

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

**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:

- 1 Preparing to assess
- 2 Planning assessments
- 3 Assessing candidate performance and knowledge
- 4 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 conduct part of the assessment process, 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

### **Assessment Guidance**

The assessor qualifications are based on the new, more compact NOS with a very much reduced set of Performance Criteria compared with the previous Units. This is intended to improve the clarity of measurement for users when conducting assessments against the standards.

The Units have been designed in a way that will allow the simultaneous assessment of knowledge and performance. The knowledge and Evidence Requirements have been framed in such a way to facilitate this process.

All performance evidence must come from real workplace practice in learning and development, assessment and verification. The use of simulation is not allowed for this Unit.

The term 'standardisation' in the assessor Units has not been given a condition of achievement such as 'during a standardisation meeting' which allows assessor-candidates and centres more flexibility in terms of how they prove compliance.

A more holistic approach to assessment has been proposed in the assessor Units by using the term 'planning' rather than plans.

The term 'assessment' has been used instead of a specific number of Units to be assessed, although 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.

The requirement for independent assessment has been removed. Previous research concluded that this type of assessment did not generally enhance the quality assurance of the assessor and verifier qualifications as intended.

There are two assessor qualifications designed to meet the requirements of those who assess candidates in their workplace:

- ◆ L&D9D *Assess Workplace Competence Using Direct Methods* (FD40 04)
- ◆ L&D9DI *Assess Workplace Competence Using Direct and Indirect Methods* (FD41 04)

L&D9D *Assess Workplace Competence Using Direct Methods* replaces Units A2 and L20 (the L20 Unit, historically being undertaken by those providing, ie expert witness and assessor contributions). The Evidence Requirements for this Unit have been developed for those who mainly use observation as the primary assessment method in that they:

- ◆ May assess candidates for a complete qualification using observation alone or in conjunction with related products of work and/or related questions.
- or**
- ◆ Support the assessment process by carrying out observations of candidate performance in the workplace which will contribute towards the overall assessment of candidates who are being assessed using a variety of different methods by another assessor.

Assessors who undertake this Unit are not required to authenticate products of work they have not examined as part of their observation of their candidate's performance. Assessing this type of indirect evidence has been captured in the second assessor qualification '*L&D9DI Assess Workplace Competence Using Direct and Indirect Methods*'.

L&D9DI *Assess Workplace Competence Using Direct and Indirect Methods* has been designed for assessors who assess using a range of direct methods such as observation, work products, questioning and discussion with candidates, and may also use methods such as candidate statements and witness testimony etc, that require authentication by the assessor.

Methods of assessment such as projects and assignments and testing have not been included in the list of optional assessment methods as they are mainly used for non-workplace assessment.

## 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 characteristic.</i>
Diversity	<i>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.</i>
Requirements	<i>These are the requirements of the practitioner's own organisation and those of an external organisation, such as awarding organisation.</i>
Risk assessment	<i>Risk relates to breach of quality assurance principles (VARCS).</i>
Sufficient	<i>Enough evidence as specified in Evidence Requirements or Assessment Strategy.</i>
Valid	<i>Selecting and using an appropriate method of assessment in relation to the skills and or 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>

<b>Performance</b>	<b>Knowledge</b>	<b>Evidence Requirements</b>
<b>What the assessor-candidate must do:</b>	<b>What the assessor-candidate must know:</b>	
<p><b>1 Prepare to assess</b></p> <p>(a) Ensure candidates understand the purpose, requirements and processes of assessment.</p>	<ol style="list-style-type: none"> <li>1 How to judge when the candidate is ready for assessment.</li> <li>2 The range of information that should be made available to candidates before assessment begins.</li> <li>3 The concepts and principles of assessment.</li> <li>4 Standards to be assessed, assessment/Evidence Requirements, regulatory requirements.</li> <li>5 The candidates' job role and their work environment and how this influences which assessment approach to use.</li> </ol>	<p><b>Performance</b></p> <p>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).</p> <p><b>Knowledge</b></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"> <li>◆ discussion with their assessor</li> <li>◆ answering written or oral questions</li> <li>◆ providing a personal statement</li> </ul>

Performance What the assessor-candidate must do:	Knowledge What the assessor-candidate must know:	Evidence Requirements
<p><b>2 Plan assessments</b></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>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><b>Performance</b></p> <p>An explanation, with supporting documentation, showing how the assessor-candidate:</p> <ul style="list-style-type: none"> <li>◆ Identified evidence sources and assessment opportunities that ensured they could collect valid, authentic and sufficient evidence.</li> <li>◆ Ensured they planned to use valid, fair, reliable and safe assessment methods.</li> </ul> <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"> <li>◆ observation of performance</li> <li>◆ examining work products (both created and not created at the time of observation)</li> <li>◆ questioning</li> </ul>

