



SQA Approval Guidance

- QCF Assessor qualifications**
- QCF Quality Assurance qualifications**

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Purpose

The purpose of the guidance is to help your centre obtain the SQA approval needed to offer the Ofqual regulated assessor or internal quality assurer qualifications.

Getting ready for approval

An overview

There are two types of approval:

- ◆ approval as an SQA centre and to offer specific qualifications (new centre approval)
- ◆ approval to offer specific qualifications (existing centre approval).

For approval as an SQA centre, SQA makes sure that your centre has the management structure and quality assurance systems to support the delivery, assessment and internal quality assurance 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 quality assurance 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, you can:

- ◆ download the *Guide to Approval* and *SQA's Quality Framework: a guide to centres* from www.sqa.org.uk
- ◆ or e-mail mycentre@sqa.org.uk
- ◆ or call the SQA Regional Business Development and Customer Support Team on 0303 333 0330.

Three stages

There are three main stages:

- 1 Choosing the qualifications you wish to offer.
- 2 Reviewing your existing quality procedures in relation to the qualifications 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 scenarios.

Stage 1: Choosing the qualifications you wish to offer

What you will need	What to do	Tips
Information on the qualifications that SQA offers	Refer to SQA's website for complete qualification and Unit listings.	SQA has made decisions on the range of qualifications it offers on the basis of its own market research and the consultations carried out in 2009 and 2010. SQA offers both SCQF and QCF qualifications. As SQA has provided assessment guidance for its QCF qualifications, it is important that all qualifications information is accessed from the SQA Secure website.
Gather information on the potential number of candidates	<p>Review your past and current experience of offering qualifications in this area and check information on your potential client group — how many, what is their job role?</p> <p>Check the assessment environment in which potential candidates work. This is particularly important for assessor and quality assurer candidates.</p>	<p>Carefully consider the selection of the qualifications you want to offer, eg there may be a limited market for the Lead IQA Certificate in comparison to assessor qualifications. There is no requirement for you to offer the entire suite of assessor/IQA qualifications.</p> <p>Check the Evidence Requirements for each qualification. These can be accessed through the SQA Secure website.</p>
Resources within your centre or available to your centre	<p>Check the qualifications and CPD records of your staff or potential staff. Check physical resources, eg learning materials, reference materials, etc.</p> <p>Identify the resources you will offer your candidates.</p>	Consider carefully whether you have the resources to offer the qualifications. For example, in the QCF level 4 Certificate in Leading the Internal Quality Assurance of Assessment Processes and Practice, there is a Management Unit. You may not feel that you have the inhouse expertise to deal with this Unit, and therefore could choose not to apply for approval to offer this qualification or you could outsource any learning provision and/or assessment relevant to this Unit.
The Assessment Strategy for QCF Assessor and Internal Quality Assurer Qualifications	Check that you have the staff resources to meet the requirements of the assessment strategy.	<p>The Assessment Strategy for QCF Assessor and Internal Quality Assurer Qualifications applies only to the QCF assessor and internal quality assurer qualifications (see Annexe 1). It defines what staff your centre has to have and how you use their skills and experience to deliver the qualifications.</p> <p>The Assessment Strategy for Management and Leadership Qualifications applies to the Management Unit in the level 4 Certificate in Leading the Internal Quality Assurance of Assessment Processes and Practice (see Annexe 3).</p>

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 the QCF assessor and internal quality assurer qualifications</p>	<p>Create QA policies and procedures to meet SQA criteria or review existing procedures.</p>	<p>If you are setting up a new centre, contact Business Development at SQA for current information on quality criteria and what you need to have in place to comply with them.</p> <p>If you are already an approved centre, find out when you last had a visit from an SQA Quality Enhancement 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 Quality Framework: a Guide for Centres on www.sqa.org.uk/approval 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 qualifications you've chosen.</p>
	<p>Check the QCF Assessor and Internal Quality Assurer Qualifications Assessment Strategy.</p> <p>Check the Evidence Requirements for the qualifications you want to offer.</p>	<p>Compare the requirements with the CVs and CPD records of the staff you plan to use for these qualifications.</p> <p>Check the job roles of potential candidates against the evidence they will have to produce to achieve the qualifications.</p>

Stage 3: Making the application

What you will need	What to do	Tips
<p>Completed approval forms and staff support documents for all those likely to be involved in assessment and IQA of the qualifications</p>	<p>Go to the SQA website (www.sqa.org.uk/approval) to download the forms.</p> <p>The staff support document is a separate form that must be completed for each member of staff.</p> <p>Collect CVs, qualifications and continuing professional development records for all potential assessors and internal quality assurers. Check these against assessment strategy requirements.</p>	<p>As a minimum, you are going to need an assessor and an internal quality assurer for the qualifications that you offer, both of whom have to have the experience and qualifications specified in the assessment strategy.</p>
<p>Sufficient assessors and internal quality assurers</p>	<p>Check who you have and what time commitment they will need to make, as well as their qualifications and experience.</p>	<p>Ensure that your assessors and internal quality assurers 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 will attend, eg a standardisation meeting or some development work has to be done in relation to the qualifications you offer. This can be used as CPD.</p> <p>A CPD record template and guidance on possible CPD activities is provided in Annexe 4.</p>

