



Guidance on Recognition of Prior Learning for Qualified Assessors and Internal Verifiers (Workplace and Non-workplace)

To assist in gaining the SCQF Workplace Assessor and Internal Verifier Qualifications

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Glossary of terms

Active assessor	An assessor who has been practising within the last 18 months.
Active IV	An Internal Verifier (IV) has been practising within the last 18 months.
APL	Accreditation of Prior Learning
Credit transfer	A system where a centre can certificate a candidate for a new Unit based on the candidate holding a related older Unit(s).
DAV Units	D32, D33, D34, A2, A1 and V1
Formal learning	Learning certificated by a recognised awarding or professional body.
Non-formal learning	Learning such as employer's in-house training course, which may or may not be assessed and/or certificated.
Informal learning	Learning based on experience from a variety of environments which is not formally assessed.
RPL	Recognition of Prior Learning (in the case of the Assessor/Verifier Units, RPL also relates to prior achievement)

Purpose

This guidance has been created to clarify the RPL (Recognition of Prior Learning) requirements for active workplace and non-workplace assessors and Internal Verifiers, who wish to gain the new workplace assessor and Internal Verifier Units, Units L&D 9D/9DI and L&D 11 respectively.

Background to the development of this guidance

There are various versions of assessor and Internal Verifier qualifications held by assessors and Internal Verifiers today. The current qualifications for assessors and Internal Verifiers were introduced following the revision to the Learning and Development National Occupational Standards (NOS) in November 2011.

Current assessor and Internal Verifier qualifications:

Professional Development Awards (PDAs) and Units — for workplace assessment and verification					
PDA title	PDA code	Unit title	SQA Unit code	SCQF level	SCQF credit
Workplace Assessment Using Direct Methods	GA28 47	Assess Workplace Competence Using Direct Methods (L&D9D)	FD40 04	7	8
Workplace Assessment Using Direct and Indirect Methods	GA2E 48	Assess Workplace Competence Using Direct and Indirect Methods (L&D9DI)	FD41 04	8	10
Internal Verification of Workplace Assessment	GA2F 48	Internally Monitor and Maintain the Quality of Workplace Assessment (L&D11)	FD43 04	8	12

Professional Development Awards (PDAs) — Non-workplace qualifications for Assessors and Internal Verifiers					
PDA Title	PDA Code	Unit Title	SQA Unit code	SCQF level	SCQF credit
Conduct the Assessment Process	GF8P 48	Conduct the Assessment Process	H290 35	8	8
Conduct the Internal Verification Process	GF8R 48	Conduct the Internal Verification Process	H291 35	8	8

Previous assessor and Internal Verifier qualifications:

- Assess candidate performance (D32)
- Assess candidates using differing sources of evidence (D33)
- Internally verify the assessment process (D34)

Professional Development Awards (PDAs) — Non-workplace qualifications for assessors and Internal Verifiers					
PDA Title	PDA Code	Unit Title	SQA Unit code	SCQF level	SCQF credit
Carry Out the Assessment Process (finish date 31/07/2014)	G9DA 47	Carry out the Assessment Process	F7BV34	7	8
Internally Verify the Assessment Process (finish date 31/07/2014)	G9DC 48	Internally Verify the Assessment Process	F7BW 35	8	8

Many previously qualified and active assessors and Internal Verifiers would like to go further than simply aligning their current practice to the current assessor and internal verifier qualifications by actually gaining them. This guidance document provides information which will assist assessors of workplace assessor and Internal Verifier qualifications recognise and accept evidence of Recognition of Prior Learning (RPL) from previously qualified and practising assessors and internal verifiers (both workplace and non-workplace).

NB: Credit transfer arrangements (refer to Glossary) are always stipulated by Awarding Organisations or a Regulatory Authority. No such arrangements exist for any of the assessor or verifier Units.

Policy on Recognising Prior Learning (RPL)

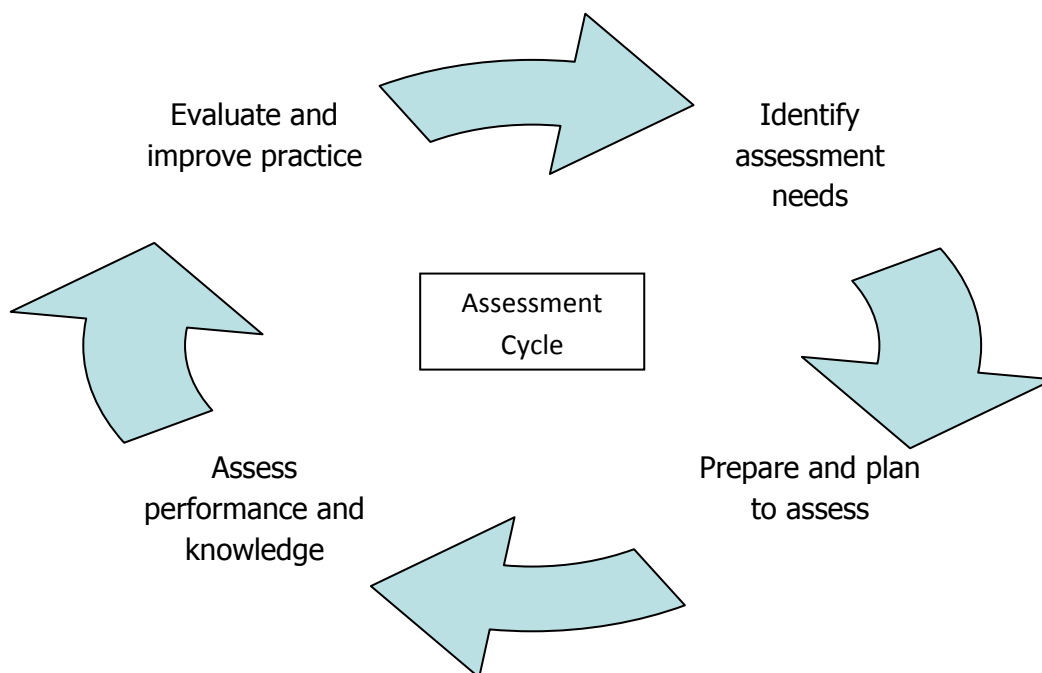
SQA recognises prior learning as a method of assessing whether a learner's experience and achievements meet the Evidence Requirements (ie the standard) of SQA Unit(s) and which may or may not have been developed through a course of learning.

Evidence of prior learning must be valid, reliable and of equal rigour to the standard assessment of the Unit(s) concerned. This means that the evidence should broadly match the Evidence Requirements specified in the Unit(s) and reflect the SCQF level and credit value attached to the Unit(s).

