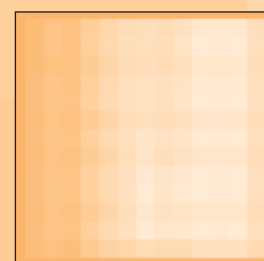


# OCR LEVEL 3 AWARD IN ASSESSING CANDIDATES USING A RANGE OF METHODS



**Scheme Book/CAR**



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**PUBLICATIONS (related to this qualification)**

*The NVQ Toolbox (reference code L391)*

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

**FURTHER INFORMATION**

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

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

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

## INTRODUCTION

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### About this scheme book and cumulative assessment record (CAR)

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

#### **OCR Level 3 Award in assessing candidates using a range of methods**

The OCR scheme code for this qualification is 3435

The QCA qualification accreditation number for this qualification is 100/2414/1

### About this qualification

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

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

### What is a CAR?

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

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

- **Guidance for candidates**
- **Guidance for centres**
- **Assessor and internal verifier requirements**
- **Key Skills signposting**
- **Glossary of terms**
- **Unit A1**
- **Recording documents (for CAR and other purposes)**

## **GUIDANCE FOR CANDIDATES**

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### **How do I achieve this qualification?**

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

### **Do I have to find my own assessor?**

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

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

### **What is independent assessment?**

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

### **About the unit of competence that makes up this qualification**

The OCR Level 3 Award in assessing candidates using a range of methods is a single unit award.

The unit that makes up this award is unit A1 from the Learning and Development national occupational standards. The title of unit A1 is:

#### **Assess candidates using a range of methods**

Unit A1 is broken down into four elements, each with its own title describing the tasks to be carried out. Unit A1 contains four elements:

- A1.1 Develop plans for assessing competence with candidates
- A1.2 Judge evidence against criteria to make assessment decisions
- A1.3 Provide feedback and support to candidates on assessment decisions
- A1.4 Contribute to the internal quality assurance process

### **Is this the right qualification for me?**

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

This qualification will be suitable for you if you assess NVQ candidates using a range of assessment methods.

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

### What is a real work situation?

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

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

### What do the different sections of the unit describe?

The unit describes exactly:

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

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

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

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

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

After the evidence requirements comes a list of **knowledge requirements**. These specify the knowledge you need to be able to carry out the tasks listed in the elements to the standard specified. You can sometimes prove that you have knowledge simply by doing something, but where this is not possible, your assessor may use questioning and/or professional discussion to fully confirm your knowledge.

## What is evidence?

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

Evidence could be:

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

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

Evidence can be anything that proves:

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

For example, evidence that you develop and agree an assessment plan with candidates (Element A1.1, Performance criterion a) could include:

- assessor's notes from observing your assessment planning sessions with candidates
- your report on preparation for a planning session accompanied by a completed assessment plan.

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

For this qualification you need evidence to prove that you:

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

## How much evidence do I need?

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

## What happens to my evidence?

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

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

## Where do I keep my evidence?

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

## Using confidential information

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

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

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

## Who are internal and external verifiers?

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

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

## What records must I keep?

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

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

## Where do I keep all my records?

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

## Reminders

When collecting evidence, you should do the following:

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



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

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

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

### **Can my evidence count towards Key Skills units?**

The evidence you produce for your qualification may prove you have the skills required for the Key Skills units. Signposting to Key Skills appears in a later section. Further guidance is given in the section ‘Key Skills signposting’.

## Access to assessment

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

## Appeals procedure

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

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

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

## We wish you success

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

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

## GUIDANCE FOR CENTRES

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### Who is this qualification for?

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

The OCR Level 3 Award in Assessing candidates using a range of methods will be suitable for staff who assess NVQ candidates using a wide range of assessment methods. Staff will be:

- assessing candidates against agreed standards of competence using a range of assessment methods
- giving feedback to candidates on assessment decisions
- contributing to the internal quality assurance process.

### What is its purpose?

The aim of this qualification is to assess the candidate's competence in assessing NVQ candidates to national standards. This will ensure a national standard for NVQ assessment.

This unit replaces units D32 and D33 in the training and developing standards which have provided a national standard for NVQ assessment in the past.

### Who is involved in the delivery of this qualification?

#### Assessment centre

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

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

#### Trainer

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

Trainers will:

- provide opportunities for learning

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

### **Assessor**

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

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

### **Independent Assessor**

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

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

### **Internal verifier**

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

### **External verifier**

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

## How is this qualification assessed?

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

To gain this qualification a candidate must achieve the level of competence described in unit A1.

