



OCR CRITERIA FOR VERIFIED QUALIFICATIONS (NQF AND QCF)¹

¹ **Important note**

- a) when verifying NQF qualifications the ***OCR Criteria for Verified Qualifications*** must be used in conjunction with the **NVQ CoP**.
- b) when verifying QCF qualifications the ***OCR Criteria for Verified Qualifications*** must be used in conjunction with the **relevant OCR centre handbook**.

EV Report: Resource review						
OCR ref	OCR criteria	NVQ ref	QCF ref	Possible sources of evidence	The OCR External Verifier will disagree if...	Sanction
R0	There are sufficient competent and qualified assessors and internal quality assurance personnel.	2.0		<p>Assessor/learner ratios.</p> <p>Internal quality assurance personnel/assessor ratios.</p> <p>CVs and development plans for the assessors and internal quality assurance personnel.</p> <p>A list of the assessors and internal quality assurance personnel with relevant information.</p> <p>Assessors' and internal quality assurance personnel's original qualification certificates.</p>	<p>There are insufficient qualified assessors - assessor/learner ratio does not allow for regular contact or sufficient formative/summative assessment.</p> <p>There are insufficient internal quality assurance personnel to manage assessment.</p> <p>There are no qualified and occupationally competent internal quality assurance personnel to manage assessment.</p>	<p>Level 1 (Action point)</p> <p>Level 2 (Removal of DCS)</p> <p>Level 3B (Suspension of learner registration & certification)</p>
R1	Staff development is provided for assessors and internal quality assurance personnel in line with identified needs.	2.1		<p>Staff induction and guidance materials.</p> <p>Records of meetings/briefings/updates.</p> <p>Records of individual development plans.</p> <p>Audit of skills/knowledge against assessment requirements.</p> <p>Action plans to acquire relevant qualifications.</p>	<p>Assessors/internal quality assurance personnel do not have adequate development in line with identified needs.</p>	<p>Level 1 (Action point)</p>
R2	Resources are made available in line with identified needs required for qualification achievement.	2.2		<p>Learner/assessor/internal quality assurance personnel feedback.</p>	<p>Assessor, learner and internal quality assurance personnel feedback does not confirm sufficiency of resources.</p>	<p>Level 1 (Action point)</p>
R3	Equipment and accommodation used for the purposes of assessment comply with the requirements of relevant health and safety acts.	2.3		<p>Public employee liability certificates.</p> <p>Records of equipment and accommodation.</p> <p>Maintenance and equipment test schedules.</p> <p>Health and safety policies.</p>	<p>Equipment and accommodation do not comply with health and safety acts.</p>	<p>Level 1 (Action point)</p>

EV Report: Learner support review						
OCR ref	OCR criteria	NVQ ref	QCF ref	Possible sources of evidence	The OCR External Verifier will disagree if...	Sanction
CS0	Information, advice and guidance about the qualification and assessment, including the appeals procedure, are provided to learners.	3.0 3.5		Learner guidance and induction materials. Details of support available. Appeals procedures. Learner feedback.	Information, advice and guidance have not been provided to learners and consequently learners are not aware of their rights and responsibilities. Learner feedback indicates that the lack of information, advice and guidance about the assessment process has disadvantaged them.	Level 1 (Action point) Level 3A (suspension of learner registration)
CS1	Learner's development needs are matched against the requirements of the qualification and assessment planning is regularly reviewed with the learner.	3.1 3.2		Learner initial assessment procedures. Learner assessment planning, including frequency of review meetings; examples of revisions to assessment plans. Learner contracts/agreements/reviews.	There is inadequate assessment planning/reviews with learners. Learner feedback indicates that their development needs are not matched to the qualification requirements and consequently they are disadvantaged.	Level 1 (Action point) Level 3A (Suspension of learner registration)
CS2	Access to assessment is encouraged through the use of a range of valid assessment methods and particular assessment requirements of learners are identified and met where possible.	3.3 3.4	5.7	Assessment plans and learner assessment records. Materials/equipment/facilities to support learners with particular requirements.	The range of assessment methods is insufficient to encourage access to assessment. Learners' particular assessment requirements are not identified and/or not taken into consideration. There is a lack of, or there are insufficient, materials/equipment/facilities to support learners with particular requirements. Assessment methods are not valid and consequently assessment does not meet the required standards.	Level 1 (Action point) Level 3A (Suspension of learner registration) Level 3A Level 3B (Suspension of learner registration & certification)
CS3	Unit certification is made available to learners.	3.6		Records of units claimed/awarded. Learner guidance and induction materials.	There is no evidence that unit certification is available.	Level 1 (Action point)