SQA Policy on RPL can be found in Annexe 1.

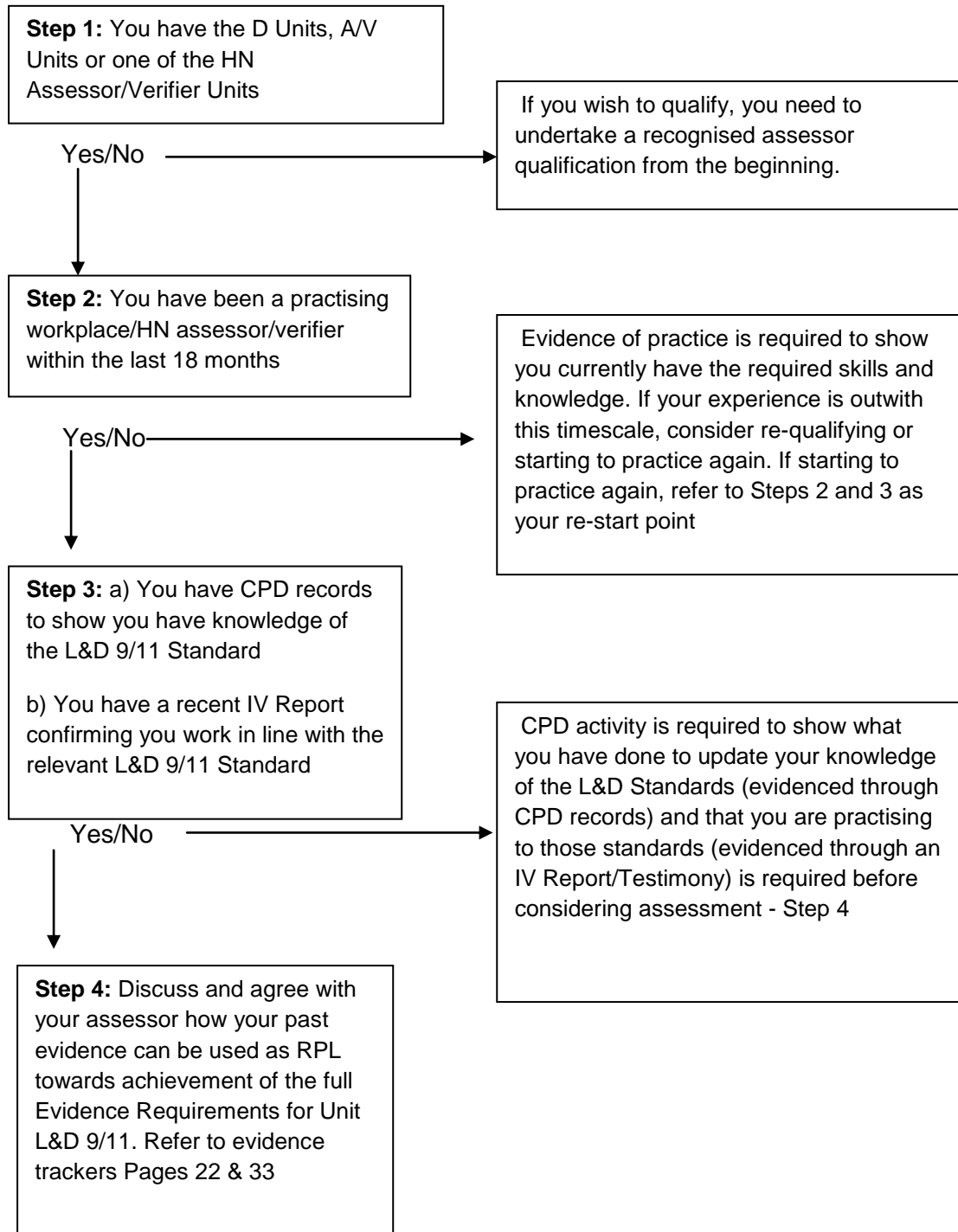
Structure of the current Assessor and Internal Verifier Units

The structure of the current assessor and Internal Verifier Units (L&D 9D/9DI and L&D11) has changed considerably in comparison to Units D32, 33 and A1. However, the process – the assessment cycle - remains the same and is illustrated below:



Flowchart for assessment of L&D 9/9DI and L&D 11 through RPL

This flowchart has been created to provide an overview of the RPL process relating specifically to the achievement of the L&D 9/9DI and L&D 11 Units.



Differences between the D/A/V Units and L&D9D/9DI and L&D11

There are two main differences between the structure and requirements of the previous assessor and IV Units and the current assessor and IV Units. The current Units:

- Include an element of preparation
- Require Knowledge and Understanding to be assessed by pre-defined methods and not claimed from Performance Evidence, as was permissible in the previous Units.

Differences between the HN Assessor / Verifier Units and L&D 9D/9DI and L&D 11

The mapping of the HN assessor and IV Units to the current workplace assessor and IV Units has identified that Performance Evidence, ie what you have to do, is similar in both cases. However, Performance Evidence for the HN assessor and IV Units is drawn from non-workplace assessment environments, which does not meet the Assessment Strategy requirements for assessing/verifying Units L&D 9D/9DI and L&D11, ie requirement for assessment to take place in the candidate's workplace.

The mapping has also identified that there is a significant amount of Knowledge and Understanding which is common to both HN and workplace assessor and IV Units. However, again in the case of the HN Units, Knowledge Evidence is based on non-workplace assessment practice and, therefore, some responses will be out of context for Units L&D 9D/9DI and L&D11. (Information on the mapping of previous workplace and non-workplace assessor and IV Units to the current L&D Units are contained in separate documents which are available on SQA Secure).

Recognising Prior Learning towards gaining L&D9D/9DI and L&D11

This section contains information on the minimum evidence required for those active and previously qualified workplace assessors and/or Internal Verifiers, who are currently practising, and who wish to have an up to date qualification to enable them to assess and/or internally verify workplace competence, ie, Unit L&D 9D (Assess Workplace Competence Using Direct Methods) Unit L&D 9DI (Assess Workplace Competence Using Direct and Indirect Methods) and/or Unit L&D 11 (Internally Monitor and Maintain the Quality of Workplace Assessment) respectively.

Assessment of L&D 9D/9DI and L&D 11 using past D/A/V Unit evidence

Performance Evidence

- All Performance Evidence requirements apply (refer to evidence trackers pages 22 & 33) – evidence of assessment or verification can be used if it was carried out within the past 18 months. NB: Assessors who hold D32 and/or D33 will require to be observed providing feedback to one candidate, or provide evidence of observation of feedback to a candidate in their IV endorsement
- CPD evidence is required to show the assessor/verifier-candidate has an updated knowledge of the relevant L&D Unit

and

- Has been practising as an assessor/verifier and to the appropriate L&D Unit Standard. Endorsement from a qualified Internal Verifier is required to support this point.