The unit contains:

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

Each element contains:

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

The mandatory requirements for this qualification are as follows:

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

## Assessment – How does it work?

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

### Independent assessment

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

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

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

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

### **Initial assessment**

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

### **Assessment planning**

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

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

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

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

### **Making assessment decisions**

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

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

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

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

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

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

## Methods of assessment

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

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

### Valid

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

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

As well as assessment methods being valid, the evidence presented must also be valid. For example, it would not be appropriate to present an organisation's appeals policy as evidence towards Element A1.3, Performance criterion g **'follow the agreed complaints and appeals procedures if candidates disagree with your assessment decisions'** as it would not allow valid assessment of that criterion. It would be more appropriate for the candidate and assessor to have a discussion about the policy and for the candidate to explain how it is relevant, illustrated with examples of their compliance to the requirements. This discussion could then be assessed by the assessor and recorded as evidence. Alternatively the candidate could submit an explanatory report.

### Reliable

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

## Safe and manageable

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

## Suitable to the needs of the candidate

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

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

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

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

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

## Observation

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

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

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

## Examining the evidence

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

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

For example:

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



The product of a candidate's work could be assessment plans, review notes with candidates or candidate records.

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

## Questioning

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

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

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

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

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

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

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

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

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

- the candidate's name
- the date, time and venue of the activity carried out
- a description of the activities performed by the candidate

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

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

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

## Recording assessment

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

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

## Recording the method of assessment

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

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

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

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

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

## Performance evidence

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

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

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

## Where does evidence come from?

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

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

### **Important: Real work**

All performance evidence must come from real work.

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

### **Important: Simulation is not allowed for this qualification**

## What medium can be used?

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

## How much evidence is needed?

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

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

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

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

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

## Cumulative assessment record (CAR)

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

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

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

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

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

## Verification – How does it work?

### Internal verification

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

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

### External verification

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

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

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

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

## Centre records – assessment and verification

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

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

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

## Certification

### Claiming certificates

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

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

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

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

### **OCR Level 3 Award in assessing candidates using a range of methods**

### **Important: Ten-week rule**

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

## Key Skills units

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

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

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

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

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

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

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

## Access to assessment

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

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

## Appeals procedure

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

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

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

## Centre approval

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

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

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

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

## OCR's advisory service

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

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

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

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



## **Other related OCR qualifications**

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

OCR Level 3 NVQ in Learning and Development  
OCR Level 3 NVQ in Direct Training and Support

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

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

## **Customer feedback**

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

The Professional Officer  
OCR Level 3 Award in assessing candidates using a range of methods  
NVQ Processes  
OCR  
Coventry Office  
Westwood Way  
Coventry  
CV4 8JQ

## ASSESSOR AND INTERNAL VERIFIER REQUIREMENTS

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### **Important:** Assessor and internal verifier requirements

#### **Assessors**

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

**Important:** Assessors for this qualification are required to have achieved their relevant assessor unit(s) (D32 & D33 or A1) **before** they can start to assess assessor-candidates.

Sufficient occupational competence is defined as:

- having held a post for a minimum of one year within the last two years, which involved performing the activities defined in the standards as an experienced practitioner
- or**
- being an experienced trainer or instructor of at least one year's standing in the competence area of the standards

#### **and for both of the above:**

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

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

#### **Internal verifiers**

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

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

Sufficient occupational competence is defined as:

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

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

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

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

## KEY SKILLS SIGNPOSTING

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

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

For the Learning and Development standards, the Key Skills are signposted at unit level. A list is provided below to identify which of the Key Skills are likely to be evidenced by evidence from the Learning and Development unit A1.

- Communication Level 3
- Application of Number Level 2
- Information Technology Level 2
- Working with Others Level 3
- Improving Own Learning and Performance Level 3
- Problem Solving Level 3

### **Getting the evidence right**

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

## GLOSSARY OF TERMS

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### **Action plan**

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

### **Assessment plan**

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

### **Assessment record**

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

### **Element/component of an award**

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

### **Endorsed assessment plan**

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

### **External audit and sampling**

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

## **Internal quality assurance and standardisation of assessment**

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

## **Professional discussion**

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

## **Progress reviews**

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

## **Sampling framework/strategy**

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

## **Systems documentation**

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

# UNIT A1      ASSESS CANDIDATES USING A RANGE OF METHODS

## UNIT OVERVIEW

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**This unit is appropriate for you if your role involves:**

- assessing candidates against agreed standards of competence using a range of assessment methods
- giving candidates feedback on your assessment decisions
- contributing to the internal quality assurance processes.