Stage 3: Making the application (cont)

What you will need	What to do	Tips
<p>Resources — reference and learning materials</p>	<p>Provide access to learning opportunities appropriate to candidates' needs — workshops, reference books/materials, handouts etc.</p> <p>Learning materials provide candidates/employees with support on 'learning the job', eg induction materials, textbooks, videos, handouts from course/workshops. They are also available on the SQA Secure website.</p> <p>In addition, SQA has a Professional Development Workshop programme — details are on the SQA website.</p> <p>Reference materials allow candidates/employees to continue to perform effectively, eg centre/company policies and procedures, inhouse manuals/guidance, professional magazines, the internet.</p>	<p>Candidates can be referred to your in-house library and websites to get reference material, eg the SQA website.</p> <p>Try a web search using 'QCF <your subject> books' as key words to find possible sources of materials.</p> <p>It can be helpful for candidates to be given a list of publications, learning materials, etc so that they are aware of the support on offer.</p>

Stage 3: Making the application (cont)

What you will need	What to do	Tips
Assessment records	Select or create an assessment recording system for candidates to use to present their evidence so that it provides an audit trail for their assessor, internal quality assurer and external quality assurer to follow.	<p>SQA has devised an Evidence Tracker for all the assessor and IQA qualifications. It can be downloaded from the SQA Secure Site.</p> <p>If you are offering assessor qualifications, you may wish to choose an evidence portfolio format for candidates similar to that used by candidates for other qualifications that you offer. This could avoid confusing your assessor candidates and get them used to the format their candidates use.</p>
The resources to provide for all stages of each candidate's path to achieving their award (see Annexe 5)		Ask your assessors and IQAs to research or develop materials and procedures to meet the standards for the qualifications. It's a good way of developing their understanding of the Evidence Requirements and getting consistency — and also counts as CPD.
An internal quality assurance system which meets the assessment strategy and the SQA quality criteria	<p>Check that you have a system for:</p> <ul style="list-style-type: none"> ◆ inducting assessor/internal quality assurers ◆ supporting them ◆ reviewing candidate evidence for consistency ◆ standardising assessment decisions ◆ sampling evidence for IQA ◆ feeding back ◆ planning and recording CPD 	<p>Look at the L&D11 standards for guidance on how your internal quality assurance system should operate.</p> <p>Internal quality assurers of assessor/quality assurer qualifications have to have current evidence of CPD relevant to assessment/quality assurance of the qualifications you offer (see Annexe 1).</p> <p>Keep up to date — check the SQA website.</p> <p>Have regular standardisation meetings of assessors and IQAs. Refer to sample agenda at Annexe 6.</p>
Evidence that you can present to the EQA (EV) carrying out your qualification approval visit	Check all you have done for the above against the Approval Visit Plan in Annexe 7.	

Summary of QCF assessor and quality assurer qualifications

For more detailed qualification and Unit information, search for the SQA code on www.sqa.org.uk

Qualifications for assessors

QCF level 3 Award in Understanding the Principles and Practices of Assessment			
3 credits SQA code GA2W 69			
Unit 1 (FD49 70) Understanding the Principles and Practices of Assessment 3 credits			A knowledge-only award for those who need to know about assessment (eg managers).
QCF level 3 Award in Assessing Competence in the Work Environment			
9 credits SQA code GA2M 69			
Unit 1 (FD49 70) Understanding the Principles and Practices of Assessment 3 credits	Unit 2 (FD47 70) Assess Occupational Competence in the Work Environment 6 credits		For assessors in the work environment who use the assessment methods below: <ul style="list-style-type: none"> ◆ observation of performance in the work environment ◆ examining products of work ◆ questioning the learner ◆ discussing with the learner ◆ use of others (witness testimony) ◆ looking at learner statements ◆ recognising prior learning

QCF level 3 Award in Assessing Vocationally Related Achievement			
9 credits SQA code GA2N 69			
Unit 1 (FD49 70) Understanding the Principles and Practices of Assessment 3 credits	Unit 3 (FD48 70) Assess Vocational Skills, Knowledge and Understanding 6 credits		For assessors who use the assessment methods below: <ul style="list-style-type: none"> ◆ assessment of the learner in simulated environments ◆ skills tests ◆ oral and written questions ◆ assignments ◆ projects ◆ case studies ◆ recognising prior learning
QCF level 3 Certificate in Assessing Vocational Achievement			
15 credits SQA code GA2X 70			
Unit 1 (FD49 70) Understanding the Principles and Practices of Assessment 3 credits	Unit 2 (FD47 70) Assess Occupational Competence in the Work Environment 6 credits	Unit 3 (FD48 70) Assess Vocational Skills, Knowledge and Understanding 6 credits	For assessors who use all of the above assessment methods.

