

BTEC NVQ

Guidance to centres

**Environmental Conservation  
NVQ  
Levels 2 & 3**

August 2002

***BTEC***  
*from Edexcel*

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# CONTENTS

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<b>Section 1: General information about NVQs</b>	<b>1</b>
Introduction	1
What are NVQs?	1
Explanation of levels	2
What is the structure of an NVQ?	2
Who is involved in NVQs?	6
<b>Section 2: Level 2 &amp; 3 NVQs in Environmental Conservation</b>	<b>8</b>
Which Environmental Conservation NVQs are available and who are they for?	8
What is the structure of the Level 2 NVQ in Environmental Conservation	9
What is the structure of the Level 3 NVQ in Environmental Conservation	13
<b>Section 3: Assessment</b>	<b>17</b>
Introduction	17
What is assessment?	17
Roles in assessment	17
Approaches to assessment	18
Timing	18
The five steps to assessment	18
Step 1: Plan and organise assessment	18
Step 2: Decide on the assessment methods	19
Step 3: Judge the evidence	23
Step 4: Record	24
Step 5: Provide feedback	25
<b>Section 4: How should evidence be presented?</b>	<b>26</b>
Example 1: Index of evidence	29
Example 2: Unit assessment plan	30
Example 3: Unit progress record	31
Example 4: Evidence achievement record	34
Example 5: Knowledge evidence record	35
Example 6: Personal statement	36
Example 7: Observation record	37

Example 8: Witness testimony	38
Example 9: Record of questions and candidate's answers	39
<b>Section 5: Further information</b>	<b>40</b>
How does an organisation become a centre?	40
Review and evaluation	40
Registration	40
Candidate entries	41
Certification process	41
Payment of fees	42
Anti-discriminatory practices	42
Special assessment arrangements	42
What else you should read	42
Where are the standards available from?	43
<b>Section 6: Assessment Strategy for NVQs</b>	<b>44</b>
Introduction	49
External quality control	50
Workplace Assessment	52
Use of simulation	53
Occupational expertise of assessors and verifiers	54

# 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); these are now the Sector Skills Councils, which are made up of representatives from the relevant industrial sector.

The Sector Skills Council for Environmental Conservation is Lantra.

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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 5.

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

	<b>Candidates must show their competence:</b>
<b>Level 1</b>	in a range of activities that are largely routine and predictable.
<b>Level 2</b>	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.
<b>Level 3</b>	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.
<b>Level 4</b>	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.
<b>Level 5</b>	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 following parts:

## Evidence achievement record

Unit CU2 Monitor and maintain

Element CU2.1 Monitor and maintain health, workplace

**Unit title**  
The title describes a role or task.

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

**Performance criteria**  
These set out what candidates must do to show they can perform the work task competently. Assessors judge candidates' performance against these criteria. All of the performance criteria need to be met.

**Performance criteria:**

You must demonstrate that you:

- a) identify health and safety **risks** in relation to the workplace
- b) carry out specified measures to control **risks** and keep the appropriate people fully informed if such measures are inadequate
- c) seek guidance on measures to control unfamiliar **risks** arising from non-routine work situations
- d) give health and safety information to others in a manner likely to be understood
- e) use equipment and materials in accordance with manufacturers instructions and any organizational training
- f) take the appropriate action without delay as soon as an emergency is suspected
- g) dispose of **waste** safely and correctly
- f) transport any equipment and materials safely and store them correctly at an approved location when not in use
- h) maintain the security of the workplace in accordance with organizational requirements
- i) keep any necessary records accurate, legible and complete

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**Performance Evidence:**

**Scope:**

This element requires that you:

- a) identify health and safety **risks** in relation to
  - i) people
  - ii) equipment and materials
  - iii) the work area
- b) dispose of the following types of **waste**:
  - i) hazardous
  - ii) non-hazardous

**Scope**  
Each statement defines the different situations in which candidates must show they can perform competently. Candidates must cover all the items in the statement.

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# Knowledge evidence record

## CU2.1 Monitor and maintain health, safety and security in the workplace

You need to collect knowledge evidence to cover the following:

<b>Evidence key:</b>					
<b>EI</b>	Evidence Index No.	<b>O</b>	Observation	<b>P</b>	Personal Statement
<b>WT</b>	Witness Testimony	<b>S</b>	Simulation	<b>Q&amp;A</b>	Questions and Answers
<b>APL</b>	Accreditation of Prior Learning				

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

### Knowledge, understanding and skills for this unit:

To be competent in this unit, you need to know and understand:	Type of Evidence						
	EI	O	P	WT	S	APL	Q&A DATE
(a) organizational requirements with regard to ensuring the security of the workplace	2, 5, 6	✓	✓	✓			
(b) your role and responsibilities for health and safety in the workplace under organizational policy and legislation							
(c) why inadequate measures to control risks should be reported and that corrective action needs to be taken	8, 10	✓		✓			
(d) the importance of following manufacturers and organizational instructions and the potential consequences and risks of not doing so	15, 16		✓		✓		
(e) procedures for different types of emergencies relevant to the industry in which you are working							
(f) how the procedures to take for specific emergencies may be affected by your location							
(g) different types of fire extinguishers and their use, relevant to the area you work in							
(h) the different forms of waste and correct methods of disposal							
(i) how to transport and store equipment and materials safely							
(j) the relationship between security and safety within the workplace							
(k) any specific risks relevant to child safety from your work							
(l) how and why accidents should be reported							

**Evidence requirements for NVQ assessment:**

To achieve this unit, you must provide evidence that you:

- consistently meet **all** the Performance Criteria
- have the necessary knowledge, understanding and skills to work competently with **all** types of range.

