



National Center for  
Professional Certification

**Assessor Guidance #9**  
August 2003

**Supervisor Involvement in Assessment**

NCPC recommends that a candidate's assessor be his/her supervisor. However, sometimes this is not possible and in some cases, not advisable due to workload. If the assessor is not the supervisor of the candidate, the assessor is required to conduct an interview with the individual's supervisor for at least 50% of the units in the portfolio - specifically:

1. All units relating to team work, communication, relationships and support of clients or residents.
2. Specific questions about performance of the candidate related to the elements and performance criteria.
3. Specific questions about any developmental needs of the candidate.
4. Feedback from the supervisor about the competence to perform in the workplace of the candidate.
5. Specific examples of good performance related to the unit area discussed.

The requirement for conducting and initial assessment will go into effect for all candidates trained after August 20, 2003. Internal Verifiers are required to advise all assessors under their supervision of this requirement.

Effective Date: August 20, 2003

## **Assessor Guidance #8**

August 2003

### **Initial Assessment**

Our External Verifier has recommended that we develop a specific method or recommendation for assessors to complete an initial assessment with candidates. The objective of this initial assessment is:

1. Provides for an introductory meeting format that allows the assessor to collect information relevant to the developmental needs of the candidate.
2. Provides a specific format for Assessor Candidates to conduct the first meeting with their assigned candidates.
3. Provides for an early analysis of the potential training needs of the candidate.
4. Provide a picture of the strengths of the candidate to focus beginning work that assures success.
5. To establish specific goals for meetings, completion and training attendance.

Each assessor must complete the NCPC Initial Assessment with his/her candidate and it must be placed in the front of the portfolio after the portfolio face sheet. This assessment should be referred to and updated as needed during the life of the portfolio. It would also be beneficial to note any training attended by the candidate during the course of completing the certificate.

The requirement for conducting and initial assessment will go into effect for all candidates trained after August 20, 2003. Internal Verifiers are required to advise all assessors under their supervision of this requirement.

Effective Date: August 20, 2003

**NCPC Candidate Initial Assessment**

Candidate Name:

Assessor Name:

Date of Assessment:

1. Number of Years in Position:

2. Types of Training Previously Attended Related to Certification You Are Seeking (review list of mandatory and optional units, discuss type of training attended, note any areas, particularly mandatory units, for which candidate may need more knowledge development):

Unit Discussed	Relevant training or developmental need.	Training may be needed ✓.

3. What do you consider your strengths?
  
4. What do you consider to be your challenges?
  
5. Any special needs?
  
6. Why do you want an NCPC certification?
  
7. What is your goal for completion of the certification?
  
8. Discussion of Roles and Expectations:
  - a. Meeting schedule:
  - b. Completion goals:
  - c. Suggested training:

## NCPC Portfolio Training Attendance Record

This record can be used in the front of the portfolio with the Initial Assessment to document training attendance during the candidate's work on the portfolio.

Topic	How does this training support certification?	Instructor	Location and Date Attended

**Assessor Guidance #7**  
December 02

**Assessor Candidates Internal Verification of Units**

This guidance is relevant to assessment of assessor candidates and all assessors and internal verifiers that assess the Assessor Award.

In order to achieve competence in the Assessor Award, the assessor candidate must have **positive Internal Verification on all 6 elements of the work they develop with their occupational candidates in their Assessor Portfolio**. The assessor candidate must have planned and judged at least 6 elements and submitted these elements to their IV. The IV must verify that all of the evidence is competent prior to the assessor candidate submitting their assessor portfolio for final assessment.

The internal verifier that verifies the occupational candidate's work is also required to perform a second-line assessment, since the assessor is an assessor candidate and not certificated. The internal verifier can not "sample" the occupational candidate's work but must verify and second-line assess each piece of evidence contained in the 6 elements. Positive verification must be attained prior to the assessor candidate submitting their portfolio for final assessment.

The assessor candidate must complete all Planning & Assessment Forms and all questioning in their own handwriting or electronically. When completing this type of work an assessor candidate may not ask candidates to complete these activities. This is important because the assessor candidate must demonstrate their ability to complete all records appropriately. It should be easy to discern the difference between the occupational candidate's work and the work of the assessor candidate.

Any questions/comments regarding this guidance can be directed to:  
Shawn Hensley-Meyers at 706-869-1712 or [Shawn@NCPOnline.org](mailto:Shawn@NCPOnline.org)

A review of this guidance will be discussed at the Internal Verifier's meeting at the February Assessor Conference.

