Pearson Edexcel Level 3 Awards and Certificate in Assessing the Quality of Assessment

Specification

Specialist qualifications

First teaching September 2010

Issue 3

Edexcel, BTEC and LCCI qualifications

Edexcel, BTEC and LCCI qualifications are awarded by Pearson, the UK's largest awarding body offering academic and vocational qualifications that are globally recognised and benchmarked. For further information, please visit our qualifications website at qualifications.pearson.com. Alternatively, you can get in touch with us using the details on our contact us page at qualifications.pearson.com/contactus

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This specification is Issue 3. Key changes are listed in the summary table on the next page. We will inform centres of any changes to this issue. The latest issue can be found on the Pearson website: qualifications.pearson.com

These qualifications were previously known as:

Edexcel Level 3 Awards and Certificate in Assessing the Quality of Assessment (QCF)

The QNs remain the same.

Summary of Pearson Edexcel Level 3 Awards and Certificate in Assessing the Quality of Assessment specification Issue 3 changes

Summary of changes made between previous Issue 2 and this current Issue 3	Page/section number
All references to QCF have been removed throughout the specification	Throughout
Definition of TQT added	Section 1
Definition of sizes of qualifications aligned to TQT	Section 1
TQT value added	Section 2
Reference to credit transfer within the QCF removed	Section 6
QCF references removed from unit titles and unit levels in all units	Section 12
Guided learning definition updated	Section 12

Earlier issue(s) show(s) previous changes.

If you need further information on these changes or what they mean, contact us via our website at: qualifications.pearson.com/en/support/contact-us.html.

Contents

Purpose of this specification

The purpose of a specification as defined by Ofqual is to set out:

- the qualification's objective

- any other qualification that a learner must have completed before taking the qualification

- any prior knowledge, skills or understanding that the learner is required to have before taking the qualification

- units that a learner must have completed before the qualification will be awarded and any optional routes

- any other requirements that a learner must have satisfied before they will be assessed or before the qualification will be awarded

- the knowledge, skills and understanding that will be assessed as part of the qualification (giving a clear indication of their coverage and depth)

- the method of any assessment and any associated requirements relating to it

- the criteria against which the learner's level of attainment will be measured (such as assessment criteria)

- any specimen materials

- any specified levels of attainment.

1 Introducing Pearson Specialist qualifications

Pearson Specialist qualifications are work-related qualifications available from Entry to Level 3 in a range of sectors. They give learners the knowledge, understanding and skills they need to prepare for employment in a specific occupational area. The qualifications also provide career development opportunities for those already in work. The qualifications may be offered as full-time or part-time courses in schools or colleges. Training centres and employers may also offer these qualifications.

Sizes of Specialist qualifications

For all regulated qualifications, we specify a total number of hours that learners are expected to undertake in order to complete and show achievement for the qualification – this is the Total Qualification Time (TQT). The TQT value indicates the size of a qualification.

Within the TQT, we identify the number of Guided Learning Hours (GLH) that a centre delivering the qualification needs to provide. Guided learning means activities that directly or immediately involve tutors and assessors in teaching, supervising, and invigilating learners, for example lectures, tutorials, online instruction and supervised study.

As well as guided learning, there may be other required learning that is directed by tutors or assessors. This includes, for example, private study, preparation for assessment and undertaking assessment when not under supervision, such as preparatory reading, revision and independent research.

As well as TQT and GLH, qualifications can also have a credit value – equal to one tenth of TQT, rounded to the nearest whole number.

TQT and credit values are assigned after consultation with users of the qualifications.

Pearson Specialist qualifications are available in the following sizes:

- Award – a qualification with a TQT value of 120 or less (equivalent to a range of 1–12 credits)

- Certificate – a qualification with a TQT value in the range of 121–369 (equivalent to a range of 13–36 credits)

- Diploma – a qualification with a TQT value of 370 or more (equivalent to 37 credits and above).

