



QUALIFICATION HANDBOOK

**SVQ in Occupational Health and Safety
at SCQF Level 7 GR5L 47**

**SVQ in Occupational Health and Safety Practice
at SCQF Level 9 GR65 49**

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1. Introduction

1.1 These qualifications have been developed to seek to ensure that those with some responsibility for occupational health and safety / those working as health and safety officers meet minimum requirements of technical competence and health and safety in their area of work.

1.2 These requirements have been specified in the National Occupational Standards (NOS) developed by the Sector Skills Council/ Standard Setting Body NSAFD in liaison with employers and industry/ sector representatives. These qualifications are based upon those NOS and incorporate the Qualification Structures approved by SQA Accreditation.

1.3 Successful completion of these qualifications will allow candidates to show they have sufficient knowledge, understanding and skills to demonstrate competence in occupational health and safety practice.

1.4 This Handbook provides the information required to assist approved centres in delivering the qualifications and preparing candidates for assessment. This includes some template forms that may be used / adapted by centres. Note that you are able to create your own, or use existing forms for this purpose. Alternatively, QFI makes its E-Portfolio system available to its approved centres.

This document should be read in conjunction with QFI's policies and the Centre Handbook.

2. Qualification objective(s)

2.1 The qualifications are suitable for apprentices / those already in employment that wish to further develop their knowledge and skills of occupational health and safety practice.

2.2 In order to do this, the qualifications cover technical and health and safety standards, and support roles relating to occupational health and safety practice.

3. Progression

3.1 These qualifications are primarily designed to allow candidates to progress to employment in roles relating to occupational health and safety practice. These roles may be in addition to other roles in their area of work. Successful completion may therefore lead to additional employment opportunities relating to occupational health and safety practice.

3.2 Candidates achieving these qualifications may also wish to progress to higher level qualifications aimed at supervisory/ management roles.

4. Entry requirements

4.1 Candidates must be at least 18 years of age to be able to undertake these qualifications.

4.2 There are no other specific entry requirements, though the National Careers Service does recommend physical fitness.

4.4 Candidates taking these qualifications must be made fully aware of what this entails. Centres must be satisfied that candidates have the experience and skills and will have sufficient assessment opportunities within their job role to provide evidence of competence qualification. Where this may not be the immediate case, candidates should check with their employer whether they are able to go out with departmental or immediate job role boundaries to gain the necessary assessment opportunities.

4.5 A sample induction checklist is included at Appendix 1.

5. Qualification structures

SVQ in Occupational Health and Safety at SCQF Level 7

Qualification Structure and SCQF Credit Rating							
Qualification Title	SVQ Occupational Health and Safety at SCQF Level 7						
Qualification Developer	NSAFD	Awarding Body					
Date Structure ACG Approved	29/01/2020	Group Award Code					
Structure Version Number	1	Date Accredited From					
SCQF Overall Level	7	Accreditation End Date					
SCQF Overall Credit	Min = 39 Max = 48	Certification End Date					
Credit Rating Body	SQA Accreditation						
Structure Information (Learners must complete all mandatory units and 2 optional units)							
Accred Code	Developer Code	Mandatory/ Optional/ Additional Unit	Unit Title	SCQF Level	SCQF Credit	Date of SCQF Approval	Imported From (Developer Name)
	PROHSS1	Mandatory	Make sure your own actions reduce risks to health and safety	5	8	29/01/2020	
	PROHSS3	Mandatory	Control work operations safely	7	9	29/01/2020	
	PROHSP2	Mandatory	Promote a positive health and safety culture	7	4	29/01/2020	
	PROHSS6	Mandatory	Conduct health and safety risk assessments of a workplace	7	8	29/01/2020	
Learners must complete two optional units							
	PROHSS2	Optional	Develop procedures to safely control work operations	7	10	29/01/2020	
	PROHSS5	Optional	Investigate and evaluate health and safety incidents and complaints at work	7	8	29/01/2020	
	PROHSS8	Optional	Review health and safety procedures at workplaces other than your own	6	7	29/01/2020	
	PROHSS9	Optional	Supervise health, safety and welfare of individuals at work	6	6	29/01/2020	
	PROHSP14	Optional	Develop, implement and monitor behavioural safety in the workplace	6	7	29/01/2020	
	PROHSP15	Optional	Manage contractors to ensure compliance with health and safety	8	9	29/01/2020	
	PROHSP16	Optional	Develop and implement health and safety induction processes	7	9	29/01/2020	
	CFAM&LEB4	Optional	Manage the environmental and social impacts of your work	8	4	25/02/2013	Skills CFA