Knowledge Evidence

- Knowledge Evidence from the previous D/A/V Units can be accepted and supplemented with current assessment of knowledge to close any gaps (Knowledge Evidence must be provided to support all knowledge points). It is the responsibility of the assessor of RPL evidence to ensure knowledge is current, therefore although some past evidence may appear to cover points, additional questions may be required to ensure currency - especially important when considering evidence that was provided some time ago.
- All evidence (RPL and current) must be referenced to all parts of the appropriate L&D Unit. (Refer to evidence trackers, Annex 6 & 7)
- The assessor of the L&D 9DI or L&D 11 Units must be fully satisfied that all Performance and Knowledge requirements are met.

Assessment of L&D 9D/9DI and L&D 11 using evidence for the HN Assessor/Verifier Units

Performance Evidence

- As per the guidance relating to accepting D/A/V Unit evidence, there must be evidence of having been practising as an assessor within the past 18 months. Endorsement is required from a qualified Internal Verifier to support this point.
- As the HN Unit is achieved assessing/verifying in a non-workplace context, there must be evidence that the assessor/verifier has carried out at least two assessments of one candidate in their place of work (in the case of the L&D 11 qualification, verified evidence of at least one workplace assessor).

Knowledge Evidence

- Knowledge Evidence from the previous HN assessor/verifier Units can be accepted and supplemented with current assessment of knowledge to close any gaps (Knowledge Evidence must be provided to support all Knowledge points).
- It is the responsibility of the assessor to ensure Knowledge is current (refer to guidance for the D/A/V Units) and in the context of assessing/verifying in the workplace.
- All evidence (RPL and current) must be referenced to all parts of the appropriate L&D Unit. (Refer to evidence trackers, Annex 6 & 7)
- The assessor of the L&D 9D, L&D 9DI or L&D 11 Units must be fully satisfied that all Performance and Knowledge requirements are met.

Annexes The subsequent pages (annexes) contain information on the following:

- Specific questions to cover gaps in the knowledge requirements for Units L&D 9D, L&D 9DI and L&D 11, ie, Knowledge and Understanding which does not appear in the previous assessor/verifier qualifications
- Providing guidance on the principles of assessment and the benefits and drawbacks of the use of different methods of assessment
- Exemplars of portfolio content for recording RPL and additional evidence to show full coverage of the performance and knowledge requirements for Units L&D 9DI and L&D 11 (the exemplars relate to RPL for L&D 9DI from the D and A Units and to RPL from HN IV Unit to Unit L&D 11)

NB: the exemplars are for guidance only and the final decision on the validity, authenticity, reliability, currency and sufficiency of RPL evidence will remain that of the assessor of the assessor/verifier-candidate, and be subject to internal and external quality assurance requirements.

Annexe 1: Recognition of Prior Learning in the Internal Assessment and Quality Assurance of SQA Units

Policy	SQA recognises prior learning as a method of assessing whether a learner's experience and achievements meet the Evidence Requirements (ie the standard) of SQA Unit(s) and which may or may not have been developed through a course of learning.
Why do we need this policy?	SQA recognises that learners develop knowledge and skills through experience and achievements. This includes knowledge and skills acquired through formal, non-formal and informal learning contexts. SQA must, however, ensure that the assessment of our qualifications is valued and credible with users, partner organisations and the wider community. This policy is required to ensure that, where the recognition of prior learning is used, the value and credibility of SQA Units is maintained.
Which parts of SQA are affected?	Qualifications Development and Operations directorates.
What support is available to help SQA implement this policy?	Please contact the Policy and New Products team for further information on this policy.
What does the policy apply to?	<p>This policy is applicable to the recognition of prior learning in the internal assessment and quality assurance of the component Units of the product types listed below:</p> <ul style="list-style-type: none">• Higher National Certificate and Diploma (HNC/HND)• Professional Development Awards (PDA)• Scottish Vocational Qualifications (SVQ)• National Progression Awards (NPA)• National Certificates (NC)• Awards
Exclusions	<p>The following are excluded from the scope of this policy: Units where there are:</p> <ul style="list-style-type: none">• existing requirements for a licence to practice• specific health and safety requirements• regulated professional or other statutory requirements• Graded Units• Other integrative assessment Units which may not be graded• Certain types of assessment instruments where the standard may be compromised by not using the same assessment method• Course and/or external assessments• Ofqual accredited qualifications are covered by a separate policy: <i>Recognition of Prior Learning Policy (QCF)</i>.

Principles of the recognition of prior learning

1. Evidence of prior learning must:
 - a. be valid, reliable and of equal rigour to the standard assessment of the Unit(s)
 - b. broadly match the Evidence Requirements of the Unit(s)
 - c. reflect the SCQF level and credit value attached to the Unit(s), where appropriate
 - d. ensure the currency of the learner's knowledge, skills and achievement within the context of the Unit(s)
 - e. be presented in English or as appropriate, Gaelic
2. The recognition of prior learning may be used to assess complete or partial SQA Units. Where prior learning only partially meets the Evidence Requirements of a Unit, standard assessment should be used to complete the outstanding requirements. The minimum level of awarding/certification will be a complete SQA Unit
3. The recognition of prior learning can be considered in relation to more than one Unit in a Group Award. The proportion of credit in a Group Award that may be achieved through the recognition of prior learning is provided in the Design Principles for the respective Group Award
4. Recognition of prior learning decisions must be made by competent assessors and all decisions should be documented for internal and/or external verification purposes
5. Assessment of prior learning will be subject to the same quality assurance as standard assessment by both centres and SQA
6. Appeals from learners will follow the same process applicable to standard assessment of the Unit(s) or Group Award and/or centre type concerned
7. Standard Unit and Group Award entry fees apply
8. Previous qualifications used to support the recognition of prior learning must have been:
 - a) awarded by a recognised awarding body or professional body
 - b) delivered, assessed and certificated in English or, as appropriate, Gaelic.

Annex 2: Specific Knowledge and Understanding Requirements to Support RPL of HN, A and D Unit Evidence for Unit L&D 9D & Unit L&D 9DI

The mapping exercise identified specific differences in Knowledge and Understanding between the previous and current qualifications. Those Knowledge and Understanding differences **must** as a minimum be addressed and are listed below.

(Assessor candidates can also refer to SQA support materials for Unit L&D9DI “A Practical Guide to Developing Assessor - Candidate Competence” which are available on the SQA Secure site).

Unit L&D 9 DI

1. Prepare to Assess

RPL candidates must address each of the following specific K&U requirements: 1; 2; 3 and 5.

