

Guidance to centres

**Edexcel Levels 2 and 3
NVQ for Teaching Assistants**

April 2003

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Authorised by Peter Goff

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Section 1: General information about NVQs

Introduction

This section provides an overview of NVQs. If you are already familiar with the concept of NVQs, you may wish to go straight to *Section 2: The NVQ Levels 2 & 3 for Teaching Assistants*.

What are NVQs?

National Vocational Qualifications (NVQs) are work-based qualifications that assess the skills and knowledge people need to perform their job role effectively. The qualifications are based on national occupational standards which define what employees, or potential employees, must be able to do and know, how well they must do these things and the circumstances in which they have to use the skills or carry out the activities.

The standards are usually defined by National Training Organisations (NTOs) which are made up of representatives from the relevant industrial sector.

The National Training Organisation for Teaching Assistants is:

The Local Government National Training Organisation (LGNTO)

Layden House

76-86 Turnmill Street

London EC1M 5LG

Telephone: 020 7296 6600

Fax: 020 7296 6666

Website: www.lgnto.gov.uk

Each NVQ is designed to fit into a broad qualifications framework, which allows for the comparison of different qualifications in the UK and throughout Europe.

NVQs are open to all. There are no entry requirements, no prescribed methods of delivery, no time constraints for completion and no age limits. Candidates do not have to achieve their NVQ all at once; unit accreditation is available for those wishing to achieve an NVQ unit by unit over a period of time.

On occasions, special assessment arrangements may be needed in order to provide equal opportunities to candidates with special needs. Further information on special assessment arrangements can be found in *Section 5: Further information*.

NVQs are available at five levels which reflect the range of technical and supervisory skills, knowledge and experience that employees should have as they progress in their industry. An explanation of the levels is provided on the following page.

Explanation of levels

Level	Candidates must show their competence:
Level 1	in a range of activities that are largely routine and predictable.
Level 2	in a broader range of work activities that are less routine and predictable. Their job role will need to have some autonomy and responsibility and may require them to work as part of a team.
Level 3	by applying their knowledge and skills while carrying out a broad range of varied work activities, most of which are complex and non-routine. Their job role will have considerable autonomy or responsibility and often require them to manage others.
Level 4	through complex work activities that require technical knowledge. Their job role requires substantial personal autonomy and often requires them to take responsibility for the work of others and for allocating resources.
Level 5	when carrying out activities in a wide range of situations, which are often unpredictable. Substantial responsibility and autonomy is involved in the job role, which requires deciding on the allocation of resources and the work of others. It requires the use of complex skills such as analysis, design and evaluation.

What is the structure of an NVQ?

All NVQs have a common structure. They consist of standards that can be broken down into the following parts:

Evidence achievement record

Unit title
The title describes a role or task.

Unit 2.1 Help with classroom resources and records

Element 2.1.1 Help with organisation of the learning environment

Performance indicators						
You must show that you:						
1.	set out learning resources in line with the preparation requirements given to you	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
2.	check the availability and location of safety equipment in the learning environment	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
3.	set out learning materials as directed by teacher	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
4.	report shortages of learning materials to teacher	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
5.	encourage pupils to return materials to appropriate place after use	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
6.	encourage pupils to dispose of wastes in a safe and tidy manner	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
7.	check the condition of learning resources and materials after use	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
8.	bring any damage or losses to learning resources and materials to the attention of the teacher as soon as practicable.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

Performance indicators
These set out what candidates must do to show they can perform the work task competently. All the performance indicators need to be met.

Element
Each unit is made up of a number of elements. Each element describes a specific work activity that candidates have to perform and the skills, knowledge or understanding required.

Knowledge base

Unit 2.1

Help with classroom

Knowledge base
This states what candidates must know and understand, and how this knowledge applies to their jobs.

ords

Element 2.1.1

Help with organisatio

onment

Evidence key:

EI	Evidence Index No.	O	Observation	P	Personal Statement
WT	Witness Testimony	PD	Professional Discussion	Q&A	Questions and Answers
APL	Accreditation of Prior Learning				

You must know and understand:	Type of Evidence						
	EI	O	P	WT	PD	APL	Q&A DATE
i. your role and responsibility for helping to organise the learning environment	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
ii. the roles and responsibilities of others within the school in respect of establishing and maintaining learning environments	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
iii. the principles and practices of inclusive education and the implications of these for setting out learning environments	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
iv. what safety equipment is kept in different learning environments	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
v. where different equipment and materials are kept	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
vi. the school's health and safety policy as it applies to learning environments, resources and materials	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
vii. the school requirements and any other guidance for health, hygiene, safety, security and supervision in the setting, including access to premises, store rooms and storage areas.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

Evidence achievement record

Unit 2.1 Help with classroom resources and records

Element 2.1.1 Help with organisation of the learning environment

Scope	Assessor to insert date each time competence is achieved
Scope of learning resources to which this standard applies:	
a. basic classroom equipment and furniture	<div style="border: 1px solid black; padding: 5px; display: inline-block;"> <p>Scope The scope defines the various circumstances in which candidates must be able to prove they are competent. Candidates must cover all of the items in the scope statement unless otherwise stated. There should be opportunities to cover the scope across different elements.</p> </div> <input style="width: 40px; height: 20px; margin-left: 10px;" type="checkbox"/>
b. curriculum specific equipment	<input style="width: 40px; height: 20px;" type="checkbox"/>
c. ICT resources.	<input style="width: 40px; height: 20px;" type="checkbox"/>
Scope of safety equipment to which this standard applies:	
a. first aid box	<input style="width: 40px; height: 20px;" type="checkbox"/> <input style="width: 40px; height: 20px;" type="checkbox"/> <input style="width: 40px; height: 20px;" type="checkbox"/> <input style="width: 40px; height: 20px;" type="checkbox"/> <input style="width: 40px; height: 20px;" type="checkbox"/>
b. to protect children and adults against accidents	<input style="width: 40px; height: 20px;" type="checkbox"/> <input style="width: 40px; height: 20px;" type="checkbox"/> <input style="width: 40px; height: 20px;" type="checkbox"/> <input style="width: 40px; height: 20px;" type="checkbox"/> <input style="width: 40px; height: 20px;" type="checkbox"/>
c. for use in an emergency.	<input style="width: 40px; height: 20px;" type="checkbox"/> <input style="width: 40px; height: 20px;" type="checkbox"/> <input style="width: 40px; height: 20px;" type="checkbox"/> <input style="width: 40px; height: 20px;" type="checkbox"/> <input style="width: 40px; height: 20px;" type="checkbox"/>
Scope of learning environments to which this standard applies:	
a. general teaching area	<input style="width: 40px; height: 20px;" type="checkbox"/> <input style="width: 40px; height: 20px;" type="checkbox"/> <input style="width: 40px; height: 20px;" type="checkbox"/> <input style="width: 40px; height: 20px;" type="checkbox"/> <input style="width: 40px; height: 20px;" type="checkbox"/>
b. specialist teaching area	<input style="width: 40px; height: 20px;" type="checkbox"/> <input style="width: 40px; height: 20px;" type="checkbox"/> <input style="width: 40px; height: 20px;" type="checkbox"/> <input style="width: 40px; height: 20px;" type="checkbox"/> <input style="width: 40px; height: 20px;" type="checkbox"/>
c. outdoor area.	<input style="width: 40px; height: 20px;" type="checkbox"/> <input style="width: 40px; height: 20px;" type="checkbox"/> <input style="width: 40px; height: 20px;" type="checkbox"/> <input style="width: 40px; height: 20px;" type="checkbox"/> <input style="width: 40px; height: 20px;" type="checkbox"/>
Scope of materials to which this standard applies:	
a. general classroom items	<input style="width: 40px; height: 20px;" type="checkbox"/> <input style="width: 40px; height: 20px;" type="checkbox"/> <input style="width: 40px; height: 20px;" type="checkbox"/> <input style="width: 40px; height: 20px;" type="checkbox"/> <input style="width: 40px; height: 20px;" type="checkbox"/>
b. curriculum specific materials	<input style="width: 40px; height: 20px;" type="checkbox"/> <input style="width: 40px; height: 20px;" type="checkbox"/> <input style="width: 40px; height: 20px;" type="checkbox"/> <input style="width: 40px; height: 20px;" type="checkbox"/> <input style="width: 40px; height: 20px;" type="checkbox"/>
c. written materials.	<input style="width: 40px; height: 20px;" type="checkbox"/> <input style="width: 40px; height: 20px;" type="checkbox"/> <input style="width: 40px; height: 20px;" type="checkbox"/> <input style="width: 40px; height: 20px;" type="checkbox"/> <input style="width: 40px; height: 20px;" type="checkbox"/>

Who is involved in NVQs?