2 Qualification summary and key information

Qualification title	Pearson Edexcel Level 3 Award in Understanding the Principles and Practices of Assessment
Qualification Number (QN)	501/0774/4
Date registrations can be made	01/09/2010
Age range that the qualification is approved for	19+
Credit value	3
Assessment	Centre-devised assessment (internal assessment)
Total Qualification Time (TQT)	30
Guided learning hours	24
Grading information	The qualification and units are at pass grade.
Entry requirements	For details of entry requirements see below. Centres must also follow the Pearson *Access and Recruitment* policy (see section 10 *Access and Recruitment*)

Qualification title	Pearson Edexcel Level 3 Award in Assessing Competence in the Work Environment
Qualification Number (QN)	501/0771/9
Date registrations can be made	01/09/2010
Age range that the qualification is approved for	19+
Credit value	9
Assessment	Centre-devised assessment (internal assessment)
Total Qualification Time (TQT)	90
Guided learning hours	54
Grading information	The qualification and units are at pass grade.
Entry requirements	For details of entry requirements see below. Centres must also follow the Pearson *Access and Recruitment* policy (see section 10 *Access and Recruitment*)

Qualification title	Pearson Edexcel Level 3 Award in Assessing Vocationally Related Achievement
Qualification Number (QN)	501/0773/2
Date registrations can be made	01/09/2010
Age range that the qualification is approved for	19+
Credit value	9
Assessment	Centre-devised assessment (internal assessment)
Total Qualification Time (TQT)	90
Guided learning hours	54
Grading information	The qualification and units are at pass grade.
Entry requirements	For details of entry requirements see below. Centres must also follow the Pearson *Access and Recruitment* policy (see section 10 *Access and Recruitment*)

Qualification title	Pearson Edexcel Level 3 Certificate in Assessing Vocational Achievement
Qualification Number (QN)	501/0772/0
Date registrations can be made	01/09/2010
Age range that the qualification is approved for	19+
Credit value	15
Assessment	Centre-devised assessment (internal assessment)
Total Qualification Time (TQT)	150
Guided learning hours	84
Grading information	The qualification and units are at pass grade.
Entry requirements	For details of entry requirements see below. Centres must also follow the Pearson *Access and Recruitment* policy (see section 10 *Access and Recruitment*)

Qualification title and Qualification Number

Centres will need to use the Qualification Number (QN) when they seek public funding for their learners. The qualification title, unit titles and QN are given on each learner's final certificate. You should tell your learners this when your centre recruits them and registers them with us. There is more information about certification in our *UK Information Manual,* available on our website, qualifications.pearson.com

Objective of the qualifications

These qualifications replace the A1 and A2 qualifications. They are part of the new suite of qualifications for assessors, internal quality assurers (IQA) and external quality assurers (EQA).

This specification includes the qualifications for assessors. They were needed to meet the emerging needs of the developing qualification frameworks and to reflect changes in the practice of assessment.

These qualifications will be required for:

- Any assessors and verifiers involved in National Vocational Qualifications (NVQs) for the next three years. Those who deliver these qualifications will need to be qualified to meet the requirements of the NVQ Code of Practice and Sector Skills Councils assessment strategies.

- Assessors and quality assurance staff who deliver qualifications that use the term 'NVQ' in their title

- Depending on the assessment strategies set by individual Sector Skills Councils, some staff, who are assessing and quality assuring qualifications that do not use the term 'NVQ' in their titles, but whose purpose is to confirm occupational competence, will need to hold IQA or EQA qualifications.

These qualifications would be helpful for teachers in schools who deliver vocational qualifications with applied learning, such as BTEC Firsts and Nationals.

Ofqual has confirmed that practitioners who hold the A, V or D units will not have to prequalify, but must be aware of and operate in accordance with the relevant new qualification.

For further information, please refer to *Annexe B* where there is an extract from the Lifelong Learning UK (LLUK) guidance document giving the LLUK Assessment Strategy. LLUK has been replaced by The Learning and Skills Improvement Service (LSIS) which now oversees the Assessment Strategy. Please note, that requirements set out in the Assessment Strategy are LLUK/LSIS requirements, not the requirements of the Regulators, Sector Skills Councils or awarding bodies for other qualifications. These will be covered by the assessment strategies relevant to those qualifications.

The units in this specification can be approached as individual, stand-alone units but in different combinations they provide the appropriate qualification for:

- assessors of competence in the work environment

- assessors of vocationally related achievement

- those wishing to gain an understanding of the principles and practices of assessment.

It is essential that the correct combinations are understood and that learners are guided by assessors and tutors to the appropriate combination.

These qualifications are for learners aged 19 and above who are capable of reaching the required standards in a learning and development delivery or assessment context.