- K&U Requirement 1: How to judge when the candidate is ready for assessment
- K&U Requirement 2: The range of information that should be made available to candidates before assessment begins
- K&U Requirement 3: The concepts and principles of assessment
- K&U Requirement 5: The candidates’ job role and their work environment and how this influences which assessment approach to use

2. Plan Assessments

RPL candidates must address each of the following specific K&U requirements: 1; 2 and 3.

- K&U Requirement 1: The principles of assessment (validity, authenticity, reliability, currency, sufficiency (VARCS)) – refer to section 2
- K&U Requirement 2: The uses, benefits and drawbacks of the different assessment methods, including those that use technology – refer to section 3
- K&U Requirement 3: Types of risks, including health, safety and welfare and quality assurance risks, when assessing and how to manage them

3. Assess Candidate Performance and Knowledge

RPL candidates must address each of the following specific K&U requirements: 1 and 3.

- K&U Requirement 1: The principles of competence based assessment (competent versus not yet competent)
- K&U Requirement 3: Achieving objectivity and consistency when making assessment decisions and what to do when there is doubt

4. Confirm Progression and Achievement

RPL candidates must address each of the following specific K&U requirements: 1 and 5.

- K&U Requirement 1: The purpose and value of feedback in the assessment cycle
- K&U Requirement 5: The value and purpose of continuing professional development for assessment practitioners

Annex 3: Specific Knowledge and Understanding Requirements to Support RPL of HN, D and V Unit Evidence for Unit L&D 11

The mapping exercise identified specific differences in Knowledge and Understanding between the previous and current qualifications. Those Knowledge and Understanding differences **must** as a minimum be addressed and are listed below

(Internal Verifier candidates can also refer to SQA support materials for Unit L&D11 “A Practical Guide to Developing Verifier Candidate Competence” which can be found on SQA Secure)

Unit L&D 11

1. Prepare to carry out internal verification

RPL candidates must address each of the following specific K&U requirements: 3; 9 and 10.

- K&U Requirement 3: The principles of assessment and Quality Assurance
- K&U Requirement 9: The uses, benefits and drawbacks of different assessment methods. Refer to Annex 4
- K&U Requirement 10: Legal issues, policies and procedures including those for health, safety and welfare

2. Plan internal quality assurance

RPL candidates must address each of the following specific K&U requirements: 2; 3; 4 and 5.

- K&U Requirement 2: Principles of assessment (Validity, Accuracy, Reliability, Currency, Sufficiency - VARCS). Refer to Annex 3
- K&U Requirement 3: Assessment cycle — when you would use interim and final verification
- K&U Requirement 4: Principles and techniques of sampling, and their application including the appropriate use of technology
- K&U Requirement 5: Quality Assurance risk management

3. Carry out planned monitoring of the quality of assessment

RPL candidates must address each of the following specific K&U requirements: 1; 4; 11 and 12.

- K&U Requirement 1: Assessment principles, requirements, policy and practice (Validity, Accuracy, Reliability, Accuracy, Sufficiency - **VARCS**). Relate/refer to Annex 3
- K&U Requirement 4: Assessment specifications and risk identification and management
- K&U Requirement 11: Requirements for information management, data protection and confidentiality and communication in relation to assessment and Quality Assurance
- K&U Requirement 12: Continuous Professional Development (CPD) planning and implementation including working towards national standards in assessment and verification

4. Meet appropriate external quality assurance requirements

RPL candidates must address the following specific K&U requirements:

- K&U Requirement 5: Organisation's Quality Assurance responsibilities and requirements re information management, data protection, confidentiality and communication

Annex 4: Guidance on meeting the Assessment Principles - VARCS

Valid

This simply means using appropriate methods of assessment. For example, asking candidates to undertake an assignment on how they would carry out a routine activity such as providing food and drink for individuals in a care setting would not constitute valid evidence as this type of activity would best be observed.

Candidate evidence must comply with permitted Evidence Requirements as specified in the standards. If for example an assessor wishes to use simulation because the evidence they seek is not naturally occurring, it should firstly be checked against the evidence requirements and then discussed with the Internal Verifier.

Policies and procedures can often be included in candidates' portfolios and proposed as evidence. On their own, they cannot validly prove candidate competence, as this can only be done by candidates showing how they actually apply their company's policies and procedures through their actions and knowledge.

Authentic

The evidence used to assess a candidate's competence must be confirmed as the candidate's own. Observations by assessors/witnesses can help authenticate a candidate's work.

Authentication of an end product can be more difficult when the assessor has not been present to observe the activities being claimed and when the evidence is the result of team work i.e. a tidy work area, a prepared meal etc. In these situations, the assessor requires to ascertain what the candidate's exact contribution was. This could be achieved for example by asking for witness statements from staff members on shift at that time and/or through questioning the candidate and others.

Reliable

An assessment method is reliable when it is capable of producing consistent results for any assessor using it.

Standardised assessment materials are a good starting point. Centrally devised observation checklists, questions and acceptable responses can help regulate the expectations of assessors and promote a fair approach to the assessment process. Any centrally devised materials should be agreed by the assessment team and the internal verifier.

Taking part in standardisation activities where previously assessed evidence is reviewed by the whole assessment team can help provide a degree of reliability as can taking part in dual assessing, assessor-colleague shadowing, cross-evidence scrutiny etc.

Current

The assessor must be satisfied that his or her candidate is 'currently competent'. This means that candidates must demonstrate that their skills meet the requirements of today's work environment and work practices. This quality assurance principle is especially important and must be applied when considering evidence of a candidate's prior achievement/experience.

Sufficient

Assessors must be satisfied that their candidates have produced enough evidence of sufficient quality to prove competence over time. When judging a candidate's evidence, the assessor must make specific decisions in relation to whether or not candidates have provided sufficient evidence to enable the signing off of SVQ Units.

