

Centre Guide for Assessor and Verifier Awards

Centre Guide (7317) Guidance for Assessors and Internal Verifiers City & Guilds Assessment Guide for A&V awards

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Introduction

This centre pack sets out the requirements of City & Guilds Assessor and Verifier awards. These awards are based on the agreed National Occupational Standards for Learning and Development (revised in 2002). The titles of the awards are:

A1 Certificate in Assessing Candidates Using a Range of Methods

A2 Certificate in Assessing Candidates' Performance through Observation

V1 Certificate in Conducting Internal Quality Assurance of the Assessment Process

V2 Certificate in Conducting External Quality Assurance of the Assessment Process (only available to awarding bodies)

The learning and development national occupational standards are subject to the *Employment NTO Assessment Strategy*. The Assessment & Verification awards are part of the Learning and Development suite of standards. The Assessment & Verification Assessment Strategy sets out the requirements for the assessment of these standards and provides information on:

- assessment of performance and knowledge in the workplace
- use of simulation
- use of external quality control measures
- occupational competence of assessors and verifiers

All those involved in the assessment and verification of the learning and development national occupational standards **MUST implement the assessment strategy**, and this City & Guilds assessment guide presents the detail of the assessment strategy, with further advice and guidance for those working as assessors or internal verifiers in City & Guilds approved centres.

Three important assessment criteria are presented in the assessment strategy. These are:

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

National Vocational Qualifications (NVQs)

NVQs are part of a framework of national awards covering a wide range of occupations at all levels. Each sector/industry has agreed national occupational standards for people who work within it. These standards define the skills, knowledge and understanding required at each NVQ level. The achievement of an NVQ is based on the demonstration of competence in the workplace against these occupational standards, and on the assessment of work performance and related knowledge. NVQs are accredited by the Qualifications Curriculum Authority (QCA) and are part of the national qualifications framework. The qualifications are delivered and monitored by awarding bodies, such as City and Guilds.

An **NVQ** is a qualification comprising of a collection of several units of competence. A **unit of competence** describes what you are expected to do in a particular function of your job. It is a collection of common skills. A **unit** can be achieved over a period of time and single units (which are not full NVQ awards in their own right) can be recognised with individual certificates.

Units are made up of one or more **elements of competence** which relate to more specific activities required to carry out the function covered by the unit. Each **element** contains **performance criteria** and **underpinning knowledge** against which the assessor must judge a candidate's performance.

NVQ levels explained

There are five levels in NVQs covering standard to complex working roles. The following definitions of NVQ levels provide a general guide:

- Level 1 Competence which involves the application of knowledge and skills in the performance of a wide range of varied work activities, most of which may be routine and predictable.
- Level 2 Competence which involves the application of knowledge and skills in a significant range of varied work activities, performed in a variety of contexts. Some of the activities are complex or non-routine, and there is some individual responsibility or autonomy. Collaboration with others, perhaps through membership of a work group or team, may often be a requirement.
- Level 3 Competence which involves the application of knowledge and skills in a broad range of varied work activities performed in a variety of contexts, most of which are complex and non-routine. There is considerable responsibility and autonomy, and control or guidance of others is often required.
- Level 4 Competence which involves the application of knowledge and skills in a broad range of complex, technical or professional work activities performed in a wide variety of contexts and with a substantial degree of personal responsibility and autonomy. Responsibility for the work of others and the allocation of resources is often present.
- Level 5 Competence which involves the application of skills and a significant range of fundamental principles across a wide and often unpredictable variety of contexts. Very substantial personal autonomy and often significant responsibility for the work of others and for the allocation of substantial resources feature strongly, as do personal

accountabilities for analysis and diagnosis, design and planning, execution and evaluation.

Assessment of performance and knowledge in the workplace

Candidates must have been assessed against **all performance criteria** and **all knowledge items** in the standards.

All evidence must be derived from performance within the workplace, with the exception of a limited few performance criteria for which it is recognised that performance evidence might not easily be obtained.

