

Unit L&D12 Externally Monitor and Maintain the Quality of Workplace Assessment (FD44 04)

Source: Learning and Development Standard 12

Who this Unit is for

This Unit is for those monitoring assessment processes and decisions from outside an organisation and helping to maintain and improve the Quality Assurance systems. The external quality assurance (QA) process being conducted by the External Verifier-candidate can be for SVQs, work-based qualifications or in-company standards.

What this Unit is about

The types of activities the External Verifier-candidate will be involved in include:

- 1 Preparing to carry out external quality assurance
- 2 Planning external quality assurance
- 3 Carrying out planned external quality assurance
- 4 Providing the organisation with feedback, advice and support to help them maintain and improve their assessment practice
- 5 Meeting appropriate external quality assurance requirements

Assessment Guidance

This Unit is suitable for those who are responsible for the external QA of the assessment process. Candidates undertaking this Unit are likely to be External Verifiers for awarding bodies or external auditors of an organisation's QA system for assessment.

The Evidence Requirements of the new Units compared to the 2001 versions are more succinct. They provide more contexts in terms of the type of evidence required whilst providing flexibility in terms of how the evidence can be assessed.

There is no requirement for independent assessment in any of these Units. Research in relation to the previous SVQ/Units, concluded that this type of assessment did not generally enhance the quality assurance of the assessment process as intended.

The qualifications are based on the new, more succinct 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.

To achieve this Unit External Verifier-candidates are required to carry out the monitoring activities defined by appropriate external quality assurance requirements.

The External Verifier-candidate's knowledge will be assessed by taking part in a discussion with their assessor, answering questions (written or oral), providing a personal/reflective account or a combination of all of these.

Their performance will be assessed by the assessor looking at products of work, for example:

- ◆ Notes of information required from internal quality assurance staff in organisations to be monitored.
- ◆ Notes on the planning process for monitoring activities.
- ◆ The quality assurance documentation they use to record monitoring on at least three occasions of the assessment and internal quality processes in an organisation or their monitoring of the assessment and internal quality processes in three organisations. 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 to relevant people and agreeing any remedial action or changes to assessment and internal quality procedures to meet external quality assurance requirements.

The External Verifier-candidate's performance must be observed while monitoring the quality assurance system of at least one organisation.

Terminology

Within this Unit the following explanations 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 External Verifier-candidate must do:	Knowledge What the External Verifier-candidate must know:	Evidence Requirements
<p>1 Prepare to carry out external quality assurance</p> <p>(a) Establish procedures for the external monitoring of quality assurance systems as required.</p>	<ol style="list-style-type: none"> 1 The standards being assessed and the assessment/Evidence Requirements. 2 The relevant Assessment Strategy, external quality assurance requirements. 3 Principles of assessment and quality assurance. 4 Criteria for judging quality of assessment and internal quality assurance. 5 Roles and responsibilities of assessors/lead IV/IVs/EVs. 6 Special assessment arrangements. 7 Procedures to follow when preparing for monitoring activity. 8 Legal issues, policies and procedures including those for health, safety and welfare. 9 National standards for assessment and verification. 10 Requirements for information management, data protection and confidentiality. 	<p>Performance</p> <p>The information the External Verifier-candidate gathered to inform their planning of monitoring of quality assurance systems in three organisations or in one organisation on three occasions.</p> <p>A report with supporting documentation on how they gathered information on the standards being assessed, assessment and quality assurance requirements, numbers of candidates and assessors, assessment context, quality assurance risk assessment.</p> <p>Knowledge</p> <p>Evidence that the External Verifier-candidate has all the knowledge specified. This may be evidenced through one or more or a combination of following:</p> <ul style="list-style-type: none"> ◆ discussion with their assessor ◆ answering written or oral questions ◆ providing a personal statement

