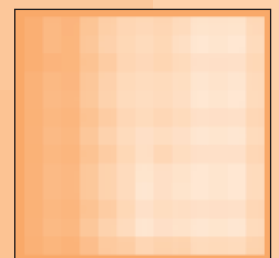


OCR LEVEL 4 AWARD IN CONDUCTING INTERNAL QUALITY ASSURANCE OF THE ASSESSMENT PROCESS



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PUBLICATIONS (related to this qualification)

The NVQ Toolbox (reference code L391)

OCR publications may be purchased from:
OCR Publications, PO Box 5050, Annesley, Nottingham, NG15 0DL.
Telephone: 0870 870 6622
Facsimile: 0870 870 6621
Email: publications@ocr.org.uk

FURTHER INFORMATION

Further information may be obtained by visiting the OCR website at www.ocr.org.uk or, from the OCR Information Bureau – Telephone (024) 7647 0033, Email: cib@ocr.org.uk – from whom the following literature is available:

National Vocational Qualifications and Other Verified Qualifications – Centre Guidance (reference code L526)
Access to Vocational Assessment (reference code L16)

(Please note that as part of our quality assurance programme, your call may be recorded or monitored for training purposes.)

INTRODUCTION

About this scheme book and cumulative assessment record (CAR)

This scheme book and cumulative assessment record (CAR) contains important information for anyone working towards or involved in assessing or verifying the following qualification:

OCR Level 4 Award in Conducting Internal Quality Assurance of the Assessment Process

The OCR scheme code for this qualification is 3439

The QCA qualification accreditation number for this qualification is 100/2416/5

About this qualification

This unit-based award assesses someone's competence (that is the skills, knowledge and understanding they have) in a work situation. It consists of an individual unit taken from the Learning and Development national occupational standards. The national occupational standards were developed by the Employment National Training Organisation (ENTO), which was the government-approved national training organisation (NTO) for employment. The standards describe the level and breadth of performance that is expected of anyone working in the industry or sector which the award covers.

The awarding body for this qualification is Oxford Cambridge and RSA Examinations (OCR) and the regulatory body is the Qualifications and Curriculum Authority (QCA).

What is a CAR?

A CAR is the candidate's record of their assessment over time. Hence the title, cumulative assessment record, or CAR for short.

The information in this scheme book and CAR is in seven sections:

- **Guidance for candidates**
- **Guidance for centres**
- **Assessor and internal verifier requirements**
- **Key Skills signposting**
- **Glossary of terms**
- **Unit V1**
- **Recording documents (for CAR and other purposes)**

GUIDANCE FOR CANDIDATES

How do I achieve this qualification?

To achieve this qualification you must prove that you have the skills, knowledge and understanding detailed in the unit of competence. Your assessor will judge, from your evidence, whether you have demonstrated the skills, knowledge and understanding to the necessary standard. You do not have to pass a written exam or have any previous qualifications, learning or experience to be able to take this qualification, however, you will be expected to have a reasonable standard of literacy and numeracy.

Do I have to find my own assessor?

Your centre (the place where you have registered to take this qualification) will allocate an assessor (or assessors) to you.

Assessment will be carried out, mainly in your workplace, by qualified assessors.

What is independent assessment?

You are required to present a balance of evidence which must include a substantive primary piece of outcome evidence (eg a record of your observation of an assessor conducting the assessment process with a candidate) which has been assessed by a second assessor who is independent from you. The independent assessor may be employed by the same assessment centre or by another assessment centre.

About the unit of competence that makes up this qualification

The OCR Level 4 Award in Conducting Internal Quality Assurance of the Assessment Process is a single unit award.

The unit that makes up this award is unit V1 from the Learning and Development national occupational standards. The title of unit V1 is:

Conduct internal quality assurance of the assessment process

Unit V1 is broken down into four elements, each with its own title describing the tasks to be carried out. Unit V1 contains four elements:

- V1.1 Carry out and evaluate internal assessment and quality assurance systems
- V1.2 Support assessors
- V1.3 Monitor the quality of assessors' performance
- V1.4 Meet external quality assurance requirements

Is this the right qualification for me?

Your assessor will carry out an initial assessment of your past experience, current skills, knowledge and understanding, and look at your real work situation and job role before agreeing with you that this qualification is suitable for you.

This qualification will be suitable for you if you conduct internal quality assurance of the assessment process.

We would recommend that you also carry out a self-assessment of your real work situation. To do this read the performance criteria in each of the elements and confirm that your current job role includes the activities described.

What is a real work situation?

A real work situation could be a full-time or part-time job, voluntary work, or work carried out while on work placement within an operational organisation.

It is important that your real work situation gives you the chance to carry out the tasks listed in the unit of competence and to the level described.

What do the different sections of the unit describe?

The unit describes exactly:

- what you need **to do**
- what you need to **know and understand** *and*
- the **evidence** you need to provide to prove you are competent to the standard specified.

The first page contains an overview of the unit. It briefly describes what the unit is about and will help you decide if this qualification is suitable for you. The preferred methods of assessment are included on the first page.

The next section shows the **elements** that make up the unit. Each element has its own title and describes what you need to do.

The national occupational standards contain a list of performance criteria (the lettered items). Performance criteria describe what you must do and how you must do it. You must show that you can do all the things listed as performance criteria.

Following the elements are the **evidence requirements**. These specify the minimum type, quality and quantity of evidence that you need to provide to demonstrate your competence. You should read this section carefully and agree the exact nature of the evidence you will produce and how you will be assessed with your assessor.

After the evidence requirements comes a list of **knowledge requirements**. These specify the knowledge you need to be able to carry out the tasks listed in the elements to the standard specified.

You can sometimes prove that you have knowledge simply by doing something, but where this is not possible, your assessor may use questioning and/or professional discussion to fully confirm your knowledge.

What is evidence?

Evidence is your proof that you meet the requirements of the qualification. To help you achieve this award the minimum evidence that you must provide is shown in the section **evidence requirements**.

Evidence could be:

- letters, faxes or emails you have prepared and sent to colleagues and candidates
- schedules and diaries you use to plan your work
- planning sessions you have conducted
- statements from witnesses
- records of discussions between yourself and your assessor
- video recordings or records of your assessor observing you carrying out your work
- completed documents you have used during your work
- reports you have written to support your other evidence.

Your assessor can also supply evidence (through their records of assessment for example, observations they have carried out and/or your responses to questions they have asked you).

Evidence can be anything that proves:

- what you can do
- how well you do it
- the level of knowledge you have in relation to what you do *and*
- the level of understanding you have about what you do, how you do it, and why you do it.

For example, evidence that you ensure that individual assessors apply safe, fair, valid and reliable methods of assessing candidates' competence (Element V1.3, Performance criterion d) could include:

- assessor's notes from observing your observation of an assessor's performance
- your report on the sampling of the performance of one assessor
- an external verifier's observation report from observing your performance of an assessor's performance

Your assessor can also provide evidence to prove your skills, knowledge and understanding. Your assessor can do this by observing you carry out your duties in the workplace and writing a report on what they observed. After your assessor has observed you, they will ask you questions to confirm what you know and understand. Your assessor's report (one piece of evidence) could be enough evidence to fulfil a number of requirements of this qualification.

For this qualification you need evidence to prove that you:

- can do all the things described in the **performance criteria** (the lettered items listed for each element) across all the circumstances and situations described
- have provided the evidence described under **evidence requirements**

- have shown that you have met the **knowledge requirements**.

How much evidence do I need?

You do not have to produce a separate piece of evidence for each of the performance criteria and each knowledge requirement. Try to match each piece of evidence to as many performance criteria and knowledge requirements as possible. Minimum requirements for the quantity of evidence you must provide are listed in the section **evidence requirements**.

What happens to my evidence?

The evidence you provide will be assessed (checked by your assessor or assessors against the unit requirements). Your assessor will want you to continue providing evidence until they are satisfied that there is enough consistent proof that you are competent. To be accepted as proof of your competence, your evidence must:

- come from work you have carried out in a real work situation
- be your own work or relate to you *and*
- reflect what you can do now, not what you could do a few years ago.

Where do I keep my evidence?

