

## CPD TOOLKIT FOR ASSESSORS AND INTERNAL VERIFIERS OF SVQS AND OTHER WORKPLACE STANDARDS/AWARDS



### Purpose of toolkit

This toolkit has been designed to help previously qualified assessors and internal verifiers of SVQs and other workplace standards/awards provide evidence of their CPD activities in relation to the current assessor and verifier Units accredited in November 2010. Namely:

- ◆ Assess workplace competence using direct methods (FD40 04) (L+D9D)
- ◆ Assess workplace competence using direct and indirect methods (FD41 04) (L+D9DI)
- ◆ Internally monitor and maintain the quality of workplace assessment (FD43 04) (L+D11)

*The above Units will be referred to throughout this toolkit as 'the assessor and/or verifier units'. Where the term 'assessment/verification standards' has been used, this refers to the criteria and knowledge contained in each of the above Units.*

The toolkit has been developed to help previously qualified assessors — (those with D32/33, A1/2 or TQFE) and previously qualified internal verifiers — (those with D34 or V1), provide CPD evidence of practising to the current assessor and/or internal verifier standards as listed above.

It is an SQA requirement that all assessors and verifiers of SVQs that are previously qualified, practice in line with the current assessment/verification standards by undertaking continuing professional development.

The toolkit is not meant to represent the only way of providing CPD in relation to the assessor/verifier Units, it is merely an aid. The toolkit includes examples mainly relating to the internal verifier Unit — L&D11, however all principles are transferable to the assessor Units L&D9D and L&D9DI.

### How to use this toolkit

The toolkit has been divided into four sections as shown in the circles at the top of this page. The patterned circle indicates which section is currently being covered. Each section of the toolkit includes advice along with implementation examples. There are templates at the back of the toolkit for assessors/verifiers to use in order to record their CPD activities.

### **What does practising to assessor/internal verifier standards actually mean?**

Practising to the standards, in the context of SQA policy, simply means that assessors/internal verifiers are using the assessor/verifier Units as their 'code of practice'. This does not mean for previously qualified assessors and internal verifiers that they have to enroll for or actually achieve the assessor/verifier Units (although this would also be considered good practice).

What it does mean for those already holding previous assessor and verifier qualifications, is that they are required to prove they are practising to the standards contained in the current assessor/verifier Units by familiarising themselves with the standards, followed by a period of adjusting their practice accordingly (if necessary). Adjustment may not be significant or even required in some cases, this will vary from person to person dependent on factors such as the extent to which they currently **practice** to the current standards and how well their centre's assessment and quality assurance system already aligns with these Units. These particular issues are explored further in the next section.

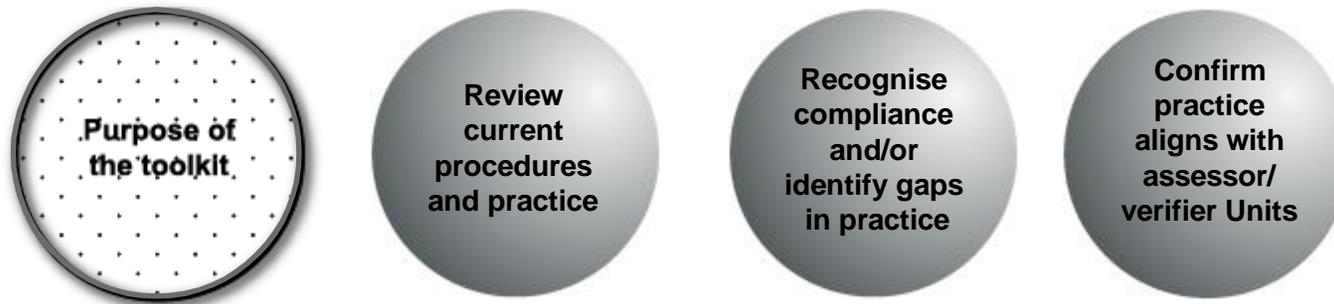
### **How does the term 'practising to the standard' differ from gaining the assessor or verifier Units?**

Those already qualified are required to show that they are 'practising to the current assessor/verifier standards'. This means using the assessor/verifier Units as a set of 'standards of performance'. Used in this way, individual assessors and verifiers can use the standards to self-measure themselves and provide evidence of compliance through their natural work. They do not need to compile a portfolio, nor does their evidence require to be formally assessed. Their evidence can be proved through CPD records. This toolkit can assist with this process.

