SQA Approval Guidance

— SCQF Workplace and Non-Workplace Assessor/Verifier Qualifications

— SVQs in Learning and Development

First published: February 2011

This version published: September 2012

Publication code: DA5775

Published by the Scottish Qualifications Authority
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Purpose

The purpose of the guidance is to help your centre obtain the SQA approval needed to offer the:

- SCQF Workplace assessor/verifier qualifications
- SCQF Non-workplace assessor/verifier qualifications
- SVQ 3 (or component Units) in Learning and Development at SCQF level 8
- SVQ 4 (or component Units) in Learning and Development at SCQF level 9

It draws on the Independent Assessment Strategy for the SVQs 3 and 4 in Learning and Development at SCQF levels 8 and 9 and also the Independent Assessment Strategy for the Management SVQs (for centres planning to offer any of the management Units as options within the Learning and Development SVQs).

Getting ready for approval

An overview

There are two types of approval:

- approval as an SQA centre and to offer specific qualifications (new centre approval)
- approval to offer specific qualifications (existing centre approval)

For approval as a centre, SQA makes sure that your centre has the management structure and quality assurance systems to support the delivery, assessment and internal verification of SQA qualifications.

For approval to offer specific qualifications, SQA will check that your centre has the staff, reference and learning materials, assessment materials, equipment and accommodation you will need to deliver and assess the specific qualification(s). Your internal verification system is also checked to ensure that it meets SQA's quality requirements.

For both types of approval, you must demonstrate your potential to meet SQA's approval criteria. After approval, you will have to show that you are continuing to meet SQA's criteria as you deliver and assess qualifications. For further information, you can:

- download the *Guide to Approval and SQA's Quality Framework: a guide to centres* from www.sqa.org.uk/approval
- or e-mail mycentre@sqa.org.uk
- or call the SQA Regional Business Development and Customer Support Team on 0303 333 0330

Three stages

There are three main stages:

1 Choosing the qualifications you wish to offer.
2 Reviewing your existing quality procedures in relation to the qualifications you wish to offer.
3 Making the application.

The following pages provide guidance on each of these stages. They are followed on page 16 by some brief scenarios.

Stage 1: Choosing the qualifications you wish to offer

What you will need	What to do	Tips
Information on the Learning and Development qualifications that SQA offers	Refer to SQA's website for complete qualification and Unit listings on the SCQF and QCF	SQA has made decisions on the range of qualifications offered based on market research and the consultations carried out in 2009 and 2010. SQA offers both SCQF and QCF qualifications. Check SQA's website for the latest information.
Gather information on the potential number of candidates	Review your past and current experience of offering awards in this area and check information on your potential client group — how many, what is their job role? Check the assessment environment in which potential candidates work. This is particularly important for assessor-candidates.	Consider the selection of the qualifications you want to offer carefully, eg there may be a limited market for level 4 SVQ Learning and Development in comparison to, eg assessor awards. There is no requirement for you to offer the entire suite of SVQs at both levels. Some qualifications look like SVQs but are assessed in a way that does not meet the Learning and Development Assessment Strategy because they are not assessed in the workplace. For candidates who assess or verify in non-workplace settings, the HN Awards (GF8P 48/H290 35 and GF8R 48/H291 35) may be more appropriate. See SQA's website for more information. Check the Evidence Requirements for each Unit. These can be accessed through the SQA Secure website.
Resources within your centre or available to your centre	Check the qualifications and CPD records of your staff or potential staff. Check physical resources, eg learning materials, reference materials, etc. Identify the resources you will offer your candidates.	Consider carefully whether you have the resources to offer all the optional Units available within the SVQs and PDAs. For example, in the level 4 Learning and Development SVQ, there are a number of Management Units. You may not feel that you have the in-house expertise to deal with these Units, and therefore could choose not to apply for approval to offer them or you could outsource any learning provision and/or assessment relevant to these Units.
The relevant assessment strategy	Check that you have the staff resources to meet the requirements of the relevant assessment strategy.	The Assessment Strategy for Learning and Development applies only to Learning and Development Awards (Annexe 1). It defines what staff your centre has to have and how you use their skills and experience to deliver the qualifications.

		The Assessment Strategy for (GF8P 48/H290 35 and GF8R 48/H291 35) applies to these qualifications. The Assessment Strategy for Management SVQs applies to the Management Units which are optional within the Learning and Development SVQs.