**The activities you are likely to be involved in:**

- developing realistic plans for learning and assessment with candidates
- understanding assessment requirements
- planning the assessment process with candidates and the other people involved
- helping candidates to meet the agreed assessment requirements
- reviewing the candidate's level of competence and identifying what they need to do to be fully competent
- supporting candidates with different needs during your assessment
- using a variety of assessment methods
- making a record of your assessment decisions
- giving candidates feedback on their performance and reviewing their progress throughout the assessment process
- using different types of evidence to give an overall assessment of competence
- working with the other people involved in the assessment process, such as workplace supervisors and other teachers or trainers.

**What the unit covers:**

- 1 developing plans for assessing competence with candidates
- 2 judging evidence against agreed standards to make assessment decisions
- 3 giving candidates feedback and support on your assessment decisions
- 4 contributing to the internal quality assurance process.

**Preferred methods of assessment for this unit:**

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

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

For example, you could agree with your assessor to use a professional discussion to demonstrate how you have used three different types of evidence to demonstrate achievement of particular standards rather than asking you to create a written report.



# UNIT A1      ASSESS CANDIDATES USING A RANGE OF METHODS

## Element A1.1

Develop plans for assessing competence with candidates



### Performance criteria

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You must be able to do the following:

- a) develop and agree an assessment plan with candidates
- b) check that all candidates understand the assessment process involved, the support available to them and the complaints and appeals procedure
- c) agree fair, safe, valid and reliable assessment methods
- d) identify appropriate and cost-effective opportunities for assessing performance
- e) plan for using different types of evidence
- f) identify how the past experience and achievements of candidates will contribute to the assessment process
- g) identify and agree any special arrangements needed to make sure the assessment process is fair
- h) identify how other people will contribute to assessments and what support they may need
- i) identify how to protect confidentiality and agree arrangements to deal with sensitive issues
- j) agree how you will handle any difficulties or disputes during the assessment
- k) agree when assessment will take place with candidates and the other people involved
- l) agree arrangements with candidates for reviewing their progress against the assessment plan
- m) review and update assessment plans to take account of what the candidates have achieved

# UNIT A1      ASSESS CANDIDATES USING A RANGE OF METHODS

## Element A1.2

Judge evidence against criteria to make assessment decisions



### Performance criteria

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You must be able to do the following:

- a) use the agreed assessment methods to assess competence in appropriate situations
- b) use the past experience and achievements of candidates as part of the assessment of their current competence
- c) ensure that the evidence comes from the candidates' own work
- d) make safe, fair, valid and reliable decisions about the competence of candidates, only on the agreed standard
- e) collect evidence from the other people involved in the assessment process
- f) apply any agreed special arrangements to make sure the assessment is fair
- g) base your decisions on all the relevant evidence of candidates' performance and knowledge. Take this evidence from as many places as possible
- h) explain and resolve any inconsistencies in the evidence
- i) make a record of the outcomes of assessments by using the agreed recording system
- j) speak to the appropriate person if you and the candidate cannot agree on your assessment of their performance

# UNIT A1      ASSESS CANDIDATES USING A RANGE OF METHODS

## Element A1.3

Provide feedback and support to candidates on assessment decisions



### Performance criteria

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You must be able to do the following:

- a) give candidates feedback at an appropriate time and place
- b) give candidates feedback in a constructive and encouraging way, which meets their needs and is appropriate to their level of confidence
- c) clearly explain your assessment decisions on whether candidates' evidence of competence is good enough
- d) give candidates advice when they cannot prove their competence and on how they can develop the necessary skills or provide more evidence
- e) encourage candidates to get advice on your assessment decisions
- f) identify and agree the next steps in the assessment process and how candidates will achieve these
- g) follow the agreed complaints and appeals procedures if candidates disagree with your assessment decisions

## Element A1.4

Contribute to the internal quality assurance process



### Performance criteria

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You must be able to do the following:

- a) ensure your assessment records are accurate and up to date, and provide an audit trail of evidence
- b) contribute to standardisation arrangements so that your assessment decisions are in line with others
- c) give accurate and timely information on assessments
- d) contribute to the agreed quality assurance process

# UNIT A1 ASSESS CANDIDATES USING A RANGE OF METHODS

## Evidence requirements

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

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

This unit covers assessing of candidates by using different assessment methods. These include:

- watching candidates perform in the workplace
- asking candidates questions
- taking account of past experience and achievements
- setting tests
- setting projects and tasks
- arranging simulations
- assessing the candidate's report of their work
- using evidence from other people, including peers and witnesses.

