

# Assessor/Verifier Units: Assessment Guidance

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# Contents

<b>Section 1:</b>	<b>Introduction</b>	<b>1</b>
	Continuing Professional Development	1
	Structure of Sections 2 and 3	2
	Terminology	2
<b>Section 2:</b>	<b>The National Standards and minimum Evidence Requirements for the A and V Units</b>	<b>4</b>
Unit A1:	Assess candidates using a range of methods	4
	The National Occupational Standards	4
	Evidence Requirements	10
	Knowledge Requirements	12
	Guidance to ensure full coverage of requirements for A1	14
	Sources of evidence	15
Unit A2:	Assess candidates' performance through observation	16
	The National Occupational Standards	16
	Evidence Requirements	21
	Knowledge Requirements	23
	Sources of evidence	23
Unit V1:	Conduct internal quality assurance of the assessment process	25
	The National Occupational Standards	25
	Evidence Requirements	31
	Knowledge Requirements	34
	Guidance to ensure full coverage of requirements for V1	35
	Sources of Evidence	37
Unit V2:	Conduct external quality assurance of the assessment process	40
	The National Occupational Standards	40
	Evidence Requirements	45
	Knowledge Requirements	46
	Sources of evidence	47

<b>Section 3:</b>	<b>The Assessment Strategy requirements for the A and V Units</b>	<b>50</b>
	Employment ENTO Guidance on Assessment and Verification Awards	50
	Summary guidance for assessors and internal verifiers of the A and V units	54

# Section 1: Introduction

The national standards for assessors and verifiers were revised in 2002 by the Employment National Training Organisation (ENTO). The old 'D-Units' were replaced by 'A Units' for assessors and 'V Units' for verifiers.

This document includes the national occupational standards, evidence requirements and Assessment Strategy for the A and V Units, and also provides guidance on:

- ◆ Sources of evidence for each of the A and V Units and guidance on full coverage of the evidence requirements for A1 and V1 Units.
- ◆ The experience and qualifications required by assessors and verifiers of the A1, A2 and V1 Units.

The national occupational standards are:

- ◆ A1 Assess Candidates Using a Range of Methods
- ◆ A2 Assess Candidates' Performance through Observation
- ◆ V1 Conduct Internal Quality Assurance of the Assessment Process
- ◆ V2 Conduct External Quality Assurance of the Assessment Process

They have replaced:

- ◆ D32 Assess Candidate Performance
  - ◆ D33 Assess the Candidate Using Differing Sources of Evidence
  - ◆ D34 Internally Verify the Assessment Process
  - ◆ D35 Externally Verify the Assessment Process
  - ◆ D36 Advise and Support Candidates to Identify Prior Achievement
- 
- ◆ A1 corresponds with the combined Units D32, D33 and D36
  - ◆ A2 corresponds with D32
  - ◆ V1 corresponds with D34
  - ◆ V2 corresponds with D35

## Continuing Professional Development

Assessors and verifiers of the A/V Units who already hold one or more 'D-Units' are not required to obtain certification in the A and V Units. They will, though, be required to demonstrate continuing professional development (CPD) in accordance with the requirements of the Assessment Strategy for Learning and Development (including the A and V Units). The requirement to maintain CPD also applies to holders of the A and V Units.

## Structure of sections 2 and 3

### Section 2: The National Standards and minimum Evidence Requirements for the A and V Units

In this section, the minimum Agreed Common Evidence requirements have been updated (in parts and in wording only — the requirements have not changed) to reflect the agreements made by the Awarding Body Forum for Learning and Development during 2004 and 2005.

### Section 3: The Assessment Strategy requirements for the A and V Units

This section provides guidance on the required occupational competence and continuing professional development (CPD) for those specifically assessing, and verifying the A and V Units.

## Terminology

Because it would otherwise get quite complicated when we are discussing the assessment of candidates who are themselves assessing candidates, we have used the following terms consistently throughout this guide:

<b>Assessor:</b>	someone who assesses an assessor-candidate or verifier-candidate for A/V Units.
<b>Independent assessor:</b>	someone who assesses a component part of an A or V Unit.
<b>Assessor-candidate:</b>	someone who is doing an A Unit.
<b>Candidate:</b>	someone who is being assessed by the assessor-candidate (in something other than A/V Units).
<b>Internal verifier:</b>	someone who internally verifies the assessor or verifier-candidate for the A/V Units.
<b>Internal verifier-candidate:</b>	someone who is doing the V1 Unit.
<b>External verifier-candidate:</b>	someone who is doing the V2 Unit.

**External verifier:** someone employed by SQA who carries out visits to centres to externally verify internal assessment for specific awards/Units.

**Quality Assurance Manager:** someone employed by SQA who is responsible for a range of quality assurance activities across centres within a geographical area.

Note: SQA now uses the term 'External Moderator' instead of 'External Verifier'. However, for the purposes of this publication the term 'External Verifier' has been used.

# **Section 2: The National Standards and minimum Evidence Requirements for the A and V Units**

## **Unit A1: Assess candidates using a range of methods**

### **Overview**

#### **This unit is appropriate for you if your role involves:**

- ◆ assessing candidates against agreed standards of competence using a range of assessment methods
- ◆ giving candidates feedback on your assessment decisions
- ◆ contributing to the internal quality assurance processes

#### **The activities you are likely to be involved in:**

- ◆ developing realistic plans for learning and assessment with candidates
- ◆ understanding assessment requirements
- ◆ planning the assessment process with candidates and the other people involved
- ◆ helping candidates to meet the agreed assessment requirements
- ◆ reviewing the candidate's level of competence and identifying what they need to do to be fully competent
- ◆ supporting candidates with different needs during your assessment
- ◆ using a variety of assessment methods
- ◆ making a record of your assessment decisions
- ◆ giving candidates feedback on their performance and reviewing their progress throughout the assessment process
- ◆ using different types of evidence to give an overall assessment of competence
- ◆ working with the other people involved in the assessment process, such as workplace supervisors and other teachers or trainers

**What the unit covers:**

- ◆ developing plans for assessing competence with candidates
- ◆ judging evidence against agreed standards to make assessment decisions
- ◆ giving candidates feedback and support on your assessment decisions
- ◆ contributing to the internal quality assurance process

**Scope**

This unit covers assessing of candidates by using different assessment methods. These include:

- ◆ watching candidates perform in the workplace
- ◆ asking candidates questions
- ◆ taking account of past experience and achievements
- ◆ setting tests
- ◆ setting projects and tasks
- ◆ arranging simulations
- ◆ assessing the candidate's report of their work
- ◆ using evidence from other people, including peers and witnesses

Assessment can include using material from Awarding Bodies and from within your own organisation. It can also include assessing the competence of those who assess candidates as a major part of their role.

Observation may take place in person or using appropriate technology such as a video tape. Evidence may also include examining products. All candidates must show they have agreed assessment requirements. You must also show you are aware of and understand the appeals and complaints procedures and the processes for handling them.

## **Element A1.1: Develop plans for assessing competence with candidates**

### **Performance Criteria**

You must be able to do the following:

- a Develop and agree an assessment plan with candidates.
- b Check that all candidates understand the assessment process involved, the support available to them and the complaints and appeals procedure.
- c Agree fair, safe, valid and reliable assessment methods.
- d Identify appropriate and cost-effective opportunities for assessing performance.
- e Plan for using different types of evidence.
- f Identify how the past experience and achievements of candidates will contribute to the assessment process.
- g Identify and agree any special arrangements needed to make sure the assessment process is fair.
- h Identify how other people will contribute to assessments and what support they may need.
- i Identify how to protect confidentiality and agree arrangements to deal with sensitive issues.
- j Agree how you will handle any difficulties or disputes during the assessment.
- k Agree when assessment will take place with candidates and the other people involved.
- l Agree arrangements with candidates for reviewing their progress against the assessment plan.
- m Review and update assessment plans to take account of what the candidates have achieved.