Simulated working conditions

The assessment strategy for learning and development standards makes a very clear statement which prevents any form of simulation being used in the assessment process. This is:

'Performance of real work activities in the real working environment means that **none of the** *performance criteria in the standards require the use of simulations.*'

All evidence must be derived from performance in the workplace and that none of the performance criteria in the A and V awards require simulation.

No simulation or products of simulation may be used in the assessment process.

External quality control through independent assessment

It is now a requirement in all NVQ assessment strategies that there should be some part of the assessment process which is subject to a measure of 'external' assessment. There are different ways in which this could happen, but so far as the learning and development standards are concerned, the way to meet this requirement is to use **'independent assessment'**. This is described below:

'Independent assessment... will require candidates to present a balance of evidence which must include a *substantive component* which has been assessed by someone who is *independent* from the candidate.'

Substantive is defined here as a primary piece of outcome evidence for one or more units of competence.

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

While this will work for the Learning and Development NVQs with eight or more units, it will create problems in the single unit awards which could be interpreted to mean that the unit has been assessed twice, once by their assessor and then again by an independent assessor. This will have the effect of undermining the first assessor and making the process more cumbersome and bureaucratic.

The Employment NTO proposes that for the single unit awards, 'independent assessment' should mean:

'The Candidate is required to present a substantive primary piece of outcome evidence for each of the specified units which has been assessed by a second assessor who is independent from the candidate.' **For example:**

- A1.1 an Assessment Plan
- A.2 an Assessment Plan
- V1.3 an observation of an assessor conducting the assessment process with the candidate
- V2.2 a final report on a visit to a centre

The independent assessor may be employed by the same assessment centre or by another assessment centre. An independent assessment report form is provided in each City & Guilds candidate pack. This is designed to formalise and standardise the reporting of the independent assessment.

Centres must nominate a suitable person to act as the independent assessor for each candidate **who is experienced as an assessor of these standards**. The independent assessor must be a qualified assessor and competent job holder who has the relevant occupational competence to judge the candidate's work. The candidate's primary assessor cannot also act as the independent assessor for the candidate.

Negotiation must take place with the candidate on outcome evidence which will meet the 'substantive' definition given above. For full multi-unit awards this means evidence for a minimum of one unit of the award. For the assessor and internal verifier awards, which consists of only one unit, a suitable piece of outcome evidence has been identified.

The primary assessor is responsible for managing the process and supporting the candidate throughout the whole of their award, e.g. action and assessment planning, questioning and observation, where appropriate. The independent assessor will make the summative assessment decision of the evidence supplied by the candidate, in relation to the part of the qualification for which s/he is responsible. The candidate's primary assessor will make the summative decision for all of the other elements within the award.

The internal verifier should ensure that the independent assessor is included within their sampling plan.

The A & V units

These units must have a substantive piece of outcome evidence assessed by the independent assessor. Examples of appropriate evidence are outlined within the scheme handbook. Where these units appear within full NVQs or 'mini' awards, this rule still applies.

Occupational competence requirements for centre staff

In recent years the Qualifications Curriculum Authority has required standard setting bodies to produce assessment strategies which awarding bodies must implement. The *Learning and Development Assessment Strategy*, therefore, includes the requirements for the occupational competence of assessors and verifiers.

Centres must ensure that their assessors and internal verifiers meet these requirements, or have continuous professional development (CPD) plans to enable them to meet the requirements in the near future. *Note: see NVQ Code of Practice 2001 for further information on assessors and verifiers of NVQs, (available from QCA).*

Awarding bodies, through their external verifiers, will monitor centres to ensure that the requirements for the occupational competence of those who assess and verify in centres are being met.

Full details of the occupational competence requirements are provided in this pack as appendices, as follows:

Appendix A Occupational competence of assessors, page 20

Appendix B Occupational competence of internal verifiers, page 22

Accreditation of prior learning

If a candidate already has some competence in the units of the award this may be evidenced to the assessor by demonstration in the workplace or by showing work products and using questions. This is often referred to as *'accreditation of prior learning'*. The assessor must be sure that competence is **current**, and will only be able to accept evidence which is **recent**, i.e. **created within the last three years**. In addition any claim for *accreditation of prior learning* will be subject to some form of testing to ensure that the candidate still has the claimed competence.