You must show **evidence from your work** for all Scope statements within each element:

Identify health and safety **risks** in relation to:

- 1 people
- 2 equipment and materials
- 3 the work area

Dispose of the following types of **waste**:

- 1 hazardous
- 2 non-hazardous.

**Evidence requirements**

These specify the amount and type of evidence that candidates need to provide to show they have met the requirements of the unit.

**Scope**

Each statement defines the different situations in which candidates must show they can perform competently. Candidates must cover all the items in the statement.

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

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

Assessors and verifiers are also expected to obtain an appropriate qualification in assessment and verification. This can take the form of the 'D units' (the national standards for assessment and verification) or an alternative qualification that the NTO recognises.

Edexcel expects all assessors, internal verifiers and external verifiers to obtain the appropriate D units or the NTO-recognised qualifications within **18 months** of starting to assess or verify.

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## Section 2: The Level 2 & 3 NVQs in Environmental Conservation

The NVQs in Environmental Conservation recognise 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 Lantra, the national training organisation for this industrial sector.

The NVQs are designed to be assessed in the workplace, or in conditions resembling the workplace.

In a further education or training situation, assessment is often achieved through simulation. Simulation must be carried out in conditions resembling the workplace. These conditions are described as being a 'realistic working environment' (RWE). For guidance on the use of simulation, see page 22 of section 3.

### **Which Environmental Conservation NVQs are available and who are they for?**

The NVQ in Environmental Conservation is presently available at Levels 2 & 3. It is important that the most appropriate level is selected for each candidate.

The NVQs in Environmental Conservation are intended for operational staff working in diverse areas of the sector. For example:

- National Park Wardens
- National Heritage
- RSPB
- Various Roles within Local Authorities
- Rural and Urban Conservation
- Environmental Management

Within these areas there are a range of operational functions appropriate to both Level 2 and Level 3. Some of these functions are generic across the various areas. Some are unique to each. In addition, each of the major employing organisations tends to have its own working practices and methods of deploying staff to the functions that need to be carried out.

## What is the structure of the Level 2 NVQ in Environmental Conservation?

To achieve the NVQ in Environmental Conservation Level 2, you must prove competence in **all three mandatory units and three optional units.**

***The Environmental Conservation NVQ/SVQ Level 2 can be achieved by one of three occupational routes (i.e. Environmental Conservation, Community Recycling and Rivers, Coasts and Waterways).***

***The candidate must achieve all three of the mandatory units plus three optional units, as specified below:***

***Environmental Conservation – the candidate must achieve two units from Group A (one of which must be EC1) and one other unit from any of the groups (including Group A)***

***Environmental Conservation (Community Recycling) – the candidate must achieve both units from Group B and one other unit from any of the groups***

***Environmental Conservation (Rivers, Coasts and Waterways) – the candidate must achieve two units from Group C and one other unit from any of the groups (including Group C)***

***The certificate will display the occupational route chosen***

### Mandatory units for the Level 2 NVQ in Environmental Conservation

Candidates must achieve all three of the units listed.

Unit number	Title	Element	Title
CU2	Monitor and maintain health and safety	CU2.1	Monitor and maintain health, safety and security in the workplace
		CU2.2	Maintain good standards of health and safety for self and others
CU4	Maintain environmental good practice at work	CU4.1	Maintain environmental good practice at work
CU5	Develop personal performance and maintain working relationships	CU5.1	Maintain and develop personal performance
		CU5.2	Establish and maintain working relationships with others.

## Optional units for the Level 2 NVQ in Environmental Conservation

### Group A

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

Unit number	Title	Element	Title
EC1	<b>Communicate with, and care for, the public and others</b>	EC1.1	Communicate effectively with the public and others
		EC1.2	Care for members of the public and others
EC2	<b>Survey and report on the condition of the environment</b>	EC2.1	Collect and record data on landscapes and habitats
		EC2.2	Report on the condition of landscapes and habitats
CU87	<b>Carry out habitat management work</b>	CU87.1	Maintain suitable site conditions
		CU87.2	Manage vegetation
<b>Group B</b>			
EC17	<b>Collect, sort and process recyclable materials</b>	EC17.1	Collect recyclable materials
		EC17.2	Sort and process reclaimed materials
EC18	<b>Encourage and involve people in community recycling</b>	EC18.1	Collect recyclable materials
		EC18.2	Sort and process reclaimed materials
<b>Group C</b>			
EC3	<b>Maintain and improve channel capacity by manual operations</b>	EC3.1	Control channel capacity by manual operations
		EC3.2	Maintain and improve channel capacity by controlling vegetation
EC5	<b>Identify and respond to incidents of flooding</b>	EC5.1	Assess incidents
		EC5.2	Implement plans for dealing with incidents of flooding

*Continued overleaf*

<b>EC10</b>	<b>Control water levels and water flow by mechanically maintaining the water channel</b>	EC10.1	Maintain the water channel mechanically
		EC10.2	Restore the site following maintenance of the water channel
<b>EC11</b>	<b>Maintain and improve water levels and water flow by mechanically controlling vegetation</b>	EC11.1	Control and remove vegetation using machinery and equipment
		EC11.2	Complete operations to control vegetation
		EC11.2	Complete operations to control vegetation
<b>CU22</b>	<b>Construct, maintain and repair boundaries and access points</b>	CU22.1	Construct, maintain and repair boundaries
		CU22.2	Construct, maintain and repair access points
<b>Group D</b>			
<b>EC4</b>	<b>Monitor and report water levels</b>	EC4.1	Obtain information on water levels
		EC4.2	Report water levels
<b>EC6</b>	<b>Communicate environmental information</b>	EC6.1	Communicate environmental information
<b>EC8</b>	<b>Work with children during environmental activities</b>	EC8.1	Work with children during activities
		EC8.2	Deal with accidents and emergencies
<b>EC9</b>	<b>Contribute to restoring polluted environments to acceptable conditions</b>	EC9.1	Assist in the restoration of environments to acceptable conditions
		EC9.2	Complete operations to restore polluted environments to acceptable conditions
<b>EC12</b>	<b>Maintain and repair permanent structures for the water environment</b>	EC12.1	Prepare the site for maintenance and repair of permanent structures
		EC12.2	Carry out maintenance and repair to permanent structures
		EC12.3	Reinstate the site following maintenance and repair to permanent structures
<b>EC13</b>	<b>Maintain water level systems</b>	EC13.1	Adjust and maintain water level systems
		EC13.2	Monitor and maintain the effectiveness of water level systems
<b>EC14</b>	<b>Prepare and operate water-borne plant</b>	EC14.1	Prepare water-borne plant for use
		EC14.2	Operate water-borne plant
<b>EC15</b>	<b>Prepare, maintain and operate work boats</b>	EC15.1	Prepare and maintain the operational condition of work boats
		EC15.2	Operate work boats