## **Element A1.2: Judge evidence against criteria to make assessment decisions**

### **Performance Criteria**

You must be able to do the following:

- a Use the agreed assessment methods to assess competence in appropriate situations.
- b Use the past experience and achievements of candidates as part of the assessment of their current competence.
- c Ensure that the evidence comes from the candidates' own work.
- d Make safe, fair, valid and reliable decisions about the competence of candidates, only on the agreed standard.
- e Collect evidence from the other people involved in the assessment process.
- f Apply any agreed special arrangements to make sure the assessment is fair.
- g Base your decisions on all the relevant evidence of candidates' performance and knowledge. Take this evidence from as many places as possible.

- h Explain and resolve any inconsistencies in the evidence.
- i Make a record of the outcomes of assessments by using the agreed recording system.
- j Speak to the appropriate person if you and the candidate cannot agree on your assessment of their performance.

### **Element A1.3: Provide feedback and support to candidates on assessment decisions**

#### **Performance Criteria**

You must be able to do the following:

- a Give candidates feedback at an appropriate time and place.
- b Give candidates feedback in a constructive and encouraging way, which meets their needs and is appropriate to their level of confidence.
- c Clearly explain your assessment decisions on whether candidates' evidence of competence is good enough.
- d Give candidates advice when they cannot prove their competence and on how they can develop the necessary skills or provide more evidence.
- e Encourage candidates to get advice on your assessment decisions.
- f Identify and agree the next steps in the assessment process and how candidates will achieve these.
- g Follow the agreed complaints and appeals procedures if candidates disagree with your assessment decisions.

### **Element A1.4: Contribute to the internal quality assurance process**

#### **Performance Criteria**

You must be able to do the following:

- a Ensure your assessment records are accurate and up to date, and provide an audit trail of evidence.
- b Contribute to standardisation arrangements so that your assessment decisions are in line with others.
- c Give accurate and timely information on assessments.
- d Contribute to the agreed quality assurance process.

## **Knowledge requirements**

You need the following knowledge to perform this Unit of Competence. You will show this through the outcome of your work activities and through evaluations of systems and processes.

You need to be able to show that you have general knowledge and understanding of the following:

## **The nature and role of assessments of competence**

How to:

- ◆ identify and use different types of evidence when carrying out assessments
- ◆ identify and compare different types of evidence when making your assessment decisions
- ◆ collect evidence in ways that are cost-effective and timely
- ◆ collect and use evidence from candidates' prior experience and achievements within the current assessment process
- ◆ develop and agree assessment plans with candidates and the other people involved
- ◆ accurately assess performance against specific parts of a standard
- ◆ take appropriate action and help candidates develop their competence
- ◆ change assessment procedures to meet the individual needs of candidates
- ◆ identify the difficulties in making safe, fair, valid and reliable assessments of evidence and who to involve in such cases
- ◆ follow standardisation and internal quality assurance procedures

## **Principles and concepts**

How to:

- ◆ measure existing levels of competence
- ◆ make valid and reliable assessments of candidates' knowledge
- ◆ make valid and reliable assessments of candidates' performance
- ◆ make sure you have covered all the agreed criteria during an assessment
- ◆ check that the evidence is the candidates' own work
- ◆ make sure that supporting evidence supplied by other people is reliable
- ◆ encourage candidates to consider and use their past experience and achievements
- ◆ give constructive feedback on existing levels of competence and what candidates need to be fully competent
- ◆ involve candidates in planning assessments
- ◆ keep to the Data Protection Act
- ◆ encourage candidates who have different levels of confidence and experience to take an active part in their assessment

- ◆ use language and behaviour which does not discriminate against any candidate
- ◆ meet the different needs of candidates
- ◆ give feedback to candidates with different levels of confidence and experience
- ◆ encourage candidates to ask questions and get advice
- ◆ monitor and review progress with candidates
- ◆ identify changes in levels of candidates' competence and assess how this affects your own competence
- ◆ use opportunities to update your skills and experience
- ◆ identify and use information on current assessment best practice
- ◆ use personal development opportunities to improve your assessment skills

### **External factors influencing the assessment of national standards**

How to:

- ◆ meet candidates' needs for access to safe, fair, valid and reliable assessment, in line with relevant legislation
- ◆ recognise and challenge unfair discrimination in assessments
- ◆ identify and plan for issues of confidentiality and data protection during the assessment process
- ◆ record, store and pass on assessment decisions to other people within an agreed system
- ◆ identify and assess things that can influence your own competence
- ◆ identify appropriate sources of support for your own development
- ◆ and who to get advice from about meeting candidates' special assessment requirements

# Unit A1: Assess candidates using a range of methods

## 1 Evidence Requirements

### Element A1.1: Develop plans for assessing competence with candidates

#### Evidence:

Three assessment plans for a minimum of two candidates (three plans in total).

Each assessment plan must:

- ◆ cover one full Unit of competence which can be certificated (eg SVQ/NVQ Unit, National Unit)
- ◆ indicate which assessment methods will be used
- ◆ say how and when the assessments will take place

#### Total:

Three assessment plans.

Over the three plans the assessor-candidate will:

- ◆ cover a minimum of 4 different assessment methods, including observation of the candidate
- ◆ provide one example of where others make a contribution to the assessment process (eg expert witness testimony from advisers, mentors, line managers).

Provide a record of written or oral explanation which:

- ◆ states the assessment methods selected to assess specific aspects of competence
- ◆ indicates why the assessment methods selected are fair, safe, valid and reliable indicators of competence
- ◆ shows how others have been involved in the assessment process and their precise contribution to the process:

#### Total:

One record.

- ◆ produce written progress reviews conducted with a minimum of 2 candidates, including evidence of having updated assessment plans

#### Total:

Two written reviews.

### **Element A1.2: Judge evidence against criteria to make assessment decisions**

#### **Evidence:**

Assessment evidence showing the assessor-candidate's decisions for the three assessment plans generated for A1.1.

A record of written or oral explanation where the assessor-candidate presents how she or he has:

- ◆ used four different types of evidence (including observation) to demonstrate achievement of the standards
- ◆ explained how the assessment methods were implemented
- ◆ evaluated the effectiveness of the assessment methods in the light of assessing candidates
- ◆ demonstrated his or her competence in relation to criteria c, d and g for Element A1.2

#### **Total:**

One record.

### **Element A1.3: Provide feedback and support to candidates on assessment decisions**

#### **Evidence:**

A minimum of one observation by the assessor of the assessor-candidate providing feedback to one of the candidates planned for in A1.1. This must be supported by written or oral records of the feedback given to the other candidate(s) planned for in A1.1.

#### **Total:**

One record of observation; two records of feedback.

A record of written or oral explanation based on feedback to candidates where the assessor-candidate indicates how criteria a, d and f were addressed. This explanation may be gathered using a professional discussion

#### **Total:**

One record.

### **Element A1.4: Contribute to the internal quality assurance process**

#### **Evidence:**

The assessment records for the different candidates planned for in A1.1 which have been used as part of the internal quality assurance process.

**Total:**

A minimum of two records.

Written evidence of having contributed to internal standardisation procedures involving the review of at least two pieces of evidence for each of two different candidates.

**\* See ‘Sources of evidence’ for A1 in this publication for additional guidance**

**Total:**

Four reviews — one for each of the pieces of candidate evidence.

A written statement from the person responsible for internal quality assurance (eg an Internal Verifier for SVQ/NVQ) that the assessor has contributed to agreed quality assurance procedures.

**Total:**

One statement.

## 2 Knowledge requirements

Note: The explanations required for any part of this section may be gathered using a professional discussion.

**Evidence:**

A record of written or oral explanation by the assessor-candidate, during which the assessor-candidate reviews any method of assessment not covered by performance evidence. The explanation should:

- ◆ indicate the validity and reliability of each method
- ◆ review any potential issues of fairness and access in relation to individual assessment methods
- ◆ cover all of the following methods if not covered by performance evidence:
  - questioning
  - accreditation of prior experience and achievement
  - formal testing
  - projects and assignments
  - simulations
  - candidate and peer reports
  - evidence from others.