SVQ in Occupational Health and Safety Practice at SCQF Level 9

Qualification Structure and SCQF Credit Rating							
Qualification Title	SVQ Occupational Health and Safety Practice at SCQF Level 9						
Qualification Developer	NSAFD	Awarding Body					
Date Structure ACG Approved	29/01/2020	Group Award Code					
Structure Version Number	1	Date Accredited From					
SCQF Overall Level	9	Accreditation End Date					
SCQF Overall Credit	Min = 97 Max = 106	Certification End Date					
Credit Rating Body	SQA Accreditation						
Structure Information (Learners must complete all mandatory units and 2 optional units)							
Accred Code	Developer Code	Mandatory/ Optional/ Additional Unit	Unit Title	SCQF Level	SCQF Credit	Date of SCQF Approval	Imported From (Developer Name)
	PROHSP2	Mandatory	Promote a positive health and safety culture	7	4	29/01/2020	
	PROHSP4	Mandatory	Develop and implement effective communication systems for health and safety information	9	8	29/01/2020	
	PROHSP5	Mandatory	Develop and maintain individual and organisational competence in health and safety matters	9	10	29/01/2020	
	PROHSP6	Mandatory	Control health and safety risks	10	18	29/01/2020	
	PROHSP7	Mandatory	Develop, implement and review proactive monitoring systems for health and safety	9	10	29/01/2020	
	PROHSP8	Mandatory	Develop, implement and review reactive monitoring systems for health and safety	10	15	29/01/2020	
	PROHSP11	Mandatory	Develop and implement health and safety review systems	9	8	29/01/2020	
	PROHSP14	Mandatory	Develop, implement and monitor behavioural safety in the workplace	6	7	29/01/2020	
Learners must complete two optional units							
	PROHSP15	Optional	Manage contractors to ensure compliance with health and safety	8	9	29/01/2020	
	PROHSP16	Optional	Develop and implement health and safety induction processes	7	9	29/01/2020	
	PROHSP13	Optional	Influence and keep pace with improvements in health and safety practice	9	8	29/01/2020	
	PROHSP3	Optional	Develop and implement the health and safety policy	9	14	29/01/2020	
	PROHSP10	Optional	Develop and implement health and safety emergency response systems and procedures	9	12	29/01/2020	

All current units can be found on the database of National Occupational Standards (NOS)
<https://www.ukstandards.org.uk/>

6. Assessment

6.1 Roles and responsibilities

There are a number of people involved in the assessment process and the role of each needs to be clearly understood by each.

- Candidates – must familiarise themselves with the content of the units that they are taking and how these are to be assessed. They should co-operate with the assessment process, looking for opportunities to evidence the elements and gathering evidence where this arises. Candidates must take on board feedback from their assessor and work with their assessor to develop realistic plans for assessment. An Assessment Plan and Review template is included at Appendix 3.
- Assessors - must familiarise themselves with the content of the units that they are assessing and how these are to be assessed. They must assist candidates in identifying assessment opportunities, gathering, and presenting evidence. Assessors must assess all elements and record these assessments. Templates for recording elements, and for unit achievement, are at Appendix 4. Assessors must feedback and work with candidates to identify any gaps and develop realistic plans for assessment. They must also work with the Internal Verifier and External Verifier to ensure a common standard of assessment.
- Internal Verifiers – sometimes known as Internal Quality Assurers (IQAs), their role is to ensure that the assessment process is appropriate, consistent, fair and transparent; that assessors receive on-going support and that they are assessing to a common standard; and that awards are valid, reliable and consistent. IVs must develop a strategy that includes standardisation activities such as reviewing samples of evidence from each assessor, and countersigning the decisions of unqualified assessors.
- External Verifiers - sometimes known as External Quality Assurers (EQAs), are appointed by QFI and are independent of the centre. Their role is to check that internal processes are in place to ensure robust, consistent assessment. This includes sampling assessment evidence.

6.2 SCQF level 7 descriptors

This qualification is pitched at SCQF level 7. The following are descriptions of what a candidate should be able to do or demonstrate at SCQF level 7. These are for guidance only – it is not expected that every point will be covered.

