

Level 4
NVQ
Registered Manager (Adults)
November 2002

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Publications Code N012724

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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.

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 organisation responsible for the standards in Registered Manager (Adults) NVQ is:

The Training Organisation for the Personal Social Services:

www.topss.org.uk

England

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Albion Court
5 Albion Place
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LS1 6JP

Telephone: 0113 245 1716
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Northern Ireland

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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 6.

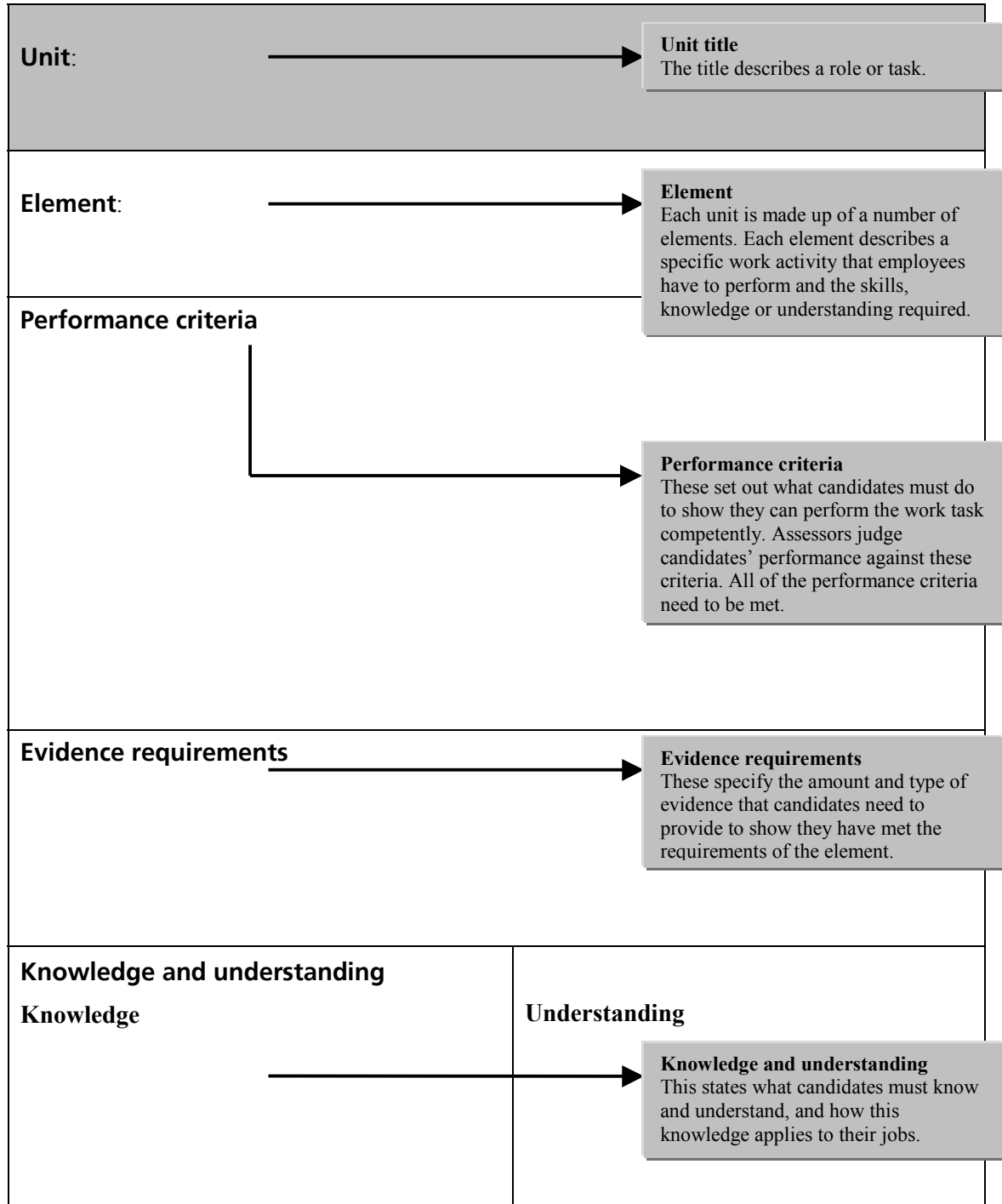
NVQs are available at five levels, which reflect the range of technical and supervisory skills, knowledge, and experience that employees should have as they progress in their industry. An explanation of the levels is provided on the following page.

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:



Who is involved in NVQs?

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

	Who are they?	What is their role?
Approved Centres	<ul style="list-style-type: none"> Organisations approved by Edexcel to co-ordinate assessment arrangements for NVQs. They may be a school, college, university, training provider or employer. 	<ul style="list-style-type: none"> Manage assessment on a day-to-day basis. Must have effective assessment practices and internal verification procedures. Must meet criteria laid down by awarding bodies and be able to provide sufficiently competent assessors and internal verifiers.
Candidates	<ul style="list-style-type: none"> Individuals who want to achieve the NVQ. 	<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).
Advisers	<ul style="list-style-type: none"> The people who help the candidate prepare for assessment. 	<ul style="list-style-type: none"> Encourage and support the candidate through the assessment process. Identify opportunities for the candidate to gather relevant evidence.
Assessors	<ul style="list-style-type: none"> The people who assess the candidates and decide if they have met the required standard. 	<ul style="list-style-type: none"> Judge candidates' evidence of performance, knowledge and understanding against the national standards and decide whether candidates have demonstrated competence.
Internal verifiers	<ul style="list-style-type: none"> Individuals appointed by the centre to ensure the quality of advice and assessment within the centre. 	<ul style="list-style-type: none"> Advise and support assessors and advisers to maintain the quality of assessment in a centre. Systematically sample assessments to confirm the quality and consistency of assessment decisions.
External verifiers	<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 systematic sampling. 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 provides qualifications throughout the world and was formed in 1996 by the merger of the Business and Technician Education Council (BTEC) and London Examinations. 	<ul style="list-style-type: none"> Approve centres. Operate quality assurance systems. Appoint external verifiers to ensure that standards of assessment and verification are maintained. Liaise with NTOs to provide guidance for centres. Issue candidates' certificates.

Advisers, assessors, internal and external verifiers are required to have occupational expertise in the NVQs which they are assessing/verifying. Assessors and internal verifiers must also have, or be working toward an appropriate qualification in assessment or verification.

Edexcel expects all assessors, internal verifiers and external verifiers to obtain the appropriate qualifications within **18 months** of starting assessing or verifying.

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To achieve an NVQ, or a unit from an NVQ, you must:

- demonstrate you meet the requirements of the performance criteria by collecting appropriate evidence as specified by the evidence requirements. This evidence is assessed against the national standards by a qualified assessor, allocated by your centre.

Evidence may come from:

- current practice – where evidence is generated from a current job role, or
- the accreditation of prior learning – where evidence relates to past experience
- or a combination of these.

Section 2: The Level 4 NVQ in Registered Manager (Adults)

The NVQ in Registered Manager (Adults) recognises the skills, knowledge and understanding 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 TOPSS, the national training organisation for this industrial sector.

The NVQ is designed to be assessed in the workplace or in conditions resembling the workplace.

What is the structure of the Registered Manager (Adults) NVQs Level 4?

To achieve the whole qualification a candidate must prove competence in all four **mandatory units** and six **option units**.

Mandatory units for the Level 4 NVQ in Registered Manager (Adults)

Candidates must achieve all of the units listed.

Unit number	Title	Element	Title
O3	Develop, maintain and evaluate systems and structures to promote the rights, responsibilities and diversity of people	O3.1	Develop, maintain and evaluate systems and structures to promote the rights and responsibilities of people
		O3.2	Develop, maintain and evaluate systems and structures to promote the equality and diversity of people
		O3.3	Develop, maintain and evaluate systems and structures to promote the confidentiality of information
RM1	Manage a service which meets the best possible outcomes for the individual	RM1.1	Ensure services are designed and reviewed to promote and maximise the achievement of the best possible outcomes for individual clients
		RM1.2	Ensure the promotion of participation and independence in order to facilitate the achievement of the best possible outcomes
		RM1.3	Manage and monitor systems for the assessment of risk of abuse, failure to protect and harm to self or others
		RM1.4	Manage and monitor systems for the administration of medication
B3	Manage the use of financial resources	B3.1	Make recommendations for expenditure
		B3.2	Control expenditure against budgets
C13	Manage the performance of teams and individuals	C13.1	Allocate work to teams and individuals
		C13.2	Agree objectives and work plans with teams and individuals
		C13.3	Assess the performance of teams and individuals
		C13.4	Provide feedback to teams and individuals on their performance

Option units for the Level 4 NVQ in Registered Manager (Adults)

Candidates must achieve **one** unit from each of the four sets of the units

- Manage Activities
- Manage People and Other Resources
- Manage Information
- Manage Quality

and then **two** more units from any of the remaining units including assessment and verification units.