<b>Performance</b>	<b>Knowledge</b>	<b>Evidence Requirements</b>
<b>What the assessor-candidate must do:</b>	<b>What the assessor-candidate must know:</b>	<p>Evidence of planning to use one of other methods listed below <b>and</b> knowledge evidence* of how to plan and use the other methods:</p> <ul style="list-style-type: none"> <li>◆ discussing with candidates</li> <li>◆ testimony of others (witnesses)</li> <li>◆ examining candidate statements</li> <li>◆ assessing candidates in simulated environments</li> <li>◆ Recognising Prior Learning (RPL) — otherwise known as the Accreditation of Prior Achievement (APL)</li> </ul> <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><b>Knowledge</b></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"> <li>◆ discussion with their assessor</li> <li>◆ answering written or oral questions</li> <li>◆ providing a personal statement</li> </ul>



Performance	Knowledge	Evidence Requirements
What the assessor-candidate must do:	What the assessor-candidate must know:	
<p><b>3 Assess candidate performance and knowledge</b></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>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 co-operate and work effectively with others involved in the assessment process.</p>	<p><b>Performance</b></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"> <li>◆ observation of performance</li> <li>◆ examining the candidate’s products of work (both created and not created at the time of the observation)</li> <li>◆ questioning</li> </ul> <p>Assessment records showing use of at least one of the methods listed below <b>and</b> as knowledge evidence of how to assess using the other such methods:</p> <ul style="list-style-type: none"> <li>◆ discussing with candidates</li> <li>◆ testimony of others (witnesses)</li> <li>◆ examining candidate statements</li> <li>◆ assessing candidates in simulated environments</li> <li>◆ Recognising Prior Learning (RPL) — otherwise known as the Accreditation of Prior Achievement (APL)</li> </ul>

<b>Performance</b>	<b>Knowledge</b>	<b>Evidence Requirements</b>
<b>What the assessor-candidate must do:</b>	<b>What the assessor-candidate must know:</b>	
		<p>The assessor-candidate must also provide a statement confirming why they 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>

<b>Performance</b>	<b>Knowledge</b>	<b>Evidence Requirements</b>
<b>What the assessor-candidate must do:</b>	<b>What the assessor-candidate must know:</b>	
		<p data-bbox="1435 339 1592 371"><b>Knowledge</b></p> <p data-bbox="1435 395 2016 523">The assessor-candidate must demonstrate they have the knowledge specified. This may be evidenced through one or more of the following:</p> <ul data-bbox="1435 560 1944 663" style="list-style-type: none"> <li data-bbox="1435 560 1877 592">◆ discussion with their assessor</li> <li data-bbox="1435 595 1944 627">◆ answering written or oral questions</li> <li data-bbox="1435 630 1892 663">◆ providing a personal statement</li> </ul>

Performance	Knowledge	Evidence Requirements
What the assessor-candidate must do:	What the assessor-candidate must know:	
<p><b>4 Confirm progression and achievement</b></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>	<ol style="list-style-type: none"> <li>1 The purpose and value of feedback in the assessment cycle.</li> <li>2 How to deliver constructive feedback and the next steps in the assessment process.</li> <li>3 How to ensure access and data protection requirements are adhered to when maintaining records of assessment and candidate progress.</li> <li>4 Internal quality assurance processes and procedures and how to apply these in practice.</li> <li>5 The value and purpose of continuing professional development for assessment practitioners.</li> </ol>	<p><b>Performance</b></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><b>Knowledge</b></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"> <li>◆ discussion with their assessor</li> <li>◆ answering written or oral questions</li> <li>◆ providing a personal statement</li> </ul>

# Assessment Strategy for:

**SVQ level 3 in Learning and Development**

**SVQ level 4 in Learning and Development**

## **LLUK Unit L&D12 — Externally Monitor and Maintain the Quality of Workplace Assessment**

### **Scope of this Assessment Strategy**

This Assessment Strategy applies to the 2010 level 3 and level 4 SVQs in Learning and Development and the Units that make them up in whatever other qualifications they are used. This Assessment Strategy also applies to LLUK Unit L&D12 *Externally Monitor and Maintain the Quality of Workplace Assessment* in whatever qualifications it may be used.

### **The SVQ Units for Learning and Development**

All of the Units that make up the SVQs for Learning and Development are based on the Learning and Development National Occupational Standards that were approved in February 2010 and the National Occupational Standards for Management and Leadership approved in 2008.

For the purposes of assessing workplace competence Learning and Development Standard 9: Assess Learner Achievement has been contextualised to create two separate SVQ Units:

- ◆ Unit L&D9D *Assess Workplace Competence Using Direct Methods*
- ◆ Unit L&D9DI *Assess Workplace Competence Using Direct and Indirect Methods*

### **Unit L&D9D Assess Workplace Competence Using Direct Methods**

This Unit must cover direct assessment methods including:

- ◆ observation
- ◆ related questioning
- ◆ inspecting work products (created at the time of the observation)

## **Unit L&D9DI Assess Workplace Competence Using Direct and Indirect Methods**

This Unit must cover direct assessment methods including:

- ◆ observation
- ◆ related questioning
- ◆ inspecting work products (created at the time of the observation)

and must also cover indirect assessment methods including:

- ◆ examination of work products (created at the time of observation and not created at the time of observation)
- ◆ discussing with candidates
- ◆ testimony of others (witnesses)
- ◆ examining candidate statements
- ◆ assessing candidates in simulated environments
- ◆ Accreditation of Prior Learning or Achievement (APL or APA)

For each Unit, an appropriate range of methods will allow a trainee assessor to meet the requirements of the standards.

