



**INSTITUTE OF THE  
MOTOR INDUSTRY**

## **ASSESSOR AND QUALITY ASSURER GUIDANCE FOR ASSESSOR AND QUALITY ASSURANCE QUALIFICATIONS (2010)**

### **QUALIFICATIONS FOR ASSESSORS**

**IMI Level 3 Award in Understanding the Principles and Practices of Assessment  
Ofqual I.D No: 501/1062/7**

**IMI Level 3 Award in Assessing Competence in the Work Environment  
Ofqual I.D No: 501/0946/7**

**IMI Level 3 Award in Assessing Vocationally Related Achievement  
Ofqual I.D No: 501/0944/3**

**IMI Level 3 Certificate in Assessing Vocational Achievement  
Ofqual I.D No: 501/0945/5**

### **QUALIFICATIONS FOR INTERNAL QUALITY ASSURANCE STAFF**

**IMI Level 4 Award in Understanding the Internal Quality Assurance of Assessment Processes  
and Practice Ofqual I.D No: 501/0948/0**

**IMI Level 4 Award in the Internal Quality Assurance of Assessment Processes and Practice  
Ofqual I.D No: 501/0947/9**

**IMI Level 4 Certificate in Leading the Internal Quality Assurance of Assessment Processes and  
Practice Ofqual I.D No: 501/0949/2**

### **QUALIFICATIONS FOR EXTERNAL QUALITY ASSURANCE STAFF**

**IMI Level 4 Award in Understanding the External Quality Assurance of Assessment Processes  
and Practice Ofqual I.D No: 501/2131/5**

**IMI Level 4 Award in the External Quality Assurance of Assessment Processes and Practice  
Ofqual I.D No: 501/2132/7**

**IMI Level 4 Certificate in Leading the External Quality Assurance of Assessment Processes and  
Practice Ofqual I.D No: 501/2133/9 **Withdrawn 30-11-2015****



## CENTRE INFORMATION

Please be aware that any **legislation** referred to in this qualification may be subject to amendment/s during the life of this qualification. Therefore IMI Approved Centres must ensure they are aware of and comply with any amendments, e.g. to health and safety legislation and employment practices.

Please be aware that **vehicle technologies** referred to in this qualification reflect current practice, but may be subject to amendment/s, updates and replacements during the life of this qualification. Therefore IMI Approved Centres must ensure they are aware of the latest developments and emerging technologies to ensure the currency of this qualification.

Please note: the relevance of the information contained in the **unit content** will vary depending upon the vehicle types being worked upon. The unit content is for guidance only and is not meant to be prescriptive.

© 2016 IMI

All rights reserved. No part of this publication may be reproduced, stored in retrieval system, or transmitted, in any form or by any means, electronic, mechanical, photocopying, recording or otherwise, without the prior written permission of the IMI.

Requests should be made in writing and addressed to:  
IMI, Fanshaws, Brickendon, Hertford SG13 8PQ



## ASSESSOR AND VERIFIER GUIDANCE FOR ASSESSOR AND QUALITY ASSURANCE QUALIFICATIONS (2010)

CONTENTS	PAGE NO
<b>Introduction:</b>	
Background to the Development of the Assessor & Quality Assurance Qualifications	4
Lifelong Learning UK (LLUK) Sector Skills Council (SSC)	4
LLUK (LLUK) Assessor & Quality Assurance Qualifications	5
Regulated Qualification Framework (RQF)	6
Structure of Qualifications for Assessors	7
Structure of Qualifications for Internal Quality Assurance Staff	8
Structure of Qualifications for External Quality Assurance Staff	9
<b>LLUK FAQ</b>	<b>10</b>
<b>Learner Entry Requirements and Learner Induction</b>	<b>12</b>
<b>IMI Assessor &amp; Quality Assurance Learner Assessment Record</b>	<b>13</b>
<b>LLUK SSC Assessment Strategy (2010):</b>	
1. Quality Assurance	15
2. Requirements for Assessors	16
3. Requirements for Internal Quality Assurance Staff	16
4. Requirements for External Quality Assurance Staff	16
<b>Additional Information:</b>	
IMI Administration	17
<b>Appendix 1:</b>	
LLUK Assessment Guidance	18-28

### Note:

This guide should be read in conjunction with the:

- Learner Guidance document
- Learner Assessment Record
- Candidate Assessment Summary
- and the IMI Operating Manual for Approved Centres.



## INTRODUCTION

These Assessor and Quality Assurance Qualifications supersede the following qualifications in the National Qualifications Framework (NQF):

- Level 3 Award in Assessing Candidates' Performance Using a Range of Methods ('A1')
- Level 3 Award in Assessing Candidates' Performance through Observation ('A2')
- Level 4 Award in Conducting Internal Quality Assurance of the Assessment Process ('V1')
- Level 4 Award in Conducting External Quality Assurance of the Assessment Process ('V2')

## BACKGROUND TO THE DEVELOPMENT OF THE ASSESSOR AND QUALITY ASSURANCE QUALIFICATIONS

The Qualification and Credit Framework (QCF) (see page 6) became fully operational at the beginning of 2011 for all new qualifications and learner (candidate) registrations. However for a period of three years, qualifications on the NQF, including National Vocational Qualifications (NVQs), will continue to operate because learners are already registered and need a period of time to complete. Therefore there will continue to be a need for qualified assessors and quality assurance staff (verifiers) to meet the requirements of the NVQ Code of Practice and Sector Skills Councils/Bodies' assessment strategies.

There is also the need for qualified assessors and quality assurance staff to deliver QCF qualifications that use the term 'NVQ' in their title. There may also be a need (depending on individual SSC/B assessment strategies) for qualifications for staff who are assessing and quality assuring qualifications within the QCF that do not use the term 'NVQ' in their titles, but whose purpose is **D1:Confirm occupational competence**.

All of the above needs are addressed by the new **Level 3 Award in Assessing Competence in the Work Environment** and the appropriate quality assurance qualifications.

The **Level 3 Award in Assessing Vocationally Related Achievement** will be valuable to ensure that staff assessing non-NVQ or non-competence-based vocational qualifications within the QCF on a 'devolved' basis meet agreed standards of assessment.

The **Level 3 Certificate in Assessing Vocational Achievement** will be appropriate for those whose role involves the assessment of both occupational competence and vocationally related achievement.

## LIFELONG LEARNING UK (LLUK) SECTOR SKILLS COUNCIL (SSC)

Lifelong Learning UK is currently the Sector Skills Council for over 57,000 UK employers in the lifelong learning sector.

Lifelong Learning UK (LLUK) developed the National Occupational Standards (NOS) for Learning and Development (approved March 2010). These NOS reflect current practice in learning and development and describe what a person needs to do, know and understand in order to carry out this role in a consistent and competent way. All those assessing and assuring the quality of assessment will use the NOS to inform their practice and identify professional development needs. The NOS are used to underpin all new qualifications for learning and development roles.



LLUK have developed the QCF units (see page 6) from the NOS for new qualifications for assessing competence in the work environment and also for assessing vocationally related achievement. The Alliance of Sector Skills Councils, the Joint Council for Qualifications and the Federation of Awarding Bodies have agreed additional requirements for assessing and quality assuring qualifications that use the title 'NVQ' within the QCF. This includes the requirement for assessors and verifiers to hold or be working towards a suitable assessor or verifier qualification.