Gaining the assessor or verifier Units is a different process as it is about assessor/verifier-candidates taking part in the full assessment process, enrolling with an Awarding Body and then embarking on a schedule of evidence gathering and internal assessment which will then be internally quality assured, the end result being certification.

All assessors and internal verifiers of SVQs require to be qualified or working towards an appropriate assessor and/or verifier qualification. Refer to subject specific Assessment Strategies for detailed requirements.

## CPD TOOLKIT FOR ASSESSORS AND INTERNAL VERIFIERS OF SVQS AND OTHER WORKPLACE STANDARDS/AWARDS



### Reviewing current procedures

Assessors and internal verifiers do not work in isolation of each other or the centre/organisation they work for. The way in which they practice will be influenced by their centre's assessment and quality assurance policies and procedures. This inevitably means that the centre itself has first-line responsibility for ensuring that its policies and procedures support assessment and internal verification in a way that enables assessors and verifiers to prove they are working in-line with the assessor and verifier Units. An internal verifier for example would find it difficult to prove compliance with L&D11 if they were not required by their centre to plan and monitor assessor performance.

Therefore, an important first stage in the CPD process is for centres to check that their procedures encompass the requirements of the current assessor/verifier Units. This helps provide assessors and internal verifiers with natural opportunities to prove compliance as they perform in their roles.

One way for centres to check their procedures and processes meet the necessary Unit requirements is to conduct an official review. The following page shows an example of such a review.

## Reviewing current procedures

The following is an extract from a review conducted on procedures in relation to the L&D11 Unit. Templates like the one below can be found in the Templates Section at the end of this toolkit.

**Table 1: Carry out planned monitoring of the quality of assessment (review example)**

What the internal verifier-candidate must do:	Supporting procedures <i>The standard you must perform to</i>	I already include in my practice = C I need to include in my practice = X
a) Determine whether assessment processes and systems meet and operate according to quality requirements	<i>Centre already has assessment processes and systems that meet internal quality requirements.</i>	You should annotate in this column the centre/organisational procedures matched to the appropriate criterion
b) Check that assessors meet the requirements for their role	<i>Process in place for documenting assessors meet Awarding Body and Assessment Strategy requirements.</i>	
c) Check that assessments are planned, prepared for and carried out according to agreed procedures	<i>Monitoring records cover all of the assessment phases covered in this criterion.</i>	
d) Check that assessment methods are safe, fair, valid and reliable	<i>The assessment principles are included in internal verification forms and checked when verification is carried out.</i>	
e) Check that assessment decisions are made using specified criteria	<i>This is checked via internal verification records.</i>	
f) Compare assessor decisions to ensure that they are consistent	<i>Decisions are discussed <b>but not required to be routinely compared</b>, this need to be incorporated in to standardisation activities.</i>	Notes made in <b>bold</b> to identify that existing procedures require updating/strengthening
g) Provide assessors with feedback, advice and support to help them maintain and improve their assessment practice	<i>Feedback, advice and support is routinely required as part of internal verification procedures.</i>	

Once a check on procedures has been carried out, centres should be in a position to decide how best to update them if this is necessary. It would generally be expected that approved centres would not have an extensive list of updating to do. The actual process of agreeing what should be updated and by who is usually more effective when it involves as many relevant parties as possible, gaining early commitment and avoiding potential conflicts of interest in the later stages.