Qualifications for internal quality assurance

QCF level 4 Award in Understanding the Internal Quality Assurance of Assessment Processes and Practice			
6 credits SQA code GA2V 78			
Unit 4 (FD4A 63) Understanding the Principles and Practices of Internally Assuring the Quality of Assessment 6 credits			A knowledge-only award for those who need to know about internal QA (eg managers or assessors).
QCF level 4 Award in the Internal Quality Assurance of Assessment Processes and Practice			
12 credits SQA Code GA2P 78			
Unit 4 (FD4A 63) Understanding the Principles and Practices of Internally Assuring the Quality of Assessment 6 credits	Unit 5 (FD4C 63) Internally Assure the Quality of Assessment 6 credits		For those who internally quality assure assessors and assessment.
QCF level 4 Certificate in Leading the Internal Quality Assurance of Assessment Processes and Practice			
17 credits SQA Code GA2Y 63			
Unit 4 (FD4A 63) Understanding the Principles and Practices of Internally Assuring the Quality of Assessment 6 credits	Unit 5 (FD4C 63) Internally Assure the Quality of Assessment 6 credits	Unit 6 (FD4D 63) Plan, Allocate and Monitor Work in Own Area of Responsibility 5 credits	For those who have wider quality assurance responsibilities and manage others, develop policies or manage EQA (EV) visits. This is for 'lead' internal quality assurers.

Assessor and internal quality assurer requirements

For all the QCF qualifications listed above, assessors, internal and external quality assurers need to meet the occupational competence requirements of the *Assessment Strategy for QCF Assessor and Quality Assurance Qualifications*. See Annexe 2 for the requirements to assess and quality assure assessor/IQA awards.

All those assessing or quality assuring the qualifications need to be occupationally competent to the standards they assess or quality assure, and their centres have to ensure that they continuously update their knowledge and skills and that their continuing professional development (CPD) is recorded.

Brief scenarios

Scenario 1 — Which qualifications?

North Cumbria 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 qualifications 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 national standards in a wide range of occupational areas relevant to the work of the Council and therefore has a need for qualified workplace assessors and internal quality assurers with a variety of occupational competences. Each qualification has a dedicated team of assessors and IQAs led by a Lead IQA. There are also two managers in the training department who do not have assessment or IQA responsibilities.

The training department consulted the assessment strategies and evidence requirements for the qualifications they offer and identified that some of their assessors need to be qualified to assess in the work environment and others to assess in a classroom situation. They also feel that their managers would benefit from an understanding of the principles and practice of assessment and IQA.

They have decided to seek approval for:

- ◆ QCF level 3 Award in Understanding the Principles and Practices of Assessment for managers
- ◆ QCF level 3 Award in Assessing Competence in the Work Environment for workplace assessors
- ◆ QCF level 3 Award in Assessing Vocationally Related Achievement for assessors in the training centre
- ◆ QCF level 3 Certificate in Assessing Vocational Achievement for assessors who assess candidates on and off job
- ◆ QCF level 4 Award in Understanding the Internal Quality Assurance of Assessment Processes and Practice for managers and assessors
- ◆ QCF level 4 Award in the Internal Quality Assurance of Assessment Processes and Practice for IQAs
- ◆ QCF level 4 Certificate in Leading the Internal Quality Assurance of Assessment Processes and Practice for the Lead IQA

Scenario 2 — Which qualifications?

Fisk HR plc has a large number of client companies of varying sizes throughout the UK. The services they are likely to provide to their client companies include not only establishing and maintaining assessment and verification systems for NVQs, 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 QCF assessor/internal quality assurer qualifications. 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 qualification areas for which they wished to seek approval. This involved matching individuals' specific experience and qualifications against each qualification 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.

As a result of this exercise, they identified the need to train, assess and qualify staff in their own company and in client companies with:

- ◆ QCF level 3 Award in Understanding the Principles and Practices of Assessment for contract managers
- ◆ QCF level 3 Award in Assessing Competence in the Work Environment for workplace assessors
- ◆ QCF level 3 Award in Assessing Vocationally Related Achievement for assessors in training centres
- ◆ QCF level 3 Certificate in Assessing Vocational Achievement for assessors who assess candidates at work and in the training centres
- ◆ QCF level 4 Award in Understanding the Internal Quality Assurance of Assessment Processes and Practice for contract managers
- ◆ QCF level 4 Award in the Internal Quality Assurance of Assessment Processes and Practice for IQAs
- ◆ QCF level 4 Certificate in Leading the Internal Quality Assurance of Assessment Processes and Practice for the Lead IQAs

Scenario 3 — Keeping assessors/internal quality assurers current?

Jimbo HR Development set up a system which involved rotating roles so that all staff members were allocated as assessor and internal quality assurer to different candidates.

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

It inducted staff to its CPD system and looked for development opportunities from planned work activity, eg a member of staff attending an SQA Professional Development Workshop on QCF Assessor/IQA qualifications fed back to other members of staff. Both the individual feeding back and those who received the feedback entered that in their CPD record form. Refer to Annexe 4 for a sample CPD recording format.

Annexe 1: Assessment Strategy

Please note: what follows are Lifelong Learning UK requirements for QCF assessor, internal quality assurance and external quality assurance qualifications. They are not the requirements of the regulators, sector skills councils or awarding organisations for other qualifications and should not be applied to them. These will be covered by assessment strategies relevant to those qualifications.

1 Quality Assurance

Centres offering these qualifications must provide internal quality assurance to ensure assessment meets all awarding organisation requirements and is standardised across individual assessors, assessment locations and learners. In addition, the awarding organisation must ensure there is a robust system of external quality assurance to ensure quality and standardisation across centres.

Awarding organisations should apply appropriate risk rating measures to individual assessment centres and ensure that robust quality assurance systems are in place to manage these risks on an individual basis.