Note: Those holding assessor and verifier qualifications, including A, D and V units, will not need to undertake the new qualifications. The qualifications will continue to be considered as suitable. These assessors and verifiers should of course undertake continuing professional development to ensure they are working to the new NOS.

**Lifelong Learning UK**  
**8th Floor, Centurion House,**  
**24 Monument Street**  
**London EC3R 8AQ**

**Tel: 0300 303 8077**

**Fax: 020 7375 9301**

**Information and Advice Service on 0300 303 1877 or email [advice@lluk.org](mailto:advice@lluk.org).**

## **LIFELONG LEARNING UK (LLUK) ASSESSOR AND QUALITY ASSURANCE QUALIFICATIONS**

These qualifications are for staff that are working in, or looking to gain entry to, roles in Assessment and Quality Assurance. They have been developed for those working in accredited learning, non accredited learning, the NQF and the QCF. There are assessor qualifications at level 3 and internal & external quality assurer qualifications at level 4. They are designed for use in England, Wales and Northern Ireland.

The qualifications consist of a mix of mandatory units, e.g. one or more units competence based units and one knowledge based unit.

The knowledge based units (titled 'Understanding the principles and practices of...') cover all the essential knowledge and understanding that assessors or quality assurance staff need. These knowledge units also allow anyone who is interested in or needs to know about assessment and quality assurance, but is not a practitioner, to acquire knowledge and information about the roles.

For example, the **Level 3 Award in Assessing Competence in the Work Environment** consists of two units.

- Unit 1: Understanding the principles and practices of assessment (knowledge based unit)
- Unit 2: Assess occupational competence in the work environment (competence based unit).

Lifelong Learning UK SSC believe that this approach offers more flexibility and a greater potential to meet the needs of aspirant assessors and quality assurance staff. In the example above, those new to assessment and hoping to become assessors can take the first unit and gain an understanding of assessment principles and practices, even before they are in a position to practice assessment. When they are in a position to carry out real assessments, they can take the second unit and, in the spirit of holistic assessment, use evidence from one to meet some of the requirements of the other.



## REGULATED QUALIFICATIONS FRAMEWORK (RQF)

These IMI qualifications are on Ofqual's Regulated Qualifications Framework (RQF). Ofqual is the The RQF provides a single system for cataloguing all qualifications regulated by Ofqual.

There are eight levels of the RQF, supported by three 'entry' levels. A qualification's level indicates the difficulty and complexity of the knowledge and skills associated with the qualification. Qualifications can sit at different levels, but can require similar amounts of study and assessment time. Equally, qualifications at the same level can take different amounts of study and assessment time.

A qualification's size refers to the estimated total amount of time it should typically take to study and be assessed for a qualification. This can be anything from a matter of hours to several years of study; and different students can take different amounts of time to study for the same qualification. Size is expressed in terms of Total Qualification Time (TQT). The part of that time typically spent being taught or supervised, rather than studying alone, is known as Guided Learning Hours (GLH).

To further understand the level of difficulty of the units and qualifications on the RQF, it might be helpful to know that GCSEs (grade A\* –C) are level 2, GCE A levels are level 3 and a PhD is a level 8.

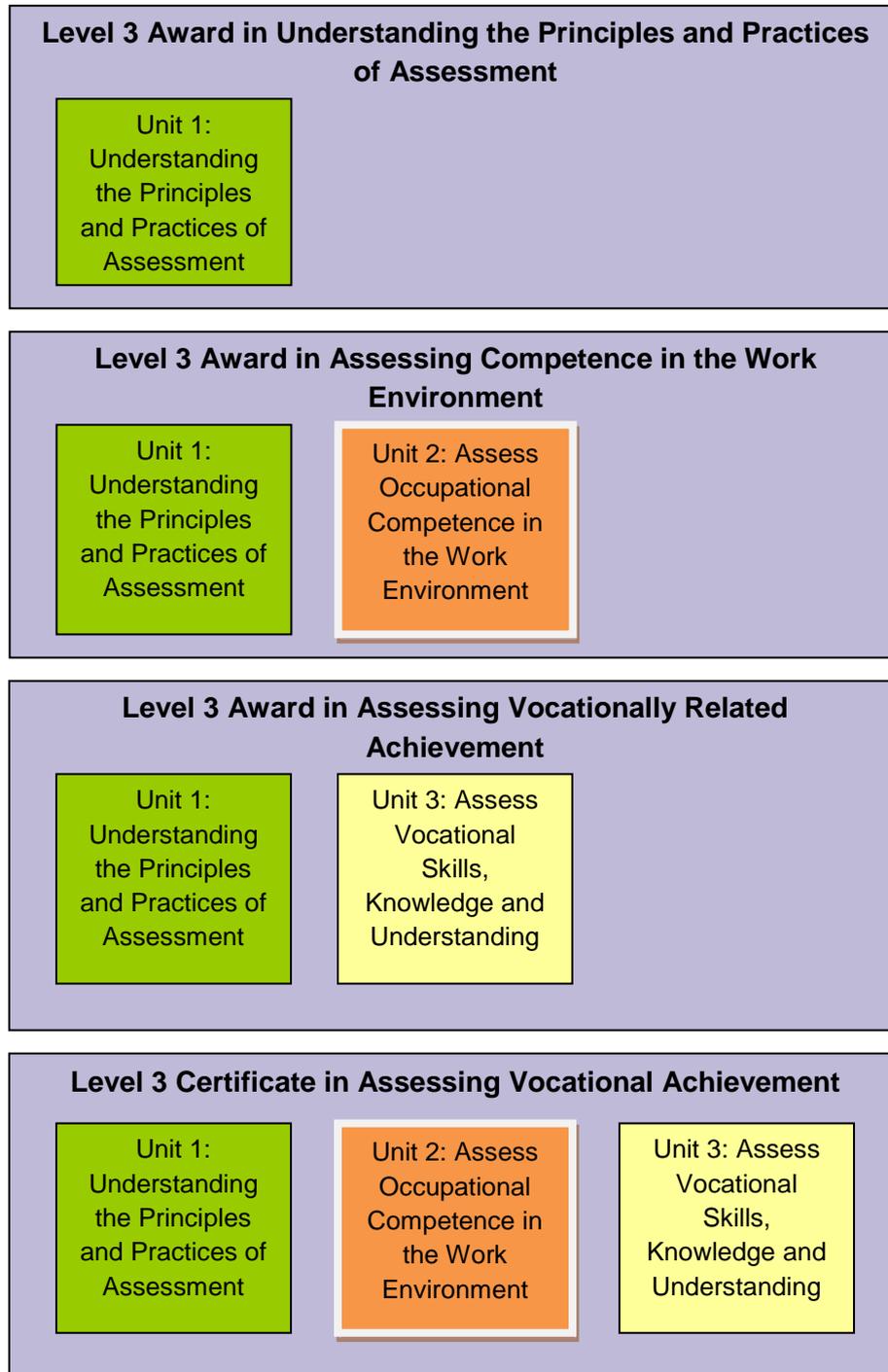
For further information on the RQF, please visit Ofqual's website:  
<https://www.gov.uk/find-a-regulated-qualification>

*Note: The RQF replaced the Qualifications and Credit Framework (QCF) and National Qualifications Framework (NQF) in October 2015.*