You may decide to keep some of your evidence in a file (a portfolio of evidence) or you may want to record what the evidence is and where it can be found. For example, if you keep records of learner progress and assessor contacts on a spreadsheet you may want to print a section from this record as evidence to be stored in your portfolio. However, you may decide to make a note of what records you entered and where they can be found. This is called the signposting of evidence. The important thing to remember about evidence is that it must be available for your assessor to assess and for other people (eg internal and external verifiers) to have access to in the future.

Using confidential information

In some situations, the work that you are involved with may include confidential information relating to an organisation, or individuals. It may not be appropriate to include this information in your portfolio of evidence.

If the evidence contains, for example, a candidate's name and address, this information could be removed from the document before it is submitted as evidence. If the evidence takes the form of a document which is reporting on a confidential aspect of an organisation's operation or which contains personal details throughout, you could either:

- signpost the evidence within your portfolio (as long as it would be available for your assessor, internal verifier and external verifier to see) *or*
- your assessor could provide an observation report of what they have seen and how it shows that you are competent. This observation report would then form part of the evidence in your portfolio.

Who are internal and external verifiers?

An internal verifier will be employed by your centre to look after this qualification. Internal verifiers make sure that all assessors judge evidence in the same way and to the same standard (this is called internal verification).

The external verifier is employed by OCR to monitor the quality of the assessment and internal verification decisions at a number of centres.

What records must I keep?

It is very important that you record what your assessed evidence is and where it can be found. We have designed an **evidence record sheet** for you to record your evidence and where it is located. This will allow you, your assessor and the internal and external verifiers to see what performance criteria each piece of evidence refers to. We have provided an **evidence record sheet** for each element. In addition we have provided a separate **knowledge evidence record sheet** which will allow you to record evidence which proves you have the knowledge and understanding for the unit (see **recording documents**). The recording sheets included in this booklet may be photocopied for recording further evidence. Instructions on how to use these records are included in the section 'Recording documents'.

Your assessor may give you alternative forms to use. This is acceptable as long as they include all the information needed.

Where do I keep all my records?

You must keep your **evidence record sheets** and **knowledge evidence record sheet** (or alternatives that your assessor may give you) together in a file. These sheets form your **Cumulative Assessment Record** or **CAR** for short. This is a compulsory (must do) requirement of this qualification.

Reminders

When collecting evidence, you should do the following:

- 1 **Start by thinking about what activities you do in your current role** and match these to the unit of competence.
- 2 **Identify evidence from the evidence requirements that you could gather naturally** while carrying out your everyday work and cross-reference these to as many performance criteria and knowledge requirements as possible. Apply a single piece of evidence to as many criteria as possible. This is not only economical in terms of collecting evidence, but it also gives a more holistic, or rounded, picture of your competence.
- 3 **Go for quality rather than quantity.** Well-chosen pieces of evidence can count for much more than a vast amount of evidence that only loosely applies.

- 4 **Mix the types of evidence you offer.** A good mixture containing some observation of practice, some products of your work, some witness reports and so on, leads to a more streamlined, better-balanced approach which is more convincing to your assessor.
- 5 **Choose evidence that reflects your current competence.** Evidence can come from things you did in the past but your assessor must be convinced that the evidence you offer reflects your current competence.
- 6 **Do not treat reference materials,** such as company policies and training materials, **as evidence** because they do not demonstrate your competence.
- 7 **You can also use your assessor’s records of your assessment as evidence.**
- 8 **You do not have to keep all evidence in a portfolio.** If you keep evidence somewhere else, for example, in a filing cabinet, or on a computer disk, record what the evidence is and where the evidence is located. The location of evidence needs to be clearly signposted on your evidence record sheet.
- 9 **The unit of competence** does not form part of your evidence. The evidence record sheets will identify which performance criteria and knowledge requirements the evidence refers to. You will probably want to keep the unit alongside your evidence but we do not need you to include a copy of the unit with your evidence for assessment or verification.
- 10 Although not compulsory, you may find it useful to include a copy of your **curriculum vitae (CV)** with your evidence to show your previous qualifications and work history.
- 11 **Confidential and unavailable evidence.** Your assessor should have access to this type of evidence to assess your competence. However, in some cases your assessor’s description of the evidence they have seen will be more suitable, depending on the type of evidence.
- 12 **Show your evidence to your assessor regularly.**

Don’t forget your CAR (this consists of your **evidence record sheets** and **knowledge evidence record sheet**). Your CAR belongs to you, it gives details of what evidence has been accepted as proof of your competence and where that evidence can be found. It is your record of what evidence has been assessed and signed off by your assessor. Your assessor will help you prepare your CAR.

Once your assessor has decided that you have provided enough evidence to prove your competence in all the elements within the unit, they will sign the unit off, and you can then claim your full award.

Can my evidence count towards Key Skills units?

The evidence you produce for your qualification may prove you have the skills required for the Key Skills units. Signposting to Key Skills appears in a later section.

Access to assessment

We have tried to make sure that no unnecessary restrictions will slow down your progress. You must have the same chances as everyone else to prove your competence and collect evidence. If you need mechanical, electronic or other aids to show your competence, please talk to your assessor about this. You can use aids as long as they are generally commercially available and it is practical to use them on your employer's premises.

Appeals procedure

We do not think that you will ever have to use our appeals procedure, but if you disagree with the assessment decision, you have the right to appeal.

You can get more information on the OCR Appeals Procedure in our publication *'National Vocational Qualifications and Other Verified Qualifications – Centre Guidance'* (reference code L526). This publication is also available on the OCR website www.ocr.org.uk.

We wish you success

To gain a full award you must collect enough evidence to prove you are competent in the required unit. You can then claim a full certificate.

**You cannot fail this qualification, and we do not grade your results.
You are either competent or not yet competent.**

GUIDANCE FOR CENTRES

Who is this qualification for?

This qualification is work-oriented and is suitable for those who have current real work experience. It is open to candidates of any age, of either gender and there are no entry barriers on grounds of race, creed or previous academic attainment or learning. Candidates are, however expected to have reasonable standards of literacy and numeracy.

The OCR Level 4 Award in Conducting Internal Quality Assurance of the Assessment Process will be suitable for staff who conduct internal quality assurance of the assessment process. Staff will be:

- carrying out and evaluating internal assessment and quality assurance systems
- supporting assessors and monitoring the quality of their performance
- meeting external quality assurance requirements.

What is its purpose?

The aim of this qualification is to assess the candidate's competence in monitoring internal quality assurance and assessment systems to national standards. This will ensure a national standard for NVQ achievement.

This unit replaces unit D34 in the training and developing standards which provided a national standard for NVQ internal verification in the past.

Who is involved in the delivery of this qualification?

Assessment centre

Any organisation, whether it is a place of employment, college or private training organisation can be approved to offer this qualification, as long as it meets the criteria set out in the OCR publication '*National Vocational Qualifications and Other Verified Qualifications – Centre Guidance*' (reference code L526). This includes being able to provide suitable assessors and internal verifiers. For more information on how to become an OCR approved assessment centre see the section 'Centre Approval'.

Once approved, an **assessment centre** will register candidates for the qualification and allocate each candidate an **assessor** or **assessors**.

Trainer

The trainer will develop a candidate's knowledge, understanding and skills in relation to the qualification that is being undertaken.

Trainers will:

- provide opportunities for learning

- provide ongoing mentoring to the candidate, including review and feedback on learning experiences and development of competence
- provide opportunities for a candidate to practice what they have learnt in a realistic, but safe and protected, working environment or, where this is not appropriate, in a simulated environment. (Assessment must not take place in this simulated practice environment.)

Assessor

The assessor will judge the evidence of a candidate's performance, knowledge and understanding against the unit of competence in order to decide whether the candidate has demonstrated competence. The assessor will have suitable and reliable experience and be trained and qualified as an NVQ assessor. The criteria for appointing assessors are set out in the section 'Assessor and Internal Verifier requirements'. An assessor may be a candidate's line manager, a tutor at college, or someone specially appointed to this role. Assessments may also be carried out by a team of assessors.

The roles of trainer and assessor are inextricably linked and may be carried out by the same person, however, training activities must be clearly separated from assessment and only assessed evidence of competence should be presented as evidence towards this qualification.

Independent Assessor

The candidate is required to present a substantive primary piece of outcome evidence which has been assessed by a second assessor who is independent from the candidate (eg an observation record of an assessor conducting the assessment process with a candidate).