Lifelong Learning UK will also expect the different awarding organisations offering these qualifications to meet on a regular basis through an Awarding Organisation Forum to compare practice and identify issues of concern.

2 Requirements for Assessors

All those who assess these qualifications must:

- already hold the qualification (or previous equivalent qualification) they are assessing and have successfully assessed learners for other qualifications; if assessing quality assurance roles, they must have experience as a qualified quality assurance practitioner of carrying out internal or external quality assurance of qualifications for a minimum of two assessors
- have up-to-date working knowledge and experience of best practice in assessment and quality assurance
- hold one of the following qualifications or their recognised equivalent:
 - the Level 3 Award in Assessing Competence in the Work Environment, *or*
 - the Level 3 Certificate in Assessing Vocational Achievement, *or*
 - A1 Assess candidate performance using a range of methods, *or*
 - D32 Assess candidate performance and D33 Assess candidate using differing sources of evidence
- show current evidence of continuing professional development in assessment and quality assurance

3 Requirements for Internal Quality Assurance

All those who quality assure these qualifications internally must:

- have up-to-date working knowledge and experience of best practice in assessment and quality assurance
- hold one of the following assessor qualifications or their recognised equivalent:
 - the Level 3 Award in Assessing Competence in the Work Environment, *or*
 - the Level 3 Certificate in Assessing Vocational Achievement, *or*
 - A1 Assess candidate performance using a range of methods, *or*
 - D32 Assess candidate performance and D33 Assess candidate using differing sources of evidence
- hold one of the following internal quality assurance qualifications or their recognised equivalent:
 - the Level 4 Award in the Internal Quality Assurance of Assessment Processes and Practice, *or*
 - the Level 4 Certificate in Leading the Internal Quality Assurance of Assessment Processes and Practice, *or*
 - V1 Conduct internal quality assurance of the assessment process, *or*
 - D34 Internally verify the assessment process
- show current evidence of continuing professional development in assessment and quality assurance

4 Requirements for External Quality Assurance

All those who externally quality assure these qualifications must:

- have up-to-date working knowledge and experience of best practice in assessment and quality assurance
- hold one of the following assessor qualifications or their recognised equivalent:
 - the Level 3 Award in Assessing Competence in the Work Environment. *or*
 - the Level 3 Certificate in Assessing Vocational Achievement, *or*
 - A1 Assess candidate performance using a range of methods, *or*
 - D32 Assess candidate performance and D33 Assess candidate using differing sources of evidence
- hold one of the following external quality assurance qualifications or their recognised equivalent:
 - The Level 4 Award in Externally Assuring the Quality of the Assessment Processes and Practice, *or*
 - The Level 4 certificate in Leading the External Quality Assurance of Assessment Processes and Practice, *or*
 - V2 Conduct external quality assurance of the assessment process, *or*

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- D35 Externally verify the assessment process
- show current evidence of continuing professional development in assessment and quality assurance.

Best practice would suggest that external quality assurance staff should also hold an appropriate internal quality assurance qualification, either:

- The level 4 Award in the internal Quality Assurance of Assessment Processes and Practice, *or*
- The level 4 Certificate in leading the internal Quality Assurance of Assessment Processes and Practice, *or*
- V1 Conduct internal quality assurance of the assessment process, *or*
- D34 Internally verify the assessment process

Annexe 2: Qualification requirements for assessors and internal quality assurers of the QCF assessor and internal quality assurer qualifications

<p>If you are assessing the following qualifications:</p> <p>—————→</p>	<p>Level 3 Award in Understanding the Principles and Practices of Assessment</p>	<p>Level 3 Award in Assessing Vocationally Related Achievement</p>
<p>You must already hold the following qualifications:</p> <p>—————→</p> <p><i>Please also refer to the assessment strategy (see Annexe 1) which covers all assessor requirements</i></p>	<p>Level 3 Certificate in Assessing Vocational Achievement (or a component qualification)</p> <p>or</p> <p>L&D9DI Assess workplace competence using direct and indirect methods</p> <p>or</p> <p>A1 Assess candidate performance using a range of methods</p> <p>or</p> <p>D32 Assess candidate performance and D33 Assess candidate using differing sources of evidence</p>	<p>Level 3 Certificate in Assessing Vocational Achievement</p> <p>or</p> <p>Level 3 Award in Assessing Vocationally Related Achievement</p> <p>or</p> <p>L&D9DI Assess workplace competence using direct and indirect methods</p> <p>or</p> <p>A1 Assess candidate performance using a range of methods</p> <p>or</p> <p>D32 Assess candidate performance and D33 Assess candidate using differing sources of evidence</p>