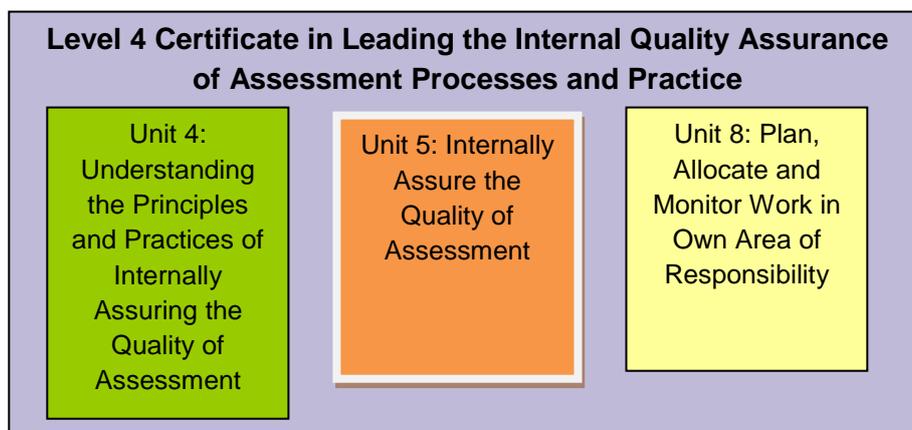
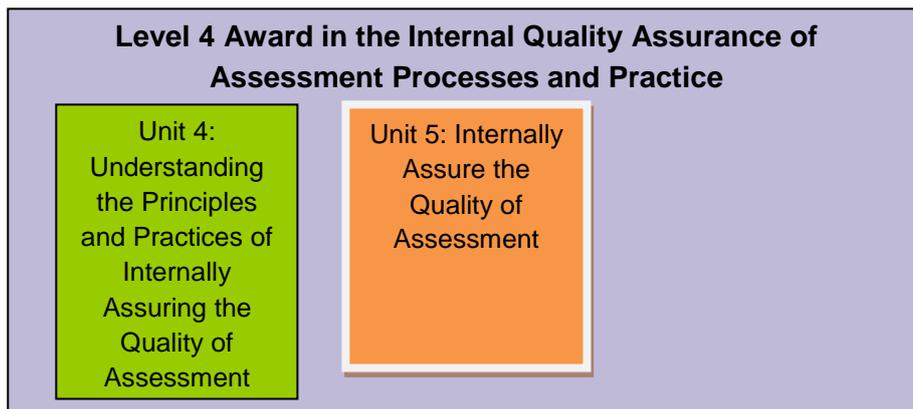
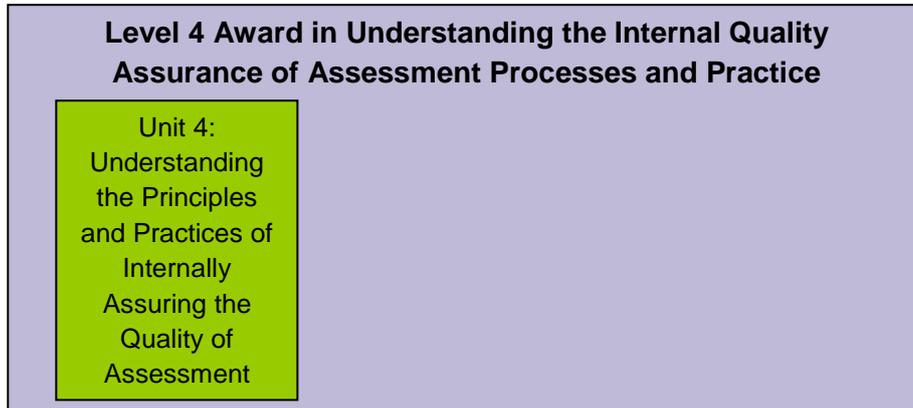
## STRUCTURE OF QUALIFICATIONS FOR ASSESSORS

A suite of three level 3 Awards and a level 3 Certificate have been developed for assessors. Each has one or more units in common.



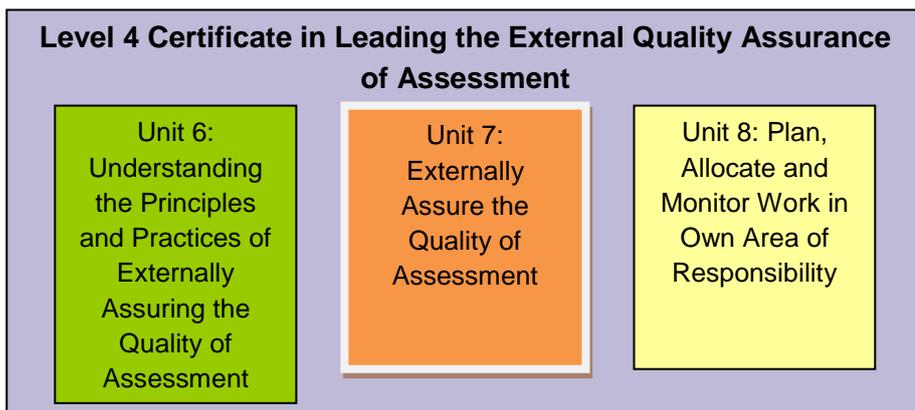
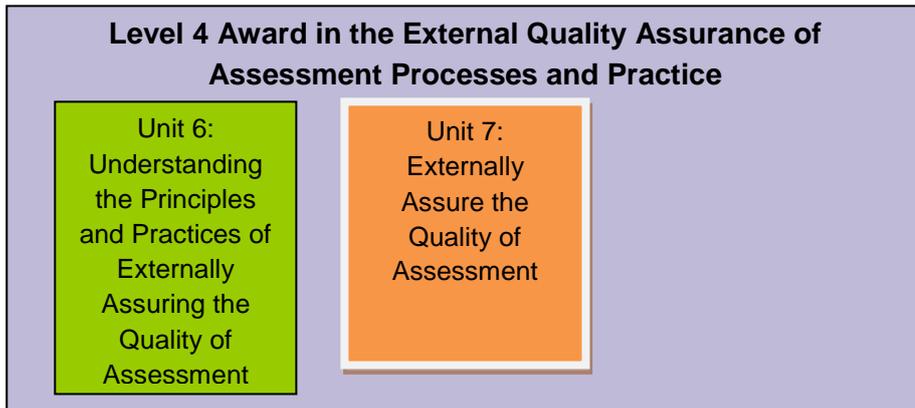
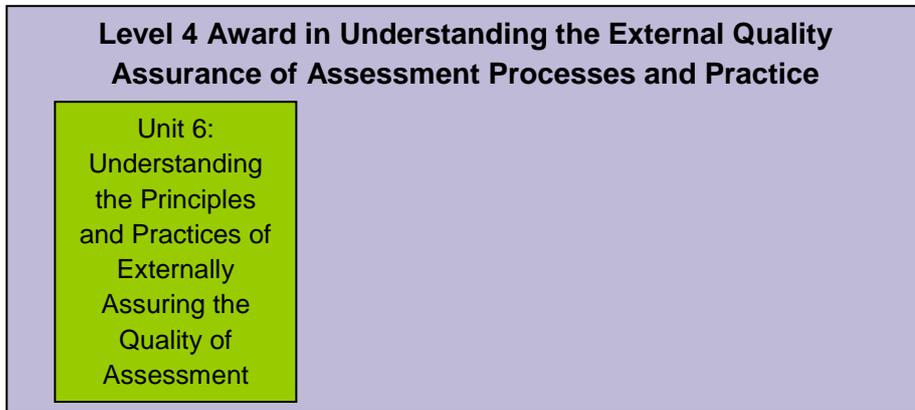
## STRUCTURE OF QUALIFICATIONS FOR INTERNAL QUALITY ASSURANCE STAFF

A suite of two level 4 Awards and one level 4 Certificate have been developed for internal quality assurance staff. Each qualification has one or more units in common.