The independent assessor must be a competent job holder who is qualified as an assessor but will not act as the candidate's primary assessor. They may be employed by the same assessment centre or by another assessment centre. The independent assessor must not be the internal verifier of the candidate.

Internal verifier

Each assessor's work must be checked and confirmed by an **internal verifier** who is also a member of the staff of the assessment centre. The criteria for appointing internal verifiers are set out in the section 'Assessor and Internal Verifier requirements'. The internal verifier checks and standardises assessment decisions made by the assessors in the centre.

External verifier

The **external verifier** checks the assessment and internal verification processes and decisions made in the centre, and authorises the claims for certificates. The external verifier is appointed by OCR.

How is this qualification assessed?

This qualification is **competence-based**. This means that it is linked to a person's ability to competently perform a range of tasks connected with their work.

To gain this qualification a candidate must achieve the level of competence described in unit V1.

The unit contains:

- an overview, which describes what the unit is about and the activities the candidate is likely to be involved in
- evidence requirements which describe what type of evidence is needed. **This section is important for assessors as it specifies the minimum performance evidence needed**
- knowledge requirements, which describe what the candidate must know and understand for the unit.

Each element contains:

- performance criteria (listed within the national occupational standards) against which assessors will assess candidates' competence.

The mandatory requirements for this qualification are as follows:

- each candidate must prove that they are consistently competent in meeting the performance criteria listed for each element
- each candidate must provide evidence which meets the criteria specified in the evidence requirements
- each candidate must prove that they have the necessary knowledge while demonstrating competence.

Assessment – How does it work?

It is the assessor's role to satisfy themselves that evidence is available for all the performance criteria, evidence requirements and knowledge before they can decide that a candidate has finished the unit of competence. Where performance and knowledge requirements allow evidence to be generated by indirect methods, for example by questioning the candidate, assessors must be satisfied that the candidate will be competent under these conditions or in these type of situations in the workplace in the future.

Independent assessment

Candidates must present a balance of evidence. This must include a substantive primary piece of outcome evidence (eg an observation record of an assessor conducting the assessment process with the candidate) which has been assessed by a second assessor who is independent from the candidate.

Independence is defined here as a competent job holder who is qualified as an assessor but will not act as the candidate's primary assessor.

Candidates may claim accreditation of prior achievement for any of the elements as long as the evidence fully meets the criteria and the candidate can prove that it is all their own work. It is important also that assessors are convinced that the competence claimed is still current. If the assessors have some doubts, they should take steps to assess the candidate's competence directly. An initial assessment of candidates is recommended (see **initial assessment**).

When assessors are satisfied that the candidate has met all of the requirements for the unit, they must confirm this by signing the evidence record sheets and the knowledge evidence record sheet to show that the assessment process is complete.

Initial assessment

It is important for centres to carry out some form of initial assessment which identifies what competence and knowledge a candidate already has and the gaps which they need to look at. This will help centres to plan the assessment because it allows the assessors to help candidates understand the best place to start collecting evidence. It will also identify aspects which candidates might have difficulty finishing. It is important at the initial assessment stage to ensure that candidates commence a programme leading to an appropriate qualification at the appropriate level.

Assessment planning

Assessors must take responsibility for assessment planning with candidates. This will involve agreeing a number of issues with candidates including:

- finding the best source of evidence to use
- finding the best way of assessing the candidate *and*
- confirming the best times, dates and places for the assessments to take place.

Assessors must make a note of their assessment planning and regularly give feedback to candidates.

The standards require evidence of consistent occupational competence as defined by the standards, through relevant work activities. A variety of assessment methods should be used to confirm competence as defined in the standards. Assessment of knowledge should be integrated with the assessment of performance wherever possible and appropriate.

Making assessment decisions

It is not important that candidates meet all the criteria every time they carry out an activity but they must consistently provide enough evidence for assessors to believe that the candidate will be competent in their working environment.

In line with the Learning and Development standard A1, assessors should:

- assess candidate performance, knowledge and understanding
- look at the evidence *and*
- question and give feedback to the candidate working towards this qualification.

They should also be satisfied that the candidate has demonstrated competence over a reasonable period of time.

Assessors should be careful to deal with the criteria as a whole when assessing a candidate's work. They cannot assess individual criteria separately, without recognising how all the criteria are connected to one another.

You can get more information on assessment in our publication *'National Vocational Qualifications and Other Verified Qualifications – Centre Guidance'*, (reference code L526).

Methods of assessment

It is the assessor's responsibility to choose the best methods of assessing a candidate in relation to their individual circumstances. The methods chosen must be from the preferred list shown on the unit overview and must be:

- valid
- reliable
- safe and manageable *and*
- suitable to the needs of the candidate.

Valid

A valid assessment method is one which is capable of measuring the knowledge or skills in question. For example, a written test cannot measure a candidate's practical skills or their ability to work well with others.

Validity can also be compromised if a candidate does not understand what is required of them. For example, one valid method of assessing a candidate's knowledge and understanding is to question them. If the questions posed are difficult for the candidate to understand (not in terms of the content but the way they are phrased, for example), the validity of the assessment method is questionable.

As well as assessment methods being valid, the evidence presented must also be valid. For example, it would not be appropriate to solely present an organisation's complaints and appeals policy as evidence towards Element V1.1, Performance criterion f **'ensure a procedure for complaints is in place, which meets the requirements of the awarding body - and that it is followed when necessary'** as it would not allow valid assessment of that criterion. It would be more appropriate for the candidate and assessor to have a discussion about the policy and for the candidate to explain how it is relevant, illustrated with examples of their compliance to the requirements. This discussion could then be assessed by the assessor and recorded as evidence. Alternatively the candidate could submit an explanatory report.

Reliable

A reliable method of assessment will produce consistent results for different assessors on each assessment occasion. Internal verifiers must make sure that all assessors' decisions are consistent.

Safe and manageable

Assessors and internal verifiers must make sure that the assessment methods are safe and manageable and do not put unnecessary demands on the candidate and/or the organisation they work for.

Suitable to the needs of the candidate

OCR has tried to make sure that achievement of this qualification is free from constraints outside the requirements of the candidate's job role.

Assessment arrangements can be changed, where the standards allow. The type of any special arrangement will depend on a candidate's personal circumstances, their job role, and the requirements of the unit (see **access to assessment**).

If centre staff think that any aspect of this qualification unfairly restricts access and progression, they should talk to their OCR external verifier about this.

OCR has identified the following main assessment methods which are suitable for this qualification:

- **observation** by an assessor of a candidate doing something
- **examining the evidence** by an assessor
- **questioning** the candidate or witness by an assessor
- **professional discussion** the assessors can speak with the candidate to provide evidence of the candidate's performance and knowledge.

Observation

Only approved and qualified assessors (see **assessor and internal verifier requirements**) may carry out observations for the assessment of this award. Observations carried out by others should be classed as witness testimonies.

The assessor and candidate should plan observations together but it is the assessor's responsibility to record the observation properly.

After the observation has taken place, the assessor needs to record an assessment decision and the justification for the decision. The assessor should also give feedback to the candidate.

Examining the evidence

Only approved and qualified assessors (see **assessor and internal verifier requirements**) may examine the evidence for the assessment of this award.

Evidence can reflect how the candidate carried out the process or it can be the product of a candidate's work or a product relating to the candidate's competence.

For example:

The process that the candidate carries out could be recorded in a case history, personal statement or witness testimony. It is the assessor's responsibility to make sure that the evidence a candidate submits for assessment meets the requirements of the qualification.

The products of a candidate's work could be induction packs or personal development plans prepared for assessors.

After the assessor has examined the evidence, the assessor must record an assessment decision and the justification for the decision. The assessor should also give feedback to the candidate.

Questioning

Only approved and qualified assessors (see **assessor and internal verifier requirements**) may verbally question a candidate or witness for the assessment of this qualification.

Questioning the candidate is normally an ongoing part of the assessment process, and is necessary to:

- test a candidate's knowledge of facts and procedures
- check if a candidate understands principles and theories *and*
- collect information on the type and purpose of the processes a candidate has gone through.

Assessors should ask open questions, that is questions where the candidate has to give an answer other than 'yes' or 'no'. They should be careful to avoid complicated questions which may confuse the candidate.