Knowledge and understanding

Demonstrate and/or work with: An overall appreciation of the body of knowledge that constitutes a subject/discipline/sector; Knowledge that is embedded in the main theories, concepts and principles of the subject/discipline/sector; An awareness of the dynamic nature of knowledge and understanding; An understanding of the difference between explanations based on evidence and/or research and other sources, and of the importance of this difference.

Practice: Applied knowledge, skills and understanding

Apply knowledge, skills and understanding: In practical contexts; In using some of the basic and routine professional skills, techniques, practices and/or materials associated with the subject/discipline/sector; To practise these in both routine and non-routine contexts.

Generic cognitive skills

Present and evaluate arguments, information and ideas that are routine to a subject/discipline/sector; Use a range of approaches to address defined and/or routine problems and issues within familiar contexts.

Communication, IT and numeracy skills

Use a wide range of routine skills and some advanced skills associated with a subject/discipline/sector, for example: Convey complex ideas in well-structured and coherent form; Use a range of forms of communication effectively in both familiar and unfamiliar contexts; Select and use standard ICT applications to process and obtain a variety of information and data; Use a range of numerical and graphical skills in combination; Use numerical and graphical data to measure progress and achieve goals/targets.

Autonomy, accountability and working with others

Exercise some initiative and independence in carrying out defined activities at a professional level in practice or in a subject/discipline/sector: Accept supervision in less familiar areas of work; Exercise some managerial or supervisory responsibility for the work of others within a defined and supervised structure; Manage limited resources within defined areas of work; Take the lead in implementing agreed plans in familiar or defined contexts; Take account of own and others' roles and responsibilities when carrying out and evaluating tasks; Work, under guidance, with others to acquire an understanding of current professional practice.

6.3 SCQF level 9 descriptors

This qualification is pitched at SCQF level 9. The following are descriptions of what a candidate should be able to do or demonstrate at SCQF level 9. These are for guidance only – it is not expected that every point will be covered.

Knowledge and understanding

Demonstrate and/or work with: An understanding of the scope and defining features of a subject/discipline/sector, and an integrated knowledge of its main areas and boundaries; A critical understanding of a range of the principles, principal theories, concepts and terminology of the subject/discipline/sector; Knowledge of one or more specialisms that is informed by forefront developments.

Applied knowledge, skills and understanding

Apply knowledge, skills and understanding: In using a range of the principal professional skills, techniques, practices and/or materials associated with the subject/discipline/sector; In using a few skills, techniques, practices and/or materials that are specialised and/or advanced; In practising routine methods of enquiry and/or research; To practise in a range of professional level contexts that include a degree of unpredictability.

Generic cognitive skills

Undertake critical analysis, evaluation and/or synthesis of ideas, concepts, information and issues in a subject/discipline/sector; Identify and analyse routine professional problems and issues; Draw on a range of sources in making judgements.

Communication, IT and numeracy skills

Use a wide range of routine skills and some advanced and specialised skills in support of established practices in a subject/discipline/sector, for example: Present or convey, formally and informally, information on standard/mainstream topics in the subject/discipline/sector to a range of audiences; Use a range of ICT applications to support and enhance work; Interpret, use and evaluate numerical and graphical data to achieve goals/targets.

Autonomy, accountability and working with others

Exercise autonomy and initiative in some activities at a professional level in practice or in a subject/discipline/sector; Exercise managerial responsibility for the work of others and for a range of resources; Practise in ways that show awareness of own and others' roles and responsibilities; Work, under guidance, with specialist practitioners; Seeking guidance where appropriate, manage ethical and professional issues in accordance with current professional and/or ethical codes or practices.

6.4 The assessment process

Assessment for this qualification, and for individual units that comprise the qualification, must take place in accordance with NSFAD's Assessment Strategy.

This document translates the requirements of the assessment strategy and gives guidance to ensure that centres meet these.

Centres delivering the qualification must ensure that assessors and Internal Verifiers are aware of the assessment strategy and how to access this. External Verifiers may check this requirement during monitoring visits to centres.

Assessment involves the following key stages: planning; producing evidence; assessing evidence; recording. Each of these is considered in more detail below.

6.4.1 Planning

The assessor must create an Assessment Plan with each candidate that he/ she will be assessing. The Assessment Plan will need to be reviewed as the candidate progresses through the units. A template for assessment planning and review is at Appendix 3 of this document.