Unit number	Title	Element	Title
Manage Activities			
A2	Manage activities to meet requirements	A2.1	Implement plans to meet customer requirements
		A2.2	Maintain a healthy, safe and productive work environment
		A2.3	Ensure products and services meet quality requirements
A4	Contribute to improvements at work	A4.1	Improve work activities
		A4.2	Recommend improvements to organisational plans
SNH4U1	Develop programmes, projects and plans	SNH4U1.1	Prepare proposals to meet the organisation's objectives and respond to opportunities and problems
		SNH4U1.2	Evaluate and amend proposals
		SNH4U1.3	Provide professional and technical advice
		SNH4U1.4	Generate support and resources
		SNH4U1.5	Negotiate agreement for programmes, projects and plans
SC20	Contribute to the provision of effective physical social and emotional environments for group care	SC20.1	Contribute to effective physical environments for group care
		SC20.2	Contribute to effective social and emotional environments for group care

Unit number	Title	Element	Title
Manage Activities continued			
RM2	Ensure individuals and groups are supported appropriately when experiencing significant life events	RM2.1	Design and implement a service which addresses the needs of clients experiencing significant life events
		RM2.2	Ensure the service responds effectively to individuals experiencing major life changes or losses
SNH4U4	Promote the interests of client groups in the community	SNH4U4.1	Promote the rights of client groups
		SNH4U4.2	Help clients to represent their own interests and rights
Manage People and Other Resources			
RG6	Take responsibility for your business performance and the continuing development of self and others	RG6.1	Manage own time and resources to meet business objectives
		RG6.2	Take responsibility for own professional development
		RG6.3	Contribute to the professional development of others
C10	Develop teams and individuals to enhance performance	C10.1	Identify the development needs of teams and individuals
		C10.2	Plan the development of teams and individuals
		C10.3	Develop teams to improve performance
		C10.4	Support individual learning and development
		C10.5	Assess the development of teams and individuals
		C10.6	Improve the development of teams and individuals

Unit number	Title	Element	Title
Manage People and Other Resources continued			
HSCL4U9	Create, maintain and develop an effective working environment	HSCL4U9.1	Establish and maintain working relationships with colleagues
		HSCL4U9.2	Implement disciplinary and grievance procedures
		HSCL4U9.3	Counsel colleagues
		HSCL4U9.4	Identify and minimise interpersonal conflict in working relationships
		HSCL4U9.5	Provide a healthy and safe working environment
		HSCL4U9.6	Evaluate the effectiveness of working relationships
C8	Select personnel for activities	C8.1	Identify personnel requirements
		C8.2	Select required personnel
SC15	Develop and sustain arrangements for joint working between workers and agencies	SC15.1	Evaluate the potential for joint working with other workers and agencies
		SC15.2	Establish and sustain working relationships with other workers and agencies
		SC15.3	Contribute to joint working with other workers and agencies
BDA2	Develop your plans for the business	BDA2.1	Review how effective your marketing, sales, production/services, finances and staffing are
		BDA2.2	Produce an up-to-date plan for the business
		BDA2.3	Plan your actions
Manage Information			
D4	Provide information to support decision making	D4.1	Obtain information for decision making
		D4.2	Record and store information
		D4.3	Analyse information to support decision making
		D4.4	Advise and inform others
D2	Facilitate meetings	D2.1	Lead meetings
		D2.2	Make contributions to meetings

Unit number	Title	Element	Title
Manage Quality			
F3	Manage continuous quality improvement	F3.1	Develop and implement systems to monitor and evaluate organisational performance
		F3.2	Promote continuous quality improvements for products services and processes
F6	Monitor compliance with quality systems	F6.1	Plan to audit compliance with quality systems
		F6.2	Implement the audit plan
		F6.3	Report on compliance with quality systems
Assess/Verify			
D32	Assess candidate performance	D31.2	Agree and review a plan for assessing performance
		D32.2	Collect and judge performance evidence against criteria
		D32.3	Collect and judge knowledge evidence
		D32.4	Make assessment decision and provide feedback
D33	Assess candidate using differing sources of evidence	D33.1	Agree and review an assessment plan
		D33.2	Judge evidence and provide feedback
		D33.3	Make assessment decision using differing sources of evidence and provide feedback
D34	Internally verify the assessment process	D34.1	Advise and support assessors
		D34.2	Maintain and monitor arrangements for processing assessment information
		D34.3	Verify assessment practice

Please note that from 1 January 2003, the new A and V units drawn from the Learning and Development National Vocational Qualifications will replace the use of the 'D' units. This means that the structure of this NVQ will change and in Group F (Access and Verify) the following units will be listed from this date:

Unit number	Title	Element	Title
Assess/Verify			
A1	Assess candidates using a range of methods	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
A2	Assess candidates' performance through observation	A2.1	Agree and review plans for assessing candidates' performance
		A2.2	Assess candidates' performance against the agreed standards
		A2.3	Assess candidates' knowledge against the agreed standards
		A2.4	Make an assessment decision and provide feedback
V1	Conduct internal quality assurance of the assessment process	V1.1	Carry out and evaluate internal assessment and quality assurance systems
		V1.2	Support assessors
		V1.3	Monitor the quality of assessors' performance
		V1.4	Meet external quality assurance requirements

Key skills

The National Training Organisation TOPSS, has formally undertaken to produce a document which maps key skills to the Registered Manager (Adults) NVQ standards. This is currently under development and once completed Edexcel will undertake to notify all approved centres and to supply a copy to each centre.

Section 3: Assessment Guidance

Introduction

This section gives details of the Assessment Strategy for Registered Managers NVQ (see *Appendix 2*). It states the key requirements for Edexcel regarding:

- external quality control
- assessor and verifier occupational competence
- workplace performance and simulation.

1.1 Purpose of this Joint Assessment Guidance

1.1.1 This document sets out to present the best approaches to, and practices in, the assessment of registered managers' performance against the National Occupational Standards. These are drawn from the experiences of Management and Care Awarding Bodies, advisers, assessors, internal and external verifiers, training and development providers as well as managers themselves. They are intended to support centres with the implementation of the Registered Manager Award and should be applied with complementary and relevant guidance from the regulatory and awarding bodies (*see Annex 1*).

1.1.2 This guidance will support centres with:

- the processes of collecting evidence of competent performance
- the assessment of candidates for the Registered Manager NVQ/SVQ
- identifying advisers (where appropriate), assessors and internal verifiers
- implementing requirements for internal quality control
- complying with requirements for external monitoring and quality control.

1.2 The Assessment Strategy for the Registered Manager Level 4 NVQ/SVQ (Appendix 2)

1.2.1 This guidance is based on the Assessment Strategy for the Registered Manager Level 4 NVQ/SVQ which was devised by TOPSS and endorsed by the Awarding Bodies, QCA and SQA. The Assessment Strategy covers the following areas:

- external quality control – see sub-section 2
- those aspects of the standards that must be assessed through performance in the workplace – see sub-section 3
- the uses and characteristics of simulation – see sub-section 3
- the required occupational expertise of advisers, assessors and verifiers – see sub-section 4.

1.3 Background and structure of the Registered Manager Award

1.3.1 As part of the government's modernisation programme for social care services TOPSS was asked to establish appropriate National Occupational Standards for the registered managers of care services for adults. In Scotland TOPSS was asked to establish the appropriate National Occupational Standards and qualifications. Also, the consultation in Scotland included child care services. The expectation was that one use of these standards would be as a basis for a recognised qualification for these managers. The achievement of this qualification could in turn form part of the registration requirements for individual managers from the Care Councils in each country. Having a manager with this qualification (or equivalent) is likely to be a requirement on registered care services, as part of the new registration and inspection arrangements.

1.3.2 The qualification is aimed at the managers, deputies and assistants, and others who hold managerial responsibilities within care services. The size, nature and organisational setting of these services vary greatly with the consequence that the roles of the managers can be equally varied and diverse. As a result, a total of 23 units of National Occupational Standards were developed to cover the whole breadth of work involved. The structure of the Registered Manager Award has been developed to:

- ensure consistency across these varied services whilst offering enough flexibility to reflect the differing roles amongst the managers.

1.3.3 Within the National Occupational Standards four units are considered to be core, ie to be relevant to all managers of care services:

O3 – Develop, maintain and evaluate systems and structures to promote the rights, responsibilities and diversity of people

RM1 – Manage a service which meets the best possible outcomes for the individual

B3 – Manage the use of financial resources

C13 – Manage the performance of team and individuals

The remaining 19 units are grouped into five key roles:

- **Manage Activities**
- **Manage People and Other Resources**
- **Manage Information**
- **Manage Quality**
- **Assess/Verify.**

1.3.4 Of these five groups it is considered that all managers irrespective of setting will have some responsibility in each of the first four groups but that there should be some flexibility within each group to take account of the differing nature of different manager's work. As a result the qualification requires the demonstration of competence in the four core units, plus one unit from each of the first four key roles – Manage Activities, Manage People and Resources, Manage Information and Manage Quality and a further two units drawn from anywhere within the standards. This makes a total requirement of 10 units.

External quality control and independent assessment

2.1 External quality control

- 2.1.1 External quality control will be comprehensive and rigorous, incorporating external verification of centres' internal quality monitoring systems in centres, as determined by the awarding body, taking into account the centre's previous history of delivering N/SVQs together with current and emerging codes of practice. In addition, there will be a component of independent assessment.

2.2 Independent assessment

- 2.2.1 Independent assessment will follow the model developed in relation to the generic management NVQ/SVQs, whereby two possible routes to achieving independence are available:

- the use, or part use, of an independent assessor who has no direct operational or training connection with the candidate (see 2.2.3)
- the separation of the adviser and assessor roles for individual candidates. (see 2.2.4).

- 2.2.2 Awarding bodies will advise their centres on the application of these models.

- 2.2.3 Where the use, or part use, of an independent assessor is the chosen route they must assess a **minimum of one complete unit** – this unit **must** be one of the four core units – O3, RM1, B3, C13. It should be noted, however, that Unit O3, the 'value base' unit, should normally be assessed throughout the process of assessing the whole award, and therefore may not be easily assessed independently.

In order to be independent, the independent assessor must not have any direct line managerial relationship with the candidate. Similarly they should not be involved in the training and development of the candidate in preparation for this award. In addition they should not work with the candidate, be based in the same workplace location nor be a relative of the candidate. They must meet the same qualification and occupational competency requirements placed on all assessors of this qualification – see sub-section 4 below.

- 2.2.4 The separation of the adviser and assessor roles for individual candidates helps to ensure the independence of the assessment because:

- the adviser develops a relationship with the candidate and can provide support, advice and guidance relating to both the candidate's development and the collection and presentation of evidence but is not a part of the assessment (judgement) process and so remains independent of it
- the assessor on the other hand can be much more objective in their assessment as they have not had the same involvement in the development of the candidate and the collection and preparation of the evidence. This allows them to focus solely on assessing the candidate's competence.

- 2.2.5 Details of the occupational experience and qualifications required from advisers and assessors is included in sub-section 4 of this guidance, below.

Evidence requirements

3.1 Imported units

- 3.1.1 20 of the 23 units have been ‘imported’ from existing N/SVQs. The evidence requirements for these units have not been changed.
- 3.1.2 Where candidates have completed ‘imported’ units as part of another qualification then evidence of the successful completion is all that is required for the unit to be counted towards this qualification. Centres are reminded to refer to the requirements for independent assessment as described in 2.2 above and of their responsibility to ensure that evidence is available to prove that these can be met for each candidate.

3.2 Accreditation of Prior Learning (see also *Annex 1* and *Appendix 1*)

- 3.2.1 Many of the candidates for this award may have undertaken management training in the past and will be experienced managers. All centres providing the Registered Manager N/SVQ should, therefore, provide the opportunity for candidates’ prior learning and experience to be assessed and accredited towards the Registered Manager Award.