It is worth noting that procedures cannot always effectively cover every performance criterion. In element 4 of L&D11 for example, the criterion *work with others to ensure the standardisation of assessment practice and outcomes* is also about the effort the internal verifier makes to work with his/her colleagues to achieve standardisation. It would be difficult to cover this criterion purely by following a set of procedures as this is as much about an individual's behavior as it is about following procedures. The next step would involve confirming the revised procedures with the complete assessment/verifier team.

## Reviewing current procedures

Following on from the last table, this updated table exemplifies (in the call outs) where procedures in the middle column have been updated.

You will see the end column has been now been filled in. It has been used by the internal verifier to compare their practice in relation to Unit criteria (left hand-column) and current organisation procedures (middle column).

**Table 2: Carry out planned monitoring of the quality of assessment (example)**

What the internal verifier-candidate must do:	Supporting procedures	I already include in my practice = C I need to include in my practice = X
a) Determine whether assessment processes and systems meet and operate according to quality requirements	<i>Centre already has assessment processes and systems that meet internal quality requirements.</i>	<i>C I have been involved with reviewing our IV procedures in relation to new assessor and verifier units</i>
b) Check that assessors meet the requirements for their role	<i>Process in place for documenting assessors meet Awarding Body and Assessment Strategy requirements.</i>	<i>C I carry this out on induction and review once per year</i>
c) Check that assessments are planned, prepared for and carried out according to agreed procedures	<i>Monitoring records cover all of the assessment phases covered in this criterion.</i>	<i>C I carry out as part of IV monitoring and sampling</i>
d) Check that assessment methods are safe, fair, valid and reliable	<i>The assessment principles are included in internal verification forms and checked when verification is carried out.</i>	<i>C Methods dictated by units requirements to certain degree but checked</i>
e) Check that assessment decisions are made using specified criteria	<i>This is checked via internal verification records.</i>	<i>C Routinely done</i>
f) Compare assessor decisions to ensure that they are consistent	<i>Routine comparisons of assessor decisions now part of <b>updated standardisation procedures.</b></i>	<i>X I will routinely include cross-verification as part of standardisation</i>
g) Provide assessors with feedback, advice and support to help them maintain and improve their assessment practice	<i>Feedback, advice and support is routinely required as part of internal verification procedures.</i>	<i>C Routine</i>

An internal verifier makes notes on his/her current and future practice

Notes in **bold** now show that procedures have been updated to meet L&D11 requirements

Updating workshops/meetings can be an effective way of communicating that procedures have been updated. This also gives assessors/verifiers the opportunity to discuss what the implications are for them and gives more senior staff an opportunity to answer any queries. Assessors and internal verifiers will have dedicated time to identify where their current practice does/does not meet assessor/verifier Unit standards, with the aim of gaining their commitment to adjusting their practice if required and/or to confirm that their practice is already compliant.

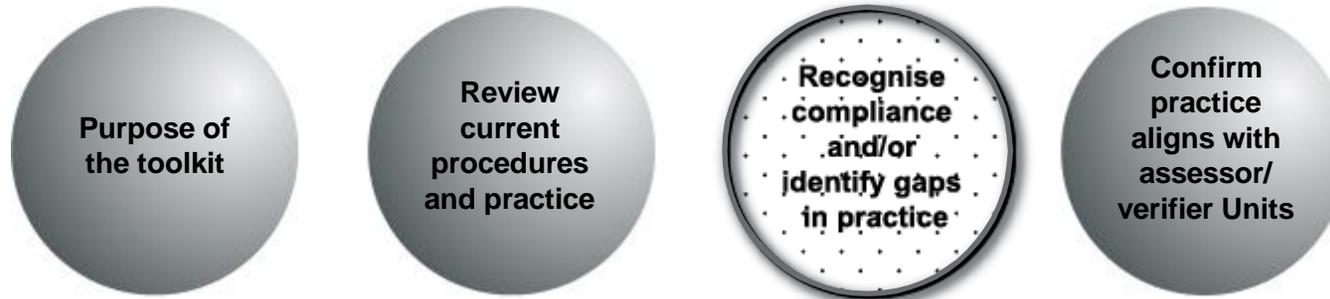
### **Reviewing practice against the A/V Units**

The shaded callout in Table 2 highlights where individual internal verifiers can carry out a self-review and comment on what they currently do and what they may still need to do to meet the requirements of Unit L&D11.

