Learning to Succeed

RAISING STANDARDS
IN
POST 16 LEARNING

**Building Practitioner Skills and Qualifications
in Work-Based Learning Funded by the
Learning and Skills Council
and the Employment Service**

TECHNICAL CONSULTATION DOCUMENT

AUGUST 2000

Employment Service

DfEE

Department for
Education and Employment

Contents

This document and the response form can also be found in PDF printable format on the DfEE Post-16 website at
www.dfee.gov.uk/post16/publications/trngqual.shtml

INTRODUCTION

1.1   In *'The Learning Age'*, (February 1998) the Government said that: *'Wherever and whenever people and businesses choose to learn, they should be entitled to high quality learning...'* (Chapter 5.1)

1.2   Raising standards has many facets, but the competence of those planning and delivering the training is a corner-stone. The Government went on to say that: *'We will be discussing with those concerned measures to improve the qualifications and competence of trainers.'* (Chapter 5.9)

1.3   In *"Learning to Succeed - a new framework for Post-16 learning"* (June 1999) the Government proposed the development of a range of qualifications for all Post-16 teaching and training staff.

1.4   In its Second Report (1999) the National Skills Task Force recommended that *"...all workplace training staff instructing Modern Apprentices should be required to hold appropriate qualifications as trainers".* (Chapter 3.69).

1.5   The Government has a key role to play both in developing new qualifications for Post-16 practitioners and in encouraging a culture of continuous professional development. That is why the Department for Education and Employment (DfEE) and Employment Service (ES) consultation document *'Learning to Succeed: Raising Standards In Post-16 Learning'* (May 2000) includes an expectation that the Learning and Skills Council (LSC) and ES will introduce a requirement that competent and appropriately qualified staff will deliver and assess learning in the provision that they fund.

1.6   To take these aspirations forward, in September 1999 the DfEE and ES established a project which:

a)   asked the Employment National Training Organisation (ENTO)[1] to review the skill needs of people who deliver work-based learning, the extent to which these are covered by existing frameworks of standards and qualifications, to identify gaps, and to make recommendations on how to fill them;

b)   asked the TEC National Council and ENTO to examine the characteristics of the trainer workforce and the extent of their qualifications; and

c)   asked ENTO to make recommendations about appropriate minimum qualifications which the LSC and ES might use as evidence of competence amongst providers of training that they will fund.

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[1] ENTO is the body responsible for setting standards for work based learning practitioners in the UK. ENTO took over this role from the former Training and Development Lead Body (TDLB), which originally developed the framework of standards and qualifications for practitioners. These are still commonly referred to as the TDLB Standards.

1.7   This document summarises the analysis and makes recommendations. It seeks views from stakeholders in the Post 16 learning market, and from the work-based learning market in particular, on whether you agree with the analysis and that the recommendations are right in principle.

1.8   A consultation response form is enclosed. This lists the main questions, which also appear at appropriate points in the text. We would also welcome any more general responses. Please send your response form or any other comments by 31 October 2000 by post to:

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You can also comment by e-mail to Trng.Qualifications@dfee.gov.uk

1.9   In addition to written responses, a series of consultation workshops for stakeholders will be delivered in September and October. More information is in Chapter 6.

1.10   This project is managed by a Steering Group representing a wide cross section of stakeholders in work-based and Post-16 learning. The organisations represented are listed at Annex E.

1.11   In this paper the term "Government funded work-based learning", abbreviated to GFWBL, has been used to refer to the work-based learning which is currently funded by TECs and ES, including the training element of New Deal, and which will be funded by the LSC and ES after April 2001.

1.12   The HOST Consultancy have undertaken much of the research which underpins the proposals in this document. HOST will shortly publish a fuller research document on their website at www.thehostgroup.co.uk

2. BACKGROUND TO THE PROPOSED APPROACH TO QUALIFICATION REQUIREMENTS

2.1 A national framework for standards and qualifications already exists for people who plan and deliver work-based learning. These training and development standards (commonly referred to as the TDLB Standards) are the responsibility of ENTO. They are currently being revised by ENTO[2].

2.2 The research shows that there is some mismatch between ideal requirements for people who plan and deliver work-based learning and the currently available standards and qualifications. Therefore, this consultation on minimum requirements is being taken forward by DfEE in conjunction with work led by ENTO to revise the TDLB Standards.

2.3 The TDLB Standards provide the most comprehensive framework of standards and qualifications designed for work-based learning, but there are other qualifications within other frameworks which are also relevant. We wish to encourage appropriate equivalencies to be established and to avoid a need for unnecessary re-assessment of qualifications.

2.4 Whilst we are mainly concerned with raising standards in provision which the LSC and ES will fund, we are also keen to choose standards which other providers or purchasers of work-based learning will see as relevant, and will wish to adopt.

2.5 The spine of the proposals is expressed in terms of the currently available TDLB NVQ Units where appropriate Units exist. We expect the minimum requirements to continue to be expressed in terms of the current Units until at least the middle of 2001, when we expect the revised TDLB Units to be endorsed by QCA. We then expect there to be an easy to understand path linking the current and revised Units. In general terms, we expect that the revised Units will comprise enhancements of current Units with some new Units to cover gaps. Thus, it will continue to be worthwhile for practitioners to acquire the current qualifications right up to the point when revised qualifications are introduced. There will then be a route provided to quickly update existing qualifications to meet the new specifications without duplicating previous efforts.

2.6 This project set out to define clusters of NVQ Units which relate to typical roles in the delivery of work-based learning and which can be nationally recognised by QCA. The LSC and ES will frame their requirements in terms of nationally recognised qualifications. We propose an approach which involves a core of essential Units and additional optional Units for each main role. We aim to minimise the need for practitioners to have to acquire Units which they cannot use in their jobs.