Stage 2: Creating a quality assurance system or reviewing your existing quality procedures

What you will need	What to do	Tips
Centre procedures which meet SQA quality criteria to offer Learning and Development qualifications	Create QA policies and procedures to meet SQA criteria or review existing procedures	If you are setting up a new centre, contact Business Development at SQA for current information on quality criteria and what you need to have in place to comply with them. If you are already an approved centre, find out when you last had a visit from an SQA Quality Enhancement Manager and what, if any, changes were made to the procedures following that visit. This will give you an indication of how up to date your procedures are in terms of SQA's quality criteria for the operation of centres. It is worth looking at SQA's Quality Framework: a guide for centres on www.sqa.org.uk/approval. This gives you up to date information on SQA's quality requirements for the operation of a centre. It provides headings under which you can research whether your centre has the resources to offer the qualifications you've chosen.
	Check the relevant assessment strategy and Evidence Requirements for the Learning and Development qualifications you want to offer	Compare the requirements with the CVs and CPD records of staff you plan to use for these qualifications. Check the job roles of potential candidates against the evidence they will have to produce to achieve the qualifications.

Stage 3: Making the application

What you will need	What to do	Tips
Completed Approval Forms and staff information sheets for all those likely to be involved in assessment and verification of the qualifications	Go to the SQA website (www.sqa.org.uk/approval) to download the forms. The staff information sheet is part of the form. Collect CVs, qualifications and continuing professional development records for all potential assessors and verifiers and check these against the assessment strategy requirements.	As a minimum, you are going to need an assessor and an internal verifier for the Learning and Development Award(s) that you offer. Both must have the experience and qualifications specified in the assessment strategy.
Sufficient assessors and verifiers	Check who you have and what time commitment they will have to make, as well as their qualifications and experience.	Ensure that your assessors and verifiers keep their CPD records up to date. Plan your CPD carefully. At various points in the year, there will be occasions when a member of staff will attend, eg a standardisation meeting, or some development work has to be done in relation to the Learning and Development qualifications you offer. This can be used as CPD. A CPD record template and guidance on possible CPD activities is provided in Annexe 5.
Resources — reference and learning materials	Provide access to learning opportunities appropriate to candidates' needs — workshops, reference books/materials, handouts, etc. Learning materials provide candidates/employees with support on 'learning the job', eg induction materials, text books, videos, handouts from course/workshops. They are also available on the SQA Secure website. In addition, SQA has a Professional Development Workshop programme — details are on the SQA website. Reference materials allow candidates/employees to continue to	Candidates can be referred to your in-house library and websites to get reference material, eg the SQA website. Try a web search using 'SVQ <your subject> books' as key words to find possible sources of materials. It can be helpful for candidates to be given a list of publications, learning materials, etc so that they are aware of the support on offer.

What you will need	What to do	Tips
	perform effectively, eg centre/company policies and procedures, in-house manuals/guidance, professional magazines, the internet.	
Assessment records	Select or create an assessment recording system for candidates to use to present their evidence so that it provides an audit trail for their assessor, internal verifier and External Verifier to follow.	SQA has devised an Evidence Tracker for the Learning and Development SVQs and the workplace assessed assessor/verifier qualifications. These can be downloaded from the SQA Secure site. There are also support notes available for the non-workplace assessed assessor/verifier qualifications on the SQA Secure site. If you are offering assessor qualifications, you may wish to choose an evidence portfolio format for candidates similar to that used by candidates for other SVQs that you offer. This should reduce the potential for confusion — the L&D candidates will be using the same format as their trainees.
The resources to provide for all stages of each candidate's path to achieving their Award (see Annexe 6)		Ask your assessors and verifiers to research or develop materials and procedures to meet the standards for the qualifications. It's a good way of developing their understanding of the Evidence Requirements and of getting consistency — and also counts as CPD.
An internal verification system which meets the Learning and Development Assessment Strategy and SQA's quality criteria	Check that you have a system for: ♦ inducting assessors/verifiers ♦ supporting them ♦ reviewing candidate evidence for consistency ♦ standardising assessment decisions ♦ sampling evidence for internal verifying	Look at the L&D11 standards for guidance on how your internal verification system should operate. This will help you define how your quality assurance system should operate. Internal verifiers of assessor/verifier Units have to have current evidence of CPD relevant to assessment/

What you will need	What to do	Tips
	♦ feeding back ♦ planning and recording CPD	verification of the Learning and Development Awards you offer (Annexe 1). Keep up to date — check the SQA website. Have regular standardisation meetings of assessors and verifiers. Refer to sample agenda at Annexe 7.
Evidence that you can present to the EV carrying out your qualification approval visit	Check all you have done for hte above against the Approval Visit Plan in Annexe 8.	