- 3.2.2 It is important that any APL process ensures that:

- it covers relevant or appropriate experience from previous activities as well as accredited or certificated learning and qualifications
- it is incorporated into the assessment planning with details of how it will take place
- any mapping of prior learning to the National Occupational Standards to identify gaps should be documented and auditable
- assessment methods or processes for APL should be documented and made available to the external verifier
- the audit trail should cover the whole process and methodology of APL.

- 3.2.3 In assessing the degree to which any previous learning meets the National Occupational Standards assessors will need to be mindful of the following:

- **Content** – the degree to which the content of the previous certificated learning meets the knowledge requirements of the National Occupational Standard against which it is being presented as evidence.
- **Comprehensiveness of assessment** – ensure that all the learning derived from the content has been assessed. If only a proportion has been assessed, then the learning for the ‘non-tested’ areas cannot be assumed.
- **Level** – the degree to which the level of learning offered and tested relates to that required by the level 4 Registered Manager NVQ/SVQ.
- **Performance and knowledge** – the degree to which the previous learning covered both performance, and knowledge and understanding. Some learning will only have offered and tested the latter, in which case the APL can only cover this aspect with performance requiring further assessment. Although unlikely, the reverse (performance tested but not knowledge and understanding) could be true in which case knowledge and understanding would now need assessing.

- **Model of learning** – difficulties can arise in mapping learning gained from non-competence-based learning programmes into competence-based models such as the Registered Manager Award level 4.
- **Relevance of context** – the degree to which the context in which the learning was gained and assessed relates to the current context of managing a social care service. If the context was different assessors will need to satisfy themselves of the candidate’s ability to transfer the learning gained into their current setting.
- **Currency** – how recently the learning was gained. Whilst learning relating to management processes etc gained some time ago may still be relevant, candidates would need to demonstrate current knowledge and understanding of areas such as legislation, policy etc which may have changed since the previous learning programme was undertaken.

3.3 Observed performance

3.3.1 Evidence through direct observation of a candidate’s work is always valuable for all units. There are six units in this qualification where there **must** be evidence for each element through direct observation by the assessor of the candidate undertaking real work activities (see *Annex 2*).

- **HSCL4U9** – Create, maintain and develop an effective working environment
- **O3** – Develop, maintain and evaluate systems and structures to promote the rights, responsibilities and diversity of people
- **SC15** – Develop and sustain arrangements for joint working between workers and agencies
- **SC20** – Contribute to the provision of effective physical, social and emotional environments for group care
- **SNH4U1** – Develop programmes, projects and plans
- **SNH4U4** – Promote the interests of client groups in the community

3.3.2 Opportunities for observed performance must be identified by the adviser or assessor, agreed with the candidate and incorporated into assessment planning. It must be carried out by a qualified assessor (see sub-section 4, assessors and verifiers), clearly evidenced and logged to enable auditing.

3.4 Real work activities

3.4.1 Except as described in 3.5 below, all evidence should relate to the candidate’s real work activity. As part of the development of the standards in England and Wales, a number of learning sets of registered managers were held. One aspect of these learning sets was to identify real work activities which related to each of the standards. *Annex 2* is drawn from this work and lists possible activities, products and documents useful in demonstrating competence in the Registered Manager National Occupational Standards.

3.5 The use of simulation for assessment

3.5.1 The assessment strategy for the Registered Manager NVQ/SVQ specifies:

“The use of evidence generated from real work activities is always the preferred method. However in some situations it may not be possible for candidates to provide evidence generated from real work activities. Simulation of work can provide an acceptable alternative; the elements where this can be used are specified.

In order to ensure the validity of these simulations awarding bodies must issue guidance to their centres outlining how simulations should be planned and organised. This guidance must ensure that the demands on candidates during simulation are consistent with those they would meet in their real work situation.”

3.5.2 Within the standards the following elements state that evidence from simulation is acceptable:

- A2.2 Maintain a healthy, safe and productive work environment (Performance Criterion F)
- C10.1 Identify the development needs of teams and individuals (Performance Criterion D)
- C10.2 Plan the development of teams and individuals (Performance Criterion E)
- C10.4 Support individual learning and development (Performance Criterion H)
- C13.1 Allocate work to teams and individuals (Performance Criterion H)
- F6.2 Implement the audit plan (Performance Criterion C)

3.5.3 Where simulation is allowed and used, in the assessment of units in the Registered Manager NVQ/SVQ, it must be organised in a way which ensures the following:

- all simulations should be planned so that when implemented they correctly reflect the standard to be assessed
- simulation plans should be individual to each candidate
- these plans should be documented within the candidate’s assessment plan
- the simulations should follow the agreed plan
- simulation should, wherever possible, take place in the candidate’s normal work environment. However, where this is not possible, the environment, including human and physical resources, should reflect as closely as possible the candidate’s real workplace
- both the plans for simulation and their implementation by centres should be subject to internal and external verification.

3.5.4 Where simulation is allowed, it would only be acceptable if a range of assessment methods is used overall and simulation forms only a small part of the overall evidence requirement for the unit.

3.6 Witness testimony

- 3.6.1 Witness testimony can provide a good way of including a range of people in providing evidence of the candidate's performance. However it is unlikely to provide sufficient evidence of competence on its own. In order for the assessor to be able to make an informed judgement of the contribution of the witness testimony to the overall evidence for the unit or qualification, a statement of the witness' status should be included in the candidates' portfolio of evidence (this may take the form of a 'witness status list' or be included as part of the witness testimony itself). The statement should indicate the relationship between the candidate and the witness and should enable the assessor, by defining the role that the witness has played in the gathering of evidence (ie as colleague, worker from a separate agency, service user etc), to judge the extent of the witness' knowledge of the National Occupational Standards and understanding of the work roles involved.

Occupational expertise of advisers, assessors and verifiers

4.1 Advisers

- 4.1.1 The role of the adviser is to:
- identify opportunities for the candidate to gather evidence of competence
 - facilitate assessment planning with the candidate and assessor
 - help determine an appropriate development programme
 - encourage and support the candidate through the assessment process.
- 4.1.2 The adviser must:
- have had direct experience of performing the competencies on which they are advising, or
 - have relevant experience and a thorough technical knowledge of what constitutes continuous effective performance under current working conditions.
- 4.1.3 The adviser should be able to demonstrate a clear understanding of coaching and mentoring in the workplace.
- 4.1.4 In addition advisers also need to be aware of the conditions and context in which assessment takes place, the Awarding Body's procedures and the centre's systems for the management and delivery of N/SVQs.

4.2 Assessors

- 4.2.1 The role of the assessor is to:
- plan the assessment with the candidate and, where appropriate, the adviser
 - assess the candidate's performance and evidence to determine competence against the relevant National Occupational Standards
 - ensure that their assessment practice meets awarding body and approved centre practice.

- 4.2.2 The assessor must:
- have had direct experience of performing the competencies they are assessing, or
 - have relevant experience and a thorough technical knowledge of what constitutes continuous effective performance under current working conditions and the context in which assessment takes place.
- 4.2.3 In addition, assessors should comply with the regulatory requirements, with regard to qualifications, as stated in the NVQ Code of Practice and Scottish equivalent assessors also need to be aware of the awarding body's procedures and the centre's systems for the management and delivery of N/SVQs.
- 4.2.4 In Cymru, candidates must be provided with the opportunity to be assessed through the medium of Welsh should they wish.

4.3 Internal verifiers

- 4.3.1 The role of the internal verifier is to:
- provide support and guidance for the centre's assessors
 - work with assessors to ensure the quality and consistency of assessment
 - sample candidate assessments to ensure consistent assessment
 - ensure that their own verification practice meets awarding body and approved centre practice
 - make sure that assessment and verification records and documents are fit for purpose and meet awarding body requirements
 - ensure that requests to the awarding body for certificates are based on assessments of consistent quality.
- 4.3.2 The internal verifier must:
- have relevant and credible occupational experience across the level and breadth of the National Occupational Standards they are verifying
 - be able to demonstrate a thorough knowledge of awarding body procedures
 - be able to demonstrate a clear understanding of the approved centre's quality assurance systems and procedures for managing the delivery of N/SVQs.
- 4.3.3 In addition, internal verifiers should comply with the regulatory requirements, with regard to qualifications, as stated in the NVQ Code of Practice and Scottish equivalent. They should be aware of quality assurance in relation to their role and their responsibilities to assessors.
- 4.3.4 It is essential that the internal verifier has no direct involvement in the assessment of candidates where they will be internally verifying those assessment decisions. Internal verification records must be kept up to date and include sampling plans, which should be made available to the external verifier.

4.4 External verifiers

4.4.1 The role of the external verifier is to:

- make sure that decisions on competence are consistent across centres
- make sure that the quality of assessment and verification meets national standards
- sample candidate assessments and monitor assessments and verification practices in centres
- provide feedback to centres
- make regular visits to centres and assessment locations
- ensure that their own verification practice meets awarding body requirements.

4.4.2 The external verifier must:

- have significant experience in the care sector
- be able to demonstrate a thorough knowledge of National Occupational Standards covered by the awards they are externally verifying
- be able to demonstrate a clear understanding of the accreditation and regulatory requirements for N/SVQs and awarding body's systems and procedures for quality assurance systems, including Independent Assessment – see sub-section 2 above.

4.4.3 In addition external verifiers should comply with the regulatory requirements, with regard to qualifications, as stated in the NVQ Code of Practice and Scottish equivalent.

Annex 1

List of reference documents

The NVQ Code of Practice (and Scottish equivalent) (Ref: QCA/02/875)

Assessing NVQs (QCA/98/135)

Joint Awarding Body Guidance on Internal Verification of NVQs
(DfES: PP80D2/43926/0801/34)

Edexcel Accreditation of Prior Learning – policy for centres (Edexcel website)

Annex 2

Activities, products and documents useful in demonstrating competence in the Registered Manager National Occupational Standards

The following table lists activities, products and documents which might be useful in demonstrating competence against the Registered Manager National Occupational Standards. The items listed are not meant to be a requirement nor are the lists exhaustive. Rather they are presented as a possible starting point for candidates, advisers and assessors working with the National Occupational Standards. The lists draw heavily on the work done in the learning sets which helped to develop the standards.