A wide range of assessment methods exist that can be used to assess knowledge and skills. Methods of assessment that are commonly used for assessing competence based qualifications such as N/SVQs include the following:

- Product evidence – this relates to the outcome of the candidate's work, and the actual product that is generated as a result of their work.
- Direct observation – where an assessor (or credible witness) will directly observe the candidate undertaking certain tasks/ creating products that occur as part of their role. Observations must be referenced to the elements covered
- Question/ answer – these will often supplement the methods above, for example the assessor may ask the candidate a number of questions whilst they are undertaking a task. Questioning is a useful way to establish knowledge and to generate evidence of this
- Witness testimony – credible witnesses may be identified who can for example testify that the candidate can successfully undertake certain tasks
- Personal statement – declaration made by the candidate that should be referenced to elements

Centres should ensure that their Assessors use the methods above to assess candidates for this qualification.

Template assessment documents including an Assessor Report can be found at Appendix 3.

6.4.2 Producing evidence

The majority of evidence should come from direct observations of competence in the real workplace. Other types of acceptable evidence include, but are not limited to:

- Witness Testimony
- Logs/Diaries kept by candidates
- Recorded answers to questions posed by the Assessor

- Recorded/Transcribed Interviews with the Candidate
- Recorded use of up-to-date commercial/industrial equipment
- E-portfolios and other forms of digital media
- Works documentation attributable to the candidate
- Both interim and final internal verification.

The methods of assessment must generate evidence to demonstrate the candidates' competence. Templates that may be used for recording evidence are at Appendix 3.

Feedback should be given to the candidate on an on-going basis and where there are any gaps or shortfalls in evidence then these should be incorporated into their Assessment Plan.

Assessment must meet the requirements of the performance criteria, knowledge and understanding documented for each unit of assessment. Methods of assessment must ensure coverage of all elements, scope and range, and generate sufficient evidence to demonstrate competence. A holistic approach towards the collection of evidence is encouraged. The focus should be on assessing activities generated by the whole work experience rather than focusing on specific tasks. This would show how evidence requirements could be met across the qualification to make the most efficient use of evidence.

- Evidence may be produced through simulation solely in exceptional circumstances. The exceptional circumstances, under which simulation is possible, are those situations that are not naturally or readily occurring, such as response to emergencies.
- Simulation must be undertaken in a 'realistic working environment' (RWE). A RWE is "an environment which replicates the key characteristics in which the skill to be assessed is normally employed". The RWE must provide conditions the same as the normal day-to-day working environment, with a similar range of demands, pressures and requirements for cost-effective working.

Realistic Working Environment

It is essential that organisations wishing to operate a RWE operate in an environment which reflects a real work setting. This will ensure that any competence achieved in this way will be sustained in real employment.

To undertake the assessment in a RWE the following guidelines must be met:

- RWE is managed as a real work situation.
- Assessment must be carried out under realistic business pressures.
- All services that are carried out should be completed in a way, and to a timescale, that is acceptable in business organisations.
- Learners must be expected to achieve a volume of work comparable to normal business practices.
- The range of services, products, tools, materials and equipment that the learners use must be up to date and available.
- Account must be taken of any legislation or regulations in relation to the type of work that is being carried out.
- Learners must be given workplace responsibilities to enable them to meet the requirements of the units.
- Customer perceptions of the RWE is similar to that found in the work situation being represented.
- Learners must show that their productivity reflects those found in the work situation being represented.

6.4.2 Assessing evidence

Evidence must be assessed against the units/ elements to establish whether the candidate is competent with regards to their performance and knowledge. In order to achieve the qualification candidates must achieve a 'pass'. The evidence must show that the candidate consistently (i.e. on more than one occasion) meets all of the elements across the scope/range of each unit.

If there is insufficient evidence to make this judgement then plans must be made as to how the candidate can produce further evidence in order to demonstrate competence.

Assessors must check that the evidence produced is sufficient in volume, relevant and current. They must also be confident that the evidence has been generated by the candidate. Assessors and candidates normally sign documentation to declare that the evidence produced is that of the candidate and no other.

6.4.3 Recording evidence

Evidence (or reference to where certain evidence is located) is normally kept in a portfolio. This may be paper-based or electronic. All evidence contained within the portfolio must be clearly referenced to the units and elements. Candidates' progress must be monitored at regular meetings with the assessor.

therefore be tracked. Note that certain pieces of evidence can be recorded across more than a single element. Tracking is important to show where this is that case.