<b>EC16</b>	<b>Maintain safe and effective work in confined spaces</b>	EC16.1	Plan and prepare work in confined spaces
		EC16.2	Operate safely in confined spaces
<b>CU23</b>	<b>Construct, maintain and repair paths and related structures</b>	CU23.1	Construct, maintain and repair paths
		CU23.2	Construct, maintain and repair access related structures
<b>CU24</b>	<b>Install, maintain and repair site furniture and structures</b>	CU24.1	Site and install site furniture and structures
		CU24.2	Maintain and repair site furniture and structures
<b>CU25</b>	<b>Fabricate and install permanent structures for the water environment</b>	CU25.1	Prepare the site for the fabrication and installation of permanent structures
		CU25.2	Carry out the fabrication and installation of permanent structures
		CU25.3	Reinstate the site following the fabrication and installation of permanent structures
<b>CU86</b>	<b>Establish habitats</b>	CU86.1	Prepare sites for habitat establishment
		CU86.2	Establish and protect vegetation

## What is the structure of the Level 3 NVQ in Environmental Conservation?

To achieve the whole qualification at Level 3, a candidate must prove competence in all **five mandatory units** and **four optional units**.

### Mandatory units for the Level 3 NVQ in Environmental Conservation

Candidates must achieve all five of the units listed.

Unit number	Title	Element	Title
EC19	<b>Implement environmental good practice at work</b>	EC19.1	Maintain environmental good practice at work
		EC19.2	Make changes to work activities which improve environmental performance
EC20	<b>Work with community groups and others</b>	EC20.1	Communicate with, and care for, the public and others
		EC20.2	Consult and work with the local community
EC21	<b>Organise environmental projects</b>	EC21.1	Negotiate specifications for environmental projects
		EC21.2	Deliver projects to specifications
		EC21.3	Evaluate and report on projects
CU3	<b>Promote, monitor and maintain health, safety and security</b>	CU3.1	Monitor and maintain the health, safety and security if the workplace
		CU3.2	Promote good standards of health and safety
		CU3.3	Respond to health emergencies in the work place
CU5	<b>Develop personal performance and maintain working relationships</b>	CU5.1	Maintain and develop personal performance
		CU5.2	Establish and maintain working relationships with others

## Optional units for the Level 3 NVQ in Environmental Conservation

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

<b>EC18</b>	<b>Encourage and involve people in community recycling</b>	EC18.1	Encourage community involvement in recycling
		EC18.2	Involve people in community recycling
<b>EC22</b>	<b>Monitor and report on environmental change</b>	EC22.1	Patrol property and premises
		EC22.2	Control and monitor access to property and premises
<b>EC23</b>	<b>Prepare, conduct and report on field surveys</b>	EC23.1	Prepare for field surveys
		EC23.2	Collect and record data through field surveys
		EC23.3	Interpret survey data and report on findings
<b>EC24</b>	<b>Produce site management plans</b>	EC24.1	Assess site resources
		EC24.2	Produce site management plans
<b>EC25</b>	<b>Contribute to interpretative planning</b>	EC25.1	Research information for interpretations
		EC25.2	Plan interpretations
<b>EC26</b>	<b>Prepare and deliver interpretative and educational activities</b>	EC26.1	Prepare activities
		EC26.2	Deliver activities
<b>EC27</b>	<b>Contribute to the production of interpretative media</b>	EC27.1	Prepare briefs for producing interpretative media
		EC27.2	Monitor the production and use of interpretative media
		EC27.3	Evaluate the effectiveness of interpretative media
<b>EC28</b>	<b>Negotiate improvements to land use</b>	EC28.1	Identify problems with land use and develop recommendations to improve land use
		EC28.2	Negotiate improvements to land use
<b>EC29</b>	<b>Protect the environment through legal enforcement</b>	EC29.1	Identify and confirm the need for enforcement
		EC29.2	Initiate enforcement procedures to protect the environment
<b>EC30</b>	<b>Maintain child welfare and safety</b>	EC30.1	Create and maintain a safe environment for children
		EC30.2	Supervise children during activities and outings
		EC30.3	Deal with accidents and emergencies
<b>CU88</b>	<b>Manage habitats</b>	CU88.1	Identify the need for, and plan, habitat management work
		CU88.2	Co-ordinate and oversee habitat management work
		CU88.3	Monitor and evaluate the effectiveness of habitat management work

