessor for at least one year within the last two years OR have been a qualified Assessor and an experienced trainer of Assessors for at least one year
- ◆ have a sound working knowledge of the A1/2 unit standards and evidence requirements
- ◆ have undertaken at least two updating activities in the past year

### **To assess V1, you should:**

- ◆ already be a qualified Assessor and Internal Verifier
- ◆ have been a qualified and practising Internal Verifier for at least one year within the last two years OR have been an experienced trainer of Internal Verifiers for at least one year
- ◆ have a sound working knowledge of the V1 Unit standards and evidence requirements
- ◆ have undertaken at least two updating activities in the past year

### **To internally verify A1/A2, you should:**

- ◆ already be a qualified Assessor and Internal Verifier
- ◆ have been an assessor for D32/33 or A2/A1 (similar standards would also be acceptable) for at least one year within the last two years
- ◆ have a sound working knowledge of assessment and verification principles as defined in the V1 Unit standards
- ◆ have undertaken at least two updating activities in the past year

### **To internally verify V1, you should:**

- ◆ already be a qualified Assessor and Internal Verifier
- ◆ have been a assessor for D34/V1 (similar standards would also be acceptable) for at least one year within the last two years
- ◆ have a sound working knowledge of assessment and verification principles as defined in the V1 unit standards
- ◆ have undertaken at least two updating activities in the past year

**To be an Independent Assessor for the A and/or V Units, you:**

- ◆ should be an occupationally competent and qualified Assessor and meet all the requirements of an assessor as detailed in the Learning and Development Assessment Strategy
- ◆ must not also be the Assessor/Verifier-candidate's Primary Assessor or Internal Verifier
- ◆ could be employed by the same centre (as the Assessor/Verifier-candidate) or by another approved centre

## **Annex 7: Assessment of non-SVQs (as a vehicle for achieving the A1/2 Unit)**

- ◆ Does the award allow for the assessment principles contained within A1/2 to be applied?
- ◆ Are the standards and evidence requirements for the Award clearly written?
- ◆ Can the Assessor-candidate naturally cover at least four methods of assessment including observation (A1), and 2 methods; observation and questioning (A2)?
- ◆ Will employees/candidates be assessed carrying out their normal work activities in their natural working environment?
- ◆ Are the employees/candidates entered for this award doing it because real development/assessment needs have been identified?
- ◆ Is there an effective internal verification system in place (in line with V1) to quality assure the Award being offered?

## **Internal verification of non-SVQs (as a vehicle for achieving the V1 Unit)**

- ◆ Does the Award being quality assured meet the requirements of the non-SVQ criteria for A1/2?
- ◆ Does the internal verification system mirror the principles contained within V1?
- ◆ Is there an effective continuous external audit/moderation system in place to quality assure the work of Assessors and Internal Verifiers?

Note:

The Assessment Strategy for Learning and Development continues to apply to Assessors and Internal Verifiers of Assessor and Internal-Verifier candidates who assesses/internally verify non SVQs.

Centres who require further advice or are unsure of meeting the above requirements are advised to get in contact with their External Moderator or SQA's Qualifications Manager for Learning and Development.