EV Report: Assessment review						
OCR ref	OCR criteria	NVQ ref	QCF ref	Possible sources of evidence	The OCR External Verifier will disagree if...	Sanction
A0	Internal quality assurance procedures are documented and meet OCR's requirements (as detailed in the relevant OCR Centre Handbook).	4.0		Internal quality assurance procedure/s. Strategy for inducting, training and supporting assessors. A sampling strategy and schedule of activity.	Documentation for internal quality assurance procedures is not available or is insufficient. Internal quality assurance procedures do not meet OCR's requirements.	Level 1 (Action point) Level 1
A1	Assessment decisions are adequately sampled to ensure the required standards are met.	4.1		Sampled assessments (observation, learner portfolios, knowledge evidence, etc). A sampling strategy and schedule of activity. Records of sampling. Records of feedback to assessors. Records of assessor and internal quality assurance personnel team meetings. Records of standardisation activities.	Sampling of assessment decisions is inadequate. There is a lack of standardisation activities to ensure consistency of assessment decisions. Assessment decisions are unfair (i.e. assessor/assessment practice prevents learners achieving). Assessment does not meet the required standards.	Level 2 (Removal of DCS) Level 2 Level 3A (Suspension of learner registration) Level 3B (Suspension of learner registration & certification)
A2	Records of internal quality assurance activities meet OCR's requirements and ensure valid, reliable and consistent assessment.	4.2		Internal quality assurance plan and sampling records. Records of feedback to assessors. Records of assessor and internal quality assurance personnel team meetings. Records of standardisation activities.	Records are insufficient to allow audit of assessment. The internal quality assurance process has not identified serious anomalies in assessment. The internal quality assurance process has not identified remedial action to address serious anomalies in assessment.	Level 2 (Removal of DCS) Level 3B (Suspension of learner registration & certification) Level 3B

OCR ref	OCR criteria	NVQ ref	QCF ref	Possible sources of evidence	The OCR External Verifier will disagree if...	Sanction
A3	The internal quality assurance process is reviewed against OCR's requirements for internal quality assurance and improvements are implemented accordingly.	4.3		Internal reviews of the internal quality assurance process/sampling strategies. External verifier reports. Evidence that improvements have been implemented.	There is inadequate monitoring or review of internal quality assurance procedures.	Level 1 (Action point)
A4	Assessment is conducted by appropriately qualified and occupationally expert assessors.	4.4		Details of the assessor and internal quality assurance personnel team including occupational background, experience and relevant qualifications. Details of monitoring (e.g. countersigning) arrangements for any assessment decisions made by unqualified assessors.	Assessors do not have the required occupational expertise. Decisions of unqualified assessors have not been monitored (e.g. countersigned) by qualified assessors. Assessment does not meet required standards.	Level 2 (Removal of DCS) Level 2 Level 3B (Suspension of learner registration & certification)
A5	Internal quality assurance is conducted by appropriately qualified and experienced staff.	4.5		Details of internal quality assurance personnel occupational background, experience and relevant qualifications. Details of monitoring (e.g. countersigning) arrangements for any unqualified internal quality assurance personnel.	Decisions of unqualified internal quality assurance personnel have not been monitored (e.g. countersigned).	Level 2 (Removal of DCS)
A6	Actions identified during external verification visits are disseminated to appropriate staff and addressed accordingly.	5.2		External verifier report(s) circulated to the assessor and internal quality assurance personnel team and senior management. Action plans. Evidence that improvements have been implemented.	Previously agreed actions identified during external verification visits have not been addressed: relating to level 1 sanction/s relating to level 2 sanction	Level 2 (Removal of DCS) Level 3B (Suspension of learner registration & certification)

EV Report: Internal quality assurance review						
OCR ref	OCR criteria	NVQ ref	QCF ref	Possible sources of evidence	The OCR External Verifier will disagree if...	Sanction
IV0	The centre's policies in relation to OCR's verified qualifications are supported by senior management and understood by the assessor and internal quality assurance personnel team.	1.0		<p>Documented policies and procedures.</p> <p>Senior Management, assessor and internal quality assurance personnel feedback.</p> <p>Progress reports and staff updates.</p> <p>Organisation development plans.</p>	<p>Documentation for the centre's policies is not available or is insufficient.</p> <p>Assessor and internal quality assurance personnel feedback demonstrates lack of understanding of the centre's policies and responsibilities of personnel.</p>	<p>Level 1 (Action point)</p> <p>Level 1</p>
IV1	The centre's policies, including access and fair assessment policy and practice, are complied with.	1.1		<p>Documented policies and procedures (e.g. Access and Fair Assessment Policy, Appeals Procedure, Equal Opportunities Policy, Health and Safety Policy, Staff Development Policy, Quality Assurance Policy).</p> <p>Learner/assessor/internal quality assurance personnel feedback.</p> <p>Evaluation and review mechanisms.</p> <p>Evidence of Equal Opportunities monitoring.</p>	<p>Responsibilities of personnel are not clear or well understood by assessors and internal quality assurance personnel.</p> <p>Assessment decisions are unfair (i.e. assessor/assessment practice prevents learners achieving).</p>	<p>Level 1 (Action point)</p> <p>Level 3A (Suspension of learner registration)</p>
IV2	The roles and responsibilities of the assessors and internal quality assurance personnel across all assessment sites are defined and understood.	1.2		<p>Documented quality assurance procedures.</p> <p>An organisational chart.</p> <p>Records of all assessment sites and personnel.</p> <p>CVs of the assessors and internal quality assurance personnel.</p> <p>Assessor/internal quality assurance personnel feedback.</p>	<p>Responsibilities of personnel across all assessment sites are not clear or well understood by assessors and internal quality assurance personnel.</p>	<p>Level 1 (Action point)</p>