Evidence which a candidate may have already gathered towards the old training and development units, if it is still recent, may be transferred into the portfolio for the new learning and development units, but must be matched against the criteria in the new standards. This will be treated in the same way as any other prior learning evidence.

Accreditation of prior achievement

Where candidates already hold units of the national standards, accreditation of prior achievement may be possible – **but only in multi-unit awards**.

Assessment

Assessors

Assessors are responsible for planning assessments with candidates, making assessment decisions, providing feedback to candidates and giving guidance on further actions. Detailed plans and records should be kept on all these activities. In addition assessors should play a part in assuring quality within the centre in which they operate.

Each candidate should be allocated at least one assessor who is qualified and occupationally competent. This person will be known as the candidate's **primary assessor**. In addition each candidate should be allocated an independent assessor (see section on 'independent assessors' below).

Independent assessors

The **independent assessor** will make the summative assessment decision of the evidence supplied by the candidate, in relation to the part of the qualification for which s/he is responsible. An *independent assessment report form* is provided on page 24 of the candidate pack for use by the person selected to be the independent assessor. The candidate's primary assessor will make the summative decision for all of the other elements within the award.

Advice on assessing competence

Formal assessment will take place when the candidate and assessor feel that the candidate is ready. Assessments should occur at frequent intervals, and during an assessment the assessor may ask questions to confirm the candidate's knowledge and understanding of certain points. The independent assessment is likely to take place towards the end of a candidate's programme.

Assessment should be pre-planned and negotiated with the candidate. After judgements are made the candidate should receive feedback and guidance.

Although there are different sources of evidence and different methods of assessing performance evidence is seen as the primary source for making a judgement of competence against the standards. However, it is required that a **variety of assessment methods** be used to confirm competence. (Some suitable assessment methods and sources of evidence are listed below.)

It is important that all of assessment evidence comes from competent performance in the candidate's workplace, i.e. when carrying out 'real work-based activities'. Materials created during training are not allowed to be used as evidence of competence and simulation is not allowed.

Performance evidence must be produced to meet all the performance criteria in an element.

The performance evidence will show the assessor that a candidate has some of the required knowledge, but a candidate may also evidence some of the required knowledge by reporting on their evaluations of systems and processes. All the knowledge items listed for the unit as a whole must be evidenced.

You will find details of the *agreed common evidence or evidence requirements* in the candidate pack. This is the **minimum** that is acceptable. Depending in the candidate's experience and circumstances the assessor should negotiate with the candidate to determine whether this will be sufficient or whether there is a need to provide more evidence of competence.

Different assessment methods

There are different ways of judging competence, different methods of assessing and different forms of evidence that can be presented. These are listed as follows, and *descriptions and more detailed explanations can be found in the candidate packs*.

Assessor observation reports

The assessor must produce a report of every assessment observation, and a copy of this will become a piece of evidence in the candidate's portfolio. Questioning is often necessary as a result of an observation, and question and answers should be recorded for verification purposes.

Work products

The assessor may need to discuss products and/or ask questions about them to establish their value and authenticity.

Witness testimonies

The assessor should establish the authenticity of testimonies, in some cases by contracting the witness if he or she is not known to the assessor.

Questioning

The assessor may ask questions as part of other assessment activities, or may use written questions or tests as a method in their own right. Verifiers will need to see the actual questions, the answers supplied by the candidate, and the assessor's decision on their value in order to make verification judgements.

Professional discussion

The assessor should pre-plan and agree any discussion sessions which are to be used as assessment opportunities. There must be a detailed record of these discussions for verification purposes, this may be a written report or an audio or video recording. *Note: where taped recordings are used the verifiers will need to have a summary of the discussion and details of where to locate particular evidence on the tape.*

The quality of evidence

Evidence must be valid, authentic, current and sufficient.

- Valid means appropriate and relevant to the element or unit being claimed.
- Authentic means that it is the candidate's own work.

Current means that what is being claimed is not out of date and is fairly recent.