Once a self-review has been completed for each element, each assessor/internal verifier should have an overall picture of where they comply with the assessor and/or verifier standards (specific standards dependant on the type of job role(s) held) and their organisation's related procedures and where they still need to undertake CPD. The next section of the toolkit covers the recording of the CPD identified.

The Knowledge Requirements sections of the assessor and verifier Units have not been exemplified in the tables to keep the key messages about updating brief and hopefully more effective. However, knowledge is important in that it underpins successful performance and so has an essential link with performance, even more apparent in the current assessor/verifier Units.

A knowledge template can be found in the templates section and it is recommended that knowledge is taken into consideration when conducting competence reviews.

**CPD TOOLKIT FOR ASSESSORS AND INTERNAL VERIFIERS OF SVQS AND OTHER WORKPLACE STANDARDS/AWARDS****Recognising compliance**

As well as identifying possible CPD, it is important that the self-review covered in the previous section recognises and confirms where assessor/verifier practice conforms to assessor and/or verifier standards and organisational procedures. It could be demotivating for staff if the focus is solely placed on identifying gaps. This is one reason why a two-pronged approach (focusing firstly on centre procedures and then individual responsibility) is recommended as it shares the responsibility for updating between the centre/organisation and the individual assessors/verifiers, therefore supporting the CPD process in a balanced way. Centres/organisations that carry out the necessary ground work (as covered in the previous section) before, for example running updating workshops/meetings can help ease some of the individual pressures on assessors and internal verifiers in relation to CPD and of course will be in a better position to answer queries and concerns and provide the relevant support.

**Identifying gaps in practice**

On completion of the self-review, individual assessors/verifiers should be able to identify what they need to be able to do in the future to fully meet centre procedures/assessor/verifier requirements. Taking this forward, one way of dealing with this is to transfer the identified gaps onto an Action/Development Plan. You will be able to see an example of an Action/Development Plan used for this purpose on the following page.

**Table 3: Action/Development Plan (example)**

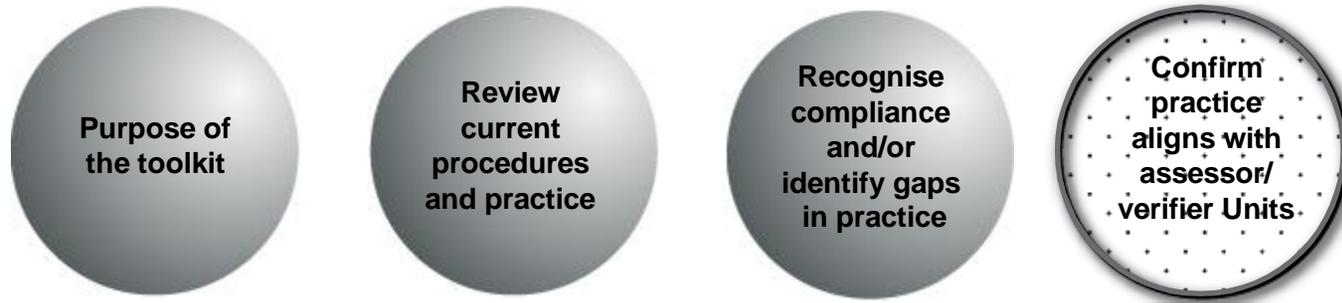
Practice/knowledge identified as a shortfall	Actions you plan to take to address shortfall
<p><i>Standardisation procedures to include routinely and systematically cross-verifying candidate evidence on a rotational basis to cover all Units and all assessors overtime.</i></p> <p><i>Updated standardisation procedures to be carried out.</i></p>	<p><i>Bring to attention of Quality Team and propose wording for revised procedure by ...</i></p> <p><i>Incorporate new procedures when carrying out summative verification and during group standardisation meetings by...</i></p>