SCQF Awards and Units available in Learning and Development from SQA

As with all other occupational areas, candidates may be entered for any of the individual Units in Learning and Development. For the SVQs and PDAs, the selection of the appropriate optional Units will depend on the work role of the candidate. Some trainers design whole training programmes, whilst others design individual sessions within a given programme.

The methods of assessment used will also vary with the level and nature of the qualifications selected. Some candidates do not assess their learners in the workplace. However, they may monitor and review their learners' progress and provide further support.

It is important to spend time establishing the existing competence of candidates prior to beginning the assessment process. This enables the appropriate Units to be selected and any required development and/or assessment to be planned.

SCQF Learning and Development qualifications

Award	SQA code	SCQF level	SCQF credit	Who it is suitable for
SVQs				
SVQ 3 Learning and Development at SCQF level 8	GA29 23	3	48	Trainers, facilitators, mentors, tutors, coaches, instructors or individuals with a training responsibility in addition to their main job role
SVQ 4 Learning and Development at SCQF level 9	GA2C 24	4	67	People who: design and deliver learning and development in a workplace or training centre or have responsibility for learning and development across most of the training cycle — needs identification, design, management of delivery, delivery, evaluation and improvement or manage learning and development mainly delivered by others

Professional Development Awards (PDAs) and Units — for workplace assessment and verification						
PDA title	**PDA code**	**Unit title**	**SQA Unit code**	**SCQF level**	**SCQF credit**	**Who it is suitable for**
Workplace Assessment Using Direct Methods	GA28 47	Assess Workplace Competence Using Direct Methods (L&D9D)	FD40 04	7	8	Assessors of workplace standards, SVQs or in-company standards, using observation of candidate performance and, if applicable, asking questions and examining the work product created during the observation
Workplace Assessment Using Direct and Indirect Methods	GA2E 48	Assess Workplace Competence Using Direct and Indirect Methods (L&D9DI)	FD41 04	8	10	Assessors of workplace standards, SVQs or in-company standards, using observation of candidate performance plus at least three other assessment methods: asking questions, examining work product created or not created during the observation, discussion with the candidate, witness testimony, candidate statements, or assessment in simulated environments
Internal Verification of Workplace Assessment	GA2F 48	Internally Monitor and Maintain the Quality of Workplace Assessment (L&D11)	FD43 04	8	12	Those who carry out internal quality assurance of workplace assessment
External Verification of Workplace Assessment	GA2G 49	Externally Monitor and Maintain the Quality of Workplace Assessment (L&D12)	FD44 04	9	12	Those who carry out external quality assurance of workplace assessment on behalf of an awarding organisation

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**	**Who it is suitable for**
Carry Out the Assessment Process (finish date 31/07/2014)[1]	G9DA 47	Carry out the Assessment Process	F7BV34	7	8	Assessors of non-workplace standards, eg HNs or qualifications assessed during training courses or as part of off-the-job training
Conduct the Assessment Process	GF8P 48	Conduct the Assessment Process	H290 35	8	8	Assessors of non-workplace standards, eg HNs or qualifications assessed during training courses or as part of off-the-job training
Internally Verify the Assessment Process (finish date 31/07/2014)[2]	G9DC 48	Internally Verify the Assessment Process	F7BW 35	8	8	Those who carry out internal quality assurance of assessment in non-workplace settings
Conduct the Internal Verification Process	GF8R 48	Conduct the Internal Verification Process	H291 35	8	8	Those who carry out internal quality assurance of assessment in non-workplace settings
Externally Verify the Assessment Process	G9L7 49	Externally Verify the Assessment Process in Non Workplace Contexts	FX33 36	9	8	Those who carry out external quality assurance of assessment in non-workplace settings on behalf of an awarding organisation

For more detailed Award and Unit information, search for the SQA Award Code on www.sqa.org.uk.

[1] This PDA is being replaced with the PDA – Conduct the Assessment Process
[2] This is being replaced with the PDA – Conduct the Internal Verification Process

Modern Apprenticeships

SVQs/Units in Learning and Development can also contribute towards a Modern Apprenticeship in Learning and Development, which consists of the SVQ 3 in Learning and Development at SCQF level 8 plus relevant Core Skills and an additional SVQ Unit.

For further information see the Modern Apprenticeship pages on LLUK's website at www.lluk.org. If you wish to offer this Modern Apprenticeship, your centre will have to be approved to offer the specified Core Skills or you must have access to certification from a centre which is approved.