<b>CU89</b>	<b>Motivate and recognise voluntary effort</b>	CU89.1	Motivate volunteers by promoting the special ethos and values of volunteering
		CU89.2	Recognise voluntary effort by valuing volunteer contributions
		CU89.3	Explain organisational policy and practice to volunteers
<b>CU90</b>	<b>Organise and lead the work of volunteers</b>	CU90.1	Plan the work of volunteers
		CU90.2	Organise and check the use of resources by volunteers
		CU90.3	Lead the work of volunteers
		CU90.4	Assess the work of volunteers and provide feedback
<b>CU100</b>	<b>Promote the organisation and its values</b>	CU100.1	Promote the characteristics and values of the organisation
		CU100.2	Monitor and evaluate the effectiveness of promotion
<b>B1</b>	<b>Support the efficient use of resources (Management Standards)</b>	B1.1	Make recommendations for the use of resources
		B1.2	Contribute to the control of resources
<b>C7</b>	<b>Contribute to the selection of personnel for activities (Management Standards)</b>	C7.1	Contribute to identifying personnel requirements
		C7.2	Contribute to selecting required personnel
<b>C9</b>	<b>Contribute to the development of teams and individuals (Management Standards)</b>	C9.1	Contribute to the identification of training needs
		C9.2	Contribute to planning the development of teams and individuals
		C9.3	Contribute to development activities
		C9.4	Contribute to the assessment of people against development objectives
<b>C12</b>	<b>Lead the work of teams and individuals to achieve their objectives (Management Standards)</b>	C12.1	Plan the work of teams and individuals
		C12.2	Assess the work of teams and individuals
		C12.3	Provide feedback to teams and individuals on their work
<b>D4</b>	<b>Provide information to support decision making (Management Standards)</b>	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
<b>C4</b>	<b>Assist community groups to plan collective action (PAULO)</b>	C4.1	Assist community groups to evaluate and select options for collective action
		C4.2	Assist community groups to develop plans for collective action

<b>D2</b>	<b>Assist collective action (PAULO)</b>	D2.1	Contribute support to collective action
		D2.2	Assist groups to review and evaluate collective action

# Section 3: Assessment

## Introduction

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

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

## What is assessment?

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

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

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

## Roles in assessment

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

### Assessor's role

The assessor must:

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

## Candidate's role

The candidate must:

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

## Approaches to assessment

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

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

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

## Timing

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

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

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

## The five steps to assessment

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

### Step 1: Plan and organise assessment

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

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

There are two levels of planning:

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

### **Overall assessment planning**

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

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

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.

Through producing the overall plan you may also identify job activities the candidate currently performs that match the standards and can plan to assess them immediately. You may also identify evidence from past achievement that can be used (see ‘Accreditation of prior learning’ on page 23). If the candidate is providing evidence from the workplace, their job role may mean they are not able to cover all the standards during the normal course of their work. You may need to create new opportunities, such as arranging for your candidate to move to a different department so that different activities can be performed or different skills used. The candidate might also need to attend a college or training course to fill in any gaps.

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

### **Individual assessment planning**

You and your candidate will need to plan each individual assessment carefully. You will need to decide the methods you will use to carry out the assessment, where and when the assessment will take place and who will be present. You should agree a **unit assessment plan** that specifies the tasks to be carried out, the time they will take and the parts of the standards that will be covered. (See page 30 for an example of a **unit assessment plan**).

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

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

## **Step 2: Decide on the assessment methods**

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

- By ‘**valid**’ we mean that the assessment should be appropriate to the standards.

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

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

Once you are familiar with the performance criteria, range and evidence requirements in all the units of the NVQ you will find it easier to decide what is acceptable evidence and how the candidate should produce it.

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

## Assessment methods

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

### Observation

Observing performance will be the most common method used in assessing the NVQ. Observation can be organised in a variety of ways:

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

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

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

You should complete an **observation record** to show the internal and external verifier how you reached a decision on the candidate's competence. You can find a completed **observation record** in section 4 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.

## Product evaluation

This involves judging products candidates produced during the course of their work. Product evidence will be used a great deal. The exact nature of this evidence will depend on what the candidate's job entails. Examples of product evidence include letters, memos, lists and reports.

## Questioning

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

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

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

Questioning is a powerful means of checking the knowledge 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.

## Supporting evidence

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

### Testimony – personal and witness

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

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

## Work products

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

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.

## Assignments and projects

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

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

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

## Using simulation

Throughout the NVQ, the emphasis is on the candidate being able to carry out real work activities so assessment will normally be carried out in the workplace itself.

On some occasions though, it might not be appropriate for you to assess a candidate while they are working. Examples might be: where the NVQ requires candidates to carry out emergency or contingency procedures, for safety or confidentiality reasons and/or where a candidate's job role does not cover all aspects of the qualification.

In such instances, and if the candidate has no other means of generating evidence, **simulation** might be appropriate.

Simulation is any structured exercise involving a specific task that reproduces real-life situations. If simulation is used, particular care must be taken to ensure that:

- the conditions in which you are assessing the candidate *exactly* mirror the work environment, i.e. it is a realistic working environment
- the simulation allows candidates to demonstrate competence across the full range specified in the outcomes
- the evidence generated is sufficient to convince you that the candidate has achieved the required standard of competence and that they are capable of sustaining that performance.

You and your candidate should check the standards carefully to find out the national training organisation's view of what constitutes a realistic working environment. Some NTOs stipulate the specific elements that are suitable for this approach.

## Accreditation of prior learning (evidence from past achievement)

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

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

The competence basis of NVQs means that evidence must always relate to performance, not just knowledge. The evidence of such performance must always be valid and relevant to specific standards.

### Step 3: Judge the evidence

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

- **Relevance:** the degree of ‘match’ between the item of evidence and the required competence, 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 skill test or 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, ie it should be achieved on more than one occasion.

You have to be certain that the candidate has demonstrated competence. Even though all the performance 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 have **knowledge evidence** (what the candidate needs to know about). Candidates' knowledge might be determined either by questioning them on the subject matter, or through validated evidence from recognised educational and training courses. It can also be revealed in performance evidence generated by your observations of the candidate.

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

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

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

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

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

#### **Step 4: Record**

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

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

The record sheets provided in the candidate's logbook 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 4: How should evidence be presented?