It is important that assessors record assessment decisions after they have questioned the candidate. They must record enough information to justify the decisions they make. This does not mean that assessors must record, word for word, the questions put to the candidate and the answers the candidate gives. However, assessors must record enough information about what they asked and how the candidate replied to allow the assessment to be verified.

Questioning witnesses is normally an ongoing part of validating written witness statements. However, questioning witnesses should not just be used for this purpose. Assessors should be able to speak to witnesses such as managers or supervisors and record, in whatever way is suitable, the verbal statements of these witnesses. A record of verbal statement is a form of witness statement and could provide valuable evidence to confirm a candidate's competence over a period of time.

Professional discussion is a discussion between a candidate and an assessor. The discussion focuses on one or more case histories. The assessor asks the candidate a series of questions about the case histories and records the discussion (in writing, on audio tape, or on video tape). The assessor will need the candidate to prove how they are able to confirm their verbal testimony (and case history) in other ways, for example, product evidence and witness testimonies.

Witness testimonies can be used as evidence of a candidate's performance. Such testimonies could be made verbally to the assessor or could be written in a short note.

If a witness provides a written statement they should include the following:

- the candidate's name
- the date, time and venue of the activity carried out

- a description of the activities performed by the candidate
- the date of writing the testimony
- a description of their relationship to the candidate
- their signature and job title
- their contact details (such as telephone number).

It is not appropriate for witness testimonies to contain a list of the performance criteria to which it relates. Witnesses must direct the information in their testimonies to describing what the candidate did. The assessor will then judge whether the candidate's activities demonstrate competence to the standards.

Personal statements are a candidate's own account of what they did, backed up by reference to evidence or witnesses. Candidates can also produce logs or diaries, but these must be countersigned by someone who can authenticate them as a true account of what took place.

Recording assessment

All assessed evidence must be recorded (if possible by the candidate) in the CAR (see **cumulative assessment record**). We have provided an evidence record sheet for each element and one knowledge evidence record sheet for candidates to record their evidence. When evidence is recorded on the evidence record sheet and the knowledge evidence record sheet, assessors must identify whether the evidence has been independently assessed and the method they have used to assess the evidence presented (see **recording the method of assessment**). OCR external verifiers will look for this information when verifying the qualification.

It is not acceptable for the evidence record sheets and knowledge evidence record sheet to act as the only assessment records. There must be centre records which describe the assessment decision made by the assessor based on how the evidence from the candidate meets the performance criteria, evidence and knowledge requirements (see **centre records**).

Recording the method of assessment

The evidence record sheets and knowledge evidence record sheet in this booklet include a box to record the method of assessment in, next to the evidence the candidate has submitted. The following list shows the individual codes you should use when filling in these record sheets:

Method of assessment used	Code to be inserted on record sheets
Observing the candidate by the assessor	O
Examining the evidence by the assessor:	
Examining the product	EP
Examining the witness testimony	EWT
Examining the case history	ECH
Examining the personal statement	EPS
Examining the written answers to questions	EWA
Questioning the candidate or witness by the assessor:	
Questioning the candidate	QC
Questioning the witness	QW

If professional discussion is used, insert PD on the evidence record sheet.

If a piece of evidence has been independently assessed please add (I) after the evidence title.

You can find help on filling in the evidence record sheets and knowledge evidence record sheet in the section 'Recording documents'.

Performance evidence

Performance evidence provides proof of what a candidate can do. Sometimes, performance evidence can also provide evidence of what a candidate knows. Performance evidence can take the form of the following:

- products or outcomes of the candidate's work (such as, things that the candidate produced or worked on). The evidence presented for assessment may be the actual product or a record or photograph of the product. If group work is used as evidence, the candidate's contribution must be identified clearly. Other products (for example, an external verifier's report) may have been produced by someone else but relate to the candidate and their competence
- proof of the way the candidate carried out their work (that is, the process they went through). An assessor's observation of a candidate or a witness's testimony both provide performance evidence and would be suitable for this qualification.

It is important that candidates provide **performance evidence** as specified in the **evidence requirements**.

Where does evidence come from?

Evidence may come from a number of different sources, for example:

- performance evidence may come from a candidate carrying out workplace activities *and*
- knowledge evidence may come from a candidate carrying out workplace activities or from the candidate answering the assessor's questions.

Important: Real work

All performance evidence must come from real work.

Real work is not where performance evidence is produced by assignments set by tutors or trainers in a controlled classroom situation.

Important: Simulation is not allowed for this qualification

What medium can be used?

Evidence can take many forms, for example, photographs, videos, audio tapes, CD-ROMs, floppy disks and paper-based documents.

How much evidence is needed?

The minimum evidence requirements are shown in the section **evidence requirements**.

For a candidate to be judged competent in the unit, the evidence presented must satisfy:

- all the performance criteria in each element listed in the national occupational standards
- all the evidence requirements
- all the knowledge requirements

The quality and breadth of evidence provided should determine whether an assessor is confident that a candidate is competent or not. Assessors must be convinced that candidates working on their own can work independently to the required standard.

OCR may accept some evidence from candidates who have been assessed in a language other than English or Welsh as long as there is enough evidence to show that candidates are competent in English or Welsh, or both, to the standard required for competent performance throughout the UK.

Cumulative assessment record (CAR)

As well as collecting evidence, candidates must record all their assessed evidence in their personal **cumulative assessment record (CAR)**. The CAR is the candidate's record of what evidence has been accepted as proof of competence and where that evidence can be found.

To build a CAR a candidate will need to fill in an **evidence record sheet** for each element and a **knowledge evidence record sheet** for the unit.

Filling in the CAR is an ongoing process involving discussion and agreement between the candidate and their assessor. The candidate should fill in and keep the CAR while working towards their qualification.

Centres can design their own recording documents if they want. You should talk about any document you want to use with your external verifier before you use them. OCR's publication *'National Vocational Qualifications and) Other Verified Qualifications – Centre Guidance'*, (reference code L526) includes information and criteria for designing recording documents.

We have provided other forms and recording documents that assessors and candidates might want to use for this qualification (see **recording documents**).

Verification – How does it work?

Internal verification

It is the centre's responsibility to appoint an internal verifier to manage the internal verification process. The purpose of internal verification is to make sure and show that assessment is valid and consistent, through monitoring and sampling assessment decisions.

The role of the internal verifier is more fully explained in '*National Vocational Qualifications and Other Verified Qualifications – Centre Guidance*'.

External verification

OCR will appoint and train an external verifier who will visit the centre regularly to monitor the quality of assessments and internal verification.

External verifiers will want to interview candidates and assessors during their visits. Assessment records and evidence for all candidates must also be available for verifiers to see if they ask to. It is the assessor's (and not the internal or external verifiers') responsibility to 'sign off' each element and unit of competence.

Centres should have the following available for each external verification visit:

- a list of candidates registered for this qualification, together with their achievements to date plus certification records
- access to evidence (for example, up-to-date portfolios) and CARs
- completed certification record forms (CRFs) and certification summary forms (UB99s) for those candidates claiming certification
- relevant assessors and selected candidates as requested by the external verifier (EV), including those whose certificates have been claimed through direct claims status (DCS)
- all portfolios (access to evidence) relating to certificates claimed through DCS
- a copy of the external verifier's last visit report
- a sample signature list for all assessors and internal verifiers
- curricula vitae and relevant certificates of new members of the assessment team
- all centre records (see **centre records – assessment and verification** for more details)
- evidence of achieving action points since the last external verifier visit and systems audit report
- notes of any action carried out due to particular points mentioned by the systems auditor or external verifier since their last visit
- tutor qualification candidate matrix
- recommendations to the external verifier
- if professional discussion is used ensure all tapes and appropriate equipment (eg video recorders) are available.

Centre records – assessment and verification

A centre must make sure that assessment and verification records are available for external verification purposes. Assessment and/or internal verification records must record the following minimum information:

- candidate's name

- title and level of qualification they are taking
- candidate's start date on the programme and confirmation of registration with OCR
- name of the assessor
- name of the internal verifier
- date and outcome of the initial assessment of the candidate
- dates and details of candidate reviews and feedback sessions
- dates of all assessments and their outcomes (that is, the decision whether the candidate has met the requirements or not) cross referenced to the element
- enough detail of the assessment to justify the decision made
- dates and outcomes of internal verification
- action resulting from internal verification
- certification.

Records should show formative assessment decisions (ongoing decision-making), summative assessment decisions and feedback to the candidate.