Unit	Typical activities, products and documents
O3 – Develop, maintain and evaluate systems and structures to promote the rights, responsibilities and diversity of people	<p>O3 underpins all the other units and should influence all work activity. Therefore, potentially any work activity should be able to provide evidence towards O3. For this reason many candidates find it easier to focus on O3 alongside other units rather than in isolation.</p> <p>Discussions at team meetings, in supervision and in relation to individual service users re: both the development of the systems and how they work in practice. Reviews, quality audits, appraisals etc should enable you to demonstrate the way you monitor these systems and structures.</p> <p>Records, minutes, notes etc re: the above.</p> <p>Policy and procedure documents designed to promote the rights, responsibilities and diversity of people, equal opportunities.</p>
RM1 – Manage a service which meets the best possible outcomes for the individual	<p>Team meetings, meetings re: individual services users, care conferences, service users’ meetings, abuse strategy meetings, investigations, staff training sessions.</p> <p>Records, minutes, notes of any of above meetings, care plans, documents identifying individual user’s needs, staff training materials, medication orders, records of medication administration, disposal records for medication, records of checks on medication systems.</p> <p>Policy and procedure documents on individual care planning, choice and independence, protection from abuse, medication administration and self-administration</p>
B3 – Manage the use of financial resources	<p>Discussions re: finance at team meetings, presentations to management team/trustees/committee re: finance, bids/tenders to commissioners/purchasers.</p> <p>Any reports/presentation materials/bids linked to the above, quotes and estimates, printouts of financial reports.</p> <p>Policy and procedure documents on financial controls etc.</p>

Unit	Typical activities, products and documents
C13 – Manage the performance of team and individuals	<p>Team meetings, supervision sessions, care planning meetings, discussions re: resources and prioritising, objective setting meetings, appraisal meetings, grievance/disciplinary meetings, NVQ assessment/verification meetings.</p> <p>Minutes, records, notes of any of the above, relevant contracts and agreements, workload statistical returns, D32/33/34 certificates.</p> <p>Policy and procedure documents on supervision, work allocation, appraisal etc.</p>
A2 – Manage activities to meet requirements	<p>Leading team meetings, negotiations with colleagues, health and safety audits, training events, responding to and subsequently investigating accidents and emergencies, fire drills, inducting new staff.</p> <p>Minutes, notes and records of any of the above, care plans, brochure, annual report, memos to staff, health and safety certificates, inspection reports, training materials, induction materials and record, records of fire and evacuation drills, reports to management suggesting improvements.</p> <p>Policy and procedure documents on health and safety, accidents and emergencies, induction, fire safety, care planning.</p>
A4 – Contribute to improvements at work	<p>Discussions re: changes/improvements at team meetings, presentations to management team/trustees/committee re: changes/improvements.</p> <p>Any reports/presentation materials/minutes linked to the above, surveys and analyses, project proposals, implementation plans, feasibility reports etc.</p> <p>Policy and procedure documents on designing and delivering changes and improvements etc.</p>
SNH4U1 – Develop programmes, projects and plans	<p>Discussions re: programmes, projects and plans at team meetings, presentations to management team/trustees/committee programmes, projects and plans, carrying out projects, consultation/advisory meetings, negotiation meetings.</p> <p>Any reports/presentation materials/minutes linked to the above, surveys and analyses, project proposals, implementation plans, feasibility reports, SWOT analysis etc.</p> <p>Policy and procedure documents on designing and delivering programmes, projects and plans etc.</p>

Unit	Typical activities, products and documents
SC20 – Contribute to the provision of effective physical, social and emotional environments for group care	<p>Discussions at team meetings re: the physical, social and emotional environment, negotiations with colleagues re: improving the physical environments, programmes of leisure activities, health and safety audits.</p> <p>Minutes, notes and records of any of the above, care plans, brochure, annual report, memos to staff, reports to management suggesting improvements to the physical, social and emotional environments.</p> <p>Policy and procedure documents on health and safety, maintaining and improving the quality of the physical, social and emotional environments.</p>
RM2 – Ensure individuals and groups are supported appropriately when experiencing significant life events	<p>Team meetings, meetings re: individual services users experiencing significant life events, care conferences, staff training sessions re: coping with change, loss and bereavement etc.</p> <p>Records, minutes, notes of any of above meetings, care plans, documents identifying individual user’s needs, staff training materials.</p> <p>Policy and procedure documents on individual care planning, supporting individuals who are experiencing significant life events.</p>
SNH4U4 – Promote the interests of client groups in the community	<p>Team meetings, meetings re: individual services users, care conferences, service users’ meetings, staff training sessions, leisure activities, meetings with community groups, meetings with advocacy/self-advocacy groups.</p> <p>Records, minutes, notes of any of above meetings, care plans, documents identifying individual user’s needs, staff training materials, information on notice boards, posters etc re: local community resources and events.</p> <p>Policy and procedure documents on individual care planning, choice and independence, advocacy, and community involvement.</p>
RG6 – Take responsibility for your business performance and the continuing development of self and others	<p>Team meetings, supervision sessions, meetings with HR/training specialists, discussions re: resources and prioritising, staff training events, objective setting meetings, appraisal meetings, IiP processes and achievement.</p> <p>Minutes, records, notes of any of the above, development logs – yours and those of the staff you manage, appraisal reports, IiP action plan and assessment report, IiP certificate.</p> <p>Policy and procedure documents on supervision, workforce training and development, appraisal, IiP etc.</p>

Unit	Typical activities, products and documents
C10 – Develop teams and individuals	<p>Team meetings, supervision sessions, meetings with HR/training specialists, discussions re: resources and prioritising, staff training events, objective setting meetings, appraisal meetings, IiP processes and achievement.</p> <p>Minutes, records, notes of any of the above, development logs – yours and those of the staff you manage, appraisal reports, IiP action plan and assessment report, IiP certificate.</p> <p>Policy and procedure documents on supervision, workforce training and development, appraisal, IiP etc.</p>
HSCL4U9 – Create, maintain and develop an effective working environment	<p>Team meetings, supervision sessions, discussions re: the working environment and working relationships, team building events, contact with specialist services eg counsellors, occupational health etc, appraisal meetings, grievance/disciplinary meetings.</p> <p>Minutes, records, notes of any of the above.</p> <p>Policy and procedure documents on supervision, team building, counselling etc.</p>
C8 – Select personnel for activities	<p>Discussions with senior management, peers, and staff team about personnel requirements, workforce plans, designing the selection process, selecting staff – advertising, shortlisting, interviewing etc.</p> <p>Notes of any of the above, workforce plans, costed analyses of personnel needs, personnel specification and job descriptions you have written or contributed to.</p> <p>Policy and procedure documents on workforce planning and recruitment and selection.</p>
SC15 – Develop and sustain arrangements for joint working between workers and agencies	<p>Team meeting discussions re: joint working, meetings with other agencies re: joint working/partnership in general and in relation to individuals, staff training, feasibility projects.</p> <p>Notes, minutes, correspondence, care plans, reports etc re: any of the above.</p> <p>Policy and procedure documents re: joint working.</p>
OM4U2 – Develop the business plan	<p>STEEP analyses (Social, Technical, Economic, Environmental, Political), SWOT analyses (Strengths, Weaknesses, Opportunities, Threats), Mission Statement, Business Plan, Marketing Plan, Workforce Plan and Records, IiP Action Plan, Financial Statements/Plans, Training Needs Analysis, Induction Records, Organisational Charts.</p> <p>Meetings with senior management, meetings with specialists both internal and external, consultations with staff team, service users, commissioners, banks, etc re: any of the above.</p> <p>Policy and procedure documents for all stages and aspects of business planning.</p>

Unit	Typical activities, products and documents
D4 – Provide information to support decision making	<p>Discussions at team meetings, supervision etc to gather information, analyse information, inform others about outcomes/decisions, presentations to senior managers, desk research, utilising electronic information sources and analysis techniques.</p> <p>Minutes/reports/notes/memos/presentation materials etc re: any of the above, risk analysis reports.</p> <p>Policy and procedure documents on decision making.</p>
D2 – Facilitate meetings	<p>Leading team meetings, reviews, care conferences, meetings with outside agencies, presentations.</p> <p>Agendas, minutes, notes, materials used, correspondence etc about any of the above meetings.</p> <p>Policy and procedure documents about team meetings, reviews etc.</p>
F3 – Manage continuous quality improvement	<p>Discussions re: quality assurance at team meetings, presentations to management team/trustees/committee re: quality assurance and possible improvements, inspection visits, market and trends research.</p> <p>Any reports/presentation materials/bids linked to the above.</p> <p>Policy and procedure documents on quality assurance and continuous improvement etc.</p>
F6 – Monitor compliance with quality systems	<p>Discussions re: quality systems and audits at team meetings, meetings with quality auditors, presentations to management team/trustees/committee re: quality systems and audits, inspection visits, IiP planning and implementation.</p> <p>Any reports/presentation materials/bids linked to the above.</p> <p>Outcomes of inspections, quality audits, IiP certificates, chartermarks, ISO achievements/kitemarks etc.</p> <p>Policy and procedure documents on quality systems and audits etc.</p>

One way of presenting these activities, documents and products is via an ‘Evidence Storyboard’. This approach involves the candidate writing up a reflective account or storyboard of the way a particular piece of work was carried out and using different pieces of evidence to support that account. Significantly the storyboard:

- relates directly to a piece of work that occurs naturally for the candidate
- can be used to cover performance criteria from elements from one or more units
- encourages a more holistic approach to assessment
- offers a range of naturally occurring sources of evidence
- can be used as a basis for discussion between the candidate and their assessor.

A typical piece of work which could become a storyboard might be taking the service through the Investors in People process. This could provide evidence for a number of units including some performance criteria from elements of each of the following:

- O3 – Develop, maintain and evaluate systems and structures to promote the rights, responsibilities and diversity of people
- B3 – Manage the use of financial resources
- C13 – Manage the performance of team and individuals
- A4 – Contribute to improvements at work
- SNH4U1 – Develop programmes, projects and plans
- RG6 – Take responsibility for your business performance and the continuing development of self and others
- C10 – Develop teams and individuals
- HSCL4U9 – Create, maintain and develop an effective working environment
- C8 – Select personnel for activities
- D4 – Provide information to support decision making
- D2 – Facilitate meetings
- F3 – Manage continuous quality improvement
- F6 – Monitor compliance with quality systems

A description of the process evidenced by the IiP action plan, notes from meetings implementing that plan, training and development records, the IiP evidence, the assessment report and the final recognition certificate etc could, potentially, provide evidence of the manager's competence for significant parts of the standards.