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[2] The review and revision of the TDLB Standards is being carried out by The HOST Consultancy under contract to ENTO. The revised Standards will form part of an integrated suite of Employment Standards which will bring together the current Personnel, Health and Safety and Trade union Standards, by Spring 2001.

2.7   In due course, the LSC and ES will expect the organisations they contract with and fund directly to demonstrate that they meet the requirements as a condition of funding. They will then expect these primary/first level providers to implement and support the same requirements amongst any sub-contractors or partners, including employers of trainees, who they involve in the delivery of training which is ultimately funded, wholly or partly, by the LSC or ES.

2.8   In February the DfEE published proposals for qualifications for FE college teachers. Work is currently underway to identify the skill needs and appropriate qualifications for people who deliver training or support in a number of related areas, including Life Skills in the Learning Gateway, Basic Skills, Key Skills, Adult and Community Learning and for Connexions Service Personal Advisors. This work is being co-ordinated within DfEE to ensure that the proposals which emerge are consistent.

3. THE CURRENT PRACTITIONER WORKFORCE AND SKILL GAPS

3.1   This chapter summarises the evidence about the numbers and roles of practitioners in work-based learning and about skill gaps.

The numbers and characteristics of practitioners

3.2   There is little past research on the numbers, functions and qualifications of those concerned with planning, delivery and assessment of work-based learning. Evidence from recent surveys carried out for this project by the TEC National Council and by HOST shows a wide range of both local and national bodies supporting TEC and ES funded provision at local level, and great variation in the numbers, mix, qualifications and experience of the practitioners they employ.

3.3   A survey of training providers and some employers conducted by HOST examined the characteristics of 5,100 practitioners in eight TEC areas. These were people who had been engaged in the delivery of training funded by TECs or ES during the previous year. When weighted to allow for non-response and contrasting TEC circumstances, the data suggests a practitioner community in England currently engaged in TEC or ES funded training of between 95,000 and 110,000 people. This does not include sub-contracted activities where providers out-source some tasks.

3.4   Providers identified a wide range of functions undertaken by these people. These can be grouped into the five main categories shown in Figure 1, which shows the overall occupational mix.

Figure 1: Staff directly involved in GFWBL, 1999-2000

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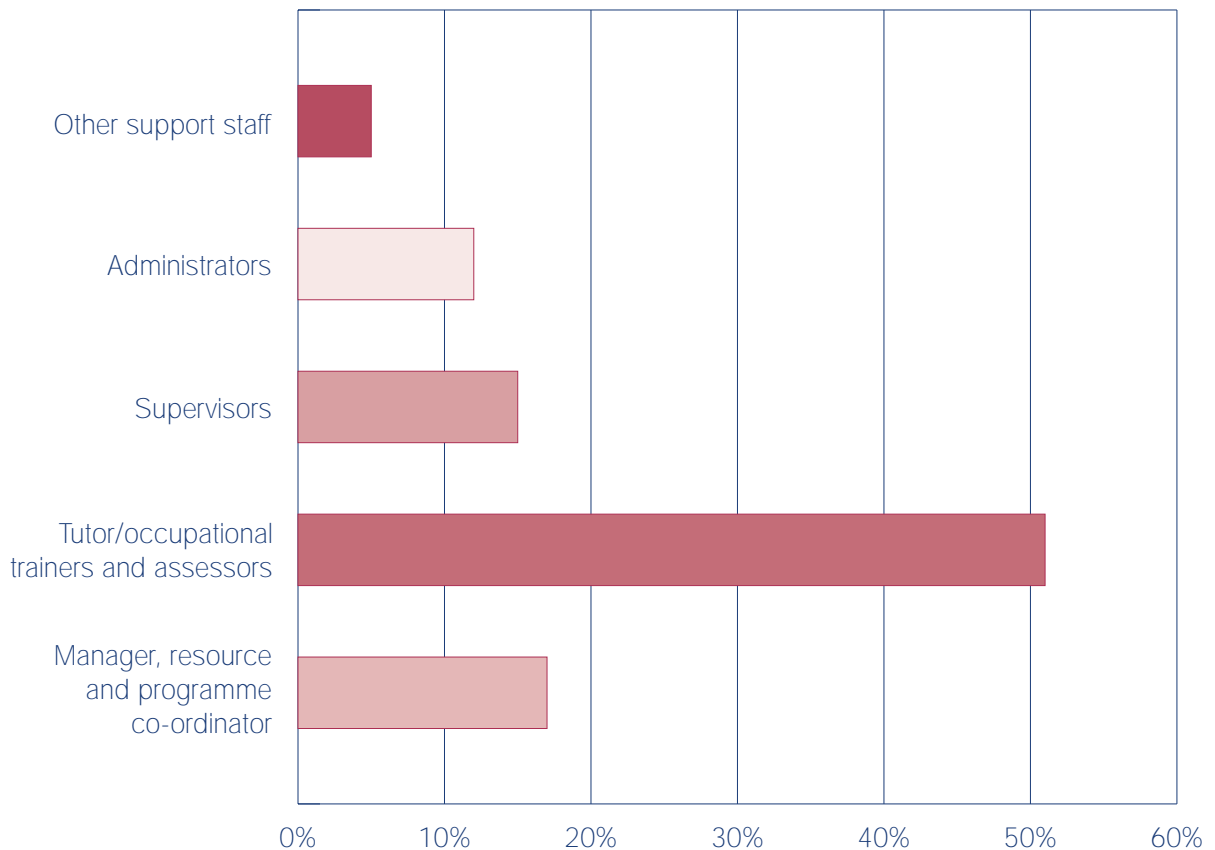
Source: HOST-TEC Consortia survey, 2000

3.5   This distribution shows the importance of 'front-line' staff. This varied little between TEC providers whose main business was the co-ordination or delivery of work-based or other vocational education and training, voluntary bodies or direct contracting employers.

