



QUALIFICATION HANDBOOK

SVQ in Plant Operations (Construction) at SCQF level 5

Qualification reference number: GN7V 45

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1. Introduction

1.1 This qualification has been developed to seek to ensure that those that operate mobile plant in a construction setting meet minimum requirements of technical competence and health and safety.

1.2 These requirements have been specified in the National Occupational Standards (NOS) developed by the Sector Skills Council (SSC) Construction Skills in liaison with employers and industry/ sector representatives. This qualification is based upon those NOS and incorporates the Qualification Structure approved by SQA Accreditation.

1.3 Successful completion of this qualification will allow candidates to show they have sufficient knowledge, understanding and skills to demonstrate competence in relation to operation of construction mobile plant.

1.4 This Handbook provides the information required to assist approved centres in delivering the qualification 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 qualification is suitable for apprentices / those already in employment that wish to develop their knowledge and skills in the operation of mobile plant in the construction sector.

2.2 In order to do this, the qualification covers technical and health and safety standards, and supports roles relating to mobile plant operation in the construction sector.

3. Progression

3.1 This qualification is primarily designed to allow candidates to progress to employment in roles relating to operating mobile plant in the construction sector. These roles may be in addition to other construction related roles. Successful completion of this qualification may therefore lead to additional employment opportunities relating to plant operations, plant and machinery maintenance operations or supervision of such activities

3.2 Candidates achieving this qualification may also wish to progress to higher level qualifications those aimed at supervisory/ management roles e.g.

- SVQ3 in Plant or Machinery Maintenance (Construction) at SCQF Level 6
- Level 4 NVQ Diploma in Construction Site Supervision (Construction)

3.3 Candidates may also choose to undertake qualifications in more generic subjects such as a health and safety in the workplace, e.g.

- Award in Health and Safety in a Construction Environment at SCQF level 4

4. Entry requirements

4.1 Candidates must be at least 18 years of age to be able to undertake this qualification.

4.2 Operation of mobile plant in the construction sector, normally requires a full driving licence.

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

4.4 Candidates taking this qualification 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 for this 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 structure

5.1 The structure for this qualification is set by the Sector Skills Council Construction Skills and approved by SQA Accreditation.

5.2 To achieve this qualification candidates must achieve:

- 2 mandatory units
- 3-5 optional units dependant upon the route selected

Mandatory Units

All candidates must complete the following units:

SSC code	Title of mandatory unit (must complete all seven units)	SCQF level	SCQF credits
COSVR641v2	Conform to general workplace health, safety and welfare	6	12
COSVR642v1	Conform to productive work practices	5	5

Optional Units

See individual options for appropriate number of units:

SSC code	Title of optional unit (must complete three units)	SCQF level	SCQF credits
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Plant Operator Option Route (Total of 4 units required)

COSVR386v3	Prepare plant or machinery prior to operational performance	5	9
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Plus Optional (one unit from the following)