Selecting the most appropriate assessor/ verifier qualification

When selecting the most appropriate assessor qualification, there are two key points to consider:

1 Is the assessor-candidate assessing in the workplace of their candidates? This determines the choice between the workplace assessor qualifications L&D9D and the L&D9DI or the non-workplace assessor qualification Conduct the Assessment Process.

2 Are the assessment methods used by the assessor-candidate direct (observation, work product created during the performance observed and oral questioning of the candidate) or indirect (evidence produced from situations not observed by the assessor-candidate). This determines the choice between L&D9D and L&D9DI.

When selecting the most appropriate verifier award, the key point is to consider whether the verifier-candidate is verifying assessment carried out in the workplace of the candidate. This determines the choice between L&D11 or Conduct the Internal Verification Process.

Assessor and verifier requirements

For the Learning and Development SVQs, assessors, internal verifiers and External Verifiers need to meet the occupational competence requirements of the Assessment Strategy for Learning and Development (Annexe 1). See Annexe 2 for the requirements to assess and verify Learning and Development SVQs and workplace assessor/verifier qualifications. In addition, assessors, internal and External Verifiers need to meet the requirements of the Assessment Strategy for Management, if candidates select Management Units as optional Units in the SVQ 3 or SVQ 4 (Annexe 3).

See Annexe 4 for the assessment strategy that covers the assessor/verifier qualifications for assessment and verification in non-workplace settings.

All those assessing or verifying qualifications need to be occupationally competent to the standards they assess or verify. In addition, your centre will have to ensure that they continuously update their knowledge and skills and that their continuing professional development (CPD) is recorded.

For Learning and Development SVQs and the workplace assessor/verifier qualifications, planning and recording of CPD needs to meet the standards of L&D10 – Reflect on, Develop and Maintain Own Skills and Practice in Learning and Development (see Annexe 5).

Brief scenarios

Scenario 1 — Which qualifications?

North Caledonia Council has a training department responsible for managing and co-ordinating training for the 4,500 employees of the Council. The Council is committed to the use of SVQs in its Youth Recruitment Programme and offers them as training and development opportunities to existing staff. The training department co-ordinates the assessment of SVQs in a wide range of occupational areas relevant to the work of the Council and therefore has a need for qualified workplace assessors and verifiers with a variety of occupational competences.

While it would like to offer Learning and Development SVQs, the only staff who have these Awards identified as a priority in their Personal Development Plans are members of the training department, all of whom already have SVQs in Learning and Development. Turnover in this department is very low. The centre has therefore decided not to apply for approval for the Learning and Development SVQs as managing standardisation activities and maintaining CPD for these qualifications for a small number of candidates is not cost effective. However, given the constant need for workplace assessors and verifiers for the other SVQs offered by the Council, they have a need to train and assess 40-plus assessors and at least 10 verifiers per year. The assessor-candidates will be assessing SVQs in:

- Hospitality levels 1 and 2
- Horticulture levels 1 and 2
- Care level 2
- Business and Administration level 2
- Customer Service levels 2 and 3
- Vehicle Maintenance level 2

They consulted the Assessment Strategies and Evidence Requirements for the SVQs they offer and identified that the some of their assessors need to be qualified to assess by observation and others to assess by a wider range of methods.

They have decided to seek approval for:

- L&D9DI for assessors working with SVQs in Care at level 2 and above and for assessors working with level 3 SVQs in other areas
- L&D9D for assessors working with level 2 SVQs where the majority of assessment is carried out by observation and questioning, eg Hospitality and Catering, Business and Administration and Vehicle Maintenance
- L&D11 for internal verifiers of these qualifications

Scenario 2 — Which qualifications?

Fisk HR plc has a large number of client companies of varying sizes throughout the UK. The services they are likely to provide to their client companies include not only establishing and maintaining assessment and verification systems for SVQs and NVQs, but also ensuring that staff in training and HR departments in these companies have appropriate qualifications. They also offer training leading to certification in First Aid, Manual Handling and PC Passport.

They have identified that they have sufficient potential candidates for the full range of Learning and Development qualifications — SVQs and SCQF assessor/verifier Units. Prior to approval, they engaged in an exercise in which they reviewed the experience and qualifications of their own staff in relation to each of the qualification areas for which they wished to seek approval. This involved matching individuals' specific experience and qualifications against each qualification area and its assessment strategy. This gave the company an accurate picture of what HR resources it could potentially use and what was still required.