3.6   These average figures disguise great variations between providers in the other staff groupings. There is no typical or 'model' structure in the way individual providers mixed functions into job roles. This diverse approach to mixing skills in different jobs is an important issue to be taken into account in shaping minimum qualifications for such practitioners.

3.7   The research also identified a range of out-sourced practitioner activities in many of the providers. Work-based assessment, and 'internal' verification were among the most commonly out-sourced activities, but again there was no consistent pattern, model or rationale. For example, employers and smaller providers often contracted-out because their service level needs could not justify retaining employed staff, whilst larger providers contracted-out to support flexibility and cost effectiveness.

Practitioner skill gaps

3.8   HOST found a range of opinion from the last three years which consistently suggests that the quality of planning, delivery and support of work-based learning gives cause for concern. Reports from Training Standards Inspectors and others[3] show that too often those involved in planning, managing and delivering GFWBL lack the skills or knowledge to undertake the roles they are asked to perform. Many also lack qualifications directly relevant to their roles.

3.9   Some of the recurrent skill gaps and problems identified from this and other evidence include:

- Limited co-ordination skills among practitioners - thought to stem from a complex mixture of inexperienced staff, often weak project management and communications skills but also from resourcing pressures and ineffective arrangements for managing sub-contracting;

- Inconsistent quality in providers' support of learners - with some practitioners being poorly equipped to bring appropriate skills to learner (as opposed to process) centred support;

- Unimaginative or ineffective design skills - often reflected in poor integration of on and off-the-job learning with the content of individual learners job roles and with task co-ordination and planning;

- Poor communications skills - with many practitioners failing to bring together the necessary links between the different contributors to the learning and assessment process. This was thought most commonly to produce problems for learner induction, formative assessment, planning of delivery, and the integration of on and off-the-job learning;

- Limited occupational competence - with practitioners having technical skills in, for example, summative assessment, but lacking the occupational (context) knowledge to conduct consistent and fair work-based reviews of learner performance. Some stakeholders were more widely concerned about the quality of assessment skills among those holding D32/33 Units;

- Weak skills in relating learning contexts to individual needs, often stemming from what was seen as a poor understanding of learning processes or learning styles and resulting in too rigid work-based learning processes.

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[3] This draws on evidence from a wide range of inspectorate reports from the Training Standards Council, from TECs, NTOs and other intermediary bodies, and from HOST fieldwork with providers and employers.

3.10 There were also many concerns about quality assurance processes. Concerns include internal quality assurance process, the skills of those providing external verification and moderation, and wider systems problems producing inconsistent quality assurance.

3.11 Qualifications are not a guarantee of quality, but they are important evidence of skills and competence. Improving levels of qualifications amongst practitioners is one important key to addressing these problems. The challenge is in better understanding what qualifications are currently used, and their value, against the evidence of what skills are needed, and then framing appropriate minimum requirements.

Q1 Does the evidence from the eight TEC areas, summarised here, reflect your wider experience of the numbers and occupational mix for practitioners? What do you see as the main differences from your experience?

Q2 What activities are most typically 'out-sourced' by providers, including direct contracting employers, and why? How does this affect quality of provision?

Q3 Does the very broad summary of skill gaps presented here reflect your wider experience? Which do you think have the most crucial impact on quality?
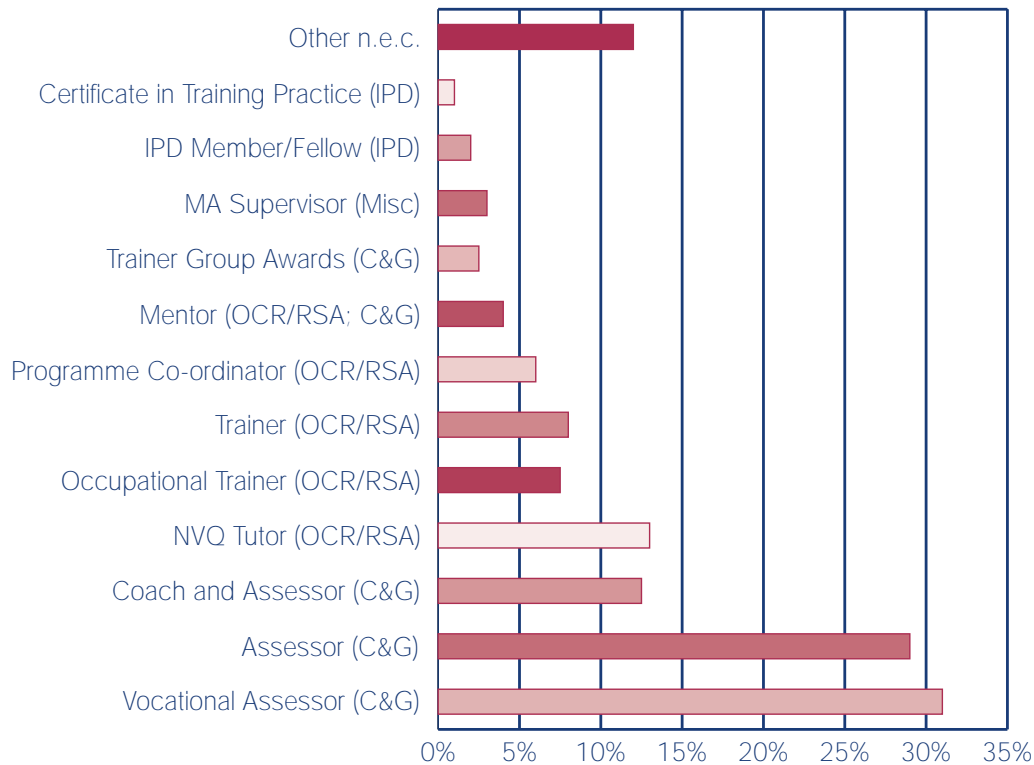
4. CURRENT LEVELS OF QUALIFICATION AND MINIMUM SKILL NEEDS

4.1 This chapter summarises the findings on current take-up of qualifications by practitioners, practitioner views on the value of available qualifications, barriers to practitioner development, and the minimum skill needs of practitioners.