A number of individuals and organisations are involved in NVQ assessment. Their roles have been designed to guarantee fair, accurate and consistent assessment.

	Who are they?	What is their role?
Centres	<ul style="list-style-type: none"> Organisations that offer NVQs on behalf of Edexcel. They may be a school, college, university, training provider or employer. 	<ul style="list-style-type: none"> Responsible for the quality of the qualification. They must work within Edexcel's policies and guidelines, one of which is to provide a realistic working environment (RWE). Centres appoint assessors and internal verifiers. Once a year, centres must review the operation of the course and candidates' performance (see 'Review and evaluation' in <i>Section 5: Further information</i>).
Candidate	<ul style="list-style-type: none"> The people who want to achieve the NVQ, eg an employee. 	<ul style="list-style-type: none"> Need to show they can perform to national standards in order to be awarded an NVQ or unit(s).
Assessors	<ul style="list-style-type: none"> The person who assesses the candidates and decides if they have met the required standard, eg a supervisor. 	<ul style="list-style-type: none"> Judge candidate's evidence of performance and knowledge base against the national standards and decide whether candidates have demonstrated competence.
Internal verifiers	<ul style="list-style-type: none"> Individuals appointed by the centre who ensure that assessors apply the standards consistently, eg supervisor's line manager. 	<ul style="list-style-type: none"> Advise and support assessors and maintain the quality of assessment in a centre. They sample assessments systematically to confirm the quality and consistency of assessment decisions.
External verifier	<ul style="list-style-type: none"> Individuals appointed by Edexcel to ensure that standards are being applied uniformly and consistently across all centres offering the NVQ. 	<ul style="list-style-type: none"> Check the quality and consistency of assessments, both within and between centres, by systematically sampling evidence. Make regular visits to centres to ensure they continue to meet the approval criteria.
Edexcel	<ul style="list-style-type: none"> Your awarding body, approved by the government to offer qualifications and awards. Edexcel is one of the leading examining and awarding bodies in the UK and throughout the world, providing a wide range of qualifications including academic, vocational, occupational and specific programmes for employers. 	<ul style="list-style-type: none"> Issue candidates' certificate so that employers can be sure the qualification has been gained after a rigorous and effective assessment process.

Assessors, internal verifiers and external verifiers should have occupational expertise in the NVQs they are assessing and verifying. The NTO will normally specify the level of occupational expertise required, within the standards.

All assessors will either hold the relevant qualification for assessors of national occupational standards or have a development plan indicating progress towards that qualification. This can take the form of the 'A and V units' (the new national standards for assessment and verification) or an alternative qualification that the NTO recognises (eg D32/33).

Occupational competence - key requirements

Detailed specifications for the occupational competence of assessors of Teaching Assistants are shown on page 48.

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Section 2: The Edexcel NVQs for Teaching Assistants

The Edexcel Levels 2 & 3 NVQ for Teaching Assistants recognise the skills and knowledge base of candidates and allows them to gain a qualification in the workplace that relates to their job area and promotes good working practice.

The standards on which these NVQs are based have been developed by the Local Government NTO (LGNTO), the national training organisation for this industrial sector.

The NVQ is designed to be assessed in the workplace, for example:

- specialist teaching area, eg ICT
- general teaching area
- outdoor area
- visits.

The use of performance evidence from simulated situations is only acceptable in respect of health and safety and child protection contingencies for which evidence from the candidate's workplace performance may not be forthcoming.

Components of the national occupational standards against which performance evidence from simulations is permitted are clearly identified within the standards.

Which Teaching Assistants NVQs are available and who are they for?

The following NVQs for Teaching Assistants are presently available:

- Edexcel Level 2 NVQ for Teaching Assistants
- Edexcel Level 3 NVQ for Teaching Assistants

It is important that the most appropriate NVQ and level is selected for each candidate.

These NVQs are suitable for all staff who work with teachers in classrooms supporting the learning process in primary, special and secondary schools. This includes those with a general support role and those with specific responsibilities for a pupil, subject area or age group. These staff currently have a range of job titles such as teaching assistant, classroom assistant, learning support assistant, special needs assistant. Teaching assistant is used as a generic term to cover all of these.

What is the structure of the Edexcel Level 2 NVQ for Teaching Assistants?

To achieve the whole qualification at Level 2, a candidate must prove competence in **all four mandatory units**, plus **three optional units**.

Mandatory units for the Edexcel Level 2 NVQ for Teaching Assistants

Candidates must achieve **all four** units.

Unit number	Title	Element	Title
Unit 2.1	Help with classroom resources and records	2.1.1	Help with organisation of the learning environment
		2.1.2	Help with classroom records
Unit 2.2	Help with the care and support of pupils	2.2.1	Help with the care and support of individual pupils
		2.2.2	Help with the care and support of groups of pupils
Unit 2.3	Provide support for learning activities	2.3.1	Support the teacher in the planning and evaluation of learning activities
		2.3.2	Support the delivery of learning activities
Unit 2.4	Provide effective support for your colleagues	2.4.1	Maintain working relationships with colleagues
		2.4.2	Develop your effectiveness in a support role

Optional units for the Edexcel Level 2 NVQ for Teaching Assistants

Candidates must achieve **three** of the units listed.

Unit number	Title	Element	Title
Unit 2.5	Support literacy and numeracy activities in the classroom	2.5.1	Help pupils with activities which develop literacy skills
		2.5.2	Help pupils with activities which develop numeracy skills
Unit 3.1	Contribute to the management of pupil behaviour	3.1.1	Promote school policies with regard to pupil behaviour
		3.1.2	Support the implementation of strategies to manage pupil behaviour
Unit 3.10	Support the maintenance of pupil safety and security	3.10.1	Contribute to the maintenance of a safe and secure learning environment
		3.10.2	Minimise the risks arising from health emergencies
Unit 3.11	Contribute to the health and well-being of pupils	3.11.1	Support pupils in adjusting to a new setting
		3.11.2	Support pupils in maintaining standards of health and hygiene
		3.11.3	Respond to signs of health problems
Unit 3.17	Support the use of information and communication technology in the classroom	3.17.1	Prepare ICT equipment for use in the classroom
		3.17.2	Support classroom use of ICT equipment

What is the structure of the Edexcel Level 3 NVQ for Teaching Assistants?

To achieve the whole qualification at Level 3, a candidate must prove competence in **four mandatory units** and **six optional units**. The selection must include **one unit** from each of Groups A, B, C and D plus any **two** others.

Mandatory units for the Edexcel Level 3 NVQ for Teaching Assistants

Candidates must achieve **all four** units.

Unit number	Title	Element	Title
Unit 3.1	Contribute to the management of pupil behaviour	3.1.1	Promote school policies with regard to pupil behaviour
		3.1.2	Support the implementation of strategies to manage pupil behaviour
Unit 3.2	Establish and maintain relationships with individual pupils and groups	3.2.1	Establish and maintain relationships with individual pupils
		3.2.2	Establish and maintain relationships with groups of pupils
Unit 3.3	Support pupils during learning activities	3.3.1	Provide support for learning activities
		3.3.2	Promote independent learning
Unit 3.4	Review and develop your own professional practice	3.4.1	Review your own professional practice
		3.4.2	Develop your professional practice

Optional units for the Edexcel Level 3 NVQ for Teaching Assistants

Candidates must achieve **six optional units**. The selection must include **one unit** from each of Groups A, B, C and D plus any **two** others.

Group A

Unit number	Title	Element	Title
Unit 3.5	Assist in preparing and maintaining the learning environment	3.5.1	Help prepare the learning environment
		3.5.2	Prepare learning materials for use
		3.5.3	Monitor and maintain the learning environment
Unit 3.6	Contribute to maintaining pupil records	3.6.1	Contribute to maintaining pupil records
		3.6.2	Contribute to maintaining the record keeping system
Unit 3.7	Observe and report on pupil performance	3.7.1	Observe pupil performance
		3.7.2	Report on pupil performance
Unit 3.8	Contribute to the planning and evaluation of learning activities	3.8.1	Contribute to the planning of learning activities
		3.8.2	Contribute to the evaluation of learning activities.