The storyboards could be based on relatively large pieces of work like introducing IiP or developing a new service, opening a new home, major redevelopment of the physical environment etc or could be based on smaller aspects such as introducing a new rota, developing and implementing a new policy, procedure or work practice, adopting a more person-centred approach to planning and delivering the service to individuals, or improving the way the team meeting or supervision works.

The storyboard approach should be relatively time and cost efficient in that it is utilising work that the candidate is doing anyway and evidence that is naturally occurring. Secondly the storyboard approach recognises that the National Occupational Standards are not mutually exclusive. Managing a change (A4) to activities (A2) will almost certainly need to be based on decision resulting from sound information (D4). It will involve discussions and meetings (D2), might have financial implications (B3) or staff training implications (C10), need new job descriptions and staff (C8) etc

The standards describe good practice in each of these areas. The candidate would be expected to describe and produce evidence of how they performed in each area in a way which was consistent with good practice. A useful way to do this is to provide an initial general description of the piece of work and then go on to a more detailed account linked to the different areas of competence demonstrated through the work activity.

Section 4: 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.

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 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 time tabling. 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.

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 criteria and/or units. To reduce the assessment burden on you and your candidate you will need to maximise the opportunities for integration.

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 Section 5, example 3 – 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.

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 units of the NVQ.

Once you are familiar with the performance criteria, evidence and knowledge 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.

Some considerations on assessment methods

As well as observed performance, real work products, witness testimonies, candidate personal statements, questioning, it is also possible to use tape recordings or other technologies to record performance, should your presence as an assessor not be possible.

When using observation 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 5 example 6 and we suggest you use the example as an indication of what information we need. For example, details of the activity, date observed, and how the observation relates to the standards.

Questioning is one way of proving whether or not the candidate has the necessary knowledge and understanding. 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. 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 and understanding 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 and understanding in ways that are either more complex or more simplistic than is necessary to achieve the standards.

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

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, range statement 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 of practice. (If the competence is demonstrated in a simulation, then it becomes evidence of current competence rather than evidence from the past.)
- **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.

You have to be certain that the candidate has demonstrated competence. Even though all the performance criteria 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 it can be identified by internal and external verifiers if necessary. 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 meet the **knowledge requirements** (what the candidate needs to know about). Candidates' knowledge might be determined either by questioning them on the subject matter, or be revealed in performance evidence.

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 criteria, 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 requirements 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.

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 criteria 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 5: How should evidence be presented?

The candidate's evidence has traditionally been kept in 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 logbook and provides worked examples. The forms lend themselves to either route to achieving independent assessment. With the agreement of their external verifier centres are free to design their own forms.

The Joint Awarding Body Assessment Guidance (see Section 3) and the general move towards NVQs using a range of assessment methods means that centres and candidates do not have to rely solely upon using a portfolio. However, if a centre wants to use different assessment methods they need to agree this with their external verifier and will need to develop and use documentation that provides a transparent audit trail of the assessment and internal verification process.

By the traditional portfolio route or by using other assessment methods, the paperwork will of course need to ensure clarity about the independence of assessment.

Example 1: 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 2: 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 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 confidential information that it would be inappropriate to take out of the workplace.

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

Example 3: Unit assessment plan

Before candidates begin to collect any evidence it will be helpful for them to compile, with your help, an assessment plan. The plan will define the tasks to be carried out and the evidence that will be generated. The tasks will be the candidate's normal working activities and will identify assessment methods.

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

Example 4: Evidence reference form

This lists the performance criteria, evidence and knowledge requirements in an element. The candidate should list the evidence they are presenting for the element and cross-reference it to indicate what the evidence demonstrates. The form is adapted from figure 2 of JAB Guidance on Internal Verification of NVQs.

Example 5: Personal statement

A candidate uses a personal statement to describe their practice and how it meets the standards. It can record their experience of 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 (who may provide the candidate with a ‘witness testimony’ – see example 7). Witness testimonies and other evidence referred to in the personal statement 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 see its relevance to the NVQ.

The personal statement is piece of evidence in itself and should therefore have an evidence number and be included on the index of evidence.

Example 6: 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 and understanding apparent from the candidate’s performance
- list the units/elements to which the evidence contributes (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 and index of evidence.

There are six units within the qualification where there must be evidence for each element through direct observation by the assessor of the candidate undertaking real work activities (see Section 3).

Example 7: Witness testimony

In some 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:

- 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, a client or customer
- contain comments that specifically relate the candidate's performance to the NVQ standards and describe the behaviour of the candidate as perceived by the witness, rather than simply affirm that the candidate meets the standards
- include a description of the context in which the candidate's performance has been observed by the witness
- be authenticated by the inclusion of the witness's signature, role, address, telephone number and the date testimony was provided.

Witness testimony may be very strong evidence where its provided by a qualified assessor with knowledge of the standards and/or who has particular expertise in the subject being commented upon. It may also be very strong evidence where the performance criteria are about the impact of the candidate's behaviour on other people and the witness describes the impact they experienced.

Example 8: Witness status list

The assessor needs to judge the relevance and weight of witness testimony. It is therefore important to know the relationship between the candidate and the witness and the qualification of the witness to comment upon the candidate's performance. This form must be an original to help the assessor use these signatures as a basis for assuring him/her of the authenticity of witness testimonies used by the candidate.

Example 9: Record of assessor feedback

On completion of assessment events you should give your candidate feedback about their performance, informing them if they have been successful in achieving the required level of competence. Make sure that your candidate is clear about your assessment decision and fully understands what you are saying. The form should record the feedback in sufficient detail for an internal verifier to see how you arrived at your assessment decision. You should both sign and date it before filing it into the relevant section of the candidate's portfolio.

Once you are satisfied that your candidate has achieved the requirements for the whole unit, you should record your feedback ensuring that your comments make it clear how you arrived at your assessment judgement 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 10: Record of questions and candidate's answers

This form is used to record any questions you ask the candidate to establish that they meet the standards and particularly that they have the knowledge and understanding 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: Unit progress record

Qualification and level: Registered Manager (Adults) Level 4

Candidate: Claire Masters

Unit no	Unit title	Date	Candidate signature	Assessor signature	Independent assessor signature	Units sampled – IV signature	Units sampled – EV signature
O3	Develop, maintain and evaluate systems and structures to promote the rights, responsibilities and diversity of people						
RM1	Manage a service which meets the best possible outcomes for the individual	12/04/02		<i>S Coombs</i>			
B3	Manage the use of financial resources	12/04/02		<i>S Coombs</i>			
C13	Manage the performance of teams and individuals						

Full award achieved on: Signature of internal verifier: Date:

Example 2: Index of evidence

NVQ title and level: Registered Manager (Adults) Level 4

Candidate Name: Claire Masters

Evidence number	Description of evidence	Included in portfolio (Yes/No) <i>If No, state location</i>	Units/elements to which evidence links	Internal verifier signature and date of sampling
1	Personal statement	Yes	B3	
2	Personal statement	Yes	HSCL4U9	M DAY 24/03/02
3	Personal statement	Yes	D2	
4	Observation record	Yes	HSCL4U9.4	
5	Minutes from team meeting	RH's File (Personnel)	D2.1 D4.4 HSCL4U9.1	M DAY 24/03/02
6	Witness testimony/ J Stansfield	Yes	HSCL4U9.3 D4.4	M DAY 24/03/02
7	Diary entry re meeting with S Green	Unit diary kept in office	HSCL4U9.4	
8	Witness testimony/J Black	Yes	RG6.3	

Example 3: Unit assessment plan

Unit B3: Manage the use of financial resources

Candidate: *Claire Masters* **Assessor:** *Sandy Coombs*

Expected completion date: *20/03/02*

Identified relevant work activities and evidence to be generated

Activity	Evidence	Performance criteria, evidence and knowledge requirements	Links to other units/elements
Element 1: Make recommendations for expenditure			
Consultation with team at team meeting about expenditure suggestions.	Team minutes.	Pc: a Ev : 1a, 2b, d Kn: a, e	Units O3, SNH4U1
Prepare and deliver presentation for management team meeting.	Notes and materials from presentation. Observed performance. Witness testimony and feedback. Minutes of meeting. Completed presentation checklist.	Pc: b, c, d, e, f, g Ev: 1b, 1c, 2b, 2d, 3a, 3b K: b, c, d, f, l	
Element 2: Control expenditure against budgets			
Set objectives with team members at team meeting.	Direct observation	Pc: a, b Kn: b, c, d	Units O3, SNH4U1, D2.1, D4.3
Supervision and day to day 'walking the job'.	Supervision records and witness testimony from supervisor	Pc: a, b, c Ev: 1a, 1b, 2a, 2b, 2c, 2d Kn: a, g	
Completing and analysing monthly financial returns.	Financial records and returns, budget statements with explanation of analysis and corrective actions	Pc: c, d, e, f, h Ev: 1c, 3a, 3c Kn: d, e, g, h, i	

Additional comments: Claire to brief team on my attendance for observation. Element B3.2 performance criteria g and knowledge f to be covered through oral questioning.

Assessor's signature: *Sandy Coombs*

Candidate's signature: *Claire Masters*

Date: *13/03/02*

Example 4: Evidence reference form

Element number/title: C10.4 Support individual learning and development														Candidate name: <i>Claire Masters</i>																			
Item of evidence	Evidence number	Related to performance criteria (✓)												Range/ evidence requirements	Knowledge evidence link (✓)																		
		a	b	c	d	e	f	g	h	i	j	k	l		a	b	c	d	e	f	g	h	i	j	k	l	m	n	o	p	q	r	s
Personal account	87	✓	✓	✓	✓	✓	✓	✓	✓					1a 2a	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓									
MPL profiles	88	✓												1a 2a								✓	✓	✓									
Supervision records	89	✓	✓	✓	✓	✓	✓	✓						1a 2a		✓	✓		✓	✓	✓	✓											
JM and BD witness testimony	90	✓	✓	✓		✓	✓	✓						2a				✓	✓														
Task brief and mentor agreement	91	✓	✓											1a 1c 2a		✓	✓			✓													
Manager's meeting observation	92	✓	✓	✓																													
Business plan abstract	93		✓																														
Promoting independence trg prog	94	✓	✓	✓											✓																		

I have reviewed this evidence with the candidate and I am satisfied that sufficient evidence has been collected to demonstrate competence for this element.