It is helpful to give each piece of evidence a number so that this can be mapped across elements. See the template forms at Appendix 4. Assessment decisions made against the evidence must also be recorded so that an IV or an EV can see these. All evidence must be kept for internal and external verification.

7. Assessors

7.1 The occupational competence of assessors is defined in NSAFD Assessment Strategy.

7.2 The roles and responsibilities of assessors is outlined in the section above. Assessors must competent to perform their role and either hold the qualifications needed to carry out assessment – or achieve within 18 months of commencing their role:

- D32 or D33
- A1
- Level 3 Award in Assessing Competence in the Work Environment
- Level 3 Award in Assessing Vocationally Related Achievement
- Level 3 Certificate in Assessing Vocational Achievement
- an appropriate Assessor qualification as identified by SQA Accreditation

Those holding older assessor awards must demonstrate that they are assessing to the current assessment standards.

Assessors must also:

- have a sound, in-depth knowledge of, and uphold the integrity of, the relevant NOS and Assessment Strategy to enable them to carry out assessment to the standards specified
- have the occupational competence before commencing their role so they have up to date experience, knowledge and understanding of the particular aspects of work they are assessing. This could include having achieved the award themselves; having substantial demonstrable experience in the job roles they are assessing; being in a day-to-day line management or quality assurance role with responsibility for the job roles they are assessing
- only assess in their acknowledged area of occupational competence
- maintain the currency of this for the duration of their role
- maintain evidence of CPD
- know QFI's requirements for recording assessment decisions and maintaining assessment records

7.3 Holders of A1 and D32/33 must assess to the current National Occupational Standards (NOS) for Learning and Development.

7.4 Assessors must be registered with QFI. The **Centre Handbook** provides details.

7.5 The assessment decisions of unqualified assessors must be countersigned by the IV.

8. Internal verification

8.1 Centres' internal assessment processes and practices must be effective and support the integrity and consistency of the qualification. This is achieved through the internal quality assurance that is undertaken by the approved centre, and the external quality assurance that is undertaken by QFI. Centres must operate explicit, written internal quality assurance procedures to ensure:

- the accuracy and consistency of assessment decisions between assessors operating at the centre
- that assessors are consistent in their interpretation and application of the qualifications or unit(s) learning outcomes

8.2 Centres must appoint IVs who will be responsible for:

- regular sampling evidence of assessment decisions made by all assessors across all aspects of assessment for the qualification. Sampling must include direct observation of assessment practice
- maintaining up-to-date records of IV and sampling activity (what was evidence was sampled or assessors / IV observed where there is more than one) and ensuring that these are available for external quality assurance
- establishing procedures to ensure that all assessors interpret the learning outcomes in the same way
- monitoring and supporting the work of assessors
- facilitating appropriate staff development and training for assessors
- providing feedback to the EV on the effectiveness of assessment
- ensuring that any corrective action required by QFI is carried out within agreed timescales.

8.3 Centres must ensure that the decisions of unqualified IVs are checked, authenticated and countersigned by an IV who is appropriately qualified and occupationally expert. QFI will monitor a centre's compliance with these requirements through monitoring visits and certification claims.

8.4 The IV is also responsible and accountable for arranging the checking and countersigning process. IVs may verify only evidence that they did not assess themselves.

All Internal Verifiers must provide evidence of having verified:

- Evidence supporting any key units and evidence supporting at least one other unit from the award
OR
- The evidence supporting at least two distinct units for each award per annum As well as
- All evidence from all simulations/simulators
- Over time, an example of each unit the Assessor is qualified to assess
- Over time, an example of each assessment method used in the centre
- Evidence of internal verification.

Further guidance on internal quality assurance/verification is provided in the **Centre Handbook**. Appendix 5 of this document indicates suggested generic content for an IV strategy, and a template for sampling assessment evidence.

9. Internal verifiers

9.1 The occupational competence of IVs is defined in NSAFD Assessment Strategy.

9.2 The roles and responsibilities of IVs is outlined above. IVs must competent to perform their role and either hold the qualifications needed to carry out internal verification – or achieve within 18 months of commencing their role:

- D34
- V1
- Level 4 Award in the Internal Quality Assurance of the Assessment Process and Practice
- Level 4 Certificate in Leading the Internal Quality Assurance of Assessment Process and Practice
- an appropriate Internal Verifier qualification as identified by SQA Accreditation

It is strongly recommended that IVs also hold assessor qualifications (see section above).