The use and value of current qualifications in work-based learning

4.2 Research by the TEC National Council shows that staff of current TEC providers hold a remarkably diverse range of qualifications. Of these, the TDLB 'D' Units (assessment and verification Units), teaching qualifications (mainly Certificate of Education (Cert-Ed) or Post Graduate Certificate of Education (PGCE) and some City and Guilds qualifications (particularly C&G 730 and 928) predominate. However, the take-up of qualifications is generally low.

4.3 Among providers, qualification developments seem to be strongly influenced by national or TEC contracting requirements, and this accounts for the importance of the TDLB 'D' Units and the more recent focus on National Examining Board in Occupational Safety and Health (NEBOSH) qualifications. However, different TECs have sought different qualifications and this lack of consistent requirements also seems to have reduced the incentive for provider staff to take-up qualifications.

4.4 The more detailed research by HOST in eight TEC areas identified some of the more commonly held and relevant practitioner qualifications held by providers' staff. The distribution is shown in Figure 2. It confirms that overall the take-up of qualifications is low.

Figure 2: Qualifications of GFWBL practitioners

Bar chart showing the qualifications of GFWBL practitioners (horizontal bars, percentages):

Qualification	Approx. %
Other n.e.c.	12%
Certificate in Training Practice (IPD)	1%
IPD Member/Fellow (IPD)	2%
MA Supervisor (Misc)	3%
Trainer Group Awards (C&G)	2.5%
Mentor (OCR/RSA; C&G)	4%
Programme Co-ordinator (OCR/RSA)	6%
Trainer (OCR/RSA)	8%
Occupational Trainer (OCR/RSA)	7.5%
NVQ Tutor (OCR/RSA)	13%
Coach and Assessor (C&G)	12.5%
Assessor (C&G)	29%
Vocational Assessor (C&G)	31%

4.5   Caution is needed in interpreting this evidence. Some of these qualifications are relatively new, such as the MA Supervisor, whilst others such as Vocational Assessor are much longer established. Nonetheless, the results clearly show that the greatest take-up is of those qualifications centred on work-based assessment and verification. Generic qualifications for vocational trainers and tutors are significantly less widespread. Other qualifications, and in particular those focused on the management of training and quality, and related planning activities, are much less widely supported.

4.6   Providers are unhappy about the utility of some of these qualifications. There is also particular concern about the quality of training provision for the 'D' Units, and of its assessment by awarding bodies. There is also concern that practitioners have often acquired little or no underpinning knowledge of learning styles and behaviour and thus, whilst qualified, are not really competent to support and assess individuals' learning needs.

4.7   In the past TECs and CCTEs have worked with providers, and sometimes with the employers involved, to develop the qualification base of practitioners. For some this has centred on building assessment capacity and this accounts for the wide take-up of the TDLB 'D' Units - and particularly D32/D33. This may largely account for the pattern shown in Figure 2. Elsewhere practitioners' and TEC requirements have varied greatly, and those providers working across TEC boundaries have found it very difficult to accommodate often widely different TEC needs and provider development practices.

The barriers to practitioner development

4.8 The main barriers to training of practitioners and qualification take-up, and to undertaking initial or continuing staff development for practitioners in TEC funded training, are reported by providers to be:

- Costs - particularly for providers where budgets and supply margins were thought now to be so tight that staff development which was not externally funded would need a very clear rationale for participation. More than one commented on the considerable costs for key areas such as 'D' Units which remained high despite competition among providers;

- Staff release - an issue for employers and providers. Some providers had partially addressed this through establishing an employee development protocol based on cost-sharing where the organisation supported fees and basic travel costs, but the individual was expected to find a provider who could support learning out of hours;

- Work scheduling - an issue mainly for employers rather than providers, and in particular where shift working was involved or where managers and related staff had substantial 'on-call' responsibilities;

- Skill shortages were also an issue for some employers - where occupational practitioners where proving difficult to recruit and retain and this compromised their ability to develop individuals in the required training competencies.

4.9 Some providers have strong learning-centred cultures for their staff, but many do not. TSC reports show evidence that some providers lack employee appraisal schemes or have them but use them ineffectively to diagnose areas for professional development. In such organisations continuing professional development of staff was poorly supported. This is an important issue to individuals 'staying qualified' in work-based learning. Even among good practice providers, there is a common emphasis on securing staff with required (and often narrowly defined) qualifications and focusing staff development on those areas for new or developing contracting requirements.

Minimum skills needs for practitioners

4.10 Qualification requirements must be firmly founded on the actual skills needed by practitioners, and on how skill needs are typically grouped in key job roles. Any minimum qualifications requirements must be sufficiently flexible to relate to the diverse jobs that the research shows practitioners actually do.

4.11 The evidence suggests at least eight primary activities which are likely to be needed to underpin minimum skill-based standards. These are:

A   Manage the training and delivery process;

B   Plan and develop integrated programmes of work-based training;

C   Identify trainees' abilities and needs in relation to programmes of work-based training;

D   Provide appropriate work-based training opportunities;

E   Support trainees and monitor progress against an agreed training plan;

F   Assess trainees' achievements on work-based programmes;

G   Monitor and evaluate effectiveness of work-based programmes; and

H   Develop and monitor professional competence.

