

Advice and Guidance

Centre Handbook

OCR Level 3 NVQ Certificate in Advice and Guidance

Entry code 10384

OCR Level 4 NVQ Diploma in Advice and Guidance

Entry code 10385

Issued September 2017

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1 Introduction

The information provided in this handbook is correct at the time of production. Occasionally we may update this information. Please refer to the qualification [webpages](#) for the most up-to-date information.

This handbook contains what you need to know about the planning, delivery and assessment of these qualifications. Staff involved in the delivery of these qualifications must have access to and understand the requirements in this handbook.

OCR entry code	Title	Qualification Number
10184	OCR Level 3 NVQ Certificate in Advice and Guidance	501/2154/6
10185	OCR Level 4 NVQ Diploma in Advice and Guidance	501/1901/1

To access information on how to administer these qualifications please follow the link to the Administration area <http://www.ocr.org.uk/administration/>.

You should ensure candidates are informed of the title and level of the qualification they have been entered for and that Oxford Cambridge and RSA Examinations (OCR) is the awarding body for their chosen qualification.

1.1 The OCR Advice and Guidance suite of qualifications

The OCR Advice and Guidance suite of qualifications provides candidates with high quality, nationally recognised qualifications. They are vocationally-related, credit-based qualifications that relates to national occupational standards (NOS) and provide valuable opportunities for individuals to develop skills, gain underpinning knowledge and understanding and demonstrate competence in the workplace and provide opportunities for progression to further qualifications both vocational and course based.

2 General information

2.1 Qualification profile

Title	OCR Level 3 NVQ Certificate in Advice and Guidance			
OCR code	10184			
Qualification number (QN)	501/2154/6			
Level	Level 3			
Qualification structure	To achieve this qualification, candidates must complete a total of 21 credits; 12 from mandatory units and 9 from optional units.			
Age group approved	Pre-16	16-18	18+	19+
		✓		✓
This qualification is suitable for candidates	<ul style="list-style-type: none"> • whose work includes clear guidelines in the practice of advice and guidance • who are working in designated advice and/or guidance organisations • whose role is to provide information that is often interpreted by others. 			
Entry requirements	There are no formal entry requirements for this qualification.			
Assessment	<p>This qualification is pass/fail.</p> <p>This qualification is internally assessed by centre staff and externally verified by OCR Assessors.</p>			
Performance figures	<p>You'll find information on:</p> <ul style="list-style-type: none"> • performance tables for England on the Department for Education website • performance points for Northern Ireland on the Department of Education website • performance measures for Wales on Qualifications in Wales database (QiW). If you have any queries about the performance information then please email ims@wales.gsi.gov.uk. 			
Last entry date	<p>This is the operational end date for the qualification.</p> <p>We will notify you before the qualification closes for entries and this information will be available on Ofqual's register of regulated qualifications and our last entry/certification notification</p>			

Title	OCR Level 4 NVQ Diploma in Advice and Guidance			
OCR code	10185			
Qualification number (QN)	501/1901/1			
Level	Level 4			
Qualification structure	To achieve this qualification, candidates must complete a total of 37 credits; 17 from mandatory units and 20 from optional units.			
Age group approved	Pre-16	16-18	18+	19+
			✓	✓
This qualification is suitable for candidates	<ul style="list-style-type: none"> • who have managerial or training responsibilities • who are creators of information, advice and guidance within the service/practice • who are dynamic in their dealings with organisations. 			
Entry requirements	There are no formal entry requirements for this qualification.			
Assessment	<p>This qualification is pass/fail.</p> <p>This qualification is internally assessed by centre staff and externally verified by OCR Assessors.</p>			
Last entry date	<p>This is the operational end date for the qualification.</p> <p>We will notify you before the qualification closes for entries and this information will be available on Ofqual's register of regulated qualifications and our last entry/certification notification</p>			

2.2 Target market

These qualifications are suitable for those who undertake advice and guidance activities working directly with clients, disseminating information, advice and guidance. Candidates will be working with information that is often interpreted by others, usually working within some clear guidelines.

2.3 Qualification aims

OCR Level 3 NVQ Certificate in Advice and Guidance

The OCR Level 3 NVQ Certificate in Advice and Guidance has been designed to reflect the work of practitioners who undertake activities at Level 3 working directly with clients, disseminating information, advice, and some level of guidance. Candidates will be working with information that is often interpreted by others, usually working within some clear guidelines.

OCR Level 4 NVQ Diploma in Advice and Guidance

The OCR Level 4 NVQ Diploma in Advice and Guidance has been designed to reflect the work of experienced practitioners who work directly with clients, disseminating information, advice, guidance and formal advocacy at Level 4. Candidates might also have some managerial or training responsibilities. They could also be creators of information, advice and guidance, either disseminating information themselves as practitioners or through their organisation in the form of publications. Candidates at this level are expected to have a more dynamic relationship with other organisations. It supports the recognised need that individuals and employers must be responsible for gaining the skills needed to meet ever changing objectives which will in turn lead to improvements in efficiency and effectiveness throughout the organisation and with clients.

2.4 Entry requirements

There are no formal requirements for entry to these qualifications.

OCR Level 3 NVQ Certificate in Advice and Guidance is regulated for learners aged 16 years and over.

OCR Level 4 NVQ Diploma in Advice and Guidance is regulated for learners aged 18 years and over.

These qualifications are available to anyone who is capable of reaching the required standards. They have been developed free from any barriers that restrict access or progression thereby promoting equal opportunities.

All centre staff involved in the assessment or delivery of these qualifications should understand the requirements of the qualifications and match them to the needs and capabilities of individual candidates before entering them as candidates for one of these qualifications.

2.5 Unique Learner Number (ULN)

This is a personal ten-digit number, which is used to ensure learner achievement information can be provided to their Personal Learning Record (PLR). ULNs are provided and administered by the Learning Records Service (LRS).

Learners over the age of 14 in UK education or training can access the PLR using their ULN.

Learners keep the same ULN to access their PLR throughout their lives and whatever their level of learning.

Candidates that claim certification for publically funded qualifications must have a valid ULN.

Where a candidate has a ULN, you must enter their ten digit number in the ULN field when making entries via Interchange. For candidates who do not have a ULN, a claim will still be accepted if you leave this field blank, but OCR will not be able to send these achievements to the PLR.

Further information about this can be found in the [Administration area](#) and at the [Learner Records Service](#)

2.6 Progression opportunities

These qualifications have been designed to encourage progression and allow for progression to and from OCR's existing Advice and Guidance provision. It is directly relevant to the needs of employers and relates to National Occupational Standards (NOS) in Advice and Guidance. Candidates may also progress into OCR's Careers Guidance and LDSS provision.

2.7 Wider issues

These qualifications provide potential for centres to develop candidates' understanding of spiritual, moral, ethical, social and cultural issues and heighten candidates' awareness of environmental issues, health and safety considerations and European developments.

Spiritual, moral, ethical, social and cultural issues

Centre staff delivering a course that supports these qualifications would have opportunities to address spiritual, moral, ethical, social and cultural issues.

Environmental issues, health and safety considerations and European developments

Centre staff delivering a course that supports these qualifications may have opportunities to address environmental issues, health and safety considerations and European developments depending on the method of delivery/choice of teaching materials.

2.8 Guided learning hours

Guided learning hours indicate the approximate time (in hours) the tutor will spend supervising or directing study time and assessment.

OCR Level 3 NVQ Certificate in Advice and Guidance minimum 132 GLH

OCR Level 4 NVQ Diploma in Advice and Guidance minimum 213 GLH

2.9 Funding

Funding arrangements can be subject to change. For the latest details about approval and funding eligibility, we recommend you visit the following websites:

[Register of Regulated Qualifications](#) – Ofqual’s register of regulated qualifications

Department for Education (DfE) [Section 96](#) – for confirmation of the approval of qualifications to be delivered to specific age ranges

[Education and Skills Funding Agency](#) for funding education and training for children, young people and adults in England

[Department for the Economy](#) for public funding in Northern Ireland

[Qualifications in Wales](#) database (QiW) for public funding in Wales

Use the Ofqual Qualification Number (QN) when you’re looking for information on qualification eligibility for public funding.

If you have any queries about funding for these qualifications email us at funding@ocr.org.uk.

2.10 Mode of delivery

OCR does not specify the mode of study or a time limit for the achievement of these qualifications other than the last entry/last certification dates. OCR will notify you before the qualification closes for entries and this information will be available on Ofqual’s register of regulated qualifications and our Last entry/certification notification.

Centres are free to deliver these qualifications using any mode of delivery that meets the needs of their candidates. Whatever mode of delivery is used, centres must ensure that candidates have appropriate access to the resources identified below.

Centres should consider the candidates’ complete learning experience when designing learning programmes.

It is particularly important in relation to candidates studying part time alongside real work commitments where candidates may bring with them a wealth of experience that should be utilised to maximum effect by centre staff.

2.11 Resources

OCR strongly advises that teaching and development of subject content and associated skills be referenced to real vocational situations, through the utilisation of appropriate work-based contact, vocationally experienced delivery personnel, and real life case studies.

Candidates should be encouraged to read around the subject and have an appropriate knowledge of the application of the appropriate legislation (e.g. Health and Safety).

In addition, each unit will contain guidance on the types of evidence that may be used to meet the assessment criteria. Staff conducting assessment must understand fully the requirements of these qualifications. Centres should ensure that appropriate physical resources are made available to candidates.

Centres will need to meet the above requirements when they seek centre approval from OCR.

2.12 Delivery in Wales and Northern Ireland

Candidates in Wales and Northern Ireland should not be disadvantaged by terms, legislation or aspects of government that are different from those in England. Where such situations might occur, we have used neutral terms so candidates may apply whatever is appropriate to their own situation.

We will provide handbooks, assessments and supporting documentation in English. Only answers provided in English will be assessed.

2.13 Access arrangements and special consideration

There can be adjustments to standard assessment arrangements on the basis of the individual needs of candidates.

It is important, therefore, that centres identify as early as possible whether candidates have disabilities or particular difficulties that will put them at a disadvantage in the assessment situation and select an appropriate qualification or adjustment that will allow them to demonstrate attainment.

The responsibility for providing adjustments to assessment is shared between the centre and OCR. Please read the JCQ booklet *Access Arrangements and Reasonable Adjustments at www.jcq.org.uk*.

For further guidance on access arrangements and special consideration refer to the Exams Officers area of the [OCR website](http://www.ocr.org.uk).

If the tutor/assessor thinks any aspect of this qualification unfairly restricts access and progression, please email or call the OCR Customer Contact Centre.

2.14 Reporting suspected malpractice

It is the responsibility of the Head of Centre¹ to report all cases of suspected malpractice involving centre staff or candidates. A JCQ Report of Suspected Malpractice form (JCQ/M1 for candidate suspected malpractice or JCQ/M2a for staff suspected malpractice) is available to download from the [JCQ website](#) and should be completed as soon as possible and emailed to malpractice@ocr.org.uk.

When asked to do so by OCR, Heads of Centres are required to investigate instances of malpractice promptly and report the outcomes to OCR.

Further information regarding reporting and investigating suspected malpractice and the possible sanctions and penalties which could be imposed, is contained in the JCQ publication: *General and Vocational Qualifications – Suspected Malpractice in Examinations and Assessments*; this is available from the [JCQ website](#). Centres may also like to refer to the [OCR Website](#) for more details.

¹ This is the most senior officer in the organisation, directly responsible for the delivery of OCR qualifications, e.g. the Head Teacher or Principal of a school/college. The Head of Centre accepts full responsibility for the correct administration and conduct of OCR exams

3 Assessment

3.1 Assessment: How it works

These qualifications are internally assessed by centre assessors and quality assured by internal quality assurance personnel and externally verified by OCR.

In order for candidates to be able to effectively progress towards meeting the requirements of each assessment criterion, tutors must make sure that the supporting knowledge, understanding and skills requirements for each criterion are fully addressed. The identified knowledge, understanding and skills in the unit are not exhaustive and may be expanded upon or tailored to particular contexts to which the unit is being taught and the assessment criteria applied.

We recommend that teaching and development of subject content and associated skills be referenced to real life situations, through the utilisation of appropriate work-based contact, vocationally experienced delivery personnel, and real life case situations.

When assessors are satisfied that the candidate has met all of the requirements for a unit, they must confirm this by signing an evidence record sheet for that unit to show that the assessment process is complete.

3.2 Assessment and the Data Protection Act

Centre assessors, who are responsible for assessing candidates' evidence for internally assessed units, must make sure that candidates know they must comply with the Data Protection Act when they are producing work for assessment. Candidates must not reference another individual's personal details in any evidence produced for assessment. It is the candidate's responsibility to make sure evidence that includes another individual's personal details is anonymised.

3.3 Initial assessment of candidates

It is important for centres to carry out some form of initial assessment that identifies what competence and knowledge a candidate already has and the gaps that they need to look at. This will help plan the assessment because it allows assessors to help candidates understand the best place to start collecting evidence. It will also identify units which candidates might have difficulty finishing.

See section 2.4 for information about entry requirements and prior learning and section 3.4 for Recognition of Prior Learning.

3.4 Recognition of prior learning (RPL)

Recognition of prior learning (RPL) is the process for recognising learning that never received formal recognition through a qualification or certification. This includes knowledge and skills gained in school, college or university and outside formal learning situations. Evidence can draw on any aspect of a candidate's prior experience including:

- domestic/family life
- education
- training
- work activities
- voluntary activities.

We encourage the use of RPL and your centre should advise learners that they can bring forward any relevant learning (gained either informally or formally) so that it can be assessed against the assessment criteria specified in the unit, or units, the learner aims to complete. It is important that your centre make it clear to learners that the RPL process is concerned with how the learner has acquired the knowledge, understanding or skills, it does not mean the learner is exempt from the assessment e.g. mandatory exams, practical/theory tests or assignments.

The currency of knowledge and ability is often important when recognising skills and competences. Where assessment is devolved to centres through assignments or portfolio-building, centre staff must judge the relevance of prior learning in all its aspects (including currency) to the qualification being assessed, before we will quality assure and authorise certification.

Evidence obtained through the RPL process must be assessed, to the same rigorous quality as evidence obtained through any other process.

3.5 Assessment planning

Assessors must take responsibility for assessment planning with candidates. This will involve agreeing a number of issues with candidates including:

- finding the best source of evidence to use for particular units
- finding the best way of assessing the candidate
- confirming the best times, dates and places for the assessments to take place.

Assessors must make a note of their assessment planning and regularly give feedback to candidates.

3.6 Making assessment decisions

It is not necessary for candidates to meet all the criteria every time they carry out an activity but **it is necessary that all candidates produce their own evidence to meet all assessment criteria.** They must consistently provide enough evidence for assessors to believe that the candidate is competent in their working environment.

In line with the Learning and Development standard A1, assessors should:

- plan with the candidates
- assess candidate performance, knowledge and understanding
- look at the evidence
- question and give feedback to the candidate working towards these qualifications.

They should also be satisfied that the candidate has demonstrated competence when meeting the assessment criteria.

All criteria must be completed before the assessor can sign the unit off as complete.

For information on how to administer these qualifications please follow the link to OCR's Administration area, <http://www.ocr.org.uk/administration/>.

3.7 Methods of assessment

It is the assessor's responsibility to agree the best method of assessing a candidate in relation to their individual circumstances. The methods agreed must be:

- valid
- reliable
- safe and manageable
- suitable to the needs of the candidate.

Valid

A valid assessment method is one that is capable of measuring the knowledge or skills in question. For example, a written test cannot measure a candidate's practical skills or their ability to work well with others.

Validity can also be compromised if a candidate does not understand what is required of them. For example, one valid method of assessing a candidate's knowledge and understanding is to question them. If the questions posed are difficult for the candidate to understand (not in terms of the content but the way they are phrased, for example), the validity of the assessment method is questionable.

As well as assessment methods being valid, the evidence presented must also be valid. For example, it would not be appropriate to present an organisation's policy document on legislation, codes of practice and ethnic requirements, as evidence towards Unit AG30. Learning Outcome 1 "**Understand legislation and codes of practice which impact on their role**" as it would not allow valid assessment of that criteria. It would be more appropriate for the candidate and assessor to have a discussion about the policy and for the candidate to explain how it is relevant, illustrated with examples of their compliance to the requirements. This discussion could then be assessed by the assessor and recorded as evidence.

Reliable

A reliable method of assessment will produce consistent results for different assessors on each assessment occasion. Internal verifiers must make sure that all assessors' decisions are consistent.

Safe and manageable

Assessors and internal verifiers must make sure that the assessment methods are safe and manageable and do not put unnecessary demands on the candidate and/or the organisation they work for.

Suitable to the needs of the candidate

OCR has tried to make sure that achievement of these qualifications are free from constraints outside the requirements of the candidate's job role.

For candidates who have access requirements please see section 2.14 of this handbook.

If centre staff think that any aspect of these qualifications unfairly restricts access and progression, they should talk to their OCR external verifier about this.

OCR in partnership with Lifelong Learning UK and other awarding bodies have identified the following main assessment methods which are suitable for these qualifications:

- **direct observation** of practice by a qualified assessor or by the expert witness for occupational specific units
- **examining the evidence** by an assessor
- **questioning** the candidate or witness by an assessor
- **inference of knowledge** from direct observation.

In some situations, the assessor can speak to the candidate to provide evidence of the candidate's performance and knowledge (see **Professional discussion**).

3.8 Examining the evidence

Only approved and qualified assessors (see [Assessor and internal verifier requirements](#)) may examine the evidence for the assessment of these qualifications.

Evidence can:

- reflect how the candidate carried out the process
- be the product of a candidate's work
- be a product relating to the candidate's competence.

For example:

The process that the candidate carries out could be recorded in an observation or witness testimony. It is the assessor's responsibility to make sure that the evidence a candidate submits for assessment meets the requirements of the qualification.

The product of a candidate's work could be letters to or from clients, or e-mail messages to or from colleagues. Products relating to a candidate's competence could be minutes of meetings or questionnaires returned from clients and other agencies.

Candidates must not reference another individual's personal details in any evidence produced for summative assessment. It is the candidate's responsibility to make sure evidence that includes another individual's personal details is anonymised to comply with the Data Protection Act.

After the assessor has examined the evidence, the assessor must record an assessment decision and the justification for the decision. The assessor should also give feedback to the candidate.

3.9 Observation

Only approved and qualified assessors (see [Assessor and internal verifier requirements](#)) may carry out observations for the assessment of these qualifications.

The assessor and candidate should plan observations together but it is the assessor's responsibility to record the observation properly.

After the observation has taken place, the assessor needs to record an assessment decision and the justification for the decision. The assessor should also give feedback to the candidate.

3.10 Questioning

Only approved and qualified assessors (see [Assessor and internal verifier requirements](#)) may question a candidate or witness for the assessment of these qualifications.

Questioning the candidate is normally an ongoing part of the assessment process, and is necessary to:

- test a candidate's knowledge of facts and procedures
- check if a candidate understands principles and theories *and*
- collect information on the type and purpose of the processes a candidate has gone through.

Assessors should ask open questions; that is questions where the candidate has to give an answer (other than 'yes' or 'no'). Assessors should also be careful to avoid complicated questions which may confuse the candidate.

It is important that assessors record assessment decisions after they have questioned the candidate. They must record enough information to justify the decisions they make. This does not mean that assessors must record, word for word, the questions put to the candidate and the answers the candidate gives. However, assessors must record enough information about what they asked and how the candidate replied to allow the assessment to be verified.

Questioning witnesses is normally an ongoing part of validating written witness statements. However, questioning witnesses should not just be used for this purpose. Assessors should be able to speak to witnesses and record, in whatever way is suitable, the verbal statements of these witnesses. A record of verbal statement is a form of witness statement and could provide valuable evidence to confirm a candidate's competence over a period of time.

3.11 Professional discussion

Professional discussion is a structured, planned and in depth discussion recorded by the assessor. It allows the candidate to present evidence of competence and to demonstrate skills, knowledge and understanding through discussing the evidence and showing how it meets the requirements of the qualification. The assessor should guide the discussion by using open questioning, active listening and knowledge of the standards.

3.12 Witness testimonies

Witness testimonies can be used as evidence of a candidate's performance. Such testimonies could be made verbally to the assessor or could be written in a short note.

If a witness provides a written statement they should include the following:

- the candidate's name
- the date, time and venue of the activity carried out
- a description of the activities performed by the candidate
- the date of writing the testimony
- a description of the witness' relationship to the candidate
- their signature and job title
- their contact details (such as telephone number).

It is not appropriate for witness testimonies to contain a list of the skills to which it relates. Witnesses must direct the information in their testimonies to describing what the candidate did. The assessor will then judge whether the candidate's activities demonstrate competence to the standards. It is not acceptable for candidates to produce written witness testimonies for witnesses to sign, to support a qualification they are working towards.

3.13 Personal statements

This is a candidate's own account of what they did, backed up by reference to evidence or witnesses. Candidates can also produce logs or diaries, reflective accounts, but someone who can authenticate them as a true account of what took place must countersign these.

3.14 Performance evidence

Performance evidence provides proof of what a candidate can do. Sometimes, performance evidence can also provide evidence of what a candidate knows. Performance evidence can take the form of the following:

- products or outcomes of the candidate's work (for example, things that the candidate produced or worked on). The evidence presented for assessment may be the actual product or a record of the product
- if group work is used as evidence, the candidate's contribution must be identified clearly. Other products (for example, company policies) may have been reproduced by someone else but relate to the candidate and their competence
- proof of the way the candidate carried out their work (that is, the process they went through). An assessor's observation of a candidate or a witness' testimony both provides performance evidence and would be suitable for these qualifications.

3.15 Where evidence comes from

Evidence may come from a number of different sources, for example:

- performance evidence may come from a candidate carrying out workplace activities
- knowledge evidence may come from a candidate carrying out workplace activities or from the candidate answering the assessor's questions.

3.16 Real work

The qualification(s) require(s) that a candidate's performance is to be assessed using evidence from the workplace, and that observation (if appropriate) should be of naturally occurring practice within the candidate's work role. This will include the demonstration of the application of knowledge.

3.17 Simulation

Simulation is not allowed. However, where access to assessment is jeopardised by this, guidance should be sought from OCR who will decide the issue.

3.18 Type of evidence

Evidence can take many forms, for example, written work, audio/visual recordings, digitally formatted documents, a product or photographs (of a product).

3.19 Amount of evidence needed

It is difficult to give detailed guidance regarding the amount of evidence needed as it depends on the type of evidence collected and the judgement of assessors.

For a candidate to be judged competent in a unit, the evidence presented must satisfy all the assessment requirements and assessment criteria.

The quality and breadth of evidence provided should determine whether an assessor is confident that a candidate is competent or not. Assessors must be convinced that candidates working on their own can work independently to the required standard.

3.20 Cumulative assessment record (CAR)

A cumulative assessment record (CAR) is the candidate's record of the evidence that has been assessed and accepted as proof of competence by the internal assessor.

Templates for the recording documents to be used in a cumulative assessment record (CAR) may be provided by OCR or they may be designed by the centre and approved during the approval visit or by the OCR external verifier. The forms can be in any format but as a minimum they must contain the information identified on OCR's website. For more details refer to the Administration area, assessment, <http://www.ocr.org.uk/administration/>

Candidates must record, on the relevant documents, all the evidence presented for assessment. These records will also be used by your centre assessor and internal quality assurance personnel to record assessment decisions. They can also be used to record progress towards the achievement of units.

Filling in these documents is an on-going process, involving discussion and agreement between the candidate and their centre assessor. The candidate should fill in and keep the CAR while working towards their qualification. A centre assessor may help the candidate complete the CAR if necessary. It may be viewed by your centre's internal quality assurance personnel and OCR external verifier for sampling purposes as part of the quality assurance process.

We have provided other forms and recording documents which assessors and candidates might want to use for these qualification(s) please see the OCR website www.ocr.org.uk.

3.21 Verification – how it works

Internal verification

It is the centre's responsibility to appoint an internal verifier to manage the internal verification process. The purpose of internal verification is to make sure and show that assessment is valid and consistent, through monitoring and sampling assessment decisions.

Internal verifiers must agree the use of simulated activities before they take place and must sample all evidence produced through simulated activities (see section [Simulation](#)).

The role of the internal verifier is more fully explained in the Administration area on the website, <http://www.ocr.org.uk/administration/>.

External verification

OCR will allocate an external verifier who will visit the centre to verify assessments and internal verification.

External verifiers will want to interview candidates, assessors and internal verifiers during their visits. Assessment records and evidence for all candidates must also be available for verifiers to see if they ask to. It is the assessor's (and not the internal or external verifiers') responsibility to 'sign off' each unit of competence.

Centres should have the following available for each external verification visit:

- a list of candidates registered for these qualifications, together with their achievements to date plus certification records
- access to evidence (for example, up-to-date portfolios) and CARs
- access to OCR on-line claim system (Interchange)
- relevant assessors and selected candidates as requested by the external verifier (EV), including those whose certificates have been claimed through Direct Claims Status (DCS)
- all portfolios (access to evidence) relating to certificates claimed through DCS
- a copy of the external verifier's last visit report
- a sample signature list for all assessors and internal verifiers
- details of training and curriculum vitae for new members of the assessment team
- all **centre records** (see [Centre records – assessment and verification](#) for more details)
- evidence of achieving action points since the last external verifier visit
- notes of any action carried out due to particular points mentioned by an external verifier in any correspondence since their last visit
- recommendations to the external verifier
- if recorded evidence is used, ensure all recordings and appropriate playback equipment is available.

Centre records – assessment and verification

A centre must make sure that assessment and verification records are available for external verification purposes. Assessment and/or internal verification records must record the following minimum information:

- candidate's name and location
- the title and level of the qualification they are taking
- candidate's start date on the programme and confirmation of registration with OCR
- name of the assessor
- name of the internal verifier
- date and outcome of the initial assessment of the candidate
- dates and details of candidate reviews and feedback sessions
- dates of all assessments and their outcomes (that is, the decision whether the candidate has met the requirements or not) cross-referenced to the unit
- enough detail of the assessment to justify the decision made
- an indication of the use of simulation, if used
- dates and outcomes of internal verification
- action resulting from internal verification
- certification.

Records should show formative assessment decisions (ongoing decision making), summative assessment decisions and feedback to the candidate.

4 Assessor and Internal Verifier Requirements

4.1 Assessment Centre Requirements

The Assessment Centre must:

- Ensure that there are a sufficient number of people either trained or qualified to assess the number of candidates they anticipate to register
- Ensure that there are a sufficient number of people either trained or qualified to internally verify for the number of candidates and assessors
- Put verification systems and internal verifiers in place to ensure that all assessments are valid, reliable, authentic and sufficient and provide quality assured training for those people identified as being responsible for verification
- Ensure that there is a system of standardisation in place to ensure that all assessments are consistent and fair
- Ensure that those undertaking the roles of verification and assessment maintain their skills, knowledge and understanding regarding assessment and verification and the associated qualification.

The occupational expertise of those undertaking the roles of assessment and internal verification is one of the key factors underpinning valid, fair and reliable assessment. The integrity of assessments and verifications is of paramount importance. Centres must ensure that there is sufficient time to conduct effective assessment and internal verification.

Tutors/Assessors must be confident that the work they mark is the candidate's own. This does not mean that a candidate must be supervised throughout the completion of all work but the tutor/assessor must exercise sufficient supervision, or introduce sufficient checks, to be in a position to judge the authenticity of the candidate's work.

Wherever possible, the tutor/assessor should discuss work-in-progress with candidates. This will not only ensure that work is underway in a planned and timely manner but will also provide opportunities for tutors/assessors to check authenticity of the work and provide general feedback.

Where permitted by the specification, the work of individual candidates may be informed by working with others, for example, in undertaking research, but candidates must provide an individual response as part of any task outcome

Candidates must not plagiarise. Plagiarism is the submission of another's work as one's own and/or failure to acknowledge the source correctly. Plagiarism is considered to be malpractice and could lead to the candidate being disqualified. Plagiarism sometimes occurs innocently when candidates are unaware of the need to reference or acknowledge their sources. It is therefore important that centres ensure that candidates understand that work they submit must be their own and that they understand the meaning of plagiarism and what penalties may be applied. Candidates may refer to research, quotations or evidence but they must list their sources.

If the tutor/assessor and the candidate feel they have not performed at their best during the assessment, the candidate can, at the tutor/assessor's discretion, improve their work and resubmit it for assessment. The tutor/assessor must ensure it is in the candidate's interests to reattempt the assessment.

Whilst there are no restrictions on the number of times that a candidate can resubmit evidence, it is the responsibility of the tutor/assessor to ensure that the details of any feedback and guidance are clearly recorded. Any advice to individual candidates over and above that given to the class as a whole should be recorded.

Centres must not encourage multiple resubmissions of work. Resubmission at the centre assessment stage is intended to allow the candidate to reflect on feedback and improve, but not to be an iterative process where they make small modifications through ongoing feedback to eventually achieve the desired level.

4.2 Assessors

Assessment is an activity that can be performed by a dedicated individual or as part of an individual's wider role e.g. Supervisor, manager, tutor. All assessors must:

- have relevant current industry experience and competence in the occupational working area at, or above, the level being assessed. This may be evidenced through CV and references, possession of a relevant Advice and Guidance qualification, appropriate membership of a relevant professional body or Continuing Professional Development (CPD)
- have a sound understanding of the National Occupational Standards for Advice and Guidance
- hold, or be working towards an appropriate assessor/quality assurance qualification
- have direct or related relevant experience in assessment
- be committed to further training and development.

4.3 Internal verifiers

Internal Verification is an activity that can be performed by a dedicated individual or as part of an individual's wider role. All Internal verifiers must:

- have relevant current industry experience and competence in the occupational working area at, or above, the level being assessed. This may be evidenced through CV and references, possession of a relevant Advice and Guidance qualification, appropriate membership of a relevant professional body or Continuing Professional Development (CPD).
- have a sound understanding of the National Occupational Standards for Advice and Guidance;
- hold, or be working towards an appropriate assessor/quality assurance qualification.
- have direct or related relevant experience in assessment and internal quality assurance
- be committed to further training and development.

5 Certification

Candidates who achieve the full qualification will receive:

- a certificate listing the unit or units achieved with their related credit value, and
- a certificate giving the full qualification title

OCR Level 3 NVQ Certificate in Advice and Guidance or

OCR Level 4 NVQ Diploma in Advice and Guidance

Candidates achieving one or more units but who do not meet the credit requirements for a full qualification will receive a certificate listing the units they have achieved along with their credit value.

5.1 Claiming certificates

Certificates will be issued directly to your centre for successful candidates. In order to ensure that these are automatically issued, you must ensure that the OCR candidate number is **always** used where a candidate has already achieved one or more units.

For more details refer to the Administration area, certificates, <http://www.ocr.org.uk/administration/>

5.2 Enquiries about results

Under certain circumstances, centres may wish to query the result(s) issued to one or more learners.

To find out more about this, please refer to the JQC *Post-Results Services* booklet and the Administration area, post results services, <http://www.ocr.org.uk/administration/>.

5.3 Replacement certificates

For details on replacement certificates refer to the Administration area, certificates, <http://www.ocr.org.uk/administration/>.

6 Qualification structure and units

6.1 Qualification structure

Candidates do not have to achieve units in any particular order and tutors should tailor learning programmes to meet individual candidate needs. It is recommended that, wherever possible, centres adopt a holistic approach to the delivery of these qualifications and identify opportunities to link the units.

OCR Level 3 NVQ Certificate in Advice and Guidance

Qualification Number: 501/2154/6

To achieve this qualification, candidates must achieve a total of 21 credits made up as follows:

Four mandatory units totalling 12 credits, of which 9 credits are at level 3.

Three optional units totalling 9 credits, of which 3 credits must be at Level 3.

The following tables contain the groups of mandatory and optional units:

Mandatory Units

Sector Ref	OCR Unit No	Unit title	Unit Accreditation No (UAN)	Credit value	Level	GLH
AG1	1	Establish communication with clients for advice and guidance	J/602/5138	3	3	20
AG2	2	Support clients to make use of the advice and guidance service	L/602/5139	3	2	20
AG15	3	Review own contribution to the service	Y/602/5192	3	3	20
AG30	4	Understand importance of legislation and procedures	R/602/5210	3	3	24

Optional Units

Sector Ref	OCR Unit No	Unit title	Unit Accreditation No (UAN)	Credit value	Level	GLH
AG3	5	Develop interactions with advice and guidance clients	F/6025140	4	3	25
AG4	6	Interact with clients using a range of media	J/602/5141	3	2	20
AG5	7	Assist advice and guidance clients to decide on a course of action	R/602/5143	3	4	20
AG6	8	Prepare clients through advice and guidance for the implementation of a course of action	A/602/5153	3	4	20
AG7	9	Assist clients through advice and guidance to review their achievement of a course of action	J/602/5172	3	4	20
AG11	10	Negotiate on behalf of advice and guidance clients	M/602/5182	5	5	35
AG12	11	Liaise with other services	T/602/5183	3	3	20
AG13	12	Enable advice and guidance clients to access referral opportunities	F/602/5185	3	3	20
AG14	13	Manage personal case load	Y/602/5189	4	4	20
AG16	14	Evaluate and develop own contribution to the service	H/602/5194	3	4	20
AG18	15	Operate within networks	F/602/5199	3	4	20
AG21	16	Provide and maintain information materials for use in the service	T/602/5202	3	4	15
AG22	17	Identify and promote the contribution of Careers Education Guidance (CEG) within the organisation	A/602/5203	4	5	30
AG25	18	Promote Careers Education Guidance (CEG)	J/602/5205	3	3	20
AG27	19	Facilitate learning in groups	R/602/5207	3	4	20
AG31	20	Enable learning through demonstrations and instructions	M/600/9726	3	3	13
AG32	21	Ensure your own actions reduce risks to health and safety	Y/600/9011	4	2	30

OCR Level 4 NVQ Diploma in Advice and Guidance

Qualification Number: 501/1901/1

To achieve this qualification, candidates must achieve a total of 37 credits made up as follows:

Five mandatory units totalling 17 credits, of which 10 credits are at level 4

Optional units totalling 20 credits, of which 9 credits must be at Level 4.

The following tables contain the groups of mandatory and optional units:

Mandatory Units

Sector Ref	OCR Unit No	Unit title	Unit Accreditation No (UAN)	Credit value	Level	GLH
AG3	1	Develop interactions with advice and guidance clients	F/602/5140	4	3	25
AG14	2	Manage personal case load	Y/602/5189	4	4	20
AG16	3	Evaluate and develop own contribution to the service	H/602/5194	3	4	20
AG18	4	Operate within networks	F/602/5199	3	4	20
AG30	5	Understand importance of legislation and procedures	R/602/5210	3	3	24

Optional Units

Sector Ref	OCR Unit No	Unit title	Unit Accreditation No (UAN)	Credit value	Level	GLH
AG2	6	Support clients to make use of the advice and guidance service	L/602/5139	3	2	20
AG5	7	Assist advice and guidance clients to decide on a course of action	R/602/5143	3	4	20
AG6	8	Prepare clients through advice and guidance for the implementation of a course of action	A/602/5153	3	4	20
AG7	9	Assist clients through advice and guidance to review their achievement of a course of action	J/602/5172	3	4	20
AG8	10	Advocate on behalf of advice and guidance clients	R/602/5174	6	5	35
AG9	11	Prepare to represent advice and guidance clients in formal proceedings	H/602/5177	6	5	35
AG10	12	Present cases for advice and guidance clients in formal proceedings	M/602/5179	6	5	35
AG11	13	Negotiate on behalf of advice and guidance clients	M/602/5182	5	5	35
AG12	14	Liaise with other services	T/602/5183	3	3	20
AG13	15	Enable advice and guidance clients to access referral opportunities	F/602/5185	3	3	20

Sector Ref	OCR Unit No	Unit title	Unit Accreditation No (UAN)	Credit value	Level	GLH
AG17	16	Provide support for other practitioners	A/602/5198	5	4	25
AG19	17	Undertake research for the service and its clients	K/602/5200	5	4	40
AG20	18	Design information materials for use in the service	M/602/5201	4	4	25
AG21	19	Provide and maintain information materials for use in the service	T/602/5202	3	4	15
AG22	20	Identify and promote the contribution of Careers Education Guidance (CEG) within the organisation	A/602/5203	4	5	30
AG24	21	Integrate Careers Education Guidance (CEG) within the curriculum	F/602/5204	4	4	30
AG25	22	Promote Careers Education Guidance (CEG)	J/602/5205	3	3	20
AG26	23	Negotiate and maintain service agreements	L/602/5206	3	4	20
AG27	24	Facilitate learning in groups	R/602/5207	3	4	20
AG28	25	Prepare and set up mediation	Y/602/5208	4	4	20
AG29	26	Stage and manage the mediation process	D/602/5209	8	5	30
AG31	27	Enable learning through demonstrations and instructions	M/600/9726	3	3	13

Units can be downloaded from the OCR website www.ocr.org.uk.

7 Supporting Documentation

7.1 OCR assessment material

Assessment materials

The OCR assessment materials for OCR Level 3 NVQ Certificate and OCR Level 4 NVQ Diploma in Advice and Guidance include evidence record sheets, witness testimonies and witness lists and are available to download from the OCR website www.ocr.org.uk.

Record of Achievement

For use by candidates to record progress through their chosen units.

8 Contacting us

8.1 Feedback and enquiries

If centres have any comments or enquiries about the qualifications in this handbook, please contact the Customer Contact Centre:

**Write to: Customer Contact Centre
OCR
Progress House
Westwood Way
Coventry
CV4 8JQ**

**Telephone: 024 76 851509
Fax: 024 76 421944
Email: vocational.qualifications@ocr.org.uk**

Alternatively, you could visit OCR's website at www.ocr.org.uk for further information about OCR qualifications.

8.2 Complaints

All complaints will be handled sensitively and speedily and used to inform how our service to customers can be improved.

If centres are not satisfied with a product or service OCR has provided please follow the process set out in the [complaints policy](#).

We can be contacted:

by post –write to:
Director of Assessment Standards
OCR
1 Hills Road
Cambridge
CB1 2EU

by email – send an email to complaints@ocr.org.uk

by phone/fax – contact our Customer Contact Centre:
Telephone: 024 76 851509
Fax: 024 76 421944

Alternatively, you could visit OCR's website at www.ocr.org.uk for further information on OCR qualifications.

9 Glossary

Analyse	to examine in detail in order to discover meaning, essential features, etc
Apply	to devote oneself with diligence to bring into operation or use to put to practical use; utilise; employ
Assess	to judge the worth, importance, etc, of; evaluate
Calculate	to solve (one or more problems) by a mathematical procedure; compute
Carry out	to perform or cause to be implemented
Chart	to plot or outline the course of to make a detailed plan of to make a chart of
Classify	to arrange or order by classes; categorise
Collect	to gather together or be gathered together
Communicate	to impart (knowledge) or exchange (thoughts, feelings, or ideas) by speech, writing, gestures, etc
Compare	to regard or represent as analogous or similar; liken
Compile	to make or compose from other materials or sources
Complete	to make whole or perfect to end; finish
Conduct	to do or carry out
Contrast	to distinguish by comparison of unlike or opposite qualities
Contribute	to give (support, money, etc) for a common purpose or fund to supply (ideas, opinions, etc) as part of a debate or discussion
Cook	to prepare (food) by the action of heat, as by boiling, baking, etc, or (of food) to become ready for eating through such a process
Define	to state precisely the meaning of (words, terms, etc)
Deliver	to carry (goods, etc) to a destination, esp. to carry and distribute (goods, mail, etc) to several places to hand over, transfer, or surrender to produce or perform something promised or expected
Demonstrate	to show, manifest, or prove, esp. by reasoning, evidence, etc
Describe	to give an account or representation of in words
Design	to work out the structure or form of (something)
Detail	to list or relate fully to include all or most particulars
Develop	to come or bring to a later or more advanced or expanded stage; grow or cause to grow gradually
Devise	to work out, contrive, or plan (something) in one's mind
Discuss	to have a conversation about; consider by talking over; debate to treat (a subject) in speech or writing
Estimate	to form an approximate idea of (distance, size, cost, etc); calculate roughly; gauge

Evaluate	to ascertain or set the amount or value of to judge or assess the worth of; appraise
Examine	to look at, inspect, or scrutinise carefully, or in detail; investigate
Explain	to make (something) comprehensible, esp. by giving a clear and detailed account of the relevant structure, operation, surrounding circumstances, etc
Explore	to examine or investigate, esp. systematically
Generate	to produce or bring into being; create
Give	to present or deliver voluntarily (something that is one's own) to the permanent possession of another or others to impart or communicate
Identify	to prove or recognise as being a certain person or thing; determine the identity of
Illustrate	to clarify or explain by use of examples, analogy, etc
Implement	to carry out; put into action; perform
Interact	to act on or in close relation with each other
Interpret	to clarify or explain the meaning of; elucidate
Investigate	to inquire into (a situation or problem) thoroughly; examine systematically, especially in order to discover the truth
Justify	to prove or see to be just or valid; vindicate to show to be reasonable; warrant or substantiate
Keep	to have or retain possession of
Lead	to show the way to (an individual or a group) by going with or ahead to guide or be guided by holding, pulling, etc to phrase a question to (a witness) that tends to suggest the desired answer
Measure	to determine the size, amount, etc, of by measurement
Monitor	to observe or record (the activity or performance) of (an engine or other device)
Organise	to form (parts or elements of something) into a structured whole; co ordinate
Outline	to give the main features or general idea of
Participate	to take part, be or become actively involved, or share (in)
Perform	to carry out or do (an action)
Plan	to have in mind as a purpose to make a plan of (a building)
Prepare	to make ready or suitable in advance for a particular purpose or for some use, event etc to put together using parts or ingredients; compose or construct to equip or outfit
Present	to show, exhibit to put forward; submit to bring or suggest to the mind
Produce	to bring (something) into existence; yield to bring forth (a product) by physical or mental effort; make
Profile	to draw, write or make a profile of

Promote	to further or encourage the progress or existence of to raise to a higher rank, status degree etc to urge the adoption of; work for to encourage the sale of (a product) by advertising or securing financial support
Propose	to put forward (a plan, motion, etc) for consideration or action
Provide	to put at the disposal of; furnish or supply
Recognise	to perceive (a person, creature, or thing) to be the same as or belong to the same class as something previously seen or known; know again
Recommend	to advise as the best course or choice; counsel
Research	to carry out investigations into (a subject, problem etc)
Review	to look at or examine again to look back upon
Select	to choose (someone or something) in preference to another or others
Serve	to render or be of service to (a person, cause, etc); help to distribute or provide
Show	to make, be, or become visible or noticeable to indicate or explain; prove
Suggest	to put forward (a plan, idea, etc) for consideration
Summarise	to make or be a summary of; express concisely
Understand	to know and comprehend the nature or meaning of
Undertake	to contract to or commit oneself to (something) or to do (something)
Use	to put into service or action; employ for a given purpose

10 Key updates to this handbook

Section	Title of section and change	Version and date issued
All sections	<p>Amended reference to the Admin Guide to the new Administration area on the OCR website and removed the section on administration arrangements.</p> <p>References to the Qualifications and Credit Framework (QCF) have been changed to Regulated Qualifications Framework.</p> <p>Updated contact information in the event of any queries concerning the units or assessment.</p>	September 2017
2	<p>The following information has been updated:</p> <p>2.5 Unique Learner Numbers and the Personal Learning Record</p> <p>2.9 Funding</p> <p>2.12 Delivery in Wales and Northern Ireland</p> <p>2.13 Access arrangements and special consideration</p> <p>2.14 Reporting suspected malpractice</p>	
3	<p>3.1 and 3.6 Information added about data protection</p> <p>3.2 Recognition of prior learning</p>	
4	4.1 Resubmitting work for assessment	
8	Contacting us - information updated	
	Administration arrangements – section deleted	