## STRUCTURE OF QUALIFICATIONS FOR EXTERNAL QUALITY ASSURANCE STAFF

A suite of two level 4 Awards and one level 4 Certificate have been developed for external quality assurance staff. Each qualification has at least one unit in common.





## LLUK FAQ

### Q. What are these qualifications for Assessment and the Quality Assurance of Assessment?

A. Basically, they are replacements for the units and qualifications that were known as 'A1', 'A2', 'V1' and 'V2'.

### Q. How are the new qualifications different?

A. The new qualifications place a greater emphasis on *understanding* the principles and practices of assessment and quality assurance. They are less repetitive and focus more on the outcomes of competent assessment and quality assurance than the tasks involved. They interlink quite closely with each other and facilitate a 'building block' approach to progression.

There are a number of key differences:

- The new qualifications have been written for QCF so are credit rated, written on the QCF template, have QCF levels, which differ from NVQ levels and are available as awards and certificates.
- There are mandatory knowledge only units in each of the qualifications
- They are open to anyone who is carrying out assessment and quality assurance roles, not just for those working with NVQs
- They have been developed for those working in accredited learning, non accredited learning, the NQF and the QCF and can be used by people who do not assess qualifications, but who assess competence in the workplace
- There is a unit specifically designed for assessors who do not assess competence in the workplace
- There is a unit and qualification for quality assurance staff who manage the work of teams of assessors

### Q. What types of assessment and quality assurance do the new qualifications cover?

A. The new qualifications cover a wide range of scenarios. The following list covers the most common.

- **The Level 3 Award in Assessing Competence in the Work Environment** covers the assessment of:
  - NVQs in the NQF
  - Qualifications in the QCF that have NVQ in their title
  - Qualifications in the QCF that have as their purpose, 'D1. Confirm occupational competence or licence to practise.'
  - Occupational standards that are being used for organisational purposes, for example, performance appraisal/review/development
- **The Level 3 Award in Assessing Vocationally Related Achievement** covers the assessment of vocational skills and knowledge in, what is for the learner, a non-work environment, e.g. a college workshop or other training environment.
- **The Level 3 Certificate in Assessing Vocational Achievement** covers all of the scenarios listed above and will also be appropriate for NVQ or other competence assessors who are using a wider range of assessment methods.
- **The Level 4 Award in the Internal Quality Assurance of Assessment Processes and Practice** covers the quality assurance of any type of qualification, NVQs and non NVQs.

### Q. Does the CPD requirement mean I have to do the new units which cover knowledge and understanding of either assessment or quality assurance?

A. No. If you already hold one of the existing qualifications, you do not need to take any new units. However, you must familiarise yourself with the qualifications through CPD activities.



**Q. If I already hold an appropriate qualification in assessment or verification, do I have to take the new qualifications?**

A. No. Anyone who holds D32/D33, A1, A2, V1 or V2 - or any qualification that was deemed by the regulators to be equivalent, and has kept their practice up-to-date, does not need to re-qualify by taking the new qualifications.

However, the new qualifications do have new features and requirements, so everyone with an old qualification must undertake some continuing professional development (CPD) to ensure they can practise to the new standards.

**Q. Do I need to be a qualified assessor in order to be an Internal Quality Assurer (Internal Verifier)?**

A. You do if you want to internally quality assure any of these assessment or quality assurance qualifications. However, if you are internally quality assuring any other type of qualification it will depend on the assessment strategy or other requirements for that qualification.

**Q. Is there an Agreed Common Evidence (ACE) document for the new qualifications?**

A. No. There are some broad evidence requirements and an assessment strategy for the new qualifications. Every awarding organisation must apply these. However, each awarding organisation is free to develop its own detailed evidence specifications for the new qualifications.

**Q. What is the situation regarding simulation?**

A. You cannot use simulation in order to assess someone for any of these qualifications. However, simulation is one of the assessment methods a 'candidate assessor' (learner) must cover for the unit called 'Assess Vocational Skills, Knowledge and Understanding'. This is not a contradiction. The 'candidate assessor' (learner) must show they can assess a simulation. However, you cannot use simulation in order to assess them. They must be working with real learners.

**Q. If I assess a 'candidate assessor' (learner), do I have to be occupationally competent in the sector they are assessing in?**

A. No. In order to assure yourself that they are making accurate judgments of competence or skills and knowledge, you must use the internal quality assurance staff within the candidate assessor's assessment centre. They will be occupationally competent in that sector.

**Q. The word 'current' is used quite a lot in the units to describe evidence. What does 'current' mean?**

A. In order to judge currency you have to refer to the assessment strategy or other requirements for the qualification the 'candidate assessor' is assessing. Some NVQs, for example, might say that evidence cannot be older than 12 months. Other may allow for older evidence.

**Q. One unit is called 'Plan, Allocate and Monitor Work in Own Area of Responsibility'. The unit refers to a 'team'. How many people should comprise a team?**

A. For the purpose of this qualification, two or more people is sufficient.

**Q. Will everyone who assesses QCF qualifications have to have these qualifications?**

A. Each QCF qualification may have a different requirement for someone to be able to assess it. What assessors need in order to be deemed suitable and qualified is decided by the SSC for any given qualification. You will find the requirements outlined in the assessment strategy for the qualification being assessed. So you would need to have a look at the detail of the assessment strategy of each qualification to be certain that you were a suitable assessor.



## LEARNER ENTRY REQUIREMENTS

The entry requirements for these qualifications should be assessed on an individual basis. Selection criteria for entry should take into account each applicant's existing academic/vocational qualifications and experience, and interest in working in an assessment and/or quality assurance role.

Although not mandatory, it is recommended that learners will have 3 GCSEs or Scottish Standard Grade/Intermediate, including Maths and English.

## LEARNER INDUCTION

Each learner must receive a face-to-face induction before commencing a qualification. The learner must be informed of which qualification they are registered for with IMI, and be made aware of the assessment methods that will be used throughout their chosen qualification.

IMI Awards expects the approved centres to pay particular attention to the following areas during the learner's induction:

- Health and Safety
- Employment Rights and Responsibilities, including codes of conduct & anti-discrimination
- Customer Rights, including ethics
- Industry Issues, including professional organisations, and environmental & economic concerns.

All learners registered must have access to fair and proper assessment. Approved Centres must ensure that all learners have access to,

- the IMI Guidance for Learners, which contains the IMI Complaints and Appeals Procedure
- and the Learner Guidance for LLUK qualifications.

Procedures for learners who require special arrangements can be found in the IMI Operating Manual.



## IMI ASSESSOR AND QUALITY ASSURANCE LEARNER ASSESSMENT RECORD

The learner assessment record document is available for each suite of qualifications. It contains a contact sheet, the qualification structure table (rule of combination), including each unit's credit, G.L.H and Ofqual I.D nos.