A record of written or oral explanation of the following procedures used in the assessor-candidate’s centre. This should indicate:

- ◆ how to provide access to assessments for candidates with individual special needs and special assessment requirements
- ◆ how disputes and appeals about assessment decisions are handled
- ◆ the internal standardisation and quality assurance arrangements

- ◆ how assessments are recorded
- ◆ sources of information regarding assessment requirements and best practice

A record of written or oral explanation covering any of the knowledge requirements which have not been demonstrated through performance evidence.

### 3 Guidance to ensure full coverage of requirements for A1

The agreed common evidence for A1 provides the evidence required for this unit, and it must be remembered that it is necessary that all the performance evidence and all the scope items are demonstrated.

The following performance criteria may not be sufficiently covered by the evidence requirements as stated. Assessors must ensure that the candidate does produce evidence to cover them.

Element	PC	Subject	Comment
<b>A 1.1</b>			
	b	Support, complaints and appeals	May not be covered in the plans but should be covered in the written or spoken explanation for the knowledge requirements.
	f	Use of past experience	May not be covered in the plans but should be covered in the professional discussion for the knowledge requirements.
	g	Special arrangements	May not be covered in the plans but should be covered in the written or spoken explanation for the knowledge requirements.
	i	Confidentiality and sensitivity	Not specifically covered.
	j	Difficulties and disputes	May not be covered in the plans but should be covered in the written or spoken explanation for the knowledge requirements.
<b>A 1.2</b>			
	b	Use of past experience	May not be covered in the records but should be covered in the professional discussion for the knowledge requirements.
	e	Collect evidence from others	May not be covered in the records but should be covered in the professional discussion for the knowledge requirements.
	f	Apply special arrangements	May not be covered in the records but should be covered in the written or spoken explanation for the knowledge requirements.
	h	Inconsistencies in evidence	Not specifically covered.
	J	Disagreement on assessment	May not be covered in the records but should be covered in the written or spoken explanation for the knowledge requirements.
<b>A 1.3</b>			
	e	Encourage candidates to get advice	May not be observed.
	g	Complaints and appeals	May not be covered in the observation or discussion but should be covered in the written or spoken explanation for the knowledge requirements.

## 4 Sources of evidence

### Work activities

- ◆ discussion with candidates
- ◆ discussion with others

### Products or outcomes

- ◆ assessment plans
- ◆ assessment plan reviews
- ◆ observation of assessment evidence/records
- ◆ records of candidate feedback
- ◆ records of assessor-candidate feedback
- ◆ internal verification records
- ◆ internal verification/standardisation meeting minutes/records

### Records of explanations

- ◆ selection, implementation and evaluation of assessment methods
- ◆ covering specified criteria (as per Evidence Requirements)
- ◆ for areas of knowledge not demonstrated through performance evidence
- ◆ covering knowledge requirements (in Evidence Requirements)

### Statements

- ◆ statement from Internal Verifier on your contribution to quality assurance procedures

\*A1.4

An internal standardisation meeting will normally involve all assessors for a particular qualification and their internal verifier. At the meeting, evidence produced by candidates and judgements made by the assessors will be compared to ensure that there is a level of consistency and that the decisions being made meet national standards across the team. Equally there will be consideration of evidence that has been deemed not to have met the national standard. The meeting might focus on a particular unit, an assessment method or a type of evidence.

Ideally, pieces of evidence which have been assessed by the assessor-candidate should form part of this standardisation process as it allows them to standardise their work against that of more experienced assessors.

Source: *ENTO Frequently Asked Questions*, version 9, 20/04/05.

# Unit A2: Assess candidates' performance through observation

## Overview

### This unit is appropriate for you if you are involved in:

- ◆ assessing candidates against the agreed standards
- ◆ planning assessments with candidates
- ◆ giving feedback to candidates on your assessment decisions.

### The activities you are likely to be involved in:

- ◆ watching staff members in line with agreed assessment plans
- ◆ assessing candidates' performance
- ◆ assessing candidates' knowledge and how they apply their knowledge
- ◆ making a record of your assessment decisions
- ◆ working with other people who are affected by the assessment process, such as line managers or supervisors
- ◆ giving feedback to candidates

### What the Unit covers:

- ◆ agreeing and reviewing plans for assessing candidates' performance
- ◆ assessing candidates' performance against the agreed standards
- ◆ assessing candidates' knowledge against the agreed standards
- ◆ making an assessment decision and giving feedback

## Scope

This unit covers assessing candidates by watching them in the workplace and assessing the areas of their knowledge that you cannot test by watching them work. You can do this by using materials and check lists from awarding bodies.

Observation may take place in person or using appropriate technology such as a video tape. Evidence may also include examining work products. You can use evidence from tests to support evidence of candidates' performance. You must also show you are aware of and understand the appeals and complaints procedures and the processes for handling them.

## **Element A2.1: Agree and review plans for assessing candidates' performance**

### **Performance Criteria**

You must be able to do the following:

- a Identify the best situations when you can assess performance.
- b Use evidence that takes place in the workplace and ask relevant questions.
- c Choose opportunities for assessment which disrupt normal work as little as possible.
- d Choose opportunities for assessment which provide access to a valid, safe, reliable and fair assessment.
- e Explain the options open to the candidates clearly and constructively if somebody disagrees with the proposed assessment plan.
- f Discuss and agree the proposed assessment plan with the candidates and other people who may be affected.
- g Review and update plans at agreed times to take account of candidates' progress.

## **Element A 2.2: Assess candidates' performance against the agreed standards**

### **Performance Criteria**

You must be able to do the following:

- a Explain to candidates how the assessment of their work will take account of their needs.
- b Watch candidates in a safe environment.
- c Only use the agreed criteria when assessing the evidence.
- d Assess evidence fairly against the agreed criteria.
- e Identify and assess any other evidence that is relevant to the standards.
- f Check that the evidence has come from each candidate's own work.
- g Watch candidates without interfering with their work.
- h Speak to the appropriate person if you or a candidate has any difficulties.
- i Give candidates feedback after you have watched them in the workplace.

### **Element A 2.3: Assess candidates' knowledge against the agreed standards**

#### **Performance Criteria**

You must be able to do the following:

- a Identify which areas of candidates' knowledge have been covered by watching them in the workplace.
- b Collect evidence of knowledge that has not been covered by watching the candidates in the workplace.
- c Use valid methods to assess candidates' knowledge.
- d Ask clear questions which do not 'lead' candidates.
- e Speak to the appropriate person if you or a candidate has any difficulties.
- f Give candidates feedback after you have asked them questions.

### **Element A 2.4: Make an assessment decision and provide feedback**

#### **Performance Criteria**

You must be able to do the following:

- a Base your assessment decision on all the relevant evidence.
- b Give candidates clear and constructive feedback, which meets their needs after you have given them your assessment.
- c Encourage candidates to ask for advice on your assessment decision.
- d Make an accurate record of your assessment decisions.
- e Pass on records that are accurate and easy to read to the next stage of the process.
- f Follow the agreed complaints and appeals procedures if candidates do not agree with your assessment decisions.

### **Knowledge requirements**

You need the following knowledge to perform this Unit of Competence. You will show this through the outcome of your work activities and through evaluations of your systems and processes.