As a result of this exercise, they identified the need to train, assess and qualify staff in their own company and in client companies with:

- L&D9D as workplace assessors
- L&D9DI as visiting assessors
- L&D 11 as internal verifiers
- SVQs at levels 3 and 4 in Learning and Development
- Conduct the Assessment Process — for the assessment of participants in their off job training
- Conduct the Internal Verification Process — for the verification of assessment of participants in their off-job training

Scenario 3 — Qualifying observers of candidate performance in the workplace

Mulligan Training Services (MTS) offers SVQs across a number of occupational areas. They decided to offer assessor Units to ensure that their workplace assessors in Care, Administration and Waste Management were appropriately trained and qualified. The centre's SVQ candidates come from a large geographical area and have different shift patterns. This makes it not cost effective for MTS to have observation of candidate performance carried out by assessors based in the home office. The centre has identified a number of managers and supervisors in candidates' workplaces who can carry out observations and wishes to offer them training and an assessor qualification to ensure consistency in assessment. This will also ensure that MTS has sufficient assessor resource in the right place and also that it operates an integrated quality assurance system across its SVQs. They identified the need to train, assess and qualify staff with:

- L&D9D as workplace assessors
- L&D9DI as MTS visiting assessors

Scenario 4 — Keeping assessors/verifiers current

Jimbo HR Development set up a system which involved rotating roles so that all staff members were allocated as assessor and internal verifier to different candidates.

The company also made it a mandatory job requirement that to continue to operate as an assessor or verifier, CPD records have to be submitted on an annual basis.

It inducted staff to its CPD system and looked for development opportunities from planned work activity, eg a member of staff attending an SQA Professional Development Workshop on Learning and Development qualifications fed-back to other members of staff. Both the individual feedback and those who received the feedback entered that in their CPD record form. Refer to Annexe 5 for a sample CPD recording format.

Scenario 5 — Which assessor/verifier qualifications?

Inverbay Learning Centre provides training and assessment for Core Skills in Communication, ICT and Numeracy for Modern Apprentices employed by local businesses. Candidates are given computer learning packages and e-assessment. They wish all their staff to become qualified as assessors or verifiers. As the assessment is not carried out in the workplace of the Modern Apprentices, the staff cannot achieve L&D9D/9DI or L&D 11 so the Learning Centre will need to train, assess and qualify staff using the PDAs: Conduct the Assessment Process and Conduct the Internal Verification Process.

Annexe 1: Learning and Development Assessment Strategy

Assessment Strategy for:

- SVQ 3 in Learning and Development at SCQF level 8
- SVQ 4 in Learning and Development at SCQF level 9
- 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 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 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 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.

Annexe 2: Qualification requirements for assessors and internal verifiers of the SVQ assessor and internal verifier qualifications

If you are assessing the following qualifications/Units: →	**L&D9DI Assess Workplace Competence Using Direct and Indirect Methods** **L&D9D Assess Workplace Competence Using Direct Methods**
You must already hold the following qualifications: → *Please also refer to the full assessment strategy (page 2) which covers all assessor requirements*	L&D9DI Assess Workplace Competence Using Direct and Indirect Methods or A1 Assess Candidate Performance Using a Range of Methods or D32 Assess Candidate Performance and D33 Assess Candidate Using Differing Sources of Evidence or any appropriate QCF assessor qualifications and/or Units as recognised by SQA

If you are assessing the following qualification/Unit: →	**L&D11 Internally Monitor and Maintain the Quality of Assessment**
You must already hold the following qualifications: → *Please also refer to the full assessment strategy (page 2) which covers all assessor requirements*	L&D9DI Assess Workplace Competence Using Direct and Indirect Methods or A1 Assess Candidate Performance Using a Range of Methods or D32 Assess Candidate Performance and D33 Assess Candidate Using Differing Sources of Evidence or any appropriate QCF assessor qualifications and/or Units as recognised by SQA **AND** L&D11 Internally Monitor and Maintain the Quality of Assessment or V1 Conduct Internal Quality Assurance of the Assessment Process or D34 Internally Verify the Assessment Process or any appropriate QCF internal verifier qualifications and/or Units as recognised by SQA