Certification

Claiming certificates

The internal verifier must fill in a Certification Record Form (CRF) when a candidate has finished the award.

- You can only submit a claim for certification when the candidate has finished the unit and the candidate's assessor has accepted and signed off the unit.
- Where a candidate has special assessment needs and is only able to achieve selected elements within the unit, the centre can ask for element certification. Candidates must show they have fulfilled the knowledge requirements for the unit and the performance evidence requirements for the elements to be able to achieve an element certificate. Element certification can be requested from Operations, OCR, Coventry Office, Westwood Way, Coventry, CV4 8JQ.

We will issue two certificates when the candidate claims the full qualification:

- a certificate listing the unit *and*
- a certificate giving the full qualification title, for example:

OCR Level 4 Award in Conducting Internal Quality Assurance of the Assessment Process

Important: Ten-week rule

Candidates must be registered with us for at least ten weeks before they claim for certification for this award.

Key Skills units

This qualification has been signposted to Key Skills 2000 specifications, which are available as individual units. Signposting has been provided in the section entitled **Key Skills signposting** and is designed to help candidates to identify opportunities to:

- develop Key Skills within the context of developing occupational competence
- collect evidence of achievement of Key Skills along with evidence for the qualification being assessed.

Further guidance on the signposting to Key Skills is provided in the section ‘Key Skills signposting’.

Individual Key Skills units are available in the following six areas:

- Communication
- Application of Number
- Information Technology
- Personal Skills - Working with Others
- Personal Skills - Improving Own Learning and Performance
- Problem Solving.

For more information on Key Skills contact the OCR Information Bureau on (024) 7647 0033, email cib@ocr.org.uk

(Please note that as part of our quality assurance programme, your call may be recorded or monitored for training purposes.)

Access to assessment

OCR aims to make sure that all candidates are given equal opportunity to demonstrate their attainment. This qualification accredits competence against specified criteria. All of these criteria must be met by all candidates independently and may not be reworded or omitted in any circumstances.

However, candidates may use mechanical, electronic and other aids in order to demonstrate competence so long as the aids are generally commercially available and can feasibly be used on employer’s premises. OCR’s publication ‘*Access to Vocational Assessment*’ (reference code L16) provides further advice on assessment arrangements for candidates with particular assessment requirements.

Appeals procedure

In exceptional circumstances, if a centre disagrees with a decision made by an OCR external verifier, systems auditor or evaluator the centre has the right to appeal.

Equally, if a candidate disagrees with the assessment decision, the candidate has the right to appeal.

You can get more information on the OCR Appeals Procedure in our publication ‘*National Vocational Qualifications and Other Verified Qualifications – Centre Guidance*’ (reference code L526). This publication is also available on the OCR website www.ocr.org.uk.

Centre approval

To seek approval to offer this qualification, centres must complete an application form. Centres who are new to OCR must complete an ‘Application for Approval as an OCR Centre for N/VQs (VQ1)’. Centres who already offer NVQs with OCR must complete an ‘Application for Approval to run additional N/VQs (VQ1a)’.

**These forms are available from Operations, OCR, Coventry Office,
Westwood Way, Coventry, CV4 8JQ - Telephone (024) 7647 0033 Fax (024)
7646 8080**

Once the application and supporting documentation has been submitted to OCR, the centre can expect to be contacted with a view to setting up an evaluation visit.

Before submitting the application form, centres are advised to read the OCR pack ‘*National Vocational Qualifications and Other Verified Qualifications – Centre Guidance*’ for more details on all aspects covered in this introduction, including full details of the approval process and criteria.

OCR’s advisory service

Centres considering seeking approval to offer this qualification (or any other qualification we offer) might be interested to know that OCR staff are available to help with any aspect of setting up an assessment centre. Through an advisory telephone call or visit centres can benefit from experience gained in existing centres. Many centres ask for help in the following areas:

- identifying potential candidates and marketing opportunities
- meeting OCR requirements
- identifying resourcing levels both in terms of staff and equipment
- the documents needed, both for the benefit of future candidates and to ensure a smooth-running operation
- help in filling in centre approval forms (VQ1).

More information on our advisory service can be requested from the OCR Information Bureau, OCR, Coventry Office, Westwood Way, Coventry, CV4 8JQ. Telephone (024) 7647 0033 or email cib@ocr.org.uk

(Please note that as part of our quality assurance programme, your call may be recorded or monitored for training purposes).

Other related OCR qualifications

OCR offers a wide range of qualifications relevant to those working, or preparing to work, in the learning and development field, including:

OCR Level 4 NVQ in Learning and Development

OCR Level 4 NVQ in Management of Learning and Development Provision

OCR Level 4 NVQ in Co-ordination of Learning and Development Provision

These qualifications are designed for those who wish to develop knowledge and skills in the areas of learning and development and are widely recognised by employers.

Candidates working in further education may also be interested in the FENTO-endorsed qualifications that OCR offers. These qualifications lead to recognised further education tutor status.

Customer feedback

We welcome feedback from customers on all aspects of our provision. Comments relating to this documentation should be sent to:

The Professional Officer

OCR Level 4 Award in Conducting Internal Quality Assurance of the Assessment Process

NVQ Processes

OCR

Coventry Office

Westwood Way

Coventry

CV4 8JQ

ASSESSOR AND INTERNAL VERIFIER REQUIREMENTS

Important: Assessor and internal verifier requirements

Assessors

All assessors selected by centres must have sufficient occupational competence to ensure an up-to-date working knowledge and experience of the principles and practices specified in the standards they are assessing.

Important: Assessors for this qualification are required to have achieved their relevant assessor and internal verifier units (D32 & D33 or A1 **and** D34 or V1) **before** they can start to assess internal verifier candidates.

Sufficient occupational competence is defined as:

- having held a post for a minimum of one year within the last two years, which involved performing the activities defined in the standards as an experienced practitioner

or

- being an experienced trainer or instructor of at least one year's standing in the competence area of the standards

and for both of the above:

- having demonstrated updating within the last year involving at least two of the following activities:
 - ◇ work placement
 - ◇ job shadowing
 - ◇ technical skill update training
 - ◇ attending courses
 - ◇ studying for learning and development units
 - ◇ study related to job role
 - ◇ collaborative working with Awarding Bodies
 - ◇ examining
 - ◇ qualifications development work
 - ◇ other appropriate occupational activity as agreed with the internal verifier.

All assessors will have a sound working knowledge of the content of the standards they are assessing and their assessment requirements.

Internal verifiers

All internal verifiers will have sufficient experience of having conducted assessments of the specific national occupational standards they are verifying or in an appropriate and related occupational area.

Important: Internal verifiers for this qualification are required to have achieved their assessor and internal verification units (ie D32 & D33 or A1 **and** D34 or V1) **before** they can start to internally verify internal verifier candidates.

Sufficient occupational competence is defined as:

- having been an assessor for the standards being assessed, or for a set of standards in a related occupational area, for a minimum of one year within the last two years
- and**
- having demonstrated updating within the last year involving at least two of the following activities:
 - ◇ attending awarding body verification training courses
 - ◇ studying for learning and development units
 - ◇ study related to job role
 - ◇ collaborative working with awarding bodies
 - ◇ qualifications development work
 - ◇ other appropriate occupational activity as agreed with the external verifier.

All internal verifiers will have direct responsibility and quality control of assessments of the occupational standards or the quality assurance of the assessment process within an assessment centre, which has been approved by an awarding body.

All internal verifiers will have sound working knowledge of assessment and verification principles as defined in the national standards for internal quality assurance and the particular internal verification requirements.

Without a suitably qualified internal verifier, the approved assessment centre cannot submit claims for certification to OCR. (See OCR's *'National Vocational Qualifications and Other Verified Qualifications – Centre Guidance'*, reference code L526.)

KEY SKILLS SIGNPOSTING

Some candidates may want to put forward evidence from their qualification towards their achievement of Key Skills units. To show where evidence from their qualification may also provide evidence opportunities for Key Skills, the Employment NTO has provided OCR with details of their signposting of the national occupational standards to the Key Skills 2000 specifications.

Signposting can only identify the possibility that a piece of evidence put forward for a unit may also meet the requirements of Key Skills. Each piece of evidence must be assessed against the Key Skills specifications to see if it is suitable.