Assessment can include using material from Awarding Bodies and from within your own organisation. It can also include assessing the competence of those who assess candidates as a major part of their role.

The minimum evidence you need for this unit is listed below:

<p><b>THREE assessment plans</b> you have produced for a minimum of 2 different candidates.</p> <p><b>PLUS</b></p> <p><b>ONE record</b> which states the assessment methods you have selected to assess specific aspects of competence.</p>	<p>Each <b>plan</b> must cover one <b>full</b> unit of competence, which can be certificated. Over the 3 plans you must cover a minimum of <b>4</b> assessment methods including the observation of candidate(s) and one opportunity to involve others in making a contribution to the assessment process.</p> <p>All candidates must show they have agreed assessment requirements.</p> <p>This <b>record</b> must indicate why the assessment methods are valid, reliable and fair indicators of competence and cover a minimum of <b>four</b> assessment methods showing how others have been involved in the assessment process.</p>
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# UNIT A1 ASSESS CANDIDATES USING A RANGE OF METHODS

## Evidence requirements (continued)

<p><b>PLUS</b></p> <p><b>TWO written outcomes</b> from progress reviews you have conducted with a minimum of 2 candidates.</p>	<p>The two <b>written outcomes</b> should include evidence of having updated assessment plans.</p>
<p><b>PLUS</b></p> <p><b>THREE assessment decision records</b> for a minimum of 2 different candidates.</p>	<p>The <b>assessment decision records</b> must relate to the 3 assessment plans you are submitting for element A1.1.</p>
<p><b>PLUS</b></p> <p><b>ONE record</b> which shows how you have used 3 different types of evidence to demonstrate achievement of particular standards, used observation of the candidate as an assessment method.</p>	<p>The <b>record</b> must explain how you implemented the assessment methods and evaluated the effectiveness of them in the light of assessing candidates. You must show how you have demonstrated competence in respect of element A1.2 criteria c), d) and g).</p>
<p><b>PLUS</b></p> <p>A minimum of <b>ONE observation</b> of you providing feedback to a candidate.</p>	<p>Observation may take place in person or using appropriate technology such as a video tape.</p>
<p><b>PLUS</b></p> <p><b>TWO records</b> of you providing feedback to candidates on other occasions.</p>	
<p><b>PLUS</b></p> <p><b>ONE record</b> of a professional discussion between you and your assessor based on feedback to candidates.</p>	<p>You must indicate how element A1.3 criteria a), d) and f) were addressed.</p>
<p><b>PLUS</b></p> <p><b>ONE assessment record</b> each for 2 different candidates which have been used as part of the internal quality assurance process.</p>	

# UNIT A1 ASSESS CANDIDATES USING A RANGE OF METHODS

## Evidence requirements (continued)

<p><b>PLUS</b></p> <p><b>FOUR written reviews</b> of at least 2 pieces of evidence for each of 2 different candidates.</p> <p><b>PLUS</b></p> <p><b>ONE written statement</b> from the person responsible for internal quality assurance (eg an internal verifier for N/SVQs).</p> <p><b>Knowledge Evidence Requirements</b></p> <p><b>ONE record</b> of a professional discussion between you and your assessor.</p>	<p>You must have contributed to internal standardisation procedures involving these reviews.</p> <p>The <b>statement</b> must demonstrate how you have contributed to agreed quality assurance procedures.</p> <p>During the <b>professional discussion</b> you should review any method of assessment not covered by performance evidence and:</p> <ul style="list-style-type: none"> <li>▪ indicate the validity and reliability of each method</li> <li>▪ review any potential issues of fairness and access in relation to individual assessment methods</li> <li>▪ cover all of the following methods if not covered by performance evidence: <ul style="list-style-type: none"> <li><input type="checkbox"/> questioning</li> <li><input type="checkbox"/> accreditation of prior experience and achievement</li> <li><input type="checkbox"/> formal testing</li> <li><input type="checkbox"/> projects and assignments</li> <li><input type="checkbox"/> simulations</li> <li><input type="checkbox"/> candidate and peer reports</li> <li><input type="checkbox"/> evidence from others.</li> </ul> </li> </ul>
<p><b>PLUS</b></p> <p><b>ONE written or spoken explanation</b> of the procedures used within your centre.</p>	<p>The <b>explanation</b> must include the following procedures:</p> <ul style="list-style-type: none"> <li>▪ how to provide access to assessment for candidates with individual special needs and special assessment requirements</li> </ul>