If you are internally verifying the following qualifications/Units: →	**L&D9DI Assess Workplace Competence Using Direct and Indirect Methods** **L&D9D Assess Workplace Competence Using Direct Methods** **L&D11 Internally Monitor and Maintain the Quality of Assessment**
You must already hold the following qualifications: → *Please also refer to the full assessment strategy (page 2) which covers all assessor requirements*	L&D9DI Assess Workplace Competence Using Direct and Indirect Methods or A1 Assess Candidate Performance Using a Range of Methods or D32 Assess Candidate Performance and D33 Assess Candidate Using Differing Sources of Evidence or any appropriate QCF assessor qualifications and/or Units as recognised by SQA **AND** L&D11 Internally Monitor and Maintain the Quality of Assessment or V1 Conduct Internal Quality Assurance of the Assessment Process or D34 Internally Verify the Assessment Process or any appropriate QCF internal verifier qualifications and/or Units as recognised by SQA

Annexe 3: Management Standards Centre

Assessment Strategy for Management and Leadership, February 2010

Scottish Vocational Qualifications (SVQs) and National Vocational Qualifications (QCF) and Units

The Management Standards Centre (MSC) is the government-recognised standards setting body for Management and Leadership. This document sets out the overarching assessment strategy for National Vocational Qualifications, QCF and related Units, and Scottish Vocational Qualifications (SVQs) in Management and Leadership based on the National Occupational Standards (NOS) for Management and Leadership.

Achieving external quality control of assessment

The following measures are proposed in order to achieve external quality control of assessment:

- Application of risk management. The MSC will expect awarding bodies to apply such risk management systems to the awarding of NVQs and SVQs in Management and Leadership, and to deploy resources accordingly to tackle identified risks.
- The existing Management and Leadership Qualifications Forum (M&LQF) will take on a more active role in relation to the ongoing assessment and quality assurance of NVQs and SVQs in Management and Leadership.
- Standardisation activities/exercises across centres (assessors and internal verifiers) and External Verifiers.

Assessment through performance in the workplace

The NVQs and SVQs in Management and Leadership are to be assessed using evidence from the workplace, ie observable performance, physical products of work (such as reports, plans, correspondence, etc), witness testimony, discussion and questioning, etc.

Assessment by simulation

Simulation is not allowed.

Requirements for assessors and verifiers

Assessors and verifiers must demonstrate that they:

- have credible expertise in management and leadership relevant to the level(s)/Units they are assessing or verifying
- keep themselves up-to-date with developments in management and leadership practice
- have a thorough understanding of the NOS for management and leadership at the Unit(s)/level(s) they are assessing or verifying

In addition, assessors and verifiers must have:

- an accredited assessor and/or verifier qualification
- a related qualification in assessment and/or verification that has been mapped to the National Occupational Standards for assessment and/or verification
- evidence of undertaking an employer assessment programme that has been mapped to the National Occupational Standards for assessment and/or verification

Annexe 4: Assessment Strategy for Conduct the Assessment Process (GF8P 48/H290 35) and Conduct the Internal Verification Process (GF8R 48/H291 35)

Introduction to the PDAs

The PDAs have been developed to mirror the National Occupational Standards in assessment and internal verification, without the stipulation that assessment/verification must be within the workplace or within a realistic workplace environment, as would be the case for SVQs or other work-based qualifications for example. The PDAs therefore provide a benchmark standard for those who assess/verify from a wide variety of different, non-workplace settings. For example, teachers or lecturers involved in the delivery of Skills for Work (SfW) Courses or National Progression Awards (NPAs); training providers and further education (FE) centres offering Higher National (HN) qualifications and PDAs.

Requirements for assessor- and verifier-candidates

The assessor Unit requires the assessor-candidate to assess the work of at least two candidates. On commencing assessment, assessor-candidates should already be in an assessor role that allows them to meet all of the requirements of Conduct the Assessment Process.

The internal verifier Unit requires internal verifier-candidates to verify the work of at least two assessors. Internal verifier-candidates should already have a suitable internal verifier role on commencement of verification that allows them to meet all of the requirements of Conduct the Internal Verification Process. It is also recommended internal verifier-candidates already have suitable assessor qualifications and/or experience.

The requirements for those assessing and verifying the PDAs

Assessors

All assessors will have a sound working knowledge of the content of the standards they are assessing and their assessment requirements. All assessors must also have a relevant qualification to assess the Units, and these might include one of the following, although this is not an exhaustive list:

- A1 or D32/33 or L&D9DI or TQFE/TQSE
- G9DA 47/ F7BW 35 Carry Out the Assessment Process
- PDAs Teaching in Further Education
- A teaching qualification recognised for registration with the GTCS or other equivalent bodies in the UK or Eire
- HN Unit DA3F 04 Assessment and Moderation

Assessors of assessor-candidates are required to have achieved their relevant assessor qualification before they can start to assess assessor-candidates.