For the Learning and Development standards, the Key Skills are signposted at unit level. A list is provided below to identify which of the Key Skills are likely to be evidenced by evidence from the Learning and Development unit V1.

- Communication Level 4
- Application of Number Level 3
- Information Technology Level 3
- Working with Others Level 4
- Improving Own Learning and Performance Level 3
- Problem Solving Level 3

Getting the evidence right

Candidates and assessors should check carefully the specific assessment requirements of the Key Skills, as they may encounter situations where they differ from that of the Learning and Development unit. A signposted opportunity should not be taken to guarantee that the form of evidence will necessarily satisfy both sets of standards.

GLOSSARY OF TERMS

Action plan

An agreed set of learning and training activities for an individual candidate based on a review of the requirements of the standards contained within a recognised award. It should contain a structured programme of learning experiences within an agreed time frame.

Assessment plan

A detailed statement of how and when specific outcomes in the standards will be assessed and by which method(s). It must also provide a clear set of actions to be carried out by the candidate, the assessor(s) and any others involved in the process with a timescale attached to each activity. This will be agreed between the candidates and one or more assessor. It may also indicate how other people such as supervisors, college tutors and others may contribute to the assessment process and how.

Assessment record

A record of which outcomes have been assessed with an indication of the success or otherwise of the outcome. The record must provide details of the candidate and the assessor and the outcomes assessed by which method. The record may be a standardised pro-forma issued by an awarding body, an internal record devised by an organisation or an individual assessors record system.

Element/component of an award

A discrete assessable outcome, or group of outcomes, drawn from a set of national standards within the national qualifications framework. In NVQs and SVQs this is usually a unit of competence. It must represent a substantive outcome rather than a set of sub-activities and relate to a primary function within the qualification.

Endorsed assessment plan

A candidate assessment plan which has been counter-signed and approved by a recognised assessor. The endorsement can relate to both the initial agreed plan and to all/any subsequent modifications to the plan in the light of progress and assessment activities. There should be a clear indication of how and why the original plan has been altered and a new set of agreed actions with timescale produced.

External audit and sampling

An agreed set of activities by which internal assessment decisions are monitored, and checked for intra-assessor and extra-assessor accuracy and consistency. It also includes the review of internal standardisation processes to ensure the quality of assessment decisions and the support provided to assessors and others. It is normally a formalised process defined by an awarding body recognised by the Regulatory Authorities or other appropriate agency. It will contain procedures for identifying the frequency, level and coverage of the sampling of assessment decisions within and between recognised centres.

Internal quality assurance and standardisation of assessment

An agreed set of activities by which internal assessment decisions by different assessors are monitored and reviewed. This includes specific arrangements for ensuring the selection of suitable assessors, their induction and training in relation to specific standards and their use of appropriate assessment methods which are valid in relation to the standards being assessed. It will also include specific arrangements for the standardisation of assessment decisions between different assessors and monitoring the consistency of a single assessor's judgements over time and with a number of candidates (if appropriate). The overall quality assurance system must be endorsed by the organisation and be acceptable to the body responsible for external quality assurance of the assessment process.

Professional discussion

A structured review of practice conducted between an assessor or verifier and a person making a judgement on their competence which identifies and explores key aspects of competence not readily manifested by product evidence. The specific areas of activity to be explored must be clearly identified and agreed in advance as must the methods by which the discussion will be conducted. This could be via a presentation followed by questioning, what if questioning to cover contingencies or the use of scenarios to explore practice (or other forms of mutually agreed processes). The evidence requirements clearly state which aspects of competence are to be covered by each professional discussion and these must form the basis of the exchange. The purpose of the discussion is to probe the level of competence of the individual and to be certain that their actions are based on a firm understanding of principles which support practice. Thus the questioning will normally centre on the reasons for selecting specific actions, the alternatives considered and the factors taken into consideration as well as an evaluation of successes and failures and learning points for the future. The outcomes of the professional discussion should be captured by means of audio/video-tape, written summaries and evidence of structured questioning (eg question checklist or structured interview schedule).

Progress reviews

Formal or semi-formal meetings between assessors and candidates to identify progress within an agreed action plan and achievements against an agreed assessment plan. They should identify areas of success and identify where additional learning and training opportunities are needed, and how they will be provided by whom and when. They also provide opportunities to identify the next stages in the assessment process and the re-development of an assessment plan for the completion of the qualification.

Sampling framework/strategy

The methods to be used by external verifiers to monitor the quality of assessment decisions and internal quality assurance within a recognised centre using agreed procedures set down by an external awarding body. It will provide details of the level, nature and frequency of external reviews of assessment decision, by assessor, by type of evidence, by numbers of candidates and by type of centre depending upon the requirements of the qualification. It will meet the requirements for sampling imposed by appropriate external agencies and the specific monitoring regimes set down by a recognised awarding body.

Systems documentation

Those documents used by an assessment centre for recording all appropriate assessment decisions and internal quality assurance auditing processes. This will include records of candidates, their action plans, their assessment plans and the outcomes of progress reviews. It will also include details of assessor selection, induction, standardisation and support as well as the written outcomes of internal quality auditing and reviews. The documents used within the system can be designed by the recognised assessment centre or be those required and produced by recognised awarding bodies.

UNIT V1 CONDUCT INTERNAL QUALITY ASSURANCE OF THE ASSESSMENT PROCESS

UNIT OVERVIEW

This unit is appropriate for you if your role involves:

- evaluating the internal assessment process
- monitoring and reviewing internal assessment audit systems
- carrying out related internal verification or moderation activities

The activities you are likely to be involved in:

- ensuring health, safety and environmental protection procedures are applied within assessment arrangements
- applying and monitoring equal opportunities and access procedures throughout all assessment procedures
- monitoring the performance of assessors
- supporting assessors to develop their skills
- monitoring and supporting the people and organisations who provide administrative support to the assessment process
- monitoring and making recommendations on the resources needed to evaluate the assessment process
- ensuring an appropriate balance of candidates to assessors
- monitoring and reporting on the achievement rates of candidates
- monitoring the progress and satisfaction of candidates
- meeting the assessment requirements of awarding bodies and other external agencies

What the unit covers:

- 1 carrying out and evaluating internal assessment and quality assurance systems
- 2 supporting assessors
- 3 monitoring the quality of assessors' performance
- 4 meeting external quality assurance requirements

Preferred methods of assessment for this unit:

The minimum evidence you need to provide for this unit is listed in the Evidence requirements section. Evidence will be assessed using one or more of the following assessment methods:

- observation
- examination of evidence
- questioning
- professional discussion.

For example, you could agree with your assessor to use a professional discussion to demonstrate how you have developed induction materials for new assessors rather than asking you to create a written report.

UNIT V1 CONDUCT INTERNAL QUALITY ASSURANCE OF THE ASSESSMENT PROCESS

Element V1.1

Carry out and evaluate internal assessment and quality assurance systems



Performance criteria

You must be able to do the following:

- a) put your organisation's requirements into practice for auditing internal assessments and those of the external awarding body
- b) identify the outcomes needed by the agreed standards and their consequences for internal auditing
- c) carry out appropriate administrative and recording arrangements to meet external audit requirements
- d) identify and ensure the agreed criteria for choosing and supporting assessors are applied.
- e) carry out assessment standardisation arrangements
- f) ensure a procedure for complaints and appeals is in place, which meets the requirements of the awarding body - and that it is followed when necessary
- g) identify and use internal and external measures of performance to adjust internal systems
- h) make recommendations to improve internal quality assurance arrangements and develop a plan to put these improvements into practice

Element V1.2

Support assessors



Performance criteria

You must be able to do the following:

- a) ensure assessors have appropriate technical and vocational experience
- b) ensure assessors are familiar with and can carry out the specific assessment and follow the recording and internal audit procedures
- c) identify the development needs of assessors in line with:
 - ◇ principles of assessment
 - ◇ the needs of candidates
 - ◇ their technical expertise and competence
- d) give assessors the chance to develop their assessment experience and competence; and monitor their progress
- e) ensure assessors have regular opportunities to standardise assessment decisions
- f) monitor how assessors are capable of maintaining standards

UNIT V1 CONDUCT INTERNAL QUALITY ASSURANCE OF THE ASSESSMENT PROCESS

Element V1.3

Monitor the quality of assessors' performance



Performance criteria

You must be able to do the following:

- a) ensure that individual assessors are preparing for and planning assessments effectively
- b) ensure that individual assessors have effective processes for making assessment decisions
- c) ensure that individual assessors understand the necessary outcomes
- d) ensure that individual assessors apply safe, fair, valid and reliable methods of assessing candidates' competence
- e) check individual assessor's judgements to ensure they are consistent over time and with different candidates, including watching them carry out assessments
- f) check a sufficient number of assessors to ensure consistency between assessors over time and with different candidates
- g) check different assessment sites to ensure assessment decisions are consistent
- h) ensure that assessors set up and maintain effective working relationships with candidates at all stages of the assessment process
- i) ensure assessors apply relevant health, safety and environmental protection procedures, as well as equality and access criteria
- j) monitor how often assessment reviews take place and how effective these are
- k) monitor how often assessors give feedback to candidates and how effective this is
- l) monitor how accurate and secure assessors' record-keeping is
- m) give assessors accurate and helpful feedback on their assessment decisions

UNIT V1 CONDUCT INTERNAL QUALITY ASSURANCE OF THE ASSESSMENT PROCESS

Element V1.4

Meet external quality assurance requirements



Performance criteria

You must be able to do the following:

- a) identify how internal assessments will be checked externally and the information needed for this purpose
- b) plan, collect and analyse information on internal assessment decisions
- c) agree the timing and nature of external assessment audit arrangements
- d) give supporting background information to external auditors about the assessment process
- e) explain any issues raised by external auditors and give them supporting information as necessary
- f) raise concerns and disagreements about external audit decisions in a clear and constructive way
- g) refer any questions or concerns, which could not be dealt with internally, to the awarding body
- h) give assessors feedback on external audit decisions
- i) ensure that external auditing decisions are included in internal reviews of procedures

UNIT V1 CONDUCT INTERNAL QUALITY ASSURANCE OF THE ASSESSMENT PROCESS



Evidence requirements

To achieve this unit you must provide evidence to convince your assessor that you consistently meet all the performance criteria and all the knowledge requirements.

Your evidence must be the result of real work activities undertaken by yourself. Evidence from simulated activities is not acceptable for this unit.

This unit covers the internal quality assurance system for assessment decisions. This system will meet the external requirements of the relevant awarding body, the accrediting bodies and internal procedures. These procedures may be ones that are already in place or ones that have been developed specifically to meet assessment requirements. This unit also involves monitoring assessors' decisions and the support they need, including sampling and standardisation arrangements. You will have to watch assessors at certain periods of the assessment process. You may not have to choose assessors as this may be the decision of others.

You will have to provide assessment information on particular sets of standards and give clear feedback on performance by using internal and external quality assurance processes. There must be evidence of having procedures in place for appeals and complaints within the local assessment centre, which meet external requirements.

The minimum evidence you need for this unit is shown on the following pages:

UNIT V1 CONDUCT INTERNAL QUALITY ASSURANCE OF THE ASSESSMENT PROCESS

Evidence requirements (continued)

	<p>The documents that comprise the assessment information and support materials provided to assessors in relation to the same qualification and an explanation of how assessors are supported in their use.</p> <p>One induction pack for the induction programme used within the centre to ensure that assessors can operate the specific assessment and recording requirements for at least one national award.</p> <p>One record of assessor standardisation meetings and activities for at least 2 assessors which covers the same qualification over the complete assessment period up to and including final assessment of candidates which indicate how assessors are consistent and operate to a common standard.</p>
<p>Professional discussion.</p>	<p>One record of a professional discussion on how the standardisation arrangements ensure consistency between assessors over time and across candidates.</p>
<p>PLUS</p>	
<p>Examination of evidence.</p>	<p>Personal development plans for at least 2 assessors which identifies their training and development needs in relation to the conduct of assessments.</p>
<p>PLUS</p>	
<p>Examination of evidence.</p>	<p>One action list showing actions taken by the internal verifier to address the identified needs of assessors in conjunction with others (such as programme co-ordinators) as appropriate.</p>
<p>PLUS</p>	
<p>Two observations.</p>	<p>Observation of at least 2 assessors on 2 occasions each conducting the assessment process with differing candidates, including providing feedback to candidates with a written record of the process.</p>
<p>PLUS</p>	
<p>One observation.</p>	<p>One observation by the external verifier of the internal verifier monitoring the performance of one assessor. It would be acceptable for this observation to be conducted by qualified second internal verifier instead of the external verifier provided this was supported by a written report.</p>

UNIT V1 CONDUCT INTERNAL QUALITY ASSURANCE OF THE ASSESSMENT PROCESS



Evidence requirements (continued)

<p>Examination of evidence.</p>	<p>One sampling framework supported by appropriate reports from at least one external verifier for a national award which verifies that assessor support arrangements are satisfactory and is applied to at least 2 assessors which details:</p> <ul style="list-style-type: none">• checks to ensure that assessors have all the necessary information and materials needed to make assessment decisions• when and how the assessor will be monitored making assessment decisions, including interim sampling arrangements and how feedback will be given to the assessor on performance• how the full range of agreed assessment methods will be sampled and recorded• how sampling arrangements will be varied to reflect the numbers and experience of different assessors• how sampling arrangements will take account of candidate experience of the process• how the assessor/candidate relationship will be monitored• how equality and access procedures are being followed by assessors• the accuracy, completeness and promptness of assessor record keeping• how and when assessors will be provided with timely feedback on their performance and any actions they need to take to improve performance.
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UNIT V1 CONDUCT INTERNAL QUALITY ASSURANCE OF THE ASSESSMENT PROCESS



Knowledge requirements

You need the following knowledge to perform this Unit of Competence. You will show this through the outcome of your work activities and through evaluations of your systems and processes.

You need to be able to show that you have general knowledge and understanding of the following:

The nature and role of internal quality assurance of assessments

- 1 how to monitor and review how candidate competence is assessed and recorded
- 2 how to ensure that individual assessors are consistent and accurate in their assessment judgements over time and with different candidates
- 3 how to ensure that assessment decisions between assessors are monitored so that assessment standards are applied consistently
- 4 how to set up effective systems for reviewing assessment decisions and the progress of candidates
- 5 how to create and apply complaints and appeals procedures in line with the requirements of awarding bodies
- 6 how to monitor equality and access to assessments and practices that do not discriminate
- 7 how to choose appropriate administrative arrangements to support internal assessment audits
- 8 how to give roles and responsibilities to the people involved in the internal audit process
- 9 how to set and apply clear and effective criteria for choosing assessors
- 10 how to choose and use appropriate internal assessment evaluation methods in line with your organisation's requirements and procedures
- 11 how to use assessment decisions as a way of evaluating internal audit arrangements

Principles and concepts

- 12 how to use different ways of collecting evidence and how to choose appropriate and efficient methods of doing this
- 13 how to choose different ways of presenting evidence for assessment
- 14 how to ensure that candidates' past experience and achievements can be recognised during their assessment
- 15 how to ensure candidates' knowledge and performance is assessed
- 16 how to adapt assessment procedures to meet individual needs
- 17 how to identify the difficulties you may have in making safe, fair, valid and reliable judgements of evidence
- 18 how to identify the personal characteristics good assessors need and how to measure them
- 19 how to evaluate assessors' technical competence against the agreed standards and assessment procedures
- 20 how to identify assessment principles and make these clear to assessors

UNIT V1 CONDUCT INTERNAL QUALITY ASSURANCE OF THE ASSESSMENT PROCESS



Knowledge requirements (continued)

- 21 how to identify appropriate standardisation procedures which will help assessors make effective decisions
- 22 how to ensure that enough resources are available to meet the needs of assessors
- 23 how to ensure assessors keep up to date with assessment practices and procedures
- 24 how to give constructive feedback and support to assessors
- 25 how to identify the development needs of assessors and where they can find the support they need
- 26 how to identify and present concerns about external audit decisions in a constructive way
- 27 how to give effective feedback to candidates and assessors on the external audit decisions
- 28 how to use external audit information in a constructive way to improve internal systems
- 29 how to identify where and how changes to internal assessment audit arrangements can and should be made