Please provide below an explanation of why the four assessment methods you have used meet the VARCS requirements

(Listed below are the three mandatory assessment methods for L&D 9DI. Please include the fourth method you used for your L&D 9DI evidence)

Assessment method	<u>Valid</u>	<u>Authentic</u>	<u>Reliable</u>	<u>Current</u>	<u>Sufficient</u>
Observation					
Examination of product					
Question					
Discussing with candidates/ Testimony of others (witnesses)/ Examining candidate statements/ Assessing candidates in simulated environments / Recognising Prior Learning (RPL) Identify fourth assessment method from the above					

Annex 5: Guidance on explaining Assessment Methods – Benefits and/or Drawbacks

Assessment Methods	Benefits	Drawbacks
Please state the benefits and/or drawbacks of <u>observation</u> in the context of the qualifications you are assessing		
Please state the benefits and/or drawbacks of <u>questions</u> in the context of the qualifications you are assessing		
Please state the benefits and/or drawbacks of <u>examination of product evidence</u> in the context of the qualifications you are assessing		
Please state the benefits and/or drawbacks of <u>discussion with candidate</u> in the context of the qualifications you are assessing		
Please state the benefits and/or drawbacks of <u>testimony of others</u> in the context of the qualifications you are assessing		
Please state the benefits and/or drawbacks of <u>examining candidate statements</u> in the context of the qualifications you are assessing		
Please state the benefits and/or drawbacks of <u>assessing candidates in simulated environments</u> in the context of the qualifications you are assessing		
Please state the benefits and/or drawbacks of <u>recognising prior learning</u> in the context of the qualifications you are assessing		

Annex 6: Exemplar Portfolio Content – RPL of D and A Units for Assess Workplace Competence Using Direct and Indirect Methods (L&D 9DI)

EVIDENCE NO	Location	Type of evidence e.g. My explanation	
1	Portfolio	D32 and D33 Certificate - RPL	<p>Comments on this indexing example</p> <p>An Assessment Plan (and records, see evidence number 3) was also provided as evidence of having authenticated products not created at time of observation as no evidence of this in D32 and D33 evidence. The IV Monitoring Report included an observation of the assessor-candidate assessing one candidate, confirming they have attended and contributed towards standardisation events, maintained assessment records.</p> <p>The reflection on methods used was not required to the same degree in D32 and D33 also (ref Annex 4). The Professional Discussion also covered what the assessor-candidate does to prepare candidates for assessment supported with example documentation.</p>
2	Portfolio	An Assessment Plan for one candidate which includes examination of work products (not created at the time of observation. and one other method of assessment from L&D 9DI assessment methods	
3	Portfolio	Assessment records for one candidate which relate to assessment plan – evidence 2	
4	Portfolio	An Internal Verifier Monitoring Report confirming assessment decisions and practice conform to the L&D 9DI Standard	
5	Portfolio	Evidence of K&U for the following L&D 9DI K&U requirements; L&D 9DI 1: 2, 3, 5; L&D 9DI 2: 1, 2, 3 ; L&D 9DI 3: 1, 3; L&D 9 DI 4: 1, 5	
6	Portfolio	Professional Discussion covering: Preparation for assessment - Methods used	

Unit L&D9DI

Assess Workplace Competence Using Direct and Indirect Methods

Source: Learning and Development Standard 9

Who this Unit is for

This Unit is for those who assess in the workplace using a wide range of assessment methods, both direct and indirect. The person wishing to achieve this Unit (the assessor candidate) will use the following direct methods:

- Observation
- Examination of Work Products (both created and not created at the time of observation)
- Questioning

They may also be involved in authenticating indirect evidence such as:

- Discussing with candidates
- Testimony of others (witnesses)
- Examining candidate statements
- Assessing candidates in simulated environments
- Recognising Prior Learning (RPL) – otherwise known as the Accreditation of Prior Achievement (APA)

The assessment decisions made by the assessor-candidate will be used to confirm achievement in a range of situations such as assessing SVQs, other workplace qualifications or in-company standards.

For this Unit, assessments must be of a substantial but realistic and manageable piece of the candidate's work. Each assessment should cover the full assessment cycle to include planning, judging evidence, providing feedback and recording the decision.

What this Unit is about

The types of activities the assessor candidate will be involved in include:

- a) Preparing to assess
- b) Planning assessments
- c) Assessing candidate performance and knowledge
- d) Confirming progression and achievement

To achieve this Unit the assessor candidate must assess the competence of two candidates on two occasions in their place of work using a set of standards such as those provided by a national awarding/standard setting body or the candidates' employer.

The assessor candidate's knowledge will be assessed by them taking part in a discussion with their assessor or answering questions (either written or oral) or providing a statement of how and why they carried out certain activities, or a combination of these.

The assessor candidate's performance will be assessed by their assessor observing them carrying out assessments and by looking at products of their work such as:

- notes relating to pre-assessment planning discussions
- assessment plans agreed with the candidates
- records detailing assessment decisions
- feedback records used to convey progression/achievement to the candidates
- records of the standardisation activities the assessor candidate has been involved in

The assessor will also observe the assessor candidate assessing, giving feedback to at least one of the candidates and reviewing progress.

Terminology

Within this Unit the following explanations and examples apply.

Assessment method	<i>Observation, questioning, checking products of work, discussing with candidates, testimony of others (witnesses, examining candidate statements, assessing candidates in simulated environments, Recognising Prior Learning (RPL) – otherwise known as the Accreditation of Prior Achievement (APA)</i>
Authentic	<i>Being the candidate's own work.</i>
Current/currency	<i>Evidence that the candidate still possesses the skills and knowledge being claimed.</i>
Equality	<i>A state of fair treatment that is the right of all the people regardless of differences in, for example, culture, ability, gender race, religion, wealth, sexual orientation, or any other group</i>

Diversity	<i>characteristic Acknowledging that each individual is unique and recognising our individual differences in, for example, culture, ability, gender, race, religion, wealth, sexual orientation, or any other individual characteristic.</i>
Identify and collect evidence	<i>This is done through the assessment process, for example by assessor observations, checking products of work, asking questions, discussing with candidates, testimony of others (witnesses, examining candidate statements, assessing candidates in simulated environments, Recognising Prior Learning (RPL) – otherwise known as the Accreditation of Prior Achievement (APA)</i>
Reliable	<i>Assessors achieving a consistent approach to the way they make judgements about candidate evidence. These could be the requirements of the practitioner's own organisation or those of an external organisation, such as awarding organisation.</i>
Requirements	
Risk assessment	<i>Risk relates to breach of the assessment principles (VARCS)</i>
Sufficient	<i>Enough evidence as specified in Evidence Requirements or Assessment Strategy.</i>
Valid	<i>Selecting and using a method of assessment appropriate to the skills and knowledge being assessed.</i>
Fair	<i>Ensuring candidates are assessed consistently and objectively to the standards.</i>
Safe	<i>This covers the health, safety and welfare of the person being assessed.</i>
Special Assessment Arrangement	<i>An agreement made with the candidate and the organisation to ensure fair assessment of the candidate without diluting the standards, for example taking account of shift working by arranging assessment opportunities to suit the candidate's work patterns</i>