# UNIT A1      ASSESS CANDIDATES USING A RANGE OF METHODS



## Evidence requirements (continued)

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	<ul style="list-style-type: none"><li>▪ how disputes and appeals about assessment decisions are handled</li><li>▪ the internal standardisation and quality assurance arrangements</li><li>▪ how assessments are recorded</li><li>▪ sources of information regarding assessment requirements and best practice.</li></ul>
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# UNIT A1      ASSESS CANDIDATES USING A RANGE OF METHODS



## Knowledge requirements

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

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

### The nature and role of assessments of competence

- 1 how to identify and use different types of evidence when carrying out assessments
- 2 how to identify and compare different types of evidence when making your assessment decisions
- 3 how to collect evidence in ways that are cost-effective and timely
- 4 how to collect and use evidence from candidates' prior experience and achievements within the current assessment process
- 5 how to develop and agree assessment plans with candidates and the other people involved
- 6 how to accurately assess performance against specific parts of a standard
- 7 how to take appropriate action and help candidates develop their competence
- 8 how to change assessment procedures to meet the individual needs of candidates
- 9 how to identify the difficulties in making safe, fair, valid and reliable assessments of evidence and who to involve in such cases
- 10 how to follow standardisation and internal quality assurance procedures.

### Principles and concepts

- 11 how to measure existing levels of competence
- 12 how to make valid and reliable assessments of candidates' knowledge
- 13 how to make valid and reliable assessments of candidates' performance
- 14 how to make sure you have covered all the agreed criteria during an assessment
- 15 how to check that the evidence is the candidates' own work
- 16 how to make sure that supporting evidence supplied by other people is reliable
- 17 how to encourage candidates to consider and use their past experience and achievements
- 18 how to give constructive feedback on existing levels of competence and what candidates need to do to be fully competent
- 19 how to involve candidates in planning assessments
- 20 how to keep to the Data Protection Act
- 21 how to encourage candidates who have different levels of confidence and experience to take an active part in their assessment
- 22 how to use language and behaviour which does not discriminate against any candidate
- 23 how to meet the different needs of candidates



# UNIT A1      ASSESS CANDIDATES USING A RANGE OF METHODS



## Knowledge requirements (continued)

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- 24 how to give feedback to candidates with different levels of confidence and experience
- 25 how to encourage candidates to ask questions and get advice
- 26 how to monitor and review progress with candidates
- 27 how to identify changes in levels of candidates' competence and assess how this affects your own competence
- 28 how to use opportunities to update your skills and experience
- 29 how to identify and use information on current assessment best practice
- 30 how to use personal development opportunities to improve your assessment skills.

### External factors influencing the assessment of national standards

- 31 how to meet candidates' needs for access to safe, fair, valid and reliable assessment, in line with relevant legislation
- 32 how to recognise and challenge unfair discrimination in assessments
- 33 who to get advice from about meeting candidates' special assessment requirements
- 34 how to identify and plan for issues of confidentiality and data protection during the assessment process
- 35 how to record, store and pass on assessment decisions to other people within an agreed system
- 36 how to identify and assess things that can influence your own competence
- 37 how to identify appropriate sources of support for your own development.

## RECORDING DOCUMENTS

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

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

### **Evidence record sheet (Candidates need one for each element)**

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

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

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

### **Evidence summary record**

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

### **Witness list**

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

**Completed examples and master copies of all these forms follow.**

# OCR Level 3 Award in Assessing Candidates Using a Range of Methods

## Evidence Record Sheet

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

### Element A1.1 Develop plans for assessing competence with candidates

Signature of candidate: John Jones Date: 19-10-02

Evidence reference or location	Evidence title	Assessment method	Performance criteria												
			a	b	c	d	e	f	g	h	i	j	k	l	m
1	Assessment plan and rationale for J Brown	EP/EPS	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	
2	Assessment plan and rationale for D Ross	EP/EPS	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	
3	Assessment plan and rationale for D Summers (1)	EP/EPS	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	
4 + 5	Assessment decision record and case history for J Brown	EP/ECH													✓
6	Assessment review with D Ross	EP													✓
7	Assessment review with D Summers	EP													✓
10	Assessor observation of assessment planning, assessment observation and feedback to J Brown	O	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓

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

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

*(Please photocopy this sheet for recording further evidence)*

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

Signature of assessor: Jane Ramsden Date: 19-10-02

IV initials (if sampled): Barry Gene Date: 20-10-02

# OCR Level 3 Award in Assessing Candidates Using a Range of Methods

## Knowledge Evidence Record Sheet

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

### Unit A1 Assess candidates using a range of methods

Signature of candidate: John Jones Date: 19-10-02

Evidence reference or location	Evidence title	Assessment method	<input type="checkbox"/> Knowledge requirements
4 + 5	Case history about assessment and assessment decisions for J Brown	EP/ECH	1, 2, 3, 4, 5
10	Assessor observation of assessment planning, assessment and feedback with J Brown	O	6, 7, 8, 9, 11, 12, 13, 14, 15, 18, 19, 21, 22, 23, 24, 25
11	Witness testimony from IV about feedback	EWT	12, 13, 14, 15, 16, 29, 31, 35, 36
13	Professional discussion about A1	PD	1, 2, 3, 4, 5, 6, 9, 12, 17, 21, 22, 23, 27, 31, 32, 33, 34
16	August standardisation meeting minutes	EP	10, 29, 36, 37
17	Witness testimony from IV about assessment practices	EWT/QW	18, 27, 33
18	Personal statement about QA procedures	EPS/EP	16, 20, 26, 28, 30, 31, 32, 33, 35, 36, 37
19	Knowledge & Understanding questions	EWA	1 - 37

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

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

*(Please photocopy this sheet for recording further evidence)*

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

Signature of assessor: Jane Ramsden Date: 19-10-02

IV initials (if sampled): Barry Gene Date: 20-10-02

# OCR LEVEL 3 AWARD IN ASSESSING CANDIDATES USING A RANGE OF METHODS



## Evidence Summary Record

Candidate: John Jones Assessor: Jane Ramsden

Internal Verifier: Barry Gene

Evidence reference	Evidence title and description	Location if not included in portfolio of evidence
1.	Assessment plan and rationale for J Brown (Candidate 1)	Assessors record folder - JB
2.	Assessment plan and rationale for D Ross (Candidate 2)	Assessors record folder - DR
3.	Assessment plan and rationale for D Summers (Candidate 3) (1)	Assessors record folder - DS
4.	Assessment decision record for J Brown	Assessors record folder - JB
5.	Case history for assessment decision record with J Brown and justification of evidence	
6.	Assessment review with D Ross	Assessors record folder - DR
7.	Assessment review with D Summers	Assessors record folder - DS
8.	Assessment decision record for D Ross	
9.	Assessment decision record for D Summers	
10.	Assessor observation of planning, assessment and feedback given to J Brown (Candidate 1)	
11.	Witness testimony from IV about feedback given to D Ross (Candidate 2)	
12.	Witness testimony from IV about feedback given to D Summers	
13.	Professional discussion about A1	
14.	Evidence record sheets for J Brown (Candidate 1)	Assessors record folder - JB
15.	Evidence record sheets for D Ross (Candidate 2)	
16.	Minutes of August standardisation meeting	Assessors minutes folder
17.	Witness testimony from IV about assessment practice(s)	
18.	Personal report about internal QA procedures and examples of assessment paperwork	Assessment paperwork located in Quality Manual
19.	Knowledge and understanding questions	
20.	Witness testimony from D Ross/D Summers' line manager	