External factors influencing internal quality assurance

- 30 how to give candidates access to valid and reliable assessments in line with relevant legislation
- 31 how to identify and apply the requirements of examining and awarding bodies
- 32 how to ensure that internal systems meet the monitoring and inspection requirements of external agencies
- 33 how to identify and plan for issues of confidentiality and data protection during the assessment process
- 34 how to develop a sampling system which ensures that the audit process meets the needs of the awarding body
- 35 how to apply relevant health, safety and environmental protection and equal opportunities policies
- 36 how to plan for the requirements, order and timing of external auditing
- 37 how to choose and set up appropriate administrative arrangements to meet external auditing requirements
- 38 how to identify the extra information external auditors are likely to need and how best to provide it
- 39 how to identify and evaluate external factors that influence changes in your own area of competence
- 40 how to identify appropriate sources of support for your own development

RECORDING DOCUMENTS

The following recording documents are included in this scheme book/CAR:

- evidence record sheets
- knowledge evidence record sheet
- evidence summary record
- witness list

Evidence record sheet (Candidates need one for each element)

These forms (or a suitable alternative) are mandatory for candidates' CARs. They are the vehicle for linking evidence to the performance criteria. The evidence for the element should be listed (as it is collected) down the left-hand side. The assessment method should be indicated (see the key at the bottom of the page) and then a tick should be placed in the boxes where the evidence shows that the requirements of the element have been met. If the piece of evidence has been independently assessed please add (I) after the evidence title. The evidence record sheets, where possible, should be filled in by the candidate with the help of an assessor if necessary.

Knowledge evidence record sheet (Candidates need one for the unit)

This form (or a suitable alternative) is mandatory for candidates' CARs. It is the vehicle for linking evidence to the knowledge requirements. The evidence for the unit should be listed (as it is collected) down the left-hand side. The assessment method should be indicated (see the key at the bottom of the page) and then the relevant items of knowledge that the candidate is claiming should be written in the final column. If the piece of evidence has been independently assessed please add (I) after the evidence title. The knowledge evidence record sheet, where possible, should be filled in by the candidate with the help of an assessor if necessary.

Evidence summary record

This form is designed to list all of the assessed evidence, indicating its reference code and where it can be found. If the piece of evidence has been independently assessed please add (I) after the evidence title. It allows the candidate and assessor to see at a glance where to find each piece of evidence.

Witness list

This form is designed to hold all the necessary information about witnesses who have contributed to a candidate's evidence of competence. The use of this form is optional.

Completed examples and master copies of all these forms are provided on the following pages.


OCR Level 4 Award in Conducting Internal Quality Assurance of the Assessment Process

Evidence Record Sheet

I confirm that the evidence provided is a result of my own work.

Element V1.1 Carry out and evaluate internal assessment and quality assurance systems

Signature of candidate: _____ Date: _____

Evidence reference or location	Evidence title	Assessment method	 Performance criteria							
			a	b	c	d	e	f	g	h

Assessment method key: O = observation of candidate; EP = examination of product; EWT = examination of witness testimony; ECH = examination of case history; EPS = examination of personal statement; EWA = examination of written answers to questions; QC = questioning of candidate; QW = questioning of witness; PD = professional discussion

If the piece of evidence has been independently assessed please add (I) after the evidence title

(Please photocopy this sheet for recording further evidence)

I confirm that the candidate has demonstrated competence by satisfying all of the performance criteria for this element.

Signature of assessor: _____ Date: _____

IV initials (if sampled): _____ Date: _____


OCR Level 4 Award in Conducting Internal Quality Assurance of the Assessment Process

Evidence Record Sheet

I confirm that the evidence provided is a result of my own work.

Element V1.2 Support assessors

Signature of candidate: _____ Date: _____

Evidence reference or location	Evidence title	Assessment method	 Performance criteria					
			a	b	c	d	e	f

Assessment method key: O = observation of candidate; EP = examination of product; EWT = examination of witness testimony; ECH = examination of case history; EPS = examination of personal statement; EWA = examination of written answers to questions; QC = questioning of candidate; QW = questioning of witness; PD = professional discussion

If the piece of evidence has been independently assessed please add (I) after the evidence title

(Please photocopy this sheet for recording further evidence)

I confirm that the candidate has demonstrated competence by satisfying all of the performance criteria for this element.

Signature of assessor: _____ Date: _____

IV initials (if sampled): _____ Date: _____

OCR Level 4 Award in Conducting Internal Quality Assurance of the Assessment Process

Evidence Record Sheet

I confirm that the evidence provided is a result of my own work.

Element V1.3 Monitor the quality of assessors' performance Signature of candidate: _____ Date: _____

Evidence reference or location	Evidence title	Assessment method	<input type="checkbox"/> Performance criteria													
			a	b	c	d	e	f	g	h	i	j	k	l	m	

Assessment method key: O = observation of candidate; EP = examination of product; EWT = examination of witness testimony; ECH = examination of case history; EPS = examination of personal statement; EWA = examination of written answers to questions; QC = questioning of candidate; QW = questioning of witness; PD = professional discussion

If the piece of evidence has been independently assessed please add (I) after the evidence title

(Please photocopy this sheet for recording further evidence)

I confirm that the candidate has demonstrated competence by satisfying all of the performance criteria for this element.

Signature of assessor: _____ Date: _____

IV initials (if sampled): _____ Date: _____

OCR Level 4 Award in Conducting Internal Quality Assurance of the Assessment Process

Evidence Record Sheet

I confirm that the evidence provided is a result of my own work.

Element V1.4 Meet external quality assurance requirements Signature of candidate: _____ Date: _____

Evidence reference or location	Evidence title	Assessment method	<input type="checkbox"/> Performance criteria								
			a	b	c	d	e	f	g	h	i

Assessment method key: O = observation of candidate; EP = examination of product; EWT = examination of witness testimony; ECH = examination of case history; EPS = examination of personal statement; EWA = examination of written answers to questions; QC = questioning of candidate; QW = questioning of witness; PD = professional discussion

If the piece of evidence has been independently assessed please add (I) after the evidence title

(Please photocopy this sheet for recording further evidence)

I confirm that the candidate has demonstrated competence by satisfying all of the performance criteria for this element.

Signature of assessor: _____ Date: _____

IV initials (if sampled): _____ Date: _____

OCR Level 4 Award in Conducting Internal Quality Assurance of the Assessment Process

Knowledge Evidence Record Sheet

I confirm that the evidence provided is a result of my own work.

Unit V1 Conduct internal quality assurance of the assessment process

Signature of candidate: _____ Date: _____

Evidence reference or location	Evidence title	Assessment method	<input type="checkbox"/> Knowledge requirements

Assessment method key: O = observation of candidate; EP = examination of product; EWT = examination of witness testimony; ECH = examination of case history; EPS = examination of personal statement; EWA = examination of written answers to questions; QC = questioning of candidate; QW = questioning of witness; PD = professional discussion

If the piece of evidence has been independently assessed please add (I) after the evidence title.

(Please photocopy this sheet for recording further evidence)

I confirm that the candidate has demonstrated competence by satisfying all of the knowledge requirements for this unit.

Signature of assessor: _____ Date: _____

IV initials (if sampled): _____ Date: _____

OCR LEVEL 4 AWARD IN CONDUCTING INTERNAL QUALITY ASSURANCE OF THE ASSESSMENT PROCESS



Evidence Summary Record

Candidate: _____ Assessor: _____

Internal Verifier: _____

Evidence reference	Evidence title and description	Location if not included in portfolio of evidence

If the piece of evidence has been independently assessed please add (I) after the evidence title.

OCR LEVEL 4 AWARD IN CONDUCTING INTERNAL QUALITY ASSURANCE OF THE ASSESSMENT PROCESS

Witness List

Candidate name: _____ Candidate signature: _____

Evidence reference	Witness name (including contact address and telephone number and witness signature)	Witness status
	Signature of witness: _____ Date: _____	
	Signature of witness: _____ Date: _____	
	Signature of witness: _____ Date: _____	
	Signature of witness: _____ Date: _____	
	Signature of witness: _____ Date: _____	
Status of witness:	<ul style="list-style-type: none"> A - An assessor, occupationally competent (but not responsible for the assessment of the candidate) B - An assessor who is not occupationally competent C - Not an assessor, but occupationally competent and familiar with the standards (eg line manager, colleague) D - Not an assessor, but occupationally competent and not familiar with the standards (eg supplier) E - Not an assessor, not occupationally competent and not familiar with the standards (eg customer) 	