<p>If you are assessing the following qualifications:</p> <p>—————→</p>	<p>Level 3 Award in Assessing Competence in the Work Environment</p>	<p>Level 3 Certificate in Assessing Vocational Achievement</p>
<p>You must already hold the following qualifications:</p> <p>—————→</p> <p><i>Please also refer to the assessment strategy (see Annexe 1) which covers all assessor requirements</i></p>	<p>Level 3 Certificate in Assessing Vocational Achievement</p> <p>or</p> <p>Level 3 Award in Assessing Competence in the Work Environment</p> <p>or</p> <p>L&D9DI Assess workplace competence using direct and indirect methods</p> <p>or</p> <p>A1 Assess candidate performance using a range of methods</p> <p>or</p> <p>D32 Assess candidate performance and D33 Assess candidate using differing sources of evidence</p>	<p>Level 3 Certificate in Assessing Vocational Achievement</p> <p>or</p> <p>L&D9DI Assess workplace competence using direct and indirect methods</p> <p>or</p> <p>A1 Assess candidate performance using a range of methods</p> <p>or</p> <p>D32 Assess candidate performance and D33 Assess candidate using differing sources of evidence</p>

<p>If you are assessing the following qualifications:</p> <p>—————▶</p>	<p>Level 4 Award in the Internal Quality Assurance of Assessment Processes and Practice</p>	<p>Level 4 Certificate in Leading the Internal Quality Assurance of Assessment Processes and Practice</p>
<p>You must already hold the following qualifications:</p> <p>—————▶</p> <p><i>Please also refer to the assessment strategy (Annexe 1) which covers all assessor requirements</i></p>	<p>Level 3 Certificate in Assessing Vocational Achievement</p> <p>or</p> <p>L&D9DI Assess workplace competence using direct and indirect methods</p> <p>or</p> <p>A1 Assess candidate performance using a range of methods</p> <p>or</p> <p>D32 Assess candidate performance and D33 Assess candidate using differing sources of evidence</p> <p>AND</p> <p>Level 4 Certificate in Leading the Internal Quality Assurance of Assessment Processes and Practice</p> <p>or</p> <p>Level 4 Award in the Internal Quality Assurance of Assessment Processes and Practice</p> <p>or</p> <p>L&D11 Internally Monitor and Maintain the Quality of Workplace Assessment</p> <p>or</p> <p>V1 Conduct internal quality assurance of the assessment process,</p> <p>or</p> <p>D34 Internally verify the assessment process</p>	<p>Level 3 Certificate in Assessing Vocational Achievement</p> <p>or</p> <p>L&D9DI Assess workplace competence using direct and indirect methods</p> <p>or</p> <p>A1 Assess candidate performance using a range of methods</p> <p>or</p> <p>D32 Assess candidate performance and D33 Assess candidate using differing sources of evidence</p> <p>AND</p> <p>Level 4 Certificate in Leading the Internal Quality Assurance of Assessment Processes and Practice</p> <p>or</p> <p>*Level 4 Award in the Internal Quality Assurance of Assessment Processes and Practice</p> <p>or</p> <p>*L&D11 Internally Monitor and Maintain the Quality of Workplace Assessment</p> <p>or</p> <p>*V1 Conduct internal quality assurance of the assessment process</p> <p>or</p> <p>*D34 Internally verify the assessment process</p> <p>*PLUS</p> <p>Suitable management experience and/or qualifications are required</p>

<p>If you are quality assuring the following qualifications (or Units of):</p>	<p>Level 3 Award in Understanding the Principles and Practices of Assessment</p>	<p>Level 3 Award in Assessing Vocationally Related Achievement</p>
<p>You must already hold the following qualifications:</p> <p><i>Please also refer to the assessment strategy (see Annexe 1) which covers all assessor requirements</i></p>	<p>Level 3 Certificate in Assessing Vocational Achievement (or an Award thereof)</p> <p>or</p> <p>L&D9DI Assess workplace competence using direct and indirect methods</p> <p>or</p> <p>A1 Assess candidate performance using a range of methods</p> <p>or</p> <p>D32 Assess candidate performance and D33 Assess candidate using differing sources of evidence</p> <p>AND</p> <p>Level 4 Certificate in Leading the Internal Quality Assurance of Assessment Processes and Practice</p> <p>or</p> <p>Level 4 Award in the Internal Quality Assurance of Assessment Processes and Practice</p> <p>or</p> <p>L&D11 Internally Monitor and Maintain the Quality of Workplace Assessment</p> <p>or</p> <p>V1 Conduct internal quality assurance of the assessment process,</p> <p>or</p> <p>D34 Internally verify the assessment process</p>	<p>Level 3 Certificate in Assessing Vocational Achievement</p> <p>or</p> <p>Level 3 Award in Assessing Vocationally Related Achievement</p> <p>or</p> <p>L&D9DI Assess workplace competence using direct and indirect methods</p> <p>or</p> <p>A1 Assess candidate performance using a range of methods,</p> <p>or</p> <p>D32 Assess candidate performance and D33 Assess candidate using differing sources of evidence</p> <p>AND</p> <p>Level 4 Certificate in Leading the Internal Quality Assurance of Assessment Processes and Practice</p> <p>or</p> <p>Level 4 Award in the Internal Quality Assurance of Assessment Processes and Practice</p> <p>or</p> <p>L&D11 Internally Monitor and Maintain the Quality of Workplace Assessment</p> <p>or</p> <p>V1 Conduct internal quality assurance of the assessment process,</p> <p>or</p> <p>D34 Internally verify the assessment process</p>