Internal verifiers

All internal verifiers will have sufficient experience of having conducted assessments of assessor or verifier type qualifications (depending on what they are proposing to verify).

Assessors of internal verifier-candidates must have achieved their assessor and verifier qualifications before they can start to assess verifier-candidates.

Suitable assessor qualifications could include those listed under ‘Assessors’ in this document.

Suitable internal verifier qualifications could include:

- V1 or D34 or L&D11
- HN Unit DA3F 04 Assessment and Moderation
- G9DC 48 / F7BW 35 Internally Verify the Assessment Process

CPD

All assessors and verifiers should maintain CPD records showing how their practice is in line with current national standards and how they keep up to date with new information and practices associated with assessment and internal verification.

Annexe 5: Continuing professional development record

Continuing professional development (CPD) is about how you use a variety of learning experiences to develop yourself professionally and personally. There is a common principle in how you approach CPD, whether you think of it in terms of self-development or lifelong learning. It is about the learning and development that you undertake and the methods you use to reflect on and record this learning.

Putting evidence of attendance at a learning event into a portfolio does not provide evidence of development. The Learning and Development Assessment Strategy requires you to demonstrate that you have updated and enhanced your competence, within the last year, by completing at least two development activities.

Continuing Professional Development Record

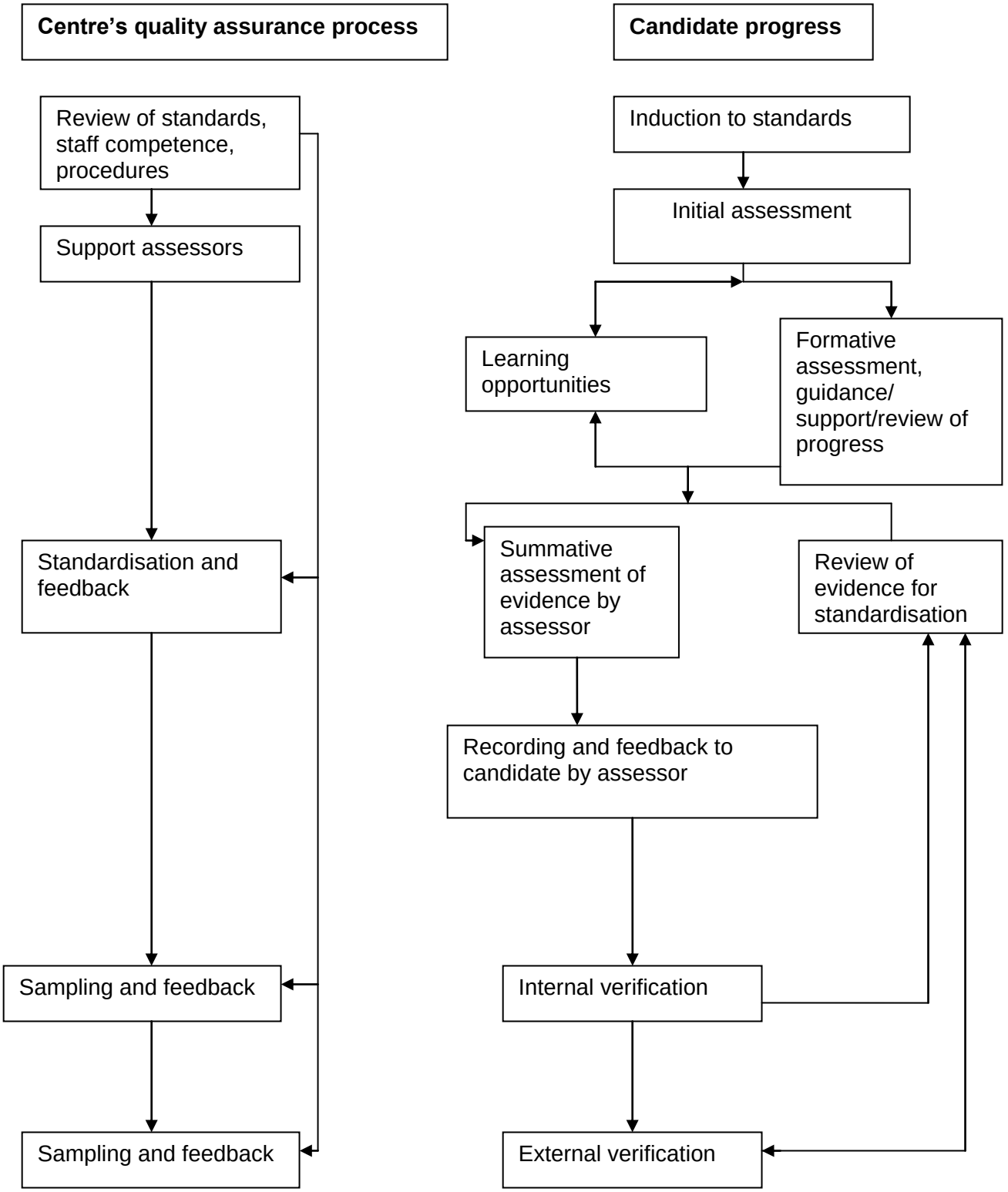
Name: _____

Covering the period from: _____ to: _____

Date of activity	What did you do that contributes to your CPD?	Link activity to specific objectives in your development plan	What did you learn from this activity that relates to some aspect of your CPD?	How would you implement this learning? Is there any further action?

Signature: _____

Annexe 6: Candidate path to achieving a qualification



Annexe 7: Standardisation activities

The purpose of standardisation activities is to ensure consistency of assessment decisions. Opportunities to standardise can include:

- Review of assessed candidate evidence by assessors and verifiers
- Alternating assessor and verifier roles
- Discussions re interpretation of standards, Evidence Requirements
- Encouraging assessors and verifiers to communicate via a discussion forum
- Discussion of mock evidence/assessment records that have been created to address specific issues
- Quizzes/questionnaires to test policy, procedures and prior agreements
- Cross-verification of evidence
- Maintaining a Decision Log to record agreements reached by the team

As standardisation is an inclusive process, continuous Decision Logs can ensure all group members (those that were present at the time of the meeting(s) and those not) have access to all past decisions, promoting a stronger 'party line' approach. The overall purpose of the Decision Log then is to ensure that all group members have ease of access to all of the most relevant past and current group decisions made on one up to date record.