• Sufficient means that the candidate can perform consistently to the required level, over a period of time.

Internal verification

The centre is responsible for verifying the assessment process and ensuring that assessor decisions are reliable. This is done by internal verifiers, and it should happen at regular intervals during a candidate's progress towards an award so that any incorrect decisions or inconsistencies may be put right as soon as possible. Internal verifiers should also make a final or summative check on each candidate's assessments prior to claiming a certificate on their behalf.

Internal verifiers should also support assessors, monitor the quality of their performance and arrange for standardisation of assessment. In addition internal verifiers should operate and evaluate the centre's quality assurance systems, and ensure that the centre meets the quality requirements of external auditing organisations.

Full and detailed plans and records should be made of all aspects and stages of internal verification.

- Note: guidance booklet on assessing • Assessing NVQs (March 1998), available from QCA.
- Note: guidance booklets on internal verification
 - Internal verification of NVQs A Guide for Internal Verifiers (March 1998), available from QCA
 - Joint Awarding Body Guidance on Internal Verification of NVQs (2001), available from the City & Guilds group
 - The NVQ Code of Practice (2001), available from QCA.

Assessment and verification of assessor-candidates and verifier-candidates

The assessment and verification of people who are candidates for the assessor and verifier awards should be dealt with in exactly the same way as any other assessment and verification. All the same regulations and requirements apply.

However, it should be noted that there are additional restrictions on who may act as assessors and verifiers for those who are candidates for the assessor and verifier awards. The occupational competence requirements for assessors (Appendix A on page 20) and the occupational competence requirements for internal verifiers (Appendix B on page 22) explain this with special notes.

These special notes are repeated here for clarification:

- **Note:** Assessors of Assessor-candidates are required to have achieved their relevant Assessor unit(s) before they can start to assess Assessor-candidates. Similarly, Assessors of Internal and External Verifier candidates need to have achieved their own Assessor and Verifier Awards before they can start to assess Verifier-candidates.
- **Note:** Internal Verifiers of Assessor-candidates are required to have achieved their Internal Verification unit before they can start to internally verify Assessor-candidates. Similarly, Internal Verifiers of Internal and External Verifier candidates need to have achieved their own Assessor and Verifier Awards before they can start to internally verify Verifier-candidates.

This, therefore, precludes anyone from assessing the assessor or verifier awards without **already being fully qualified as an assessor**; and precludes anyone from verifying the assessor or verifier awards without **already being fully qualified as an assessor AND as a verifier** *(i.e. people who are 'working towards' the assessor and verifier awards are NOT allowed to act as assessors or verifiers of other assessor and verifiers). See additional requirement in Appendix A and B on pages 20 and 22.*

The following is a glossary of terms as defined by Employment NTO.

Glossary of Terms

Action Plan:

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

Assessment Plan:

A detailed statement of how and when specific outcomes in the standards will be assessed and by which method(s). It must also provide a clear set of actions to be carried out by the candidate, assessor(s) and any others involved in the process, with a timescale attached to each activity. This will be agreed between the candidates and their assessor.

Assessment Record:

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

Element/Component of an Award:

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

Endorsed Assessment Plan:

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

External Auditing and Sampling:

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

Internal Quality Assurance and Standardisation of Assessment:

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

Professional Discussion:

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

Progress Reviews:

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

Sampling Framework/Strategy:

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

Systems Documentation:

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

All the pro-formas in this section may be photocopied for your use.

Pro-formas

Appendix A	Occupational competence of assessors
Appendix B	Occupational competence of internal verifiers
Appendix C	Independent assessment report
Appendix D	Assessment and verification declarations
Appendix E	Contact details page
Appendix F	Personal action plan
Appendix G	Key Skills signposting for Assessor and Verifier standards

Appendix A

Occupational competence for Assessors

The requirements defined in the learning and development assessment strategy are detailed below:

ASSESSORS

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

Sufficient occupational competence is defined as:

• having held a post for a minimum of one year within the last two years which involved performing the activities defined in the standards as an experienced practitioner.

OR:

Being an experienced trainer or instructor of at least one year's standing in the competence area of the standards;

And for both of the above:

Having demonstrated updating within the last year involving at least two of the following activities:

- Work placement
- Job shadowing
- Technical skill update training
- Attending courses
- Studying for learning and development units
- Study related to job role
- Collaborative working with Awarding Bodies
- Examining
- Qualifications development work
- Other appropriate occupational activity as agreed with the internal verifier.

All assessors will have a **sound working knowledge of the content of the standards they are assessing and their assessment requirements**. All assessors will either hold the relevant qualification for assessors of national occupational standards or have a development plan indicating progress towards that qualification.

Note: Assessors of Assessor-candidates are required to have achieved their relevant Assessor unit(s) before they can start to assess Assessor-candidates. Similarly, Assessors of Internal and External Verifier candidates need to have achieved their own Assessor and Verifier Awards before they can start to assess Verifier-candidates.

Appendix B

Occupational competence for Internal Verifiers

The requirements defined in the learning and development assessment strategy are detailed below:

INTERNAL VERIFIERS

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

Sufficient occupational competence is defined as:

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

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

All internal verifiers will have a sound working knowledge of assessment and verification **principles** as defined in the national standards for internal quality assurance and the particular internal verification requirements. All internal verifiers will either hold the relevant qualification for internal verifiers of national occupational standards or have a development plan indicating progress towards that qualification.

Note: Internal Verifiers of Assessor-candidates are required to have achieved their Internal Verification unit before they can start to internally verify Assessor-candidates. Similarly, Internal Verifiers of Internal and External Verifier candidates need to have achieved their own Assessor and Verifier Awards before they can start to internally verify Verifier-candidates.

Appendix C

Independent Assessment Report

I have assessed the required substantive component of this candidate's evidence

Evidence

This evidence comprises: (please state the evidence you have assessed, using evidence reference numbers supplied by the candidate where possible)

Assessment decision

(please state the outcome of your assessment, bearing in mind the requirements for validity, authenticity, currency and sufficiency of evidence)

Feedback to candidate (please record your comments to the candidate as a result of the assessment)

Print independent assessor name

Independent assessor signature Date

Appendix D

ASSESSMENT DECLARATION

Candidate Declaration

I confirm that the evidence listed for this unit is a true representation of my own work.

Print candidate name	
Candidate signature	Date

Assessor Declaration

I confirm that this candidate has achieved all the requirements of this unit with the evidence detailed.

Feedback/ Comments to candidate

Appendix E

Contact Details

Centre details:

Centre Name	Centre Number
Address	
Postcode	. Telephone number
Fax:	E-mail
Co-ordinator's name	

Assessor details

Assessor name
Position
Signature
Second Assessor name (if appropriate)
Position
Signature

Independent assessor details

Independent assessor name
Position
Signature
Internal Verifier details
Internal verifier name
Position
Signature

Appendix F

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Personal Action Plan

Candidate name	Candidate No	Date
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Assessor name.....

Unit/element No	Details of Current achievement	Work experience	Learning/ Training	Other Experience	APL	Action required	Evidence required	Completion date

Review date(s)

Signed by assessor...... Signed by candidate

Appendix G

Key Skills Signposting for Assessor and Verifier Standards

Key Skills define those generic work-related skills that individuals need in order to be effective, flexible and adaptable workers. The Key Skills range from the equivalent of GCSE (D-G) to first degree. Key Skills are *not* the same as Basic Skills, which are used to determine the ability to read, write and speak English and use mathematics at a level necessary to function and progress at work and in society in general.

Key Skills are available in England, Wales and Northern Ireland; Scotland uses Core Skills, which are compatible but slightly different.

The attached table signposts the relevant Key Skills against each unit of competence within the Learning and Development Standards.

Unit Numbers	Communication	Application of Number	Information Technology	Working with Others	Improving Own Learning and Performance	Problem Solving	Personal Skills
A1	3	2	2	3	3	3	
A2	3	2	2	3	3	2	
V1	4	3	3	4	3	3	
V2	4	3	3	4	3	4	

The number in each box relates to the appropriate level of Key Skills.

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