Performance What the assessor- candidate must do	Evidence reference	Knowledge What the assessor-candidate must know	Evidence reference	Evidence Requirements	Evidence reference
1. Prepare to assess a) Ensure candidates understand the purpose, requirements and processes of assessment	5, 6	1. How to judge when the candidate is ready for assessment 2. The range of information that should be made available to candidates before assessment begins 3. The concepts and principles of assessment 4. Standards to be assessed, assessment/evidence requirements, regulatory requirements 5. The candidates' job role and their work environment and how this influences which assessment approach to use	RPL 5, 6 5 RPL 5, 6	Performance An explanation of how the assessor candidate made sure their candidates understood the purpose, requirements and processes of assessment, supported with documentation confirming the candidates' agreement to be assessed and that they have received all of the relevant information. This evidence must cover two assessments of two candidates (four assessments in total). Knowledge The assessor candidate must demonstrate they have the knowledge specified. This may be evidenced through one or more of the following: <ul style="list-style-type: none"> • discussing with the assessor candidate • recorded questions and answers (written or oral) • assessor candidate statement 	6 RPL 5 6 5

Performance What the assessor-candidate must do	Evidence reference	Knowledge What the assessor-candidate must know	Evidence reference	Evidence Requirements	Evidence reference
<p>2. Plan assessments</p> <p>a) Identify evidence that is valid, authentic and sufficient</p> <p>b) Plan to use valid, fair and reliable and safe assessment methods</p> <p>c) Plan assessment to meet requirements and candidate needs</p>	<p>RPL + 2 & 5</p> <p>RPL + 2 & 5</p> <p>RPL+ 2</p>	<p>1. The principles of assessment (validity, authenticity, reliability, currency ,sufficiency (VARCS))</p> <p>2. The uses, benefits and drawbacks of the different assessment methods, including those that use technology</p> <p>3. Types of risks, including health, safety and welfare and quality assurance risks, when assessing and how to manage them</p> <p>4. How to plan assessments in own area of responsibility, involving candidates and allowing access</p> <p>5. How assessment arrangements can be adapted to meet the diverse needs of individual candidates</p> <p>6. How disputes and appeals will be handled and how confidentiality will be maintained</p>	<p>5</p> <p>5</p> <p>5</p> <p>RPL</p> <p>RPL</p> <p>RPL</p>	<p>Performance</p> <p>An explanation, with supporting documentation, showing how the assessor candidate:</p> <ul style="list-style-type: none"> identified evidence sources and assessment opportunities that ensured they could collect valid, authentic and sufficient evidence ensured they planned to use valid, fair, reliable and safe assessment methods <p>Evidence of planning and agreeing how and what is to be assessed for at least two assessments of two candidates (four assessments in total) to meet the candidates' needs. Planning must cover the following assessment methods as a minimum:</p> <ul style="list-style-type: none"> Observation of performance Examining work products (both created and not created at the time of observation) Questioning <p>Evidence of planning to use one of other methods listed below and knowledge evidence* of how to plan and use the other methods:</p> <ul style="list-style-type: none"> Discussing with candidates Testimony of others (witnesses) Examining candidate statements 	<p>5</p> <p>RPL + 2 & 5</p> <p>RPL & 2</p> <p>RPL & 2</p> <p>APL+ 2 & 5</p>

				<ul style="list-style-type: none"> Assessing candidates in simulated environments Recognising Prior Learning (RPL) – otherwise known as the Accreditation of Prior Achievement (APL) <p>* When explaining how to plan and use methods not used in practice, the assessor candidate must include the benefits and drawbacks of using each of these methods. The evidence generated may also cover the requirements in element 3.</p> <p>Knowledge The assessor candidate must demonstrate they have the knowledge specified. This may be evidenced through one or more of the following:</p> <ul style="list-style-type: none"> discussing with the assessor candidate recorded questions and answers (written or oral) assessor candidate statement 	<p>5</p> <p>5</p> <p>6</p> <p>5</p>
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Performance What the assessor-candidate must do	Evidence reference	Knowledge What the assessor-candidate must know	Evidence reference	Evidence Requirements	Evidence reference
<p>3. Assess candidate performance and knowledge</p> <p>a) Collect evidence that is valid, authentic and sufficient</p> <p>b) Use valid, fair, reliable and safe assessment methods</p> <p>c) Make assessment decisions against specified criteria</p> <p>d) Work with others to ensure the standardisation of assessment practice and outcomes</p>	<p>RPL & 3</p> <p>RPL & 3</p> <p>RPL & 3</p> <p>4</p>	<p>1. The principles of competence based assessment (competent versus not yet competent)</p> <p>2. How to judge evidence in relation to specified criteria ensuring the quality assurance principles are applied (valid, fair, reliable, current, safe)</p> <p>3. Achieving objectivity and consistency when making assessment decisions and what to do when there is doubt</p> <p>4. Standardisation processes and how to contribute to those</p> <p>5. How to cooperate and work effectively with others involved in the assessment process</p>	<p>5</p> <p>RPL</p> <p>5</p> <p>RPL</p> <p>RPL</p>	<p>Performance</p> <p>Assessment records showing how assessments were carried out against specified criteria for two candidates (four assessments in total). There must be evidence that the candidate assessor has used as a minimum :</p> <ul style="list-style-type: none"> • Observation of performance • Examining the candidate’s products of work (both created and not created at the time of the observation) • Questioning <p>Assessment records showing use of at least one of the methods listed below and as knowledge evidence of how to assess using the other such methods:</p> <ul style="list-style-type: none"> • Discussing with candidates • Testimony of others (witnesses) • Examining candidate statements • Assessing candidates in simulated environments • Recognising Prior Learning (RPL) – otherwise known as the Accreditation of Prior Achievement (APL) <p>The assessor candidate must also provide a statement confirming why they</p>	<p>RPL & 3</p> <p>RPL & 3</p> <p>RPL & 3</p> <p>5</p>

				<p>felt the assessment methods they used ensured validity, reliability, fairness and safety in assessment.</p> <p>The assessor candidate should also provide an explanation of the methods they have not used. The evidence generated for methods not used in element 2 may, if appropriate, be used to cover this requirement.</p> <p>An endorsing statement and /or supporting record(s) from the person responsible for internal quality assurance, confirming the assessor-candidate has met all criteria in this element.</p> <p>There must also be evidence of how the assessor candidate contributed to standardisation in assessment practice and outcomes, evidenced through records of the standardisation decisions made, supported by witness testimony.</p> <p>Knowledge The assessor candidate must demonstrate they have the knowledge specified. This may be evidenced through one or more of the following:</p> <ul style="list-style-type: none"> • discussing with the assessor candidate • recorded questions and answers (written or oral) • assessor candidate statement 	<p>5</p> <p>5</p> <p>4</p> <p>4</p> <p>6</p> <p>5</p>
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Performance What the assessor-candidate must do	Evidence reference	Knowledge What the assessor-candidate must know	Evidence reference	Evidence Requirements	Evidence reference
<p>4. Confirm progression and achievement</p> <p>a) Provide feedback to the learner that affirms achievement and identifies any additional requirements</p> <p>b) Maintain required records of the assessment process, its outcomes and candidate progress</p>	<p>RPL & 3</p> <p>RPL 3 & 4</p>	<p>1. The purpose and value of feedback in the assessment cycle</p> <p>2. How to deliver constructive feedback and the next steps in the assessment process</p> <p>3. How to ensure access and data protection requirements are adhered to when maintaining records of assessment and candidate progress.</p> <p>4. Internal quality assurance processes and procedures and how to apply these in practice</p> <p>5. The value and purpose of continuing professional development for assessment practitioners</p>	<p>5</p> <p>RPL</p> <p>RPL</p> <p>RPL</p> <p>5</p>	<p>Performance</p> <p>An observation by the assessor of the assessor candidate providing feedback and reviewing progress with a minimum of one candidate.</p> <p>Records of feedback and reviewing progress are required in relation to two candidates covering four assessments in total.</p> <p>Authentication from the person responsible for internal quality assurance confirming the assessor-candidate has maintained records of candidate progress and the outcomes of the assessment process.</p> <p>Knowledge</p> <p>The assessor candidate must demonstrate they have the knowledge specified. This may be evidenced through one or more of the following:</p> <ul style="list-style-type: none"> • discussing with the assessor candidate • recorded questions and answers (written or oral) • assessor candidate statement 	<p>RPL & 4</p> <p>RPL & 3</p> <p>4</p> <p>5</p>

Unit L&D9DI: Assess Workplace Competence Using Direct and indirect methods

Comments/feedback from the assessor

The assessor candidate has included a copy of their original assessor qualification certificate. This has been supported by assessment records for one candidate which, together, meets the performance requirements for Unit L&D9DI.

The assessor candidate has answered questions and taken part in a Professional Discussion which cover the identified gaps in Knowledge and Understanding between Assessor Units D32 and D33 as identified in SQA's PRL guidance for these Units.

The assessor candidate has also included Monitoring Records and statements from their Internal Verifier which confirms that the assessor candidates meets internal quality assurance requirements for their centre and for SQA.

The assessor-candidate has satisfied the assessor and Internal Verifier that all the requirements for the qualification/Unit have been met.

Assessor-candidate signature: Andy Brown

Date: 14/04/2013

Assessor signature: James Dean

Date: 14/04/2013

Internal verifier signature: Sam Green

Date: 18/04/2013

Annex 7: Exemplar Portfolio Content – RPL of HN Unit Conduct the Internal Verification Process for Unit Internally Monitor and Maintain the Quality of Workplace Assessment (L&D11)

EVIDENCE NO	Location	Type of evidence e.g. My explanation	EVIDENCE NO	Location	Type of evidence e.g. My explanation
1	Portfolio	IV Plan for: a) monitoring one assessor and b) recording of communications As per L&D11 Performance Evidence Requirements.	4	Portfolio	Professional Discussion including support documentation (e.g. Assessment Strategies) covering: a) preparing and planning to carry out internal verification of workplace assessment and b) the differences between workplace and non-workplace assessment
2	Portfolio	Evidence of the IV Candidate (IVC): a) monitoring records b) carrying out monitoring (an observation of IVC and a confirming statement on IVC practice) c) providing feedback to one assessor All of the above in relation to one assessor, and as per L&D11 Performance Evidence Requirements.	5	Portfolio	Evidence of K&U to cover specific K&U requirements for Unit L&D 11 which support RPL evidence from HN Unit. Questions relate to the following Outcomes; L&D 11.1 2, 7, 10. L&D 11.3 2, 3, 8, 9 L&D 11.4 1, 2, 5
3	Portfolio	a) An Endorsing Statement in relation to the acceptability of the verifier candidate's work from a qualified workplace Quality Assurance practitioner b) Records of the IVCs contribution to standardisation activities/events covering workplace assessment. All of the above as per L&D11 Performance Evidence Requirements.			

Unit L&D11 Internally Monitor and Maintain the Quality of Workplace Assessment

Source: Learning and Development Standard 11

Who is this Unit for?

This Unit is for those monitoring assessment processes and decisions within an organisation and helping to maintain and improve the quality of workplace assessment. The internal Quality Assurance process being conducted by the internal verifier candidate can be for SVQs, work-based qualifications or in-company standards.

What this Unit is about

The types of activities the internal verifier candidate will be involved in include:

1. Preparing to carry out internal Quality Assurance
2. Planning internal Quality Assurance
3. Carrying out planned monitoring of the quality of assessment
4. Providing assessors with feedback, advice and support to help them maintain and improve their assessment practice
5. Meeting appropriate external Quality Assurance requirements

To achieve this Unit the verifier candidate is required to carry out the monitoring activities defined in their organisation's Quality Assurance procedures in accordance with appropriate external Quality Assurance requirements.

Their knowledge will be assessed by taking part in a discussion with their assessor, answering questions (written or oral), verifier candidate statement or a combination of all of these.

The verifier candidate's performance will be assessed by the assessor looking at products of work, for example:

- Notes of meetings with assessors and other Quality Assurance staff in the organisation
- Notes on the planning process for their monitoring activities
- Quality Assurance documentation the verifier candidate uses to record their monitoring of at least two assessors' work with at least two candidates each, covering at least three assessment decisions in total. Monitoring will include observation of assessors providing feedback to their candidates

- Records of their use of the results of monitoring to provide feedback, including advice and support on practice and planned CPD processes, to assessors and other relevant people and agreeing any remedial action or changes to assessment procedures to meet internal and external Quality Assurance requirements.

The assessor will also observe the verifier-candidate monitoring the activities of one assessor.