Independent assessor/assessor signature: _____ **Date:** _____

I have received feedback on my assessor's judgements during the collection of this evidence.

Candidate signature: _____ **Date:** _____

Example 5: Personal statement

Element C10.4 Support Individual Learning and Development		
Units, elements, PCs and range	Details of statement	Evidence index number
a	I have come to appreciate that not every member of staff needs the same amount or type of support.	
b		
c	<p>For example, two of my assistant managers have done the management NVQ level three and their approach was very different. JM occasionally wanted witness testimonies from me, but otherwise preferred to get on with it. BD seemed to need to talk with me about almost everything that he submitted. I had been aware of their different needs before they completed the MPL questionnaires, but spending time in supervision to look at each of their profiles helped us to talk about and agree the support that each of them needed. I agreed to spend more time with JM than I might otherwise have done because we acknowledged that her tendency to feel that she didn't need a lot of my attention meant she ran the risk of not benefiting from my greater professional knowledge and experience. Therefore, we have a standing item within supervision to discuss her NVQ work and for me to share my professional experience. With BD almost the reverse is true! He has a lot of experience but lacks confidence until he has checked things out with me. He was seeking me out throughout the days and weeks to discuss his NVQ work on an ad hoc basis. We have agreed that monthly supervision is too infrequent to meet his needs for support but have also agreed that ad hoc interruptions to my work are inefficient for both of us. We considered brief meetings on a pre-planned daily basis, but could not identify any regular daily time that wouldn't disrupt his work, my work or others in the team. Therefore we agreed to meet mid morning every Thursday to look at what he's doing on his NVQ. (Evidence 8, MPL profiles; Evidence 89, Supervision records; Evidence 90, Witness testimony from JM and BD.)</p> <p>It could be very easy to slip into allocating tasks to staff on the basis of who can already do it. But if we did this we would run the risk of creating specialists who would become indispensable and we'd have problems if they left. It is also more interesting for staff if they get the chance to learn and do a variety of tasks. At our fortnightly meeting between the three assistant managers and myself I frequently challenge their ideas about how tasks should be allocated. For example, we had decided to re-write our admissions procedure and it would have been natural for one of the assistants to take the lead. After discussing it we agreed that PP, one of the senior care assistants should be given the task because it would provide a good learning opportunity for her. (Evidence 91, Admissions procedure re-write task brief and mentoring agreement; Evidence 92, Assessor observation report on fortnightly managers meeting.)</p>	<p>88</p> <p>89</p> <p>90</p> <p>91</p> <p>92</p>

	<p>Every member of staff has monthly supervision, part of the purpose of which is that they receive coaching and mentoring from their supervisor. I supervise the three assistants, the cook and the clerical assistant. All the other staff are supervised by the assistant managers, but I sample their supervision records to ensure that everyone is getting supervision and that the quality of it is okay. This includes making sure that it is developmental and not just task-focused.</p> <p>Annually (February) there is a development plan agreed between the supervisor and supervisee and this is reviewed and revised during monthly supervisions. In February we also have to agree our centre's business plan which includes the team's staff development plan. (Evidence 93, Extract from last years business plan.) I make sure that we have thought about the developmental implications of the business plan for each individual. It can be quite hard to get the night care staff (particularly the older staff) to take an interest in their development and it is also very easy for them to miss out on the things that we do as a team – inevitably in the daytime. I have run early evening sessions and paid for the night staff to attend when I have given presentations based on seminars that I have been to. (Evidence 94, Programme for training session on promoting independence, led by Mary Shelley.)</p>	<p>93</p> <p>94</p>
<p>d</p>	<p>Mainly this happens through supervision, but not exclusively. I am routinely responsible for monitoring the administration of medicine, but when someone new is doing it I look especially carefully at their record keeping. I regularly walk the job and try to connect with what training programmes staff are currently doing. For instance, when the cook was doing a course on West Indian cooking I made a point of spending time in the kitchen more frequently and talking to her about how things were going. As a result I was able to quickly pick up on her need for some different utensils, without which she could not practice some of what she had been taught.</p> <p>Another example is how I detected that the clerical assistant was failing to use the database software properly. When I debriefed him after the course he had attended he was positive and successfully produced a database of all our residents. However, the next time we needed to send a letter to relatives I noticed that he hand-wrote the envelopes and therefore I asked him why he'd not printed address labels. It became clear that he'd not used and thus forgotten some of the database functions, so I arranged for our IT specialist to spend a half-hour coaching him as a refresher.</p>	
<p>e</p>	<p>My supervision sessions always end with some discussion and reflection on how well the session has gone. This includes me getting feedback about how supportive I have been. Staff do not always respond in an uninhibited way. With my three assistant managers, they have learnt that I am genuinely interested in getting feedback and that I am not likely to be defensive or aggressive. (Evidence 90, Witness testimony from JM and BD.) The cook is relatively new to the centre and I am only just establishing my relationship with her.</p>	

<p>f g</p>	<p>At one level I am clear about the feedback that she gives me, for instance, when I go into the kitchen at the ‘wrong time’ I think I respond positively by leaving and speaking to her later. In supervision she has been cautious about what she says to me, but more latterly she has realised that if I understand her needs, I am able to support her better. For example, she was quite dismissive of the praise that I gave her when she cooked West Indian dishes after the course she had attended. I picked this up as difficulty in accepting compliments, but when I addressed this in supervision she explained that what she wanted was feedback from someone who knew what it should taste like. I arranged for two things to happen – I invited a West Indian colleague to have lunch at the centre and I encouraged the cook to get feedback from our two West Indian residents. She was delighted to get a thumbs up and suggestions about how to improve.</p> <p>In theory it’s supposed to be best to give feedback as soon as possible after the event, but there are a variety of reasons why I rarely do this. Often feedback is about how staff treat residents and as it’s highly inappropriate to comment in front of residents, I make notes of what I saw or heard and use these to make sure that I can give very specific feedback. It’s also pointless to give feedback unless you think that the person is ready to hear it, for example, when they are very stressed is a bad time. Supervision is a good setting for talking about practice and helping staff learn from feedback but a month is too long to wait. So if they are calm and I have time to discuss it in private, I will give feedback immediately after the event. Normally I have to look for a moment later in the day or the week. I try to remember to make a note of what I saw/heard and what I then said so that we can discuss it at supervision if necessary. (Evidence 90, Witness testimony from JM and BD.)</p> <p>I am particularly conscious of how easy it is to give someone feedback about how they are doing something wrong and talk about how they should do it, but never acknowledge when they have got it right. I try to make a point of looking out for a chance to give positive feedback when this happens and aim to repeat this more than once. I believe that positive feedback needs a lot of repetition to reinforce new habits.</p>	<p>90</p>
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h	<p>The biggest blockage we experience is time. Time to reflect; time to be deliberate and slower when trying something new. What I try to do is allocate work across the team so people have time to engage in learning programmes. I try to make this an open process that involves the whole team, so that the whole team understands the pressures that each person is under. I do some planning with my assistant managers, but then put our proposals to the team at our monthly briefing meeting. I find that allowing staff to see what each other have on their plate tends to lead to greater cooperation and a willingness to take on tasks.</p> <p>By giving staff a chance, I have been surprised by what people volunteer for – tasks that I would not have thought to delegate to them. I strongly believe that if we allow someone time for their studies you have to reduce their workload, otherwise it's a sham, and you have not given them anything at all. So it's my job to agree our priorities with my assistant managers and be clear about how we do less or work smarter to accommodate development.</p> <p>Name (candidate): <i>Mary Shelley</i></p> <p>Signed (candidate): <i>Mary Shelley</i> Date: <i>13/3/02</i></p>	
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Example 6: Observation record

Unit/element(s): D2.1, D4.1, C10.4

Candidate: Mary Shelley **Date of observation:** 16/11/01

Independent Assessor/Assessor: Bill Blake

Evidence index number: 92

Skills/activities observed:	Unit/element	PCs	Range/evidence requirements	Knowledge
I observed Mary lead her regular fortnightly meeting with her three assistant managers, JM, BD and AP, on 16 November 2001.				
Although she did not have a written agenda it was clear that the meeting followed a well-established pattern and that they all understood its purpose. Mary had told me that the purpose of the meeting is to make sure that they are collectively briefed on emerging issues and activities and that they collectively participate in looking ahead to how work and problems will be tackled. The meeting itself demonstrated that this purpose was understood by all and I saw that they worked through a standing agenda of: Information from HQ; New admissions; Client issues; Staff issues; Work allocation.	D2.1	b		
I was impressed by the care Mary took to clear her desk of all papers and files before the assistant managers gathered in her office for the meeting. As they gathered, it was very informal and friendly with Mary joining in the social banter, but at the start of the meeting Mary shifted the style and was quite business like in setting an end time for the meeting and highlighting that she wanted to spend at least 15 minutes discussing a task to re-write the admissions procedures. Mary gave her assistant managers a chance to say whether there was anything that they were bringing to the meeting that they felt needed more time than usual.	D2.1	c		h, k
Mary asked AP to take the minutes, but throughout the meeting Mary very helpfully summarised the discussion so that there was no doubt about what should be minuted.	D2.1	f		
Mary briefed about a new format for business planning and a discussion ensued about what it would mean for the team. When AP started to get quite heated about how HQ don't understand the realities at the coal face Mary was skilful at deflecting the discussion back to the agenda.	D2.1	d		a, b, c
Mary gave information about a new client shortly to be admitted and they discussed who should be the key worker. Mary encouraged contributions from each of the managers so that collectively they had good information about the workload demands on those who might be identified, their suitability for this client and what development opportunities this might give them.	D2.1 D4.1	d a, e		