It contains each unit (knowledge or competence based), which are written in a specific way. The unit format includes:

- The **unit title** is a concise, but explicit description of what the unit covers.
- The QCF has 9 levels, from entry level to level eight. These qualifications are at **levels 3 and 4**.
- **The unit rationale** is a short description of what the unit covers and what the learner will achieve.
- Each unit has a **credit value**. The **credit value** reflects the time it takes the learner, on average, to achieve the learning outcomes and assessment criteria contained in the unit. Learning time means everything the learner has to do to achieve the unit, not only guided learning hours. One credit is notionally equivalent to 10 hours of learning time, so if a unit is worth four credits, for example, then it will take the average learner approximately 40 hours to complete.
- The **guided learning hours** are an indication to assessors/tutors of how long each unit will take to deliver. (These times allow for teaching supported by practical demonstration and training.)
- The **NOS mapping** shows which part of the LLUK National Occupational Standards the unit relates to.

**Knowledge based units**, contain,

- **Learning outcomes** which set out what learners are expected to know and understand.
- The **assessment criteria** specify the standard learners must meet to show the learning outcome has been achieved. Learners will demonstrate that they can meet all of the qualification's unit's learning outcomes and assessment criteria by criteria referencing evidence against each unit's assessment criteria (criterion referencing).

Each knowledge unit has a **learning outcome and assessment criteria table**, which has four columns:

Column 1: The **learning outcomes** are listed individually in this column.

Column 2: The **assessment criteria** are listed individually in this column.

Column 3: This is where the evidence provided for each learning outcome's assessment criteria must be **referenced**.

Column 4: The **date** is to be completed by the assessor when the learning outcome is achieved.

**Knowledge units 1 and 4 only, also list the online test which must be completed for the unit. The assessor will note the date the test was completed.**

When the assessor believes the learner has demonstrated all of the unit's learning outcomes, assessment criteria and online test requirement, they will sign, add their pin no. and date the boxes provided at the end of this section of the unit.



**Competence based units**, each contain,

- **an evidence requirements table for each learning outcome.**

To ensure the learner has met all of the evidence requirements, the learner must reference their evidence on the tables provided. The evidence requirements have been mapped to each unit's learning outcomes and assessment criteria, demonstrating that the learner has met all of the unit's requirements.

Note: On many occasions learners will be able to use the same evidence (cross reference), as some evidence may meet several requirements.

Each competence unit also includes,

- **Learning outcomes** which set out what learners are expected to know, understand and/or be able to do.
- The **assessment criteria** specify the standard learners must meet to show the learning outcome has been achieved.

Each knowledge unit has a **learning outcome and assessment criteria table**, which has two columns:

Column 1: The **learning outcomes** are listed individually in this column.

Column 2: The **assessment criteria** are listed individually in this column.

There is no area for the learner to reference evidence against the learning outcomes and the assessment criteria in this section of the competence based units, as this has been completed in the mapping of the evidence requirements.

When the assessor believes the learner has completed all of the evidence requirements and has made certain that the learner has demonstrated all of the learning outcomes and assessment criteria for the unit, they will sign, add their pin no. and date the boxes provided at the end of this section of the unit.

**Note:** IMI has developed a **Candidate Assessment Summary** document for assessors and internal verifiers (quality assurers) to complete as the learner achieves each unit. The Candidate Assessment Summary (or an approved equivalent) must be used throughout the learner's qualification.

#### **IMI Awards' Set Online Test: Units 1 and 4 only**

Each learner is required to take IMI set online tests for Units 1 and 4. IMI provides and marks these online tests through its website, [www.theimi.org.uk/awarding](http://www.theimi.org.uk/awarding)

All the questions are multiple-choice, with only one correct answer. The questions used in the tests are based on the units contained in each VRQ. The pass mark for all unit tests is 70%.

**Full guidance on the use of online assessment can be found in the IMI Operating Manual.** If you need any further assistance, please call IMI Qualification Services on tel: 01992 511521

**Note: Centre devised alternatives to the IMI online test are not permitted.**



## LLUK ASSESSMENT STRATEGY FOR ASSESSOR AND QUALITY ASSURANCE QUALIFICATIONS (2010)

This assessment strategy is the requirement of the Lifelong Learning UK (LLUK) SSC for the qualifications in this guidance document.

### 1. QUALITY ASSURANCE

IMI centres offering these qualifications must provide internal quality assurance to ensure assessment meets all IMI Awards requirements and is standardised across individual assessors, assessment locations and learners.

In addition, IMI will ensure there is a robust system of external quality assurance to ensure quality and standardisation across centres.

IMI applies an appropriate risk rating measures to individual assessment centres and ensures that robust quality assurance systems are in place to manage these risks on an individual basis.

Lifelong Learning UK also expects the different awarding organisations offering these qualifications to meet on a regular basis through an Awarding Organisation Forum to compare practice and identify issues of concern.

### 2. REQUIREMENTS FOR ASSESSORS

All those who assess these qualifications must:

- already hold the qualification (or previous equivalent qualification) they are assessing and have successfully assessed learners for other qualifications; if assessing quality assurance roles, they must have experience as a qualified quality assurance practitioner of carrying out internal or external quality assurance of qualifications for a minimum of two assessors
- have up-to-date working knowledge and experience of best practice in assessment and quality assurance
- hold one of the following qualifications or their recognised equivalent:
  - the Level 3 Award in Assessing Competence in the Work Environment *or*
  - the Level 3 Certificate in Assessing Vocational Achievement, *or*
  - A1 Assess Candidate Performance Using a Range of Methods, *or*
  - D32 Assess Candidate Performance and D33 Assess Candidate using Differing Sources of Evidence.
- show current evidence of continuing professional development in assessment and quality assurance.

### 3. REQUIREMENTS FOR INTERNAL QUALITY ASSURANCE STAFF

All those who quality assure these qualifications internally must:

- have up-to-date working knowledge and experience of best practice in assessment and quality assurance
- hold one of the following assessor qualifications or their recognised equivalent:
  - the Level 3 Award in Assessing Competence in the Work Environment, *or*
  - the Level 3 Certificate in Assessing Vocational Achievement, *or*
  - A1 Assess Candidate Performance Using A Range of Methods, *or*
  - D32 Assess Candidate Performance and D33 Assess Candidate Using Differing Sources of Evidence.



- hold one of the following internal quality assurance qualifications or their recognised equivalent:
  - the Level 4 Award in the Internal Quality Assurance of Assessment Processes and Practice, *or*
  - the Level 4 Certificate in Leading the Internal Quality Assurance of Assessment Processes and Practice, *or*
  - V1 Conduct Internal Quality Assurance of the Assessment Process, *or*
  - D34 Internally Verify the Assessment Process.
- show current evidence of continuing professional development in assessment and quality assurance.

#### 4. REQUIREMENTS FOR EXTERNAL QUALITY ASSURANCE STAFF

All those who externally quality assure these qualifications must:

- have up-to-date working knowledge and experience of best practice in assessment and quality assurance
- hold one of the following assessor qualifications or their recognised equivalent:
  - the Level 3 Award in Assessing Competence in the Work Environment *or*
  - the Level 3 Certificate in Assessing Vocational Achievement, *or*
  - A1 Assess Candidate Performance using a Range of Methods, *or*
  - D32 Assess Candidate Performance and D33 Assess Candidate Using Differing Sources of Evidence.
- hold one of the following external quality assurance qualifications or their recognised equivalent:
  - the Level 4 Award in Externally Assuring the Quality of Assessment Processes and Practice, *or*
  - the Level 4 Certificate in Leading the External Quality Assurance of Assessment Processes and Practice, *or*
  - V2 Conduct External Quality Assurance of the Assessment Process, *or*
  - D35 Externally Verify the Assessment Process.
- show current evidence of continuing professional development in assessment and quality assurance.