<p>If you are quality assuring the following qualifications (or Units of):</p> <p>→</p>	<p>Level 3 Award in Assessing Competence in the Work Environment</p>	<p>Level 3 Certificate in Assessing Vocational Achievement</p>
<p>You must already hold the following qualifications:</p> <p>→</p> <p><i>Please also refer to the assessment strategy (see Annexe 1) which covers all assessor requirements</i></p>	<p>Level 3 Certificate in Assessing Vocational Achievement</p> <p>or</p> <p>Level 3 Award in Assessing Competence in the Work Environment</p> <p>or</p> <p>L&D9DI Assess workplace competence using direct and indirect methods</p> <p>or</p> <p>A1 Assess candidate performance using a range of methods</p> <p>or</p> <p>D32 Assess candidate performance and D33 Assess candidate using differing sources of evidence</p> <p>AND</p> <p>Level 4 Certificate in Leading the Internal Quality Assurance of Assessment Processes and Practice</p> <p>or</p> <p>Level 4 Award in the Internal Quality Assurance of Assessment Processes and Practice</p> <p>or</p> <p>L&D11 Internally Monitor and Maintain the Quality of Workplace Assessment</p> <p>or</p> <p>V1 Conduct internal quality assurance of the assessment process,</p> <p>or</p> <p>D34 Internally verify the assessment process</p>	<p>Level 3 Certificate in Assessing Vocational Achievement</p> <p>or</p> <p>L&D9DI Assess workplace competence using direct and indirect methods</p> <p>or</p> <p>A1 Assess candidate performance using a range of methods</p> <p>or</p> <p>D32 Assess candidate performance and D33 Assess candidate using differing sources of evidence</p> <p>AND</p> <p>Level 4 Certificate in Leading the Internal Quality Assurance of Assessment Processes and Practice</p> <p>or</p> <p>Level 4 Award in the Internal Quality Assurance of Assessment Processes and Practice</p> <p>or</p> <p>L&D11 Internally Monitor and Maintain the Quality of Workplace Assessment</p> <p>or</p> <p>V1 Conduct internal quality assurance of the assessment process,</p> <p>or</p> <p>D34 Internally verify the assessment process</p>

<p>If you are quality assuring the following qualifications (or Units of): →</p>	<p>Level 4 Award in the Internal Quality Assurance of Assessment Processes and Practice</p>	<p>Level 4 Certificate in Leading the Internal Quality Assurance of Assessment Processes and Practice</p>
<p>You must already hold the following qualifications: →</p> <p><i>Please also refer to the assessment strategy (see Annex 1) which covers all assessor requirements</i></p>	<p>Level 3 Certificate in Assessing Vocational Achievement</p> <p>or</p> <p>L&D9DI Assess workplace competence using direct and indirect methods</p> <p>or</p> <p>A1 Assess candidate performance using a range of methods,</p> <p>or</p> <p>D32 Assess candidate performance and D33 Assess candidate using differing sources of evidence</p> <p>AND</p> <p>Level 4 Certificate in Leading the Internal Quality Assurance of Assessment Processes and Practice</p> <p>or</p> <p>Level 4 Award in the Internal Quality Assurance of Assessment Processes and Practice</p> <p>or</p> <p>L&D11 Internally Monitor and Maintain the Quality of Workplace Assessment</p> <p>or</p> <p>V1 Conduct internal quality assurance of the assessment process,</p> <p>or</p> <p>D34 Internally verify the assessment process</p>	<p>Level 3 Certificate in Assessing Vocational Achievement</p> <p>or</p> <p>L&D9DI Assess workplace competence using direct and indirect methods</p> <p>or</p> <p>A1 Assess candidate performance using a range of methods,</p> <p>or</p> <p>D32 Assess candidate performance and D33 Assess candidate using differing sources of evidence</p> <p>AND</p> <p>Level 4 Certificate in Leading the Internal Quality Assurance of Assessment Processes and Practice</p> <p>or</p> <p>*Level 4 Award in the Internal Quality Assurance of Assessment Processes and Practice</p> <p>or</p> <p>*L&D11 Internally Monitor and Maintain the Quality of Workplace Assessment</p> <p>or</p> <p>*V1 Conduct internal quality assurance of the assessment process</p> <p>or</p> <p>*D34 Internally verify the assessment process</p> <p>*PLUS</p> <p>Suitable management experience and/or qualifications are required</p>

Annexe 3: Assessment Strategy for Management and Leadership

Scottish Vocational Qualifications (SVQs) and National Vocational Qualifications (QCF) and Units

The Management Standards Centre (MSC) is the Government recognised standards setting body for Management and Leadership. This document sets out the overarching assessment strategy for National Vocational Qualifications (QCF) and related Units and Scottish Vocational Qualifications (SVQs) in Management and Leadership based on the national occupational standards (NOS) for Management and Leadership.

1 Achieving external quality control of assessment

The following measures are proposed in terms of achieving external quality control of assessment:

- ◆ Application of risk management. The MSC will expect awarding bodies to apply such risk management systems to the awarding of NVQs and SVQs in management and leadership and deploy resources accordingly to tackle identified risks.
- ◆ The existing Management and Leadership Qualifications Forum (M&LQF) will take on a more active role in relation to the ongoing assessment and quality assurance of NVQs and SVQs in Management and Leadership
- ◆ Standardisation activities/exercises across centres (assessors and internal verifiers) and external verifiers.