COSVR376v5	Operate and control operations of road plant or machinery	5	49
COSVR387v2	Operate plant or machinery to lift and transfer loads	5	11-95
COSVR388v2		5	16-85
COSVR389v2	Operate plant or machinery to excavate	5	20-85
COSVR390v3	Operate plant or machinery to construct or form	5	52-85
COSVR391v2	Operate plant or machinery to receive and transport loads	5	12-70
COSVR392v2	Operate plant or machinery used as work platforms	5	12-40
COSVR393v2	Operate plant or machinery to lay and distribute	5	25-85
COSVR394v2	Operate plant or machinery to compact	5	16-25
COSVR395v2	Operate plant or machinery to process	5	12-16
COSVR400v2	Operate powered units, tools or pedestrian plant, machinery or equipment	5	7
COSVR761v1	Operate plant or machinery to sweep, clean or clear	5	13
Plant Operations Guide Option Route (Total 3)			
COSVR760v1	Control, direct and guide the operation of plant or machinery	5	18
Additional units for Plant Operations Guide option (not compulsory)			
COSVR401v2	Set out secondary dimensional work control	5	7
Vehicle and Plant Movements Guide Option Route (Total 3)			
COSVR396v2	Direct and guide the movement of vehicles, plant or machinery	5	15
Loader Securer Option Route (Total of 4 units required)			
COSVR397v2	Arrange and secure plant or machinery equipment for transportation	5	16
Plus Optional (one unit from the following required)			
COSVR396v2	Direct and guide the movement of vehicles, plant or machinery	5	15
COSVR402v2 (A)	Slinging and hand signalling the movement of suspended loads	5	10
COSVR659v1	Operate plant or machinery for non-operational activities	5	10
Road Rail Option Route (Total of 5 units required)			
One unit from the Plant Operator optional list plus the following units required			
COSVR386v3	Prepare plant or machinery prior to operational performance	5	9
COSVR398v2	Operate road rail plant	5	8
Attachments Option Route (Total of 5 units required)			
One unit from the Plant Operator optional list plus the following units required			
COSVR386v3	Prepare plant or machinery prior to operational performance	5	9
COSVR399v2	Operate plant or machinery attachments	5	7
In-Shore Marine Plant Operations Option Route (Total of 5 units required)			
One unit from the Plant Operator optional list plus the following units required			
COSVR386v3	Prepare plant or machinery prior to operational performance	5	9
COSVR403v3	Operate plant or machinery from a floating vessel	5	36
Plant Erector and Dismantler Option Route (Total 5)			
COSVR402v2 (A)	Slinging and hand signalling the movement of suspended loads	5	10
COSVR404v2	Erect and dismantle plant (cranes and rigs)	5	36

COSVR643v1	Move, handle or store resources	5	5
Additional units for all option routes (not compulsory)			
COSVR643v1	Move, handle or store resources	5	5
COSVR659v1	Operate plant or machinery for non-operational activities	5	10

Hyperlinks to all units are included in Appendix 2 of to this document and a PDF file of all units is also available for download from the QFI site

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 5 descriptors

The following are descriptions of what a candidate should be able to do or demonstrate at SCQF level 5. These are for guidance only – it is not expected that every point will be covered.

Knowledge and understanding

Demonstrate and/or work with: Basic knowledge. A range of simple facts, ideas and theories in, about, and associated with, a subject/discipline/sector. Knowledge and understanding of basic processes, materials and terminology.

Applied knowledge, skills and understanding

Relate knowledge and ideas to personal and/or practical contexts. Use a range of skills associated with the subject/discipline/sector to complete some routine and non-routine tasks. Plan and organise both familiar and unfamiliar tasks. Select appropriate tools and materials and use them safely and effectively. Adjust tools where necessary following safe practices.

Generic cognitive skills

Use a process to deal with a problem, situation or issue that is straightforward. Operate in a familiar context, but where there is a need to take account of or use additional information of different kinds, some of which will be theoretical or hypothetical.

Communication, ICT and numeracy skills

Use a range of routine skills, for example: Produce and respond to detailed written and oral communication in familiar contexts. Use standard ICT applications to process, obtain and combine information. Use a range of numerical and graphical data in routine contexts that may have some non-routine elements.

Autonomy, accountability and working with others

Work alone or with others on tasks with minimum directive supervision. Agree goals and responsibilities for self and/or work team. Take lead responsibility for some tasks. Show an awareness of own and/or others' roles, responsibilities and requirements in carrying out work and contribute to the evaluation and improvement of practices and processes.

6.3 The assessment process

Assessment for this qualification, and for individual units that comprise the qualification, must take place in accordance with '*Construction Skills Consolidated Assessment Strategy for Construction and the Built Environment: Craft, Supervisory, Technical, Managerial and Professional National Vocational Qualifications (NVQs) and Scottish Vocational Qualifications (SVQs)*' (published December 2016, approved by ACG February 2017).

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.

6.3.1. 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.