Pearson's policy is that the qualifications should:

- be free from any barriers that restrict access and progression
- ensure equality of opportunity for all wishing to access the qualifications.

Individual qualifications in this specification document are particularly suitable for the following groups of learners:

The Pearson Edexcel Level 3 Award in Understanding the Principles and Practices of Assessment: for those who wish to gain an understanding of the principles and practices of assessment without any requirement to practice as assessors.

The Pearson Edexcel Level 3 Award in Assessing Competence in the Work Environment: for assessors who assess occupational competence in an individual's work environment.

The Pearson Edexcel Level 3 Award in Assessing Vocationally Related Achievement: for those who assess vocational skills, knowledge and understanding in environments other than the work environment (eg a workshop, classroom or other training environment).

The Pearson Edexcel Level 3 Certificate in Assessing Vocational Achievement: for those who assess both occupational competence in the work environment and vocational skills, knowledge and understanding in environments other than the workplace (eg a workshop, classroom or other training environment).

Relationship with previous specifications

This specification is a direct specification replacement for the specification entitled *Pearson Edexcel Level 3 Awards in Assessing the Quality of Assessment and Pearson Edexcel Level 3 Certificate in Assessing the Quality of Assessment – for first teaching September 2010*. These changes have been made to reflect updates in our specification document layout. The structures, rules of combination, content and assessment of the qualifications in the earlier specification, have not been altered.

Related qualifications in the teaching, training and education suite

Which qualification is most appropriate for which role?

ROLE	QUALIFICATION
Assessor or Internal Quality Assurer	Training, Assessment and Quality Assurance (TAQA)
Trainer	Learning and Development (L&D)
New to teaching or training	Preparing to Teach in the Lifelong Learning Sector (PTLLS)
Associate or part-time teacher	Certificate in Teaching in the Lifelong Learning Sector (CTLLS)
Full-time teacher	Diploma in Teaching in the Lifelong Learning Sector (DTLLS)

Inter-relationships between teaching, training and education qualifications

- All of the teaching and learning qualifications contain some common units increasing both the transferability between the qualifications, and the choice of units available to centres and learners.

- Centres should select units that best reflect the needs of learner groups. These may include: training, assessing, quality assurance, part and full-time teaching.

- We encourage centres to make the most of the wide range of units now available from Pearson and recommend they use the qualification structure documents to design programmes that best suit learners.

- Centres should ensure they have the right resources and level of approval to offer these units and qualifications, and be aware of the specific delivery sequence for the Diploma in Teaching in the Lifelong Learning Sector, (further details in *Section 9, Programme Delivery*).

Diploma in Teaching in the Lifelong Learning Sector

Certificate in Teaching in the Lifelong Learning Sector

Preparing to Teach in the Lifelong Learning Sector

Learning and Development

Training, Assessment and Quality Assurance
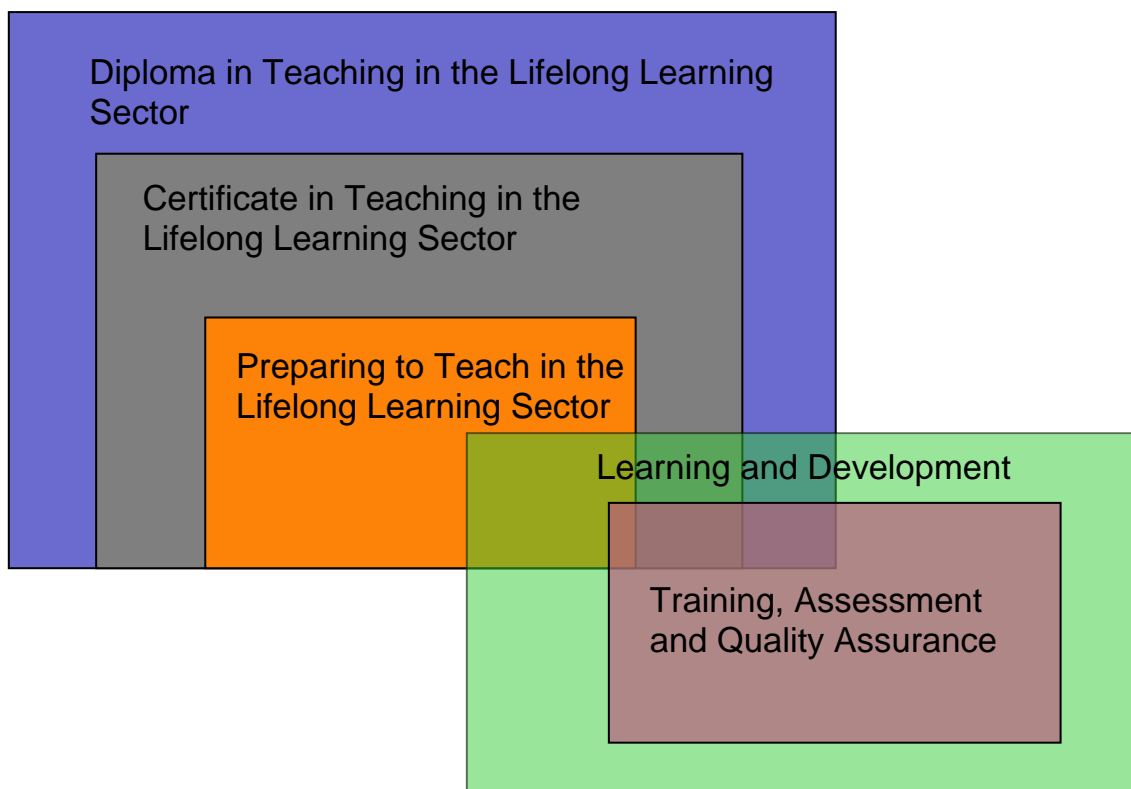
Progression opportunities through Pearson qualifications

Learners who achieve these qualifications have a wide range of qualification progression opportunities, for example the teaching in the lifelong learning sector suite of qualifications: Preparing to Teach in the Lifelong Learning Sector (PTLLS), the Certificate in Teaching in the Lifelong Learning Sector (CTLLS) and the Diploma in Teaching in the Lifelong Learning Sector (DTLLS).

See *Annexe A* for further information.

Industry Support and recognition

These qualifications are supported by the Learning and Skills Improvement Service (LSIS), the Standards Setting Body for teaching and learning.

Relationship with National Occupational Standards

These qualifications relate to the Professional Standards in Teaching in the Lifelong Learning Sector. The standards are available on the Learning and Skills Improvement Service Excellence Gateway, www.excellencegateway.org.uk. Further information is available, as well as advice on teaching in the further education sector, from the Information and Advice Service at enquiries@lsis.org.uk or telephone: 0300 303 1877.

3 Centre resource requirements

As part of the approval process, centres must make sure that the resources requirements below are in place before offering the qualification.

General resource requirements

- Centres must have appropriate physical resources (for example, equipment, IT, learning materials, teaching rooms) to support the delivery and assessment of the qualifications.

- Staff involved in the assessment process must have relevant expertise and occupational experience.

- There must be systems in place to make sure continuing professional development for staff delivering the qualifications.

- Centres must have appropriate health and safety policies in place relating to the use of equipment by learners.

- Centres must deliver the qualifications in accordance with current equality legislation.

Specific resource requirements

As well as the general requirements above, centres must meet any specific resource requirements outlined in *Annexe B: LLUK Assessment Strategy*. Staff assessing the learner must meet the requirements within the overarching assessment strategy for the sector.

4 Qualification structures

Pearson Edexcel Level 3 Award in Understanding the Principles and Practices of Assessment

The learner will need to meet the requirements outlined in the table below before Pearson can award the qualification.

Minimum number of credits that must be achieved	3

Unit name	Unit No	Unit Ref No	Level	Credit	GLH
Mandatory Unit: 3 credits must be achieved from this group					
Understanding the Principles and Practices of Assessment	1	D/601/5313	3	3	24

Pearson Edexcel Level 3 Award in Assessing Competence in the Work Environment

The learner will need to meet the requirements outlined in the table below before Pearson can award the qualification.

Minimum number of credits that must be achieved	9

Unit name	Unit no	Unit Ref No	Level	Credit	GLH
Mandatory Units: 9 credits must be achieved from this group					
Understanding the Principles and Practices of Assessment	1	D/601/5313	3	3	24
Assess Occupational Competence in the Work Environment	2	H/601/5314	3	6	30

Pearson Edexcel Level 3 Award in Assessing Vocationally Related Achievement

The learner will need to meet the requirements outlined in the table below before Pearson can award the qualification.

Minimum number of credits that must be achieved	9

Unit name	Unit no	Unit Ref No	Level	Credit	GLH
Mandatory Units: 9 credits must be achieved from this group					
Understanding the Principles and Practices of Assessment	1	D/601/5313	3	3	24
Assess Vocational Skills, Knowledge and Understanding	3	F/601/5319	3	6	30

Pearson Edexcel Level 3 Certificate in Assessing Vocational Achievement

The learner will need to meet the requirements outlined in the table below before Pearson can award the qualification.

Minimum number of credits that must be achieved	15

Unit name	Unit no	Unit Ref No	Level	Credit	GLH
Mandatory Units: 15 credits must be achieved from this group					
Understanding the Principles and Practices of Assessment	1	D/601/5313	3	3	24
Assess Occupational Competence in the Work Environment	2	H/601/5314	3	6	30
Assess Vocational Skills, Knowledge and Understanding	3	F/601/5319	3	6	30

5 Assessment

The table below gives a summary of the assessment methods used in the qualifications

Units	Assessment method
All units	Centre-devised assessment

Centre-devised assessment (internal assessment)

Each unit has specified learning outcomes and assessment criteria. To pass an internally assessed unit, learners must meet all the learning outcomes. Centres may find it helpful if learners index and reference their evidence to the relevant learning outcomes and assessment criteria.

A number of the assessment criteria in this specification document require the learner to produce evidence whereby the learner's competence can be assessed.

Where appropriate, centres need to write assignment briefs for the learners to show what evidence is required. Assignment briefs should indicate clearly which assessment criteria are being targeted and what evidence is required. There should be evidence in the course file that assignments have been internally reviewed and moderated.

Assignment briefs and evidence produced by learners must also meet any additional requirements in the *Assessment Requirements* section of the unit.

Unless otherwise indicated within the *Assessment Requirements* section of the unit, the centre can decide what form assessment evidence will take (eg performance observation, presentations, projects, tests, extended writing) as long as the methods chosen allow learners to produce valid, sufficient and reliable evidence of meeting the assessment criteria.

Centres are encouraged to provide learners with realistic scenarios and maximise the use of practical activities in delivery and assessment.

To avoid over-assessment, centres are encouraged to link delivery and assessment across units.

When writing assignments, centres should ensure that guidance is given for:

- date of issue and date for submission

- word count (where appropriate for depth or range required)

- sources/types of appropriate evidence

- any specific support for learners in generating appropriate evidence — including cross-referencing where a single piece of evidence relates to more than one unit, for example scheme of work/session plans/observation reports

- the use of Harvard referencing for all research materials.

There is more guidance about internal assessment on our website. See also Section 13 *Further information and useful publications.*

Assessment strategy

The overall grade for each qualification is a 'pass'. The learner must achieve all the required units within the specified qualification structure.

The assessment strategy for these qualifications has been included in *Annexe B*. It has been developed by the Learning and Skills Improvement Service (LSIS) in partnership with employers, training providers, awarding organisations and the regulatory authorities.

Evidence of competence may come from:

- **current practice** where evidence is generated from a current job role

- a **programme of development** where evidence comes from assessment opportunities built into a learning/training programme whether at or away from the workplace

- the **Recognition of Prior Learning (RPL)** where a learner can demonstrate that they can meet the assessment criteria within a unit through knowledge, understanding or skills they already possess without undertaking a course of learning. They must submit sufficient, reliable and valid evidence for internal and standards verification purposes. RPL is acceptable for accrediting a unit, several units or a whole qualification

- a **combination** of these.

It is important that the evidence is:

Valid	relevant to the standards for which competence is claimed
Authentic	produced by the learner
Current	sufficiently recent to create confidence that the same skill, understanding or knowledge persist at the time of the claim
Reliable	indicates that the learner can consistently perform at this level
Sufficient	fully meets the requirements of the standards.

Types of evidence (to be read in conjunction with the assessment strategy in Annexe B)

To successfully achieve a unit, the learner must

- achieve all the specified learning outcomes

- satisfy all the assessment criteria by providing sufficient and valid evidence for each criterion

- show that the evidence is their own.

Evidence can take a variety of different forms, including the examples below. Centres should refer to the assessment strategy for information about which of the following are permissible:

- direct observation of the learner's performance by their assessor (O)

- outcomes from oral or written questioning (Q and A)

- products of the learner's work (P)

- personal statements and/or reflective accounts (RA)

- outcomes from simulation, where permitted by the assessment strategy (S)

- professional discussion (PD)

- assignment, project/case studies (A)

- authentic statements/witness testimony (WT)

- expert witness testimony (EPW)

- evidence of Recognition of Prior Learning (RPL).

The abbreviations may be used for cross-referencing purposes.

Learners can use one piece of evidence to prove their knowledge, skills and understanding across different assessment criteria and/or across different units. It is, therefore, not necessary for learners to have each assessment criterion assessed separately. Learners should be encouraged to reference the assessment criteria to which the evidence relates.

Evidence must be made available to the assessor, internal verifier and Pearson standards verifier. A range of recording documents is available on the Pearson website qualifications.pearson.com. Alternatively, centres may develop their own.

6 Recognising prior learning and achievement

Recognition of Prior Learning

Recognition of Prior Learning (RPL) is a method of assessment (leading to the award of credit) that considers whether a learner can demonstrate that they can meet the assessment requirements for a unit through knowledge, understanding or skills they already possess and so do not need to develop through a course of learning.

Pearson encourages centres to recognise learners' previous achievements and experiences in and outside the workplace, as well as in the classroom. RPL provides a route for the recognition of the achievements resulting from continuous learning.

RPL enables recognition of achievement from a range of activities using any valid assessment methodology. If the assessment requirements of a given unit or qualification have been met, the use of RPL is acceptable for accrediting a unit, units or a whole qualification. Evidence of learning must be sufficient, reliable and valid.

Further guidance is available in our policy document *Recognition of Prior Learning Policy and Process*, available on our website, qualifications.pearson.com

7 Centre recognition and approval

Centre recognition

Centres that have not previously offered Pearson qualifications need to apply for, and be granted, centre recognition as part of the process for approval to offer individual qualifications. New centres must complete a *Pearson Vocational Centre & Qualification Approval Form (VCQA)*.

Existing centres will be given 'automatic approval' for a new qualification if they are already approved for a qualification that is being replaced by the new qualification and the conditions for automatic approval are met. Centres that already hold Pearson Centre approval are able to apply for qualification approval for a different level or different sector via Edexcel Online, up to and including level 3 only.

In some circumstances, qualification approval using Edexcel Online may not be possible. In such cases, guidance is available as to how an approval application may be made.

Approvals agreement

All centres are required to enter into an approval agreement that is a formal commitment by the head or principal of a centre to meet all the requirements of the specification and any associated codes, conditions or regulations. Pearson will act to protect the integrity of the awarding of qualifications. If centres do not comply with the agreement, this could result in the suspension of certification or withdrawal of approval.

8 Quality assurance of centres

Quality assurance is at the heart of vocational qualifications. The centre assesses BTEC qualifications. The centre will use quality assurance to make sure that their managers, internal verifiers and assessors are standardised and supported. Pearson use quality assurance to check that all centres are working to national standards. It gives us the opportunity to identify and provide support, if needed, to safeguard certification. It also allows us to recognise and support good practice.

For the qualifications in this specification, the Pearson quality assurance model will follow one of the processes listed below.

1   Delivery of the qualification as part of a BTEC Apprenticeship ('single click' registration):

*   an annual visit by a Standards Verifier to review centre-wide quality assurance systems and sampling of internal verification and assessor decisions.

2   Delivery of the qualification outside the Apprenticeship:

*   an annual visit to the centre by a Centre Quality Reviewer to review centre-wide quality assurance systems

*   Lead Internal Verifier accreditation – this involves online training and standardisation of Lead Internal Verifiers using our OSCA platform, accessed via Edexcel Online. Please note that not all qualifications will include Lead Internal Verifier accreditation. Where this is the case, each year we will allocate a Standards Verifier to conduct postal sampling of internal verification and assessor decisions for the Principal Subject Area.

For further details please see the *UK Vocational Quality Assurance Handbook* on our website, qualifications.pearson.com

9 Programme delivery

Centres are free to offer the qualifications using any mode of delivery (for example full time, part time, evening only, distance learning) that meets their learners' needs. Whichever mode of delivery is used, centres must make sure that learners have access to the resources identified in the specification and to the subject specialists delivering the units.