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

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

### Example 1: Index of evidence

The index of evidence should be placed at the front of a candidate's portfolio. As candidates produce pieces of evidence, they should give each piece a unique number. They should then complete the index of evidence so 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 files.

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

### Example 2: Unit assessment plan

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

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

### Example 3: Unit progress record

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

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

### Example 4: Evidence achievement record

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

On completion of each element, you should give your candidate feedback about their performance, informing them if they have been successful in achieving the required level of competence for individual outcomes. There is space on the back of the form for you to make comments and/or notes from the feedback session. Make sure that your candidate is clear about your assessment decision and fully understands what you are saying. You should both then sign and date the form before filing it into the relevant section of the candidate's portfolio.

## Example 5: Knowledge evidence record

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

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

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

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

## Example 6: Personal statement

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

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

## Example 7: Observation record

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

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

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

### **Example 8: Witness testimony**

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

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

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

### **Example 9: Record of questions and candidate's answers**

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

## Example 1: Index of evidence

NVQ title and level: Environmental Conservation Level 2

Evidence number	Description of evidence	Included in portfolio (Yes/No) <i>If No, state location</i>	Units/elements evidence links to (give specific numbers, eg 5.2.1)	Internal verifier signature and date of sampling
1	Personal statement	Yes		
2	Personal statement	Yes		M. DAY 23/03/01
3	Personal statement	Yes		
4	Observation record	Yes		
5	Notes from training meeting attended by line manager	RH's File (Personnel)		M. DAY 23/03/01
6	Witness Testimony/ J Stansfield	Yes		M. DAY 23/03/01
7	Diary entry re training meeting	Unit diary		
8	Witness Testimony/J Black			

## Example 2: Unit assessment plan

**Unit EC17**      **Collect, sort and process recyclable materials**

**Candidate:**    *Bethany Fox*

**Assessor:**    *Darren Higgitt*

### Normal working activities performed

	Typical evidence	Work area	Expected completion date	Links to other units/elements
<b>Element EC17.1:      Collect materials for recycling</b>				
<b>Element EC17.2:      Sort and process reclaimed materials</b>				

### Activities needing to be performed

<b>Element EC17.1:      Collect materials for recycling</b>				
<b>Element EC17.2:      Sort and process reclaimed materials</b>				

### Additional comments

The candidate will generate most of the evidence for this unit in their normal day-to-day work.

**Assessor's signature:** *Darren Higgitt*

**Date:** *13/03/01*

**Candidate's signature:** *Bethany Fox*

**Date:** *13/03/01*

### Example 3: Unit progress record

**Qualification and level:** NVQ Environmental Conservation – Level 2

**Candidate:**

To achieve the whole qualification, you must complete each unit. You can then easily see what stage you have reached in your NVQ.

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

**mandatory units**

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

<b>Mandatory</b>	CU2	CU4	CU5					
<b>Optional</b>	<b>Group A</b>	EC1	EC2	CU87	CC009	CC010	CC011	
	<b>Group B</b>	EC17	EC18					
	<b>Group C</b>	EC3	EC5	EC10	EC11	CU22		
	<b>Group D</b>	EC4	EC6	EC7	EC8	EC9	EC12	EC13
		EC14	EC15	EC16	CU23	CU24	CU25	CU86

#### Mandatory units

Unit number	Title	Assessor's signature	Date
Unit CU2	Monitor and maintain health and safety		
Unit CU4	Maintain environmental good practice at work	D. Higgitt	14/02
Unit CU5	Develop personal performance and maintain working relationships	D. Higgitt	14/02

*Continued overleaf...*

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

### Optional units

Unit number	Title	Assessor's signature	Date
<b>Group A</b>			
Unit EC1	Communicate with, and care for, the public and others		
Unit EC2	Survey and report on the condition of the environment		
Unit CU87	Carry out habitat management work		
<b>Group B</b>			
Unit EC17	Collect, sort and process recyclable materials		
Unit EC18	Encourage and involve people in community recycling		
<b>Group C</b>			
Unit EC3	Maintain and improve channel capacity by manual operations		
Unit EC5	Identify and respond to incidents of flooding		
Unit EC10	Control water levels and water flow by mechanically maintaining the water channel		
Unit EC11	Maintain and improve water levels and water flow by mechanically controlling vegetation		
Unit CU22	Construct, maintain and repair boundaries and access points		
<b>Group D</b>			
Unit EC4	Monitor and report water levels		
Unit EC6	Communicate environmental information		
Unit EC7	Work with, and consult, the local community		
Unit EC8	Work with children during environmental activities		
Unit EC9	Contribute to restoring polluted environments to acceptable conditions		

<b>Unit EC12</b>	<b>Maintain and repair permanent structures for the water environment</b>		
<b>Unit EC13</b>	<b>Maintain and repair permanent structures for the water environment</b>		
<b>Unit EC14</b>	<b>Prepare and operate water-borne plant</b>		
<b>Unit EC15</b>	<b>Prepare, maintain and operate work boats</b>		
<b>Unit EC16</b>	<b>Maintain safe and effective work in confined spaces</b>		
<b>Unit CU23</b>	<b>Construct, maintain and repair paths and related structures</b>		
<b>Unit CU24</b>	<b>Install, maintain and repair site furniture and structures</b>		
<b>Unit CU86</b>	<b>Establish habitats</b>		

## Example 4: Evidence achievement record

# Evidence achievement record

**Unit** CU2

**Monitor and maintain health and safety**

**Element** CU2.1

**Monitor and maintain health, safety and security in the workplace**

### Performance criteria:

You must demonstrate that you:

a) identify health and safety **risks** in relation to the workplace

<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
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b) carry out specified measures to control **risks** and keep the appropriate people fully informed if such measures are inadequate