6.3.2 Producing evidence

The methods of assessment must generate evidence to demonstrate the candidates’ competence. Evidence produced in the workplace is central to Construction Skills Consolidated Assessment Strategy. Workplace evidence is vital to ensuring that the candidate is competent to industry standards and a suitable way of recording this must be used.

The following indicates the type of evidence generated by the methods on the section above:

- Product evidence –Photographic or video evidence is often used to record this, or it may also be recorded via the method below. Labelled photographs and/or videos that clearly show the candidate are sources of evidence for this purpose.

- Direct observation – observations must be recorded via an Assessor or other report (e.g. witness statement)
- Question/ answer – both the questions and the candidate’s responses to these must be recorded either in writing or via some audio or visual device (e.g. part of a video recording).
- Witness testimony – this may be written, audio or visual recordings
- Personal statement – the declaration made by the candidate must be recorded

All of the above must be referenced to the evidence that they cover. 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 the 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.

Direct evidence produced through normal performance in the workplace is the primary source for meeting these requirements. This includes naturally occurring evidence, direct observation of activities and witness testimony as relevant, all of which must be recorded. Workplace evidence must be supported by the required evidence of knowledge and understanding. This evidence may be identified by:

- questioning the candidate
- recognised industry education and training programme assessment or professional interview assessment that has been matched to NOS requirements
- performance evidence/ completed work

All of which must be recorded and made available for verification purposes. Workplace evidence of skills cannot be simulated for this qualification.

6.3.3 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.

6.3.4 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 can 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 '*Construction Skills Consolidated Assessment Strategy for Construction and the Built Environment: Craft, Supervisory, Technical, Managerial and Professional National Vocational Qualifications (NVQs) and Scottish Vocational Qualifications (SVQs)*' (published December 2016, approved by ACG February 2017).

7.2 The roles and responsibilities of assessors is outlined in the section above. Assessors must be 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

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 expertise (craft/ trade specific) before commencing their role so they have up to date experience, knowledge and understanding of the particular aspects of work they are assessing
- only assess in their acknowledged area of occupational competence
- maintain the currency of this for the duration of their role
- 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. Further guidance on internal quality assurance/verification is provided in the Centre Handbook. Appendix 5 of this document indicates suggested 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 '*Construction Skills Consolidated Assessment Strategy for Construction and the Built Environment: Craft, Supervisory, Technical, Managerial and Professional National Vocational Qualifications (NVQs) and Scottish Vocational Qualifications (SVQs)*' (published December 2016, approved by ACG February 2017).

9.2 The roles and responsibilities of IVs is outlined above. IVs must be 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

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

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 the '*Construction Skills Consolidated Assessment Strategy for Construction and the Built Environment: Craft, Supervisory, Technical, Managerial and Professional National Vocational Qualifications (NVQs) and Scottish Vocational Qualifications (SVQs)*' (published December 2016, approved by ACG February 2017).

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.

QFI's appointed External Verifiers meet the requirements of the assessment strategy.

11. Certification

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

12. Equality and diversity

12.1 This qualification 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 this qualification, 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 	
Roles and responsibilities: <ul style="list-style-type: none"> • Candidate • Assessor • Internal Verifier • External Verifier 	
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 	
Policies: <ul style="list-style-type: none"> • Complaints • Appeals • Malpractice • Data protection • Health and safety • Equality (including reasonable adjustments/ additional support) 	
Forms: <ul style="list-style-type: none"> • Enrolment • Other 	
I confirm that I have received this induction and the associated documents: Candidate name: Candidate signature: Date:	



APPENDIX 2

UNITS

All the relevant units are included in the attached .zip file emailed to you with this handbook in PDF format*, alternatively, all of the units for this qualification are available as a download from the National Occupational Standards (NOS) database at the following web address

<https://www.ukstandards.org.uk/Pages/index.aspx>

the unit reference numbers in the table below can be entered into the search tab and the relevant NOS downloaded.