4.12 These are **activities not job roles.** The previous section has shown that providers and employers are likely to combine these in different ways in individual jobs. Any minimum qualification requirement based on these activities will need to be flexible to the way actual roles reflect them.

4.13 These eight primary activities are better understood by looking at the 156 'subsidiary' activities which go to make them up. These are shown in Annex A. We are keen to have views on the whole framework, but in particular on the relevance and grouping of primary and subsidiary functions.

Q4 Does the functional analysis set out in Annex A fully describe the activities within work-based training, or are there gaps? Does it provide a good indication of the minimum skills which practitioners, or groups of practitioners, will need to support the quality of delivery in work-based learning?

Q5 Are the functions, and hence skills, sensibly grouped? Would alternative groupings be more useful to meet the diverse ways in which employers and providers bring together necessary activities into job roles?

Q6 Which of the activities are essential to quality in delivery of work-based learning and / or should be underpinned by minimum skills requirements for the people who perform them?

5. ADEQUACY OF CURRENT QUALIFICATIONS AND MINIMUM QUALIFICATION NEEDS

5.1.   Many current practitioners may not hold formal qualifications but have high levels of competence resulting from experience. Others with qualifications may be less competent than non-qualified but experienced staff, through inexperience or weak assessment. Progression to a better skilled and better qualified practitioner workforce needs to recognise this diversity and include transition arrangements to accommodate it.

5.2   The starting point for tackling skills gaps must be to understand how the minimum skills needs described in Chapter 4 and Annex A relate to existing occupational standards and to the vocational qualifications based on them. This chapter maps out a view of the relationship between current standards, qualifications and minimum skills, and proposes a cluster approach to meeting requirements.

Current standards and the minimum skills

5.3   HOST analysed how well the minimum skills they identified are currently represented in existing occupational standards and in qualifications based on them. The closest fit in scope and focus is to the existing TDLB/ENTO training and development standards. Some 22 of the existing Units relate in varying degrees to three quarters of the content of the skills framework proposed. A quarter of the content is not at present covered, and some of these gaps are summarised in the table in Annex B. The gaps mostly centre on:

- managing the training and delivery process;
- planning and developing integrated programmes of work-based learning;
- supporting trainees and monitoring progress against an agreed training plan; and
- developing and maintaining professional competence.

5.4   Annex B shows that many of these gaps will be covered in the current revision of the TDLB / ENTO Standards.

5.5   The picture is less satisfactory when considering how the currently defined standards are drawn together in qualifications. At present there are at least 14 qualifications which would have specific relevance to the minimum skills. However there is great overlap in terms of Unit level coverage, and fragmentary coverage in terms of the overall content proposed in the minimum skills framework.

5.6   At the moment, any practitioner attempting to cover the whole range of functions in the proposed skills framework would need to undertake at least six of the qualifications, and then would only have covered an estimated three quarters of the standards-based content.

5.7   Current groupings of qualifications seem to have been successful in tapping expressed market needs, but have not related well to the wider skill mix needed. Minimum skills needs may be better addressed through clustering the primary activities to reflect the more common approaches to mixing these in job roles. At a minimum we propose three such clusters as shown in Annex C. These high level groupings cover:

- Programme Co-ordination;

- Direct Training and Support; and

- Workplace Review and Assessment.

5.8. The cluster approach is intended to provide a cost effective way to set standards which reflect real work roles. All the major Awarding Bodies have developed clusters for various purposes, as have various National Training Organisations. Some are larger than those proposed here, and some are smaller.

5.9 The addition of a core and options approach is intended to add flexibility whilst retaining enough commonality and clarity to enable the LSC and ES to deal effectively and consistently with providers at both local and national levels.

5.10 There may be other cluster combinations. In particular, it is unlikely that these clusters would meet the needs of employers of apprentices unless they are direct contractors or have very large numbers of trainees. For SMEs in particular a cluster may be needed which focus on assessment support (e.g. work observation skills) and work-based learner support or coaching. This is likely to be of most value to training managers and to supervisors who also train, but could be expanded to meet other skill needs. Bearing in mind the wider needs of workplace supervision, core items might include health and safety, induction, supervision, mentoring, instruction and assessment.

Q7 Do the ENTO / TDLB Training and Development Standards provide the best fit for the minimum skills framework? Do other standards or qualifications provide a sound basis for meeting minimum qualification needs?

Q8 Are the three proposed clusters the right ones or are they too broad? Would alternative or more groupings of the primary activities in the minimum skills framework provide a better basis for ensuring that all those involved as practitioners in work-based learning seek and acquire relevant qualifications?

Q9 Would a cluster aimed at supervisors of apprentices in SMEs and other participating employers be useful? If so, what should it contain as its core and options, that would support quality, but not overwhelm SME staff with an unrealistic development burden?

Q10 Does the cluster for 'Programme Management and Co-ordination' need to be split into one which focuses on planning and management at the level of the overall provision which the provider delivers, and one which focuses on provision at course level? If so, what should be in each cluster?

Q11 Which Units should be core Units within the clusters and which should be optional? How much should be core and how much optional to provide consistency?

6. NEXT STEPS

6.1 Please return your response form or any other comments by 31 October 2000 by post to:

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You can also respond by e-mail to Trng.Qualifications@dfee.gov.uk

6.2 In addition to written responses, a series of workshops for stakeholders will be organised by HOST in September and October. If you would be interested in attending a workshop, please say so on your response form. Places will be limited, and expressions of interest will be matched with places available to obtain a balance of different stakeholder views.