You need to be able to show that you have general knowledge and understanding of the following:

#### **The nature and role of assessments of national standards**

- ◆ what the national standards are and how to judge evidence against them fairly and reliably
- ◆ how to identify relevant evidence from what is or may be available
- ◆ why it is important to make an accurate judgement against only the agreed standards

- ◆ how to identify the role of knowledge evidence in assessments and ways of collecting evidence
- ◆ how to identify relevant knowledge evidence from candidates' performance
- ◆ why it is important to collect evidence related to unpredictable events and how to do this
- ◆ how to give candidates with special assessment requirements access to assessment

### Principles and concepts

- ◆ how to involve different candidates in putting assessment plans into practice
- ◆ how to encourage candidates with different levels of confidence and experience to take an active part in their assessment
- ◆ how to give constructive feedback to candidates in line with your assessment decision
- ◆ how to adapt feedback to candidates' different levels of confidence and experience
- ◆ how to offer different types of advice in a constructive way that will allow candidates to choose different options
- ◆ how to encourage candidates to ask questions and get advice
- ◆ how to identify evidence that takes place naturally in the workplace and why it is important for assessments
- ◆ how to choose appropriate and efficient ways of collecting performance evidence
- ◆ what the available sources of knowledge evidence are and how to use them
- ◆ where to get advice on when and how to use simulations and alternative sources of evidence
- ◆ how to check that evidence is relevant and genuine
- ◆ how to set tests, questions and simulations
- ◆ how to ask questions which will give you relevant evidence while not affecting candidates' confidence
- ◆ how to judge knowledge evidence fairly and reliably
- ◆ how to deal with disputes and appeals in line with agreed procedures
- ◆ how to identify the difficulties you may have in collecting and assessing knowledge evidence
- ◆ how to collect evidence by watching candidates in the workplace without interfering with their work
- ◆ how to identify difficulties you may have in making fair and reliable judgements on evidence
- ◆ who to speak to within the local and national system if you have difficulties.

## **External factors influencing the assessment of national standards**

- ◆ how to meet candidates' needs for access to safe, fair and reliable assessments in line with relevant legislation
- ◆ how to recognise and challenge unfair discrimination in assessment
- ◆ how to identify different types of special assessment requirements and how to provide for them
- ◆ who to get advice from when providing for particular assessment requirements
- ◆ how to make a record of and process your assessment decisions
- ◆ how to meet the requirements of the quality assurance process
- ◆ how to use opportunities to update your skills and experience
- ◆ how to identify and use information on current assessment best practice
- ◆ how to use personal development opportunities to improve your assessment skills

# Unit A2: Assess candidates' performance through observation

## 1 Evidence Requirements

### Element A2.1: Agree and review plans for assessing candidates' performance

**Evidence:**

Three assessment plans for a minimum of two candidates (three plans in total), covering a minimum of two full components (Units) of a qualification (e.g. SVQ Units, National Units). Each assessment plan must:

- ◆ indicate which aspects of competence will be assessed by observation
- ◆ indicate how and when the observation of performance will be conducted
- ◆ indicate how issues of safety, minimum disruption to work activities and unobtrusive assessment have been planned for

**Total:**

Three plans

Written outcomes from progress reviews conducted with a minimum of two candidates, including evidence of having updated the assessment plans.

**Total:**

Two written reviews.

### Element A2.2: Assess candidates' performance against the agreed standards

**Evidence:**

The observation records showing the assessor-candidate's decisions for the three assessments plans generated in A2.1.

**Total:**

Three records

A record of written or oral explanation, which may be gathered using a professional discussion, where the assessor candidate indicates:

- ◆ how observation of performance was used to demonstrate the achievement of the standards.
- ◆ how the effectiveness of observation was evaluated in the light of assessing candidates.

**Total:**

One record

**Element A2.3: Assess candidates knowledge against the agreed standards****Evidence:**

The knowledge evidence records showing the assessor-candidate's decisions for the 3 assessment plans generated for A2.1.

**Total:**

Three records.

A record of written or oral explanation, which may be gathered using a professional discussion, where the assessor-candidate:

- ◆ explains how questioning was used to assess the knowledge requirements of the standards
- ◆ evaluates the effectiveness of questioning in the light of having assessed the candidates.

**Total:**

One record.

**Element A2.4: Make an assessment decision and provide feedback****Evidence:**

A minimum of one observation by the assessor of the assessor-candidate providing feedback to one of the candidates planned for in A2.1. This must be supported by written or oral records of the feedback given to the other candidate(s) planned for in A2.1.

**Total:**

One record of observation; two records of feedback.

The assessment records for the different candidates planned for in A2.1, which have been passed on to the person responsible for internal quality assurance of the assessment process (Internal Verifier).

**Total:**

Two or three records.

A written statement from the person responsible for internal quality assurance (eg an Internal Verifier for SVQs) that the assessor has contributed to agreed quality assurance procedures.

**Total:**

One statement.

## 2 Knowledge requirements

### **Evidence:**

A record of a written or spoken explanation of how the assessor-candidate:

- ◆ identifies relevant evidence from candidates activities
- ◆ identifies which aspects of competence can be assessed by observing performance
- ◆ plans and conducts observation, and the factors which he/she takes into account during the process
- ◆ identifies the aspects of knowledge that can be inferred from performance, and conducts the questioning of candidates taking the various factors into account during the process

### **Total:**

One record.

A record of a written or spoken explanation of the following procedures in the assessor-candidate's assessment centre:

- ◆ how to provide access to assessment for candidates with individual special needs and special assessment requirements
- ◆ how disputes and appeals about assessment decisions are handled
- ◆ the internal standardisation and quality assurance arrangements
- ◆ how assessments are recorded
- ◆ sources of information regarding assessment requirements and best practice.

### **Total:**

One record.

A record of a written or oral explanation to cover any of the knowledge requirements which have not been demonstrated through performance evidence.

## 3 Sources of evidence

### **Work activities**

- ◆ discussion with candidates
- ◆ discussion with others.

### **Products or outcomes**

- ◆ assessment plans
- ◆ assessment plan reviews
- ◆ observation/assessment records
- ◆ records of candidate feedback

- ◆ records of assessor-candidate feedback
- ◆ internal verification/standardisation meeting minutes/records
- ◆ internal verification records

### **Records of explanations**

- ◆ covering use and evaluation of observation and questioning
- ◆ for areas of knowledge not demonstrated through performance evidence
- ◆ covering knowledge requirements (in Evidence Requirements)

### **Statements**

- ◆ statement from Internal Verifier on your contribution to quality assurance procedures

# Unit V1: Conduct internal quality assurance of the assessment process

## Overview

### This Unit is appropriate for you if your role involves:

- ◆ evaluating the internal assessment process
- ◆ monitoring and reviewing internal assessment audit systems
- ◆ carrying out related internal verification or moderation activities

### The activities you are likely to be involved in:

- ◆ ensuring health, safety and environmental protection procedures are applied within assessment arrangements
- ◆ applying and monitoring equal opportunities and access
- ◆ procedures throughout all assessment procedures
- ◆ monitoring the performance of assessors
- ◆ supporting assessors to develop their skills
- ◆ monitoring and supporting the people and organisations who provide administrative support to the assessment process
- ◆ monitoring and making recommendations on the resources needed to evaluate the assessment process
- ◆ ensuring an appropriate balance of candidates to assessors
- ◆ monitoring and reporting on the achievement rates of candidates
- ◆ monitoring the progress and satisfaction of candidates
- ◆ meeting the assessment requirements of awarding bodies and other external agencies

### What the unit covers:

- ◆ carrying out and evaluating internal assessment and quality assurance systems
- ◆ supporting assessors
- ◆ monitoring the quality of assessors' performance
- ◆ meeting external quality assurance requirements

## **Scope**

This unit covers the internal quality assurance system for assessment decisions. This system will meet the external requirements of the relevant awarding body, the accrediting bodies and internal procedures. These procedures may be ones that are already in place or ones that have been developed specifically to meet assessment requirements. This unit also involves monitoring assessors' decisions and the support they need, including sampling and standardisation arrangements. You will have to watch assessors at certain periods of the assessment process. You may not have to choose assessors as this may be the decision of others.

You will have to provide assessment information on particular sets of standards and give clear feedback on performance by using internal and external quality assurance processes. There must be evidence of having procedures in place for appeals and complaints within the local assessment centre, which meet external requirements.

## **Element V1.1: Carry out and evaluate internal assessment and quality assurance systems**

### **Performance Criteria**

You must be able to do the following:

- a Put your organisation's requirements into practice for auditing internal assessments and those of the external awarding body.
- b Identify the outcomes needed by the agreed standards and their consequences for internal auditing.
- c Carry out appropriate administrative and recording arrangements to meet external audit requirements.
- d Identify and ensure the agreed criteria for choosing and supporting assessors are applied.
- e Carry out assessment standardisation arrangements.
- f Ensure a procedure for complaints and appeals is in place, which meets the requirements of the awarding body — and that it is followed when necessary.
- g Identify and use internal and external measures of performance to adjust internal systems.
- h Make recommendations to improve internal quality assurance arrangements and develop a plan to put these improvements into practice.

## **Element V1.2: Support assessors**

### **Performance Criteria**

You must be able to do the following:

- a Ensure assessors have appropriate technical and vocational experience.
- b Ensure assessors are familiar with and can carry out the specific assessment and follow the recording and internal audit procedures.
- c Identify the development needs of assessors in line with:

- principles of assessment
- the needs of candidates
- their technical expertise and competence
- d Give assessors the chance to develop their assessment experience and competence and monitor their progress.
- e Ensure assessors have regular opportunities to standardise assessment decisions.
- f Monitor how assessors are capable of maintaining standards.

### **Element V1.3: Monitor the quality of assessors' performance**

#### **Performance Criteria**

You must be able to do the following:

- a Ensure that individual assessors are preparing for and planning assessments effectively.
- b Ensure that individual assessors have effective processes for making assessment decisions.
- c Ensure that individual assessors understand the necessary outcomes.
- d Ensure that individual assessors apply safe, fair, valid and reliable methods of assessing candidates' competence.
- e Check individual assessor's judgements to ensure they are consistent over time and with different candidates, including watching them carry out assessments.
- f Check a sufficient number of assessors to ensure consistency between assessors over time and with different candidates.
- g Check different assessment sites to ensure assessment decisions are consistent.
- h Ensure that assessors set up and maintain effective working relationships with candidates at all stages of the assessment process.
- i Ensure assessors apply relevant health, safety and environmental protection procedures, as well as equality and access criteria.
- j Monitor how often assessment reviews take place and how effective these are.
- k Monitor how often assessors give feedback to candidates and how effective this is.
- l Monitor how accurate and secure assessors' record-keeping is.
- m Give assessors accurate and helpful feedback on their assessment decisions

### **Element V1.4: Meet external quality assurance requirements**

#### **Performance Criteria**

You must be able to do the following:

- a Identify how internal assessments will be checked externally, and the information needed for this purpose.
- b Plan, collect and analyse information on internal assessment decisions.

- c Agree the timing and nature of external assessment audit arrangements.
- d Give supporting background information to external auditors about the assessment process.
- e Explain any issues raised by external auditors and give them supporting information as necessary.
- f Raise concerns and disagreements about external audit decisions in a clear and constructive way.
- g Refer any questions or concerns, which could not be dealt with internally, to the awarding body.
- h Give assessors feedback on external audit decisions.
- i Ensure that external auditing decisions are included in internal reviews of procedures.

### **Knowledge requirements**

You need the following knowledge to perform this Unit of Competence. You will show this through the outcome of your work activities and through evaluations of your systems and processes.

You need to be able to show that you have general knowledge and understanding of the following:

#### **The nature and role of internal quality assurance of assessments**

How to:

- ◆ monitor and review how candidate competence is assessed and recorded
- ◆ assessment judgements over time and with different candidates
- ◆ ensure that assessment decisions between assessors are monitored so that assessment standards are applied consistently
- ◆ set up effective systems for reviewing assessment decisions and the progress of candidates
- ◆ create and apply complaints and appeals procedures in line with the requirements of awarding bodies
- ◆ monitor equality and access to assessments and practices that do not discriminate
- ◆ choose appropriate administrative arrangements to support internal assessment audits
- ◆ give roles and responsibilities to the people involved in the internal audit process
- ◆ set and apply clear and effective criteria for choosing assessors
- ◆ choose and use appropriate internal assessment evaluation methods in line with your organisation's requirements and procedures
- ◆ use assessment decisions as a way of evaluating internal audit arrangements

## **Principles and concepts**

How to:

- ◆ use different ways of collecting evidence and how to choose appropriate and efficient methods of doing this
- ◆ choose different ways of presenting evidence for assessment
- ◆ ensure that candidates' past experience and achievements can be recognised during their assessment
- ◆ ensure candidates' knowledge and performance is assessed
- ◆ adapt assessment procedures to meet individual needs
- ◆ identify the difficulties you may have in making safe, fair, valid and reliable judgements of evidence
- ◆ identify the personal characteristics good assessors need and how to measure them
- ◆ evaluate assessors' technical competence against the agreed standards and assessment procedures
- ◆ identify assessment principles and make these clear to assessors
- ◆ identify appropriate standardisation procedures which will help assessors make effective decisions
- ◆ ensure that enough resources are available to meet the needs of assessors
- ◆ ensure assessors keep up to date with assessment practices and procedures
- ◆ give constructive feedback and support to assessors
- ◆ identify the development needs of assessors and where they can find the support they need
- ◆ identify and present concerns about external audit decisions in a constructive way
- ◆ give effective feedback to candidates and assessors on the external audit decisions
- ◆ use external audit information in a constructive way to improve internal systems
- ◆ identify where and how changes to internal assessment audit arrangements can and should be made

## **External factors influencing internal quality assurance**

How to:

- ◆ give candidates access to valid and reliable assessments in line with relevant legislation
- ◆ identify and apply the requirements of examining and awarding bodies
- ◆ ensure that internal systems meet the monitoring and inspection requirements of external agencies
- ◆ identify and plan for issues of confidentiality and data protection during the assessment process

- ◆ develop a sampling system which ensures that the audit process meets the needs of the awarding body
- ◆ apply relevant health, safety and environmental protection and equal opportunities policies
- ◆ plan for the requirements, order and timing of external auditing
- ◆ choose and set up appropriate administrative arrangements to meet external auditing requirements
- ◆ identify the extra information external auditors are likely to need and how best to provide it
- ◆ identify and evaluate external factors that influence changes in your own area of competence
- ◆ identify appropriate sources of support for your own development

# Unit V1: Conduct internal quality assurance of the assessment process

## 1 Evidence Requirements

### Element V1.1: Carry out and evaluate internal assessment and quality assurance systems

#### Evidence:

A record of written or oral explanation, supported by detailed policies and documentation, of the organisation's procedures for:

- ◆ quality assuring assessment decisions made in relation to one or more national awards
- ◆ identifying and applying relevant performance measures in relation to one or more national awards
- ◆ recording assessment decisions in a way that meets external awarding body requirements
- ◆ conducting internal standardisation of assessment in a way that meets both internal quality assurance procedures and external awarding body requirements
- ◆ dealing with complaints and appeals in a way that meets both internal quality assurance procedures and external awarding body requirements
- ◆ evaluating the effectiveness of internal quality assurance arrangements
- ◆ keeping up-to-date with assessment, verification and quality assurance requirements
- ◆ disseminating information on assessment and feedback from external verification
- ◆ monitoring health and safety and equal opportunities policies and practices

#### Total:

One record.

A record of a written statement that the detailed systems documentation and evidence are acceptable to external awarding bodies (via centre approval, External Verifier or systems verifier reports).

#### Total:

One record.

## **Element V1.2: Support assessors**

### **Evidence:**

A list of assessors (which could include candidate-assessors) used by the centre for the same qualification, with an explanation of the criteria used to ensure their vocational experience in relation to the standards to be assessed.

### **Total:**

One list with an explanation of criteria.

The assessment information and support materials provided to assessors in relation to the same qualification and an explanation of how assessors are supported in their use.

### **Total:**

One set of documents.

The induction programme used in the centre to ensure that assessors can operate the specific assessment and recording requirements for at least one national qualification.

### **Total:**

One induction pack.

A record of i) assessor standardisation meetings led by the internal verifier candidate and ii) standardisation activities for at least two assessors. The record should cover the same qualification over the complete assessment process and should indicate how assessors are consistent and operate to a common standard.

See 'Sources of evidence, V1.2' in this publication for additional guidance.

### **Total:**

One record.

A written or oral explanation on how the standardisation arrangements ensure consistency between assessors over time and across candidates, which may be gathered using a professional discussion.

### **Total:**

One record.

Personal development plans developed by the internal verifier candidate for at least two assessors which identify their agreed training and development needs in relation to the conduct of assessments.

### **Total:**

Two plans.

Actions taken by the candidate-verifier to address the identified needs of assessors in conjunction with others (such as programme co-ordinators) as appropriate.

**Total:**

One action list.

**Element V1.3: Monitor the quality of assessors' performance****Evidence:**

Observation of at least two assessors on two occasions, each conducting the assessment process with differing candidates, including providing feedback to candidates with a written record of the process.

**Total:**

Two observations.

One observation by the external verifier of the internal verifier-candidate monitoring the performance of one assessor. It would be acceptable for this observation to be conducted by a qualified internal verifier, instead of the external verifier, provided this was supported by a written report.

**Total:**

One observation.

A sampling plan applied to at least two assessors which details:

- ◆ checks to ensure that the assessors have all the information and materials needed to make assessment decisions
- ◆ when and how the assessor will be monitored making assessment decisions, including interim sampling arrangements and how feedback will be given to the assessor on performance
- ◆ how the full range of agreed assessment methods will be sampled and recorded
- ◆ how sampling arrangements will be varied to reflect the numbers and experience of different assessors
- ◆ how sampling arrangements will take account of candidate experience of the process
- ◆ how the assessor/candidate relationship will be monitored
- ◆ how equality and access procedures are being followed by assessors
- ◆ the accuracy, completeness and promptness of assessors' record-keeping
- ◆ how and when assessors will be provided with timely feedback on their performance, and any actions they need to take to improve performance

These sampling plans must be supported by appropriate reports from at least one external moderator for a national qualification, which confirm that the support arrangements for assessors are satisfactory.

### **Element V1.4: Meet external quality assurance requirements**

The documentation and materials presented for one successful external verification visit (no holds placed), which contain:

- ◆ an explanation of their involvement with external verification visits
- ◆ confirmation of the timing and nature of external verification visits
- ◆ complete assessment records and supporting evidence as required by the awarding body
- ◆ external reports indicating the outcome of the external quality assurance process and the procedures followed to address quality issues from such reports
- ◆ records of internal feedback on the quality assurance process and any reviews of procedures.

This will be supported by documentary evidence from the external verifier confirming the sufficiency of the materials provided via an External Verifier Report.

Evidence relating to communication with the Awarding Body which provides details of meeting the requirements of the Awarding Body and the centre's procedures for dealing with disagreements and disputes.

## **2 Knowledge requirements**

The explanations required for any part of this section may be gathered using a professional discussion.

### **Evidence:**

A record of written or oral explanation during which the candidate-verifier reviews:

- ◆ procedures for ensuring that valid and reliable assessment methods are being used by assessors for one national set of standards which cover both knowledge and performance requirements
- ◆ alternative methods of ensuring the accuracy and consistency of assessor judgements and why the particular methods used within the centre are effective
- ◆ arrangements for setting up and monitoring sampling frames and internal audit of assessment process
- ◆ the complaints and appeals procedures required by awarding bodies and how they can be/have been applied
- ◆ how access and equality issues have been addressed in relation to assessment processes
- ◆ how to apply rigorous assessor selection and monitoring procedures and support for assessors
- ◆ external developments in assessment and national standards and their implications for the internal assessment process

- ◆ how to use feedback on the assessment process to improve internal quality assurance arrangements

A record of written or oral explanation to cover any of the knowledge requirements which have not been demonstrated through performance evidence.

### 3 Guidance to ensure full coverage of requirements for V1

The agreed common evidence for V1 provides the evidence required for this unit but it must be remembered that it is necessary that **all** the performance evidence and **all** the scope items are demonstrated.

The following performance criteria may not be sufficiently covered by the evidence requirements as stated. Assessors must ensure that the candidate does produce evidence to cover them.

Element PC	Subject	Comment
V1.1		
d	Choosing and supporting assessors.	Not specifically covered but is part of the knowledge requirements (vi). Evidence for this pc is also provided by the list of assessors with an explanation of criteria required for V1.2. The scope states that “You may not have to choose assessors as this may be the decision of others”; however IV candidates should be able to explain the criteria by which assessors are chosen and appointed.
	Assessors should be confident that the candidate can put the policies into practice and not just detail what they are and where they can be found. Evidence for this practice should be generated as part of the requirements for V1.2, V1.3 and V1.4.	
V1.2		
	All pcs are implicitly covered by the evidence requirements.  Assessors need to ensure that standardisation meetings are led by and not just attended by the IV candidate. In addition personal development plans must be developed by the IV candidate with assessors.	

<b>Element</b>	<b>PC</b>	<b>Subject</b>	<b>Comment</b>
<b>V1.3</b>			
	a	Ensuring assessors are preparing for and planning assessments	May not be covered if assessment planning is not observed and included in the written report by the IV candidate
	i	Ensuring assessors are applying procedures	Equality and access are covered explicitly but health, safety and environmental; protection procedures are not covered.
	j	Monitoring assessment reviews	May not be covered if assessment reviews are not observed and included in the written report by the IV candidate
	k	Effectiveness and frequency of assessor feedback	Frequency may not be covered. Check that the IV candidate monitors the frequency of assessor feedback to candidates as well as observing the effectiveness.
		Assessors should assure themselves that the IV candidate can carry out sampling as planned as well as create a sampling framework.	
<b>V1.4</b>			
	e	Dealing with issues raised by external auditors	Not explicitly covered. May appear in the external verifiers report if issues were raised.
	f	Raising concerns about external audit decisions	Not explicitly covered. May appear in the external verifiers report if concerns were raised.
	g	Referring questions or concerns to the awarding body	Not explicitly covered.

## **4 Sources of evidence**

### **Element V1.1: Carry out and evaluate internal assessment and quality assurance systems**

#### **Work activities**

- ◆ internal verification activities
- ◆ evaluation of internal assessment
- ◆ development and checking of internal verification procedures
- ◆ carry out standardisation activities/meetings

#### **Products or outcomes**

- ◆ sampling plans
- ◆ assessor action/development plans
- ◆ assessment monitoring reports
- ◆ internal verification reports
- ◆ external verifier reports
- ◆ minutes of standardisation meetings

#### **Records of explanations**

- ◆ in support of centre's policies and procedures
- ◆ covering areas of knowledge not demonstrated through performance evidence

#### **Statements**

- ◆ included in external verification reports
- ◆ included in quality assurance managers' reports.

### **Element V1.2: Support assessors**

#### **Work activities**

- ◆ discussions with assessors
- ◆ chairing standardisation meetings
- ◆ checking assessment records
- ◆ agreeing development/action plans
- ◆ monitor assessor progress

### **Products or outcomes**

- ◆ lists of assessors
- ◆ induction checklists
- ◆ standardisation meetings
- ◆ assessor development/action plans

### **Records of explanations covering**

- ◆ assessment information and support materials
- ◆ criteria used by centre to check vocational experience of assessors
- ◆ standardisation arrangements
- ◆ areas of knowledge not demonstrated through performance evidence

\*V1.2

Standardisation meetings have to be held to review the activities of at least two assessors over the complete assessment process. This includes assessment planning, reviewing plans and progress, assessing candidate evidence using different assessment methods, making a judgement, making a decisions as to candidate competence, providing feedback and recording the assessment process in line with centres QA procedures. At least two full units must be covered over the course of these meetings.

Source: *ENTO Frequently Asked Questions*, version 9, 20/04/05.

## **Element V1.3: Monitor the quality of assessor performance**

### **Work activities**

- ◆ discussions with assessors and candidates
- ◆ providing feedback to assessors
- ◆ monitoring assessment practice
- ◆ developing sampling plans
- ◆ discussions with external moderators

### **Products or outcomes**

- ◆ observation reports by the internal verifier-candidate observing assessors conduct the assessment process
- ◆ an observation report by a qualified internal/external verifier on the internal verifier-candidate monitoring an assessor's performance
- ◆ sampling plans
- ◆ external moderator reports

### **Records of explanations covering:**

- ◆ areas of knowledge not demonstrated through performance evidence

## **Element V1.4: Meet external quality assurance requirements**

### **Work activities**

- ◆ liaison with assessors
- ◆ liaison with person responsible for quality assurance/organising external verifier visits
- ◆ discussions with external verifier
- ◆ preparations for external verifier visits
- ◆ referring questions and/or concerns to the awarding body

### **Products or outcomes**

- ◆ records of communications
- ◆ assessment evidence/records
- ◆ internal verification reports
- ◆ external verifier reports
- ◆ minutes of internal meetings
- ◆ reviews of procedures

### **Records of explanations covering**

- ◆ areas of knowledge not demonstrated through performance evidence

### **Statements**

- ◆ included in external verifier reports
- ◆ included in quality assurance manager's reports

# Unit V2: Conduct external quality assurance of the assessment process

## Overview

### This Unit is appropriate for you if your role involves:

- ◆ externally evaluating the internal assessment process
- ◆ carrying out other related external verification or moderation activities

### The activities you are likely to be involved in:

- ◆ reviewing internal assessment auditing arrangements
- ◆ ensuring that internal assessment decisions are accurate
- ◆ ensuring that the requirements for assessment of external awarding bodies are applied
- ◆ checking the quality of internal audits and assessments
- ◆ monitoring how health, safety and environmental protection procedures are applied within assessment arrangements
- ◆ monitoring how equal opportunity and access procedures are applied throughout all assessment procedures
- ◆ advising and supporting the people responsible for internal assessment

### What the Unit covers:

- ◆ monitoring the internal quality assurance process
- ◆ checking the quality of assessments
- ◆ providing information, advice and support on the internal quality assurance of assessment processes
- ◆ evaluating the effectiveness of external quality assurance of the assessment process

## Scope

This unit covers reviewing internal quality assurance arrangements externally, including systems and how effective they are, based on the requirements of the external awarding body. This includes checking how assessors are chosen and trained, and the standardisation of assessment decisions, including checking evidence from different assessors. You should take evidence from working with a number of different centres.

You must show evidence of having provided information on national standards, the awarding body procedures and changes to them, as well as giving feedback on assessment decisions and internal quality assurance procedures. You must also

show evidence of having audited equal opportunities, access and safety arrangements within centres.

### **Element V 2.1: Monitor the internal quality assurance process**

#### **Performance Criteria**

You must be able to do the following:

- a Monitor the organisation's arrangements for auditing internal assessments.
- b Plan and apply the monitoring procedures that the awarding body needs.
- c Monitor how effective the chosen assessment methods are against the required outcomes.
- d Monitor how accurate internal administration and records are.
- e Monitor the criteria used for choosing assessors.
- f Recommend how the organisation can comply with all relevant audit processes and procedures.
- g Review how the internal assessment audit system is evaluated to ensure the organisation can comply with all required processes and procedures.
- h Give the awarding body accurate reports on the internal assessment process and any changes that may be necessary.

### **Element V 2.2: Verify the quality of assessment**

#### **Performance Criteria**

You must be able to do the following:

- a Check to ensure that assessors and internal verifiers/auditors have the technical and vocational experience necessary to assess the agreed standards.
- b Monitor the quality of induction and support procedures for assessors.
- c Check that assessors have applied relevant health, safety and environmental protection procedures, as well as equality and access criteria when carrying out assessments.
- d Check the decisions made by a number of assessors to be sure that each is applying the assessment requirements consistently over time, with different candidates and in different places if necessary.
- e Get evidence of how effective working relationships between assessors and candidates are, along with assessment reviews.
- f Review how accurate, prompt and secure each individual assessor's record-keeping is.
- g Check that assessors have been given accurate and helpful feedback on their assessment decisions and performance.
- h Identify concerns over assessor's decisions and review these with internal verifiers and auditors.
- i Make a record of the results of the audit, using agreed procedures and documents.
- j Agree and make a record of a course of action to put things right if assessment arrangements have not been satisfactory.

- k Follow the agreed complaints and appeals procedures required by the awarding body where improvement and other related issues have not been resolved.
- l Identify and highlight good practice and ensure you give positive feedback.
- m Give the awarding body full and accurate reports on the internal assessment process and any recommendations for changes to it.

### **Element V 2.3: Provide information, advice and support on the internal quality assurance of assessment processes**

#### **Performance Criteria**

You must be able to do the following:

- a Make early and regular contact with internal verifiers/auditors at all stages when developing assessment systems and procedures.
- b Identify concerns over the internal audit processes and review these with internal verifiers/auditors.
- c Ensure that effective administrative arrangements are developed to support the internal audit and assessment process.
- d Agree how internal assessments will be externally audited and the information needed for this purpose.
- e Give information and advice on the timing and nature of external audit arrangements.
- f Give the centre details of the people to be interviewed or involved in the audit process.
- g Identify and explain any issues in understanding the criteria and requirements of the awarding or accrediting body.
- h Raise concerns about internal audit procedures and assessment decisions in a clear and constructive way.
- i Give constructive and helpful feedback on external audit decisions.
- j Identify opportunities to improve internal audits and assessments, and give advice and support to put these improvements into practice.
- k Carry out appropriate complaints and appeals procedures if you are not able to resolve disagreements or concerns.

### **Element V 2.4: Evaluate the effectiveness of external quality assurance of the assessment process**

#### **Performance Criteria**

You must be able to do the following:

- a Identify and use internal assessment audit information to evaluate the systems and procedures of awarding bodies.
- b Contribute to the awarding body standardisation arrangements.

- c Evaluate how effective the process of candidate assessment is as part of the internal quality assurance process, and report back to the awarding body and internal auditors.
- d Review recording and administrative arrangements against information needed by the awarding body.
- e Contribute to the awarding body's reviews of external auditing arrangements.

### **Knowledge requirements**

You need the following knowledge to perform this Unit of Competence. You will show this through the outcome of your work activities and through evaluations of your systems and processes.

You need to be able to show that you have general knowledge and understanding of the following:

### **The nature and role of external quality assurance of assessment**

How to:

- ◆ monitor and review individual candidate's assessments
- ◆ monitor procedures for ensuring that individual assessors are consistent and accurate in their assessment judgements over time and with different candidates
- ◆ monitor internal assessor standardisation procedures
- ◆ monitor recording procedures
- ◆ monitor the progress of, and support arrangements for, candidates
- ◆ identify who to go to for advice and help if you have difficulties in accessing information within the organisation

### **Principles and concepts**

How to:

- ◆ use different ways of collecting evidence and how to monitor methods chosen
- ◆ ensure that candidates' past experience and achievements are recognised during their assessment
- ◆ monitor the assessment evidence to check accuracy and consistency but not to change assessment decisions
- ◆ ensure that candidates' knowledge and performance is assessed
- ◆ review arrangements for adapting assessment procedures to meet individual needs
- ◆ get involved if there are problems in making safe, fair, valid and reliable judgements of evidence
- ◆ plan sampling activities to help the monitoring and review of the internal audit process

- ◆ monitor access to valid and reliable assessment for all candidates against the agreed standards
- ◆ review administrative arrangements to support internal assessment audits
- ◆ ensure that clear and effective selection criteria have been applied for choosing assessors
- ◆ evaluate the technical and vocational experience of assessors against the agreed standards and assessment procedures
- ◆ ensure that assessors understand the assessment principles they are using
- ◆ monitor assessors' consistency and accuracy over time and with different candidates
- ◆ evaluate the quality of feedback given to assessors
- ◆ support the planning and order of the internal assessment process
- ◆ identify and present concerns about internal audit decisions in a constructive way
- ◆ give effective feedback to internal auditors and assessors on the external audit decisions