Each assistant manager in turn was given a chance to raise issues related to clients and then there was a second round to raise issues related to staff. Mary ensured that each assistant manager was listened to without interruption, on a couple of occasions asking others to wait until someone else had finished what they were saying.	D2.1	d		
At one point JM started to talk about a problem that she was managing with one of her supervisees, but Mary quickly stopped her. Mary asked what, if anything, the other two assistant managers needed to know about this problem and could JM stick to the knowledge that needed to be shared, and hold on to the rest of the issues to discuss privately with Mary.	D2.1	d, e		
BD raised an issue about a member of staff applying for other jobs and for whom a job reference had been requested. The member of staff was unhappy because she believed that the reference had been typed and therefore seen by Mary's clerical assistant. Mary explained that the senior manager's private secretary typed all references to avoid any lack of confidentiality. What impressed me was that Mary also picked up on the fact that none of her assistant managers understood this was the procedure and that there was a risk that in her absence one of them might get this wrong, but that her explanation would now prevent that happening.	D2.1	d		b
Mary opened the discussion about new admission procedures by explaining how the latest inspection report had highlighted the risk that client property was not safeguarded by the centre because there were anomalies in the inventories of what clients brought in with them. She also reminded them how they had previously agreed that they should be more thorough in establishing what clients would like and offering them choices. D2.1 f) She got them to brainstorm the key issues that should be covered by an admissions procedure. They discussed and agreed that there would be distinct audiences (clients, carers, staff) and that separate documents would be needed. Mary led a discussion of who should lead the work saying that it would be good development for one of the senior care staff thinking through the issues and leading a consultation process with staff, clients and carers. They agreed that of those able to do it, PP would benefit the most but that Mary should meet with her to discuss the task and to agree what direct mentoring Mary should provide to help her do it and learn from it. I was impressed by the care Mary took to assess who should do this task, how she drew information out of her assistant managers, and the knowledge she had of her wider staff team about their aspirations and capabilities. After the meeting I questioned and discussed with Mary her decision to mentor PP and how in my view she would have achieved more by supporting AP in mentoring PP. D2.1 d) C10.4 a) b) c)	D2.1 C10.4	d a, b, c		
The meeting finished by the agreed deadline having covered the ground and made the necessary decisions.	D2.1	g		

Assessor comments and feedback to candidate:

This was a very well run meeting showing evidence of involving people within your organisation for the purposes of information giving, consultation and decision making.

I can confirm the candidate's performance was satisfactory.

Assessor's signature: *Bill Blake*

Date: *16/11/01*

Candidate's signature: *Mary Shelley*

Date: *16/11/01*

Example 7: Witness testimony

NVQ title and level:	Registered Manager (Adults) NVQ Level 4
Candidate name:	Mary Shelley
Evidence index no:	90
Date of testimony:	5/11/01
Witness name:	Jo Madden
Designation/relationship to candidate:	Assistant manager/Accountable to candidate
Witness address and tel no:	22 The Crescent, Worksop, 01345 67894
Details of testimony:	Reference to standards (to be completed by the candidate)
<p>Mary has supported my progress towards my NVQ by regularly discussing it in supervision. Her comments on my practice and the way she offers her experience is very constructive. For instance, she was very helpful in helping me see alternative ways that I could discharge the situation when I came under attack from a resident's daughter who was distressed about the declining health of her mother. I had been very frustrated about how to handle the daughter and thought that there was nothing else I could do, but was surprised after my discussion with Mary that she was able to help me see a couple of other strategies.</p> <p>Not only was this a good example of Mary sharing her experience, but she also gave me constructive feedback about the non-verbal signals she had seen me giving out when I had been in conversation with the daughter. It was good that Mary had observed this and waited until my next supervision to discuss it – I was far too wound up to look objectively at myself at the time!</p> <p>Mary has encouraged me to prepare for supervision by deciding what I want to discuss. I find that most things can wait until our supervision session, but I am quite confident that I can call upon Mary's help at any time I need it.</p>	<p>C10.4 a, b, f, g</p> <p>RG6.3 a, d</p> <p>C13.3 a, b, d, e</p> <p>C13.4 a, b, d, e</p> <p>C10.4 c, e</p>

Witness signature: <i>Jo Madden</i>	Date: <i>5/11/01</i>
Witness status categories Please tick the appropriate box: <ul style="list-style-type: none"> <input type="checkbox"/> 1 Occupational expert and is familiar with the standards <input type="checkbox"/> 2 Occupational expert and not familiar with the standards <input checked="" type="checkbox"/> 3 Non expert familiar with the standards <input type="checkbox"/> 4 Non expert not familiar with the standards 	

Example 8: Witness status list

Candidate name: *Mary Shelley*

Please ensure that all witnesses who have signed the candidate's evidence or have written a report are included on this witness status list. Please ensure that all necessary details are included and then signed by the witness as being correct.

Name of contact Address of witness	Status of witness	Relationship to the candidate	Elements witnessed	Witness signature	Date
Jo Madden	3	Accountable to candidate	C10.4	<i>Jo Madden</i>	5/11/01

Witness status categories

- 1 = Occupational expert and is familiar with the standards
- 2 = Occupational expert and not familiar with the standards
- 3 = Non expert familiar with the standards
- 4 = Non expert not familiar with the standards

Relationship to candidate

eg line manager, supervisor, assessor, colleague

Example 9: Record of assessor feedback

RECORD OF ASSESSOR FEEDBACK	
Independent assessor/assessor: Bill Blake	Signature: <i>Bill Blake</i>
Candidate: Mary Shelley	Date: 3 December 2001
Unit: C10.4	
Comments: In observing one of your routine management meetings I would suggest that your management practice has slightly more rough edges than your personal account would have us believe. Your style of writing is very direct and clear although I suspect doesn't truly reflect what happens all the time in practice. I have one or two questions that I would like you to consider based upon your personal account and supporting evidence.	
PA/Evidence	Feedback
pc a) b)	EV91 provides a very thorough plan for what the task involves and how you will support PP in rewriting the admissions procedure. As such it's good evidence for pc a) and b). However, as I commented when I observed the managers meeting where you made the decision to mentor PP, you failed to take an opportunity to enable AP to assume this mentoring role. I recognise the importance of the task and AP's inexperience in this area. However, you could have provided a good learning opportunity for both of them by acting as AP's mentor in his support of PP.
pc e)	I'm interested in your statement that supervision sessions always end with some discussion and reflection on how well the session has gone. It is unfortunate that this is not evident in EV89 (supervision records). I recognise that this might happen quite informally and not be formally recorded, but it might be quite threatening for newer members of staff. I would be interested in you gaining written feedback from the cook as to how she perceives you to carry out this pc. You can then use her feedback to make a judgement about whether your perception matches hers.
pc h)	In theory what you say about allocating tasks so that people engaged in learning programmes get time sounds ideal, but in practice how does this really work? Time however isn't the only blockage. Please describe other blockages you perceive may get in the way of someone learning effectively. Of equal importance, I suspect, is squaring development time with achieving team-work objectives. Please explain how you balance the day-to-day work objectives of running the home, the constant demands this places upon you from senior managers, outside colleagues, staff, residents etc with reducing workloads. Please give an actual example. How do you involve your line manager in agreeing your priorities? Again, please give an example.
Evidence requirements	In looking at the evidence requirements you need to show how you adapt your style to support: <ul style="list-style-type: none"> • colleagues working at the same level as yourself • people working in another team whom you have been asked to support • people working temporarily in your organisation.

Example 10: Record of questions and candidate's answers

Independent assessor/assessor name: Bill Blake	
Candidate name: Mary Shelley	
Unit: C10	Element(s): C10.4 pc h
Evidence index number: 95	
Questions	Responses
<p>What blockages to learning can you describe, beyond those identified in your personal statement?</p> <p>How do you manage to balance day-to-day work objectives and reduce workloads so that members of the team get time for development?</p>	<ul style="list-style-type: none"> – an individual's level and degree of personal confidence – the potential non-cooperation of team colleagues – the culture or individual being task-orientated which we recognised was probably a time-related issue – a risk adverse culture <p>You appropriately explained how you had agreed with your Assistant Managers, that for a set period of time to support JM and BD, their supervisory responsibilities would be reduced by 50% and equally divided between you and AP.</p>
<p>Assessor's signature: <i>Bill Blake</i> Date: 15/12/01</p> <p>Candidate's signature: <i>Mary Shelley</i></p>	

Section 6: Blank recording forms

Example 1: Unit progress record

Qualification and level: Registered Manager (Adults) Level 4

Candidate:

Unit no	Unit title	Date	Candidate signature	Assessor signature	Independent assessor signature	Units sampled – IV signature	Units sampled – EV signature

Full award achieved on:

Signature of internal verifier:

Date:

Example 3: Unit assessment plan

Unit:			
Candidate:		Assessor:	Expected completion date:
Identified relevant work activities and evidence to be generated			
Activity	Evidence	Performance criteria, evidence and knowledge requirements	Links to other units/elements
Element:			
Element:			
Element:			
Element:			
Element:			
Additional comments:			
Assessor's signature:			
Candidate's signature:			Date:

Example 5: Personal statement

Element:		
Units, elements, PCs and range	Details of statement	Evidence index number
	<p>Name (candidate):</p> <p>Signed (candidate):</p>	<p>Date:</p>

Example 6: Observation record

Unit/element(s):

Candidate:

Date of observation:

Independent assessor/assessor:

Evidence index number:

Skills/activities observed:	Unit/element	PCs	Range/evidence requirements	Knowledge

Assessor comments and feedback to candidate:

I can confirm the candidate's performance was satisfactory.

Assessor's signature:

Date:

Candidate's signature:

Date:

Example 7: Witness testimony

NVQ title and level: Registered Manager (Adults) NVQ Level 4 Candidate name: Evidence index no: Date of testimony: Witness name: Designation/relationship to candidate: Witness address and tel no:	
Details of testimony:	Reference to standards (to be completed by the candidate)

Witness signature:	Date:
Witness status categories Please tick the appropriate box: <input type="checkbox"/> 1 Occupational expert and is familiar with the standards <input type="checkbox"/> 2 Occupational expert and not familiar with the standards <input type="checkbox"/> 3 Non expert familiar with the standards <input type="checkbox"/> 4 Non expert not familiar with the standards	

Example 8: Witness status list

Candidate name:

Please ensure that all witnesses who have signed the candidate's evidence or have written a report are included on this witness status list. Please ensure that all necessary details are included and then signed by the witness as being correct.