For the purposes of evaluating and improving Learning and Development, Learning and Development Standard 13 has been contextualised to create a new Unit for the level 3 SVQ:

- ◆ Unit L&D13S *Evaluate and Improve Learning and Development Sessions*

For the purposes of evaluating and improving Learning and Development, Learning and Development Standard 13 has been contextualised to create a new Unit for the level 4 SVQ:

- ◆ Unit L&D13P *Evaluate and Improve Learning and Development Programmes*

## Quality assurance

Centres offering these qualifications must provide internal quality assurance to ensure assessment meets all Awarding Body requirements, and is standardised across individual assessors, assessment locations and learners. In addition, the Awarding Body must ensure there is a robust system of external quality assurance to ensure quality and standardisation across centres. Awarding bodies should apply appropriate risk rating measures to individual assessment centres and ensure that robust quality assurance systems are in place to manage these risks on an individual basis.

## Workplace evidence and simulation

All performance evidence must come from real workplace practice in learning and development, assessment and verification. The use of simulation is not allowed for these qualifications.

## Requirements for assessors

All those who assess these qualifications or Units must:

- ◆ have up-to-date working knowledge and experience of best practice in the relevant area of practice
- ◆ hold or be working towards one of the following:
  - L&D9DI *Assess Workplace Competence Using Direct and Indirect Methods*
  - A1 *Assess Candidate Performance Using a Range of Methods*
  - any appropriate QCF qualifications and/or Units as recognised by SQA accreditation
- ◆ or hold D32 *Assess Candidate Performance* and D33 *Assess Candidate Using Differing Sources of Evidence*

**If they are assessing either L&D9D, L&D9DI, L&D11 or L&D12, they must hold one of the assessor qualifications specified above, not just be working towards it.**

All assessors must show current evidence of continuing professional development in the relevant area of practice by demonstrating they continue to meet the standard set out in L&D10 *Reflect On, Develop and Maintain Own Skills and Practice in Learning and Development*.

## Requirements for internal verification

All those who internally verify these qualifications or Units must:

- ◆ have up-to-date working knowledge and experience of best practice in the relevant area of practice
- ◆ hold one of the following:
  - L&D9DI *Assess Workplace Competence Using Direct and Indirect Methods*
  - A1 *Assess Candidate Performance Using a Range of Methods*
  - any appropriate QCF qualifications and/or Units as recognised by SQA accreditation
  - D32 *Assess Candidate Performance* and D33 *Assess Candidate Using Differing Sources of Evidence*

They must either hold or be working towards one of the following internal quality assurance qualifications:

- L&D11 *Internally Monitor and Maintain the Quality of Workplace Assessment*
- V1 *Conduct Internal Quality Assurance of the Assessment Process*
- ◆ or hold D34 *Internally Verify the Assessment Process*

**If they are internally verifying either L&D9D, L&D9DI, L&D11 or L&D12, they must hold one of the specified internal verifier qualifications, not just be working towards it.**

All internal verifiers must show current evidence of continuing professional development in the relevant area of practice by demonstrating they continue to meet the standard set out in L&D10 *Reflect On, Develop and Maintain Own Skills and Practice in Learning and Development*.

## Requirements for external verification

All those who externally verify these qualifications or Units must:

- ◆ have up-to-date working knowledge and experience of best practice in the relevant area of practice
- ◆ hold one of the following:
  - L&D9DI *Assess Workplace Competence Using Direct and Indirect Methods*
  - A1 *Assess Candidate Performance Using a Range of Methods*
  - any appropriate QCF qualifications and/or Units as recognised by SQA accreditation
  - D32 *Assess Candidate Performance* and D33 *Assess Candidate Using Differing Sources of Evidence*



- ◆ They must hold one of the following internal quality assurance qualifications:
  - L&D11 *Internally Monitor and Maintain the Quality of Workplace Assessment*
  - V1 *Conduct Internal Quality Assurance of the Assessment Process*
  - any appropriate QCF qualifications and/or Units as recognised by SQA accreditation
  - D34 *Internally Verify the Assessment Process*
  
- ◆ They must hold or be working towards one of the following external quality assurance qualifications:
  - L&D12 *Externally Monitor and Maintain the Quality of Workplace Assessment*
  - V2 *Conduct External Quality Assurance of the Assessment Process*
  - any appropriate QCF qualifications and/or Units as recognised by SQA accreditation
  - D35 *Externally Verify the Assessment Process*

**If they are externally verifying either L&D9D, L&D9DI, L&D11 or L&D12, they must hold one of the specified External Verifier qualifications, not just be working towards it.**

All External Verifiers must show current evidence of continuing professional development in the relevant area of practice by demonstrating they continue to meet the standard set out in L&D10 *Reflect On, Develop and Maintain Own Skills and Practice in Learning and Development*.