9.3 IVs must demonstrate that they maintain CD to ensure that their verification and occupational skills are up to date.

9.4 Holders of V1/D34 must quality assure to the current National Occupational Standards (NOS) for Learning and Development.

9.5 IVs must be registered with QFI. The **Centre Handbook** provides details.

10. External verification

10.1 External verification of this qualification ensures that the requirements are met for NSAFD Assessment Strategy. External Verifiers must carry out regular risk assessments for each of the centres for which they have verification responsibilities. Where problems are identified through this procedure, the External Verifier will take further measures to ensure that the centre is performing to an acceptable level.

This could include, but should not be limited to

- Verifying a representative sample of candidates' work from each Assessor, covering all Assessors in the centre over an agreed period of time, including: evidence supporting any key units from the award; selected evidence supporting distinct units identified by the External Verifier in response to issues raised through risk assessment; All evidence from all simulations
- Verifying selected evidence of Internal Verification procedures identified by the External Verifier in response to issues raised through risk assessment
- Externally set banks of questions and answers that will test the presence of essential knowledge and understanding for selected candidates

10.2 Centre visits will normally take place on an annual basis, though these could be more frequent if deemed necessary as a result of QFI's risk assessments.

The **Centre Handbook** provides further details on external verification including to prepare for centre visits.

10.3 QFI's appointed External Verifiers meet the requirements of the assessment strategy. They are required to be experienced in the relevant sector; hold an appropriate External Verifier qualification; carry out their duties in accordance with the current NOS for Assessment and Verification and current guidance on best verification practice; maintain appropriate evidence of CPD to ensure their verification skills and occupational awareness are current (CPD); not work with any centre in which they have a personal or financial interest.

11. Certification

11.1 Note that there is a lapsing period of four years for these qualifications. This means that when the qualification expires, is withdrawn or replaced by a revised version, candidates registered have four years from the expiry date in which to complete the qualification. This will allow sufficient time for candidates to compete and allow for currency of evidence.

12. Equality and diversity

12.1 The qualifications must be assessed in English.

12.2 Assessment must be inclusive and where appropriate reasonable adjustments made to ensure equality of access in line with QFI's Equality and Diversity Policy. Full details are included in the QFI Centre Handbook.

12.3 Special consideration is not normally given for competence-based qualifications as it is necessary for candidates to demonstrate that they have the necessary skills and knowledge to achieve the qualification and operate safely in the workplace.

12.4 Equality data will be collected at the point of registration. This is for monitoring purposes only and will include age, gender, ethnicity, and disability.

13. Fees

13.1 The current fees for these qualifications, and for individual units, are included in the QFI Fees and Invoicing document. This document also details what is/ is not included in fees.

13.2 Fees may be broken down to a reasonable level upon request to QFI.



APPENDIX 1 - CANDIDATE TEMPLATE DOCUMENTS

Sample Form: Induction checklist

This document indicates what may be covered as part of a candidate's induction.
This list is not exhaustive.

	Tick
Qualification information: <ul style="list-style-type: none"> • Units • Structure • Summary of assessment • Awarding body 	<input type="checkbox"/>
Roles and responsibilities: <ul style="list-style-type: none"> • Candidate • Assessor • Internal Verifier • External Verifier 	<input type="checkbox"/>
Training and assessment process: <ul style="list-style-type: none"> • Planning • Collection of evidence (including methods) • Review of evidence • Feedback on evidence • Verification of evidence • Certification 	<input type="checkbox"/>
Policies: <ul style="list-style-type: none"> • Complaints • Appeals • Malpractice • Data protection • Health and safety • Equality (including reasonable adjustments/ additional support) 	<input type="checkbox"/>
Forms: <ul style="list-style-type: none"> • Enrolment • Other 	<input type="checkbox"/>
I confirm that I have received this induction and the associated documents: Candidate name: Candidate signature: Date:	





APPENDIX 2 - ASSESSMENT TEMPLATE DOCUMENTS

2A: Sample Form Assessment Plan and Review

Candidate name:

Employer/location:

Date:

Qualification:

Unit(s):

Elements:

Assessor:

Period of Review:

(should not normally exceed 12 weeks)

Proposed Date for next
review:

Part 1 – Activities / Tasks / Learning / Training undertaken since last review:

Part 2a – ‘Progress to date’ specifying units/elements/modules achieved to date (the progress recorded **must** tie in with the associated ‘**Summary of Achievement Record**’):

Part 2b – Identified **barriers** to progress (please detail here any issues relating to the programme delivery, which have impacted negatively on progress e.g. attendance times, learning difficulties, suitability of training/learning materials, physical barriers to participation, health issues, attitude etc):

*

Part 2c – Solutions proposed to address the above barriers:

Part 3 – Agreed ‘**assessment planning**’ & action required for the next review
(proposed methods of evidence collection must be recorded & proposed assessment methods must be selected):

N.B. *Methods of evidence collection may include: either hard copy records or electronic records such as audio recordings, scanned documents, photographs etc.*

Element:

Proposed Assessment Methods/Sources of Evidence:

CrossRef	RPL	OBS	Questioning	PS	WR	D	WT
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Key: Assessment Methods/Sources of Evidence

CrossRef = Cross Referencing **RPL**= Recognition of Prior Learning

OBS = Observation **PS** = Personal Statement

WR = Work Record **D** = Discussion

WT= Witness Testimony



Part 4 – Additional comments / issues (e.g. health & safety issues):

Part 5 – Candidate comments/feedback/evaluation:

Part 6 – Employer comments on progression and achievement noted in **Part 2a**:

Part 7 – Assessor Feedback/Assessment Judgements/Decisions/Outcome

Candidate Signature: Date:

Assessor Signature: Date:

Employer Signature (where present): Date:

Employer Name and position:

2B: Sample Form	
Assessor report	
Qualification:	
Candidate:	
Assessor:	
Date:	
Unit/ element:	
Location/ circumstance:	
Details of observation/ question/ answers/ discussion	Ref
Details of observation/ question/ answers/ discussion	Ref
Details of observation/ question/ answers/ discussion	Ref
Assessors comments (state whether candidate is competent)	
Assessor signature	
Candidate signature	



**2C: Sample Form
Witness testimony**

Qualification:

Unit:

Element(s):

Candidate Name:

Witness Name:

Witness Contact Details:

.....

Describe your technical and any assessment qualifications/ experience:

.....

.....

.....

Describe your relationship with the candidate:

.....

.....

.....

Date of evidence:

Testimony and comment on candidate's performance

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.....

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Witness Signature & Date:

Candidate Signature & Date: Assessor

Signature & Date:



2D: Sample Form
Candidate personal statement

Qualification:

Candidate name:

Element(s)	Date	Statement / evidence

Candidate's signature:

Assessor's signature:

Date:



**2E: Sample Form
Element achievement record**

Candidate name:

Qualification:

Unit title:

Element(s):

Assessor:

Evidence ref:	Evidence description *	Location **	Performance criteria					Knowledge and understanding					

***Key: Assessment Methods/Sources of Evidence**
CrossRef = Cross Referencing **RPL**= Recognition of Prior Learning **OBS**= Observation
Q&A= Questioning **PS**= Personal Statement **WR** = Work Record **D**= Discussion
WT= Witness Testimony

***Should refer to whether the evidence can be found in the portfolio ('PF') or elsewhere, if so state location of evidence*



**2F: Sample Form Unit
progress record**

Qualification:

Unit title:

I confirm that the candidate has been assessed as competent for this unit

Assessor name

Assessor signature

Date

I confirm that I have been assessed as competent and that the evidence produced is from work that is all mine

Candidate name

Candidate signature

Date

I confirm that I have internally verified this unit and confirm that the candidate is competent (this section must be completed where the assessor is unqualified)

IV name

IV signature

Date



APPENDIX 3 - INTERNAL VERIFIER TEMPLATE DOCUMENTS

3A: Sample Internal Verification Strategy

This document indicates what may be covered as part of an internal verifier's strategy. An effective internal verification strategy ensures:

- A forum for discussion of borderline cases
- Assessor networking and sharing of good practice
- Valid, reliable and consistent training and/or assessment
- Recorded assessment decisions which are appropriate, consistent, fair, transparent and equitable
- Clarity for candidates about assessment requirements
- Effective preparation and presentation for external verification
- Reduction in level of direct external verification scrutiny

To underpin the IV/ verification process a plan of internal activity should be developed indicating

- what will happen
- when it will happen
- who will be involved

New instructors/assessors must:

- a) be supplied with assessment and materials
- b) clearly understand assessment requirements and procedures