Best practice would suggest that external quality assurance staff should also hold an appropriate internal quality assurance qualification, either:

- the Level 4 Award in the Internal Quality Assurance of Assessment Processes and Practice, *or*
- the Level 4 Certificate in Leading the Internal Quality Assurance of Assessment Processes and Practice, *or*
- V1 Conduct Internal Quality Assurance of the Assessment Process, *or*
- D34 Internally Verify the Assessment Process.



## ADDITIONAL INFORMATION FOR ASSESSORS AND VERIFIERS

### IMI ADMINISTRATION

The **IMI Approved Centre Operating Manual** is the key source of information for approved centres offering IMI qualifications. It states clearly the roles and responsibilities of centre personnel and the policies and procedures that must be in place at the centre.

It includes details of:

- the centre approval criteria
- the administrative procedures to register learners and request certificates
- health and safety requirements
- the policy to ensure equal opportunities and access to fair assessment for all learners
- the procedures for applying for **special assessment arrangements**
- the Complaints and Appeals Procedure
- and the IMI customer service charter.

In brief, the **assessment requirements** for these qualifications (as specified these guidance notes) must be met in full before a learner can be deemed to have completed the qualification. These qualifications must be **internally verified (quality assured)** in line with the approved centre's strategy for internal verification (quality assurance).

Records of learners' progress and achievements must also be kept at the centre. Although centre records may take a variety of formats, they must be clear and concise and show unsuccessful assessments, as well as learner achievements. They must be made available to an IMI external verifier during routine monitoring visits. Therefore providing a clear audit trail to show where, when and how learners have met the criteria.

IMI has developed a **Candidate Assessment Summary** document for assessors and internal verifiers (quality assurers) to complete as the learner achieves each unit. The Candidate Assessment Summary (or an approved equivalent) must be used throughout the learner's qualification. This document can be found in the Qualification section of IMI website.

IMI Awards' external verifiers will sample learners' work during routine monitoring visits to the centre and prior to **certification** claims being made unless the centre has direct claim status (see the IMI operating manual).

For up-to-date information, please ensure all the latest amendments are downloaded from the IMI website at [www.theimi.org.uk/awarding](http://www.theimi.org.uk/awarding)

IMI  
Fanshaws  
Brickendon  
Hertford  
SG13 8PQ  
Tel: 01992 511521  
Fax: 01992 511548



## APPENDIX 1

### LLUK ASSESSMENT GUIDANCE

All learning outcomes in the units must be assessed using methods appropriate to their content.

There must be valid, authentic and sufficient evidence for all the assessment criteria. However, there is no requirement for each unit to be assessed separately. It is recommended that holistic approaches to assessment are used. Wherever possible, one activity can be used as evidence for learning outcomes and assessment criteria for other units. For example, a discussion for 'Assess occupational competence in the work environment' might provide some evidence for 'Understanding the principles and practices of assessment'. However, it is essential that evidence for the assessment criteria in each unit is also identified individually.

#### Assessment Methods

Different units include different assessment requirements and methods, all of which will be familiar to existing assessors and quality assurance staff.

For the units where competence is being assessed methods will include:

- observation of performance in the work environment
- examining products of work
- questioning the learner
- discussions with the learner
- use of others (witness testimony)
- looking at learner statements
- recognising prior learning

For the units where knowledge is being assessed methods will include:

- oral and written questions
- assignments
- projects
- case studies
- recognising prior learning

See the specific assessment guidance for each qualification's units overleaf.



## LLUK ASSESSMENT GUIDANCE FOR QUALIFICATIONS FOR ASSESSORS

### Level 3 Award in Understanding the Principles and Practices of Assessment

#### Overview

This qualification is intended for those who wish to gain an understanding of the principles and practices of assessment without any requirement to practice as assessors.

### Level 3 Award in Assessing Competence in the Work Environment

#### Overview

This qualification is intended for assessors who assess occupational competence in an individual's work environment. It includes the following assessment methods (although not all of these require performance evidence):

- observation of performance in the work environment
- examining products of work
- questioning the learner
- discussing with the learner
- use of others (witness testimony)
- looking at learner statements
- recognising prior learning.

#### Evidence requirements and assessment guidance

There is no requirement for each unit to be assessed separately. Assessors are advised to adopt a holistic approach and, where possible, to use one activity as evidence for learning outcomes and assessment criteria for both units. However, it is essential that evidence for the assessment criteria in each unit is also identified individually.

#### Unit 1 Understanding the principles and practices of assessment

The aim of this unit is to assess the candidate assessor's knowledge and understanding of the principles and practices that underpin assessment.

All learning outcomes in this unit must be assessed using methods appropriate to the assessment of knowledge and understanding.

There must be valid, authentic and sufficient evidence for all the assessment criteria. However, one piece of evidence may be used to meet the requirements of more than one learning outcome or assessment criterion.

#### Unit 2 Assess occupational competence in the work environment

The aim of this unit is to assess the candidate assessor's performance in assessing occupational competence in an individual's work environment. There must be evidence to cover all of the assessment methods listed in the unit. As a minimum, there must be performance evidence for the following assessment methods:

- observation of performance in the work environment
- examining products of work
- questioning the learner.

Simulations are not allowed.



Other forms of evidence will be acceptable for the remaining assessment methods:

- discussing with the learner
- use of others (witness testimony)
- looking at learner statements
- recognising prior learning.

The candidate assessor's performance evidence must be assessed by observation, examining the products of work and questioning / discussions.

There must be valid, authentic and sufficient evidence for all the assessment criteria. Holistic assessment is encouraged and one piece of evidence may be used to meet the requirements of more than one learning outcome or assessment criterion.

There must be evidence of the candidate assessor carrying out at least two assessments of two learners' occupational competence (four assessments in total). This occupational competence must not be in assessment itself. In other words, evidence for this unit must not come from assessing another 'candidate assessor', who in turn is assessing someone else.

### **Level 3 Award in Assessing Vocationally Related Achievement**

#### **Overview**

This qualification is intended for those who assess vocational skills, knowledge and understanding in environments other than the work environment (for example a workshop, classroom or other training environment). It includes the following assessment methods (although not all of these require performance evidence):

- assessments of the learner in simulated environments
- skills tests
- oral and written questions
- assignments
- projects
- case studies
- recognising prior learning.

#### **Evidence requirements and assessment guidance**

There is no requirement for each unit to be assessed separately. Assessors are advised to adopt a holistic approach and, where possible, to use one activity as evidence for learning outcomes and assessment criteria for both units. For example, a discussion for 'Assess vocational skills, knowledge and understanding' might provide some evidence for 'Understanding the principles and practices of assessment'. However, it is essential that evidence for the assessment criteria in each unit is also identified individually.

#### **Unit 1 Understanding the principles and practices of assessment**

The aim of this unit is to assess the candidate assessor's knowledge and understanding of the principles and practices that underpin assessment.

All learning outcomes in this unit must be assessed using methods appropriate to the assessment of knowledge and understanding.

There must be valid, authentic and sufficient evidence for all the assessment criteria. However, one piece of evidence may be used to meet the requirements of more than one learning outcome or assessment criterion.



### **Unit 3 Assess vocational Skills, knowledge and understanding**

The aim of this unit is to assess the candidate assessor's performance in assessing vocational skills, knowledge and understanding in environments other than the workplace – for example, workshops, classrooms or other training environments. There must be evidence to cover all of the assessment methods listed in the unit. As a minimum, there must be performance evidence for at least three of the following assessment methods:

- assessments of the learner in simulated environments
- skills tests
- oral and written questions
- assignments
- projects
- case studies
- recognising prior learning.