<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
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c) seek guidance on measures to control unfamiliar **risks** arising from non-routine work situations

<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
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d) give health and safety information to others in a manner likely to be understood

<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
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e) use equipment and materials in accordance with manufacturers instructions and any organizational training

<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
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f) take the appropriate action without delay as soon as an emergency is suspected

<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
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g) dispose of **waste** safely and correctly

<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
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h) transport any equipment and materials safely and store them correctly at an approved location when not in use

<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
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i) maintain the security of the workplace in accordance with organizational requirements

<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
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j) keep any necessary records accurate, legible and complete

<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
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### Performance Evidence

#### Scope:

This element requires that you:

a) identify health and safety **risks** in relation to:

i) people

<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
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ii) equipment and materials

<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
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iii) the work area

<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
--------------------------	--------------------------	--------------------------	--------------------------	--------------------------

b) dispose of the following types of **waste**:

i) hazardous

<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
--------------------------	--------------------------	--------------------------	--------------------------	--------------------------

ii) non-hazardous

<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
--------------------------	--------------------------	--------------------------	--------------------------	--------------------------

## Example 5: Knowledge evidence record

# Knowledge evidence record

**Unit CU2 Monitor and maintain health and safety**

**Element CU2.1 Monitor and maintain health, safety and security in the workplace**

You need to collect knowledge evidence to cover the following:

Evidence key:							
<b>EI</b>	Evidence Index No.	<b>O</b>	Observation	<b>P</b>	Personal Statement	<b>Q&amp;A</b>	Questions and Answers
<b>WT</b>	Witness Testimony	<b>S</b>	Simulation				
<b>APL</b>	Accreditation of Prior Learning						
Knowledge, understanding and skills for this unit:							
To be competent in this unit, you need to know and understand:	Type of Evidence						
	EI	O	P	WT	S	APL	Q&A DATE
a) organizational requirements with regard to ensuring the security of the workplace	2, 5, 6	✓	✓	✓			
b) your role and responsibilities for health and safety in the workplace under organizational policy and legislation							
c) why inadequate measures to control risks should be reported and that corrective action needs to be taken	8, 10	✓		✓			
d) the importance of following manufacturers and organizational instructions and the potential consequences and risks of not doing so	15, 16		✓		✓		
e) procedures for different types of emergencies relevant to the industry in which you are working							
f) how the procedures to take for specific emergencies may be affected by your location							
g) different types of fire extinguishers and their use, relevant to the area you work in							
h) the different forms of waste and correct methods of disposal							
i) how to transport and store equipment and materials safely							
j) the relationship between security and safety within the workplace							
k) any specific risks relevant to child safety from your work							
l) how and why accidents should be reported							

### Example 6: Personal statement

Date	Evidence index number	Details of statement	Links to other evidence (enter numbers)	Units, elements, PCs and range covered
13/03	5	<i>I reported to stores for the withdrawal of paint for Captain Emerson. I read the regulations regarding withdrawal and use of paint. I then signed for the withdrawal and took the paint to Head Quarters and stored it in the steel locker.</i>	6  8, 9, 44	1.1  CC018.2.1 Full range

**Candidate's signature:** *Bethany Fox*

**Date:** *13/03/01*

## Example 7: Observation record

Unit/element(s) CC001.1

Candidate: Bethany Fox

Date of observation: 27/03/01

Evidence index number: 2

Skills/activities observed:	PCs and PEs covered:
Candidate observed storing paint in steel locker and filling out unit booking in/out book.	<i>Element 1-1a</i> <i>PCs: a, b, d</i> <i>PEs: 2, 3, 6,</i>

Knowledge and understanding apparent from this observation:
Candidate attended HAZMATT Awareness Course

Other units/elements to which this evidence may contribute:
This unit reflects on all other units.

Assessor comments and feedback to candidate:
Q + A ref. 1-1a Need to read any order pertaining to the part.

I can confirm the candidate's performance was satisfactory.

Assessor's signature: *Darren Higgitt*

Date: *27/03/01*

Candidate's signature: *Bethany Fox*

Date: *27/03/01*

## Example 8: Witness testimony

**NVQ title and level:** Environmental Conservation – Level 3

**Candidate name:** Bethany Fox

**Evidence index no:** 1

**Where applicable, evidence no to which this testimony relates:**

**Element(s):** 1.2

**Date of evidence:** 27/03/01

**Witness name:** Pam Adams

**Relationship to candidate:** Supervisor

**Details of testimony:**

I certify that the above named candidate has completed training and passed tests by Q + A and training, and is competent in this area in the disposal of contaminated fuel and hazmat materials.

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

**Witness signature:** *Pam Adams*

**Name:** Pamela Adams

**Date:** 27/03/01

*Please tick ( ) the appropriate box.*

**D32/D33 Award**

**Familiar with the NVQ standards to which the candidate is working**

### Example 9: Record of questions and candidate's answers

<b>Unit:</b>	<b>Element(s):</b>
<b>Evidence index number:</b>	
<b>Circumstances of assessment:</b>	
<b>List of questions and candidate's responses:</b>	
Q:	
A:.	
Q:	
A:	
<b>Assessor's signature:</b> <i>CSM John Milburn</i>	<b>Date:</b> <i>27/09/01</i>
<b>Candidate's signature:</b> <i>Anne Thomas</i>	<b>Date:</b> <i>27/09/01</i>

# Section 5: Further information

## How does an organisation become a centre?

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

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

- develop a physical resource within the centre that addresses the needs of candidates
- select and train assessors and internal verifiers according to the relevant NTO specifications
- provide appropriate assessment opportunities for candidates, eg a suitable number at suitable times
- provide candidates with copies of the Level 2 & 3 NVQs in Environmental Conservation units appropriate to their qualification
- provide assessors and internal verifiers with copies of the Level 2 & 3 NVQs in Environmental Conservation standards.