Standardisation is also about keeping the assessment team up to date. This can be achieved through emails, newsletters and intranet portals etc.

Annexe 8: External Verifier Approval Visit Plan

External Verifier Approval Visit Plan	
Please complete in black ink or typescript	
This document confirms the evidence you should have available on the day of the approval visit. It also gives details on what will be discussed during the visit.	
This Visit Plan relates to the approval of: HNs ☐ SVQs ☐ NQs ☐ SfW ☐ Other ☐	
Centre details	
Centre name	
Centre number (if available)	
SQA Co-ordinator	
Date and time of visit	
Site(s) to be visited (if relevant)	
Group Awards/Units to be approved	
Internal verification and assessment	Proposed assessment and verification recording documents
Evidence type available:	Paper based ☐ Electronic ☐ Both ☐
Assessor and Internal Verifier qualifications	CVs of all assessors and internal verifiers including evidence/records showing CPD and tracking of their progress towards or achievement of required certification. (D32/33/A1/9DI & D34/V1/11 in relation to SVQs)
In order to determine the potential of the centre to offer the planned qualifications and that quality assurance procedures pertaining to the specific Award(s)/Unit(s) will be applied, I wish to access evidence relating to the following:	

Access to learning materials: For assessor/verifier candidates, these are materials that will help them to learn about assessment and internal verification, ie quality assurance principles such as validity, authenticity, reliability, currency and sufficiency of evidence; rules of sampling and monitoring assessor practice, standardisation etc.
Access to reference materials: These are materials that will ensure that assessors and internal verifiers keep doing their job properly and will include your centre's assessment and internal verification policies and procedures. How will you ensure that assessor/verifier candidates have access to these?
Adherence to Assessment Strategies: Re-assessor/verifier qualifications and CPD — ref: SQA website, Learning and Development pages.
Assessor and Internal Verifier selection, induction and support: Information relating to how centre will select, induct and support assessors and internal verifiers.
Equal/fair access to assessment: As per centre policy.
Assessor standardisation arrangements: Information on how your centre arranges for assessors and verifiers to meet and standardise their practice.
Accommodation and equipment: No specialist accommodation and equipment required for these awards.
Internal verification strategy/procedures and sampling: As per centre policy.
Continuing Professional Development (CPD): Information on planned CPD requirements. More information can be accessed on SQA website, Learning and Development pages, eg CPD Toolkit.
Please make arrangements for me to see any relevant documentation in relation to the above procedures/processes.

Verification Group name	
Verification Group number	
External Verifier details	
Name (please print)	
Telephone number	
Mobile telephone number	
E-mail address	
Signature	
Additional comments	