2 Assessment through performance in the workplace

The NVQs and SVQs in management and leadership are to be assessed using evidence from the workplace, ie observable performance, physical products of work (such as reports, plans, correspondence etc), witness testimony, discussion and questioning etc.

3 Assessment by simulation

Simulation is not allowed.

4 Requirements for assessors and Verifiers

Assessors and Verifiers must demonstrate that they:

- ◆ have credible expertise in management and leadership relevant to the level(s)/units they are assessing or verifying.
- ◆ keep themselves up-to-date with developments in management and leadership practice;
- ◆ have a thorough understanding of the NOS for Management and Leadership at the Unit(s)/level(s) they are assessing or verifying.

In addition assessors and Verifiers must have:

- ◆ An accredited assessor and/or verifier qualification, or

SQA Approval Guidance (QCF)

- ◆ A related qualification in assessment and/or verification that has been mapped to the national occupational standards for assessment and/or verifications, or
- ◆ Evidence of undertaking an employer assessment programme that has been mapped to the national occupational standards for assessment and/or verifications

Annexe 4: CPD recording

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 it 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 assessment strategy requires you to do to is to show current evidence that you have updated and enhanced your competence, within the last year, by completing at least two development activities that you plan in line with L&D10 Reflect on, Develop and Maintain Own Skills and Practice in Learning and Development. There are three stages to this:

Stage 1: Evaluate own performance as a learning and development practitioner

- ◆ Identify current performance requirements relevant to own practice.
- ◆ Identify trends and developments relevant to own skills, knowledge and practice.
- ◆ Identify and critically reflect on own beliefs and attitudes influence own practice.
- ◆ Seek feedback, collect information and continually reflect on own performance.
- ◆ Assess the extent to which own practice is inclusive and promotes equality and diversity.
- ◆ Review and evaluate own skills knowledge and practice against available information.

You could:

- check yourself against the assessment strategy;
- keep abreast of the SVQ standards;
- keep up to date with assessor/quality assurer standards;
- keep up to date with current/new centre and SQA requirements;
- collect candidate, colleague, internal and external quality assurer feedback

Stage 2: List and prioritise your development areas

These may include those identified by:

- ◆ yourself (linked to self-review and evaluation)
- ◆ colleagues involved in your standardisation activities
- ◆ your centre or SQA — eg a request to attend an event

Stage 3: List instances when you can share information

These may include:

- ◆ informing relevant individuals and using appropriate systems to report and address factors that impact negatively on own practice
- ◆ sharing knowledge, skills and improvements to practice with colleagues where it is likely to be of benefit