Details of approval procedures are available from our Customer Response Centre (0870 240 9800).

## 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 2 & 3 NVQs in Environmental Conservation

To register, candidates should complete an Edexcel registration form (available from your centre contact, or the relevant Edexcel Regional Office). 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 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's Customer Response Centre (0870 240 9800), 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 Environmental Conservation Level 2 & 3.

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:

	<b>Publication Code</b>
• <i>The Accreditation of Prior Learning (APL)</i>	80-092-0
• <i>Edexcel Policy Framework</i>	revised annually
• <i>Student Services Handbook</i>	revised annually
• <i>Recording Achievement for NVQs</i>	80-094-2

To order these publications, please contact:

Edexcel Publications  
Adamsway  
Mansfield  
Nottinghamshire  
NG18 4FN

Telephone: 01623 467467  
Fax: 01623 450481  
E-mail: [publications@linneydirect.com](mailto:publications@linneydirect.com)

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

### **Where are the standards available from?**

The standards have been produced by the National Training Organisation for Level 2 & 3 NVQs in Environmental Conservation and are available from:

Lantra

Lantra house

NAC

Kenilworth

Warwickshire

CV8 2LG

Telephone: 024 7669 6996  
Fax: 024 7669 6732  
E-mail: [nto@lantra.co.uk](mailto:nto@lantra.co.uk)

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

# Section 6: Assessment Strategy for NVQs

## Introduction

This section sets out the recommendations and specifications for the assessment and quality control systems required for National Vocational Qualifications/Scottish Vocational Qualifications (NVQs/SVQs) in Environmental Conservation (Levels 2 and 3).

The following sections outline specific principles in regard to:

- external quality control
- workplace assessment
- the use and characteristics of simulation
- the required occupational expertise of assessors and verifiers.

These principles are in addition to the generic criteria that awarding bodies must meet for the delivery of NVQs/SVQs, as required by the Qualifications and Curriculum's *NVQ Criteria and Code of Practice* and the relevant sections of the Scottish Qualifications Authority's *SVQ Criteria and Guidance for Awarding Bodies*.

## **External Quality Control**

### **Independent Assessment**

The Environmental Conservation industry has stated that independent assessment is not an appropriate method of external quality control for their NVQs/SVQs.

### **An enhanced system of Assessment and Verification**

The monitoring and standardisation of assessment decisions will be achieved by a robust and strengthened assessment and external verification system. The mechanisms required to achieve this are in addition to those outlined in QCA's *NVQ Criteria and Code of Practice* and SQA's *SVQ Criteria and Guidance for Awarding Bodies*.

### **External Verification**

All new assessment centres, or existing centres wishing to extend their provision to include Environmental Conservation NVQs/SVQs, will be visited by an Edexcel appointed verifiers prior to centre approval being granted. The purpose of this visit will be to vet all assessment and internal verification systems thoroughly and to provide the necessary support and guidance to ensure that the criteria laid down in the assessment strategy are being met.

There will be a periodic rotation of external verifiers, for example every 2 – 5 years, to increase the independence of verification in centres. All advice and support offered by external verifiers will be consistent across all centres offering the awards. In addition, the monitoring and support that an approved centre receives will be consistent with that centre's risk rating (see section 2.2.3 below). The external verifier, not the centre, should determine the assessments, candidates and assessors to be sampled. Sampling should take place during the development of a candidate's portfolio, and not only at the point of signing off.

### **Internal Verification**

- all candidate portfolios should be internally verified by the internal verifier
- at least one third of evidence in each portfolio should be sampled
- internal verifiers should be able to demonstrate how the internal verification sampling process ensures that:
  - portfolios are sampled during their development stage
  - portfolios are sampled on completion
  - all types of evidence are sampled
  - all assessors are sampled, including those based at different sites
  - the work of different assessors is compared (where possible this comparison should be across the same unit(s))
  - the full range of units delivered is assessed
- internal verifiers should observe assessors conducting candidate assessments at regular intervals. Edexcel suggests that this be at least once every six months. The reliability, validity and authenticity of evidence must be checked during these observations.

## **Risk Rating and Risk Management**

Edexcel believes a system of risk rating and risk management will ensure that external verification, monitoring control and support mechanisms are put into place according to each centre's level of risk. The systems should also focus on the following:

**Commercial risk** – arrangements should be made to identify centres where there may be commercial pressures to ensure that candidates achieve their qualifications within specified time frames so that the standard of assessment practice is not adversely effected.

**Assessment/verification bias** – any personal, professional or pedagogical relationship between candidates, assessors, internal verifiers and external verifiers should be declared to the awarding body

Where risk is identified, Edexcel will take one or more of the following:

- a) conduct a spot visit at short notice
- b) meet and/or observe each candidate or a larger sample of the candidates at the centre in question
- c) increase the frequency of verification visits
- d) conduct candidate and/or employer interviews, as required, over the telephone
- e) other action appropriate to the risk.

## **Workplace Assessment**

Edexcel believes that all assessments of a candidate's performance must take place in an environment that reflects industry working practices. This principle will apply to all units, or aspects of units, except those for which simulation has been deemed acceptable (see Section 4 below).

In order to ensure that the evidence used to assess candidates against the National Occupational Standards is valid, all centres must demonstrate that the candidates have access to the types of resources commonly in use in the industry and that the pressures and constraints of the workplace are reflected.

Edexcel has no objection to the assessment of knowledge and understanding taking place in a different environment, for example a college or another environment that is not the immediate workplace. However, the assessment of this knowledge and understanding should be linked directly to workplace performance.

### **Witness Testimony**

Edexcel recognises that for the assessment of workplace performance to be as natural and efficient as possible, the use of witness testimony should be encouraged, and has a crucial role in the collection of evidence.