6.3 The results of this consultation will be evaluated in November. Once the principles of what the work-based learning market considers reasonable are clear, officials will make recommendations to Ministers about appropriate minimum qualifications requirements and who they should cover. The project will then go on to consider implementation issues including options, timescales, costs and funding. These will be the subject of further consultation, probably early next year.

6.4 The aim is that in the Spring of 2001 the LSC and ES should be able to make a clear statement to Post-16 learning providers about what they will expect of providers and their staff, and give a clear indication of the timescale in which they will expect it.

ANNEX A: THE PRACTITIONER SKILLS FRAMEWORK

Key Functions

A   Manage the training and delivery process;

B   Plan and develop integrated programmes of work-based training;

C   Identify trainees' abilities and needs in relation to programmes of work-based training;

D   Provide appropriate work-based training opportunities;

E   Support trainees' and monitor their progress against an agreed training plan;

F   Assess trainee achievements on work-based programmes;

G   Monitor and evaluate the effectiveness of work-based programmes;

H   Develop and maintain professional competence.

ANNEX A: EXPANDED FUNCTIONS

A   Manage the training and delivery process

A.1. Identify the resource requirements to deliver training programmes

i.   Establish the physical and financial resources required to deliver work-based training
ii.   Identify the human resources required to deliver work-based training

A.2. Establish an effective staff induction and development programme

i.   Establish the experience, competences and skills mix required in staff
ii.   Establish the level of Key Skills of staff in relation to the requirements of programmes
iii.   Develop an effective staff induction programme
iv.   Develop an effective staff appraisal system
v.   Identify a staff development programme for existing and new staff
vi.   Monitor and review the competence of staff in relation to the requirements of work-based training

A.3. Develop quality assurance systems for work-based training delivery

i.   Set up internal auditing and quality assurance arrangements
ii.   Identify and comply with external auditing and quality assurance requirements from funders, awarding bodies and inspection bodies
iii.   Create administrative arrangements which ensure the gathering and use of required information on training and assessment procedures
iv.   Establish an appropriate communication process with all partners in the training programme, including employers and other providers
v.   Ensure effective liaison with all external funding, awarding and inspection bodies
vi.   Develop criteria by which the quality of training and assessment can be evaluated and modifications made to systems and procedures
vii.   Contribute to the improved delivery of training and assessment provision

A.4. Manage the overall training and assessment process

i.   Identify the aims and objectives of the training provision in relation to labour market information, client groups and their needs and assessment requirements
ii.   Identify partners in the delivery of high quality training programmes and the arrangements for effective communication and liaison
iii.   Create information management systems which will provide the necessary information to monitor and evaluate delivery
iv.   Encourage enhanced access to training opportunities for all groups of trainees
v.   Identify and contribute to local and regional networks which ensure the delivery of good quality training
vi.   Influence and negotiate with key partners in the delivery of training

A.5. Ensure equality and access criteria are set and met

i.   Develop and apply equality of opportunity, diversity and access policies and practices
ii.   Encourage enhanced access to training opportunities for all groups of trainees
iii.   Set up effective equality auditing and monitoring procedures

A.6. Ensure health, safety and environmental protection criteria are set and met

i.   Develop and apply health, safety and environmental protection policies and practices
ii.   Ensure the health and safety of trainees in all parts of their training programme
iii.   Set up effective health and safety auditing procedures

B   Plan and develop integrated programmes of work-based training

B.1. Develop programmes which take account of the requirements of all stakeholders and agencies

i.   Identify the aims and objectives of each programme
ii.   Identify the required outcomes of programmes
iii.   Identify relevant qualifications which recognise achievement
iv.   Identify and comply with awarding body recognition criteria
v.   Establish the client group and eligibility criteria
vi.   Establish the funding process and its implications for delivery
vii.   Accommodate monitoring requirements
viii.   Establish appropriate programme design and delivery processes
ix.   Establish service level agreements with suppliers to ensure effective integration of components of the programme

B.2. Develop policies and procedures to deliver training programmes

i.   Develop policies and procedures which ensure equality of opportunity, and access
ii.   Develop policies and procedures which ensure health, safety and environmental protection requirements are met
iii.   Identify accreditation requirements of awarding bodies and develop systems to meet them
iv.   Establish appropriate selection and recruitment procedures
v.   Set up effective initial and diagnostic assessment procedures
vi.   Develop workplace supervision, support and assessment procedures
vii.   Establish induction, review and evaluation arrangements
viii.   Identify implications of funding regime for the programme
ix.   Identify and secure resources to deliver programme

B.3. Establish appropriate training experiences

i.   Identify appropriate training experiences which will deliver programme outcomes, including qualification requirements
ii.   Seek and obtain appropriate workplace provision
iii.   Identify appropriate training opportunities within the workplace
iv.   Establish the specific outcomes of each component of training
v.   Integrate on- and off-the-job components of the programme
vi.   Identify training and assessment opportunities for the integrated delivery of Key Skills

C.   Identify trainee abilities and needs in relation to different programmes of work-based training

C.1. Apply agreed recruitment and selection procedures

i.   Devise appropriate recruitment processes which relate to programme needs and vocational provision
ii.   Ensure recruitment and selection processes comply with defined equality of opportunity and access criteria
iii.   Select and use selection criteria which assist in placing trainees correctly

C.2. Plan the form and level of programme content to match trainee abilities and required outcomes

i.   Identify abilities to achieve programme outcomes
ii.   Explore trainee aptitude, vocational interest and expectations
iii.   Match trainee to appropriate and realistic vocational provision
iv.   Establish how programme content will deliver required outcomes

C.3. Review with trainees their experiences, achievements and abilities in relation to work-based programme outcomes

i.   Establish trainee's existing competences and aptitudes
ii.   Review trainee's past experience and achievements and give them due recognition in planning work-based training
iii.   Use appropriate forms of initial and diagnostic assessment
iv.   Assess existing levels of Key Skills
v.   Review prior training and vocational experience
vi.   Match trainee capacities to required outcomes of selected programme

C.4. Establish individual training needs and styles in relation to the programme

i.   Identify trainee's previous training experiences and preferred styles of training
ii.   Establish the training requirements of the programme
iii.   Agree specific training needs with trainee in relation to programme
iv.   Ensure trainee has support to develop required training skills throughout their programme
v.   Agree an individual training plan to meet specific training needs during the programme

C.5. Agree appropriate forms of review and evaluation of progress with trainees

i.   Identify the programme requirements for review of progress
ii.   Agree the nature and form of periodic reviews of progress with trainee
iii.   Ensure that appropriate individuals are identified to conduct reviews
iv.   Ensure all contractors are familiar with their role and obligations to the trainee in terms of progress review

D.   Provide appropriate work-based training opportunities

D.1. Identify relevant methods of training

i.   Select training methods which are compatible with the workplace
ii.   Match training methods to individual trainees' training styles
iii.   Match training methods to components of the work-based programme

D.2. Design training programmes to meet trainee requirements

i.   Select option for meeting training requirements
ii.   Design training programmes for trainees
iii.   Co-ordinate the provision of training opportunities with other contributors to the training programme

D.3. Evaluate and improve training programmes

i.   Evaluate training and development programmes
ii.   Improve training and development programmes
iii.   Develop training and development methods

D.4. Prepare and develop resources to support training

i.   Prepare materials and facilities to support training
ii.   Develop materials to support training

D.5. Make best use of work-based activities in training programmes

i.   Assess the potential of the workplace for useful and realistic training opportunities
ii.   Structure training around appropriate workplace activity
iii.   Produce appropriate training materials based on workplace activities
iv.   Plan for the integration of work-based activities with off-job provision
v.   Use the workplace context to develop appropriate skills and competences
vi.   Devise effective review and recording procedures to capture achievement in the workplace
vii.   Match training methods to individual trainees' training styles
viii. Match training methods to components of the work-based programme

D.6. Provide work-based training

i.   Identify individual training aims, needs and styles
ii.   Create a climate conducive to training
iii.   Design training and development sessions
iv.   Agree training programmes with trainees
v.   Facilitate training in groups
vi.   Facilitate training through demonstration and instruction
vii.   Facilitate training through coaching
viii. Provide workplace mentoring
ix.   Facilitate group training
x.   Evaluate and improve training sessions

D.7. Create, maintain and monitor safe work-based training environments

i.   Monitor workplace for compliance with health and safety requirements
ii.   Ensure workplace programmes provide adequate health and safety induction and training

E. Support trainees and monitor their progress against an agreed training plan

E.1. Identify individual trainee needs

i.   Identify available training opportunities
ii.   Identify available support for trainees
iii.   Identify trainees particular needs and requirements

E.2. Maintain and encourage effective communication with trainees throughout the work-based programme

i.   Identify the information and support needs of trainees
ii.   Establish effective information management systems between providers, employers and trainees
iii. Create regular opportunities for trainee feedback on programme delivery

E.3. Review the training experience with trainees

i.   Set up formal mechanisms for review of trainee progress against individual training plans and required programme outcomes
ii.   Integrate feedback from on- and off-job provision on trainee progress
iii. Involve the trainee's workplace supervisor and/or colleagues in the review process as required
iv.   Agree changes to the training plan with trainees and providers
v.   Monitor the effectiveness of agreed changes with trainees and providers

E.4. Ensure access to personal support

i.   Ensure trainee entitlement to appropriate forms of training support
ii.   Provide access to guidance and support outside the training programmes as required
iii. Ensure trainees have access to personal counselling and support services

E.5. Provide career guidance and support in job search

i.   Review trainee preferences and expectations in relation to employment
ii.   Identify the contribution of current training programme to individual career plans
iii. Ensure trainee has access to job search opportunities and support programmes
iv.   Review future career and employment plans with trainee and agree next steps
v.   Liaise with appropriate career and employment services and refer trainee on as required

F.   Assess trainee achievements on work-based programmes

F.1. Identify and use assessment methods appropriate to work-based training programmes

i.   Analyse work-based provision for assessment opportunities
ii.   Devise integrated assessment procedures between on- and off-the-job provision
iii. Identify appropriate workplace contributors to the assessment process
iv.   Identify and use full range of assessment opportunities within the work-based programme

F.2.   Assess trainee achievement

i.   Ensure that trainees understand and are fully involved in the assessment process
ii.   Support work-based assessment
iii.   Agree and review a plan for assessing trainees
iv.   Collect and judge evidence against assessment criteria
v.   Provide feedback and support to trainees on assessment decisions
vi.   Maintain own competence as an assessor

F.3.   Contribute to the quality assurance of the assessment process

i.   Apply internal quality assurance systems
ii.   Support and develop assessors
iii.   Monitor the quality of assessor performance
iv.   Apply internal quality assurance systems to meet the requirements of awarding bodies
v.   Contribute to the evaluation of the effectiveness of internal quality assurance and assessment arrangements

G.   Monitor and evaluate the effectiveness of work-based programmes

G.1.   Gather and use information on training programmes and their outcomes

i.   Identify reporting and monitoring arrangements required for each programme
ii.   Establish the quality indicators to be used to measure success
iii.   Set up and monitor quality information collection and evaluation procedures

G.2.   Comply with organisational quality assurance procedures in relation to training inputs and achievements of trainees

i.   Collect appropriate quality information, including trainee feedback
ii.   Evaluate the effectiveness of components of work-based training programme using appropriate evidence
iii.   Contribute to the review and development of training programmes
iv.   Identify required changes to training programme and agree changes with others
v.   Implement and monitor changes

H   Develop and maintain professional competence.