Simulations are not allowed.

Other forms of evidence will be acceptable for the remaining assessment methods.

The candidate assessor's performance evidence must be assessed by observation, examining the products of work and questioning / discussions.

There must be valid, authentic and sufficient evidence for all the assessment criteria. Holistic assessment is encouraged and one piece of evidence may be used to meet the requirements of more than one learning outcome or assessment criterion.

There must be evidence of the candidate assessor carrying out at least two assessments of two learners' skills, knowledge and understanding (four assessments in total).

## **Level 3 Certificate in Assessing Vocational Achievement**

### **Overview**

This qualification is intended for those who assess both occupational competence in the work environment and vocational skills, knowledge and understanding in environments other than the workplace (for example a workshop, classroom or other training environment).

### **Evidence requirements and assessment guidance**

There is no requirement for each unit to be assessed separately. Assessors are advised to adopt a holistic approach and, where possible, to use one activity as evidence for learning outcomes and assessment criteria for both units. For example, a discussion for 'Assess vocational skills, knowledge and understanding' might provide some evidence for 'Understanding the principles and practices of assessment'. In the same way, if a candidate assessor is working with a learner whose learning programme involves both assessment in the work environment and assessment in a training context, they could use evidence from these assessments for 'Assess competence in the work environment' and 'Assess vocational skills, knowledge and understanding'. However, it is essential that evidence for the assessment criteria in each unit is also identified individually.

### **Unit 1 Understanding the principles and practices of assessment**

The aim of this unit is to assess the candidate assessor's knowledge and understanding of the principles and practices that underpin assessment.

All learning outcomes in this unit must be assessed using methods appropriate to the assessment of knowledge and understanding.



There must be valid, authentic and sufficient evidence for all the assessment criteria. However, one piece of evidence may be used to meet the requirements of more than one learning outcome or assessment criterion.

### **Unit 2 Assess occupational competence in the work environment**

The aim of this unit is to assess the candidate assessor's performance in assessing occupational competence in an individual's work environment. There must be evidence to cover all of the assessment methods listed in the unit. As a minimum, there must be performance evidence for the following assessment methods:

- observation of performance in the work environment
- examining products of work
- questioning the learner.

Simulations are not allowed.

Other forms of evidence will be acceptable for the remaining assessment methods:

- discussing with the learner
- use of others (witness testimony)
- looking at learner statements
- recognising prior learning.

The candidate assessor's performance evidence must be assessed by observation, examining the products of work and questioning / discussions.

There must be valid, authentic and sufficient evidence for all the assessment criteria. Holistic assessment is encouraged and one piece of evidence may be used to meet the requirements of more than one learning outcome or assessment criterion.

There must be evidence of the candidate assessor carrying out at least two assessments of two learners' occupational competence (four assessments in total). This occupational competence must not be in assessment itself. In other words, evidence for this unit must not come from assessing another candidate assessor who in turn is assessing someone else.

### **Unit 3 Assess vocational skills, knowledge and understanding**

The aim of this unit is to assess the candidate assessor's performance in assessing vocational skills, knowledge and understanding in environments other than the workplace – for example workshops, classrooms or other training environments. There must be evidence to cover all of the assessment methods listed in the unit. As a minimum, there must be performance evidence for at least three of the following assessment methods:

- assessments of the learner in simulated environments
- skills tests
- oral and written questions
- assignments
- projects
- case studies
- recognising prior learning.

Simulations are not allowed.



Other forms of evidence will be acceptable for the remaining assessment methods.

The candidate assessor's performance evidence must be assessed by observation, examining the products of work and questioning / discussions.

There must be valid, authentic and sufficient evidence for all the assessment criteria. Holistic assessment is encouraged and one piece of evidence may be used to meet the requirements of more than one learning outcome or assessment criterion.

There must be evidence of the candidate assessor carrying out at least two assessments of two learners' skills, knowledge and understanding (four assessments in total).

## **LLUK ASSESSMENT GUIDANCE FOR QUALIFICATIONS FOR INTERNAL QUALITY ASSURANCE STAFF**

### **Level 4 Award in Understanding the Internal Quality Assurance of Assessment Processes and Practice**

#### **Overview**

This qualification is intended for those who wish to gain an understanding of the principles and practices of internal quality assurance without any requirement to practice.

#### **Evidence requirements and assessment guidance**

##### **Unit 4 Understanding the principles and practices of internally assuring the quality of assessment**

The aim of this unit is to assess knowledge and understanding of the principles and practices that underpin the internal quality assurance of assessment.

All learning outcomes in this unit must be assessed using methods appropriate to the assessment of knowledge and understanding.

There must be valid, authentic and sufficient evidence for all the assessment criteria. However, one piece of evidence may be used to meet the requirements of more than one learning outcome or assessment criterion.

### **Level 4 Award in the Internal Quality Assurance of Assessment Processes and Practice**

#### **Overview**

This qualification is intended for those who maintain the quality of assessment from within an organisation or assessment centre.

#### **Evidence requirements and assessment guidance**

There is no requirement for each unit to be assessed separately. Assessors are advised to adopt a holistic approach and, where possible, to use one activity as evidence for learning outcomes and assessment criteria for both units. For example, a discussion for 'Internally assure the quality of assessment' might provide some evidence for 'Understanding the principles and practices of internally assuring the quality of assessment'. However, it is essential that evidence for the assessment criteria in each unit is also identified individually.



#### **Unit 4 Understanding the principles and practices of internally assuring the quality of assessment**

The aim of this unit is to assess knowledge and understanding of the principles and practices that underpin the internal quality assurance of assessment.

All learning outcomes in this unit must be assessed using methods appropriate to the assessment of knowledge and understanding.

There must be valid, authentic and sufficient evidence for all the assessment criteria. However, one piece of evidence may be used to meet the requirements of more than one learning outcome or assessment criterion.

#### **Unit 5 Internally assure the quality of assessment**

The aim of this unit is to assess the candidate's performance in assuring the quality of assessment from within an organisation or assessment centre.

All learning outcomes in this unit must be assessed using methods appropriate to the candidate IQA's performance. These must include:

- observation of performance
- examining products of work
- questioning.

Direct evidence of this kind may be supplemented, where necessary, by professional discussion, reflective accounts or witness testimony. Simulations are not allowed.

There must be valid, authentic and sufficient evidence for all the assessment criteria. Holistic assessment is encouraged and one piece of evidence may be used to meet the requirements of more than one assessment criterion.

Evidence must come from the Internal Quality Assurance (IQA) candidate's performance in the work environment. There must be evidence of the IQA candidate monitoring a minimum of two assessors, each with a minimum of two candidates of their own, through components of a qualification.

### **Level 4 Certificate in Leading the Internal Quality Assurance of Assessment Processes and Practice**

#### **Overview**

This qualification is intended for those who lead a team of internal quality assurance staff.

#### **Evidence requirements and assessment guidance**

There is no requirement for each unit to be assessed separately. Assessors are advised to adopt a holistic approach and, where possible, to use one activity as evidence for learning outcomes and assessment criteria for both units. For example, a discussion for 'Internally assure the quality of assessment' might provide some evidence for 'Understanding the principles and practices of internally assuring the quality of assessment'. In the same way, some evidence from 'Internally assure the quality of assessment' could be used for 'Plan, allocate and monitor work in own area of responsibility'. However, it is essential that evidence for the assessment criteria in each unit is also identified individually.

#### **Understanding the principles and practices of internally assuring the quality of assessment**

The aim of this unit is to assess knowledge and understanding of the principles and practices that underpin the internal quality assurance of assessment.

All learning outcomes in this unit must be assessed using methods appropriate to the assessment of knowledge and understanding.



There must be valid, authentic and sufficient evidence for all the assessment criteria. However, one piece of evidence may be used to meet the requirements of more than one learning outcome or assessment criterion.

### **Unit 5 Internally assure the quality of assessment**

The aim of this unit is to assess the IQA candidate's performance in assuring the quality of assessment from within an organisation or assessment centre.

All learning outcomes in this unit must be assessed using methods appropriate to the candidate IQA's performance. These must include:

- observation of performance
- examining products of work
- questioning.

Direct evidence of this kind may be supplemented, where necessary, by discussion, reflective accounts or witness testimony. Simulations are not allowed.

There must be valid, authentic and sufficient evidence for all the assessment criteria. Holistic assessment is encouraged and one piece of evidence may be used to meet the requirements of more than one learning outcome or assessment criterion.

Evidence must come from the IQA candidate's performance in the work environment. There must be evidence of the IQA candidate monitoring a minimum of two assessors, each with a minimum of two candidates of their own, through components of a qualification.

### **Unit 8 Plan, allocate and monitor the quality of work in own area of responsibility (Management Standards Centre Unit: MSC D6)**

The aim of this unit is to assess performance in leading the work of a team responsible for the internal quality assurance within an organisation or assessment centre.

All learning outcomes in this unit must be assessed using methods appropriate to the candidate IQA's performance. These must include:

- observation of performance
- examining products of work
- questioning.

Direct evidence of this kind may be supplemented, where necessary, by discussion, reflective accounts or witness testimony.

There must be valid, authentic and sufficient evidence for all the assessment criteria. Holistic assessment is encouraged and one piece of evidence may be used to meet the requirements of more than one learning outcome or assessment criterion.

Evidence must come from performance in the work environment.



## LLUK ASSESSMENT GUIDANCE FOR QUALIFICATIONS FOR EXTERNAL QUALITY ASSURANCE STAFF

### Level 4 Award in Understanding the External Quality Assurance of Assessment Processes and Practice

#### Overview

This qualification is intended for those who wish to gain an understanding of the principles and practices of external quality assurance without any requirement to practice.

#### Evidence requirements and assessment guidance

##### Unit 6 Understanding the principles and practices of externally assuring the quality of assessment

The aim of this unit is to assess knowledge and understanding of the principles and practices that underpin the external quality assurance of assessment.

All learning outcomes in this unit must be assessed using methods appropriate to the assessment of knowledge and understanding.

There must be valid, authentic and sufficient evidence for all the assessment criteria. However, one piece of evidence may be used to meet the requirements of more than one assessment criterion.

### Level 4 Award in Externally Assuring the Quality of Assessment Processes and Practice

#### Overview

This qualification is intended for those who maintain the quality of assessment from outside an organisation or assessment centre, usually on behalf of an awarding organisation.

#### Evidence requirements and assessment guidance

There is no requirement for each unit to be assessed separately. Assessors are advised to adopt a holistic approach and, where possible, to use one activity as evidence for learning outcomes and assessment criteria for both units. For example, a discussion for 'Externally assure the quality of assessment' might provide some evidence for 'Understanding the principles and practices of externally assuring the quality of assessment'. However, it is essential that evidence for the assessment criteria in each unit is also identified individually.

##### Unit 6 Understanding the principles and practices of externally assuring the quality of assessment

The aim of this unit is to assess knowledge and understanding of the principles and practices that underpin the external quality assurance of assessment.

All learning outcomes in this unit must be assessed using methods appropriate to the assessment of knowledge and understanding.

There must be valid, authentic and sufficient evidence for all the assessment criteria. However, one piece of evidence may be used to meet the requirements of more than one assessment criterion.



### **Unit 7 Externally assure the quality of assessment**

The aim of this unit is to assess performance in assuring the quality of assessment from outside an organisation or assessment centre, usually on behalf of an awarding organisation.

All learning outcomes in this unit must be assessed using methods appropriate to the candidate EQA's performance. These must include:

- observation of performance
- examining products of work
- questioning.

Direct evidence of this kind may be supplemented, where necessary, by professional discussion, reflective accounts or witness testimony. Simulations are not allowed.

There must be valid, authentic and sufficient evidence for all the assessment criteria. Holistic assessment is encouraged and one piece of evidence may be used to meet the requirements of more than one learning outcome or assessment criterion.

Evidence must come from performance in the work environment. There must be evidence of carrying out at least two external centre visits, including the preparation for and actions after the actual visit itself.

## **Level 4 Certificate in Leading the External Quality Assurance of Assessment Processes and Practice**

### **Overview**

This qualification is intended for those who lead a team of people responsible for assuring the quality of assessment from outside an organisation or assessment centre, usually on behalf of an awarding organisation.

### **Evidence requirements and assessment guidance**

There is no requirement for each unit to be assessed separately. Assessors are advised to adopt a holistic approach and, where possible, to use one activity as evidence for learning outcomes and assessment criteria for both units. For example, a discussion for 'Externally assure the quality of assessment' might provide some evidence for 'Understanding principles and practices of externally assuring the quality of assessment'. In the same way, some evidence from 'Externally assure the quality of assessment' could be used for 'Plan, allocate and monitor work in own area of responsibility'. However, it is essential that evidence for the assessment criteria in each unit is also identified individually.

### **Unit 6 Understanding the principles and practices of externally assuring the quality of assessment**

The aim of this unit is to assess knowledge and understanding of the principles and practices that underpin the external quality assurance of assessment.

All learning outcomes in this unit must be assessed using methods appropriate to the assessment of knowledge and understanding.

There must be valid, authentic and sufficient evidence for all the assessment criteria. However, one piece of evidence may be used to meet the requirements of more than one learning outcome or assessment criterion.



### **Unit 7 Externally assure the quality of assessment**

The aim of this unit is to assess performance in assuring the quality of assessment from outside an organisation or assessment centre, usually on behalf of an awarding organisation.

All learning outcomes in this unit must be assessed using methods appropriate to the candidate EQA's performance. These must include:

- observation of performance
- examining products of work
- questioning.

Direct evidence of this kind may be supplemented, where necessary, by discussion, reflective accounts or witness testimony. Simulations are not allowed.

There must be valid, authentic and sufficient evidence for all the assessment criteria. Holistic assessment is encouraged and one piece of evidence may be used to meet the requirements of more than one assessment criterion.

Evidence must come from performance in the work environment. There must be evidence of carrying out at least two external centre visits, including the preparation for and actions after the actual visit itself.

### **Unit 8 Plan, allocate and monitor the quality of work in own area of responsibility**

#### **(Management Standards Centre Unit: MSC D6)**

The aim of this unit is to assess performance in leading the work of a team responsible for the external quality assurance of assessment centres.

All learning outcomes in this unit must be assessed using methods appropriate to the candidate EQA's performance. These must include:

- observation of performance
- examining products of work
- questioning.

Direct evidence of this kind may be supplemented, where necessary, by discussion, reflective accounts or witness testimony. There must be valid, authentic and sufficient evidence for all the assessment criteria.

Holistic assessment is encouraged and one piece of evidence may be used to meet the requirements of more than one assessment criterion.

Evidence must come from performance in the work environment.