Witnesses must be fully briefed and clear about the purpose and use of the testimony. Any relationship between the witness and candidate should be declared and noted by the assessor.

Witnesses must be able to demonstrate that they have the necessary expertise in the area for which they are providing testimony. This information should be noted by the assessor.

## Simulation

Simulation should only be used where it is difficult to collect evidence through a real work situation, the real work environment or within an acceptable time frame. Simulations will usually deal with contingencies such as unexpected problems, emergencies, or other incidents that will not necessarily occur frequently. *Such instances are specified within the National Occupational Standards.*

The awarding bodies must issue adequate guidance to their centres as to how these simulations should be planned and organised. In general this guidance must ensure that the demands on the candidate during simulation are neither more or less than they would be in a real work environment/situation. In particular:

- simulations should only be used where prescribed in the National Occupational Standards
- all simulations must be planned, developed and documented by the centre in a way that ensures the simulation correctly reflects what the standard seeks to assess
- all simulations should follow these documented plans
- the physical environment for the simulation must be as realistic as possible and draw on real resources that would be used in the industry
- where simulations are used they must be based on an environment which reflects industry working practices (as defined in section 3) and must be based on current working practice
- simulations can only be used to supplement real work activities and should not be the only source of evidence used to indicate competence
- the use of simulation will be monitored by the external verifier to ensure that where simulations are used, they are based on an environment which reflects industry working practices.

## **Occupational Expertise of Assessors and Verifiers**

Edexcel believes that the occupational expertise of assessors and verifiers is one of the key factors underpinning valid and reliable assessment. The sections below define essential criteria in addition to the requirements of the *QCA Criteria and Code of Practice* and *SVQ Criteria and Guidance for Awarding Bodies*.

### **Assessors**

All assessors must:

- be occupationally competent. This means that each assessor must be capable of carrying out the functions covered by the units, or aspects of units, which he or she is assessing to the standard described within them, according to current industry practice.
- have worked in the last 3 years in an appropriate environmental role.
- be familiar with the National Occupational Standards; and must be able to interpret and make judgements on current working practices and technologies within the area of work
- have sufficient time to carry out the role within QCA's *NVQ Criteria and Code of Practice* and the relevant sections of SQA's *SVQ Criteria and Guidance for Awarding Bodies*
- receive an appropriate induction to the NVQs/SVQs that they are assessing
- actively engage in relevant, industry specific continuing professional development activities, including those offered by the awarding body, Lantra or other relevant providers in the sector to keep up-to-date with developments relating to the Environmental Conservation NVQs/SVQs and changes taking place in the industry.

Information on the induction and continuing professional development of assessors must be made available to the external verifier.

Approved centres will be required to provide Edexcel (as appropriate) with current evidence of how each assessor meets this requirement; for example, relevant qualifications, recent performance appraisal records, testimonials or references. Lantra/Awarding Body meetings will discuss guidance to centres and external verifiers on the types of evidence that may be used, and the criteria for evaluating such evidence where applicable

Edexcel is aware that, in some cases, the requirements for occupational competence will mean that some candidates may have more than one assessor, each assessing different units or aspects of those units. Edexcel would approve and encourage such an approach as helping to assure the quality of assessment.

### **Internal Verifiers**

Internal verifiers must:

- be occupationally competent and knowledgeable in respect of the units they are going to verify.
- have sufficient knowledge of the work activities and assessment process to be able to offer credible advice on the interpretation of the standards, moderate assessments and resolve any differences and conflicts

- be fully conversant with the National Occupational Standards; and must be able to assist assessors with interpretation and the making of assessment judgements. They must be able to make judgements about the assessment process being applied by assessors
- occupy a position in the organisation that gives them authority and resources to co-ordinate the work of assessors, provide authoritative advice, call meetings as appropriate, visit and observe assessments and carry out all the other important roles of an internal verifier
- receive an appropriate induction to the NVQs/SVQs that they are verifying
- actively engage in relevant, industry specific continuing professional development activities, including those offered by Edexcel, Lantra or other relevant providers in the sector to keep up-to-date with developments relating to the Environmental Conservation NVQs/SVQs and changes taking place in the industry.

Information on the induction and continuing professional development of internal verifiers must be made available to the external verifier.

### **External Verifiers**

The integrity and professionalism of external verifiers is of paramount importance. External verifiers must seek to maintain the quality of implementation through providing constructive feedback and support to centres

External verifiers must:

- have at least five years employment experience in the industry that is relevant to the awards they are verifying. This experience should be current, i.e. gained within a five-year period prior to beginning to externally verify
- understand the national occupational standards, and their correct interpretation and application, have an in depth knowledge of the area covered by the NVQ/SVQ, and the NVQ/SVQs themselves
- have gained their knowledge working with the industry
- receive an appropriate induction to the NVQs/SVQs that they are verifying
- actively engage in relevant, industry specific continuing professional development activities, including those offered by the awarding body, Lantra or other relevant providers in the sector to keep up-to-date with developments relating to the Environmental Conservation NVQs/SVQs and changes taking place in the industry.

Should the requirements for occupational and verification competencies prove unrealistic, i.e. presenting substantial difficulties in recruiting an appropriate number of external verifiers, Edexcel would support alternative external verification arrangements. For example, allowing two verifiers for a centre; one with D35 (or its new ENTO equivalent) to verify the centre's quality procedures and the other with the required level of knowledge and experience of the industry to verify technical issues.

For more information on Edexcel qualifications please contact our  
Customer Response Centre on 0870 240 9800  
or E-mail: [enquiries@edexcel.org.uk](mailto:enquiries@edexcel.org.uk)  
or visit our website: [www.edexcel.org.uk](http://www.edexcel.org.uk)

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