

Teaching in the Lifelong Learning Sector

Level 3 Award in Preparing to Teach in the Lifelong Learning Sector

Entry code 10318

Level 4 Award in Preparing to Teach in the Lifelong Learning Sector

Entry code 10320

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1 Qualification overview

Title	OCR Level 3 Award in Preparing to Teach in the Lifelong Learning Sector			
OCR entry code	10318	Qualification Number (QN)		600/6236/8
Age group approved	Pre-16	16-18	18+	19+
				✓
This qualification is suitable for	Those who wish to enter the field of teaching in the Lifelong Learning sector. It will act as a foundation for those with no previous experience of teaching who wish to extend their professional skills and understanding.			
Entry requirements	There are no formal entry requirements for this qualification.			
Credit requirement	To achieve this qualification, candidates must achieve a total of 12 credits.			
Structure and options	1 mandatory unit			3 credits
	Minimum credit from Group B			6 credits
	Minimum credit from Group C			3 credits
Assessment model	This qualification is internally assessed by centre assessors and quality assurance personnel and externally verified by OCR.			
Last date to enter candidates*	29/02/2016			

*This is the last date that centres can enter candidates for this qualification. OCR will inform centres of any change to this date. Please refer to our website www.ocr.org.uk for current information.

Title	OCR Level 4 Award in Preparing to Teach in the Lifelong Learning Sector			
OCR entry code	10320	Qualification Number (QN)		TBC
Age group approved	Pre-16	16-18	18+	19+
				✓
This qualification is suitable for	Those who wish to enter the field of teaching in the Lifelong Learning sector. It will act as a foundation for those with no previous experience of teaching who wish to extend their professional skills and understanding.			
Entry requirements	There are no formal entry requirements for this qualification.			
Credit requirement	To achieve this qualification, candidates must achieve a total of 12 credits.			
Structure and options	Minimum credit from Group A			3 credits
	Minimum credit from Group B or Group C If Group B is chosen, then 3 credits must come from Subgroup B1 and 3 credits from Subgroup B2			6 credits
	Minimum credit from Group D			3 credits
	Minimum credit to be achieved at level 4 or above			9 credits
Assessment model	This qualification is internally assessed by centre assessors and quality assurance personnel and externally verified by OCR.			
Last date to enter candidates*	29/02/2016			

2 Introduction

This centre handbook provides information for centre staff involved in the planning, delivery and assessment of the following qualifications.

OCR entry code	Title	Qualification Number
10318	OCR Level 3 Award in Preparing to Teach in the Lifelong Learning Sector	600/6236/8
10320	OCR Level 4 Award in Preparing to Teach in the Lifelong Learning Sector	600/6464/X

The units and any supporting documentation for these qualifications can be found on the OCR website www.ocr.org.uk.

The information provided in this handbook is correct at the time of production. Occasionally OCR may update this information. Please refer to the qualification webpages for details regarding updates.

It is important that centre staff involved in the delivery of the above have access to and understand the requirements laid down in this handbook.

The awarding body for these qualifications is Oxford Cambridge and RSA Examinations (OCR) and the regulatory body is the Office of Qualifications and Examinations Regulation (Ofqual).

2.1 Funding

These qualifications are regulated in the Qualifications and Credit Framework and are eligible for funding.

For further details regarding approval and funding eligibility please refer to the following websites:

- Skills Funding Agency <http://skillsfundingagency.bis.gov.uk/> for public funding information for 19+ learners in England
- LARA – Learning Aim Reference Application <https://www.gov.uk/government/publications/lara-learning-aim-reference-application> for information on funding rates for qualifications in England
- DAQW – Database of Approved Qualifications www.daqw.org.uk/ for public funding in Wales
- Department for Employment and Learning www.delni.gov.uk or Department of Education www.deni.gov.uk for public funding in Northern Ireland.

The QCF Qualifications Number (QN) should be used by centres when they wish to seek public funding for their candidates. Each unit within a qualification will also have a QCF unit code.

If you have any queries regarding funding for these qualifications please contact OCR by email at funding@ocr.org.uk.

2.2 Guided learning hours

Each unit is allocated a number of guided learning hours (glh) which indicates the approximate number of hours for supervised or directed study time and assessment. Information on unit glh is given in Qualification structures and entry requirements.

2.3 Performance figures

For information on these qualifications' contribution to performance measurement please see Ofqual's Register of Regulated Qualifications <http://register.ofqual.gov.uk/>.

2.4 Unique Learner Number (ULN)

It is an Ofqual requirement that Awarding Bodies must capture the Unique Learner Number (ULN) for all candidates who have claimed certification for any of these qualifications. Where a candidate has a ULN, you should enter their number in the ULN field of the entry form. 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 Diploma Aggregation Service. Further information about this can be found in the *Admin guide: Vocational Qualifications* available to download from <http://www.ocr.org.uk/i-want-to/admin-guides/>

2.5 Supporting OCR candidates

Centres should ensure that 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.

Centre staff should provide guidance to candidates on the assessment process and help candidates prepare for assessment. Full details on how the units are assessed are in sections Qualification structures and entry requirements.

3 Qualification structures and entry requirements

3.1 About these qualifications

These qualifications:

- are high quality and nationally recognised
- are credit-based
- support achievement of Functional Skills
- are underpinned by the overarching professional standards for teachers, tutors and trainers in the lifelong learning sector
- are regulated in the Qualifications and Credit Framework (QCF)
- appear on the Register of Regulated Qualifications <http://register.ofqual.gov.uk/>
- are supported by the Learning and Skills Improvement Service (LSIS)

They provide valuable opportunities for candidates to:

- develop skills
- gain underpinning knowledge and understanding
- continue professional development.

3.2 Qualification aims/objectives

These qualifications aim to:

- Develop an understanding of the role and responsibilities of a teacher in lifelong learning
- Develop an understanding of how to facilitate learning and development for individuals and groups
- Develop abilities to manage learning and development in groups
- Develop an understanding of the types and methods of assessment used in lifelong learning
- Develop an understanding of the teaching and learning strategies and approaches in lifelong learning
- Develop an understanding of the principles and practices of assessment
- Develop abilities to plan and deliver learning and teaching sessions

These qualifications are available at levels 3 and 4. The purpose and content of both qualifications is the same. Candidates should choose the level of study appropriate for themselves. This may be influenced by their plans for progression to other teaching qualifications.

3.3 Entry requirements

All trainee teachers joining programmes for these qualifications should undertake an initial assessment of skills in English, mathematics and ICT. They should record their development needs and agree an action plan to address them.

There are no other nationally agreed entry requirements.

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

3.4 Recognition of Prior Learning

Within the QCF, recognition of prior learning (RPL) is defined as 'A method of assessment that considers whether a learner can demonstrate that they can meet the assessment requirements for a unit through knowledge, understanding or skills they already possess and do not need to develop through a course of learning.' (Regulatory arrangements for the Qualifications and Credit Framework Ofqual/08/3726). OCR encourages the use of RPL and centres should advise their 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 centres make it clear to their 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.

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 OCR will quality assure and authorise certification.

3.5 Progression and sequence of delivery

A candidate achieving the Award in Preparing to Teach in the Lifelong Learning Sector has the following progression routes available:

- OCR Level 3 Certificate in Teaching in the Lifelong Learning Sector
- OCR Level 4 Certificate in Teaching in the Lifelong Learning Sector
- OCR Level 5 Diploma in Teaching in the Lifelong Learning Sector

Units from the Level 3 and Level 4 Awards in Preparing to Teach in the Lifelong Learning Sector are included in the CTLLS and DTLLS qualifications.

OCR requires the units included in the PTLLS awards to be delivered before other units in the CTLLS and DTLLS qualifications. This will allow those who have achieved an award to join the CTLLS and DTLLS programmes at an appropriate point.

OCR recognises the six (6) and twelve (12) credit PTLLS qualifications as meeting the same requirements. Therefore Recognition of Prior Learning will apply to the fullest extent between the two versions of the qualification when learners progress to CTLLS and DTLLS. Learners will not be required to present new evidence during this process.

Achievement of the Diploma in Teaching in the Lifelong Learning Sector permits a maximum of twelve (12) credits at Level 3. Those trainee teachers undertaking a PTLLS qualification should be made aware of this when deciding which level of qualification to undertake.

3.6 Units of assessment

The rules of combination for these qualifications are based on units of two different kinds. Each of the qualifications enables credits to be achieved through the following kinds of unit: mandatory units and restricted optional units.

Mandatory units

As the QCF term implies, these are units that must be completed in order for the qualification to be achieved. The PTLLS awards introduced in 2007 were made up of a single mandatory unit. Increasing the credit value of the updated awards and including a significant proportion of optional credit has opened up the opportunity to recognise a wider range of teaching responsibilities.

Restricted optional units

'Restricted' is a term used by LSIS to draw a distinction between these and what are termed 'open' optional units. In the rules of combination optional units are grouped. Choice in restricted optional groups is limited to ensure that required content is covered while still allowing a degree of flexibility in the choice of units for part of a qualification. In particular, restricted optional units are used to provide the opportunity to take units from Learning and Development qualifications. Restricted options therefore encourage movement between different teaching activity and context within the sector, while ensuring that essential skills and knowledge are covered within each qualification. LSIS has used the term 'open' optional units where the choice in any group is much greater and does not include essential skills and knowledge. There are no open optional groups in these awards. These can be found in the certificate and diploma qualifications in this suite.

3.7 Qualification structure and rules of combination

If a candidate is not able to complete the full qualification, their achievements will be recognised through the issue of a unit certificate listing the units and credit achieved.

The rules of combination for the qualification specify the:

- minimum credit/total credit value to be achieved
- mandatory unit credit
- minimum credit to be achieved at the level of the qualification
- optional unit credit

When combining units for these qualifications, it is the centre's responsibility to ensure the rules of combination, shown below, are followed:

3.7.1 Table of units for OCR Level 3 Award in Preparing to Teach in the Lifelong Learning Sector

The following table contains the groups of mandatory and optional units. The units are available to download from the OCR website.

OCR Unit No	Sector Unit No	Unit title	Unit Reference No (URN)	Credit value	Level	GLH
Group A						
Mandatory unit(s)						
4		Roles, responsibilities and relationships in lifelong learning	M/503/1229	3	3	12
Group B						
7		Understanding inclusive learning and teaching in lifelong learning	T/503/1233	3	3	12
9		Using inclusive learning and teaching approaches in lifelong learning	Y/503/1242	3	3	12
10		Facilitate learning and development in groups	F/502/9548	6	3	25
11		Facilitate learning and development for individuals	J/502/9549	6	3	25
Group C						
15		Understanding the principles and practices of assessment	D/601/5313	3	3	24
14		Principles of assessment in lifelong learning	Y/503/1239	3	3	12

3.7.2 Rules of combination for OCR Level 3 Award in Preparing to Teach in the Lifelong Learning Sector

To achieve this qualification a candidate must achieve the following:

A minimum overall credit of	12
Credit from mandatory Group A	3
Minimum credit from Group B	6
Minimum credit from Group C	3

There are no barred combinations, equivalencies or exemptions for this qualification.

3.7.3 Table of units for OCR Level 4 Award in Preparing to Teach in the Lifelong Learning Sector

The following table contains the groups of units. The units are available to download from the OCR website.

OCR Unit No	Sector Unit No	Unit title	Unit Reference No (URN)	Credit value	Level	GLH
Group A						
4		Roles, responsibilities and relationships in lifelong learning	M/503/1229	3	3	12
5		Roles, responsibilities and relationships in lifelong learning	M/503/1232	3	4	12
Group B						
Subgroup B1						
6		Understanding inclusive learning and teaching in lifelong learning	F/503/1235	3	4	12
7		Understanding inclusive learning and teaching in lifelong learning	T/503/1233	3	3	12
Subgroup B2						
8		Using inclusive learning and teaching approaches in lifelong learning	R/503/1238	3	4	12
9		Using inclusive learning and teaching approaches in lifelong learning	Y/503/1242	3	3	12
Group C						
12		Manage learning and development in groups	A/502/9550	6	4	30
Group D						
13		Principles of assessment in lifelong learning	R/503/1241	3	4	12
14		Principles of assessment in lifelong learning	Y/503/1239	3	3	12
15		Understanding the principles and practices of assessment	D/601/5313	3	3	24

3.7.4 Rules of combination for OCR Level 4 Award in Preparing to Teach in the Lifelong Learning Sector

To achieve this qualification a candidate must achieve the following:

A minimum overall credit of	12
Minimum credit to be achieved at level 4 or above	9
Minimum credit from Group A	3
Minimum credit from Groups B or C If Group B is chosen, then 3 credits must come from Subgroup B1 and 3 credits from Subgroup B2	6
Minimum credit from Group D	3

There are no barred combinations, equivalencies or exemptions for this qualification.

3.7.5 Credit transfer

Units from the Level 3 and Level 4 Awards in Preparing to Teach in the Lifelong Learning Sector are included in the Certificates and Diploma in Teaching in the Lifelong Learning Sector. Therefore, those learners who achieve the Awards in Preparing to Teach in the Lifelong Learning Sector can, if their teaching role changes join a programme leading to achievement of a Certificate or Diploma in Teaching in the Lifelong Learning Sector at a future date. Their achievement of units from the Awards in Preparing to Teach in the Lifelong Learning Sector will automatically be recognised towards the achievement of the Certificate or Diploma, where appropriate.

4 Centre assessor and quality assurance personnel requirements

4.1 Assessment centre requirements

The occupational expertise of those undertaking the roles of assessment and internal quality assurance is one of the key factors underpinning valid, fair and reliable assessment. The integrity of assessments and quality assurance is of paramount importance.

The assessment centre must:

- ensure there are sufficient trained or qualified personnel to assess the number of candidates they anticipate enrolling for the course/qualification
- ensure there are sufficient trained or qualified personnel to internally quality assure for the number of candidates and assessors
- put systems and internal quality assurance personnel in place to ensure that all assessments are valid, reliable, authentic and sufficient and provide quality assured training for centre personnel taking part in assessment
- ensure there is a system of standardisation in place to ensure that all assessments are consistent and fair
- ensure those undertaking the roles of quality assurance and assessment maintain their skills, knowledge and understanding regarding assessment and quality assurance and the associated qualification
- ensure that there is sufficient time to conduct effective assessment and internal quality assurance.

4.2 Centre Assessors

All those who assess these qualifications must:

- Already hold the qualification (or previous equivalent qualification) they are assessing and have successfully assessed learners for other qualifications; if assessing quality assurance roles, they must have experience as a qualified quality assurance practitioner of carrying out internal or external quality assurance of qualifications for a minimum of two assessors
- Have up-to-date working knowledge and experience of best practice in assessment and quality assurance
- Hold one of the following qualifications or their recognised equivalent:
 - the Level 3 Award in Assessing Competence in the Work Environment *or*
 - the Level 3 Certificate in Assessing Vocational Achievement, *or*

- A1 Assess candidate performance using a range of methods, or
- D32 Assess candidate performance and D33 Assess candidate using differing sources of evidence
- Show current evidence of continuing professional development in assessment and quality assurance

There are additional requirements for those who assess the following units:

- Facilitate learning and development for individuals (Level 3)
- Facilitate learning and development in groups (Level 3)
- Manage learning and development in groups (Level 4)

They must:

- Have up-to-date working knowledge and experience of best practice in Learning and Development
- Be occupationally competent in the units they are assessing
- Hold one of the following qualifications or their recognised equivalent:
 - the Level 3 Award in Assessing Competence in the Work Environment *or*
 - the Level 3 Certificate in Assessing Vocational Achievement, *or*
 - A1 Assess candidate performance using a range of methods, *or*
 - D32 Assess candidate performance and D33 Assess candidate using differing sources of evidence
- Show current evidence of continuing professional development in assessment and learning and development

4.3 Internal quality assurance personnel (IQA)

All those who quality assure these qualifications internally must:

- Have up-to-date working knowledge and experience of best practice in assessment and quality assurance
- Hold one of the following qualifications or their recognised equivalent:
 - the Level 3 Award in Assessing Competence in the Work Environment *or*
 - the Level 3 Certificate in Assessing Vocational Achievement, *or*
 - A1 Assess candidate performance using a range of methods, *or*
 - D32 Assess candidate performance and D33 Assess candidate using differing sources of evidence
- Hold one of the following internal quality assurance qualifications or their recognised equivalent:

- the Level 4 Award in the Internal Quality Assurance of Assessment Processes and Practice, *or*
 - the Level 4 Certificate in Leading the Internal Quality Assurance of Assessment Processes and Practice, *or*
 - V1 Conduct internal quality assurance of the assessment process *or*
 - D34 Internally verify the assessment process
-
- Show current evidence of continuing professional development in assessment and quality assurance

5 Teaching practice requirements

5.1 Contexts for Teaching Practice – OCR Level 3 and 4 Awards in Preparing to Teach in the Lifelong Learning Sector

5.1.1 Practice hours

For the following 9 units there is no requirement to undertake practice other than as micro teaching for assessment purposes:

- Roles, responsibilities and relationships in lifelong learning (Level 3 and Level 4)
- Understanding inclusive learning and teaching in lifelong learning (Level 3 and Level 4)
- Using inclusive learning and teaching approaches in lifelong learning (Level 3 and Level 4)
- Principles of assessment in lifelong learning (Level 3 and Level 4)
- Understanding the principles and practices of assessment (Level 3)

This will allow candidates to start on programmes and achieve units without a practical teaching element.

5.1.2 Practice in a work environment

The following units require candidates to undertake practice in a work environment. Practice should be in the appropriate context, either with groups of learners or with individual learners.

- Facilitate learning and development for individuals (Level 3)
- Facilitate learning and development in groups (Level 3)
- Manage learning and development in groups (Level 4)

5.1.3 Observed and assessed practice

For the following 9 units there is no requirement to observe and assess practice in a work environment. This will allow candidates to start on programmes and achieve units without a practical teaching element.

- Roles, responsibilities and relationships in lifelong learning (Level 3 and Level 4)
- Understanding inclusive learning and teaching in lifelong learning (Level 3 and Level 4)
- Using inclusive learning and teaching approaches in lifelong learning (Level 3 and Level 4)
- Principles of assessment in lifelong learning (Level 3 and Level 4)
- Understanding the principles and practices of assessment (Level 3)

Candidates should be involved in at least one hour of microteaching. Each candidate must deliver at least one 15 minute microteaching session which should be observed and assessed by a

member of the delivery team. For the additional 45 minutes, candidates can either deliver additional microteaching sessions or observe the microteaching sessions of other candidates.

The following units assess occupational competence and require candidates to be assessed in a work environment. Practice assessed should be in the appropriate context – either with individual learners or groups of learners.

- Facilitate learning and development for individuals (Level 3)
- Facilitate learning and development in groups (Level 3)
- Manage learning and development in groups (Level 4)

6 Assessment

6.1 Assessment: How it works

Teachers/tutors must make sure that the teaching content for each criterion is fully addressed so that candidates can effectively meet the requirements.

The identified teaching content in the unit is not exhaustive and may be expanded upon or tailored to particular contexts in which the unit is being taught and the assessment criteria applied.

When centre teachers/tutors 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.

6.2 Authentication

Teachers/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 teacher/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 teacher/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 teachers/tutors/assessors to check authenticity of the work and provide general feedback.

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.

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.

Whilst there are no restrictions on the number of times that a candidate can resubmit evidence, it is the responsibility of the teacher/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.

6.3 Direct Claim Status (DCS)

In recognition of centres having achieved a high level of internal verification and management of their quality assurance systems OCR will allow a centre to have direct claims status (DCS). This is when centres can claim certification for identified qualifications in between their external verifier visits. Centres who have consistently met all the required criteria and delivered high quality

assessment for the individual qualification over approximately a twelve month period could be awarded DCS.

In the centre report, the OCR external verifier may recommend your centre for direct claim status.

If OCR agrees with the EV's recommendation, the centre will be sent:

- DCS agreement
- DCS Quality Assurance Team Register (containing the names of the centre quality assurance personnel that the EV has recommended can authorise DCS certification claims).
- Composite list of qualifications approved for DCS

Once the Centre returns the appropriate documentation OCR will notify them that they can use DCS.

Each person who the external verifier has checked and who then signs the DCS declaration form will be eligible to submit claims for the qualifications in question.

Once the centre has submitted claims, the external verifier will select a sample of candidates' work, which will be reviewed at the next external verifier visit. The centre must retain all portfolios claimed with direct claim status until the next external verifier visit. Certificates issued under 'Direct Claim' procedures will remain provisional until such time as they are confirmed through a verification visit.

All candidates, including any who leave the centre following certification, must be asked to retain their evidence, portfolios and cumulative assessment record (CAR) for one year as they may be required for audit.

Withdrawal of DCS

DCS may be withdrawn at any time if in the opinion of OCR any of the centre information given is no longer current, the conditions of the approval are not met or the quality of assessment and quality assurance at the centre is compromised.

Re-instatement of DCS

OCR will apply one of the following two routes:

- reinstate DCS at the next External Verifier visit if all action points have been completed
- require the centre to go through the full DCS process and meet the DCS criteria again.

The route for reinstatement will depend upon which of the DCS criteria are not in place at the point of DCS withdrawal.

Critical points regarding Direct Claim Status

- Certificates issued under 'Direct Claim' procedures will remain provisional until such time as they are confirmed through a verification visit.
- The quality assurance signature on all DCS claims will be checked to ensure that only quality assurance personnel listed on the Centres' DCS Internal Quality Assurance Team Register have authorised the claims.
- Centres must keep assessment and quality assurance records relating to all candidates for at least three years from the date of the claim.
- The decision on whether DCS is awarded, retained or withdrawn lies with OCR.

6.4 Initial assessment of candidates

It is important for centres to carry out an initial assessment that identifies the competence, knowledge and understanding candidates already have and any potential gaps that need to be addressed. This will also:

- allow centre assessors to plan the assessment
- help candidates to identify units which they might find most appropriate
- enable candidates to understand the best place to start collecting evidence.

6.5 Assessment planning

Centre assessors must take responsibility for assessment planning with candidates. This will involve discussing a number of issues with candidates including:

- agreeing the best source of evidence to use for particular units
- determining the best way of assessing the candidate
- confirming the best times, dates and places for the assessments to take place
- agreeing a flexible timetable for unit completion and assessment.

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

6.6 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 evidence to demonstrate they have met all assessment criteria.** In line with the Learning and Development standards, centre assessors should:

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

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

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

Full details of the administration arrangements associated with these qualifications are included in the *Admin guide: Vocational Qualifications* <http://www.ocr.org.uk/i-want-to/admin-guides/>.

6.7 Methods of assessment

It is the centre 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 not relevant to the qualification or difficult for the candidate to understand, not in terms of the content but the way they are phrased, the validity of the assessment method is questionable.

As well as assessment methods being valid, the evidence presented must also be valid.

Reliable

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

Safe and manageable

Centre assessors and internal quality assurance personnel 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 unit.

For candidates who have access requirements please see Access arrangements and special consideration.

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 LSIS, and other awarding bodies has identified the main assessment methods suitable for these qualifications:

- **examining of the evidence** by a centre assessor
- **direct observation** of practice by a qualified centre assessor or by the expert witness for occupational specific units

- **questioning** the candidate or witness by a centre assessor
- **inference of knowledge** from direct observation
- **professional discussion.**

In some situations, the centre assessor can arrange a formal discussion with the candidate to provide evidence of the candidate's performance and knowledge (see [Professional discussion](#)).

6.8 Examining the evidence

Approved and qualified centre assessors (see Centre assessor and Quality assurance personnel requirements) must examine the evidence for the assessment of these qualifications.

Evidence can:

- reflect how the candidate carried out the process/activity
- 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 centre assessor's responsibility to make sure that the evidence a candidate submits for assessment is authentic and meets the requirements of the qualification.

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

6.9 Direct observation

Approved and qualified centre assessors (see Centre assessor and Quality assurance personnel requirements) may carry out observations for the assessment of these qualifications.

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

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

6.10 Questioning

Approved and qualified centre assessors (see Centre assessor and Quality assurance personnel 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 activities a candidate has been involved in.

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

It is important that centre 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 centre assessors must record, word for word, the questions put to the candidate and the answers the candidate gives. However, they 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. Centre 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.

6.11 Professional discussion

Professional discussion is a structured, planned and in-depth discussion recorded by the centre 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 centre assessor should guide the discussion by using open questioning, active listening and knowledge of the standards.

6.12 Witness testimonies

The witness must be an individual, not related to the candidate, who is in a position to make valid comment about their performance, e.g. tutors or workplace supervisors.

Witness testimonies can be used as evidence of a candidate's performance. Such testimonies could be made verbally to the centre 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 centre assessor will then judge whether the candidate's activities demonstrate competence to the standards. It is not acceptable for candidates or centre assessors to produce written witness testimonies for witnesses to sign.

6.13 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.

6.14 Performance evidence

Performance evidence provides proof of what a candidate can do. Sometimes, it can also provide inferred 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 clearly identified. Other products (for example, organisational procedures) may have been reproduced by someone else but relate to the candidate and their competence, this must be clearly identified
- proof of the way the candidate carried out their work (that is, the process they went through). An internal centre assessor's observation of a candidate or a witness' testimony both provides performance evidence and would be suitable for these qualifications.

6.15 Where evidence comes from

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

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

6.16 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 in conjunction with LSIS.

6.17 Cumulative assessment record (CAR)

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 in OCR's *Admin guide: Vocational Qualifications* <http://www.ocr.org.uk/i-want-to/admin-guides/>.

Candidates must record, on the relevant documents, all the evidence presented for assessment. These records will also be used by the 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 ongoing 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 the centre's internal quality assurance personnel and OCR external verifier for sampling purposes as part of the quality assurance process.

Examples of other forms and recording documents are provided to assist centres and candidates as they work towards these qualifications, please see the OCR website www.ocr.org.uk.

6.18 Verification – how it works

6.18.1 Internal quality assurance

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

Internal quality assurance personnel must agree the use of simulated activities before they take place and must sample all evidence produced through simulated activities (see section).

6.18.2 External verification

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

External verifiers will want to interview candidates, centre assessors and internal quality assurance personnel during their visits. Assessment records and evidence for all candidates must also be available for external verifiers to see if they ask to. It is the centre assessor's (and not the quality assurance personnel 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's on-line claim system (Interchange)
- relevant centre 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 relating to certificates claimed through DCS should be accessible
- a copy of the external verifier's last visit report
- a sample signature list for all centre assessors and internal quality assurance personnel
- details of training curriculum vitae and certificates for new members of the assessment team

- all **centre records** (see **Centre records – assessment and verification** for more details)
- evidence of achieving action points and/or recommendations since the last external verifier visit
- notes of any action carried out following 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.

6.18.3 Centre records – assessment and verification

Centres must make sure that assessment and quality assurance records are available for external verification purposes. These 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 candidate entry
- name of the centre assessor
- name of the internal quality assurance personnel
- date and outcome of the initial assessment of the candidate
- dates and details of candidate reviews and feedback sessions
- assessment method(s) used
- 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 assessments to justify the decision made
- an indication of frequency of, and reason for, the use of simulation, if used
- dates and outcomes of internal quality assurance
- action resulting from internal quality assurance
- certification.

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

7 Delivery

7.1 Mode of delivery

Specific requirements for practice, observed and assessed practice and the sequence of delivery for units in this qualification can be found in Section 5 of this handbook.

7.2 Wider issues

These qualifications provide opportunities 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

Teachers/Tutors delivering a programme of learning leading towards these qualifications would have opportunities to develop candidates' understanding of spiritual, moral, ethical, social, legislative, economic and cultural issues throughout all units.

- Social and cultural values could be addressed through the exploration of the way in which student-teachers interact with learners
- Social, cultural and ethical issues could be explored through the way in which student-teachers relate to different learners and types of learning
- Ethical and moral issues could be explored through a review of issues that could lead to exclusion of learners and the need to foster respect for others

Environmental issues, health and safety considerations and European developments

Teachers/Tutors delivering a programme of learning leading towards these qualifications would have opportunities to develop candidates' understanding of health and safety issues, environmental issues and European developments. Specific examples of the way in which these issues could be addressed include:

- Health and safety could be explored in relation to the use of equipment, review of working practices and through consideration of relevant legislation and codes of practice
- Environmental issues could be addressed through the exploration of ways in which resources are used and disposed of

7.3 Centre resources and requirements

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 resources required. Staff conducting assessment must understand fully the requirements of these qualifications. Centres should ensure that appropriate physical resources are made available to candidates.

7.4 Delivery in Wales and Northern Ireland

These qualifications have been regulated by Ofqual for delivery in England/Wales/Northern Ireland during the life of the qualifications.

They have been approved by the Welsh Government for use by centres in Wales and/or by the Council for the Curriculum Examinations and Assessment (CCEA) for use by centres in Northern Ireland.

Candidates in Wales or 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, including in the external assessment, the terms used have been selected as neutral so that candidates may apply whatever is appropriate to their own situation.

We will provide specifications, assessments and supporting documentation in English.

Further information concerning the provision of assessment materials in Welsh and Irish may be obtained from the OCR Customer Contact Centre: 024 76 851509.

7.5 Access arrangements and special consideration

Adjustments to standard assessment arrangements are made 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 one which is shared between OCR and the centre. Centre staff should consult the Joint Council of Qualifications' (JCQ) booklet *Access Arrangements, Reasonable Adjustments and Special Consideration* www.jcq.org.uk/.

This document should also be referred to for those candidates who may require a post-examination adjustment, special consideration (to reflect temporary illness, indisposition or injury), at the time of the examination/assessment.

For further guidance on access arrangements and special consideration please refer to OCR's *Admin guide: Vocational Qualifications* which can be downloaded from our website <http://www.ocr.org.uk/i-want-to/admin-guides/>.

7.6 Centre malpractice guidance

It is the responsibility of the Head of Centre* to report (in writing) all cases of suspected malpractice involving centre staff or candidates, to OCR Standards.

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

Further information is contained in the JCQ publication: *General and Vocational Qualifications - Suspected Malpractice in Examinations and Assessments* which is available from www.jcq.org.uk

* The Head of Centre is defined as the most senior officer in the organisation, directly responsible for the delivery of OCR qualifications, e.g. the Principal of a College, the Head Teacher of a school, the Managing Director of a Private Training Provider or the Group Training Manager of a major company.

8 Certification

Candidates who achieve the full qualification will receive:

- a unit certificate listing the unit or units achieved, with their related credit value and the unit reference number(s)
- a certificate giving the full qualification title and the qualification number.

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.

8.1 Claiming certificates

Certificates will be issued directly to the centre for successful candidates. In order to ensure that these are automatically issued, centres must ensure that the OCR candidate number is **always** used where a candidate has already achieved one or more units. See the *Admin guide: Vocational Qualifications* <http://www.ocr.org.uk/i-want-to/admin-guides/> for full details.

For details on how to make online claims for QCF qualifications see the step-by-step guide for centres *Making online claims for QCF and Functional Skills qualifications*. <http://www.ocr.org.uk/ocr-for/teachers/interchange/step-by-step-guides/>.

8.2 Multiple certificates recognising candidate achievement

Centres may receive certificates for qualifications that are part of a suite but for which the candidate has not been entered.

As the centre claims units for this qualification, OCR's system will validate the combination of units matches the rules of combination for this qualification.

In the process it will also check against the OCR candidate number for:

- qualifications/units already claimed and if these contribute to this qualification
- identify if this claim contributes to the achievement of the rules of combination for other qualifications.

If this is the case certificates will automatically be generated to recognise the candidate's achievement. For example, if candidates are entered for an OCR qualification which is part of a suite, e.g. a Level 3 Diploma in Business and Administration, when the units are claimed the system will check if the combination of units entitles the candidate to any other qualifications such as the Award or Certificate.

8.3 Replacement certificates

If individual certificates are lost or damaged within the centre, we will issue free replacement certificates for a limited time. Following this time, a charge will be made (see the [Fees List](#)). After a further period, we will no longer provide replacement certificates and centres will be issued with a certifying statement of results, which is an official copy of the results.

Please send centre requests to replace missing certificates to the Results Team at ocr.results@ocr.org.uk. Requests to replace damaged certificates should be sent to the Results Team, OCR, 1 Hills Road, Cambridge, CB1 2EU together with the certificates.

9 Administration arrangements

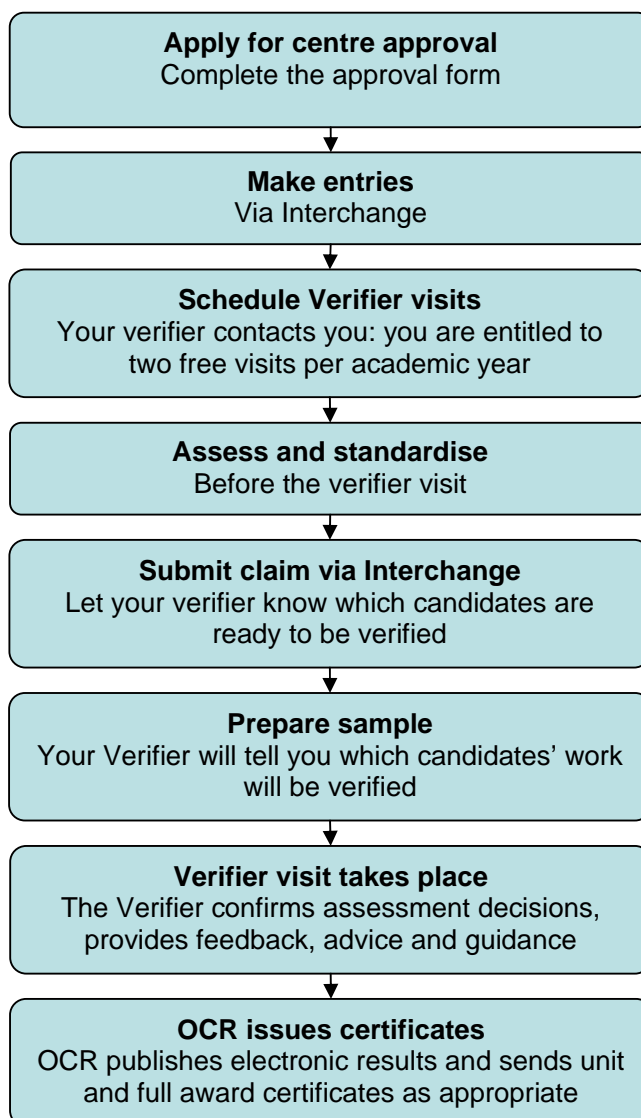
9.1 Administration arrangements for these qualifications

This section provides an overview of the administration arrangements operating for these qualifications. For detailed information centres must refer to OCR's *Admin guide: Vocational Qualifications* which is available to download from our website:

<http://www.ocr.org.uk/i-want-to/admin-guides/>.

9.2 Overview of full process

The following flow chart provides a brief summary of how these qualifications are delivered.



9.3 How to gain centre approval

Centres can download and complete the electronic Centre Approval Form from the OCR website and return it to OCR Operations (or complete and submit it electronically). Alternatively contact the OCR Customer Contact Centre on 024 7685 1509.

9.4 How to enter candidates

In order to let OCR know which qualifications your candidates wish to take, you need to make entries. Note that the term 'registrations' has been replaced by the term 'qualification entry'.

Making entries must be carried out via OCR Interchange - OCR's secure extranet facility. For full details of the process please see [Making entries for QCF and Functional Skills qualifications](#).

9.5 Entry options

Option(s) for candidate entry:

- Full award entry – Candidates can be entered for the full award when they are intending to complete the whole qualification rather than just individual units. This is often a more cost-effective way to make entries. Please note, however, if a candidate does not complete the full award, the remaining units cannot be transferred to another candidate. Following qualification achievement, if a candidate wishes to upgrade to the next size of qualification e.g. from an Award to a Certificate, they should claim unit entry for the additional units required, indicating that they are being claimed for the larger qualification.
- Unit entry – It is possible for candidates to build up their qualification unit by unit. This may be useful if a centre is unsure whether a candidate is intending to complete the full qualification.

Candidates should be entered either for the full award or individual units. They should not be entered for both.

Candidates can be entered for these qualifications through the Named Entry route. This is where you provide specific candidate information (e.g. name and date of birth) for each qualification. The advantage of named entry is that materials we supply are personalised, requiring less manual work later. In general, this is OCR's preferred entry route.

9.6 How to make claims

All claims should now be carried out via OCR Interchange. For full details of the process, see [Making online claims for QCF and Functional Skills qualifications](#).

10 Supporting documentation

10.1 OCR assessment documents

The OCR assessment documents for use in assessing these qualifications include:

- Assessor Observation Record
- Candidate Self-evaluation Record
- Evidence Record Sheet

Centres must use these, or an approved equivalent form capturing the same information for the assessment of candidates. These forms are available to download from the qualification page of the OCR website

Assessor Observation Record

This form (or a suitable alternative) is **mandatory** for centre records. It is designed to be completed by an assessor to record their observation of the candidate carrying out a teaching practice or microteaching session. It needs to capture the detail of what the assessor saw. All sections need to be completed.

Candidate Self-evaluation Record

This form (or a suitable alternative) is **mandatory** for centre records. It is designed to be completed by the candidate at the end of a teaching session to record their reflection on the outcomes of the teaching session.

Evidence Record Sheet (one to be completed for each verified unit)

For verified units this form (or a suitable alternative) is **mandatory** for candidates' CARs (see cumulative assessment record). It is the vehicle for linking the evidence to the assessment criteria. The evidence for the unit should be listed (as it is gathered) down the left hand side. The Evidence Record Sheet, where possible, should be completed by the candidate with the help of an assessor if necessary.

You are free to design alternative recording sheets for your candidates and centre to use. The sheets must meet certain criteria and be approved by your external verifier. Full details on the design and approval of recording sheets are described in the *Admin guide: Vocational Qualifications* <http://www.ocr.org.uk/i-want-to/admin-guides/>.

11 Mapping and signposting

11.1 National Occupational Standards (NOS) and other Professional Standards Mapping

These qualifications are directly relevant to the needs of employers and are underpinned by national occupational standards and the overarching professional standards for teachers, tutors and trainers in the lifelong learning sector.

11.2 Functional skills signposting

Training provided for these qualifications may help to prepare candidates for the functional skills assessment (e.g. report writing may be good preparation for English). It is likely however that further training would be needed to fully prepare candidates for functional skills assessment.

Each unit contains details of the signposting to functional skills.

12 Further support and information

This Centre Handbook and the *Admin guide: Vocational Qualifications* which is available to download from our website <http://www.ocr.org.uk/i-want-to/admin-guides/> contain the information needed to deliver and administer these qualifications. If there are any queries about these please see below for contact details. Support is also available on the OCR webpages at www.ocr.org.uk.

12.1 Interchange

OCR Interchange has been developed to help you to carry out day to day administration functions online, quickly and easily. The site allows you to register and enter candidates online. In addition, you can gain immediate, free access to candidate information at your convenience. Sign up at <https://interchange.ocr.org.uk>.

12.2 Customer feedback and enquiries

If you have any comments or enquiries about the qualifications in this handbook, you can get in touch with our customer contact advisers. You can:

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

email: vocational.qualifications@ocr.org.uk

telephone: 024 76 851509

fax: 024 76 421944

You can also visit our website at www.ocr.org.uk for further information about our qualifications.

12.3 Complaints

We deal with all complaints sensitively and speedily and use them to help us improve our service.

If you're not satisfied with a product or service we've provided, please follow the process set out in our [complaints policy](#).

You can:

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

email: complaints@ocr.org.uk

telephone: 024 76 851509

fax: 024 76 421944

12.4 Results enquiries and appeals

Please refer to the *Admin guide: Vocational Qualifications* which can be downloaded from our website <http://www.ocr.org.uk/i-want-to/admin-guides/>

12.5 Our professional development programme (CPD)

As part of our teacher training we offer a broad range of courses. We're constantly looking for ways to improve the support we offer you and to make our professional development programme more accessible and convenient to all.

To find out more about what is available, please visit our website at <https://www.cpdhub.ocr.org.uk/>, or you can:

write to: CPD Services
Progress House
Westwood Way
Coventry
CV4 8JQ

email: cpdhub@ocr.org.uk

telephone: 02476 496 398

fax: 02476 496 399

12.6 Documents related to these qualifications

<p><i>Admin guide: Vocational Qualifications</i></p>	<p>http://www.ocr.org.uk/i-want-to/admin-guides/</p>
<p><i>Making entries for Vocational qualifications via Interchange</i></p>	<p>http://www.ocr.org.uk/ocr-for/teachers/interchange/step-by-step-guides/</p>
<p><i>Making online claims for QCF and Functional Skills qualifications</i></p>	<p>http://www.ocr.org.uk/ocr-for/teachers/interchange/step-by-step-guides/</p>
<p>JCQ publications:</p> <ul style="list-style-type: none"> – <i>Access Arrangements, Reasonable Adjustments and Special Consideration</i> – <i>Instructions for Conducting Examinations</i> – <i>Suspected Malpractice in Examinations and Assessments</i> 	<p>http://www.jcq.org.uk/exams-office/</p>