Group B

Unit number	Title	Element	Title
Unit 3.9	Promote pupils' social and emotional development	3.9.1	Support pupils in developing relationships with others
		3.9.2	Contribute to pupils' development of self-reliance and self-esteem
		3.9.3	Contribute to pupils' ability to recognise and deal with emotions
Unit 3.10	Support the maintenance of pupil safety and security	3.10.1	Contribute to the maintenance of a safe and secure learning environment
		3.10.2	Minimise the risks arising from health emergencies
Unit 3.11	Contribute to the health and well-being of pupils	3.11.1	Support pupils in adjusting to a new setting
		3.11.2	Support pupils in maintaining standards of health and hygiene
		3.11.3	Respond to signs of health problems
Unit 3.12	Provide support for bilingual/multilingual pupils	3.12.1	Support development of the target language
		3.12.2	Help bilingual/multilingual pupils to access the curriculum
Unit 3.13	Support pupils with communication and interaction difficulties	3.13.1	Enable pupils with communication and interaction difficulties to participate in learning activities
		3.13.2	Help pupils with communication and interaction difficulties to develop relationships with others
Unit 3.14	Support pupils with cognition and learning difficulties	3.14.1	Support pupils with cognition and learning difficulties during learning activities
		3.14.2	Help pupils with cognition and learning difficulties to develop effective learning strategies

Continued on next page

Unit number	Title	Element	Title
Unit 3.15	Support pupils with behavioural, emotional and social development needs	3.15.1	Support the behaviour management of pupils with behavioural, emotional and social development needs
		3.15.2	Help pupils with behavioural, emotional and social development needs to develop relationships with others
		3.15.3	Help pupils with behavioural, emotional and social development needs to develop self-reliance and self-esteem.
Unit 3.16	Provide support for pupils with sensory and/or physical impairment	3.16.1	Enable pupils with sensory and/or physical impairment to participate in learning activities
		3.16.2	Implement structured learning programmes for pupils with sensory and/or physical impairment.

Group C

Unit number	Title	Element	Title
Unit 3.17	Support the use of information and communication technology in the classroom	3.17.1	Prepare ICT equipment for use in the classroom
		3.17.2	Support classroom use of ICT equipment
Unit 3.18	Help pupils to develop their literacy skills	3.18.1	Help pupils to develop their reading skills
		3.18.2	Help pupils to develop their writing skills
		3.18.3	Help pupils to develop their speaking and listening skills
Unit 3.19	Help pupils to develop their numeracy skills	3.19.1	Help pupils to develop their understanding and use of number
		3.19.2	Help pupils to understand and use shape, space and measures
Unit 3.20	Help pupils to access the curriculum	3.20.1	Provide literacy support to help pupils to access the curriculum
		3.20.2	Provide numeracy support to help pupils to access the curriculum.

Group D

Unit number	Title	Element	Title
Unit 3.21	Support the development and effectiveness of work teams	3.21.1	Contribute to effective team practice
		3.21.2	Contribute to the development of the work team
Unit 3.22	Develop and maintain working relationships with other professionals	3.22.1	Work effectively with other professionals
		3.22.2	Maintain effective working relationships with other professionals
Unit 3.23	Liaise effectively with parents	3.23.1	Share information with parents about their children
		3.23.2	Share the care of children with their parents.

Section 3: Assessment

Introduction

This section offers practical advice on all aspects of assessment, from planning assessment opportunities to recording evidence. The guidance should help you to ensure that your assessment is effective, rigorous and appropriate. The section outlines an approach to assessment based on good practice. You may develop your own approach if you wish.

This guidance is written primarily for assessors but it may also be helpful to candidates.

What is assessment?

Assessment is the key to achieving NVQs. As an assessor, your role is vital in helping your candidates to achieve their award and in ensuring that the requirements of the occupational standards are met. You will need to be clear about what is meant by assessment and what you are assessing.

In deciding whether a candidate should be awarded an NVQ, you will need to go through the following stages:

- becoming familiar with the standards
- planning for assessment
- collecting evidence of the candidate's performance
- judging the candidate's evidence against the NVQ standards and making an assessment decision
- recording the assessment decision.

Roles in assessment

Before beginning the assessment process, both you and the candidate should be clear about your roles.

Assessor's role

The assessor must:

- ensure that candidates understand what is expected of them, what is to be assessed and how it is to be assessed
- ensure that the conditions and materials required for assessment are available
- observe and record candidates carrying out the activities described in the standards – records should say what has been observed, how it was carried out and what it demonstrated
- know who will act as an internal verifier
- question candidates and record results
- help candidates to gather and provide evidence
- judge evidence
- authenticate the evidence candidates provide
- record achievement
- identify gaps or shortfalls in candidates' competence
- provide feedback to candidates.

Candidate's role

The candidate must:

- prepare for assessment by familiarising themselves with the standards, what is to be assessed and how it will be assessed
- carry out activities and/or answer questions
- gather and present evidence for assessment
- receive and act on feedback from the assessor.

Approaches to assessment

Candidates may approach assessment for NVQs through a variety of routes. Two of the main ways are through work (paid or voluntary) or through a training programme.

Work (paid or voluntary) – when a candidate approaches assessment through work, it will probably be your job to help them plan the sequence of assessment, give feedback on how they are performing and arrange for them to acquire any competence that is missing.

Training programmes – in these cases a series of educational or training events, linked to assessment opportunities, will already have been planned. It will be your job to monitor how the candidate is performing, assess their evidence and provide feedback on their progress.

Timing

A candidate may begin their NVQ at any time provided the necessary preparations and plans have been made.

There is no limit on the time a candidate may take to gain the whole qualification or individual unit(s). Some candidates will take longer than others depending on their understanding of the award, their work setting and personal circumstances. An assessor should therefore organise and arrange assessment appropriate to each candidate, although there must be an agreed target date for completion.

However, it is important that the evidence submitted demonstrates current competence of the task being assessed, particularly if the evidence is from the past.

The QCA NVQ Code of Practice states that Assessors and Internal Verifiers are required to hold the appropriate assessor/verifier units within 18 months of commencing their role.

The five steps to assessment

If you follow the five steps identified, you should be able to ensure that your candidates move efficiently and effectively towards achievement of their NVQ.

Step 1: Plan and organise assessment

You should make sure that candidates receive guidance before starting an NVQ. They need advice to ensure that their existing job remit, skills, experience and plans for progression are matched to the NVQ selected. It does not have to be you, as the assessor, who carries out the matching exercise. In fact, this part of the process is often carried out during induction but whoever has responsibility for it should ensure that the assessment opportunities available to the candidate are also considered.

You will need to work out how much time you and your candidate are able to devote to the NVQ. This is likely to be limited by the demands of a busy workplace or by timetabling. If possible, try to agree sessions in advance and stick to them and remember that you need to allow

for review and evaluation sessions in addition to assessments. Once this is agreed you can begin planning.

There are two levels of planning:

- the overall plan when you and your candidate look at the whole qualification and set targets for achievement
- individual plans for assessment.

Overall assessment planning

It is good practice for you to agree an overall assessment plan with your candidate. An overall assessment plan should include:

- the overall programme for assessment, identifying how and when each part of the NVQ will be assessed
- target dates for completing each unit. There are no time limits on the amount of time a candidate can take to complete a unit or an NVQ but target dates will motivate candidates and help you to monitor progress
- how you are going to give feedback
- what happens if there is a disagreement between the candidate and yourself.

The QCA NVQ Code of Practice states that Assessors and Internal Verifiers are required to hold the appropriate assessor/verifier units within 18 months of commencing their role.

Producing an overall assessment plan is the ideal time for you and your candidate to identify opportunities for **integrating assessment**. This is when a piece of evidence generated from one activity is used to prove competence across different elements, performance indicators, scope and/or units. To reduce the assessment burden on you and your candidate you will need to maximise the opportunities for integration.