Terminology

Within this Unit the following explanation and examples apply:

Assessment method	<i>Observation, questioning, checking of products of work, witness testimony</i>
Authentic evidence	<i>Being the candidate's own work</i>
Candidate	<i>The person being assessed</i>
Organisation	<i>An awarding organisation, internal department or other organisation involved in assessment</i>
Reliable	<i>Assessors achieving a consistent approach to the way they make judgements about candidate evidence</i>
Role requirements	<i>Could include holding an assessor/verifier qualification and/or occupational experience in the area being assessed</i>
Special Assessment Arrangement	<i>An agreement made with the candidate and the organisation to ensure fair assessment of the candidate without diluting the standards, for example taking account of shift working by arranging assessment opportunities to suit the candidate's work patterns.</i>
Sufficient	<i>Enough evidence as specified in Evidence Requirements or Assessment Strategy</i>
Valid	<i>Relevant to the criteria against which the candidate is being assessed</i>

Performance What the internal verifier-candidate must do	Evidence reference	Knowledge What the internal verifier-candidate must know	Evidence reference	Evidence Requirements	Evidence reference
<p>3. Carry out planned monitoring of the quality of assessment</p> <p>a) Determine whether assessment processes and systems meet and operate according to quality requirements</p> <p>b) Check that assessors meet the requirements for their role</p> <p>c) Check that assessments are planned, prepared for and carried out according to agreed procedures</p> <p>d) Check that assessment methods are safe, fair, valid and reliable</p> <p>e) Check that assessment decisions are made using specified criteria</p> <p>f) Compare assessor decisions to ensure that they are consistent</p> <p>g) Provide assessors with feedback, advice and support to help them maintain and improve their assessment practice</p>	<p>RPL & 2a, 2b</p> <p>RPL & 2a, 2b</p> <p>RPL & 2a, 2b</p> <p>RPL & 2a, 2b</p> <p>RPL & 2a, 2b</p> <p>RPL & 3a, 3b</p> <p>RPL & 2b,2c</p>	<p>1. Assessment principles, requirements, policy and practice (Validity, Accuracy, Reliability, Accuracy, Sufficiency (VARCS))</p> <p>2. Agreed procedures for planning, preparing and carrying out assessment</p> <p>3. Assessor/IV roles and requirements</p> <p>4. Assessment specifications and risk identification and management</p> <p>5. Criteria for judging quality of assessment</p> <p>6. Methods of monitoring assessor practice and recording sampling to showing a clear audit trail</p> <p>7. Standardisation processes and how to coordinate and contribute to these</p> <p>8. Types of feedback, advice and support that assessors need and how to meet those needs</p> <p>9. Procedures to use when there are disputes and concerns about quality of assessment and Quality Assurance</p> <p>10. Equality and Diversity issues in relation to assessment and Quality Assurance and how these should be addressed</p> <p>11. Requirements for information management, data protection and confidentiality and communication in relation to assessment and Quality Assurance</p>	<p>RPL</p> <p>5</p> <p>5</p> <p>RPL & 4</p> <p>RPL & 4</p> <p>RPL & 4</p> <p>RPL</p> <p>5</p> <p>5</p> <p>RPL</p> <p>RPL</p> <p>RPL</p>	<p>Performance</p> <p>Internal Quality Assurance records of planned monitoring activity for at least three assessment decisions for at least one qualification including monitoring of at least two assessors' practice including observation of them providing feedback to their candidates.</p> <p>Observation of the verifier-candidate monitoring the activities of one assessor. The observation need only cover a sample of the monitoring activities such as planning, feedback, or standardisation.</p> <p>A statement on how their monitoring activities were appropriate to assessor experience, the assessment cycle, candidate cohorts, assessment methods, assessment principles, VARCS, Assessment Strategy, external Quality Assurance requirements.</p>	<p>RPL & 2a, 2b, 2c</p> <p>RPL</p> <p>2b</p>

		12. Continuous Professional Development (CPD) planning and implementation including working towards national standards in assessment and verification		<p>Records of the verifier candidate's feedback, including advice and support to relevant people, agreements about any remedial action or changes to assessment processes to ensure consistency and to inform plans for CPD activity</p> <p>Knowledge Evidence that the verifier candidate has all the knowledge specified. This may be evidenced through one or more or a combination of the following:</p> <ul style="list-style-type: none"> • discussing with the verifier candidate • recorded questions and answers (written or oral) • verifier candidate statement 	<p>2c</p> <p>RPL & 4</p> <p>RPL & 5</p>
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Performance What the internal verifier-candidate must do	Evidence Reference	Knowledge What the internal verifier-candidate must know	Evidence Reference	Evidence Requirements	Evidence Reference
<p>4. Meet appropriate External Quality Assurance requirements</p> <p>a) Work with others to ensure the standardisation of assessment practice and outcomes</p> <p>b) Follow agreed procedures when there are significant concerns about the quality of assessment</p> <p>c) Follow agreed procedures for the recording, storing, reporting and confidentiality of information</p>	<p>RPL & 3b</p> <p>RPL 5</p> <p>RPL & 5</p>	<p>1. External Quality Assurance requirements prior to, during and post monitoring activities</p> <p>2. Procedures to use when there are disputes and concerns about quality of assessment</p> <p>3. Standardisation processes and how to coordinate and contribute to these</p> <p>4. Methods of reporting on internal Quality Assurance and reviews of practice</p> <p>5. Organisation's Quality Assurance responsibilities and requirements re information management, data protection, confidentiality and communication</p>	<p>5</p> <p>5</p> <p>RPL & 4</p> <p>RPL</p> <p>5</p>	<p>Performance</p> <p>Internal Quality Assurance reports covering the activities in 'Carry out planned monitoring of the quality of assessment' and an endorsing statement in relation to the acceptability of the verifier candidate's work from a Quality Assurance practitioner such as a qualified internal verifier, centre coordinator or external verifier.</p> <p>Records of their contribution to standardisation activities/events to ensure consistency in assessment</p> <p>Knowledge</p> <p>Evidence that the verifier candidate has all the knowledge specified. This may be evidenced through one or more or a combination of the following:</p> <ul style="list-style-type: none"> • discussing with the verifier candidate • recorded questions and answers (written or oral) • verifier candidate statement 	<p>RPL & 3a</p> <p>RPL & 3b</p> <p>4</p> <p>RPL & 5</p>

Unit L&D11: Internally Monitor and Maintain the Quality of Workplace Assessment

Comments/feedback from the assessor :

The internal verifier candidate has included a copy of their HN IV Unit certificate, Conduct the Internal Verification Process. The internal verifier candidate has also included an IV plan and records which demonstrate monitoring quality assurance procedures for workplace assessment for one assessor. This evidence together meets the Performance Evidence requirements for Unit L&D 11.

The internal verifier candidate has taken part in a professional discussion and answered questions which cover the identified gaps between HN Unit Conduct the Internal Verification Process and Unit L&D 11. In addition, the IV candidates has completed responses to questions which further confirms their Knowledge and Understanding of the principles of assessment (L&D 11.3 K&U 1)and the benefits and drawbacks of different assessment methods (L&D 11.1 K&U 9).

I am satisfied that the IV candidate has met the Performance and Knowledge Requirements in full for Unit L&D 11.

The assessor-candidate has satisfied the assessor and internal verifier that all the requirements for the qualification/Unit have been met.

Assessor-candidate signature: Andy Brown

Date: 20/03/2013

Assessor signature: James Dean

Date: 20/03/2013

Internal verifier signature: Sam Brown

Date: 28/03/2013