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

# OCR LEVEL 3 AWARD IN ASSESSING CANDIDATES USING A RANGE OF METHODS

## Witness List

Candidate name: John Jones Candidate signature: John Jones

Evidence reference	Witness name (including contact address and telephone number and witness signature)	Witness status
11 + 17	<p><b><u>Mary Whitehouse, Internal Verifier</u></b></p> <p>ABC Training, Short Street, Inverness</p> <p>Signature of witness: <u>Mary Whitehouse</u> Date: <u>18-10-02</u></p>	C
12	<p><b><u>Jayne MacDonald, Administration Assessor</u></b></p> <p>ABC Training, Short Street, Inverness</p> <p>Signature of witness: <u>Jayne MacDonald</u> Date: <u>16-10-02</u></p>	A
20	<p><b><u>Trevor Brown, Customer Service Manager</u></b></p> <p>Scottish Tourist Board High Street INVERNESS</p> <p>Signature of witness: <u>Trevor J Brown</u> Date: <u>10-10-02</u></p>	E
Status of witness:	<p>A - An assessor, occupationally competent (but not responsible for the assessment of the candidate)</p> <p>B - An assessor who is not occupationally competent</p> <p>C - Not an assessor, but occupationally competent and familiar with the standards (eg line manager, colleague)</p> <p>D - Not an assessor, but occupationally competent and not familiar with the standards (eg supplier)</p> <p>E - Not an assessor, not occupationally competent and not familiar with the standards (eg customer)</p>	

## OCR Level 3 Award in Assessing Candidates Using a Range of Methods

### Evidence Record Sheet

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

Element A1.1      **Develop plans for assessing competence with candidates**

Signature of candidate: \_\_\_\_\_ Date: \_\_\_\_\_

Evidence reference or location	Evidence title	Assessment method	<input type="checkbox"/> Performance criteria															
			a	b	c	d	e	f	g	h	i	j	k	l	m			
<p><b>Assessment method key:</b> O = observation of candidate; EP = examination of product; EWT = examination of witness testimony; ECH = examination of case history; EPS = examination of personal statement; EWA = examination of written answers to questions; QC = questioning of candidate; QW = questioning of witness; PD = professional discussion</p> <p><b>If the piece of evidence has been independently assessed please add (I) after the evidence title</b></p>																		

*(Please photocopy this sheet for recording further evidence)*

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

Signature of assessor: \_\_\_\_\_ Date: \_\_\_\_\_

IV initials (if sampled): \_\_\_\_\_ Date: \_\_\_\_\_

## OCR Level 3 Award in Assessing Candidates Using a Range of Methods

### Evidence Record Sheet

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

**Element A1.2 Judge evidence against criteria to make assessment decisions**

Signature of candidate: \_\_\_\_\_ Date: \_\_\_\_\_

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

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

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

*(Please photocopy this sheet for recording further evidence)*

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

Signature of assessor: \_\_\_\_\_ Date: \_\_\_\_\_

IV initials (if sampled): \_\_\_\_\_ Date: \_\_\_\_\_



# OCR Level 3 Award in Assessing Candidates Using a Range of Methods

## Evidence Record Sheet

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

**Element A1.3 Provide feedback and support to candidates on assessment decisions**

Signature of candidate: \_\_\_\_\_ Date: \_\_\_\_\_

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

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

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

*(Please photocopy this sheet for recording further evidence)*

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

Signature of assessor: \_\_\_\_\_ Date: \_\_\_\_\_

IV initials (if sampled): \_\_\_\_\_ Date: \_\_\_\_\_


# OCR Level 3 Award in Assessing Candidates Using a Range of Methods

## Evidence Record Sheet

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

Element A1.4      **Contribute to the internal quality assurance process**

Signature of candidate: \_\_\_\_\_ Date: \_\_\_\_\_

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

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

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

*(Please photocopy this sheet for recording further evidence)*

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

Signature of assessor: \_\_\_\_\_ Date: \_\_\_\_\_

IV initials (if sampled): \_\_\_\_\_ Date: \_\_\_\_\_

# OCR Level 3 Award in Assessing Candidates Using a Range of Methods

## Knowledge Evidence Record Sheet

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

### Unit A1 Assess candidates using a range of methods

Signature of candidate: \_\_\_\_\_ Date: \_\_\_\_\_

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

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

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

*(Please photocopy this sheet for recording further evidence)*

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

Signature of assessor: \_\_\_\_\_ Date: \_\_\_\_\_

IV initials (if sampled): \_\_\_\_\_ Date: \_\_\_\_\_

# OCR LEVEL 3 AWARD IN ASSESSING CANDIDATES USING A RANGE OF METHODS



## Evidence Summary Record

Candidate: \_\_\_\_\_ Assessor: \_\_\_\_\_

Internal Verifier: \_\_\_\_\_

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

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

# OCR LEVEL 3 AWARD IN ASSESSING CANDIDATES USING A RANGE OF METHODS

## Witness List

Candidate name: \_\_\_\_\_ Candidate signature: \_\_\_\_\_

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