



CILEx Level 3 Legal Services Competence Qualification

CILEx Level 3 Diploma in Providing Legal Services
(603/0122/3)

From 1 September 2019 - this qualification is no longer
available to new learner registrations

Qualifications Handbook

Issued: September 2017

Qualification at a glance

CILEx Level 3 Diploma in Providing Legal Services For all new starts in England and Northern Ireland from 1 September 2016					
Ofqual/CCEA Qualification Number	603/0122/3				
Operational Start Date	01/08/2016	Guided Learning Hours (GLH)	212	Total Qualification Time (TQT)	410
Regulation Start Date	19/07/2016	Credit Value		41	
Age Group	16-19 (Key Stage 5), 19+				
Entry Requirements	There are no formal entry requirements but CILEx recommends that learners embarking on the programme of study for this qualification have a minimum of four GCSEs at grade C or above, including English language/Literature, Maths and IT or equivalent qualifications.				
Additional Requirements to gain this qualification	This qualification requires the learner to be employed in an appropriate role so that they are able to demonstrate competence against the unit assessment criteria in a real work environment.				
Assessment Method	Learners are required to produce evidence against the unit assessment criteria. An assessor will review evidence and determine whether it meets the assessment criteria.				
Eligibility for Funding	Yes				
Content	The qualification has ten mandatory units as follows: <ul style="list-style-type: none"> • Business structures and compliance with legal, ethical and regulatory requirements in the provision of legal services • Communicate effectively whilst maintaining the security of information • Draft legal documents • Manage files for legal matters • Plan and manage own workload • Conduct legal research • Process clients' instructions • Apply relevant costs and billing requirements in relation to legal matters • Contribute to effective team working • Maintain and develop own knowledge, skills and competence 				
Approval to deliver the qualification	This qualification requires full centre accreditation and approval to deliver competence based qualifications.				
Availability	This qualification is available in England and Northern Ireland only.				

Customer Service Statement

Delivering Customer Service

CILEx aims to support, educate and represent its members throughout their legal career. CILEx is committed to providing the highest standards of customer service.

CILEx Assessment Team Customer Service Statement

- To provide comprehensive legal education
- To develop relationships with all members
- To communicate with all customers in a clear and effective manner
- To ensure that all CILEx services are subject to quality assurance
- To aim to deliver the highest level of customer satisfaction and meet customer needs in the most effective way
- All stakeholders will be treated with dignity and respect
- CILEx will comply at all times with its Equality and Diversity Policy

The CILEx Assessment team will:

- Provide clear information to all prospective students about educational opportunities
- Acknowledge enquiries within 1 working day
- Ensure all customers are aware of the complaints procedure through regularly updated information on www.cilex.org.uk. Complaints will be acknowledged within 3 working days and answered within 10 working days
- Ensure all students know the examination results enquiries and appeals procedure through regularly updated information on www.cilex.org.uk
- Results enquiries will be acknowledged within 5 working days and answered within 6 weeks, where re-marking or a QA review is required
- Make every effort to ensure all documents and guidance given to students, centres and employers is clear and relevant and available on www.cilex.org.uk
- Listen to customers and monitor changing needs
- Monitor needs of employers to ensure the CILEx qualification remains relevant
- Review the unit specifications each year
- Deal with your queries promptly and courteously
- Provide accurate and timely information to help you make decisions
- Respond promptly to any issues that you may raise

Our Assessment Team Administrators will:

- Be comprehensively trained to provide advice on the CILEx qualifications and examination and professional skills assessment regulations and processes
- Provide accurate and reliable information
- Arrange to return your call at an agreed time, if your enquiry requires in depth research
- Be available from 8.45am - 5pm (Monday, Tuesday, Wednesday & Thursday), and 9am - 4pm (Friday), excluding Bank Holidays and the period from Christmas Eve to New Year's Day.

There are several ways in which you can help us to meet the standards:

- When you call or email us, please have your membership number available so that we can clearly identify you
- Tell us when we are getting it right, so that we can do more of it
- Tell us when we are getting it wrong, so that we can resolve the issue, learn from our experience and improve the service for all our members
- Talk to us rationally, calmly and respectfully, so that we can work together to resolve your enquiry as soon as possible.

Complaints

If you wish to register a complaint regarding standards of service for Assessments, please contact us via email at awards@cilex.org.uk or write to Assessment Customer Service, CILEx, Kempston Manor, Kempston, Bedford, MK42 7AB.

Complaints about an Accredited Centre

Learners who are not satisfied with the service which has been provided by a CILEx accredited centre should first seek to resolve any issues with the tutor or other individual/s at the centre. If a learner is unable to discuss any issues with their tutor or remains dissatisfied after doing they should then follow the centre's formal complains procedure.

After the centre's formal complaints procedures have been completed, should a learner remain dissatisfied with the centre's response to their formal complaint, the learner is entitled to contact CILEx in writing. You should address any complaints about a CILEX accredited centre to Jonathan Young, Centre Accreditation Co-ordinator at CILEx either by email (jonathan.young@cilex.org.uk) or by a letter detailing the complaint and including any other relevant information. Complaints from learners concerning CILEx accredited centres are recorded and managed through CILEx's accredited centre risk management procedures. CILEx will carry out an investigation into the complaint which will involve contact with the centre concerned. Please note that CILEX is unable to seek refunds from CILEx accredited centres on behalf of learners.

CILEx will acknowledge your complaint within **5 working days** of its receipt and will investigate the circumstances associated with it. A written response will be sent to you once the investigation has been concluded normally within **20 working days**. Depending on the nature of the complaint, CILEx reserves the right to extend this timescale depending on the nature/complexity of the complaint being investigated.

If you are not satisfied with how your complaint has been dealt with, please visit the Customer Service Feedback page on www.cilex.org.uk where the Customer Feedback form, policy and procedure is available. Alternatively you can email customerservice@cilex.org.uk

Introduction

This handbook alongside the associated Unit Specification Handbook sets out the qualification specification and requirements for the following CILEx Level 3 Legal Services competence qualification:

- CILEx Level 3 Diploma in Providing Legal Services (603/0122/3)

This **qualification replaces** the previous qualification: CILEx Level 3 Diploma in Providing Legal Services (601/0275/5) in England and Northern Ireland.

Which Qualification to use:

This qualification (CILEx Level 3 Diploma in Providing Legal Services (603/0122/3)) should be used for:

- all new starts from 1 September 2016 in England and Northern Ireland

The previous qualification (CILEx Level 3 Diploma in Providing Legal Services (601/0275/5)) should be used for:

- all learners who started the qualification prior to 1 September 2016 in England and Northern Ireland
- all learners in Wales

CILEx is an awarding organisation recognised by the Office of Qualifications and Examinations Regulation (Ofqual), Qualifications Wales and CCEA. This Level 3 Legal Services qualification is regulated in England and Northern Ireland.

The unit specifications for this Level 3 qualification are set out separately in the following document: **Unit Specification Handbook - CILEx Level 3 Legal Services Competence Qualification**. The unit specifications are reviewed annually. The most up to date versions will be available on the CILEx website.

How to use this Handbook

The handbook has a comprehensive contents page designed to help learners and assessors locate the relevant information they require.

How the qualification works is featured across **sections 2 – 6**. **Sections 2, 3 and 4** are especially relevant for learners new to the qualification and **sections 2 - 6** for centre assessors and internal quality assurers getting to grips with the assessment and quality assurance process.

It is important that both learners and assessors familiarise themselves with the information provided in **Section 7: Qualification Administration**. This section sets out CILEx policies and procedures which all learners and centres must follow.

Section 8: CILEx Contacts sets out the relevant email addresses and telephone numbers for learners/centres who wish to contact CILEx.

The **Appendices A and B**, which address the key timelines associated with EQA visits for the competence qualification and the qualification fees, are updated annually. Learners can contact CILEx to request up to date appendices or go to the CILEx website for the most up to date information.

Appendices C – H contain the forms used by learners and assessors in undertaking the qualification.

It is strongly recommended that learners and tutors regularly refer to the **CILEx website (www.cilex.org.uk)**. The website is frequently updated and is used to communicate key information to learners and tutors.

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Appendices A and B are updated annually. Students and tutors requiring an updated version of an appendix should either go to the CILEx website (www.cilex.org.uk) or contact the Awards-Operations department awards@cilex.org.uk or telephone 01234 845727 during office hours.

Section 1: Studying with CILEx – an overview

1.1 The CILEx Level 3 Legal Services competence qualification and the route to becoming a Chartered Legal Executive

The CILEx Level 3 Legal Services competence qualification is targeted at individuals undertaking a variety of legal roles. While a discrete outcome in its own right, the qualification is also the 'competence' qualification within the Level 3 Apprenticeship in Legal Services. In addition the qualification has been designed to address the Paralegal Trailblazer Apprenticeship standard and Assessment Plan. It is named specifically within the Paralegal Trailblazer Standard and Assessment Plan which were developed by employers within the legal sector. This means that it can form part of the formative assessment for Trailblazer Apprenticeships. CILEx recommends that this competence qualification is partnered with one of the Legal Services knowledge qualifications to form a full programme of learning for apprentices.

To qualify as a Chartered Legal Executive and, hence, become a Fellow of CILEx, learners must satisfy the following requirements:

- (i) Achieve the Level 3 Professional Diploma in Law and Practice
- (ii) Achieve the Level 6 Professional Higher Diploma in Law and Practice
- (iii) Complete 3 years of Qualifying Employment and evidence their competence through submission of a logbook and portfolio of evidence, which is assessed against 27 learning outcomes.

Note: At least 2 years of your Qualifying Employment must be served consecutively, immediately preceding the application for Fellowship and 1 year must be served in the Graduate grade of Membership. Graduate membership is achieved after completing elements (i) and (ii) set out above.

1.2 CILEx membership

All learners undertaking programmes towards the achievement of the CILEx Level 3 Legal Services competence qualification **must** be registered **by their accredited centre** as CILEx members.

Registration with CILEx as a member must take place prior to the learners starting to study for any specific qualification units.

Care should also be taken by accredited centres to ensure that their learners are registered at the appropriate grade of membership.

Membership grades

Student member - for those with no relevant legal qualification and less than three years' fee-earning work.

Affiliate member - for those with at least one CILEx Level 3/4 unit, or who have completed a relevant legal qualification or who have completed a relevant legal qualification at Level 2 or gained at least three years' experience doing predominantly legal work.

Associate member - for those who have completed their Level 3 Professional Diploma in Law and Practice or who are graduates with Qualifying Law Degrees. Associate members are entitled to the designatory letters, ACILEx, after their name, and are required to take 8 hours Continuing Professional Development (CPD) and at least 1 entry in professionalism.

Graduate member - for those who have completed both their Level 3 Professional Diploma in Law and Practice and Level 6 Professional Higher Diploma in Law and Practice (or equivalent), or who are Legal Practice Course (LPC) or Bar Vocational Course (BVC) graduates. Graduate members are entitled to designatory letters, GCILEx, after their name, and are required to undertake 12 hours CPD and at least 1 entry in professionalism.

Fellowship - When Graduate Members have completed the period of Qualifying Employment and the work based learning outcomes, they may apply to become Fellows of CILEx and are eligible to use the term "Chartered Legal Executive" and the designatory letters FCILEx. Fellows are required to undertake 9 CPD outcomes each including at least 1 entry in professionalism.

Information about the membership grades and the application process is available from the Membership Contact Centre Team membership@cilex.org.uk

1.3 Qualifying Employment – what is it?

A person is in Qualifying Employment if he/she is employed either:

- Under the supervision of an authorised person in private practice;
- In an organisation where the employment is subject to supervision by an authorised person employed in duties of a legal nature by that firm, corporation, undertaking, department or office; and

in each case, you must undertake work that is **wholly of a legal nature** for at least 20 hours per week.

Further information about Qualifying Employment is available from the Membership Contact Centre Team.

1.4 Accredited centres and programmes of learning

All learners taking the CILEx Level 3 Legal Services competence qualification must be registered with an accredited centre.

Details of accredited centres which are accredited to deliver CILEx Level 3 Legal Services competence qualification are available from CILEx's website (www.cilex.org.uk).

1.5 CILEx Code of Conduct

Everyone who registers as a member with CILEx is bound by its rules and regulations, which include the CILEx Code of Conduct and the Investigation, Disciplinary and Appeal Rules. The Rules establish three panels which are the Professional Conduct Panel (PCP), The Disciplinary Tribunal (DT) and the Appeals Panel (AP).

The PCP has the power to consider the conduct of anyone who wishes to become a member of CILEx and the conduct of anyone who is already an existing member of CILEx. If a person has declared at membership application stage a Prior Conduct, (for example a bankruptcy judgement or a criminal conviction) the matter may be put to the PCP to consider. The PCP will then decide if that person has the suitable character to become a member. The PCP may refuse or approve a person's application to become a member.

The PCP will also deal with Prior Conduct declarations made by anyone who is an existing member (of any grade) or authorised person of CILEx in addition to any complaints made against them.

The DT considers matters referred to it by the PCP and there is an Appeals Panel which deals with all matters that are being appealed from the PCP and the DT.

The PCP and the DT consider a member's conduct against the standards set out in the CILEx Code of Conduct. They decide if allegations of misconduct are found proved and therefore, breach the CILEx Code of Conduct and is unbecoming to the profession. The PCP and the DT have the power to sanction an existing member for any misconduct that is found proved. If the PCP does not refer the member's conduct matter to the DT they have the power to require a member to give undertakings as to their future conduct, impose conditions in regard to their employment, reprimand and/or warn a member. The DT has the same powers as the PCP but they also have the power to fine or exclude members from CILEx membership.

The AP will consider any appeals for example where a person has been refused membership of CILEx or where a member is fined.

A person may also be ordered to pay the costs of any investigation into their conduct if the matter is found proved.

The standards which all members are required to observe are set out in the CILEx Code of Conduct. It sets out nine principles CILEx members must follow. It is our core guidance on the conduct, practice and professional performance expected of you and is sent to all students on enrolment and also to newly admitted Fellows. A copy of the Code is available at:

<http://www.cilexregulation.org.uk/lawyers/conduct>

All conduct matters including any that are declared at membership application stage are dealt with by CILEx Regulation Ltd.

Section 2: Overview of CILEx Level 3 Legal Services competence qualification

2.1 Introduction to the CILEx Level 3 Legal Services competence qualification

The CILEx Level 3 Diploma in Providing Legal Services has been developed in conjunction with employers and stakeholders within the Legal Services sector. The previous version of the qualification has been reviewed to:

- remove duplication across units
- ensure the qualification meets the Paralegal Trailblazer Apprenticeship Standard and Assessment Plan

The qualification is also underpinned by the Legal Services National Occupational Standards, it has been designed to offer Legal Services employees the opportunity to develop and apply the key skills required of a Paralegal in the modern legal workplace.

The CILEx Legal Services competence qualification is the 'competence' component of the Advanced Apprenticeship in Legal Services and the Paralegal Trailblazer Apprenticeship. It is also a standalone qualification in its own right.

The qualification has been developed for those individuals working in legal support roles for whom overall autonomy and responsibility are limited and who undertake relatively straightforward tasks, under supervision, as a part of their role.

The CILEx Level 3 Diploma in Providing Legal Services is a qualification regulated by Ofqual and CCEA. It is unitised and learners will receive credit certificates for each unit achieved on the way towards full qualification achievement.

2.2 Target groups

The CILEx Level 3 Diploma in Providing Legal Services has been designed to suit individuals in a variety of workplace situations who require a qualification that both structures development within a specific role and enables demonstration of occupational competence.

In this respect, it is aimed at younger people looking to become Paralegals/Legal Assistants who have completed GCSEs or a Level 2 Apprenticeship and who now want to move into a Legal Services career or further develop their skills within an existing Legal Services role. These individuals, within the context of an apprenticeship, will require a work-based qualification to structure their personal and work-based development. The full range of job titles that learners may hold is very broad and will vary depending on their employer and the area of the legal sector in which they work.

Alternatively, it may also be aimed at those individuals who have longer standing roles within the Legal Services sector and who are looking to develop and demonstrate competence in either a new area of work or establish greater autonomy and responsibility within a role or who are looking to create some form of recognition for their specialist role within their organisation.

The qualification represents a defined end in itself, but the qualification's inclusion within the Apprenticeships also means that it is part of a progression route through to the CILEx Professional qualification and, hence, also represents a potential stage in the professional development of an individual in the workplace.

2.3 The level of the qualifications

The CILEx Level 3 Diploma in Providing Legal Services has been designed to assess knowledge, understanding and skills at Level 3. The qualification has been designed to be comparable in level of difficulty to GCE A Level study.

2.4 Entry requirements

There are no formal entry requirements for this qualification. However many employers taking on apprentices at this level or looking to support existing employees will expect a high standard of literacy and numeracy e.g. GCSE grades A*-C, A Levels or a proven ability to work at this level, such as experience gained through employment or voluntary work.

2.5 Relationship with National Occupational Standards (NOS) and Functional/Essential Skills

The units of the qualification are underpinned by the NOS for Legal Services.

Programmes of learning leading towards this qualification will provide learners with opportunities to develop the skills and knowledge relevant to a number of Functional/Essential Skills areas.

2.6 Ofqual and CCEA qualification and unit reference numbers

Qualification title	Qualification number
CILEx Level 3 Diploma in Providing Legal Services	603/0122/3

Level	Unit number and title	Unit reference number
	Mandatory units	
3	Unit 1 - Business structures and compliance with legal, ethical and regulatory requirements in the provision of legal services	A/615/0346
3	Unit 2 - Communicate effectively whilst maintaining the security of information	J/615/0348
3	Unit 3 - Draft legal documents	F/615/0350
3	Unit 4 - Manage files for legal matters	J/615/0351
3	Unit 5 - Plan and manage own workload	D/615/0369
3	Unit 6 - Conduct legal research	D/615/0355
3	Unit 7 - Process clients' instructions	M/615/0358
3	Unit 8 - Apply relevant costs and billing requirements in relation to legal matters	M/615/0361
3	Unit 9 - Contribute to effective team working	T/615/0362
3	Unit 10 - Maintain and develop own knowledge, skills and competence	F/615/0364

Section 3: Qualification Structure and Unit Content

3.1 Structure of the Level 3 Diploma in Providing Legal Services

The CILEx Level 3 Diploma in Providing Legal Services has the following structure:

Unit number and title	Unit level	Credit	GLH
Unit 1 Business structures and compliance with legal, ethical and regulatory requirements in the provision of legal services	3	7	35
Unit 2 - Communicate effectively whilst maintaining the security of information	3	3	15
Unit 3 - Draft legal documents	3	5	22
Unit 4 - Manage files for legal matters	3	4	20
Unit 5 - Plan and manage own workload	3	3	18
Unit 6 - Conduct legal research	3	5	25
Unit 7 - Process clients' instructions	3	4	22
Unit 8 - Apply relevant costs and billing requirements in relation to legal matters	3	4	22
Unit 9 - Contribute to effective team working	3	3	18
Unit 10 - Maintain and develop own knowledge, skills and competence	3	3	15

Learners must achieve all 10 units to be awarded this qualification.

Total Qualification Time (TQT): 410 (hours)

Total Credits: 41

Guided Learning Hours (GLH): 212

Detailed unit specifications can be found in the **Unit Specification Handbook - CILEx Level 3 Legal Services Competence Qualification**.

3.2 Accompanying notes on qualification structure

Total Qualification Time, Credit and Guided Learning Hours

A note to explain the meaning of these terms:

- Total Qualification Time (TQT) indicates the total number of hours that a typical learner will spend in order to achieve the qualification. It consists of two elements:
 - o the number of hours which an awarding organisation has assigned to a qualification for Guided Learning, and
 - o an estimate of the number of hours a Learner will reasonably be likely to spend in preparation, study or any other form of participation in education or training, including assessment, which takes place as directed by – but, unlike Guided Learning, not under the Immediate Guidance or Supervision of – a lecturer, supervisor, tutor or other appropriate provider of education or training.
- TQT is not broken down by unit.

- Credit is equal to one tenth of the Total Qualification Time for a qualification. For example, a '41' credit qualification informs you that the qualification should take the average learner approximately 410 hours to achieve (ie 1 credit = 10 hours of learning time). Credit is broken down per unit.
- GLH (guided learning hours) is a narrower definition of qualification size. This figure estimates the amount of time taken by the provider to deliver the qualification. This would include delivery, personal planning, tuition, reviews and assessment. GLH is broken down per unit.

3.3 Unit and qualification outcomes

Each of the units undertaken is graded Pass by CILEx where the requirements are successfully met. Where, in the view of the External Quality Assurer, the requirements of the unit are not successfully met then the unit will not be graded by CILEx, and the learner will be required to undertake further work to ensure the unit requirements are met.

Learners must achieve a pass for all units in order to be awarded the qualification.

Overall results for the qualification are not graded. Learners who achieve those units which meet the rules of the qualification will be issued with a certificate confirming achievement of the qualification.

3.4 Presentation of qualification units – an explanation of the unit specifications

A unit specification is available for each of the units for the Level 3 Legal Services Competence Qualification. The unit specifications are set out separately in the following document: **Unit Specification Handbook - CILEx Level 3 Legal Services Competence Qualification**. The indicative content for the unit specifications is reviewed annually. The most up to date versions of the units will be available on the CILEx website.

Each unit specification is presented in the same way:

Title: each unit has its own title which seeks to succinctly convey the legal area to be studied and assessed.

Level: each unit has a level which identifies its difficulty. Level 3 equates to GCE A Level standard of difficulty. The level of each unit is set out in the table in section 3.1.

Credit Value: each unit has a credit value. Please see 3.2 for a definition of this value.

Learning Outcomes: this column expresses the key aims of the unit. It is expressed in terms of a series of outcomes (i.e. "the learner will") that the learner should know or understand or be able to do by the end of their learning programme.

Assessment Criteria: this column expresses the ways in which the learner should be able to demonstrate their achievement/understanding of the learning outcome ("the learner can").

Indicative Content: this column attempts to describe the breadth and depth of activity, skills and knowledge through which the assessment criteria might be most relevantly and straightforwardly satisfied. It is important to understand that the content of this column is intended as guidance for the practical interpretation of the assessment criteria and, hence, is indicative and not intended to be exhaustive or restrictive. The indicative content column is not intended to force learners or centres into using specific forms/types of evidence or into performing activity over a set range or over a set certain number of occasions. Ultimately, learners and providers must make their own judgments about how best to satisfy an assessment criterion in relation to a learner's role.

Additional information about the unit: this grid of boxes at the end of each unit summarises key background information about the unit, e.g., unit aims, indicative review date, the unit's relationship to other related standards/areas and guided learning hours for the unit.

Section 4: How the assessment works for learners

4.1 Introduction to the assessment model

This section is an introduction to the idea of competence-based qualifications and how the assessment process works. It is aimed primarily at learners, but should also be read by centre assessors.

4.1.1 Who does what?

CILEx accredits centres to deliver the competence qualifications. All accredited centres have to meet CILEx accredited centre requirements and demonstrate the capacity and capability to fully comply with CILEx requirements for delivery of competence qualifications.

Accredited centres will register learners for the qualification and allocate each learner an assessor or assessors.

Head of Centre

The Head of Centre is responsible for ensuring the centre fully complies with CILEx accredited centre requirements and qualification requirements including CILEx policies and procedures for the Level 3 competence qualification. The Head of Centre could be the centre's Internal Quality Assurer.

Assessor

The assessor will work (either directly or indirectly) for the accredited centre and judge the evidence of a learner's performance, knowledge and understanding against the qualification unit in order to decide whether the learner has demonstrated competence. The assessor will have suitable and reliable experience and be trained and qualified. The requirements for assessors are set out in section 6.2 below.

An assessor may be a tutor from the accredited centre, someone specially appointed to this role from the accredited centre or a learner's line manager. Assessments may also be carried out by a team of assessors. The assessor may also be the learner's trainer and may deliver training towards the qualification, however, training activities must be clearly separated from assessment and only assessed evidence of competence should be presented as evidence towards this qualification.

Internal Quality Assurer (IQA)

The role of the Internal Quality Assurer is essential to the success of the centre's delivery of the Level 3 competence qualification. IQAs play a key role in the centre's quality assurance of the competence qualifications and CILEx External Quality Assurers will closely scrutinise IQA feedback and decisions, strategy and planning in order to gain confidence in the centre's capacity and capability to deliver and assess the qualification and compliance with CILEx requirements.

The Internal Quality Assurer checks and standardises assessment decisions made by the assessors in the centre. The Internal Quality Assurer could be the Head of Centre. The Internal Quality Assurer may also be an assessor for the qualification. However, where this is the case, the Internal Quality Assurer may not internally quality assure their own assessments.

The requirements for internal quality assurers are set out in section 6.4 below.

External Quality Assurer (EQA)

The External Quality Assurer reviews the assessment and internal quality assurance processes and decisions made in the centre, and authorises the claims for certificates. The External Quality Assurer is appointed by CILEx.

The External Quality Assurer also looks to ensure that qualification delivery and internal quality assurance are of a high standard, and assessment practice is valid and reliable. The External Quality Assurer aims to support the development and improvement of learning delivery, assessment and internal quality assurance practice in centres.

4.1.2 How does the assessment process work?

This qualification is competence-based. Therefore, it is linked to a learner's ability to competently perform a range of tasks connected with their work. This means both that a learner must be performing a legal role in a legal workplace in order to satisfy the requirements of the qualification and that the work undertaken in this role is the evidence source for the qualification. It also means that the learner must have, at least, permission from their employer to undertake the qualification within the medium of their workplace.

The role of the employer is potentially a varied one, and dependent upon a number of factors. Generally speaking, however, where learners undertake the qualification as a part of an apprenticeship, employers are required to offer the following kinds of support (irrespective of whether learners are being supported financially by an employer):

- training supervision – e.g. assisting with the planning of assessment opportunities, identification and facilitation of expert witnesses.
- providing work opportunities – e.g. identifying and organising opportunities for the learner to experience and undertake a varied range of activities to meet the qualification requirements.
- time – time for the learner to review activity and meet up with a supervisor and centre assessor.

The learner works with a centre-appointed assessor to meet the learning outcomes and assessment criteria of each of the units of the qualification. The learner uses workplace evidence to satisfy the requirements of each unit. Explanations of the types and sources of evidence the learner can use and the part the assessor plays in this process can be found below.

Learners are required to comply with the **CILEx Regulations for Competence Qualifications** when producing and compiling evidence of competence.

The learner will work with the assessor in a planned way to cover fully and appropriately the assessment criteria for each unit. The assessor will sign off the learner as competent and complete in relation to each assessment criteria and unit. The assessor will feed back to the learner their decisions and record all decisions appropriately in the supporting forms that underpin the assessment process. As units of the qualification are completed and signed off, the centre's Internal Quality Assurer will sample check the evidence and the decisions reached by the assessor in respect of the evidence.

Once the evidence is agreed as appropriate by the Internal Quality Assurer, then a claim to CILEx for the unit(s) in question can be made. An appointed CILEx External Quality Assurer will then visit the centre and sample check the evidence and supporting documentation to ensure that it meets CILEx's and the qualification's requirements. Where it does, certification can be made to the learner. Where the External Quality Assurer finds issues with the way in which the centre has conducted its processes, then the External Quality Assurer will identify these in the External Quality Assurer's visit report, and the centre will be required to act to remedy any issues.

4.2 How much evidence does the learner need?

The learner does not have to produce a separate piece of evidence for each of the assessment criteria. Learners should try to match each piece of evidence to as many assessment criteria as possible. In making assessment decisions in relation to evidence of competence, the assessor will not expect:

- learners to meet the assessment criteria under assessment every time they carry out an activity.
- learners to meet the assessment criteria on a set number of occasions.

They will expect, however:

- learners to produce their own evidence to meet all the assessment criteria in relation to the work activity under assessment.
- learners to produce enough evidence consistently to believe that the learner is competent in relation to the work activity under assessment.
- learners to produce a variety of different kinds of evidence.

4.3 What happens to the evidence?

The evidence the learner provides will be assessed (reviewed by the assessor or assessors against the assessment criteria). The assessor will require the learner to continue providing evidence until they are satisfied that there is enough consistent proof that the learner is competent. To be accepted as proof of competence, the evidence must:

- come from work the learner has carried out in a real work situation (or an acceptable simulated work situation)
- be the learner's own work or relate to the learner *and*
- reflect what the learner can do now, not what the learner could do a few years ago.

Please note: evidence which is more than 5 years old must not be used for assessment purposes.

4.4 Where is the evidence kept?

Learners normally keep their evidence in a file (a portfolio of evidence); however, they may want to record what the evidence is and where it can be found if they are not able to keep it as a part of a portfolio of evidence. This is called the signposting of evidence. The important thing to remember about evidence is that it must be available for the assessor to assess and for other people (e.g. internal and external quality assurers) to have access to in the future.

4.5 What kinds of things count as evidence?

The assessor (and any expert witnesses) supplies evidence (through their records of assessment, for example, observations they have carried out and/or the learner's responses to questions they have asked).

Evidence could also include:

- letters, emails the learner has prepared and sent to colleagues
- schedules and diaries the learner has used to plan their work
- planning sessions the learner has conducted
- records of discussions between the learner and their assessor
- video recordings or records of the assessor observing the learner carrying out their work
- completed documents the learner has prepared and used during their work
- reports the learner has written to support their other evidence.

4.6 Using confidential/sensitive information

In some situations, the work that the learner is involved with may include confidential/sensitive information relating to an organisation and/or clients. Where the learner wishes to include evidence that may be confidential/sensitive in nature, then the learner, in the first instance, must always gain permission from the appropriate authority within the organisation, and include this approval with the evidence so that their assessor can see clearly its authorisation.

Once permission has been achieved, it may not be appropriate to include confidential/sensitive information in a portfolio of evidence. If the evidence contains, for example, a client's name and address, this information could be removed from the document before it is submitted as evidence. If the evidence takes the form of a document which is reporting on a confidential aspect of an organisation's operation or which contains personal details throughout, the learner could either:

- signpost the evidence within their portfolio (as long as it would be available for the assessor, internal quality assurer and external quality assurer to see) *or*
- arrange with the assessor to provide an observation report of what they have seen and how it shows that the learner is competent. This observation report would then form part of the evidence in their portfolio.

4.7 What records must be kept?

It is very important that the learner records what the assessed evidence is and where it can be found. CILEx has designed an **Evidence Record Sheet (Appendix C)** for learners to record evidence and where it is located. This will allow the learner, their assessor and the internal and external quality assurers to see what assessment criteria each piece of evidence refers to. The Evidence Record Sheet is available as a word document on the CILEx website and should be downloaded from there.

CILEx has also designed a **Unit Achievement Summary Sheet (Appendix D)** to act as an ongoing record of achievement and progress towards the qualification. The Unit Achievement Summary Sheet summarises the information on the Evidence Record Sheets and provides 'at a glance' information of progress for assessors and quality assurers. The Unit Achievement Summary Sheet is also available as a word document on the CILEx website and should be downloaded from there.

An assessor may give the learner alternative forms to use. This is acceptable as long as they include all the information required by CILEx and have been approved by the centre's External Quality Assurer.

4.8 Where should the records be kept?

The learner must keep Evidence Record Sheets (or alternatives that the assessor may provide) and the Unit Achievement Summary Sheet together in a file. These sheets form the cumulative assessment record or CAR for short. This is a compulsory (must do) requirement of this qualification. For ease of reference, the learner should keep their CAR with their portfolio of evidence.

There are also a number of other supporting documents used as a part of the evidence gathering/assessment process: **Assessment Planning Record (Appendix E)**, **Assessment Decision Record (Appendix F)** and **Assessment Feedback Record (Appendix G)** that should be retained by the learner within their portfolio of evidence.

4.9 How should the learner approach evidence collection?

When collecting evidence, the learner should do the following:

1. Start by thinking about what activities you do in your current role and match these to the qualification units.
2. Identify evidence that you could gather naturally while carrying out your everyday work and cross-reference these to as many assessment criteria as possible. Apply a single piece of evidence to as many assessment criteria as possible. This is not only economical in terms of collecting evidence, but it also gives a more holistic, or rounded, picture of your competence.
3. Go for quality rather than quantity. Well-chosen pieces of evidence can count for much more than a vast amount of evidence that only loosely applies.
4. Mix the types of evidence you offer. A good mixture containing observation of practice, some products of your work, some expert witness reports and so on, leads to a more streamlined, better-balanced approach, which is more convincing to your assessor.
5. Choose evidence that reflects your current competence. Evidence can come from things you did in the past (but not more than 5 years previous) but your assessor must be convinced that the evidence you offer reflects your current competence.
6. Do not treat reference materials, such as company policies and training materials, as evidence because they do not demonstrate your competence.
7. You do not have to keep all evidence in a portfolio. If you keep evidence somewhere else, for example, in a filing cabinet, or on a computer disk, record what the evidence is and where the evidence is located. The location of evidence needs to be clearly signposted on your evidence record sheet.
8. The qualification unit specification being evidenced does not form part of your evidence. The evidence record sheets will identify which assessment criteria the evidence refers to. You will probably want to keep the unit specification alongside your evidence but we do not need you to include a copy of the unit with your evidence for assessment or quality assurance.
9. Although not compulsory, you may find it useful to include a copy of your curriculum vitae (CV) with your evidence to show your previous qualifications and work history.
10. Confidential and unavailable evidence. Your assessor should have access to this type of evidence to assess your competence. However, in some cases your assessor's description of the evidence they have seen will be more suitable, depending on the type of evidence.
11. Show your evidence to your assessor regularly.

Section 5: Assessors and Assessment

5.1 Assessment planning

This section is aimed at assessors primarily who are assessing learners, but is also useful for learners.

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

Centres are also required to ensure learners are fully conversant with the assessment requirements for the qualification and must assess learners to determine whether a learner may not be able to demonstrate attainment in all parts of the assessment for the qualification due to a disability or difficulty which would place the learner at a substantial disadvantage in the assessment situation. Centres are required to determine and discuss with the learner the reasonable adjustments required by the learner to alleviate or remove the effect of the disability or difficulty identified. Further information about reasonable adjustments can be found in the **CILEx Reasonable Adjustment Policy – Competence Qualifications**.

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

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

Assessment planning is essential to the success of the learner's apprenticeship/qualification journey. The key to successful assessment planning is that it is personalised to address the individual learner's needs and it is organised with a planned timeline for completion, whilst retaining flexibility to address a learner's needs as they evolve. Assessors must make notes of their assessment planning and regularly give feedback to learners on both ways to improve the planning process and how the plan is working.

5.2 Making assessment decisions

In making assessment decisions in relation to evidence of competence, assessors should employ the following rationale:

- It is not necessary for learners to meet the assessment criteria under assessment every time they carry out an activity.
- It is not necessary for learners to meet the assessment criteria on a set number of occasions.
- It is, however, necessary that learners produce their own evidence to meet all the assessment criteria in relation to the work activity under assessment.
- It is necessary that enough evidence is provided consistently for assessors to believe that the learner is competent in relation to the work activity under assessment.
- It is necessary that learners produce a variety of different kinds of evidence.

With this in mind, assessors should:

- plan with learners
- assess learner performance, knowledge and understanding
- look at the evidence
- question and give feedback to the learner working towards these qualifications
- record assessment decisions
- always be satisfied that the learner has demonstrated competence when meeting the assessment criteria
- ensure all assessment criteria are completed satisfactorily before the unit is signed off as completed
- engage with the centre's quality assurance processes throughout.

5.3 Methods of assessment

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

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

Valid

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

Reliable

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

Safe and manageable

Assessors and Internal Quality Assurers must make sure that the assessment methods are safe and manageable and do not put unnecessary demands on the learner and/or the organisation they work for.

Suitable to the needs of the learner

CILEx has tried to ensure that achievement of these qualifications is free from constraints outside the requirements of the learner's job role. Where there are access issues in relation to assessment, then centres should put in place reasonable adjustments in accordance with the centre's policy, which must comply with the '**CILEx Reasonable Adjustment Policy – Competence Qualifications**' that aims to address learners' requirements.

5.4 The sources of evidence

There are numerous sources of evidence that the learner should draw on to demonstrate their competence and the assessor should ensure that the learner is fully aware of the sources of evidence open to them during the assessment planning stage.

Generally, relevant and appropriate evidence is of two basic types:

- *performance evidence* from a learner carrying out workplace activities
- *knowledge evidence* from a learner carrying out workplace activities or from the learner answering an assessor's questions.

The main evidence sources for these two basic types of evidence include:

- direct observation by the assessor

- expert witness testimony

The following are viable alternative sources of evidence:

- work products
- professional discussion
- questioning
- records/reflective accounts

It is important to understand the role of various sources of evidence such as work products, professional discussion and reflective accounts etc to ensure the overall validity of the assessment process. In this regard, CILEx considers a balanced range of evidence sources with an emphasis on direct observation/expert witness testimony as most appropriate for the purposes of assessment.

Each of these sources is explained below (each one is linked to its shorthand reference on the **CILEx Evidence Record Sheet** in **Appendix C**):

Direct observation (Evidence Record Sheet key: O)

Only assessors may carry out direct observations. The assessor and learner should plan observations together in order to make efficient use of the evidence. The assessor is only observing the learner carrying out activities and is not part of the activities. It is the assessor's responsibility to record the observation properly. The assessor can only record what they see happens. The record of the observation must be sufficiently detailed to demonstrate the linkages to the assessment criteria and the record should be clearly cross-referenced to the assessment criteria addressed. The assessor should record an assessment decision and the justification for the decision. The assessor should also give feedback to the learner. Direct observation is the optimum way to obtain valid and reliable performance evidence on the part of the learner. However, as well as identifying what the learner can do, it also provides good evidence of what the learner knows, and can be used to assess knowledge and understanding, especially where it is combined with questioning the learner in relation to the activity under observation.

Direct observation is best used to assess the learner's abilities to perform workplace processes and procedures.

Expert witness testimony (Evidence Record sheet key: EWT)

Expert witnesses must meet the requirements set out in section 6.3 of this handbook. Expert witness testimonies can be used to evidence a learner's performance. Whilst expert witnesses offer an alternative source of evidence to direct assessor observation, it must be remembered that expert witness testimony does not replace assessor observation, and decisions in relation to assessment are always the final responsibility of the assessor.

Statements provided by expert witnesses should address the following:

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

Expert witnesses must direct the information in their testimonies to describing fully what the learner did. The assessor should cross-reference witness testimony to the relevant assessment criteria for one or more units and assess whether the learner's activities demonstrate competence to the required standards. Used appropriately, witness testimony demonstrates good engagement with the employer. It is not acceptable for learners to

produce written witness testimonies for expert witnesses to sign to support the qualification they are working towards.

Oral witness testimony can be provided but the assessor must ensure that it is appropriately cross-referenced to the relevant assessment criteria in order that it can be audited.

Work products (Evidence Record Sheet key: EWP)

Only assessors may assess the work product evidence for the assessment of the qualification.

Evidence can range from being the product of a learner's work to being a product relating to the learner's competence.

Relevant products could be: letters to or from external clients, or email messages to or from colleagues, project reports, completed forms, case studies and client testimony that relates to the way in which the learner undertook a task/activity. After the assessor has examined the evidence, the assessor must record an assessment decision and the justification for the decision. The assessor should also give feedback to the learner.

It should be noted that where evidence is a work product, and its content is of a commercially sensitive and/or confidential nature, then care must be taken to present the data anonymously for the purposes of the assessment process. Assessors must alert learners to the need in these instances to seek permission from workplace supervisors before the use of this kind of work product can be considered for assessment. If permission is granted, then, again, care should be taken to identify the most sensitive way in which evidence of this kind can be used. Where the evidence cannot be supplied anonymously as learner evidence, then it can also be signposted as evidence by the learner or made the basis of an observation report (assuming it can be showed the assessor) that is included in the learner's evidence.

If a work product is based on group work (i.e. collaboration between one or more parties), then the learner's contribution must be identified clearly. Work product evidence must be valid and clearly relevant to the assessment criteria the learner wishes to satisfy.

Questioning (Evidence Record Sheet key: of candidate: QC or of witness: QW)

Only assessors may question a learner or witness. Questioning is a way of supporting each of the above sources of evidence (direct observation, expert witness testimony, work products) and is normally an intrinsic and ongoing part of the assessment process. Questioning is necessary to:

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

Assessors should ask open questions; that is questions where the learner has to give an answer other than 'yes' or 'no'. Assessors should also be careful to avoid complicated questions which may confuse the learner. It is important that assessors record assessment decisions after they have questioned the learner. They must record enough information to justify the decisions they make. This does not mean that assessors must record, word for word, the questions put to the learner and the answers the learner gives. However, assessors must record enough information about what they asked and how the learner replied to allow the assessment to be verified.

Questioning expert witnesses is normally an ongoing part of validating written witness statements. However, questioning expert witnesses should not just be used for this purpose. Assessors should be able to speak to expert witnesses and record, in whatever

way is suitable, the verbal statements of these witnesses. A record of a verbal statement is a form of witness statement and could provide valuable evidence to confirm a learner's competence over a period of time.

Professional discussion (Evidence Record Sheet key: PD)

Professional discussion is a structured, planned and in depth discussion recorded by the assessor. It allows the learner to present evidence of competence and to demonstrate skills, knowledge and understanding through discussing the evidence and showing how it meets the requirements of the qualification. The assessor should guide the discussion by using open questioning, active listening and knowledge of the standards, whilst ensuring they do not overly prompt the learner. The recording of the professional discussion should be fully cross-referenced to the assessment criteria, for example, the timings of the relevant sections of the discussion are recorded in relation to each assessment criteria addressed.

Personal statements (Evidence Record Sheet key: EPS)

This is a learner's own account of what they did, backed up by reference to evidence or witnesses. Learners 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.

Examination of assignment/project/report involving planning and research (Evidence Record Sheet key: ARP)

This is where the learner has undertaken (usually for the assessor) a directed learning activity (e.g. an assignment, project or report into an aspect of the work they are performing), usually designed to accredit underpinning knowledge, skills and understanding. This work must be assessed and signed as meeting the requirements of the unit for which it has been intended.

5.5 Real work vs simulation

Real work is where the learner undertakes activities that contribute to the objectives of the organisation in which they are employed.

There may be certain situations where the learner is unable to demonstrate evidence towards part of a unit/Learning Outcome/Assessment Criteria through real work. Examples of these situations could be:

- the learner's role within an organisation does not include certain tasks which are part of a unit/Learning Outcome/Assessment Criteria
- assessment of a particular unit/Learning Outcome/Assessment criteria in the workplace would present high risk or be dangerous to either the learner or others
- the likelihood of encountering a particular situation is low, meaning that the learner will be unlikely demonstrate evidence in the workplace during the course of their training.

Where the learner is unable to demonstrate evidence for a unit/Learning Outcome/Assessment Criteria simulation may be permitted.

Simulation is where the learner is presented with a situation that would occur in the workplace within a controlled environment such as at the centre. As part of any simulation the learner should have access to the same resources as they would within the workplace. The key element of good simulation is that it places no more or less demand on the learner than in the real work environment.

CILEx will allow simulation in the following circumstances:

1. Where the nature of the work activity presents high risk/danger to the learner and others e.g. personal safety;

2. Where evidence in the workplace will not be demonstrated within an acceptable time frame (for example a learner's role does not require them to perform tasks that would satisfy a Learning Outcome/assessment criteria).

5.6 Use of Simulation

The demands on the learner during simulation must neither be more nor less than they would be in a real work situation. Simulations must be agreed between the CILEx External Quality Assurer and the centre Internal Quality Assurer, who is responsible for internal quality assurance in the assessment centre. The use of simulations must be agreed prior to their use, and Internal Quality Assurers must internally quality assure all learner work produced via simulated activity.

The following principles in relation to simulated workplace activity must be adhered to, and must form the basis of agreement between the CILEx External Quality Assurer and the centre Internal Quality Assurer:

1. The nature of workplace contingency and the physical environment for the simulation must be realistic and learners should be given no indication as to exactly what contingencies they may come across.
2. Where simulations are used they must reflect the requirements of the qualification units.
3. The location and environment of simulation must be agreed with the centre's Internal Quality Assurer, prior to taking place and be checked by the CILEx External Quality Assurer.
4. All simulations must be planned, developed and documented by the centre in a way that ensures the simulation correctly reflects what the specific qualification unit seeks to assess and all simulations should follow these documented plans.
5. There should be a range of simulations to cover the same aspect of a unit so that the risk of learners successfully colluding is reduced.

Whilst not identifying the amount of simulation that an accredited centre might use in relation to the way in which it assesses the qualification, it is important that accredited centres understand that simulation is seen as very much an exception to the conventional way in which a competence qualification is assessed. CILEx will review simulation arrangements agreed between External Quality Assurers and accredited centres, and reserves the right to limit/disallow/not allow simulation arrangements where it believes that the rigour of assessment of a unit/the qualification is adversely affected by simulated activity.

5.7 How much evidence is needed?

It is difficult to give detailed guidance regarding the amount of evidence needed as it depends on the type of evidence collected and the judgement of assessors. For a learner to be judged competent in a unit, the evidence presented must satisfy all the assessment requirements and assessment criteria. The quality and breadth of evidence provided should determine whether an assessor is confident that a learner is competent or not. Assessors must be convinced that learners can work independently to the required standard.

5.8 Confidential/sensitive evidence

Assessors must check that any confidential/sensitive evidence included/referenced in learners' portfolios has been granted permission to be included, and that this itself can be

evidenced. Where this permission cannot be evidenced, then the learner must be asked to either supply evidence of permission or remove this aspect of the evidence.

5.9 The portfolio of evidence

The way in which most learners collect and organise their evidence is generally referred to as a portfolio of evidence. The portfolio should contain copies of documentation evidence and records of planning, assessment decisions and assessor feedback. The portfolio is organised to reference evidence to assessment criteria. Evidence may be presented as hard or soft copy, or may be signposted to its original location within the learner's workplace. Centres may also wish to use e-portfolios; there are a number of e-portfolio products in use. Where centres wish to use an e-portfolio product, then they should discuss this with their External Quality Assurer and identify with him/her any requirements necessary for its use in relation to the quality assurance process.

5.10 The Cumulative Assessment Record (CAR)

As well as collecting evidence, learners must record all their assessed evidence in their personal cumulative assessment record (CAR). The CAR is the learner's record of what evidence has been accepted as proof of competence and where that evidence can be found. It can also be used to record progress towards, and achievement of units.

To build a CAR, learners will need to fill in Evidence Record Sheets for each unit. Compiling the CAR is an ongoing process involving discussion and agreement between the learner and their assessor. The learner should fill in and keep the CAR with their portfolio of evidence while working towards their qualification. An assessor may help the learner complete the CAR if necessary.

Organising the CAR is at the discretion of the assessor and learner. The following are key features that must be present in any CAR:

- the CAR must contain all Evidence Record Sheets for units completed and in progress to date.
- all completed Evidence Record Sheets must be signed off by the assessor.
- all units signed off by an assessor should be countersigned by an Internal Quality Assurer as meeting the requirements.
- the evidence referenced in the Evidence Record Sheets must be easily and appropriately checkable – it must be to hand (ie in a portfolio/appropriately signposted).
- the evidence referenced in the Evidence Record Sheets must be clearly and logically organised so that an assessor/quality assurer can see, at a glance, what evidence fits the statements made on the Evidence Record Sheets.
- there must be an up to date Unit Achievement Summary Sheet which explains the progress of learner achievement through the units and confirms unit sign off. This should be kept with and 'head up' the learner's Evidence Record Sheets.

5.11 CILEx Supporting Documentation

CILEx's supporting documentation is designed to facilitate the effective management of evidence collection and organisation. There is documentation that is a mandatory requirement and must be used in the evidence collection and organisation process and there is optional documentation designed to assist the process. The optional documentation is not required in the construction of the learner's portfolio/CAR, but it may be useful for organising evidence.

All documentation can be found on the CILEx website (www.cilex.org.uk) and can be downloaded from there. The documents are posted on the website as word documents to enable learners/assessors to record and edit evidence directly onto them.

The mandatory documentation must be retained by both the centre and the learner.

Where assessors wish to use their own alternative documentation, this is permitted, but must be agreed in the first instance with the CILEx External Quality Assurer. This applies to both mandatory and optional documentation. The External Quality Assurer will always wish to see that any alternative documentation meets fully the requirements of the existing documentation.

Where assessors wish to use their own documentation, it is imperative that any documentation designed by the centre retains all the information requirements contained in the original CILEx document. Specifically, where learners and centres are required to sign off on evidence, then all written statements related to this sign off must be used verbatim on any documentation designed by the centre.

5.11.1 Mandatory documentation

Assessment Planning Record

See **Appendix E** - this form is designed to be completed by an assessor to capture when and how assessment planning took place. To be retained both as a centre record and by the learner in their portfolio of evidence.

Assessment Decision Record

See **Appendix F** - this form is designed to be completed by an assessor to capture the breadth of assessment methods used and the reasoning behind assessment decisions. To be retained both as a centre record and by the learner in their portfolio of evidence.

Assessment Feedback Record

See **Appendix G** - this form is designed to be completed by an assessor to provide learners with written feedback after an assessment has been carried out. It can also be used to capture any feedback the learner gives to the assessor. To be retained both as a centre record and by the learner in their portfolio of evidence.

(Please note: the assessment planning, assessment decision and assessment feedback records do not need to be separate documents. One or two forms which combine these activities can be used as long as each stage is clearly recorded.)

Evidence Record Sheet

See **Appendix C** - this form captures the significance of the evidence and locates it. It also provides proof of assessor sign off and IQA sign off. To be retained in CAR and a copy retained by the centre.

Unit Achievement Summary Sheet

See **Appendix D** - this form 'heads up' the evidence record and summarises the learner's progress and achievement in relation to the units taken to date. It also confirms unit sign off by the assessor. To be retained in CAR and a copy retained by the centre.

5.11.2 Optional documentation

Expert Witness List

See **Appendix H** - this form is designed to capture all the necessary information about witnesses who have contributed to a learner's evidence of competence.