All assessors must:

- a) know the name of the person who will manage the IV process and the name of the IV
- b) know how IV/ verification will happen, when it will happen and who will be involved
- c) be informed about issues raised through previous internal and external quality assurance

On Course Monitoring

The IV should:

- a) Sample assessments to ensure that:
 - feedback to candidates is clear and constructive
 - teaching and assessment activities are standard and appropriate
 - assessment decisions are fair and consistent
 - teaching and assessment records are clear
- b) Undertake standardisation activities
- c) Ensure candidates understand assessment requirements



- d) Provide advice and support for Assessors and share good practice
- e) Identify good assessment practice
- f) Record internal verification activities and findings, list action points and report to instructors/assessors and the EV
- g) Liaise with the EV as necessary

End of Course Checking

The IV should:

- a) monitor progress against previous action points
- b) ensure assessment records are complete and accurate
- c) ensure evidence of achievement is appropriate and standardised
- d) record internal verification activities and findings, list action points, and report these to assessors and the EV

Guidance on Sampling and Record Keeping

What do IVs/IVs sample and why?

IVs are responsible for monitoring the quality of assessment, hence the need for them to sample assessment practices and decisions. It is not usually possible or necessary to verify every aspect of assessment at each internal verification. A properly selected representative sample should identify any issues with assessment practices and decisions.

Selecting a sample

To select a representative sample, IVs must take account of factors which may impact on the quality of assessment. These factors are used to define a sampling strategy that determines the size of the sample and enables judgements to be made.

Key factors to consider are:

- Sites of delivery
- Number and experience of Assessors
- Number of courses/assessments
- Previous IV actions/recommendations
- Assessment methods
- Special arrangements
- EV recommendations
- Borderline cases
- Anything else that you think might impact on assessment decisions

The sample should include an element of random selection by the IV. It is not necessary to sample across every aspect of the programme at each event but the plan should seek to cover everything over a period of time, e.g. 3 years.



Which records should be kept?

Records of internal quality assurance/ verification must be kept and made available to the EV during monitoring visits. These should demonstrate that the internal verification procedures have been carried out. IVs should record two sets of information:

1. The sample taken by the IV
2. The comments and feedback to the Assessor following the sampling exercise, showing any recommendations or action required and how this was resolved.

There is a sample form shown below that you may use or adapt to suit your own requirement.

3B: Sample Form
Internal verification - sampling assessment decisions

Unit/qualification:

Location:

Assessor name:

Candidate Name	Sampling element ¹	Was the assessment method appropriate?	Is there sufficient evidence that outcomes have been met?	Is the evidence appropriate for the level?	Comments
Comments					

Signed: (IV)

Date:

Signed: (Assessor)

Date:

¹Was this a learning outcome across candidates, or a whole unit or one method of assessment?



3C: Sample Form
Internal verification – observation of assessors

Internal Verifier's Name:

Assessor's Name:

Candidate's Name:

Qualification Title:

Unit Assessed:

Element Assessed:

Date of Observation:

Location of Assessment:

Prior to the assessment had the Assessor:	Yes	No	Comments:
Developed a written Assessment Plan for the candidate			
Checked that the facilities, resources and information required for the assessment were available and ready for use			
Briefed the candidate on how the assessment would take place and what would be assessed			



During the assessment did the Assessor:	Yes	No	Comments:
Conduct the assessment unobtrusively without interfering with the candidate's performance			
Encourage the candidate to satisfy the specified Assessment Criteria			
Ask questions clearly in an encouraging tone and manner without leading the candidate			
Ensure that sufficient questions were asked and that they were justifiable and relevant to the Unit assessed			

During the assessment did the Assessor (continued):	Yes	No	Comments:
Ensure that the atmosphere created during the assessment was pleasant and conducive			
Clarify and resolve any concerns that the candidate had during the assessment			
Clearly inform the candidate of the assessment decision i.e. 'achieved' or 'requires further practice'			
After the assessment did the Assessor:	Yes	No	Comments:



Provide feedback that was clear, constructive, met the candidate's needs and was appropriate to his/her level of confidence			
Encourage the candidate to comment on the assessment decision and how he/she was assessed			
Complete the Unit assessment documentation and ensure it was fully signed and dated			

Overall feedback to Assessor:

Assessor's comments on the IV's feedback:

Assessor's Signature:

Date:

Internal Verifier's Signature:

Date: