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# Proposals for the Design and Implementation of a System for the Validation of Informal Learning to Support the Process of Managed Migration: Options for Ukraine

**Bob Mansfield**  
**Nanci Downey**



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## **EU-ILO Project «Effective Governance of Labour Migration and its Skill Dimensions»**

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### **Project Brief: EU-ILO Project in Moldova and Ukraine “Effective Governance of Labour Migration and its Skill Dimensions”**

This project is implemented by the International Labour Organization in cooperation with Moldovan and Ukrainian tripartite partners, the International Organization for Migration and the World Bank. The project is in the framework of the European Commission’s thematic programme of cooperation with third countries in the areas of migration and asylum.

The overall objective of the project is to strengthen Moldova’s and Ukraine’s capacity to regulate labour migration and promote sustainable return, with a particular focus on enhancing human resources capital and preventing skills waste.

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## Foreword

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In a globalized world, labour market movements are becoming more complex and intense and they require appropriate management tools. In particular, to support skill matching and preventing skill waste, knowledge of skill composition within migration flows becomes extremely important for both returning and potential migrants. A central issue in regulating labour migration is the recognition of qualifications. Many labour migrants acquire new skills, knowledge and competencies gained through their work experience. Therefore, recognition and validation of informal learning is a crucial factor to ensure reintegration of migrant workers into national and international labour markets, thus ensuring proper skill matching and preventing de-skilling and skills waste. While in many countries the recognition of informal learning is frequently associated with the possibility to waive a course or part of a study program, especially in higher education, the recognition and validation of such learning outcomes could play an important role both for individual development and for improving the matching of skills in the labour market.

In order to improve the capacity of the national stakeholders in the design and adoption of concrete measures for a systematic recognition of competencies and skills acquired outside the formal education system and mainly abroad, the ILO, as part of the EU-funded project on “Effective Governance of Labour Migration and its Skill Dimensions”, has promoted the design of a system for the recognition and validation of competencies and learning outcomes in Ukraine. This process has brought about the development of 15 occupational profiles in line with the requirements of the EU labour market as well as the development of a methodology for the validation of the informal learning.

This manual is authored by Bob Mansfield and Nanci Downey, ILO consultants, and has benefitted from the support of the Ministry of Social Policy and the Ministry of Education and Science as well as the Federation of Employers of Ukraine.

Special thanks to Rodion Kolyshko, Head of Labour Potential at the Federation of Employers of Ukraine, Development and CSR Department for his continuous assistance, and to Francesco Panzica, international expert on migration and employment, as well as Natalia Popova, Tetyana Minenko and Anna Farkas from the ILO for their support and valuable contribution along the entire activity process.

Antonio Graziosi  
Director  
ILO DWT/CO Budapest



## List of Abbreviations

CEDEFOP	European Centre for the Development of Vocational Training
CIC	Construction Industry Council
DACUM	Developing A CurricuLUM
ETF	European Training Foundation
EU	European Union
ILO	International Labour Organization
NSSP	National Skills Standards Project
SES	State Employment Service
SKM/BEST	System Capital Management and its Bureau of Economic and Social Technologies
UK	United Kingdom
VET	Vocational Education and Training



## Background and Purpose

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The project “Effective Governance of Labour Migration and its Skill Dimensions” aims at strengthening Moldova and Ukraine’s capacity to regulate labour migration and promote sustainable return, with a particular focus on enhancing human resources and preventing skills waste. It also seeks to contribute to the development and effective implementation of rights-based migration policies and programmes, in line with the ILO labour standards (Conventions 97 and 143) and the principles and guidelines of the ILO Multilateral Framework on Labour Migration. With a view to achieving the overall objective, the project is designed to attain four independent yet complementary specific objectives, along the following components:

- component 1: building capacity to analyse the skills shortages and oversupply as a result of migration;
- component 2: enhancing the capacity of the migration sending countries to balance migration flow and return with local and international skills needs;
- component 3: building capacity to negotiate and manage rights-based labour migration schemes, including agreements on social protection;
- component 4: building capacity to govern labour migration, by enacting relevant legislation and engaging social partners.

One of the main outcomes of Specific Objective 2 of the project is to ‘Design a proposal for a system for the validation of informal learning,<sup>1</sup> suitable for Ukraine and in line with OECD and EU guidelines in the field’.

The validation of informal learning is part of the legislative framework<sup>2</sup> in Ukraine and will be used, primarily, to assess and confirm the updating and training needs of employees in what are described as ‘worker occupations’. However, the validation of informal learning also has an important role to play in the process of managed migration. Ukrainian citizens migrating to other countries may have developed a range of skills, outside of formal Vocational Education and Training (VET), but will have no proof or evidence that

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1. The project document uses the term ‘prior learning’. The terms commonly used in the EU, are ‘non formal and informal learning’. The Ministry of Social Policy in Ukraine uses the term ‘informal learning’ – which will be used in this document.

2. Law on Employment of Population No. 5067–VI as of July 5, 2012.

they possess such skills. Equally, Ukrainian citizens who have migrated to other countries may develop skills during their employment which will not be recognised on their return. Consequently, a process for the validation and recognition of informal learning will have considerable value.

Even if Ukrainian citizens possess vocational qualifications, these will be of little value internationally, except in countries where bilateral agreement on the recognition of qualifications exist. In the EU states, no agreements are in place with Ukraine.

When considering the realities of managed migration, three broad levels of skill and qualification requirements can be identified:

- low or unskilled workers, usually employed to meet seasonal demands, often in the agricultural sector;
- skilled workers who are employed either to meet seasonal demands – for instance in the tourism sector – or to fill skills gaps in the host labour market;
- highly skilled professionals employed to fill skills gaps in the host labour market.

For the first group, low or unskilled workers, there is little or no need for qualification recognition as the work demands are of a low skill level and the basic tasks, like crop harvesting and fruit picking can be easily learned. In many host countries there are well managed systems for recruitment, basic induction training and employment for this category of migrant workers.

For highly skilled professions – those with higher level, degree based qualifications – international recognition of qualifications is critical and is facilitated by such instruments as the components of the Bologna process, existing international recognition agreements and associated international professional bodies and institutions. Such groups would not normally be covered by the scope of this project.

For skilled workers, those with vocational qualifications, mutual recognition of qualifications is also important. Employers in host countries need to be confident that vocational qualifications held by migrants satisfy two clear conditions:

- that they represent the outcomes in terms of activities, skill, tasks, work standards and working processes that are required by employers;
- that the processes involved in obtaining the qualification are both valid and reliable – i.e. the qualification is an accurate reflection of the competence of the individual.

At present, these conditions do not exist in the Ukrainian VET system, although proposed reforms could lead, in the medium term, to qualifications and associated certification, which do meet such conditions or criteria.

One option for Ukraine is to develop an interim system of certification, based on the stated requirements of employment and assessed using valid and reliable processes. This certificate would contain sufficient detail for a host employer to be clear about the specific activities and roles undertaken by the individual and increase the confidence in the employer that the individual had the required level and breadth of competence.

The purpose of this document is to propose the development of such a system of certification to meet three related needs:

- to provide evidence of competence for unqualified persons wishing to migrate to other countries – based on informal learning;
- to provide evidence of competence for qualified persons wishing to migrate to other countries – acting as a ‘competence based’ supplement to their existing vocational qualifications;
- to provide an assessment service for returning citizens who have developed skills and competence, informally, in their host country.

To achieve these needs, the remainder of this proposal describes the development of a ‘control document’ which will form the basis of the assessment and certification of occupational competence and a process for the validation of informal learning.



## The Starting Point – Occupational Profiles

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International developments in vocational education and training systems since the mid 1980s have seen a clear trend towards what is known as ‘competence based’ approaches, designed to make the outputs of vocational training programmes more relevant to the needs of employment. This approach is based on a clear identification of the needs of employment, an analysis which is led by the social partners, and which is usually based on two internationally recognised methodologies – DACUM and Functional Analysis.<sup>3</sup> Both of these methods result in documents which are called ‘occupational standards’ which are grouped together to form ‘occupational profiles’ (the precise description differs in different countries and languages).

Typically, an occupational profile will be the equivalent of a recognised occupation (e.g. restaurant waiter, cook, tour arranger, hotel receptionist, marketing manager) which is analysed into a number of statements which describe what a person needs to do and how well they need to do it, plus a list of the essential knowledge and understanding which underpins successful performance. These statements are the occupational standards.

Occupational standards (or their local variants) are now used in all EU countries as the foundation for VET programmes and a number of additional human resource applications. Their importance for the establishment of systems for the validation of informal learning is illustrated by the following extract:<sup>4</sup>

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3. DACUM (**D**eveloping **A** **C**urricul**U**M) is a method of analysing jobs and occupations that results in the production of a DACUM chart listing the duties, tasks, and related information about a job. The chart provides a foundation for developing a curriculum and instructional materials. DACUM was developed by the Ohio State University. See: <http://www.dacumohiostate.com/>.

Functional Analysis is a methodology developed in the UK which identifies broad ‘work roles’ rather than specific tasks and jobs. The resulting analysis provides statements which are used to develop occupational standards. It is described in detail in ‘Towards a Competent Workforce’, Bob Mansfield and Lindsay Mitchell, Gower, 1996.

4. European guidelines for validating non-formal and informal learning. CEDEFOP, 2009, p. 32.

Validation of non-formal and informal learning is inconceivable without a clearly defined and agreed reference point ... standards. Occupational standards are classifications and definitions of the main jobs that people do. Following the logic of employment, these standards will focus on what people need to do, how they will do it, and how well they do it. They have to be written as competences and formulated in terms of outcomes. They exist in all European countries but each nation has its own style of derivation and presentation of the standards. Occupational standards form a bridge between the labour market and education because educational standards (syllabuses and pedagogies) can be developed from them.

Put simply, occupational standards operate as a 'control document' for the validation of non-formal and informal learning.

As part of this project, fifteen occupational profiles have been developed and are available as working materials and can also be used as 'templates' for the development of additional profiles. The full list of profiles is shown in Annex 1. The occupational profiles have been selected by a Working Group representing employers and specialists in the construction and tourism sectors, drawing on existing standards and profiles developed in a number of different countries.

The 15 occupational profiles contain a group of standards, each of which represents a distinct work activity or responsibility. The content of each standard comprises a list of criteria for successful performance (performance criteria), the scope of the standard (the range statements) and the essential underpinning knowledge and understanding. An extract from an occupational profile, showing the list of 12 standards and one of the 12 standards in detail, is shown in Annex 2.

In their final form, each standard will also contain an assessment specification which will describe how and by what methods the standard should be assessed, and a learning module which will describe a learning programme, should one be required to develop the necessary skills and knowledge. These two components, the assessment specification and the learning module need to be developed locally, based on the resources, methods, procedures and processes which are available. The final package – the standard, the assessment specification and the learning module will act as the full 'control document'.

A paper describing the development of assessment specifications is attached as Annex 3.

# Validation of Informal Learning

## – Principles and Process

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The European guidelines on the validation of informal learning are, in summary form, some 28 complex items.<sup>5</sup> This proposal takes a slightly simplified approach, based on two key **principles** and a common **process**.

The two key **principles** underpinning all European and most international practice in the validation of informal learning are those of **transparency** and **separation**.

**Transparency** means that systems are ‘open’ and subject to quality assurance, assessed against independent standards and criteria, thereby giving confidence to all stakeholders.

The principle of **separation** means that the processes of setting occupational standards, developing learning programmes, validation through assessment processes and certification are clearly separated – i.e. formal certification/validation can be obtained independently of the ‘route’ taken. Specifically, there is no requirement to undertake mandatory training programmes if existing competence can be demonstrated.

The **processes** involved in the validation of informal learning are, essentially, the same across the EU, and follow this pattern:

1. Counselling and advice – to identify the feasibility of individual objectives, the resources available and an explanation of the process and likely outcomes;
2. Initial assessment against relevant occupational standards (which, if the individual is fully competent can lead immediately to formal certification), but more often ...;
3. The identification of ‘gaps’ between current competence and the standards;
4. Developing and agreeing a learning plan to meet the requirements;
5. Implementing and monitoring the learning plan through advice, further counselling and formative assessment;

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5. See: European guidelines for validating non-formal and informal learning, Chapter 9, ‘Summary of Principles and Guidelines’. CEDEFOP, 2009.

6. Agreeing with the candidate when they are likely to have reached a level of full competence;
7. Final assessment against the standard, for which the possible results are YES (fully meets requirements) or NOT YET (in which case stages three to six are repeated);
8. Formal certification.

The table below describes how the occupational profiles contribute to each of the processes described above – thereby acting as the control document.

The process involved in the validation of non-formal and informal learning	The role of occupational standards
1. Counselling and advice – to identify the feasibility of individual objectives, the resources available and an explanation of the process and likely outcomes.	Candidates can use the standards as a self assessment template to identify, with the support of a counsellor, areas of competence in which they have relevant experience and qualifications which may not be officially recognised. This allows more effective referral for professional assessment.
2. Initial assessment against relevant occupational standards (which, if the individual is fully competent can lead immediately to formal certification).	The formal assessment specification is now used to identify, how, and how well people perform. Each standard contains precise success criteria which are open and transparent. This process needs to be supported by professional assessors, competent in the occupation and in the process of assessment.
3. The identification of ‘gaps’ between current competence and the standards.	The structure of the occupational profile and the individual standards allows precise targeting of gaps in competence, revealed by either a complete lack of previous experience or unsuccessful performance against the assessment specification.
4. Developing and agreeing a learning plan to meet the requirements.	The learning module for each standard can then be activated to implement an individual learning plan for the candidate.
5. Implementing and monitoring the plan through advice, further counselling and formative assessment.	The occupational standard and the assessment specification are used to check progress and provide a format for interim (‘formative’) assessment.
6. Agreeing with the candidate when they are likely to have reached a level of full competence.	The occupational standard and the assessment specification are used by the assessor and candidate to agree the point at which a final (‘summative’) assessment is likely to be successful – thus avoiding resources being used for unsuccessful attempts.
7. Final assessment against the standard, for which the possible results are YES (fully meets requirements) or NOT YET (in which case stages three to six are repeated).	Finally, a formal assessment is made, using the assessment specification. If performance ‘gaps’ are still evident, the candidate is re-directed to further training.

The process involved in the validation of non-formal and informal learning	The role of occupational standards
8. Formal certification.	Formal certification will follow local procedures and practices. However, a summary of the individual standards which have been successfully achieved can be used as a 'Statement of Competence' which may be used as a valid form of certification when endorsed by a credible authority. Examples of Certificates are shown in Annexes 4 and 5. Annex 4 shows a full Certificate – i.e. the candidate has achieved all the standards in the occupational profile. Annex 5 shows a 'partial' Certificate – the candidate has achieved some, but not all the standards.



## Roles, Responsibilities and Quality Assurance

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The most coherent institutional arrangement is to have one body which carries out all the functions and processes described above. In the UK, such a body is called an ‘assessment centre’. An assessment centre is usually sector specific (i.e. focused on an occupational area like construction, business administration, tourism) and can be attached to many different organisations – e.g. a college of Further Education (similar to a VET school), an employers’ association, a specialist agency etc. However, this is not common across the EU. More often, roles and responsibilities are split amongst different agencies.

What is critical is that roles and responsibilities for each process are clearly defined and that a robust quality assurance system is in place to ensure the validity, accuracy and credibility of the process. Key roles, ‘ownership’ and institutional responsibilities are as follows:

Process/Control Document	Roles, ‘ownership’ and responsibilities
The definition of occupational competence	Provided by the occupational profile, the occupational standards and the assessment specification, developed by sector bodies, normally ‘led’ by employers together with social partners and advice from key stakeholders (appropriate Ministries, educational bodies etc.)
The learning module	Various options: may be part of the overall profile – i.e. issued together with the occupational standard, or may be developed by national or local educational institutions.
Counselling and advice	Can be delivered by assessment centres, educational institutions, employment agencies (state or private) or specialist agencies.
Assessment	Conducted by trained and qualified assessors, who are also competent in the occupational area. Can take place in educational institutions, employers’ premises or specialist assessment centres.
Quality assurance of the assessment process	Normally involves a two stage process. First, a direct check on assessment decisions made by individual assessors within the assessment centre – known as ‘internal verification’. Second, a check on the management of the process in the assessment centre from an external assessor from the body responsible for overall quality assurance – known as ‘external verification’.
Provision of learning opportunities	Various options: educational institutions, employers’ premises (workplace learning), specialist training centres.

Process/Control Document	Roles, 'ownership' and responsibilities
Certification	The institution responsible for issuing certificates and quality assurance of the process may be a Ministry, a government agency, an employers' association – or a consortium of any or all of the above.
Quality assurance of the overall process	This involves the quality criteria applied for the approvals necessary to set up an assessment centre and regular external verification to ensure that the criteria continue to be met. Normally vested with a Ministry or government agency.

## Options for Ukraine

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Ukraine possesses some but not all of the control documents and institutions which need to be mobilised to create an effective process for the validation of informal learning. First the positive features:

- there is a well distributed and efficient State Employment Service which is an important point of first contact for citizens seeking advice and guidance on employment matters;
- employers' associations and trade union associations are active and willing to participate in the development of employment led standards and, in the Tourism sector, the employers' association is intending to develop an assessment centre;
- occupational standards, consistent with the format and structure of standards in the EU have been developed by a number of organisations and agencies (e.g. the SKM/BEST initiative and work undertaken with ETF on hotel and catering standards) and there is active interest in the approach and available materials from the Institute of Vocational–Technical Education of the National Academy of Sciences of Ukraine;
- fifteen occupational profiles have been developed within the ILO project which can be used immediately and can also serve as templates for the development of additional standards;
- 'job descriptions' in State Employment Centres have been identified which would be suitable, in the short term, as first drafts of occupational profiles and standards, subject to employer endorsement. However, the usable materials need to be extracted from the extremely detailed documents in order to isolate the clear outcomes which could be used as the titles for occupational standards;
- there is high quality and well resourced VET provision and a start has been made on the development of a cadre of assessors and verifiers.

There are, however, some negative features:

- there is a very limited number of occupational standards which follow the EU format and content;
- there is no tradition of independent certification of occupational competence, apart from the systems administered by the Ministry of Education through state educational institutions – consequently there is no separation between the processes of learning and assessment;

- such vocational certificates which are awarded (i.e. Diplomas) have no currency in the EU;
- current arrangements for assessment lack transparency and are delivered through a complex process of theoretical and practical testing embedded within a formal learning programme and quality assured by an examinations commission in each VET institution;
- social partners report that their engagement with VET policy and practice remains limited.

The following table takes into account the positive and negative features outlined above and represents the key roles, ‘ownership’ and institutional responsibilities, with options suitable for the Ukrainian context.

Process/Control Document	Roles, ‘ownership’ and responsibilities – options in the Ukrainian context
<b>The definition of occupational competence</b>	As noted above, occupational profiles and standards, consistent with the format and structure of standards in the EU have been developed by a number of organisations and agencies and there is active interest and potential technical support from members of the Institute of Vocational–Technical Education of the National Academy of Sciences of Ukraine;
	Fifteen occupational profiles have been developed within the ILO project which can be used immediately and can also serve as templates for the development of additional standards and have identified ‘job descriptions’ in State Employment Centres which would be suitable, in the short term, as first drafts of occupational profiles and standards, subject to employer endorsement and to the extraction of suitable statements of ‘outcomes’.
<b>The learning module</b>	As previously pointed out, learning modules will need to be developed locally, based on the resources, methods, procedures and processes which are available. However, one of the project partners, the Highest Commercial School of Kyiv National Trade University, has developed and used modular training programmes with the support of international EU experts. This modular approach could be used where appropriate and become a template for further development of learning modules.
	The Institute of Vocational–Technical Education of the National Academy of Sciences of Ukraine also has considerable experience in the development of modular training systems.
<b>Counselling and advice</b>	The State Employment Service (SES) is in the best position to deliver this function. The Service has well-placed regional offices and staff are already competent in advisory services. The SES would provide an extremely useful entry point to the accreditation system, using the standards as a broad guide to referrals. Some training may be required but some SES staff have already attended the training seminar on assessment organised by the project and will be aware of the challenges and opportunities.

Process/Control Document	Roles, 'ownership' and responsibilities – options in the Ukrainian context
<b>Assessment</b>	<p>For the validation process to have credibility, assessment will need to be conducted by trained and qualified assessors, who are also competent in the occupational area. A training programme on assessment has already been held to develop a cadre of potential assessors, but further assessors would need to be identified and trained.</p> <p>Standards for assessors are being developed by the Institute for Labour Relations, which is part of the Ministry of Social Policy. It is recommended that any such developments are based on the occupational profiles and standards for assessors and verifiers which have already been provided and which are attached at Annex 6.</p> <p>The most important issue is the establishment of assessment centres. The Ministry of Social Policy has made proposals which would involve employers and their associations taking a leading role in the formation of assessment centres. This is a complex matter and Annex 7 outlines the key issues to be resolved.</p>
<b>Quality assurance of the assessment process</b>	<p>The Ministry of Social Policy's proposals for the procedure for the validation of informal learning include a formation of a 'Commission' in each assessment centre, referred to as the 'State Commission for Occupational Qualification Confirmation'.</p> <p>As already suggested in feedback to the Ministry, the Commission would be best placed to act as the internal verification body, providing quality assurance for the Assessment Centre.</p> <p>The Commission would sample assessments undertaken by assessors and judge them against the criteria of validity and reliability – advised by a trained and qualified Internal Verifier. The Commission would also report to any national body responsible for overall quality assurance.</p>
<b>Provision of learning opportunities</b>	<p>The Highest Commercial School of Kyiv National Trade University would be in a position to offer learning opportunities as would the Institute of Vocational/Technical Education of the National Academy of Sciences of Ukraine and the University of Tourism. Additional providers would need to be identified for each sector. Further research is required to make specific recommendations.</p>
<b>Certification</b>	<p>As already noted, existing diplomas are not recognised in the EU, so this guide proposes a form of certification which has credibility with potential employers in countries targeted for migration. In this sense, such a certificate should speak 'employer to employer' in a straightforward language. A model for certification is shown in Annexes 4 and 5.</p> <p>The important question is who will endorse the certificate. In our view it is essential that employer organisations are the main route for endorsement – but this requires their full engagement at every stage in the process. They must endorse the standards and profiles in the first instance and be closely involved in the assessment centre – even to the extent of running the centre.</p>
<b>Quality assurance of the overall process</b>	<p>It is essential that an authoritative national body oversees both the process and the outcomes of this process. One of the main gatekeepers to the system could be the Ministry of Social Policy, fulfilling this important role.</p>

These roles and a representation of the whole process are shown in Annex 8.



## ANNEX 1

# Occupational Profiles Developed

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Title of the Occupational Profile	Description from the Ukrainian Working Group
<b>Construction</b>	
Plasterer	Apply plaster finishes to horizontal and vertical surfaces
Installer of Drywall Constructions	Apply dry linings to horizontal and vertical surfaces
Concreter	Mix and form concrete structures
Carpenter	Manufacture and install wooden components into buildings
Plumber	Install, maintain and repair plumbing systems, equipment and components
Brick layer	Construct and maintain structures using bricks and blocks
Tiling	Prepare and install tiles on horizontal and vertical surfaces
<b>Tourism and catering</b>	
Travel Agent	Plan and arrange travel services for clients
Cook	Prepare, cook and finish a range of dishes
Waiter	Prepare the restaurant and serve food and drinks to customers
Receptionist	Process the arrival and departure of hotel guests
Doorman	Maintain the security of the premises and provide additional services for guests
Room cleaner	Clean rooms and public areas
<b>Agriculture</b>	
(Note: Agriculture was added at a later stage by agreement with the Steering Group so there is no original description from the Working Group):	
Plant, maintain and harvest crops manually	
Service and repair engines, power trains and braking systems on land-based equipment	



## ANNEX 2

# Occupational Profile for Manufacture and Install Wooden Components into Buildings

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This is an occupational profile for a joiner/carpenter working on a building site. The ‘site’ could be a large construction operation or installations in the premises of an individual customer or organisation. The standards in the profile are a combination of standards developed by:

- The Construction Industry Council (CIC) and the Construction Sector Standards Council of the UK;
- The Scottish Qualifications Authority;
- Standards developed by the National Skills Standards Project (NSSP) in Egypt.

The standards have been benchmarked against existing standards developed by CIC, and the construction sectors in the UK, Italy and Egypt.

The profile contains nine standards:

- J1: Prepare the working area, assemble, secure and dismantle access equipment
- J2: Select and prepare materials, tools and equipment
- J3: Manufacture wooden components using machine and hand tools
- J4: Install structural components
- J5: Install frames, linings, windows and doors
- J6: Install internal mouldings and fittings
- J7: Apply protective finishes to wooden structures and components
- J8: Maintain and repair wooden structures and components
- J9: Contribute to the organisation of the workplace

In addition, there are three ‘overarching standards’ which describe the ‘non-technical’ aspects of the work role:

- 01. Establish and maintain effective relationships with customers when working on customers’ premises
- 02. Maintain the health, safety and hygiene of the working environment
- 03. Maintain effective relationships with colleagues and co-workers

## **Standard J1: Prepare the Working Area, Assemble, Secure and Dismantle Access Equipment**

### Performance criteria:

1. identify and remove **hazards and potential hazards** that might obstruct the working processes and harm other workers and the public;
2. identify and report hazards and potential hazards that are not your responsibility to the person responsible for site safety;
3. erect and secure barriers and warning notices so that they are clearly visible to persons visiting the site;
4. set up and accurately calibrate portable **equipment and machinery**;
5. erect and secure **access equipment**, check for safety and adjust as necessary;
6. safely dismantle access equipment after use and store securely.

### Range statements:

1. **Hazards and potential hazards:** trip hazards, unsecured materials and components, chemicals and other dangerous materials;
2. **Equipment and machinery:** woodworking machinery, spraying equipment, generators, heaters, lighting equipment;
3. **Access equipment:** ladders and steps, frame scaffolding, scaffolding components, trestles, hoists and pulleys.

### Knowledge and understanding:

1. The types of hazards that may be found on sites, their levels of seriousness and recommended methods for eliminating them;
2. The person(s) on the site responsible for site safety and the reporting procedures;
3. Manufacturer's specifications for the setting up and calibration of portable equipment and machinery;
4. The types of access equipment available, how to choose the most suitable access methods and the manufacturer's specifications for erection, securing and dismantling;
5. Local, national and international regulations for working safely at heights.

## ANNEX 3

# The Development of Assessment Specifications

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The assessment of competence involves collecting evidence which is judged against the requirements of the occupational standard – the performance criteria, the range and the knowledge required.

An Assessment Specification is developed by the standard setting body for each occupational standard within an occupational profile. It is designed to help assessors and candidates develop a plan for the collection of evidence by specifying:

- the **type** of evidence needed to demonstrate competence;
- the **amount** of evidence required;
- the **methods** of evidence collection which may be used.

## Type of Evidence

There are two types of evidence – performance evidence and knowledge evidence. Performance evidence takes two forms – the examination of products produced by the candidate (**what** has been done) and the observation of process (**how** things are done). If performance evidence is available from the candidate's place of work it is called 'direct performance evidence'. If it comes from a simulated environment it is called 'indirect performance evidence'.

In different occupations the balance between product and process evidence will vary quite considerably. For example, a carpenter will be largely judged on the quality of products produced – product evidence – whereas a hotel receptionist will be largely judged on work processes, how customers are treated etc.

Direct performance evidence is the most valid and authentic because it comes from a real work environment so it should be the first source of evidence to be considered. However, not all candidates will have access to a real work environment so assessment centres may need to provide realistic simulations of work activities to enable assessment to take place.

Knowledge evidence may often be apparent from the performance evidence. For example, if a person is observed to be lifting objects in a safe manner, it is safe to assume that they know ‘The use of correct and safe lifting and handling techniques’ – no separate knowledge test is required. However, if knowledge is not obvious or apparent, then separate knowledge testing will be required.

## The Amount of Evidence Required

Some standard setting bodies also indicate the **amount** of evidence required. Stating the amount of evidence is designed to check that a competent performance can be repeated – i.e. it is not an accident. There are, however, some problems in stating specific amounts of evidence – these are:

- over specifying performance evidence – particularly in instances where a product or process could only be realistically achieved by a competent person. For example, it is not necessary to see more than one example of a correctly fitted heating boiler – only a fully competent plumber could install one;
- requiring a specific number for each observation or product. In some assessment systems, three observations or products are required – but in many cases more would be required to cover variations, or less as in the first example;
- over specifying knowledge evidence – it is only necessary to specify what the candidate **needs** to know – not what is **nice or possible** to know.

## Methods of Evidence Collection

There are different methods available for the collection of direct performance evidence, indirect performance evidence and knowledge evidence.

- **Direct Performance Evidence**
  - Examination of products produced at work
  - Observation of real work activity
- **Indirect Performance Evidence**
  - Examination of products produced from simulated work activity
  - Observation of simulated work activity
  - Multi-dimensional simulations or case studies (projects and assignments)
- **Knowledge Evidence**
  - Oral questioning
  - ‘Multiple choice’ written answers
  - ‘Open’ written answers

The collection and assessment of indirect performance evidence and knowledge evidence is normally organised within the assessment centre by the assessor. However, the collection of direct performance evidence does not necessarily involve the assessor in person. Evidence can be collected by audio or video recordings, photographs of products and reports by persons who have direct access to the work of the candidate – these reports are called ‘witness testimony’. What is essential is that the evidence collected is authentic – i.e. it can be demonstrated that it is entirely the work of the candidate.

## Developing the Assessment Specification

An Assessment Specification needs to be developed for each occupational standard within the occupational profile. However, it is worth noting that evidence collected for one standard may also provide evidence for other standards within the overall occupational profile. This can apply to any part of the occupational standard (performance criteria, range, knowledge) where the requirements in other standards within the profile are the same.

For example, the occupational profile for a carpenter has nine ‘technical’ standards. Five of the standards describe the activity of ‘measuring and marking out materials’ with the following identical range statement:

**Measure and mark out** (using): tape measures, squares and other geometrical instruments, spirit levels

The five standards also have this identical knowledge requirement:

Methods and techniques for measuring and marking out

In this instance it would only be necessary to see the results of measuring and marking out using the different measuring devices in one or two examples to be confident that the candidate is competent. It would not be necessary to repeat the examination or observation for each of the remaining standards. In addition, if the candidate demonstrates their competence in measuring and marking out across the range, it would not be necessary to separately assess the knowledge requirement.

ALL the requirements of the occupational standard must be covered. The real issue is the balance between the types of evidence. Evidence of one type only – e.g. all observation, or all examination of products, or all knowledge – will be either inadequate, or add little value, or both.

There are strong advantages in reducing the amount of repetition in documents which are aimed at users. Research evidence tells us that the more frequently things are repeated, the more people ignore reading them! For this reason it is often recommended that, in final publications, the knowledge requirements are presented at the occupational profile level.

## Observation Checklists

Accompanying the Assessment Specification for each standard is an Observation Checklist for the assessor to record what has been observed. The checklist covers the performance criteria, the range and the knowledge (questions asked, and answers given) during the observation.

One observation of the candidate may provide evidence for more than one standard within the occupational profile. Where this is the case, further observation checklists will need to be completed by the assessor.

The remainder of this Annex shows an example Assessment Specification and an example Observation Checklist for the standard ‘J1: Prepare the working area, assemble, secure and dismantle access equipment’ from the occupational profile, manufacture and install wooden components into buildings’.

## Occupational Profile: Manufacture and Install Wooden Components into Buildings

**Standard J1: Prepare the working area, assemble, secure and dismantle access equipment**

### *Example Assessment Specification*

Candidates must show that they have:

- identified and removed hazards and potential hazards;
- reported on hazards;
- erected and secured barriers and warning notices;
- set up and calibrated portable equipment and machinery;
- erected, secured, dismantled and stored access equipment.

Direct performance evidence will be needed to cover all the performance criteria and should also cover at least:

1 Item from the Range – Hazards and potential hazards

1 Item from the Range – Equipment and machinery

1 Item from the Range – Access equipment

In the absence of direct performance evidence from real workplaces, a realistic simulation is acceptable, but the equipment and materials must be real and conform to current industry specifications and standards. The simulation must be endorsed as realistic by the Commission.

Other evidence (see examples provided below) will need to cover the remaining items of the Range Statements. Knowledge which is not evident from performance evidence must be assessed using questioning which may be oral, written or using visual aids. The following are examples of evidence, (a) to (s), which can be collected to demonstrate competence for this standard.

### ***Direct Performance Evidence***

- a) Observation by your assessor of you at work;
- b) Copies of your internal communications about hazards and potential hazards;

### ***Indirect Performance Evidence***

- c) Witness testimonies of hazards and potential hazards that you have identified and removed;
- d) Witness testimonies of hazards and potential hazards that you have reported;
- e) Witness testimonies of barriers and warning notices that you have erected and secured;
- f) Photographs or video clips (endorsed by your supervisor) of hazards and potential hazards that you have identified and removed;
- g) Photographs or video clips (endorsed by your supervisor) of barriers and warning notices that you have erected and secured;
- h) Witness testimonies confirming that you have set up and calibrated equipment and machinery;
- i) Witness testimonies confirming that you have erected and secured access equipment;
- j) Witness testimonies confirming that you have dismantled and stored access equipment;
- k) A case history which describes a specific occasion when you identified hazards and potential hazards and what action you took;
- l) A case history which describes a specific occasion when you erected barriers and warning notices;
- m) A case history which describes a specific occasion when you set up equipment and machinery;
- n) A case history which describes a specific occasion when you erected access equipment;
- o) A case history which describes a specific occasion when you dismantled and stored access equipment;
- p) Personal statements describing how you dealt with different hazards and potential hazards and how these problems were overcome;
- q) Personal statements describing how you dealt with different equipment and machinery;
- r) Personal statements describing how you dealt with different access equipment;

### **Knowledge Evidence**

- s) Answers to questions given to you by your assessor;

When an appropriate list of methods have been selected, they can be used as a recording format, as in the example below where the evidence selected from the list a) to s) above, is:

### **Direct Performance Evidence**

- a) Observation by your assessor of you at work;
- b) Copies of your internal communications about hazards and potential hazards;

### **Indirect Performance Evidence**

- c) Witness testimonies of hazards and potential hazards that you have identified and removed;
- d) Witness testimonies of hazards and potential hazards that you have reported;
- h) Witness testimonies confirming that you have set up and calibrated equipment and machinery;

### **Knowledge Evidence**

- s) Answers to questions given to you by your assessor.

This can now be presented as a table to record assessment.

### Standard J1: Prepare the working area, assemble, secure and dismantle access equipment

Name of Candidate: \_\_\_\_\_ Name of Assessor(s): \_\_\_\_\_

Assessment Centre: \_\_\_\_\_

Direct Performance Evidence	PC	Range	Knowledge
(a) Observation by your assessor of you at work	3, 4, 5, 6	Range 2: woodworking machinery, spraying equipment, generators  Range 3: All	3
(b) Copies of your internal communications about hazards and potential hazards	1, 2	Range 1: unsecured materials and components	
<b>Indirect Performance Evidence</b>			
(c) Witness testimonies of hazards and potential hazards that you have identified and removed	1, Yes, from previous employer	Range 1: trip hazards	1 (part)
(d) Witness testimonies of hazards and potential hazards that you have reported	2, Yes, from previous employer	Range 1: chemicals and other dangerous materials	1 (part)
(h) Witness testimonies confirming that you have set up and calibrated equipment and machinery	4, Yes, from previous employer	Range 2: heaters, lighting equipment	
<b>Knowledge Evidence</b>			
(s) Answers to questions given to you by your assessor			See completed observation checklist for remaining knowledge items
<b>Example Observation Checklist for the occupational profile: Manufacture and Install Wooden Components into Buildings</b>			
Candidate's Name			
Assessor's Name			
Major Function: Manufacture and Install wooden components into buildings	Standard: J1. Prepare the working area, assemble, secure and dismantle access equipment		
Date and length of Observation			
Observation Context			

Criteria Observed	Yes	No	Comments
1. Identify and remove hazards & potential hazards that might obstruct the working processes and harm other workers and the public			
2. Identify and report hazards & potential hazards that are not your responsibility to the person responsible for site safety			
3. Erect and secure barriers and warning notices so that they are clearly visible to persons visiting the site			
4. Set up and accurately calibrate portable equipment and machinery			
5. Erect and secure access equipment, check for safety and adjust as necessary			
6. Safely dismantle access equipment after use and store securely			

Range Observed		Y/N	Comments
1. Hazards and Potential Hazards	• trip hazards		
	• chemicals and other dangerous materials		
2. Equipment & Machinery	• woodworking machinery		
	• spraying equipment		
	• generators		
	• heaters		
	• lighting equipment		
3. Access Equipment	• ladders and steps		
	• frame scaffolding		
	• scaffolding components		
	• trestles		
	• hoists and pulleys		

**Other standards within the profile observed during this Observation**

Technical Standard Reference: J1 J2 J3 J4 J5 J6 J7 J8 J9

Overarching Standard Reference: O1 O2 O3

*Circle the other standards observed*

### **Knowledge and Understanding**

1. The types of hazards that may be found on sites, their levels of seriousness and recommended methods for eliminating them;
2. The person on the site responsible for site safety and the reporting procedures;
3. Manufacturers' specifications for the setting up and calibration of portable equipment and machinery;
4. The types of access equipment available, how to choose the most suitable access methods and the manufacturers' specifications for erection, securing and dismantling;
5. Local, national and international regulations for working safely at heights.

#### Knowledge Questions Asked on this Observation

K/U Ref	Questions	Answers	The candidate's answers were	
			Satisfactory	Unsatisfactory

The candidate's underpinning knowledge was:	Satisfactory	Unsatisfactory
Feedback to candidate:		
Assessor's Signature		Date:
Candidate's Signature		Date:
Internal Verifier's Signature (if sampled)		Date:
External Verifier's Signature (if sampled)		Date:

## ANNEX 4

# Full Certificate

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## Certificate of Occupational Competence

This is to Certify that:

NAME

Has been assessed at the xxxxxxxx Assessment Centre against the occupational profile:

**Manufacture and install wooden components into buildings.**

The profile is endorsed by *(enter appropriate employer association or sector body)*.

The full profile contains 12 standards.

Assessment was conducted by trained and qualified assessors.

The Candidate has been assessed as competent in the following standards:

1. Prepare the working area, assemble, secure and dismantle access equipment;
2. Select and prepare materials, tools and equipment;
3. Manufacture wooden components using machine and hand tools;
4. Install structural components;
5. Install frames, linings, windows and doors;
6. Install internal mouldings and fittings;
7. Apply protective finishes to wooden structures and components;
8. Maintain and repair wooden structures and components;
9. Contribute to the organisation of the workplace;
10. Establish and maintain effective relationships with customers when working on customers' premises;
11. Maintain the health, safety and hygiene of the working environment;
12. Maintain effective relationships with colleagues and co-workers.

*Signatures of Commission*



## ANNEX 5

# Partial Certificate

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## Certificate of Occupational Competence

This is to Certify that:

NAME

Has been assessed at the xxxxxxx Assessment Centre against the Occupational Profile:

**Manufacture and install wooden components into buildings.**

The profile is endorsed by *(enter appropriate employer association or sector body)*.

The full profile contains 12 standards.

Assessment was conducted by trained and qualified assessors.

The Candidate has been assessed as competent in the following standards:

1. Select and prepare materials, tools and equipment;
2. Install structural components;
3. Install frames, linings, windows and doors;
4. Install internal mouldings and fittings;
5. Apply protective finishes to wooden structures and components;
6. Maintain and repair wooden structures and components;
7. Contribute to the organisation of the workplace;
8. Establish and maintain effective relationships with customers when working on customers' premises;
9. Maintain the health, safety and hygiene of the working environment;
10. Maintain effective relationships with colleagues and co-workers.

*Signatures of Commission*



## ANNEX 6

# Occupational Profiles for Assessors and Verifiers

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## Occupational Profile A: Assess the Competence of Candidates

This function is part of a wider profile which covers the process of assessment and verification. The complete profile covers three Major Functions:

**Occupational Profile A: Assess the Competence of Candidates**

Occupational Profile B: Internally Verify the Assessment Process

Occupational Profile C: Externally Verify the Assessment Process

Each Major Function has a number of individual standards. In this Major Function there are four standards:

**Standard A1: Agree and review a plan for assessing the performance of candidates**

Standard A2: Collect and judge performance evidence against the criteria

Standard A3: Collect and judge knowledge evidence

Standard A4: Make an assessment decision and provide feedback to candidates

Each standard contains three components:

**Performance Criteria** which describe what and how well the person needs to perform to demonstrate competence.

**Range Statements** which describe the different variations and contexts. These are referenced by bold text in the performance criteria.

**Evidence Requirements** which describe how a person can demonstrate that they are competent.

For each Major Function there is also a knowledge specification which describes the knowledge and understanding which, together with the individual performance criteria in each standard, is required to demonstrate competence.

Knowledge evidence may be apparent from the collection of performance evidence – for example, if an assessor is being observed, it may be apparent that they are able to ‘involve different candidates in developing and agreeing assessment plans to meet their needs’ (see item 4 below). In such cases it is not necessary to separately collect knowledge evidence.

However, where knowledge evidence is not apparent from the collection of performance evidence, or where additional evidence is needed to cover the whole of the Range, separate methods will be needed to collect sufficient knowledge evidence. In such cases, ‘Standard A3: Collect and judge knowledge evidence’ can be used as a format for collecting the evidence.

The knowledge specification for this Major Function is listed below:

1. what occupational standards are and how to assess accurately and reliably against them;
2. what evidence requirements are and how to identify relevant evidence from what is available;
3. why it is important to collect evidence across the specified range, and ways of doing this;
4. ways of involving different candidates in developing and agreeing assessment plans to meet their needs;
5. why it is important to make an accurate judgement against all the relevant criteria in a standard;
6. why it is important to make an accurate judgement against only the criteria specified;
7. types of difficulty which may occur in making accurate and reliable judgements of evidence;
8. ways of checking the validity and authenticity of evidence;
9. what naturally occurring evidence is and why it is important for assessment purposes;
10. different methods for collecting performance evidence and how to select the most appropriate method;
11. how to collect evidence by observation unobtrusively;
12. the role of knowledge in assessment, what the knowledge evidence requirements are, and how to identify relevant knowledge evidence from available performance evidence;
13. what the available sources of knowledge evidence are and how to use them;
14. how to judge knowledge evidence accurately and reliably;
15. how to frame, adapt and ask questions which will provide relevant and valid evidence whilst maintaining the candidate’s confidence;
16. common difficulties that may arise in collecting and assessing knowledge evidence;
17. when and how to use simulations, tests and questions, and from whom to seek advice when they are required;
18. ways of encouraging candidates with differing levels of confidence and experience to take an active part in their assessment;
19. how to encourage candidates to ask questions and seek advice;
20. the likely needs of different candidates needs and how to support and encourage candidates in accessing accurate and reliable assessment;

21. how to give constructive feedback to candidates according to the nature of the decision taken;
22. how to adapt feedback to differing levels of confidence and experience in candidates;
23. different types of advice and how to offer it constructively and in ways that allow candidates choice;
24. how to meet candidate's needs for access to fair and reliable assessment and how to recognise and eliminate unfair discrimination;
25. what types of special assessment requirements there are, ways of providing for them, and who to approach for advice;
26. how to record and process assessment decisions;
27. what the requirements of the verification process are.

### **Standard A1: Agree and review a plan for assessing the performance of candidates**

#### Performance Criteria:

1. **assessment opportunities** are identified which are directly relevant to the standards to be assessed;
2. the best use is made of naturally occurring **evidence** and related questioning;
3. **assessment opportunities** are selected which minimise disruption to normal work activity;
4. simulations are used where naturally occurring evidence is not available, and are designed to be as valid as is practical;
5. the proposed assessment plan is discussed and agreed with the candidate and others who may be affected;
6. the assessment plan specifies:
  - the specific standards,
  - the types of **evidence** to be collected,
  - the assessment methods,
  - the timing of assessments and
  - the arrangements for reviewing progress against the plan;
7. assessment plans are reviewed and updated at agreed times to reflect the candidate's progress.

#### Range Statements:

1. **Evidence:** Type: Performance evidence; knowledge evidence  
From: Examination of products; observations of process; responses to questions
2. **Assessment opportunities:** Naturally occurring; simulations and tests; for candidates with special assessment requirements

#### Evidence Requirements:

One assessment plan for one candidate covering at least three standards. The plan should be assessed by examining it (or a copy of it).

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## Standard A2: Collect and judge performance evidence against the criteria

### Performance Criteria:

1. **candidates** are given appropriate advice and encouragement to help them collect **evidence**;
2. only the performance criteria specified for the standard are used to judge the **evidence**;
3. **evidence** is judged accurately against all the relevant performance criteria;
4. the **evidence** is valid and authentic;
5. simulations and tests are administered correctly;
6. the assessor is as unobtrusive as is practicable whilst observing the **candidate**;
7. **evidence** is judged accurately and reliably;
8. difficulties in judging **evidence** accurately and reliably are referred promptly to a person responsible for quality assurance;
9. **candidates** are given clear and constructive feedback and advice following the assessment.

### Range Statements:

1. **Candidates:** Experienced in presenting evidence; inexperienced in presenting evidence; candidates with special assessment requirements;
2. **Evidence from:** Examination of products; observations of process.

### Evidence Requirements:

- A Records of judgements of performance against at least three standards. Each judgement must be made against all the relevant performance criteria in the standard;
- B Observation by a person responsible for quality assurance of the way the assessor:
  - collects evidence;
  - makes the judgements and;
  - provides feedback.

### **Standard A3: Collect and judge knowledge evidence**

#### Performance Criteria:

1. where performance evidence also provides **evidence of knowledge** relevant to the standard, this is identified and recorded accurately;
2. **evidence of knowledge** is collected from **candidates** when performance evidence does not fully cover the specified range;
3. valid **methods** are used to collect knowledge evidence;
4. when questions are used, they are clear and do not lead **candidates**;
5. the knowledge evidence conforms with the content of the knowledge specification and is judged accurately and reliably;
6. difficulties in judging evidence accurately and reliably are referred promptly to a person responsible for quality assurance;
7. **candidates** are given clear and constructive feedback and advice following the assessment.

#### Range Statements:

1. **Evidence of knowledge/knowledge evidence from:** Examination of product(s); observation(s) of process; responses to questions;
2. **Candidates:** Experienced in presenting evidence; inexperienced in presenting evidence; candidates with special assessment requirements;
3. **Methods:** Oral; written; preset questions; questions developed by the assessor.

#### Evidence Requirements:

- A Records of oral and written questions devised by the assessor for at least one candidate, covering knowledge evidence for at least three standards;
- B Observation by a person responsible for quality assurance of the way the assessor collects and judges knowledge evidence relevant to at least three standards, and provides feedback.

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**Standard A4: Make an assessment decision and provide feedback to candidates**

## Performance Criteria:

1. the assessment decision is based on all the relevant performance and knowledge evidence available;
2. **candidates** are informed about their achievement when the combined **evidence** is **sufficient** to cover the range, the performance criteria and the evidence specification;
3. when evidence is insufficient, the candidate is given a clear explanation and appropriate advice;
4. feedback to **candidates** following the decision is clear, constructive, meets the candidate's needs and is appropriate to their level of confidence;
5. **candidates** are encouraged to ask for clarification and advice;
6. evidence and assessment decisions are recorded to meet verification requirements;
7. **records** are legible and accurate, are stored securely and are passed on to the next stage of the recording process promptly.

## Range Statements:

1. **Candidates:** Experienced in presenting evidence; inexperienced in presenting evidence; candidates with special assessment requirements;
2. **Evidence from:** Examination of products; observations of process; responses to questions;
3. **Sufficiency of evidence:** Sufficient to make the decision; insufficient to make the decision;
4. **Records of:** Assessment decisions; evidence.

## Evidence Requirements:

- A Records of assessment evidence and decisions for one candidate covering at least three standards;
- B Observation by a person responsible for quality assurance of the way the assessor-candidate gives feedback to one candidate.

## Occupational Profile B: Internally Verify the Assessment Process

This profile is part of a wider profile which covers the process of assessment and verification. The wider profile covers three occupational profiles:

Occupational Profile A: Assess the Competence of Candidates

**Occupational Profile B: Internally Verify the Assessment Process**

Occupational Profile C: Externally Verify the Assessment Process

Each occupational profile has a number of individual standards. In this occupational profile there are three standards:

Standard B1: Advise and support assessors

**Standard B2: Maintain and monitor arrangements for processing assessment information**

Standard B3: Verify assessment practice

Each standard contains three components:

**Performance Criteria** which describe what and how well the person needs to perform to demonstrate competence.

**Range Statements** which describe the different variations and contexts. These are referenced by bold text in the performance criteria.

**Evidence Requirements** which describe how a person can demonstrate that they are competent.

For each occupational profile there is also a knowledge specification which describes the knowledge and understanding which, together with the individual performance criteria in each standard, is required to demonstrate competence. The knowledge specification for this occupational profile is listed below:

1. the different types of information which need to be processed for assessment and certification;
2. what the requirements are for assessment, quality assurance and information, and how to implement them within the assessment centre;
3. types of candidates' records and the information they must contain;
4. potential problems with confidential information and how to avoid them;
5. who has rights of access to confidential information;
6. what the roles and responsibilities of assessors are and the criteria for practising as an assessor;
7. ways of monitoring assessment practice and sampling assessment decisions;
8. the standards for assessment and how these can be used to help assessors clarify their development needs;
9. how to judge the accuracy and fairness of assessments against the requirements of the standards;
10. how to provide constructive and clear feedback to assessors;

11. sources of training advice and provision relevant to assessors' needs;
12. different types and sources of performance and knowledge evidence, how to use them to make valid and fair judgements, and where and how potential difficulties may occur in collecting and judging evidence;
13. why consistency in assessment to occupational standards is important and ways of providing support to enable assessors to achieve consistency;
14. what types of special assessment requirements there are, sources of advice and ways of meeting the needs of candidates with special assessment requirements;
15. how to refer disputes and appeals about assessments, and who to refer to in the national system;
16. how to make recommendations clearly to assessment centre managers;
17. actions which may be needed to maintain quality of assessment nationally and how internal verifiers' recommendations fit into the overall system.

## Standard B1: Advise and support assessors

### Performance Criteria:

1. **assessors** are provided with complete and up-to-date documentation, records and guidelines;
2. assessors are given accurate **advice** and **support** to enable them to identify and meet their training and development needs;
3. accurate advice is provided about the appropriate and efficient use of different types of **evidence**;
4. assessors are offered help with arrangements for candidates with special assessment requirements;
5. descriptions of assessor responsibilities are clear and match the needs of candidates and assessors;
6. accurate, up to date advice and relevant support is provided to achieve **consistency in assessments**.

### Range Statements:

1. **Assessors:** Experienced; inexperienced;
2. **Advice:** Responses to assessors' requests; advice that anticipates assessors' needs; actual information; interpretation of guidelines/policy;
3. **Assessor support:** Direct support; indirect support;
4. **Evidence:** Natural performance; simulations; projects and assignments; questioning; candidate and peer reports; candidate's prior achievement and learning;
5. **Consistency in assessments:** One assessor over time; different assessors judging the same standard(s).

### Evidence Requirements:

1. A specification of arrangements to provide advice and support to all assessors for whom the internal verification candidate is responsible, including an allocation plan and associated records;
2. The way advice or support is given to two assessors who have differing experience of assessment. One of the issues on which advice or support is given must relate to policy regarding the collection and judgement of evidence.

**Standard B2: Maintain and monitor arrangements for processing assessment information**

## Performance Criteria:

1. arrangements for monitoring candidate records and processing **information** meet quality assurance requirements and are sufficient to assure quality;
2. candidate records are complete, legible and accurate;
3. candidate records provide accurate and up-to date information on the monitoring of candidates progress and the judgements and assessment decisions made;
4. information is stored securely and disclosed only to those who have a right to it.

## Range Statements:

1. **Information processes:** For recording candidate information: for making submissions for the award of certificates.

## Evidence Requirements:

1. Procedures for monitoring records and processing information;
2. Records in relation to three candidates.

### Standard B3: Verify assessment practice

#### Performance Criteria:

1. the eligibility of individuals to practice as assessors is checked against quality assurance criteria and the regulations of the organisation responsible for quality assurance;
2. **assessment practice** and **quality assurance arrangements** are monitored by valid sampling to check that they meet quality assurance requirements;
3. assessors are given clear and constructive feedback;
4. judgements of evidence and assessment decisions are sampled regularly against the standards to check their fairness and accuracy;
5. documentation is complete, accurate and up to date;
6. assessment centre managers are given clear explanations for the need for improvements in assessment practice;
7. disputes and appeals are referred to the appropriate authority;
8. **recommendations** for action to maintain the quality of assessment are presented clearly and promptly to the external verifier.

#### Range Statements:

1. **Assessment practices:** Criteria and requirements for evidence collection, assessment and internal verification; provision of access to fair and reliable assessment; production and maintenance of records; timely processing of assessment decisions;
2. **Quality assurance arrangements for:** Authenticity, reliability, sufficiency, consistency;
3. **Recommendations:** Assessment methods; occupational standards.

#### Evidence Requirements:

1. The conduct of internal verification in relation to three assessment decisions;
2. Records resulting from monitoring the assessment practices.

## Occupational Profile C: Externally Verify the Assessment Process

This occupational profile is part of a wider profile which covers the process of assessment and verification. The wider profile covers three occupational profiles:

Occupational Profile A: Assess the Competence of Candidates

Occupational Profile B: Internally Verify the Assessment Process

**Occupational Profile C: Externally Verify the Assessment Process**

Each occupational profile has a number of individual standards. In this occupational profile there are three standards:

Standard C1: Provide information, advisory and support services to assessment centres

Standard C2: Verify assessment practice and assessment centre procedures

Standard C3: Maintain records of visits and provide feedback to the awarding body

Each standard contains three components:

**Performance Criteria** which describe what and how well the person needs to perform to demonstrate competence.

**Range Statements** which describe the different variations and contexts. These are referenced by bold text in the performance criteria.

**Evidence Requirements** which describe how a person can demonstrate that they are competent.

For each occupational profile there is also a knowledge specification which describes the knowledge and understanding which, together with the individual performance criteria in each standard, is required to demonstrate competence. The knowledge specification for this occupational profile is listed below:

1. what differences there are between types of centre, and what implications these have for the operation of the centres and for external verification;
2. what the quality assurance requirements and criteria are and how to adapt them to different assessment needs;
3. different types and sources of performance and knowledge evidence, how to use them to make valid and fair judgements, and where and how potential difficulties may occur in collecting and judging evidence;
4. how to identify centres' needs for information, advice and support in meeting quality assurance requirements and criteria;
5. ways of providing advice and support to centres in order to maintain effective relationships;
6. different methods of communicating with centres and how to use them efficiently;
7. the importance of giving accurate advice about the centre's training and development needs;
8. what national and local sources of advice and support on training and on special assessment needs are available;

9. what fairness and unfair discrimination assessment is, how to meet candidates' needs for access to fair and reliable assessment, and how to recognise and eliminate unfair discrimination;
10. how to construct a valid, cost-effective representative sample of assessments;
11. potential departures from requirements and disputes which may arise, ways of informing centres and how to resolve problems;
12. how to judge the accuracy and fairness of assessments against the standards;
13. the importance of validity and consistency of assessments for certification, problems that can arise and how to resolve them;
14. types of concerns which may arise in different types of centres about the design and implementation of assessment processes and practice, and ways of resolving them;
15. types of concerns which may arise about the specification and interpretation of standards, and the discretion the external verifier has to act.

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**Standard C1: Provide information, advisory and support services to assessment centres****Performance Criteria:**

1. information provided about quality assurance requirements and procedures is accurate, complete and up to date;
2. **centres** are given accurate advice and relevant support and encouragement to implement appropriate planning, resourcing, quality assurance and recording arrangements;
3. centres are given accurate advice and appropriate support to enable them to meet the needs of candidates with special assessment requirements;
4. centres are given accurate **information and advice** to identify and plan the training and development needs of their staff;
5. answers to requests for advice from centres are made promptly and are based on valid and justifiable interpretations of awarding body guidance and criteria;
6. communication with centres is conducted in a way that maintains effective relationships in the assessment process.

**Range Statements:**

1. **Centres:** Employers; education/training/assessment organisations;
2. **Information and advice on:** Types of evidence; assessment practice; quality assurance requirements; the occupational standards/profiles; equality of access and the elimination of unfair discrimination.

**Evidence Requirements:**

1. A report by the external verification candidate, and supporting evidence from centres on how information, advice and support was provided to each of two centres, and how the quality of the information, advice and support was assured;
2. Records of information, advice and support given to two centres.

## **Standard C2: Verify assessment practice and assessment centre procedures**

### Performance Criteria:

1. the verification plan provides for a representative sample of assessments and makes effective use of resources in meeting verification requirements;
2. **assessment practice** and procedures are sampled to meet **quality assurance requirements**;
3. the quality and consistency of assessors' **judgements** is verified;
4. when good practice is identified, centres are given positive feedback and are encouraged to maintain the quality of their practice;
5. centres are accurately and promptly informed of any departure from quality assurance requirements;
6. checks are made that assessors and internal verifiers meet the standards for assessment and verification and the criteria and requirements for these roles;
7. where problems are identified, action is taken to achieve valid and consistent assessment;
8. disputes regarding assessment are resolved equitably.

### Range Statements:

1. **Assessment practices:** Evidence collection, assessment and internal verification; provision of access to fair and reliable assessment; production and maintenance of records; timely processing of assessment decisions;
2. **Quality assurance requirements for:** Management systems; centre resources; candidate support; candidate assessment; internal verification; records.
3. **Judgements of evidence from:** Natural performance; simulations; projects and assignments; questioning; candidate and peer reports; candidate's prior achievement and learning.

### Evidence Requirements:

A verification plan and records of contacts in respect of each of two centres.

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**Standard C3: Maintain records of visits and provide feedback to the organisation which issues certificates****Performance Criteria:**

1. verification records are accurate and identify the frequency and purpose of visits;
2. accurate **reports** of **centre** visits and advisory activities are sent regularly to the organisation which issues certificates;
3. reports describe accurately whether centres meet **quality assurance criteria**;
4. concerns about the design and implementation of assessment are brought promptly to the attention of the organisation which issues certificates;
5. concerns about the specification and interpretation of standards are reported clearly and promptly to the organisation which issues certificates;
6. centres and awarding bodies are given clear recommendations for improvements to **assessment practices**;
7. good practice identified is reported clearly and accurately to the organisation which issues certificates.

**Range Statements:**

1. **Reports:** Oral; written; routine; causes for concern; local issues; national issues; the national standards;
2. **Centres:** Employers; education/training/assessment organisations;
3. **Quality assurance criteria for:** Management systems; centre resources; candidate support; candidate assessment; internal verification; records;
4. **Assessment practices:** Evidence collection, assessment and internal verification; provision of access to fair and reliable assessment; production and maintenance of records; timely processing of assessment decisions.

**Evidence Requirements:**

Verification records and visit reports for each of two centres, covering all the criteria required by the organisation which issues certificates (see Range 3).



## ANNEX 7

# The Development of Assessment Centres

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In setting up an Assessment Centre, the body with overall responsibility for quality assurance will need to set clear criteria to enable sponsoring organisations to be clear about the structures and systems they will need to put in place. These criteria will apply to the initial establishment of the Centre and the continuing quality assurance processes. The following criteria and main activities will need to be specified:

- Management systems
- Centre resources
- Candidate support
- Candidate assessment
- Internal verification
- Records
- Review

These are elaborated in detail below.

### **Management systems**

- The centre's aims and policies in relation to national policy for the verification of prior learning are supported by senior management and understood by the assessment team;
- The centre has an open access and fair assessment policy which is understood and complied with by candidates and assessors;
- The roles, responsibilities, authorities and accountabilities of the assessment and verification team across all assessment sites are clearly defined, allocated and understood;
- Internal verification procedures and activities are clearly documented, consistent with national requirements and ensure the quality and consistency of assessment;

- There is effective communication within the assessment team and with the body responsible for quality assurance.

#### **Centre resources**

- Resource needs are accurately identified in relation to the specific occupational profiles offered and resources are made available;
- Equipment and accommodation used for the purposes of assessment comply with the current industry standards and meet the requirements of relevant health and safety acts;
- There are sufficient, competent and qualified assessors and internal verifiers to meet the demand for assessment and verification activity;
- A staff development programme is established for the assessment and verification team in line with identified needs;
- Assessors and verifiers have sufficient time, resources and authority to perform their roles and responsibilities effectively;
- The body responsible for quality assurance is notified of any changes which may affect the centre's ability to meet the centre criteria.

#### **Candidate support**

- Information, advice and guidance about the occupational profile, assessment procedures and practices are provided to candidates and potential candidates;
- Candidates' development needs are matched against the requirements of the occupational profile and an agreed individual assessment plan is established;
- Candidates have regular opportunities to review their progress and goals and to revise their assessment plan accordingly;
- Particular assessment requirements of candidates are identified and met where possible;
- There is an established appeals procedure which is documented and made available to all candidates.

#### **Candidate assessment**

- Access to assessment is encouraged through the use of a range of valid assessment methods;
- Queries about the occupational profile, associated standards and assessment guidance are resolved and recorded;
- Assessment is conducted by qualified and occupationally competent staff;
- Assessment decisions and practices are regularly sampled and findings are acted upon to ensure consistency and fairness;
- Partial certification of individual standards is made available to candidates.

**Internal verification**

- The proposed methods and frequency of verification meet the requirements of the body responsible for quality assurance;
- Internal verification is conducted by appropriately qualified and competent staff;
- Improvements which have resulted from verification are clearly identified and used to improve future practice.

**Records**

- Candidate records<sup>6</sup> and details of achievements are accurate, kept up to date, securely stored in line with quality assurance requirements, and are available for external verification and auditing;
- Records of internal verification activity are maintained in line with quality assurance requirements and made available for the purposes of auditing;
- Information for the purposes of registration and certification supplied to the body responsible for quality assurance is complete and accurate;
- Information and recording systems enable candidates' achievements to be monitored and reviewed in relation to the centre's equal opportunities policy.

**Review**

- The effectiveness of the internal verification strategy is reviewed against national requirements and corrective measures are implemented;
- Candidate, employer and other feedback is used to evaluate the quality and effectiveness of certification provision against the centre's stated aims and policies, leading to continuous improvement;
- The centre's achievements are monitored and reviewed and used to inform future centre developmental activity;
- Requests are complied with for access to premises, records, information, candidates and staff for the purpose of external verification;
- Actions identified by external verification visits are disseminated to appropriate staff and corrective measures are implemented.

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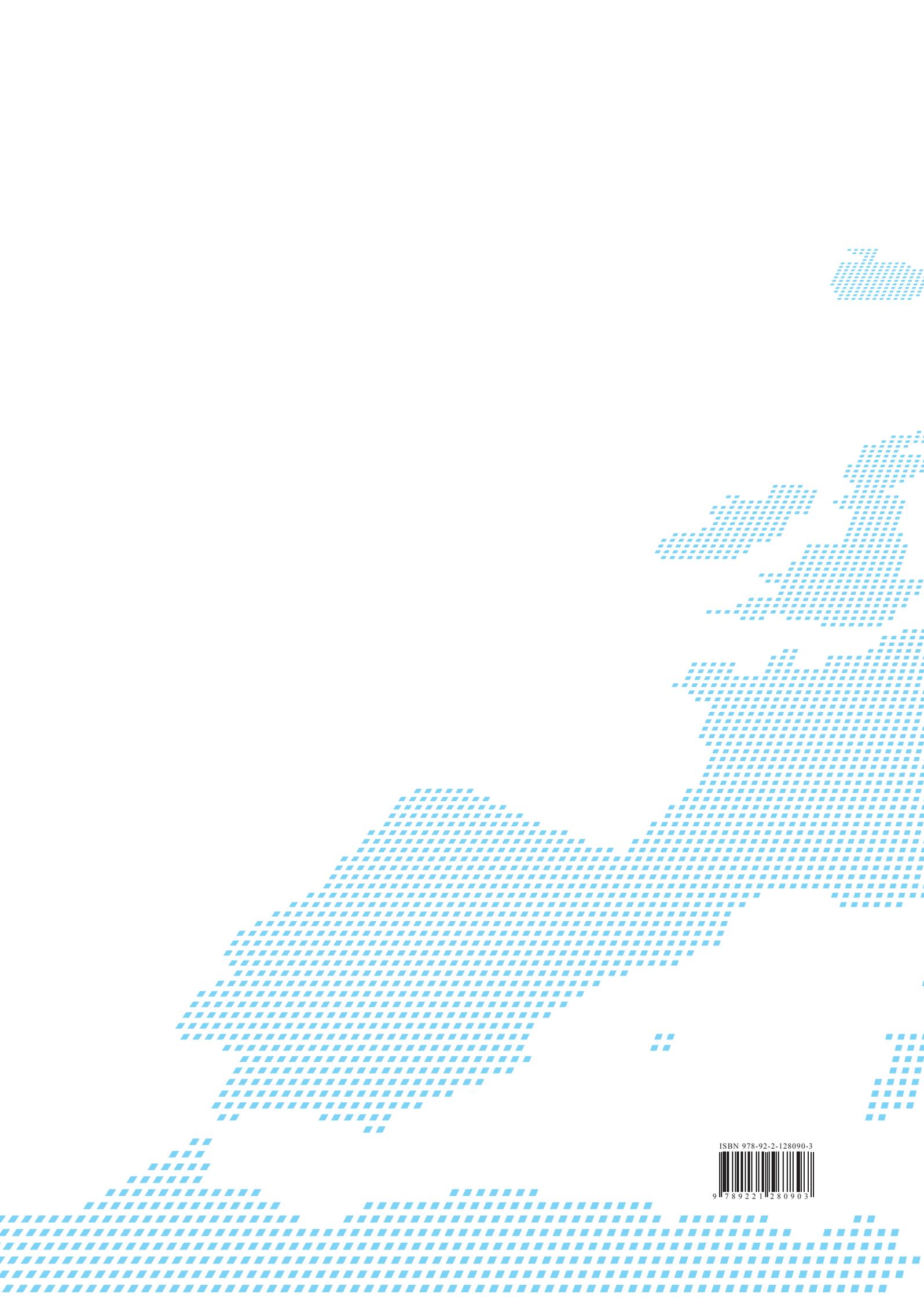
6. A 'Portfolio' is the term used to describe the complete set of evidence which has been collated. Judgements about competence are based on the contents of the portfolio. A portfolio will contain a number of different documents, including observation checklists completed by the assessor. As assessment experience and expertise develops, portfolios are not always in written form alone – they can include audio and video tapes and electronic capture. What is essential is that the evidence so recorded is authentic – i.e. it can be demonstrated that it is entirely the work of the candidate.











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