Section 6: The Requirements for Assessment and Quality Assurance

6.1 Centre assessment and quality assurance requirements

The accredited centre must do the following to deliver the qualification:

- implement fully documented quality assurance procedures underpinning the integrity of the assessment and the maintenance of standards;
- ensure quality assurance procedures and activities are sufficiently robust to ensure the quality and consistency of the assessment;
- ensure records of internal quality assurance activities are maintained and made available to CILEx for the purposes of auditing;
- ensure assessment complies with the principles of validity, authenticity, currency, reliability and sufficiency;
- ensure assessment decisions and practices are regularly sampled (including formative and summative sampling) and findings are acted upon to ensure consistency and fairness;
- ensure delivery and assessment arrangements are reviewed at least annually, making use of Users' feedback;
- ensure centre assessors and internal quality assurers meet CILEx requirements as set out in Section 6.2 and 6.4, and '**CILEx's Legal Services competence qualifications requirements in relation to assessor and internal quality assurer qualifications**';
- ensure the roles and responsibilities of assessors and internal quality assurers are clearly documented and understood.
- identify a member of staff taking overall responsibility for quality assurance.
- provide assessors and internal quality assurers with appropriate inductions and continuing professional development opportunities, including attending any CILEx training events, to ensure that they can maintain their expertise and competence to deliver the qualification.
- provide learners with accurate and up to date information and guidance, including a Learner Handbook or similar information pack, at the start of a CILEx programme.
- ensure learners are provided with the relevant CILEx policies and procedures including the 'CILEx Regulations for Competence Qualifications', 'CILEx Reasonable Adjustment Policy – Competence Qualifications', 'CILEx Special Consideration Policy – Competence Regulations', 'CILEx Enquiries and Appeals Policy – Competence Regulations' and any other relevant CILEx policies and procedures and the centre complies with these policies and procedures.
- ensure assessment planning is effective and tailored to the needs of individual learners;
- ensure learner records and details of assessment and achievements are accurate, kept up to date and securely stored in line with CILEx requirements, and are made available to the CILEx External Quality Assurer for auditing;

- ensure CILEx External Quality Assurer (EQA) action points are addressed promptly and appropriately and the delivery, assessment and quality assurance strategy and policy are reviewed and amended as required.

6.2 The requirements for Assessors

No accredited centre can operate without assessors who meet CILEx's requirements. CILEx requires all assessors assessing learners towards this qualification to meet the following criteria. Assessors must:

1. be occupationally competent. This means that each assessor must, according to current sector practice, be competent in the functions covered by the units they are assessing. They will have gained their occupational competence working within the Legal Services sector. They are not required to occupy a position in the organisation more senior than that of the learner they are assessing. However, centres must be alert to the risks that all such arrangements could present and ensure that sufficient quality controls are in place through the internal quality assurance process to minimise the possibility of collusion between learners and assessors.
2. be able to demonstrate consistent application of the skills and the current supporting knowledge and understanding in the context of a recent role directly related to the qualification units they are assessing as a practitioner, trainer or manager.
3. be familiar with the qualification units; and must be able to interpret and make judgements on current working practices and technologies within the area of work.
4. maintain their occupational competence by actively engaging in continuous professional development activities in order to keep up-to-date with developments relating to the changes taking place in the Legal Services sector. These activities may include those offered by CILEx or other relevant providers in the sector.
5. hold or be working towards the appropriate assessor qualification.

CILEx requires assessment decisions made by those Assessors working towards Assessor qualifications to be countersigned by Assessors who hold the appropriate qualification.

Full details of CILEx's specific requirements for the training and qualification of assessors can be found in the document: '**CILEx's Legal Services competence qualifications - requirements in relation to assessor and internal quality assurer qualifications**' which is available from the CILEx website: www.cilex.org.uk

6.3 The requirements for Expert Witnesses

The requirements for Expert Witnesses working with learners and offering testimony to assessors in support of learner work place activity are as follows. They must:

1. be occupationally competent in the area being assessed. This means that each expert witness must, according to current sector practice, be competent in the functions covered by the units to which they are contributing. They will have gained their occupational competence working within the Legal Services sector.
2. maintain their occupational competence by actively engaging in continuous professional development activities in order to keep up-to-date with developments relating to the changes taking place in the Legal sector. These may include those offered by CILEx or other relevant providers in the sector.

3. provide current records of their skills and the current supporting knowledge and understanding in the context of a recent role directly related to the qualification unit that they are witnessing as a practitioner, trainer or manager.
4. have the necessary standing ie have a working relationship with the learner, for example line manager/supervisor.
5. be familiar with the qualification unit and have a good understanding of the learning outcomes and assessment criteria. They must be able to interpret current working practices and technologies within the area of work.
6. be inducted by the centre so that they are familiar with the standards for those units for which they are to provide expert witness evidence. They must also understand the centre's recording requirements and will need guidance on the skills required to provide evidence for the units.

6.4 The requirements for Internal Quality Assurers

No accredited centre can operate without Internal Quality Assurers who meet CILEx's requirements. The role of the Internal Quality Assurer is essential to the success of the centre's delivery of the qualification. CILEx requires all Internal Quality Assurers quality assuring the assessment process to meet the following criteria. Internal Quality Assurers must:

1. be occupationally knowledgeable across the range of units for which they are responsible prior to commencing the role. Due to the risk critical nature of the work and the legal implications of the assessment process, they must understand the nature and context of the assessors' work and that of their learners. This means that they must have worked closely with staff who carry out the functions covered by the qualifications, possibly by training or supervising them, and have sufficient knowledge of these functions to be able to offer credible advice on the interpretation of the standards. Those conducting internal quality assurance must also sample the assessment process and resolve differences and conflicts on assessment decisions.
2. understand the content, structure and assessment requirements for the qualification they are quality assuring.
3. maintain their occupational competence by actively engaging in continuous professional development activities in order to keep up-to-date with developments relating to the changes taking place in the Legal Services sector. These activities may include those offered by CILEx or other relevant providers in the sector.
4. hold or be working towards the appropriate IQA qualification

CILEx requires quality assurance decisions made by those Internal Quality Assurers working towards IQA qualifications to be countersigned by Internal Quality Assurers who hold the appropriate qualification.

Full details of CILEx's specific requirements for the training and qualification of Internal Quality Assurers can be found in the document: '**CILEx's Legal Services competence qualifications - requirements in relation to assessor and Internal Quality Assurer qualifications**' which is available from the CILEx website: www.cilex.org.uk

5. occupy a position in the organisation that gives them the authority and resources to co-ordinate the work of assessors, provide authoritative advice, call meetings as appropriate, visit and observe assessment practice, and carry out all the other important roles of internal quality assurance.

7. have an appropriate induction to the Legal Services qualifications that they are quality assuring, provided to them by the Centre, and have access to ongoing training and updates on current issues relevant to these qualifications. Information on the induction and continuing professional development of those carrying out internal quality assurance must be made available to CILEx through its external quality assurance process.

6.5 How Quality Assurance Works

6.5.1 Internal Quality Assurance

It is the centre's responsibility to appoint an Internal Quality Assurer to manage the internal quality assurance process and to have a clear and coherent strategy and approach to the internal quality assurance process. Internal quality assurance monitors the whole process from learner recruitment to qualification completion. Internal Quality Assurers have a responsibility to learners to ensure that centre assessors provide appropriate feedback, support and guidance to learners. Further, Internal Quality Assurers are responsible for ensuring that assessment is valid and consistent, through monitoring and sampling assessment decisions. In this regard Internal Quality Assurers lead on standardisation activities to ensure the accuracy and consistency of assessment decisions.

CILEx External Quality Assurers will closely scrutinise IQA feedback and decisions, and strategy and planning in order to gain confidence in the centre's capacity and capability to deliver and assess the qualification in accordance with CILEx requirements.

Internal Quality Assurers must agree the use of simulated activities with the CILEx External Quality Assurer before they take place and must sample all evidence produced through simulated activities. The Internal Quality Assurer may also be an assessor for the qualification. However, where this is the case, the Internal Quality Assurer may not internally quality assure their own assessments.

6.5.2 External Quality Assurance

CILEx will allocate an External Quality Assurer who will visit the centre 3 times a year to quality assure assessments and monitor internal quality assurance. External Quality Assurers will want to interview learners, Assessors and Internal Quality Assurers during their visits. Assessment records and evidence for all learners must also be available for External Quality Assurers to see if they ask to. Prior to the External Quality Assurer visit, it is the Assessor's and the Internal Quality Assurer's responsibility to ensure that each unit of competence for each relevant candidate has been appropriately evidenced, checked and 'signed off' from the point of view of the accredited centre.

At the visit, the External Quality Assurer will confirm 'sign off' of units claimed by the centre. Whilst External Quality Assurers will always be supportive of centre assessment decisions, CILEx reserves the right to not confirm results at an External Quality Assurer visit, if, in the professional opinion of the External Quality Assurer, the learners' work and/or the way in which the centre has managed the assessment process is considered unsatisfactory.

Whilst CILEx anticipates that centres will wish to use their visits from External Quality Assurers to 'sign off' on units for learners, it also accepts that some visits may not be for 'sign off' purposes and that centres simply may not have completed unit evidence ready for quality assurance. In these circumstances, CILEx External Quality Assurers will still be required to visit those centre to quality assure activity and check on learner work in progress.

New centres are encouraged to arrange an External Quality Assurance visit prior to making the first unit claims for learners. The first visit can provide a good opportunity for the External Quality Assurer to get to know the Assessor/IQA team and look at the centre's

policies and procedures. Further, the visit can help to ensure that the centre is on track and formative sampling can take place so that potential issues are resolved before claims are made.

External Quality Assurers report back to centres, using an EQA Report Form, their findings, recommendations and action points in relation to the External Quality Assurer visit. Any recommendations made by the External Quality Assurer will be timed to be reviewed at future visits. Where possible action points will be timed to be reviewed at future visits, however, depending on the nature of an action point, the centre may be required to address an action point in advance of the next scheduled External Quality Assurer visit.

Risks identified both at the External Quality Assurer visit and, subsequently, in relation to action points that have not been met or only met partially will be added to the centre's overall risk profile. As stated in the Centre Accreditation Handbook, each accredited centre is risk managed by CILEx and where risks become significant to the interests of learners and the CILEx qualifications, then CILEx will investigate and possibly (dependent on findings) sanction the accredited centre.

Centres must have the following information available for each external quality assurance visit:

- a copy of the '**Competence Qualification Claim Form**' relevant to the External Quality Assurer visit
- a complete list of the learners entered for these qualifications (in addition to those listed on the 'Competence Qualification Claim Form'), together with their achievements to date plus certification records
- access to evidence for all learners entered - e.g., up-to-date portfolios and CARs
- relevant assessors and selected learners as requested by the External Quality Assurer
- a copy of the External Quality Assurer's last visit report
- a sample signature list for all Assessors and Internal Quality Assurers
- details of training and curriculum vitae for new members of the assessment team
- all centre records in relation to assessment and internal quality assurance for each learner (see below)
- evidence of achieving action points since the last External Quality Assurer visit
- notes of any action carried out due to particular points mentioned by an External Quality Assurer in any correspondence since their last visit
- if multi-media evidence is used, ensure all recordings and appropriate playback equipment is available
- all relevant supporting policy documentation submitted as a part of the centre accreditation process, i.e.:
 - Certified copies of centre Assessors' and Internal Quality Assurers' relevant qualification(s) certificates and other relevant documentation demonstrating competence in assessment, occupational competence and recent occupational experience
 - Assessment and internal quality assurance policy, procedures and plans
 - Enquiries and appeals policy
 - Reasonable adjustment and special consideration policy
 - Competence qualification quality assurance policy

(Please note: where learner numbers do not justify as cost effective 3 EQA visits per year from a CILEx EQA, then CILEx will address this with the accredited centre with a view to reducing annual EQA visits or requiring the accredited centre to pay for a visit.)

6.5.3 Centre records – assessment and quality assurance

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

- learner's name and location
- learner's start date on the programme and confirmation of registration with CILEx
- name of the assessor
- name of the Internal Quality Assurer
- date and outcome of the initial assessment of the learner
- dates and details of learner planning sessions
- dates and details of learner reviews and feedback sessions
- dates of all assessments and their outcomes (that is, the decision whether the learner has met the requirements or not) cross-referenced to the unit
- enough detail of the assessment to justify the decision made
- an indication of the use of simulation, if used
- dates and outcomes of internal quality assurance
- feedback and action resulting from internal quality assurance
- certification records
- records of requests for reasonable adjustments and special consideration
- records of any appeals/enquiries re reasonable adjustments, special consideration and results
- records of learner complaints

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

Centre records in relation to each learner must be retained by the centre for at least 12 months after the learner has completed their qualification.

Section 7: Qualification Administration

7.1 Introduction

The CILEx Level 3 Diploma in Providing Legal Services is a competence qualification which is assessed by a CILEx-accredited centre assessing and quality assuring evidence gathered by the learner in the workplace and then externally checked by a CILEx-appointed External Quality Assurer.

Section 7.2 sets out CILEx procedures for registering learners for this qualification.

Section 7.3 sets out CILEx procedures for claiming for units of the qualification once the learner has completed a minimum of a single unit of the qualification.

Section 7.4 sets out the CILEx procedures for dispatch of results and certificates.

This section of the handbook also addresses the policies relating to the qualification including:

- the reasonable adjustments policy (section 7.5)
- special consideration policy (section 7.6)
- the results enquiries and appeals policy (section 7.7)
- the malpractice policy (section 7.8)

7.2 Procedures for registering learners

7.2.1 Registering learners as members of CILEx

- The accredited centre must register each learner as a CILEx member using the **Apprentice Application Form** (www.cilex.org.uk) prior to it registering learners for the qualification.
- The accredited centre will be required to add the learner's CILEx membership number to the qualification registration form (the '**Competence Qualification Registration Form**') as a part of the required information upon registration, and, hence, it is imperative that each learner is a CILEx member before they are registered for the qualification, and that any subscriptions and any other related fees are paid and are up to date.

7.2.2 Registering learners for the CILEx Level 3 Diploma in Providing Legal Services

- The accredited centre is responsible for registering learners, who are embarked upon programmes of learning towards the CILEx Level 3 Diploma in Providing Legal Services, for the qualification.
- The accredited centre must use the form: '**Competence Qualification Registration Form**' (available from the CILEx website: www.cilex.org.uk) to initially register learners for the qualification.
- Accredited centres may register learners for the qualification all year round.
- The accredited centre must register learners for the qualification **within 6 weeks** of it starting a programme of learning with learners towards the CILEx competence qualification.
- The initial qualification registration fee for the competence qualification is set out in **Appendix B**.
- The accredited centre will be invoiced for the required amount within 5 days of receipt by CILEx of the registration form. Payment terms will be strictly 28 days from the date of the invoice. Non-payment of invoices may result in further services being suspended.

- CILEx will acknowledge receipt of the registration form within 5 working days of receipt.
- A new accredited centre will be asked to identify on the registration form the dates when it wishes to be visited by the CILEx External Quality Assurer (3 visits across the year). CILEx will appoint an EQA for each new centre and the EQA will liaise with the centre to finalise visit dates.
- Existing centres agree their External Quality Assurer visit dates with their EQA, who will consult CILEx before finalising the dates.
- When arranging EQA visits, centres must be mindful that CILEx will issue **the unit claim form 15 working days before each EQA visit and results and certificates will be issued 25 working days after each visit.**
- An accredited centre may wish to arrange an additional visit (i.e. a 4th visit) in any given year. Where possible, CILEx will seek to accommodate centres requesting a 4th visit. The centre will be charged for the cost of the visit. Additional visits should be discussed with the centre's EQA who will consult with CILEx before agreeing any additional visits.
- Once visit dates have been arranged, CILEx will confirm with the centre the deadlines for submitting unit claim forms to CILEx.
- The centre's EQA will contact the centre in advance of each visit to confirm and finalise visit arrangements, for example, the visit agenda.

7.3 Making claims for units of the competence qualification

- The accredited centre is responsible for making claims for learners who have completed units towards the competence qualification.
- A learner must have completed a minimum of 1 unit of the qualification before a claim can be made to CILEx for that unit.
- No unit can be claimed by the accredited centre for a learner within 10 weeks of the learner being initially registered for the qualification by the accredited centre.
- No claim must be made for a unit which the accredited centre is not satisfied is successfully completed. All claimed units must be agreed as completed and passed by both the learner's Assessor and the accredited centre's Internal Quality Assurer.
- Claims for certification for learners must be made on the '**Level 3 Diploma in Providing Legal Services - Competence Qualification Claim Form**'.
- Accredited centres must retain copies of their Competence Qualification Registration Forms and Competence Qualification Claim Forms, and ensure that they have a composite record for each of their learners in relation to qualification registration and qualification claim.
- Only learners who have been initially registered for the competence qualification can be claimed for using the Competence Qualification Claim Form.
- Accredited centres must take care to ensure that claim forms identify claims for units that have not been claimed previously.
- CILEx will check all submitted claims against its records of previous claims and achievements, and will return claims to accredited centres where information supplied is inaccurate or inconsistent. Where it results in delays to the progressing of EQA visits, then CILEx cannot guarantee that the EQA visit will be able to go ahead, as previously agreed, which may lead to delays to the processing of results and certificates.
- The Competence Qualification Claim Form is also effectively a unit entry form and accredited centres will be invoiced for those units claimed following the EQA visit. Payment terms will be strictly 28 days from the date of the invoice. Non-payment of invoices may result in further services being suspended.

7.4 Dispatch of results and certificates

- Results notifications will be sent by first class post to accredited centres within 25 working days of the associated EQA visit.
- Results are not sent out by fax or email.
- Results notifications must be distributed promptly and appropriately by the centre to each relevant learner at the centre.

- Results notifications record the units achieved by each learner on the claim form.
- Qualification certificates will be dispatched by first class post to accredited centres within 25 working days of learner achieving full qualification.

7.5 Reasonable Adjustments

7.5.1 An explanation of reasonable adjustments

Reasonable adjustments are intended to assist learners to demonstrate their attainment without affecting or circumventing the assessment requirements. They are agreed before an assessment. They allow learners with disabilities or temporary injuries to access the assessment. Reasonable adjustments can be made to an assessment for a unit to alleviate or remove the effect of a disability or difficulty that places the learner at a substantial disadvantage to enable them to demonstrate their knowledge, skills, competence and understanding to the levels of attainment required by the specification for that unit.

Reasonable adjustments must not affect the validity or reliability of the assessment outcomes.

To meet the needs of learners who may require reasonable adjustments, and to also ensure that reasonable adjustments are administered consistently and fairly, CILEx has in place a **Reasonable Adjustments policy – Competence Qualifications**.

Reasonable adjustments will be governed by the individual needs of the learner and must not affect the integrity of what needs to be assessed. Reasonable adjustments may include:

- changing standard assessment arrangements, for example allowing learners extra time to complete an assessment activity;
- providing alternative forms of assessment to demonstrate attainment;
- adapting assessment materials, for example, assessment materials on coloured paper, assessment materials in large font;
- use of Information Communications Technology (ICT), for example, voice activated software;
- providing access facilitators during assessment, such as a reader or sign language interpreter;
- altering the physical environment to make it more accessible.

7.5.2 The Reasonable Adjustments policy

To summarise:

- The CILEx Reasonable Adjustments Policy in relation to competence qualifications sets out the responsibilities of accredited centres to understand the needs of their learners and make appropriate adjustments to their learning and assessment where necessary.
- The policy identifies the importance of recording these decisions in order that decisions can be monitored by CILEx to ensure that centres comply with the CILEx Reasonable Adjustment Policy.
- The policy also requires learners to communicate openly and fully with accredited centres about their needs in order for accredited centres to best address these needs.
- The policy emphasises the importance of centres adhering to these requirements and identifies possible malpractice and/or maladministration action by CILEx in the event that a centre fails to comply with the policy.

7.5.3 Where to find out more information about reasonable adjustments

- The **Reasonable Adjustments policy – Competence Qualifications** is available on the CILEx website (www.cilex.org.uk)

- Queries about reasonable adjustments can be raised with the Membership Contact Centre Team at CILEx.