**Note - Assessor Guidance #6: Assessor Performance Standards has been incorporated into NCPC policies and procedures.**

### **Assessor Guidance #5**

December 2002

#### **Performance Criteria Relationship to Range**

This guidance is applicable to all certifications. All assessors are responsible for implementing this guidance as of December 30, 2002.

Range/scope criteria are integrally linked to performance criteria. If performance criteria has a corresponding range criteria both must be evidenced and indexed. **A candidate cannot evidence range alone; it must correspond with performance criteria containing the range. Most of the standards identify the corresponding range criteria by underline in the performance criteria.**

#### **Example:**

P1 The candidate holds meetings with relevant people.

Range:        Relevant People  
          a) staff members  
          b) higher level supervisors  
          c) individuals outside the agency

In order to achieve sufficiency, the candidate must demonstrate competence for P1, as well as the required range. This may involve submitting several pieces of evidence to account for all of the range, and to demonstrate that the candidate can perform under a range of conditions on more than one occasion (demonstration of "over time").

If the element contains 5 performance criteria and all contain the range, relevant people, the candidate does not have to provide evidence for all 3 relevant people in every performance criteria; however, the candidate must convince their assessor of their competence involving the range and at least some of the evidence must come from performance.

Any questions/comments regarding this guidance can be directed to:  
Shawn Hensley-Meyers at 706-869-1712 or [Shawn@NCPCOnline.org](mailto:Shawn@NCPCOnline.org)

There will be a review of this guidance at the Internal Verifier's meeting at the February Assessor Conference.

**Assessor Guidance #4**  
Revised April 16, 2002

**Advice & Guidance to Management Candidates**  
**On**  
**Management Mentors and Reflective Analysis**

*This guidance was given to the NCPC in February 2002 from Joanna Hurren, Chief External Verifier at City & Guilds.*

**Management Candidate Mentor:** Each management candidate must select a mentor to discuss their portfolio work and practice with during the certification process. This individual does not need to be involved in NCPC, but should be an individual that the candidate admires and can seek advice from during the course of the process. Managers in practice often are isolated because of their position and in NCPC, we require the development of a professional support system as well as a mentorship arrangement. The individual selected as a mentor must be noted on the portfolio face sheet.

**M Mentor Involvement in Portfolio Development: Active participation of the mentor in the development of the candidate's portfolio must be documented by mentor and candidate on Assessment Planning and Meeting Record. The mentor must sign these and candidate just as an assessor would sign.**

**Instructions:** This is to be used as advice and guidance for Management Candidates pursuing certification in levels 3, 4, and 5.

**Management Candidates are required to use reflection in each unit of their certification.** Candidates can go about this in one of two ways. First, a candidate may complete a reflection for each unit incorporating key performance criteria, much of the knowledge criteria, and aspects of the range when necessary, for each element within that unit. Secondly, a candidate may choose to complete an intensive reflection compiling all the units in their certification that incorporates key performance criteria, much of the knowledge criteria, and aspects of the range when necessary, for each element in every unit.

Candidates who have previously submitted portfolios for Internal Verification and are awaiting feedback may be requested by their assessor to complete an over-arching reflection on the work they prepared in their portfolio. This would incorporate not only "what" they did, but will detail the "why's" of their practice related to the completed

units. This may be needed to cover underpinning knowledge not yet demonstrated. Your assessor will notify you if this is required.

### **Guidance on Reflective Analysis Composition by Level:**

#### **Management Level 3**

**Management 3 candidates** should compose reflections taking into account the above referenced advice including descriptions of **what** their practice entailed, as well as **why** they chose to implement that particular practice. Candidates should discuss **how** their practice has changed over time, giving specific examples of how and why these changes were made (i.e. because of additional education, training, learning from mistakes made laws or organizational regulations, etc.). At times, candidates may also reflect on how and why they might handle a similar situation differently when faced with it again in the future.

#### **Management Level 4**

Management 4 candidates should compose a reflection following the guidance for Management 3 candidates, plus incorporating the following:

- 4 Sharing their ethics/values/principles guiding their decision-making,
- 4 Discussion of laws and organizational rules & regulations guiding their decision-making (specific laws or policies should be cited),
- 4 Particular strategies they have used in various situations with employees.

#### **Management Level 5**

Management 5 candidates should compose a reflection following the guidance for Management 3 & 4 candidates, as well as incorporating the following:

- 4 Discussion of Management Theory throughout each unit and how this has impacted their decision-making,
- 4 Management Strategies used in dealing with similar and different situations, and how these impact various employees differently,
- 4 Discussion of working with a Board of Directors and how this impacts decision-making,
- 4 Ways of incorporating aspects such as, employee morale, turnover, and organizational growth in the decision-making process,
- 4 Encountering opposition from sister agencies, collaborative partners, and other organizations within their community. Strategies for

overcoming such opposition, and how you present this to your own staff members at various departmental levels.

This guidance was issued March 8, 2002 from NCPC.

### **Assessor Guidance #3**

August 2002

#### **Using CYP3 - Managing Challenging Behavior for Care 2 or 3**

A copy of this unit can be requested by contacting the National Office. This is a new unit on Managing Challenging Behavior for use residential settings. The unit is very well done and I would encourage all residential programs to review it for use in their facilities with all staff required to implement behavior management procedures such as restraint. In the UK, this unit is currently part of the Working with Children and Young People 3 standards that we do not use very much in the United States. It is not part of the Care 2 or 3 standards in the UK because they do not use restraint in residential care.

I have discussed use of the unit with Joanna Hurren for advice and have made the following decision.

If a candidate is currently enrolled for the International certificate (all candidates prior to July 1, 2002) they may do this unit in addition to the requirements for Care 2 or 3 for a separate certificate.

If a candidate is registered after July 1, 2002 and would like to do this unit, it may be used as an option B unit in place of one required by the standards.

Please let me know if you have any questions about the use of this unit.

Issued August 19, 2002

Tamara Ard

## Assessor Guidance #2

February 5, 2002

### Overtime Demonstration of Competence

NCPC Candidates must demonstrate within each element that the practice represented by the evidence is their usual practice and not just a one-time event. The goal of the program is to ensure that best practice is used in the workplace overtime and reinforced. To accomplish this, several things must be kept in mind:

1. When planning an element, develop a piece of evidence that will assure overtime practice is demonstrated such as:
  - \* an assessor/supervisor observation or a witness testimony from a non-assessor supervisor,
  - \* a brief interview by the assessor, recorded on an observation form, with a person who can attest to the candidates routine practice,
  - \* multiple pieces of product evidence demonstrating the practice,
  - \* Cross-referencing to evidence already in the portfolio that will add strength to the overtime demonstration of that element.
2. This approach must be a conscious planning activity by the assessor during the planning and assessment process with the candidate. If it is not, the candidate may need to collect more evidence at the end of the process.

Please make sure you approach assessment practice with this in mind.

**Assessor Guidance #1**  
October 2001

**Auditable Portfolios**

1. Assessors must be clear on planning documents which Units and Elements they are working on. This should be indicated at the top of the planning form. This is required so an IV can track the planning of one unit.
2. Assessors must be clear in documenting planning, assessment and judgment decisions when a unit is completed and document the decision. The purpose of this requirement is to allow an IV to review the completion of the assessment process when they are conducting second line assessment or internal verification. In second line assessment, the IV must be able to track the planning of a unit through the assessment to the final decision. Entries on the meeting and planning forms should include documentation such as:

Assessment and Planning Meeting Form  
Units/ Elements: D2

Example 1:

Assessment/Planning  
10/1/01

Today I reviewed 3 pieces of evidence for Unit D2. Sally has completed 2 elements and we used evidence from those units including meeting agendas, witness testimony, and handouts to document competence. When reviewing Element D2.3, I felt like Sally needed one more piece of evidence to document overtime practice. As her assessor/ supervisor I will develop an observation to include on the many times I have seen her conduct meetings. We will complete this unit by our next meeting on 10/15/01.

Example 2:

Judgment/Assessment

10/15/01

Today Sally I. Care completed Unit D2. Her evidence include meeting agendas, notifications of meetings, handouts and attachments provided to participants, witness testimony from a staff member who attended meetings she conducts and an observation from me re: past meetings I have seen her conduct.

I have reviewed all evidence against the required criteria and I find her competent in D2.

3. Assessor must have legible handwriting. This is critical so the planning and assessment process can be reviewed.
4. The ultimate goal is the assessment decisions must be "auditable." This means that an IV or EV should be able to track the planning, evidence collection, assessment and judgment of specific units. This will allow a sampling strategy to be effective without the need to review each piece of evidence.