Performance What the External Verifier-candidate must do:	Knowledge What the External Verifier-candidate must know:	Evidence Requirements
<p>2 Plan external quality assurance</p> <p>(a) Plan and communicate procedures for the external monitoring of quality assurance systems as required.</p>	<ol style="list-style-type: none"> 1 Where in the assessment cycle external quality assurance will be most effective. 2 Policies and procedures re information management, data protection, own code of conduct and confidentiality. 3 Procedures to follow when planning monitoring activity including use of technology. 4 Principles of sampling, sampling strategies/techniques. 5 Quality assurance risks and risk management. 6 Internal and external quality assurance requirements/policies/procedures/strategy. 	<p>Performance</p> <p>The external quality assurance monitoring plans the External Verifier-candidate agreed with relevant people in three organisations or in one organisation on three occasions</p> <p>A report with supporting documentation on how, in creating monitoring plans, they used information on the standards being assessed, assessment and quality assurance requirements, numbers of candidates and assessors, assessment context, quality assurance risk assessment</p> <p>Knowledge</p> <p>Evidence that the External 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"> ◆ discussion with their assessor ◆ answering written or oral questions ◆ providing a personal statement

Performance What the External Verifier-candidate must do:	Knowledge What the External Verifier-candidate must know:	Evidence Requirements
<p>3 Carry out planned external quality assurance</p> <p>(a) Check that internal quality assurance systems and administrative arrangements meet current requirements.</p> <p>(b) Check that staffing and staff competence, assessment arrangements, methods and decisions meet requirements.</p> <p>(c) Provide advice and support to help improve internal quality assurance and assessment arrangements and practices.</p> <p>(d) Follow the agreed procedures when internal quality assurance and assessment arrangements and practices do not meet requirements.</p>	<ol style="list-style-type: none"> 1 Quality assurance principles, policy and requirements. 2 Assessment Strategy requirements. 3 Role of the assessor and internal quality assurance staff and the current requirements to undertake these roles. 4 Quality assurance risk identification and management. 5 Methods of recording sampling to show a clear audit trail. 6 Methods of monitoring and reporting on assessor practice. 7 Methods of standardising practice. 8 Types of feedback, advice and support that organisations need and how to meet those needs. 9 Value and purpose of Continued Professional Development (CPD) for assessment and quality assurance practitioners. 10 Procedures to use when there are disputes and concerns about quality of assessment and quality assurance. 11 Equality and diversity issues and how these should be addressed. 12 Requirements for information management, data protection and confidentiality. 13 National standards for assessment and verification. 	<p>Performance</p> <p>The External Verifier-candidate's external quality assurance reports on three organisations or on one organisation on three occasions which have been endorsed as acceptable by the external quality assurance organisation for which they have been written.</p> <p>Observation of the External Verifier-candidate carrying out a planned verification event to one organisation. The observation should be conducted by a representative of the awarding organisation.</p> <p>A report with supporting documentation describing how the External Verifier-candidate collected and used the evidence on which the reports were based.</p>

Performance What the External Verifier-candidate must do:	Knowledge What the External Verifier-candidate must know:	Evidence Requirements
	14 External quality assurance requirements prior to, during and post external quality assurance. 15 Organisation's quality assurance responsibilities and requirements relating to information management and communication.	Knowledge Evidence that the External Verifier-candidate has all the knowledge specified. This may be evidenced through one or more or a combination of the following: <ul style="list-style-type: none"> ◆ discussion with their assessor ◆ answering written or oral questions ◆ providing a personal statement

Performance What the External Verifier-candidate must do:	Knowledge What the External Verifier-candidate must know:	Evidence Requirements
<p>4 Meet Awarding Body performance requirements for the external quality assurance role</p> <p>(a) Work with others to ensure the standardisation of assessment practice and outcomes.</p> <p>(b) Follow agreed procedures for the recording, storing, reporting and confidentiality of information.</p>	<ol style="list-style-type: none"> 1 External quality assurance requirements and responsibilities: prior to, during, post monitoring activity. 2 Performance standards for monitoring role. 3 Methods of reporting on external monitoring and reviews of own practice. 	<p>Performance</p> <p>The External Verifier-candidate’s plans for and records of their own CPD relevant to the external quality assurance role which have been endorsed as acceptable by the external quality assurance organisation for which they work.</p> <p>Records of the external quality assurance standardisation activities in which they have participated in the last year.</p> <p>Knowledge</p> <p>Evidence that the External 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"> ◆ discussion with their assessor ◆ answering written or oral questions ◆ providing a personal statement

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*.