### **External factors influencing the external quality assurance process**

How to/who:

- ◆ monitor procedures for equal access to fair assessment in line with relevant legislation
- ◆ identify and apply the requirements of examining and awarding bodies
- ◆ set out and explain the requirements of external assessment auditing and the information needed to do this
- ◆ check that arrangements for confidentiality and data protection are adequate during the assessment process
- ◆ identify and apply appropriate complaints and appeals procedures in the correct order
- ◆ needs to be involved in the external audit process and the reasons for their involvement
- ◆ give information to the awarding body
- ◆ ensure that internal systems meet the monitoring and inspection requirements of external agencies
- ◆ follow agreed complaints and appeals procedures if somebody disagrees with an assessment judgement
- ◆ identify who to go to for advice and help if you have difficulties in agreeing on the meaning of standards, assessment specifications or assessment practices
- ◆ identify and evaluate external factors that influence changes in your own area of competence
- ◆ identify appropriate sources of support for your own development

# Unit V2 Conduct external quality assurance of the assessment process

## 1 Evidence Requirements

### Element V2.1: Monitor the internal quality assurance process

#### Evidence:

Three centre monitoring plans for different types of centre (eg company, college, private training provider) at different stages of development which indicate how the external verifier-candidate will review:

- ◆ the validity of the assessment methods chosen against awarding body requirements
- ◆ administrative and recording arrangements
- ◆ assessor selection, induction and support
- ◆ standardisation arrangements
- ◆ safety, equality and access arrangements in relation to assessments
- ◆ internal evaluation and review arrangements

These will be supported by the final reports of the three visits, which deal with the above aspects and supporting feedback and recommendations given to the centres.

### Element V.2.2: Verify the quality of assessment

#### Evidence:

Three reports to the awarding body on visits to different types of centre, shown through successful external verifier visit reports, ie no holds placed which deal with:

- ◆ checks on assessor and internal verifier competence and experience
- ◆ assessor support and standardisation arrangements
- ◆ checks on assessor judgements via appropriate sampling strategies, including at least one candidate interview
- ◆ assessment record keeping and administration

This will be supported by written feedback provided to the centre, and by follow-up monitoring and review arrangements in relation to specific action points/recommendations.

Written evidence of having sampled the assessment planning, assessment judgements and feedback to candidates of three different assessors for one national qualification, including one live assessment of one assessor.

Sampling activities should show how the following were reviewed:

- ◆ assessment decisions by same assessor on two separate occasions with at least two different candidates
- ◆ assessment decisions made by different assessors in relation to the same national standards
- ◆ the timing and quality of assessor/candidate reviews and assessment reviews.

This will be supported by a written record of feedback provided to the centre and any follow-up monitoring carried out after the external verifier -candidate has made recommendations on changes to assessor activity.

### **Element V2.3: Provide information, advice and support on internal quality assurance of assessment processes**

#### **Evidence:**

Copies of correspondence, reports, telephone logs and follow up contacts with three different types of centre. This should include at least one incidence of reporting to the awarding body on the clarification of issues and concerns.

### **Element V2.4: Evaluate the effectiveness of external quality assurance of the assessment process**

#### **Evidence:**

- ◆ a complete set of awarding body report forms for three different types of centre, as above, with endorsement by awarding body officers of their acceptability and completeness
- ◆ one monitoring report on the performance of the candidate verifier on a visit by the person responsible for the quality assurance of external verification processes
- ◆ participation at a minimum of two awarding body external verifier updating/standardisation events

## **2 Knowledge requirements**

#### **Evidence:**

A record of a written or oral explanation, which can be gathered using a professional discussion, where the external verifier-candidate reviews:

- ◆ how to apply external audit and sampling processes
- ◆ centre procedures for ensuring that valid and reliable assessment methods are being used by assessors
- ◆ methods of ensuring the accuracy and consistency of assessors' judgements

- ◆ the complaints and appeals procedures required by awarding bodies, and how they can be/have been applied
- ◆ how safety, access and equality issues have been addressed in relation to assessment processes
- ◆ different types of centre, and the implications of the differences between them for the external quality assurance process
- ◆ how to monitor assessor selection and monitoring procedures and support for assessors
- ◆ developments in assessment and national standards, and their implications for the external assessment process
- ◆ how to provide feedback on the assessment process to improve internal quality assurance arrangements
- ◆ the effectiveness of awarding body procedures for ensuring external quality assurance

### **3 Sources of evidence**

The work activities for all elements in V2 is set in the context of working in line with all relevant awarding body policies and procedures. External verifier-candidates will be able to show compliance through their actions and discussions when dealing with centre and SQA personnel. There are numerous documents external verifier-candidates can refer to such as:

- ◆ Completing the EV8a — *Guidance Notes for External Moderators* (which cover how to follow up on complaints and appeals — essentially explaining action points and/or placing holds).
- ◆ *Guide to Approval for Training Providers and Employers*
- ◆ *Guide to Assessment and Quality Assurance* (for colleges, employers and training providers)
- ◆ *Quality Assurance Elements and Criteria*

#### **Element V2.1: Monitor the internal quality assurance process**

##### **Work activities**

- ◆ visit planning
- ◆ carrying out external verifier visits
- ◆ report writing and feedback to centres

**Products or outcomes**

- ◆ telephone logs
- ◆ centre correspondence
- ◆ external verification visit plans
- ◆ external verification reports (EV8a)
- ◆ external verification visit records

**Element V2.2: Verify the quality of assessment****Work activities**

- ◆ conduct external verifier visits, carrying out appropriate quality assurance checks
- ◆ sampling assessment and internal verification decisions
- ◆ report writing and feedback to centres
- ◆ follow-up monitoring

**Products or outcomes**

- ◆ visit plans
- ◆ verification reports (EV8a and EV8b)
- ◆ verification visit records

**Element V2.3: Provide information, advice and support on the internal quality assurance of assessment processes****Work activities**

- ◆ providing support and advice to centres
- ◆ communicating with centres and the awarding body

**Products or outcomes**

- ◆ telephone logs
- ◆ centre correspondence
- ◆ approval visit reports
- ◆ post-approval visit reports
- ◆ development visits reports (EV8a, EV8b)
- ◆ verification reports
- ◆ verification visit records

## **Element V2.4: Evaluate the effectiveness of external quality assurance of the assessment process**

### **Work activities**

- ◆ attendance at moderator group meetings, quality network and annual up dates
- ◆ evaluation of internal assessment
- ◆ taking part in standardisation activities

### **Products or outcomes**

- ◆ endorsed external verification reports
- ◆ monitoring report on performance of external verifier-candidate
- ◆ records of continuing professional development (CPD)

### **Witness testimony**

- ◆ SQA moderation officers
- ◆ from the nominated awarding body person responsible for the quality assurance of external verifiers
- ◆ feedback from centres

# Section 3: The Assessment Strategy requirements for the A and V Units

## Employment ENTO Guidance

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+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 that the Candidate is required to present a substantive primary piece of outcome evidence for each of the specified Units. This evidence should also have 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 as follows:

*‘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 other;.'*

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>
<b>A1</b>	<b>A1 or D32-3</b>	<b>A1 + V1 or D32-4</b>	<b>A1 + V2 or D32-3 + D35</b>
<b>A2</b>	<b>A1 or D32-3</b>	<b>A1 + V1 or D32-4</b>	<b>A1 + V2 or D32-3 + D35</b>
<b>V1</b>	<b>A1 + V1 or D32-4</b>	<b>A1 + V1 or D32-4</b>	<b>A1 + V1 + V2 or D32-35</b>
<b>V2</b>	<b>A1 + V2 or D32-3 + D35</b>	<b>A1 + V1 + V2 or D32-35</b>	<b>A1 + V2 or D32-3 + D35</b>

# Summary 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 *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
- ◆ a sound working knowledge of the A1/2 unit standards and evidence requirements
- ◆ 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 an 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