7.6 Special Consideration

7.6.1 An explanation of special consideration

CILEx competence qualifications require learners to demonstrate their competence in relation to each of the assessment criteria for each unit. In this regard, special consideration is limited to allowing the learner further opportunities to undertake assessment activities or to re-take an assessment activity for which a learner was unable to demonstrate their attainment due to temporary illness, injury or adverse circumstances at the time of the assessment. CILEx does not permit Centre Assessors to reach a judgement in regard to a learner's potential level of achievement in relation to the assessment criteria. Assessment decisions have to be informed by evidence of a learner's achievement and competence in relation to the assessment criteria for the units.

7.6.2 Where to find out more information about special consideration

- The **Special Considerations policy – Competence Qualifications** is available on the CILEx website (www.cilex.org.uk)
- Queries about special consideration can be raised with the Membership Contact Centre Team at CILEx.

7.7 Enquiries and appeals process

CILEx is responsible for securing and maintaining the standards of its qualifications. In this regard, CILEx has developed policies and procedures to underpin the delivery, award and certification of its qualifications to protect users of its qualifications, including learners and accredited centres, and ensure that valid decisions are made following consideration of all available evidence. CILEx seeks to be fair and transparent in its dealings with accredited centres and learners. In this regard CILEx has in place an enquiries and appeals policy for learners and accredited centres to use when they feel that decisions reached by CILEx/its accredited centres across a range of its assessment services have not resulted in an outcome which is accurate and/or fair.

The **Enquiries and Appeals Policy – Competence Qualifications** is available on the CILEx website (www.cilex.org.uk).

7.8 Student and centre malpractice

CILEx has in place policies and procedures for dealing with cases of alleged learner and accredited centre malpractice. Learners and accredited centres are referred to **CILEx Procedures for Dealing with Cases of Suspected Student Malpractice** and **CILEx Procedures for Dealing with Cases of Suspected Accredited Centre Malpractice or Maladministration** on the CILEx website (www.cilex.org.uk) for further information.

Section 8: CILEx Contacts

CILEx Address:

CILEx
Kempston Manor
Kempston
Bedford
MK42 7AB

CILEx Website: www.cilex.org.uk

Main switchboard telephone number: 01234 841000

Department/Team	Key Responsibilities
<p>Membership Contact Centre Team</p> <p>Email: membership@cilex.org.uk</p> <p>Telephone: 01234 845777</p>	<ul style="list-style-type: none">▪ Student/Member/Fellow applications and fees▪ Advice on qualifications▪ CPD advice▪ Qualifying Employment enquiries▪ Subscriptions▪ Work-based learning queries▪ Membership upgrades▪ General advice on Practice Rights▪ Assessment registration, regulations & fees▪ results notifications▪ Centre accreditation▪ CILEx qualification rules & regulations▪ Reasonable adjustments/access arrangements▪ Special consideration▪ Enquiries and appeals▪ Exemptions
<p>CILEx Regulation</p> <p>Email: info@cilexregulation.org.uk</p> <p>Telephone: 01234 845770</p>	<ul style="list-style-type: none">▪ Code of Conduct▪ Membership application matters▪ Membership disciplinary matters▪ Complaints against CILEx members

Appendices

Appendix A – Key timelines associated with EQA visits

Existing Centres:

To facilitate learner progression through the qualifications, centres will be invited to agree the dates of the 3 EQA visits for 2018 with their EQA by the end of 2017.

Centres should be mindful that claim forms must be submitted **15 working days before EQA visits and CILEx will issue results and certificates 25 working days after each visit.**

Example:

Visit Date	Claim Form Deadline	Results Notifications and Certificates sent to centre
20 April 2018	30 March 2018	25 May 2018
22 September 2018	1 September 2018	27 October 2018

New Centres:

New centres should identify on the CILEx Level 3 Legal Services Competence Qualification Registration Form the dates when it wishes to be visited by the CILEx EQA (3 visits per year).

Example:

Visit Date	Claim Form Deadline	Results Notifications and Certificates sent to centre
20 April 2018	30 March 2018	25 May 2018
22 September 2018	1 September 2018	27 October 2018

Following receipt of the registration form from a new centre CILEx will appoint an EQA who will liaise with the centre to finalise the EQA visit dates.

Appendix B – Fees

CILEx Level 3 Diploma in Providing Legal Services – Fees for 2017/18

Learner registration fee	£61 per learner (payable after initial entry of learners)
Unit entry fee	£8 per unit claimed (payable after claim for certification)

Assessment Enquiries and Appeals Fees

Learners and centres should refer to the CILEx Enquiries and Appeals Policy – Competence Qualifications for information about the different types of enquiries and appeals which can be requested.

Enquiry/Appeal	Fee
Assessment decision enquiry	£25
Assessment result enquiry	£25
Stage 1 Appeal	£25
Stage 2 Appeal	£25

Reasonable Adjustment Enquiries and Appeals

Enquiry/Appeal	Fee
Reasonable adjustment enquiry	£25
Stage 1 Appeal	£25
Stage 2 Appeal	£25

Special Consideration Enquiries and Appeals

Enquiry/Appeal	Fee
Special Consideration enquiry	£25
Stage 1 Appeal	£25
Stage 2 Appeal	£25

Malpractice

Learners and centres should refer to **CILEx Procedures for Dealing with Cases of Suspected Student Malpractice - CILEx Level 3 and 6 Professional Qualifications and CILEx Level 3 and 4 Legal Services Qualifications** for information about appeals against malpractice decisions. The fee set out below applies to malpractice appeals relating to the academic year 2017/2018.

Appeal	Fee
Appeal against a student malpractice decision	£50

Membership registration and subscription fees 2018:

Registration fee	£40
Student member annual subscription fee	£80
Affiliate member annual subscription fee	£128
Associate member annual subscription fee	£190
Graduate Member annual subscription fee (First time registration, annual subscription and exemption fees total £660)	£220
Fellow annual subscription fee	£364

Please note that preferential rates are available; please contact membership@cilex.org.uk for further information.

Appendix C – Evidence Record Form
Evidence Record Sheet
CILEx Level 3 Diploma in Providing Legal Services



Learner Name:		Unit (number & title):	
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Evidence reference or location	Evidence title	Assessment method	Assessment Criteria

Assessment method key: O= observation of candidate, EWP = examination of work product, EWT = examination of witness testimony, EPS = examination of personal statement, QC = questioning of candidate, QW = questioning of witness, EWA = examination of written answers to questions, PD = professional discussion, ARP = examination of assignment/project/report involving planning and research. *See Section 5.4 of the Qualifications handbook for an explanation of assessment methods.*

This sheet is available electronically from the CILEx website (www.cilex.org.uk).

I confirm that I have complied with the CILEx Regulations for Competence Qualifications and the evidence provided is a result of my own work.

Signature of learner:		Date:	
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I confirm that the learner has demonstrated competence by satisfying all of the assessment criteria identified above.

Signature of assessor:		Name (BLOCK CAPITALS):		Date:	
Signature of IQA (if sampled):		Name (BLOCK CAPITALS):		Date:	

**Appendix D – Unit Achievement Summary Sheet
CILEx Level 3 Diploma in Providing Legal Services
Unit Achievement Summary Sheet**



Learner Name:		Assessor Name:	
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Note to learners: please complete this form for each unit which has been completed, certificated and is in progress. Only complete those columns relevant to the status of each unit.

Please ensure this record of your progress is kept up to date and accompanies your Evidence Record Sheets. This will enable your assessor and the quality assurers to easily check your progress and will confirm the validity of any claims for certification.

Unit number and title	Unit Completed? (Y/N)	Date of completion	Internally quality assured?	Unit Certificated? (Y/N)	Date of certification	*Assessor signature & date	Unit in progress? (Y/N)	Assessment criteria completed to date

***Note to assessors:** where units have been **completed** (ie both assessed and internally quality assured as meeting the unit requirements), please sign and date to confirm this is a true and accurate record of achievement for the learner.

Appendix E – Assessment Planning Record

**CILEx Level 3 Diploma in
Providing Legal Services
Assessment Planning Record**



Learner Name:		Assessor Name:	
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Proposed activity/evidence to be produced	Unit(s)LOs/AC to be covered	Target date

Comments from assessor and learner:

Signature of learner:		Date:	
Signature of assessor:		Date:	
Signature of IQA (if sampled):		Date:	

Appendix F – Assessment Decision Record

CILEx Level 3 Diploma in Providing Legal Services



Assessment Decision Record

Learner Name:		Assessor Name:	
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Units/LO/AC planned to be covered during assessment:	
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Please tick the type of assessment method(s) used			
Observation of candidate	<input type="checkbox"/>	Questioning of candidate	<input type="checkbox"/>
Examination of work product	<input type="checkbox"/>	Questioning of witness	<input type="checkbox"/>
Examination of witness testimony	<input type="checkbox"/>	Professional Discussion	<input type="checkbox"/>
Examination of personal statement	<input type="checkbox"/>	Other	<input type="checkbox"/>

Description of assessment and decision – the criteria successfully met during this assessment are shown on the evidence record sheets.

The above is an accurate record of the decision.			
Signature of learner:		Date:	
Signature of assessor:		Date:	
Signature of IQA (if sampled):		Date:	

Appendix G – Assessment Feedback Record

**CILEx Level 3 Diploma in
Providing Legal Services**

Assessment Feedback Record



Learner Name:		Assessor Name:	
The above is an accurate record of the feedback			
Signature of learner:		Date:	
Signature of assessor:		Date:	
Signature of IQA (if sampled):		Date:	

Appendix H – Expert Witness List

CILEx Level 3 Diploma in Providing Legal Services



Expert Witness List

Learner Name:		Learner Signature:	
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Please ensure that all expert witnesses who have signed your evidence or written a report are included on this witness list. All necessary details must be included and signed by the witness as being correct.

Evidence reference	Expert Witness name (including contract address, telephone number and Expert Witness signature)		
	Signature of witness:		Date:
	Professional relationship with learner: (e.g. Manager, Supervisor etc)		
	Signature of witness:		Date:
	Professional relationship with learner: (e.g. Manager, Supervisor etc)		
	Signature of witness:		Date:
	Professional relationship with learner: (e.g. Manager, Supervisor etc)		
	Signature of witness:		Date:
	Professional relationship with learner: (e.g. Manager, Supervisor etc)		