OCR ref	OCR criteria	NVQ ref	QCF ref	Possible sources of evidence	The OCR External Verifier will disagree if...	Sanction
IV3	There is effective communication within the assessor and internal quality assurance personnel team and with OCR.	1.3		<p>Staff handbooks and updates.</p> <p>An organisational chart.</p> <p>Minutes of assessor and internal quality assurance personnel team/standardisation meetings.</p> <p>Records of communication with the awarding body.</p> <p>Assessor and internal quality assurance personnel feedback.</p>	Communication within the assessor and internal quality assurance personnel team and with the awarding body is ineffective.	Level 1 (Action point)
IV4	OCR is notified of any changes that may affect the centre's ability to meet OCR's requirements.	1.4		<p>Notification of changes to assessment and quality assurance personnel.</p> <p>Notification of changes to resources.</p>	OCR has not been notified of changes that affect the centre's ability to meet OCR's requirements.	Level 1 (Action point)
IV5	Assessors and internal quality assurance personnel have sufficient time, resources and authority to perform their roles and responsibilities effectively.	1.5		<p>A record of assessor/learner allocation.</p> <p>Learner/assessor ratios and time allocation.</p> <p>A record of internal quality assurance personnel/assessor allocation.</p> <p>Internal quality assurance personnel/assessor ratios and time allocation.</p> <p>Internal quality assurance personnel/assessor/learner feedback.</p>	Assessors and internal quality assurance personnel have insufficient time, resources and authority to perform their roles and responsibilities effectively.	Level 2 (Removal of DCS)

OCR ref	OCR criteria	NVQ ref	QCF ref	Possible sources of evidence	The OCR External Verifier will disagree if...	Sanction
IV6	Learner information and details of achievements are complete and accurate, and retained and transmitted in line with OCR's requirements.	1.6 1.8		Records of learner entry/registration details and certificate claims. Learner assessment records. Evidence files/portfolios. Security and access arrangements.	Assessed evidence is not the authentic work of learners. Records of assessment show serious anomalies. Certification claims are made before all the requirements of assessment are satisfied.	Level 3B (Suspension of learner registration & certification) Level 3B Level 3B
IV7	Queries about the qualification specification, assessment guidance or related OCR material are resolved.	1.7		Records of queries raised with OCR. Records/minutes of queries raised. Assessor and internal quality assurance personnel team feedback. Minutes of team/standardisation meetings. Records of dissemination of relevant information.	Queries are not resolved. Assessment does not meet the required standards.	Level 1 (Action point) Level 3B (Suspension of learner registration & certification)
IV8	Information and recording systems enable learners' achievements to be monitored and reviewed in relation to diversity and equality.	5.3	2.14	Achievement records in relation to the access and fair assessment policy. Statistical information on achievement and certification rates analysed by factors such as ethnic origin, disability and gender.	Information and recording systems do not enable learners' achievements to be monitored and reviewed in relation to diversity and equality. Learners' achievements are not monitored and reviewed in relation to diversity and equality.	Level 3B (Suspension of learner registration & certification) Level 3B

OCR ref	OCR criteria	NVQ ref	QCF ref	Possible sources of evidence	The OCR External Verifier will disagree if...	Sanction
IV9	Requests from OCR are complied with for access to premises, people and records for the purpose of monitoring activities.	1.9		Data and information management systems. Learner tracking systems. Assessment and internal quality assurance records. Learners' portfolios. Learner contact details. Learner/assessor feedback.	The centre fails to provide access to requested records, information, centre assessment decisions and staff.	Level 3B (Suspension of learner registration & certification)
IV10	Centre's achievements, and learner, employer and other feedback are used to evaluate the quality and effectiveness of qualification provision.	5.0 5.1		Internal audit/self-assessment arrangements. Audit/self-assessment reports. Evidence that improvements have been implemented. Evaluation forms/surveys. Users' charter/customer service statements. Learner, employer and other feedback. Centre's achievement records.	There is inadequate evaluation of the quality and effectiveness of qualification provision.	Level 1 (Action point)