Name of contact Address of witness	Status of witness	Relationship to the candidate	Elements witnessed	Witness signature	Date

Witness status categories

- 1 = Occupational expert and is familiar with the standards
- 2 = Occupational expert and not familiar with the standards
- 3 = Non expert familiar with the standards
- 4 = Non expert not familiar with the standards

Relationship to candidate

eg line manager, supervisor, assessor, colleague

Example 9: Record of assessor feedback

RECORD OF ASSESSOR FEEDBACK	
Independent assessor/assessor:	Signature:
Candidate:	Date:
Unit:	
Comments:	
PA/Evidence	Feedback

Section 6: 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 Level 4 NVQ in Registered Manager (Adults) units appropriate to their qualification
- provide assessors and internal verifiers with copies of the Level 4 NVQ in Registered Manager (Adults) standards.

Details of approval procedures are available from Customer Services.

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 Level 4 NVQ in Registered Manager (Adults).

To register, candidates should complete an Edexcel registration form (available from your centre contact, or Student Services, 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 Registered Manager (Adults) Level 4.

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:

	Publication code
• <i>The Accreditation of Prior Learning (APL)</i>	Edexcel website – available from Publications September 2002
• <i>Edexcel Policy Framework</i>	revised annually
• <i>Information Manual</i>	Edexcel website
• <i>Recording Achievement for NVQs</i>	80-094-2
• <i>Joint Awarding Body Guidance Internal Verification of NVQs</i>	PP80DT/43926/0801/34 DfES
• <i>The NVQ Code of Practice 2001</i>	QCA/02/875
• <i>Achieving the Registered Manager (Adult) NVQ Level 4</i>	Edexcel Publications
– Affirm 4	Code: N012730

To order these publications, please contact:

Edexcel Publications
Adamsway
Mansfield
Nottinghamshire
NG18 4FN

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

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

Where are the standards available from?

The standards have been produced by, and are available from:

Training Organisation for the Personal Social Services
Website: www.topss.org.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.

Appendix 1

Links between the National Vocational Qualification Care Level 4 and the Registered Manager (Adults) National Vocational Qualification Level 4

All Care Level 4 candidates will get credit for the following units by presenting evidence of successful completion of their core units:

- Core RM units: 03
- Option RM units: **Group C** SC15

It is possible for the Care Level 4 candidate to have chosen six option units that provide no link to the RM qualification leaving them still to gain the three remaining core units and five remaining option RM units.

The following units may have been achieved as option Care Level 4 units and the candidate will get credit for them by presenting evidence of successful completion:

- Core RM units: B3, C13
- Option RM units:

Group B SC20, SNH4U4	Group C C10, C8	Group D D4
NB: The candidate can claim four of these units – one from each of Group B and Group D and then two more from any group)		

All Care Level 4 candidates will need to do RM1 and one of F3 or F6 (ie an option unit from Group E).

Appendix 2

Assessment Strategy for N/SVQ Level 4 – Registered Manager (Adults)

In Scotland: Registered Manager in Health and Social Care

1 Purpose and nature of this document

This document sets out the assessment strategy developed by TOPSS, the Social Care National Training Organisation, for use with the new N/SVQ Level 4 Registered Manager (Adults), which in Scotland will be known as the Registered Manager in Health and Social Care.

The new regulatory and registration systems being introduced to the social care sector in 2001 and 2002 are being put in place by the devolved Government arrangements in each of the countries of the UK. While the principles of the new systems are shared across the UK the arrangements and timetables do vary. This qualification will play an important part in the new arrangements and the title needs to reflect how it will be used in each country. The NVQ will not differ in unit content or any other aspect from the SVQ.

The staff taking this qualification will be managing care services to some of the most vulnerable members of our society including older people, those with learning disabilities or physical disabilities, those with mental ill health. In Scotland this may include Childcare. The qualification structure has been purposely organised to cover the needs of these staff while linking into existing National Occupational Standards and qualifications as much as possible.

The legislative changes that are being implemented in each of the four countries of the UK are intended to provide greater protection for the users of social care services and to improve the quality of the service provided. A component of how these changes will be brought about is that the manager of a care home is appropriately trained and qualified. Consequently the manager needs to be competent in a wide range of areas including ensuring that the staff delivering the service do so within an appropriate value base. For these reasons it is important that the assessment strategy ensures that awarding bodies deliver assessment that achieve fairness, reliability and thoroughness in a way that is realistic, acceptable and cost effective for both employers and candidates. Most of the candidates taking this qualification will have other qualifications, which may well provide useful and supporting evidence. Therefore awarding bodies should be able to guide assessment centres on how to assist candidates make best use of existing evidence.

1.1 The assessment strategy outlines the principles with regard to:

- external quality control
- those aspects of the standards that must be assessed through the performance in the workplace
- the use and characteristics of simulation.
- the required occupational expertise of assessors and verifiers

1.2 The assessment strategy describes the overarching principles and systems and are in addition to the criteria required under the Common Accord, Implementing SVQs – a Guide to Awarding Bodies and the emerging NVQ code of practice. Awarding Bodies wishing to offer the award must demonstrate that they have the assessment and quality systems necessary to consistently deliver these principles in practice. TOPSS and awarding bodies have built on existing partnership arrangements for this qualification. Part of the joint work is an agreement between awarding bodies to develop evidence requirements together.

2 External quality control

2.1 TOPSS recommends that external quality control be achieved by the following measures:

- A component of independent assessment.
- A comprehensive and rigorous strategy for the external verification of assessment procedures.

2.2 Awarding bodies will determine, with in agreed guidance, the appropriate independent assessment system to be used. Independent assessment will follow a similar model to that developed in relation to the generic management N/SVQs, whereby two possible routes to achieving independence are available:

- The use, or part use, of an independent assessor who has no direct operational or training connection with the candidate
- The separation of the adviser and assessor roles for individual candidates.

Awarding bodies will advise their centres on the application of these models.

2.3 Comprehensive and rigorous external verification of assessment procedures would be achieved by:

- Awarding bodies having a risk rating strategy in place to monitor the quality of assessment in centres, and targeting external verification consistent with the outcomes of it. The strategy should ensure that external verification and the sampling methods within it take into account the experience and success of the centre in delivering S/NVQs in general and the management and care awards in particular (including the experience and occupational competence of assessors and internal verifiers); and the complexity and resources of the centre eg size, use of rural and remote sites, use of independent assessors and advisors.

3 Those aspects of the standards that must be assessed through the performance in the workplace

3.1 The qualification is made up of units drawn from previously developed units which have been ‘imported’ and three new units:

- **RG6** – Take responsibility for your business performance and the continuing development of self and others
- **RM1** – Manage a service which achieves best possible outcomes for the individual
- **RM2** – Ensure individuals and groups are supported appropriately when experiencing significant life events

The requirements for assessment of the imported units have not been changed.

3.1 Evidence through direct observation of a candidates work is always valuable for all units. There are six units in this qualification where there **must** be evidence for each element through direct observation by the assessor of the candidate working.

- **HSCL4U9** – Create, maintain and develop an effective working environment
- **O3** – Develop, maintain and evaluate systems and structures to promote the rights, responsibilities and diversity of people
- **SC15** – Develop and sustain arrangements for joint working between workers and agencies
- **SC20** – Contribute to the provision of effective physical, social and emotional environments for group care

- **SNH4U1** – Develop programmes, projects and plans
- **SNH4U4** – Promote the interests of client groups in the community

4 The use and characteristics of simulation

- 4.1 The use of evidence generated from real work activities is always the preferred method. However in some situations it may not be possible for candidates to provide evidence generated from real work activities. Simulation of work can provide an acceptable alternative; the elements where this can be used are specified.
- 4.2 In order to ensure the validity of these simulations awarding bodies must issue guidance to their centres outlining how simulations should be planned and organised. This guidance must ensure that the demands on candidates during simulation are consistent with those they would meet in their real work situation.

5 The required occupational expertise of assessors and verifiers

Note in this section we refer to the Employment NTOs assessment and verification units, the D series, these units will be replaced by revised units as they come into use.

5.1 Assessors

The assessor is responsible for assessing a candidate's performance against the relevant occupational standards. Therefore, they must have had direct experience of performing the competencies they are assessing or have relevant experience and a thorough technical knowledge of what constitutes effective performance under current working practices and conditions in the context in which assessment is to take place. In Cymru candidates must be provided with opportunities to be assessed through the medium of Welsh.

- 5.2 In addition, assessors should comply with the regulatory requirements regarding qualifications as stated in the NVQ Code of Practice and Scottish equivalent.
- 5.3 Assessors must be able to demonstrate a working knowledge of the relevant National Occupational Standards, as well as the Awarding Body's and Approved Centre's systems and procedures.

5.4 Advisers

The role of the adviser is to identify opportunities for the candidate to gather evidence, facilitate assessment planning and support the candidate through the assessment process. Therefore, they must have had direct experience of performing the competencies upon which they are advising or have relevant experience and a thorough technical knowledge of what constitutes effective performance under current working practices and conditions in the context in which assessment is to take place.

- 5.5 The Awarding Bodies will issue guidance to advisers on relevant competencies to undertake their advisory role.

- 5.6 Advisers must be able to demonstrate a working knowledge of the relevant National Occupational Standards, as well as the Awarding Body's and Approved Centre's systems and procedures.

5.7 Internal verifiers

Internal verifiers need to have relevant and credible occupational experience across the level and breadth of the National Occupational Standards with which they are verifying.

- 5.8 In addition, internal verifiers should comply with the regulatory requirements regarding qualifications as stated in the NVQ Code of Practice and Scottish equivalent.

- 5.9 Internal verifiers must be able to demonstrate a thorough working knowledge of the Awarding Body's and Approved Centre's systems and procedures. It is essential that internal verifiers should have no direct involvement in the assessment of candidates for the unit(s) they are verifying.
- 5.10 **External verifiers**
External verifiers must have significant experience of the Care sector and an understanding of the occupational areas covered by the awards.
- 5.11 In addition, external verifiers should comply with the regulatory requirements regarding qualifications as stated in the NVQ Code of Practice and Scottish equivalent.
- 5.12 External verifiers must also have a thorough working knowledge of the relevant National Occupational Standards, the Accrediting Bodies guidance on the implementation of N/SVQs, the Awarding Body's systems and procedures and quality assurance operating procedure.
- 6 **Review of assessment strategy**
The assessment strategy will be reviewed by TOPSS with consultation through country based awarding body contacts. This will be ongoing with a reporting point in the second year of use – 2003.

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Edexcel Publications, Adamsway, Mansfield, Notts, NG18 4FN

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E-mail: publications@linneydirect.com

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