Through producing the overall plan you may also identify job activities the candidate currently performs that match the standards and can plan to assess them immediately. You may also identify evidence from past achievement that can be used (see *Accreditation of prior learning* on page 22). If the candidate is providing evidence from the workplace, their job role may mean they are not able to cover all the standards during the normal course of their work. You may need to create new opportunities, such as arranging for your candidate to move to a different department so that different activities can be performed or different skills used. The candidate might also need to attend a college or training course to fill in any gaps.

You may need to reassure your candidate at this stage. Many feel overwhelmed by the apparent amount of evidence they will have to produce but they will need to realise that with effective planning the process can be made much easier and they will be more likely to succeed.

Individual assessment planning

You and your candidate will need to plan each individual assessment carefully. You will need to decide the methods you will use to carry out the assessment, where and when the assessment will take place and who will be present. You should agree a unit assessment plan that specifies the tasks to be carried out, the time they will take and the parts of the standards that will be covered. (See page 31 for an example of a unit assessment plan.)

Although you need to plan carefully what you are expecting to assess, always be prepared to allow candidates to provide additional evidence if the opportunity arises.

There is no limit to the time it takes for a candidate to complete a unit or NVQ. However, you and your candidate should still set target dates for completing each unit. In reaching agreement, take into account the candidate's job or training programme and clearly mark out the points of decision for each element and unit.

Step 2: Decide on the assessment methods

The methods of assessment you use should be valid, reliable and practicable.

- By ‘**valid**’ we mean that the assessment should be appropriate to the standards.
- By ‘**reliable**’ we mean that the assessment method should ensure consistent results when used with different candidates, different assessors and on different occasions.
- By ‘**practicable**’ we mean that the method should ensure the assessment takes account of available resources, equipment and time.

As an assessor, it is your responsibility to familiarise yourself with the standards you will be assessing. In doing so, you will be able to identify what skills need to be demonstrated and the types of evidence that a candidate needs to generate in order to complete all the units of the NVQ.

Once you are familiar with the performance indicators, scope and evidence requirements in all the units of the NVQ, you will find it easier to decide what is acceptable evidence and how it should be produced by the candidate.

You and your candidate must agree the methods of evidence collection that are most appropriate to the candidate’s work setting and patterns. Evidence must be precisely and directly relevant to the particular standards for which a candidate seeks credit; it cannot be just a general indication of acceptable practice.

Assessment methods

All methods of assessment fall under one of three categories: **observation, product evaluation and questioning**.

Observation

Observing performance will be the most common method used in assessing the NVQ.

Observation can be organised in a variety of ways:

- continuously working alongside the candidate
- arranging to work alongside the candidate at specific times
- planning to visit when particularly relevant activities are scheduled
- arranging for particular activities to take place.

The candidate will be able to supplement direct observation of performance with other types of evidence, eg personal statements or witness testimonies. It is also possible to use tape recordings or other technologies to record performance, should your presence as an assessor not be possible.

Observation by an assessor is considered to be the most valid and reliable method of assessment and there will be many naturally arising opportunities for you to use this technique.

You should complete an observation record to show the internal and external verifier how you reached a decision on the candidate’s competence. You can find a completed observation record in *Section 4: How should evidence be presented?* and we suggest you use the example as an indication of what information the external verifier needs. For example, details of the activity, date observed and how the observation relates to the standards.

Product evaluation

This involves judging products produced by candidates during the course of their work. Product evidence will be used a great deal. The exact nature of this evidence will depend on what the candidate's job entails. Examples of product evidence include reports, accounts, action and assessment plans, completed observation forms or witness testimonies, minutes of meetings (eg of standardisation meetings), assignments and video or audio tapes (eg of professional discussions or meetings with candidates).

Questioning

Candidates have to prove that they have the required knowledge base for each unit. They will often demonstrate it through the production of evidence, though in some cases this will not be possible.

Questioning is the ideal way of proving whether or not the candidate has the necessary knowledge and understanding. Questions can be given in many forms such as short-answer questions, projects, multiple-choice tests, case studies or assignments.

There may be more emphasis on questioning to prove knowledge in areas where evidence is generated through practical working activities and where there may be no product evidence. If you are a visiting assessor, you might use questioning to prove the candidate's competence and the authenticity of the evidence.

Questioning is a powerful means of checking the knowledge base that lies behind performance. It is also a useful tool for exploring why a candidate acted in a certain way or to identify what they would have done if circumstances had been different.

Questions, whether oral or written, should not require candidates to apply their knowledge base in ways that are either more complex or more simplistic than is necessary to achieve the standards.

Supporting evidence

On most occasions the candidate will be able to support your observations with other types of evidence, such as witness and personal testimony, work products, assignments and projects.

Testimony – personal and witness

It is inevitable that you will not be able to observe everything your candidate does. On such occasions, statements from other people (witness testimonies) who have seen your candidate working can be useful sources of evidence for the NVQ as they can describe each activity in detail. Generally, testimonies are used to support other evidence produced. You should bear in mind that the strength of evidence will vary depending on the knowledge and expertise of the person providing the testimony and you will have to take several factors into account when you make a judgement. It may help if you think of a line from strongest to weakest.

Strongest	Stronger	Weaker	Weakest
Professional worker in senior position in same type of work with knowledge of the standards.	Professional worker in senior position but with no knowledge of the standards.	Colleague with equal experience but no knowledge of the standards.	Person with limited experience of the workplace or knowledge of the standards.

Work products

A number of items could be produced by candidates as evidence, for example: copies of records or reports that the candidate has compiled, letters and memos, minutes of meetings, leaflets or booklets that provide information to clients, photographs, audio or videotape recordings of work which the candidate has carried out. Work products will normally be located in the candidate's portfolio and they should be cross-referenced to the performance indicators/elements to which they apply.

Work products **must** be wholly or partially the result of work undertaken by the candidate. To ensure authenticity, a person in a position of responsibility who is able to vouch that the products are the unaided work of the candidate should countersign the products.

Assignments and projects

Assignments and projects are also useful ways to collect evidence. However, you should ensure you are not asking for a competence that is not required by the standards. For example, it may not be necessary for the candidate to be able to write or design a project report in order to satisfy the competence requirements.

Assignments and projects might be a particularly useful way for a candidate to track the course of their work over a period of time and this could be structured to serve the purposes of specific elements of competence as well as the scope and evidence requirements. This method of collecting evidence is particularly appropriate for units that link a series of activities such as planning, implementation and evaluation.

However, care must be exercised when judging whether competence in actual practice or knowledge specifications has been demonstrated.

Using simulation

The use of performance evidence from simulated situations is only acceptable in respect of health and safety and child protection contingencies for which evidence from the candidate's workplace performance may not be forthcoming.

Components of the national occupational standards against which performance evidence from simulations is permitted are clearly identified within the standards.

Simulations must be designed to achieve the following:

- the contingency to which the candidate is required to respond must be realistic and reasonable in terms of its scale and the speed of response required
- the candidate must be able to demonstrate the actions s/he would take, using equipment and materials commonly found within the school in which they are working
- information available to the candidate on the nature of the contingency and the response expected must be consistent with the policies and practices of the school in which they are working.

See *Annex A: Simulation and supplementary evidence* for a chart giving details of where simulation is permitted.

Accreditation of prior learning (evidence from past achievement)

In assessing candidates for an NVQ, evidence relating to past performance can be used as well as that relating to current performance.

In recent years, the concept of accrediting prior learning (APL) has developed as a way of ensuring that the past experiences and learning of mature people is recognised and validated. Nevertheless, it must be remembered that NVQs are awarded on the basis of assessment of performance against current standards.

Step 3: Judge the evidence

The following criteria must be used when evaluating if a piece of work can be put forward as evidence, including supporting evidence.

- **Relevance:** the degree of ‘match’ between the item of evidence and the required competence and underpinning knowledge for a unit. If the evidence does not match, it is not relevant.
- **Validity:** the evidence must relate to a specific part of the NVQ standards.
- **Authenticity:** the evidence must be the work of your candidate as an individual and not someone else or a group of people. You may require confirmation of this from the candidate’s professional colleagues.
- **Currency:** the evidence must show the present ability of the candidate to perform to the national standards. The assessor should judge the acceptability of evidence from the past by the length of time that has elapsed since the performance described took place. Such judgements should take into account the ‘perishability’ of the skill involved, as well as ‘watershed’ or ‘landmark’ occurrences in the sector such as changes in the law, philosophy or practice.
- **Quantity:** the evidence must cover all the performance and knowledge requirements laid down in the standards.
- **Variety:** there must be evidence of performance in differing contexts or situations.
- **Sufficiency:** performance to the required standard must be consistent, ie it should be achieved on more than one occasion.

You have to be certain that the candidate has demonstrated competence. Even though all the performance indicators have to be met, you should concentrate on the elements and units when making judgements about sufficiency as they describe what is required. It is not necessary to observe each performance criterion several times but it is necessary to record all evidence that has been taken into account so that internal and external verifiers can, if necessary, identify it. Evidence will have different values – some will leave you in no doubt about competence, while in other cases you may need to ask for further evidence before you are confident about consistency of performance.

In short, you must be satisfied that your candidate can consistently work to the required standard and that evidence is not simply an isolated event that is unlikely to be repeated.

The standards also specify that candidates prove they have **knowledge evidence** (what the candidate needs to know about). Candidates’ knowledge might be determined either by questioning them on the subject matter or through validated evidence from recognised educational and training courses. It can also be revealed in performance evidence generated by your observations of the candidate.

You should feel confident that candidates have a broad and firm enough understanding to be able to sustain competence demonstrated through performance evidence.

Candidates will need to be clear about the knowledge requirements for each unit. You should encourage your candidates to read and study each unit as a whole so that they become familiar with the standards expressed in the elements, performance indicators, scope statements, performance and knowledge evidence requirements.

Candidates should also be able to cross-reference their evidence, providing examples and definitions where necessary.

Some candidates may need considerable support and guidance to interpret the standards, especially in the early stages of preparing for assessment. Once they become familiar with the format of the standards, candidates should find it much easier to progress through their qualification.

The judgement of whether or not your candidate understands and applies the knowledge evidence is linked to your judgement of their performance.

Step 4: Record

For each unit, you should ensure that there is a verifiable record of:

- the assessment activities carried out, showing the methods used and evidence produced
- the date and people involved in the assessment
- your judgement of the candidate's competence
- the location of each piece of evidence within the candidate's portfolio.

The record sheets provided in the candidate's log book will allow all of this information to be recorded and we recommend their use. However, your centre may use its own recording documentation. This is acceptable as long as it contains all the required information and is passed by your external verifier as fit for purpose.

Insufficient evidence

Where insufficient evidence has been presented or the candidate has not met the performance indicators at the end of the targeted assessment period, you should indicate that the candidate is not yet competent. Feedback to the candidate must provide the reason why the decision has been made and this should be recorded.

Step 5: Provide feedback

Your candidate will need to be clear about your judgements and the reasons for them. Time should be set aside for feedback that conforms to the following general principles:

- feedback should relate the evidence provided to the national standards
- you should agree what form the feedback will take – written notes are always useful as a record but candidates should be given time to reflect on your comments
- you should ensure that your comments have been understood and listen to the candidate's view
- finally you should agree what happens as a result of the feedback – its purpose is to help candidates make the necessary adjustments, whether this means supplying more evidence, trying again or taking steps to develop the competence that is missing.

Disagreement

Your centre will have an appeals procedure to be used by candidates if they disagree with an assessment decision you have made. Make sure you are familiar with the procedure and that candidates know how to use it.

The appeals procedure should make it clear how complaints will be dealt with and what the outcomes might be.

As an assessor, you should make sure that you have a route through which you can express your concerns and reservations, whether these are about working with a particular candidate or an aspect of the standards and assessment method.

Section 4: How should evidence be presented?

The candidate's evidence is normally kept in a file, often called a portfolio. We produce a document called *Candidate guidance and log book* which provides all the forms candidates need to record their progress and to help them index their evidence.

This section explains how and when to use the recording forms in the log book and provides worked examples.

Example 1: Index of evidence

The index of evidence should be placed at the front of a candidate's portfolio. As candidates produce pieces of evidence, they should give each piece a unique number. They should then complete the index of evidence so that the evidence can be located easily. Every piece of evidence should be numbered and referenced on the index, including evidence that is not located in the portfolio such as evidence prepared by other candidates, which contributes to the candidate's own portfolio.

The internal verifier should complete the final column of the sheet if they sample the evidence.

Example 2: Unit assessment plan

Before candidates begin to collect any evidence it will be helpful for them to compile, with your help, a unit assessment plan. The plan will define the tasks to be carried out, how long the tasks will take and the evidence that will be generated. The tasks could be 'normal working activities' and part of the candidate's day-to-day job role, or 'activities needing to be performed', which means opportunities to carry out the tasks need to be generated.

Producing a unit assessment plan will help to identify suitable opportunities for integrating assessment of different units.

Example 3: Unit progress record

This form enables you and your candidate to see at a glance what stage the candidate is at in this qualification.

Each time your candidate achieves a unit of their NVQ you should put your signature and the date next to the relevant unit title. Before signing next to a unit title, you will need to make sure that the candidate has completed the recording documents correctly and that their evidence can be easily located.

Example 4: Evidence achievement record

This lists the performance indicators and scope in an element that your candidate needs to prove competence for. Each time your candidate meets the requirements of an outcome you should write the date in the relevant box. The standards will stipulate how many times the candidate needs to perform individual activities.

On completion of each element you should give your candidate feedback about their performance, informing them if they have been successful in achieving the required level of competence for individual outcomes. There is space on the back of the form for you to make comments and/or notes from the feedback session. Make sure that your candidate is clear about

your assessment decision and fully understands what you are saying. You should both then sign and date the form before filing it in the relevant section of the candidate's portfolio.

Example 5: Knowledge evidence record

This lists all the knowledge base requirements a candidate needs to demonstrate for a unit.

While working through individual elements, the candidate should tick the appropriate boxes on the form to show which type(s) of evidence they have collected to prove they have the required level of knowledge and understanding.

Once you are satisfied that your candidate has achieved the knowledge base requirements for the whole unit, you should, as with the **evidence achievement record**, note your comments from the feedback session on the form. You and your candidate should then sign and date the form before filing it in the portfolio.

Remember that on completion of the unit you should complete the candidate's **unit progress record**.

Example 6: Personal statement

A candidate uses a personal statement to record their experience of something, such as how they handled a specific situation. They should describe what they did, how they did it and why they did it. They can refer to other people who were present. This might provide the candidate with a 'witness testimony' (see *Example 8* below), which should be noted in the 'Links to other evidence' column on the statement form.

The candidate might also use the personal statement to put a piece of evidence in context for you so that you can help them decide if it is relevant to their NVQ. For example, the candidate may refer to paperwork that is used in the organisation to pass information to a colleague. It may not be clear to you why they are communicating in this way and a brief explanation from the candidate of its relevance may be required.

Example 7: Observation record

You should use this form to record your observations of the candidate as they work. The form allows you to:

- describe the skills you have seen the candidate use
- describe the activities you have seen the candidate perform
- specify the parts of the units that are covered by the observation
- provide details of the knowledge base apparent from the candidate's performance
- list the other units/elements to which the evidence may contribute (integration of assessment).

There is space on the form for you to note your comments or feedback to the candidate. Once completed, the form should be referenced as evidence and included in the candidate's portfolio.

Example 8: Witness testimony

There may be occasions when you are not able to observe the candidate carrying out certain aspects of their job. In such instances, it may be appropriate for another person to comment on the candidate's performance by completing a statement called a 'witness testimony'.

Witness testimony should only be used to support other forms of evidence, such as a product. It should:

- be provided by a person who is not related to the candidate and is in a position to make a valid comment about their performance, eg a supervisor, line manager or candidate
- contain comments that specifically relate the candidate's performance to the NVQ standards
- be authenticated by the inclusion of the witness's signature, role, address, telephone number and the date.

Example 9: Professional discussion

A professional discussion is 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. This form can be used to record the key points of professional discussions. Further guidance is provided on page 40.

The record of the professional discussion should be an audio or video tape if it forms a significant part of the candidate's portfolio. Professional discussions for minor evidence need not be recorded but must still have an audit trail that can be verified by the External Verifier.

Example 10: Record of questions and candidate's answers

This form is used to record any questions you ask the candidate to establish they have the underpinning knowledge and evidence required by a unit. The candidate's answers should also be noted. Both you and the candidate should sign and date the form.

Example 1: Index of evidence

NVQ title and level: *Teaching Assistants Level 3*

Evidence number	Description of evidence	Included in portfolio (Yes/No) <i>If No, state location</i>	Units/elements evidence links to (give specific numbers, eg 5.2.1)	Internal verifier signature and date of sampling
1	<i>Personal statement</i>	<i>Yes</i>		
2	<i>Personal statement</i>	<i>Yes</i>		<i>M. DAY 18/4/03</i>
3	<i>Personal statement</i>	<i>Yes</i>		
4	<i>Observation record</i>	<i>Yes</i>		
5	<i>Notes from planning session attended by line manager</i>	<i>Staff development file</i>		<i>M. DAY 5/4/03</i>
6	<i>Witness Testimony/ J Stansfield</i>	<i>Yes</i>		<i>M. DAY 12/4/03</i>
7	<i>Diary entry re assessment session</i>	<i>Unit diary</i>		
8	<i>Witness Testimony/J Black</i>			

Example 2: Unit assessment plan

Unit: **Title:**

Candidate: *Bethany Fox*

Assessor: *Darren Higgitt*

Normal working activities performed

	Typical evidence	Work area	Expected completion date	Links to other units/elements
Element 1: 2.1.1				
<i>Setting out learning resources and materials for a science lesson</i>	<i>Checklist of materials used for a science lesson</i>	<i>Specialist teaching room</i>	<i>Week ending 15/4/03</i>	<i>2.3.2</i>
Element 2: 2.3.1				
<i>Providing suggestions to the type of support given to a planned activity</i>	<i>Lesson plan for a single lesson</i>	<i>General teaching area</i>	<i>12/4/03</i>	<i>2.1.1</i>
Element 3:				

Continued overleaf

Activities needing to be performed

Element 1: 2.1.1				
<i>Meeting and discussing the science lesson with the classroom teacher</i> <i>Collecting and checking equipment/resources for the science lesson</i>	<i>Notes from meeting</i>	<i>Classroom</i>	<i>5/4/03</i>	<i>2.3.2</i>
Element 2: 2.3.1				
<i>Working in a classroom during a selected lesson</i> <i>Supporting pupils whilst they are participating in a classroom activity</i>	<i>Lesson plans and notes</i>	<i>Classroom</i>	<i>8/4/03</i>	<i>2.1.1</i>
Element 3:				

Additional comments:

The candidate will generate most of the evidence for this unit in their normal day-to-day work, which will include setting up learning resources, providing support to learners on a day-to-day basis.

Assessor's signature: *Darren Higgitt*

Date: *10/4/03*

Candidate's signature: *Bethany Fox*

Date: *10/4/03*

Example 3: Unit progress record

Qualification and level: *Teaching Assistants Level 3*

Candidate: *Bethany Fox*

To achieve the whole qualification at Level 3, a candidate must prove competence in **all seven mandatory units**, plus **two optional units** from Group A and **two optional units** from Group B.

Unit checklist: circle the reference number of each unit as you complete it.

Mandatory	Unit 3.1	Unit 3.2	Unit 3.3	Unit 3.4				
Optional – Group A	Unit 3.4	Unit 3.6	Unit 3.7	Unit 3.8				
Optional – Group B	Unit 3.9	Unit 3.10	Unit 3.11	Unit 3.12	Unit 3.13	Unit 3.14	Unit 3.15	Unit 3.16
Optional – Group C	Unit 3.17	Unit 3.18	Unit 3.19	Unit 3.20				
Optional – Group D	Unit 3.21	Unit 3.22	Unit 3.23					

Circle the reference numbers as you complete each unit. You can then easily see what stage you have reached in your NVQ.

Mandatory units

Unit number	Title	Assessor's signature	Date
Unit 3.1	Contribute to the management of pupil behaviour	<i>D. Higgitt</i>	<i>3/4/03</i>
Unit 3.2	Establish and maintain relationships with individual pupils and groups	<i>D. Higgitt</i>	<i>6/4/03</i>
Unit 3.3	Support pupils during learning activities	<i>D. Higgitt</i>	<i>6/4/03</i>
Unit 3.4	Review and develop your own professional practice		

This section of the form is for your assessor to sign each time you successfully achieve a unit.

Example 4: Evidence achievement record

Evidence achievement record

Unit 2.1 Help with classroom resources and records

Element 2.1.1 Help with organisation of the learning environment

Performance indicators	Assessor to insert date each time competence is achieved				
You must show that you:					
1. set out learning resources in line with the preparation requirements given to you	16/4	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
2. check the availability and location of safety equipment in the learning environment	16/4	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
3. set out learning materials as directed by the teacher	16/4	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
4. report shortages of learning materials to the teacher	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
5. encourage pupils to return materials to the appropriate place after use	16/4	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
6. encourage pupils to dispose of wastes in a safe and tidy manner	16/4	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
7. check the condition of learning resources and materials after use	16/4	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
8. bring any damage or losses to learning resources and materials to the attention of the teacher as soon as practicable.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

Evidence achievement record

Unit 2.1 Help with classroom resources and records

Element 2.1.1 Help with organisation of the learning environment

Scope	Assessor to insert date each time competence is achieved				
Scope of learning resources to which this standard applies:					
a. basic classroom equipment and furniture	8/4	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
b. curriculum specific equipment	8/4	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
c. ICT resources.	8/4	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Scope of safety equipment to which this standard applies:					
a. first aid box	8/4	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
b. to protect children and adults against accidents	8/4	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
c. for use in an emergency.	8/4	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Scope of learning environments to which this standard applies:					
a. general teaching area	8/4	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
b. specialist teaching area	8/4	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
c. outdoor area.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Scope of materials to which this standard applies:					
a. general classroom items	8/4	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
b. curriculum specific materials	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
c. written materials.	8/4	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

Example 5: Knowledge evidence record

Knowledge base

Knowledge base
This states what candidates must know and understand, and how this knowledge applies to their jobs.

Unit 2.1 Help with classroom resources and records

Element 2.1.1 Help with organisation of the learning environment

Evidence key:					
EI	Evidence Index No.	O	Observation	P	Personal Statement
WT	Witness Testimony	PD	Professional discussion	Q&A	Questions and Answers
APL	Accreditation of Prior Learning				

You must know and understand:	Type of Evidence						
	EI	O	P	WT	PD	APL	Q&A DATE
i. your role and responsibility for helping to organise the learning environment	2, 5, 6		✓				15/4
ii. the roles and responsibilities of others within the school in respect of establishing and maintaining learning environments	9		✓		✓		15/4
iii. the principles and practices of inclusive education and the implications of these for setting out learning environments	11	✓	✓				15/4
iv. what safety equipment is kept in different learning environments	11	✓	✓				15/4
v. where different equipment and materials are kept	11	✓	✓				15/4
vi. the school's health and safety policy as it applies to learning environments, resources and materials							
vii. the school requirements and any other guidance for health, hygiene, safety, security and supervision in the setting, including access to premises, store rooms and storage areas.							

Note: You will be given advice on how much of evidence of achievement you need to prove through performance evidence. The remaining parts of the evidence of achievement may be covered through questioning by your assessor.

Example 6: Personal statement

Date	Evidence index number	Details of statement	Links to other evidence (enter numbers)	Units, elements, performance indicators and evidence of achievement covered
1 Apr 2003	1	<p><i>I met with Bethany to discuss her assessment plan for the NVQ level 2 for Teaching Assistants. We agreed a date for the observation.</i></p> <p><i>We then discussed her assessment plan which listed the standards she wished to be assessed on and indicated the activities she was expecting to carry out and the types of evidence she would be gathering.</i></p> <p><i>We also agreed the proposed activities she would need to carry out prior to the assessment.</i></p>	17, 21	2.1.1 2.3.1

Candidate's signature: *Bethany Fox*

Date: 10/04/03

Example 7: Observation record

Unit/element(s): 2.1.1

Candidate: *Bethany Fox*

Date of observation: 4/1/2003

Evidence index number: 4

Skills/activities observed:	Performance indicators and evidence of achievement covered:
<i>All the performance indicators for 2.1.1 were observed against the relevant scope statements as agreed in the assessment plan.</i>	<i>Performance indicators 1-8 observed</i> <u>Scope</u> <ul style="list-style-type: none"><i>• basic & curriculum</i><i>• specific equipment & furniture</i><i>• specialist teaching area</i><i>• curriculum specific materials</i><i>• written materials</i>

Knowledge base apparent from this observation:

- i) helping to organise the learning environment*
- ii) principles and practices of inclusive education*
- iii) safety equipment*
- iv) where different equipment and materials are kept*

Other units/elements to which this evidence may contribute:

2.3.2

Assessor comments and feedback to candidate:

Good evidence of skills in supporting the teacher in the delivery of a science lesson.

I can confirm the candidate's performance was satisfactory.

Assessor's signature: *Darren Higgitt*

Date: *21/4/03*

Candidate's signature: *Bethany Fox*

Date: *21/4/03*

Example 8: Witness testimony

NVQ title and level:	<i>Teaching Assistants Level 2</i>
Candidate name:	<i>Bethany Fox</i>
Evidence index no:	<i>27</i>
Where applicable, evidence no to which this testimony relates:	
Unit:	<i>3.3.1</i>
Date of evidence:	<i>9/1/03</i>
Witness name:	<i>Pam Adams</i>
Designation/relationship to candidate:	<i>Librarian</i>
Details of testimony:	
	<i>Bethany promptly reported that a number of pupils were unable to complete some of the tasks as they could not access the library resources for their research project on National Curriculum History Key Stage 2.</i>

I can confirm the candidate's evidence is authentic and accurate.

Witness signature: *Pam Adams* **Date:** *9/4/2003*

Name: *Pamela Adams*

Please tick the appropriate box:

A1/A2/D32/D33 Award

Familiar with the NVQ standards to which the candidate is working

Example 9: Professional discussion

NVQ title and level:	<i>Teaching Assistants Level 2</i>
Candidate name:	<i>Bethany Fox</i>
Evidence index no:	<i>27</i>
Where applicable, evidence no to which this testimony relates:	
Element(s):	
Date of evidence:	<i>20/12/02</i>
Assessor:	<i>Darren Higgitt</i>
Details of professional discussion:	
	<i>This is a record of a professional discussion on 26 October 2002 between me and Bethany Fox as evidence for her Unit 3.4.2.</i>
	<i>The matters discussed were:</i>
	<ul style="list-style-type: none">• <i>identifying specific personal development objectives in relation to the curriculum, pupils and working practices</i>• <i>professional practices that needed updating</i>• <i>relevant courses and Inset available</i>• <i>relevant people who would help both internally and externally from the school</i>• <i>other networks that could help</i>
	<i>The full record of this discussion is on audio tape which is supplied with Beth's portfolio.</i>

I can confirm that this is an accurate record of our professional discussion.

Assessor's signature: *Darren Higgitt* **Date:** *20/4/03*

Candidate's signature: *Bethany Fox* **Date:** *20/4/03*

Example 10: Record of questions and candidate's answers

Unit:	Element(s): <i>Whole unit</i>
Evidence index number: <i>19</i>	
Circumstances of assessment: <i>Knowledge is inferred from performance and professional discussions across the whole unit. To conclude the knowledge base requirements, I asked the candidate a number of questions indicated below:</i>	
List of questions and candidate's responses: <i>Q: What is your role in maintaining pupil records?</i> <i>A: Ensuring that activities, assessments, progress and any out of school activities are reported to the classroom teacher.</i> <i>Q: What is the purpose of pupil records?</i> <i>A: To keep an up to date, reliable and valid record of all pupils; to help sort out potential problems</i> <i>Q: How do you maintain confidentiality?</i> <i>A: Adhere to the school's policies and procedures including the Data Protection Act, Children Act and statementing process.</i>	
Assessor's signature: <i>Darren Higgitt</i>	Date: <i>21/4/03</i>
Candidate's signature: <i>Bethany Fox</i>	Date: <i>21/4/03</i>

Section 5: Further information

How does an organisation become a centre?

An organisation can offer NVQs either by becoming a registered centre in its own right or by working with an organisation that has this status.

A centre is responsible for ensuring that internal quality control mechanisms are in place. Specifically, a centre needs to:

- develop a physical resource within the centre that addresses the needs of candidates
- select and train assessors and internal verifiers according to the relevant NTO specifications
- provide appropriate assessment opportunities for candidates, eg a suitable number at suitable times
- provide candidates with copies of the units for the NVQ appropriate to their qualification
- provide assessors and internal verifiers with copies of the standards for the NVQ for which they are responsible.

Details of approval procedures are available from our Customer Services team (see inside front cover).

Review and evaluation

The effective development of the programme depends on a full review of its operation and candidate performance. The review should be structured to allow all interested parties (candidates as well as staff) to contribute. The review should evaluate:

- success in meeting and the continuing relevance of the aims of the programme
- previous action plans
- admission, induction, advice and exit arrangements
- the programme of activities and arrangements for all candidates
- the assessment strategies and methods
- resource needs and availability of the resources to candidates
- the relevance, currency and effectiveness of support materials
- the external verifier's/comments
- future resource requirements, including staff development.

A review should take place at least once during each programme. A report and an action plan describing the findings and actions to be taken should be produced after each review.

Registration

Every candidate must be registered with an assessment centre that has been approved to deliver the NVQ they wish to complete.

To register, candidates should complete an Edexcel registration form (available from your centre contact or Entries and Certification, Edexcel Foundation, Stewart House, 32 Russell Square, London, WC1B 5DN). The form should be returned to Edexcel via the candidate's centre contact. Edexcel will register candidates and issue them with an enrolment number. Candidates should check this and ensure all their details are correct. The notification will show their name as it will appear on any award they receive. Any correction should be communicated to Edexcel immediately.

An initial registration fee has to be paid to Edexcel at this stage. Each assessment centre will have its own procedures for this and will clarify with candidates what payments, if any, they will have to make and when.

Candidate entries

Entries for NVQs will be accepted on a group award or unit-by-unit basis.

In most cases, candidates will be entered for a group award, as well as for the component units. If you enter a completion date for the group award, you need not enter the completion date for the component units (providing the completion date is the same) as verification will be carried out on the whole-group award.

All NVQ entries will need to be processed 10 weeks before the end of the month you have given as the completion date.

Please note that for NVQ units and group awards there is no discretion in the application of the 10-week rule. We, like all other NVQ and SVQ awarding bodies, are required to operate this rule to comply with the national criteria for accreditation as an awarding body. This means that no NVQ certification can take place until the 10-week period has elapsed.

Certification process

To enable candidates to receive their qualification efficiently, it is essential that you are familiar with the certification procedures used by Edexcel.

Once a unit has been achieved and the unit achievement form countersigned by the internal verifier, the centre contact should register this with Edexcel.

Details of the candidate's achievement will be entered in our records and we will issue a 'Record of Achievement'. This will be sent to the centre contact to be passed on to the candidate.

When the candidate has achieved all the required units, we will issue the NVQ certificate.

Centre contacts should be aware of Edexcel requirements. For example:

- relevant forms and documents and how to complete them
- the accredited centre number and relevant contacts
- appropriate Edexcel contacts
- how long qualifications take to process.

Your centre should inform assessors and internal verifiers on the administrative procedures used before assessment of candidates begins.

All assessors should ensure that there are full records of assessment and related evidence available for inspection by the external verifier. Such inspection is part of the external verifier's role, to ensure that the accredited centre is maintaining quality standards.

If there is a problem

Should a Record of Achievement or certificate not arrive when expected, the centre should contact Edexcel and have available:

- the candidate's enrolment number
- the centre's registration number
- the name and number of the scheme and qualification that the candidate has entered, eg NVQ Level 3 for Teaching Assistants.

This ensures that the correct records can be accessed as quickly as possible.

Payment of fees

Edexcel will invoice the assessment centre for all fees due, both for registration of new candidates and certification of candidates' achievement. The assessment centre is responsible for paying these fees to Edexcel and for making its own arrangements to claim any fees due from candidates or their employers.

Anti-discriminatory practices

As part of the approval process, centres are required to ensure that they have an equal opportunities policy that covers all aspects of assessment including access to assessment and taking into account the timing and frequency of assessments. Internal verifiers have a key role in their work with assessors to ensure that assessments do not discriminate against any candidates.

All centres should publish an appeals procedure which is made available to staff and candidates.

Special assessment arrangements

Candidates with a physical disability, a sensory impairment, a specific learning difficulty or a temporary disability at the time of the assessment may be eligible for special assessment arrangements.

Special assessment arrangements are intended to enable candidates to demonstrate their level of competence in relation to the qualification standards. They are not intended to compensate for lack of competence and should not:

- give an unfair advantage to candidates
- reduce the validity and reliability of the assessment or compromise the credibility of the award
- mislead users of Edexcel certificates about candidates' competence.

It is important to note that, where special assessment arrangements are applied, they may result in an amended certificate being issued. Any requests for special assessment arrangements need to be submitted to Edexcel at the earliest possible date and separately from the entry itself.

What else you should read

The following publications provide additional information that is directly relevant to the provision of NVQs:

- *The Accreditation of Prior Learning (APL)* available via www.edexcel.org.uk
- *Edexcel Policy Framework* revised annually
- *The Information Manual* revised annually

For further information about these or any other qualifications, please contact our Customer Services on 0870 240 9800.

Other publications that may provide additional information that are directly relevant to the provision of NVQs consist of:

- *NVQ Code of Practice* (Order ref: QCA/02/875)
- *Internal Verification of NVQs* (Order ref: QCA/98/164)
- *Assessing NVQs* (Order ref: QCA/98/135)

These can be ordered directly from QCA from:

QCA Publications

PO Box 99

Sudbury

Suffolk CO10 2SN

Telephone: 01787 884 444

Fax: 01787 312 950

Email: qca@prolog.uk.com

Website: www.qca.org.uk

Where are the standards available from?

The standards have been produced by the National Training Organisation for Levels 2 & 3 NVQ for Teaching Assistants and are available from:

The Local Government NTO

Layden House

76-86 Turnmill Street

London EC1M 5LG

Telephone: 020 7296 6600

Fax: 020 7296 6666

Email: admin.lgnto@lg-employers.gov.uk

Website: www.lgnto.gov.uk

The standards have been written in a user-friendly way to give as much guidance as possible to candidates, assessors and centres. All centres **must** have a copy of the standards and these should be available to candidates, assessors and internal verifiers.

Section 6: Assessment strategy for the NVQ framework for Teaching Assistants

This section sets out the assessment strategy for the NVQ framework developed for the occupational area of Teaching Assistants.

The strategy makes statements in respect of the four components of an assessment strategy:

- the recommended approach to external quality control
- mandatory requirements for evidence from performance in the workplace
- where simulation may be deployed and the characteristics it should have
- the occupational expertise requirements of assessors and verifiers.

External quality control

The LGNTO recommends that an independent component be included in the assessment system for both qualifications in the framework.

It is recommended that the **independent assessment component** be applied to a minimum of one unit per candidate per award. **For consistency across the candidates, this unit must be drawn from the mandatory units for the award being undertaken by the candidate.**

Either the use of independent assessors or external assessment instruments (eg practice based assignments developed against a centrally set framework, internally assessed but subject to external moderation) is acceptable to the NTO. However, it is recommended that external assessment instruments, if used, be applied in the context of the level 3 award only.

The definition of independent assessor proposed by the LGNTO is that s/he must be someone who is external to the establishment where the candidate works.

In addition, the LGNTO recommends that internal and external verification be conducted at a comparable sampling rate across all Awarding Bodies offering the award.

Mandatory assessment through workplace performance

The use of evidence derived from a candidate's workplace performance is a mandatory requirement for **all** aspects of **each** unit within the NVQs, unless otherwise specified within that unit.

The few exceptions to this requirement relate to health and safety and child protection contingencies in respect of relevant units in the suite. These exceptions, for which performance evidence from simulation and/or inferred evidence from questioning is permitted, are clearly marked on the standards themselves.

The use of simulation and the characteristics it should have

The use of performance evidence from simulated situations is only acceptable in respect of health and safety and child protection contingencies for which evidence from the candidate's workplace performance may not be forthcoming.

Components of the national occupational standards against which performance evidence from simulations is permitted are clearly identified within the standards.

Simulations must be designed to achieve the following:

- the contingency to which the candidate is required to respond must be realistic and reasonable in terms of its scale and the speed of response required
- the candidate must be able to demonstrate the actions s/he would take, using equipment and materials commonly found within the school in which they are working

- information available to the candidate on the nature of the contingency and the response expected must be consistent with the policies and practices of the school in which they are working.

Occupational expertise requirements of Assessors and Verifiers

Assessors should normally hold, or have held, a post within the five years prior to their first conducting an assessment, which involved one of the following:

- performing the roles covered by the standards they are assessing as an experienced practitioner and over at least a three year period¹ *or*
- being directly responsible for directing and supervising the work of teaching/classroom assistants in a classroom situation over at least a three year period *or*
- providing formal guidance and instruction to professional teachers and/or teaching/classroom assistants, on the effective performance of the functions covered by the standards which they are assessing, over at least a three year period.

Internal Verifiers should normally have had a minimum of three years experience of working in education, in a capacity which involved them making judgements as to the quality of provision offered, and must be familiar with the demands and opportunities afforded by work within a classroom environment. This experience would normally have been gained within the five years prior to their first conducting an internal verification.

Guidance on implementation

To help ensure that the assessment of candidates is undertaken in such a way that sector confidence in the sustainability, reliability and validity of candidate competence is upheld, LGNTO recommends that assessment of candidate performance in the workplace is undertaken in such a way that the evidence collected for each candidate covers their work with at least two age groups for units which refer to interactions with groups, and in relation to their work with two different children for units which refer to interactions with individuals.

(Note that an age group is defined as a group of children allocated to the same class/year group in a school on the basis of their chronological age, eg primary 3, year 10.)

It is recommended that this guidance be taken fully into account in the provision of advice and guidance to centres seeking to offer assessment in relation to either or both of the proposed NVQs/SVQs at levels 2 and 3.

¹ **NB** In Scotland, the post of Classroom Assistant has been recognised for less than two years. Consequently, an interim position in Scotland is permitted, whereby the time related aspects of Teaching Assistant occupational competence are reduced to a requirement that they have had a minimum of 18 months experience in one of the capacities cited in the occupational competence for assessors. This position will hold until April 2004 or until the NVQs are reviewed, whichever comes sooner.

Annex A: Simulation and supplementary evidence

Simulation

Unit/Standard	Simulation
	Simulation may be used to obtain evidence in relation to:
2.2.1	responding to accidents, upsets and ailments and the recognition of uncharacteristic behaviour patterns
2.2.2	responding to conflict situations and incidents of anti-social behaviour
2.4.1	responding to conflict situations and poor communication
3.1.1	the recognition of uncharacteristic behaviour patterns and incidents of inappropriate behaviour outside your area of responsibility
3.1.2	Performance Indicators 3 to 7 in this Standard
3.2.1	dealing with any difficulties which threaten to disrupt your relationship with a pupil
3.2.2	dealing with difficulties within the group
3.5.1	reporting concerns about the availability or condition of safety equipment
3.5.2	reporting shortages of materials
3.5.3	reporting deficiencies, damage or shortfalls of equipment and materials
3.9.1	responding to conflict situations and incidents of anti-social behaviour
3.9.3	responding to emotional outbursts and negative reactions
3.10.1	responding to emergencies
3.10.2	responding to health emergencies
3.11.3	responding to health emergencies
3.15.1	the recognition of uncharacteristic behaviour patterns and responding to episodes of challenging behaviour
3.15.2	responding to conflict situations and incidents of anti-social behaviour
3.17.1	reporting equipment faults and making faulty equipment safe and secure
3.17.2	responding to the dangerous use of ICT equipment and reporting faulty equipment.

Supplementary evidence

Unit / Element Number	Supplementary evidence
2.1.2	Scope item 'records' (2) relating to out of school activities
2.2.1	Scope item 'individual attention' (3) providing an escort for a pupil within and outside of the school (the concern being outside)
3.4.1	Scope item 'relevant people' (12) contacts from outside the school with whom you work
3.6.1	Scope item 'pupil records' (4) relating to out of school activities
3.6.2	Scope item 'pupil records' (4) relating to out of school activities
3.10.1	Scope item 'environment' (7) places visited on an educational visit

Further copies of this publication are available from
Edexcel Publications, Adamsway, Mansfield, Notts, NG18 4FN

Telephone 01623 467467
Fax 01623 450481
E-mail: publications@linneydirect.com

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or visit our website: www.edexcel.org.uk

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