Continuing Professional Development Record

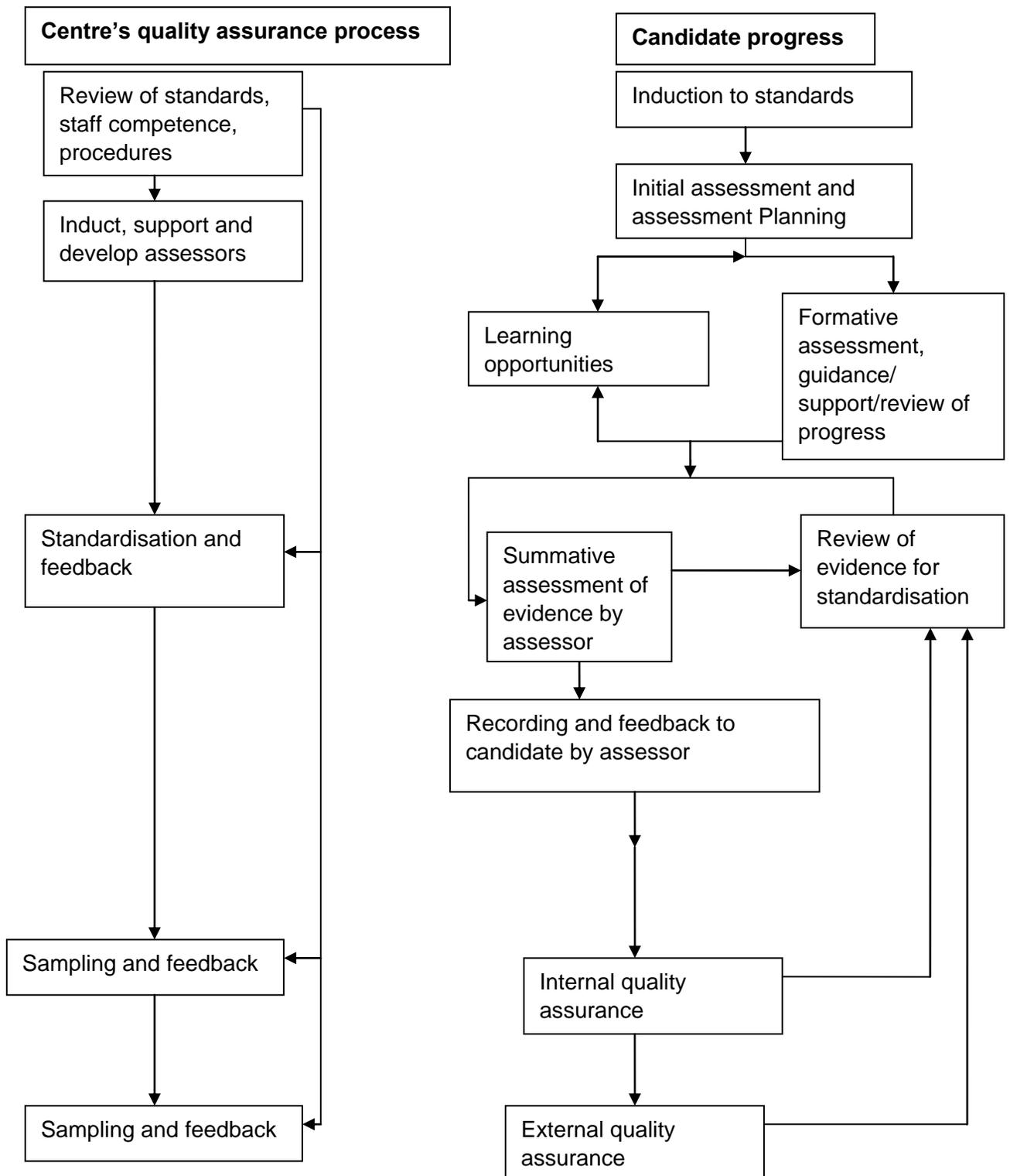
Name: _____

Covering the period from: _____ to: _____

Date of activity	What did you do that contributes to your CPD?	Link activity to specific objectives in your development plan	What did you learn from this activity that relates to some aspect of your CPD?	How would you implement this learning? Is there any further action?

Signature: _____

Annexe 5: Candidate path to achievement of a qualification



Annexe 6: Standardisation activities

The purpose of standardisation activities is to ensure consistency of assessment decisions. Opportunities to standardise can include:

- ◆ Review of assessed candidate evidence by assessors and IQAs
- ◆ Alternating assessor and IQA roles
- ◆ Discussions re interpretation of standards, evidence requirements
- ◆ Encouraging assessors and IQAs to communicate via a discussion forum
- ◆ Discussion of mock evidence/assessment records that have been created to address specific issues
- ◆ Quizzes/questionnaires to test policy, procedures and prior agreements
- ◆ Cross-verification of evidence
- ◆ Maintaining a Decision Log to record agreements reached by the team

As standardisation is an inclusive process, continuous Decision Logs can ensure all group members (those that were present at the time of the meeting(s) and those not) have access to all past decisions, promoting a stronger 'party line' approach. The overall purpose of the Decision Log then is to ensure that all group members have ease of access to all of the most relevant past and current group decisions made on one up to date record.

Standardisation is also about keeping the assessment/IQA team up to date. This can be achieved through e-mails, newsletters and intranet portals etc.

Annexe 7: External Verifier Approval Visit Plan

External Verifier Approval Visit Plan 	
Please complete in black ink or typescript	
This document confirms the evidence you should have available on the day of the approval visit. It also gives details on what will be discussed during the visit.	
This Visit Plan relates to the approval of: assessor/Verifier awards <input type="checkbox"/> NVQs <input type="checkbox"/>	
Centre details	
Centre name	
Centre number (if available)	
SQA Co-ordinator	
Date and time of visit	
Site(s) to be visited (if relevant)	
Group Awards/Units to be approved	
Internal verification and assessment	Proposed assessment and verification recording documents
Evidence type available:	Paper based <input type="checkbox"/> Electronic <input type="checkbox"/> Both <input type="checkbox"/>
Assessor and Internal Verifier qualifications	CVs of all assessors and internal verifiers including evidence/records showing CPD and tracking of their progress towards or achievement of required certification. (D32/33/A1/9DIQCF & D34/V1/11/QCF)
In order to determine the potential of the centre to offer the planned qualifications and that quality assurance procedures pertaining to the specific Award(s)/Unit(s) will be applied, I wish to access evidence relating to the following:	

<p>Access to learning materials: For assessor/verifier candidates, these are materials that will help them to learn about assessment and internal verification, ie quality assurance principles such as validity, authenticity, reliability, currency and sufficiency of evidence; rules of sampling and monitoring assessor practice, standardisation etc.</p>
<p>Access to reference materials: These are materials that will ensure that assessors and internal verifiers keep doing their job properly and will include your centre's assessment and internal verification policies and procedures. How will you ensure that assessor/verifier candidates have access to these?</p>
<p>Adherence to Assessment Strategies: Re-assessor/verifier qualifications and CPD — ref: SQA website, Learning and Development pages.</p>
<p>Assessor and Internal Verifier selection, induction and support: Information relating to how centre will select, induct and support assessors and internal verifiers.</p>
<p>Equal/fair access to assessment: As per centre policy.</p>
<p>Assessor standardisation arrangements: Information on how your centre arranges for assessors and verifiers to meet and standardise their practice.</p>
<p>Accommodation and equipment: No specialist accommodation and equipment required for these awards.</p>
<p>Internal verification strategy/procedures and sampling: As per centre policy.</p>
<p>Continuing Professional Development (CPD): Information on planned CPD requirements. More information can be accessed on SQA website, Learning and Development pages.</p>
<p>Please make arrangements for me to see any relevant documentation in relation to the above procedures/processes.</p>

Verification Group name	
Verification Group number	
External Verifier details	
Name (please print)	
Telephone number	
Mobile telephone number	
E-mail address	
Signature	
Additional comments	