Action/Development Plan templates for assessor and verifier Units can be found at the end of this toolkit in the Templates Section

### **Proving you have taken the necessary action and are working in line with the assessor/verifier standards**

CPD is more than just attending a course or taking part in group exercises or indeed stopping at creating an action plan like the one above. CIPD is also about putting what has been learned or identified into practice. The next section covers this issue in more depth.

## CPD TOOLKIT FOR ASSESSORS AND INTERNAL VERIFIERS OF SVQS AND OTHER WORKPLACE STANDARDS/AWARDS



### Confirming practice aligns with the assessor and verifier Units

Every centre offering SVQs will have as part of its internal verification procedures a system for developing and monitoring assessor practice. This is in keeping with the principles contained within L&D11.

It is suggested therefore that natural mechanisms already exist within centres/organisations (through internal verification procedures) that could be used to confirm assessors are working in line with the appropriate assessor and/or verifier standards.

An Action/Development Plan such as the one in Table 3 provides evidence of intent. However, it is the achievement of the points included in the Development Plan when it is followed-up at a later stage that will eventually provide the confirmation required.

Table 4 shows an example Assessor Monitoring Record. It shows in the shaded area how the internal verifier has put their plans into action.

**Table 4: Assessor Monitoring Record**

<b>Name of IQA:</b> Barry Blue		
<b>Name of Assessor:</b> Gavin Gray		
	<b>YES</b>	<b>NO</b>
a) Plans assessments effectively	X	
b) Interprets outcomes reliably and in relation to other assessors	X	
c) Applies principles of validity, authenticity, reliability, currency, and sufficiency (VARCS)	X	
d) Applies relevant health, safety and environmental protection	X	
e) Maintains an effective working relationship with candidates	X	
f) Candidate reviews are effective and frequent		X
g) Constructive advice/feedback is given to candidates at appropriate intervals	X	
h) Assessment decisions and next stages of the assessment process are clearly explained to candidates	X	
i) Conforms to all quality assurance procedures	X	
j) Contributes to standardisation procedures	X	
k) Works in line with assessor standard and appropriate Assessment Strategy requirements	X	
<p><b>Assessor observation of assessment practice:</b>  <i>I reviewed a number of assessment plans, reviewed products of work and professional discussion. I also interviewed three learners. I observed Barry assessing one of his learners who was delivering a short training session. The assessment encompassed units L6, L9, L10 and L13. I observed him giving feedback to his learner at the end of the session. He was very specific in his feedback, and checked his candidate understood what he had said and discussed what would be assessed next. The feedback was balanced and highlighted Barry's clear understanding of the unit requirements. I am confident that Barry made the correct assessment decisions in relation to the units he assessed.</i>            Site: Lochaber Training Rooms</p>		
<p><b>Feedback to assessor:</b>  <i>Although planning effectively, Barry needs to ensure plans are re-visited, reviewed and taken through to a conclusion. Planning is important from a candidates' perspective as it keeps them on track.</i></p> <p><i>This monitoring record confirms Barry applies appropriate procedures at each stage of the assessment cycle in line with current assessment standards. I have included Barry's assessment decisions in standardisation meetings and during summative verification I have made comparisons against other assessors' decisions in relation to six units with very favorable feedback.</i></p> <p><i>Barry has no major queries and has settled into the team well and brings a lot of valuable experience.</i>            Next monitor, 20th May 2010.</p>		
<b>IV signature:</b> Gavin Gray	<b>Date:</b> July 5th 2010	
<b>Assessor signature:</b> Barry Blue	<b>Date:</b> July 5th 2010	

### **Confirming practice aligns with the V1 Unit**

It is more challenging for internal verifiers to confirm their practice, however suggestions as to how confirmation might be provided would include:

- ◆ Internal quality audits
- ◆ External verifier reports
- ◆ Other external inspections
- ◆ Any combination of the above

### **Maintaining records**

Although confirmation is the ultimate goal for assessors and internal verifiers, it is important to maintain records of the complete CPD process in order to provide centres and external verifiers with an audit trail of CPD activity.

## Templates section

## Unit L&amp;D9DI Assess Workplace Competence Using Direct and Indirect Methods (FD41 04)

Performance What the assessor-candidate must do	Supporting procedures	I already include in my practice = C
		I need to include in my practice = X
<b>1 Prepare to assess</b> a) Ensure candidates understand the purpose, requirements and processes of assessment		
<b>2 Plan assessments</b> a) Identify evidence that is valid, authentic and sufficient b) Plan to use valid, fair and reliable and safe assessment methods c) Plan assessment to meet requirements and candidate needs		
<b>3 Assess candidate performance and knowledge</b> a) Collect evidence that is valid, authentic and sufficient b) Use valid, fair, reliable and safe assessment methods c) Make assessment decisions against specified criteria d) Work with others to ensure the standardisation of assessment practice and outcomes		
<b>4 Confirm progression and achievement</b> a) Provide feedback to the learner that affirms achievement and identifies any additional requirements b) Maintain required records of the assessment process, its outcomes and candidate progress		

<b>Knowledge</b>  <b>What the assessor-candidate must know</b>	<b>I already understand and apply this knowledge = C</b>  <b>I need to understand or apply this knowledge = X</b>
<b>1 Prepare to assess</b> a How to judge when the candidate is ready for assessment b The range of information that should be made available to candidates before assessment begins c The concepts and principles of assessment d Standards to be assessed, assessment/evidence requirements, regulatory requirements e The candidates' job role and their work environment and how this influences which assessment approach to use	
<b>2 Plan assessments</b> a The principles of assessment (validity, authenticity, reliability, currency ,sufficiency (VARCS)) b The uses, benefits and drawbacks of the different assessment methods, including those that use technology c Types of risks, including health, safety and welfare and quality assurance risks, when assessing and how to manage them d How to plan assessments in own area of responsibility, involving candidates and allowing access e How assessment arrangements can be adapted to meet the diverse needs of individual candidates f How disputes and appeals will be handled and how confidentiality will be maintained	
<b>3 Assess candidate performance and knowledge</b> a The principles of competence based assessment (competent versus not yet competent) b How to judge evidence in relation to specified criteria ensuring the quality assurance principles are applied (valid, fair, reliable, current, safe) c Achieving objectivity and consistency when making assessment decisions and what to do when there is doubt d Standardisation processes and how to contribute to those e How to co-operate and work effectively with others involved in the assessment process	
<b>4 Confirm progression and achievement</b> a The purpose and value of feedback in the assessment cycle b How to deliver constructive feedback and the next steps in the assessment process c How to ensure access and data protection requirements are adhered to when maintaining records of assessment and candidate progress. d Internal quality assurance processes and procedures and how to apply these in practice e The value and purpose of continuing professional development for assessment practitioners	

## Unit L&amp;D11

## Internally Monitor and Maintain the Quality of Workplace Assessment (FD43 04)

Performance	Supporting procedures	I already include in my practice = C
What the verifier-candidate must do		I need to include in my practice = X
<b>1 Prepare to carry out internal Quality Assurance</b> a) Prepare to monitor the quality of assessment		
<b>2 Plan internal Quality Assurance</b> a) Plan monitoring activities to ensure the quality of assessment is maintained		
<b>3 Carry out planned monitoring of the quality of assessment</b> a) Determine whether assessment processes and systems meet and operate according to quality requirements b) Check that assessors meet the requirements for their role c) Check that assessments are planned, prepared for and carried out according to agreed procedures d) Check that assessment methods are safe, fair, valid and reliable e) Check that assessment decisions are made using specified criteria f) Compare assessor decisions to ensure that they are consistent g) Provide assessors with feedback, advice and support to help them maintain and improve their assessment practice		
<b>4 Meet appropriate External Quality Assurance requirements</b> a) Work with others to ensure the standardisation of assessment practice and outcomes b) Follow agreed procedures when there are significant concerns about the quality of assessment c) Follow agreed procedures for the recording, storing, reporting and confidentiality of information		

<b>Knowledge</b> <b>What the verifier-candidate must know</b>	<b>I already understand and apply this knowledge = C</b>  <b>I need to understand or apply this knowledge = X</b>
<b>1 Prepare to carry out internal Quality Assurance</b> a) The standards being assessed and the assessment/evidence requirements b) The relevant Assessment Strategy and external and internal Quality Assurance requirements c) The principles of assessment and Quality Assurance d) Procedures to follow when preparing for monitoring activity e) Agreed procedures for planning, preparing for and carrying out assessment f) Criteria for judging the quality of the assessment process g) Roles, responsibilities of, and requirements for, assessors/Lead IV/IVs/EVs h) Special assessment arrangements i) The uses, benefits and drawbacks of different assessment methods j) Legal issues, policies and procedures including those for health, safety and welfare	
<b>2 Plan internal Quality Assurance</b> a) Procedures to follow when planning monitoring activity b) Principles of assessment (Validity, Accuracy, Reliability, Currency, Sufficiency (VARCS)) c) Assessment cycle — when you would use interim and final verification d) Principles and techniques of sampling, and their application including the appropriate use of technology e) Quality Assurance risk management f) Internal Quality Assurance policies/procedures/strategy g) Policies, procedures and requirements re information management, data protection and confidentiality in relation to assessment and Quality Assurance	
<b>Knowledge</b> <b>What the verifier-candidate must know</b>	<b>I already understand and apply this knowledge = C</b>  <b>I need to understand or apply this knowledge = X</b>
<b>3 Carry out planned monitoring of the quality of assessment</b> a) Assessment and Quality Assurance principles, requirements, policy and practice (Validity, Accuracy, Reliability, Accuracy, Sufficiency (VARCS)) b) Agreed procedures for planning, preparing and carrying out assessment c) Assessor/IV roles and requirements d) Assessment specifications and risk identification and management e) Criteria for judging quality of assessment f) Methods of monitoring assessor practice and recording sampling to showing a clear audit trail g) Standardisation processes and how to co-ordinate and contribute to these h) Types of feedback, advice and support that assessors need and how to meet those needs i) Procedures to use when there are disputes and concerns about quality of assessment and Quality Assurance j) Equality and Diversity issues in relation to assessment and Quality Assurance and how these should be addressed k) Requirements for information management, data protection and confidentiality and	

<b>Knowledge</b> <b>What the verifier-candidate must know</b>	<b>I already understand and apply this knowledge = C</b>  <b>I need to understand or apply this knowledge = X</b>
communication in relation to assessment and Quality Assurance l) Continuous Professional Development (CPD) planning and implementation including working towards national standards in assessment and verification	
<b>4 Meet appropriate External Quality Assurance requirements</b> a) External Quality Assurance requirements prior to, during and post monitoring activities b) Procedures to use when there are disputes and concerns about quality of assessment c) Standardisation processes and how to co-ordinate and contribute to these d) Methods of reporting on internal Quality Assurance and reviews of practice e) Organisation's Quality Assurance responsibilities and requirements re information management, data protection, confidentiality and communication	

**Action/Development Plan**

<b>Practice/knowledge identified as a shortfall</b>	<b>Actions you plan to take to address shortfall</b>