**The pdf .zip file for this qualification is also available from the QFI website*

SSC/B Code (Unit reference No)	Mandatory/ Optional/ Additional Unit	Unit Title
COSVR641v2	Mandatory	Conform to general workplace health, safety and welfare
COSVR642v1	Mandatory	Conform to productive work practices
COSVR386v3	Mandatory	Prepare plant or machinery prior to operational performance
COSVR376v5	Optional	Operate and control operations of road plant or machinery
COSVR387v2	Optional	Operate plant or machinery to lift and transfer loads
COSVR388v2	Optional	Operate plant or machinery to extract
COSVR389v2	Optional	Operate plant or machinery to excavate
COSVR390v3	Optional	Operate plant or machinery to construct or form
COSVR391v2	Optional	Operate plant or machinery to receive and transport loads
COSVR392v2	Optional	Operate plant or machinery used as work platforms
COSVR393v2	Optional	Operate plant or machinery to lay and distribute
COSVR394v2	Optional	Operate plant or machinery to compact
COSVR395v2	Optional	Operate plant or machinery to process
COSVR400v2	Optional	Operate powered units, tools or pedestrian plant, machinery or equipment
COSVR761v1	Optional	Operate plant or machinery to sweep, clean or clear
COSVR760v1	Mandatory	Control, direct and guide the operation of plant or machinery
COSVR401v2	Additional	Set out secondary dimensional work control
COSVR396v2	Mandatory	Direct and guide the movement of vehicles, plant or machinery
COSVR397v2	Mandatory	Arrange and secure plant or machinery equipment for transportation



COSVR396v2	Optional	Direct and guide the movement of vehicles, plant or machinery
COSVR402v2 (A)	Optional	Slinging and hand signalling the movement of suspended loads
COSVR659v1	Optional	Operate plant or machinery for non-operational activities
COSVR386v3	Mandatory	Prepare plant or machinery prior to operational performance
COSVR398v2	Mandatory	Operate road rail plant
COSVR386v3	Mandatory	Prepare plant or machinery prior to operational performance
COSVR399v2	Mandatory	Operate plant or machinery attachments
COSVR386v3	Mandatory	Prepare plant or machinery prior to operational performance
COSVR403v3	Mandatory	Operate plant or machinery from a floating vessel
COSVR402v2 (A)	Mandatory	Slinging and hand signalling the movement of suspended loads
COSVR404v2	Mandatory	Erect and dismantle plant (cranes and rigs)
COSVR643v1	Mandatory	Move, handle or store resources
COSVR643v1	Additional	Move, handle or store resources
COSVR659v1	Additional	Operate plant or machinery for non-operational activities

APPENDIX 3 - ASSESSMENT TEMPLATE DOCUMENTS

3A: Sample Form Assessment plan and review

Candidate name:	
Employer/location:	Date:
Qualification:	
Unit(s):	
Elements:	
Assessor:	
Period of Review: <small>(should not normally exceed 12 weeks)</small>	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

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:

3B: 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	

**3C: Sample Form
Witness testimony**

Qualification:

Unit:

Element(s):

Candidate Name:

Witness Name:

Witness Contact Details:

.....

Describe your construction and any assessment qualifications/ experience:

.....

.....

.....

Describe your relationship with the candidate:

.....

.....

Date of evidence:

Testimony and comment on candidate's performance

.....

.....

.....

.....

.....

.....

.....

Witness Signature & Date:

Candidate Signature & Date:

Assessor Signature & Date:

3D: Sample Form
Candidate personal statement

Qualification:		
Candidate name:		
Element(s)	Date	Statement / evidence
Candidate's signature:		
Assessor's signature: Date:		

APPENDIX 4 - ASSESSOR TEMPLATE DOCUMENTS

4A: 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*

4B: 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 5 - INTERNAL VERIFIER TEMPLATE DOCUMENTS

5A: 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.

5B: 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?

5C: 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:.....