Generic competence - no lower level descriptors.

Primary function	Alignment with current Employment NTO Units (ex TDLB)	Matching and qualification articulation and comments on revised Units gap filling
Manage the training and delivery process	A11, A13, B11, B12, C12, E12	No single discrete qualification which covers this function.
Plan and develop integrated programmes of work-based training	A21, A22 B21 ,B33 C22	Several sets of standards/awards deal (but not wholly) with this function. B21 and 23 cover much of this area - especially if enhanced with quality assurance, contracting and information handling in revised standards.
Identify trainee abilities and needs in relation to programmes of work-based training	A21, A22 C22, C11 D11	A21 and A22 cover much of this function - especially if enhanced with recruitment and selection competencies currently being revised. Qualifications tended to have coverage of A21 or A22 - not both.
Provide appropriate work-based training opportunities	B22, B31 C21, C23, C24, C25, C27	Further differentiation may be possible since B22 with C24 and C25 represent competencies for direct training at the workplace. Various permutations of these Units in tailored sectoral awards.
Support trainees and monitor progress against an agreed training plan	C26 D11	Not complete coverage of the defined competencies in the current standards but in this will be responded to in current revisions. Strong alignment to available qualifications.
Assess trainees' achievements on work-based programmes	D31, D32, D33, D34	Strong coverage by 'D' Units except for workplace job observation skills. Few qualifications support D31.
Monitor and evaluate effectiveness of work-based programmes	E21, E22, E23	Adequate representation in standards (and will be strengthened in revised standards).
Develop and monitor professional competence	E31 (part)	Poor and patchy coverage by available qualifications. E31 does not currently cover the 2nd area of competence (work with a work-based learning value base…). Qualification coverage reflects this.

Annex C - Possible cluster combinations of Training and Development NVQ Units for the three high level functional combinations proposed in Chapter 5.

Programme Co-ordination

A11 Identify organisational human resource requirements;
A13 Identify organisational training and development needs;
A21 Identify individuals' learning aims, needs and styles;
A22 Identify individual learning needs;
B11 Devise human resource development policies and plans
B12 Devise a plan for implementing an organisationís training and development objectives;
B21 Design learning programmes to meet learners' requirements;
B33 Prepare and develop resources to support learning;
C11 Co-ordinate the provision of learning opportunities with other contributors to the learning programme;
C12 Implement human resource development plans
C22 Agree learning programmes with learners.
D34 Internally verify the assessment process.
E12 Introduce improvements to human resource development to an organisation
E21 Evaluate training and development programmes;
E22 Improve training and development programmes;
E31 Evaluate and develop own practice.

Direct Training and Support

B22 Design training and development sessions;
B31 Design, test and modify training and development materials;
C21 Create a climate conducive to learning.
C23 Facilitate learning in groups through presentations and activities;
C24 Facilitate learning through demonstration and instruction;
C25 Facilitate learning through coaching;
C27 Facilitate group learning.
E3 Evaluate training and development sessions.
E31 Evaluate and develop own practice.

Workplace Review and Assessment

C26 Support and advise individual learners;
D11 Monitor and review progress with learners;
D31 Design assessment methods to collect evidence of competent performance;
D32 Assess candidate performance;
D33 Assess candidates using differing sources of evidence;
E31 Evaluate and develop own practice.

Annex D: Recent Post-16 Publications and Consultation Documents

- Learning to Succeed White Paper - a new framework for post-16 Learning (published June 1999);

- Learning to Succeed - School sixth form funding - A Consultation Paper (published June 1999);

- Minimum Qualifications for FE Teachers - A Consultation Paper (February 2000);

- The Learning and Skills Council Prospectus (published December 1999);

- Post-16 Funding and Allocations: First Technical Consultation Paper (published January 2000);

- Connexions - The best start in life for every young person (published February 2000);

- Inspecting Post-16 Education and Training - an informal consultation on the Common Inspection Framework (published April 2000);

- Post -16 Funding: Second Technical Consultation Paper (published May 2000);

- Post -16 Funding Flows and Business Processes (published May 2000);

- Raising Standards in Post-16 Learning - A Summary Consultation Document (published May 2000);

- Modern Apprenticeships Consultation (published July 2000).

Most of these publications can be accessed via the Internet on the DfEE Website: *www.dfee.gov.uk/post16/publications*

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Annex E: Membership of the DfEE/ES Steering Group

Simon Baddeley	DfEE, Quality and Financial Assurance Division - Chair
Bill Blakey	DfEE, Quality Standards and Assessment Division - Project Manager
Tony Green	Employment NTO - Development Project Manager
Bob Hardwick	Higher Education NTO
Mary Lord	TEC National Council
Veronica Windmill	Further Education NTO
Mrs Pat Ledwith	PAULO (Community Based Learning and Development NTO)
Judith Meyrick	NTO National Council
Roy Harrison	Institute of Personnel and Development
Paul Convery	Training and Employment Network
Bill Wood	The National Training Federation
Lisa Yeoman	Training Standards Council
John Coolbear	GO for East of England
Maurice Elliot	GO for West Midlands
David Frazer	Qualifications and Curriculum Authority
Chris Higgs	Employment Service, Jobseeker Mainstream Services Division
Lilian Woodhouse	Employment Service, Jobseeker Mainstream Services Division
Stuart Gordon	DfEE, National Training Organisation Division
Kath Jakubiak	DfEE, Resources and Contract Management Division
Stephen North	DfEE, Partnerships, Skills and Young People Division
Eric Stark	DfEE, Standards, Quality and Access Division
Professor David Parsons	The HOST Consultancy

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