Those planning the programme should aim to enhance the vocational nature of the qualification by:

- liaising with employers to make sure a course is relevant to learners' specific needs

- accessing and using non-confidential data and documents from learners' workplaces

- developing up-to-date and relevant teaching materials that make use of scenarios that are relevant to the sector

- giving learners the opportunity to apply their learning in practical activities

- including sponsoring employers in the delivery of the programme and, where appropriate, in the assessment

- making full use of the variety of experience of work and life that learners bring to the programme.

Where legislation is referred to in a unit, centres must ensure that current legislation is taught.

10 Access and recruitment

Pearson's policy regarding access to our qualifications is that:

- they should be available to everyone who is capable of reaching the required standards

- they should be free from any barriers that restrict access and progression

- there should be equal opportunities for all those wishing to access the qualifications.

Centres are required to recruit learners to Pearson Specialist qualifications with integrity.

Applicants will need relevant information and advice about the qualification to make sure it meets their needs.

Centres should review the applicant's prior qualifications and/or experience, considering whether this profile shows that they have the potential to achieve the qualification.

For learners with disabilities and specific needs, this review will need to take account of the support available to the learner during teaching and assessment of the qualification. The review must take account of the information and guidance in *Section 11 Access to qualifications for learners with disabilities or specific needs*.

Learners may be aged between 14 and 16 and therefore potentially vulnerable. Where learners are required to spend time and be assessed in work settings, it is the centre's responsibility to ensure that the work environment they go into is safe.

11 Access to qualifications for learners with disabilities or specific needs

Equality and fairness are central to our work. Pearson's Equality Policy requires all learners to have equal opportunity to access our qualifications and assessments and that our qualifications are awarded in a way that is fair to every learner.

We are committed to making sure that:

- learners with a protected characteristic (as defined by the Equality Act 2010) are not, when they are undertaking one of our qualifications, disadvantaged in comparison to learners who do not share that characteristic
- all learners achieve the recognition they deserve from undertaking a qualification and that this achievement can be compared fairly to the achievement of their peers.

For learners with disabilities and specific needs, the assessment of their potential to achieve the qualification must identify, where appropriate, the support that will be made available to them during delivery and assessment of the qualification. Please see the information on reasonable adjustments and special consideration in *Section 4, Assessment.*

Learners taking a qualification may be assessed in British sign language or Irish sign language where it is permitted for the purpose of reasonable adjustments.

12 Unit format

Units in this specification have the following sections:

Unit title

This is the formal title of the unit that will appear on the learner's certificate.

Unit reference number

Each unit is assigned a unit reference number that appears with the unit title on the Register of Regulated Qualifications.

Level

All units and qualifications have a level assigned to them. The level assigned is informed by the level descriptors defined by Ofqual, the qualifications regulator.

Credit value

When a learner achieves a unit, they gain the specified number of credits.

Guided learning hours

Guided Learning Hours (GLH) is the number of hours that a centre delivering the qualification needs to provide. Guided learning means activities that directly or immediately involve tutors and assessors in teaching, supervising, and invigilating learners, for example lectures, tutorials, online instruction and supervised study.

Unit aim

This gives a summary of what the unit aims to do.

Assessment requirements

This section lists any specialist assessment requirements, in line with SSB guidance and assessment strategies, needed to deliver the unit. The centre will be asked to make sure that these are in place when it seeks approval from Pearson to offer the qualification.

Learning outcomes

The learning outcomes of a unit set out what a learner knows, understands or is able to do as the result of a process of learning.

Assessment criteria

The assessment criteria specify the standard required by the learner to achieve the learning outcome.

Unit amplification

This section gives further clarification on what a learner needs to know to achieve a learning outcome. Information in brackets gives exemplification for specific areas of knowledge.

For the purposes of this suite of qualifications, the following terms are used:

Tutor — the person carrying out the teacher education

Learner – the person taking the qualification

Student — the person being taught or assessed by the learners

Practitioner – anyone with a learning and development responsibility as the whole or a part of their role.

Note: Learning and Development units which are offered as optional units in the Certificate in Teaching in the Lifelong Learning Sector Qualifications and the Diploma in Teaching in the Lifelong Learning Sector qualifications have the following additional unit section:

• Target Groups (a recommendation for whom the unit is best suited)

Unit 1:   Understanding the Principles and Practices of Assessment

Unit reference number: D/601/5313

Level: 3

Credit value: 3

Guided learning hours: 24

Unit aim

The aim of this unit is to assess a learning and development practitioner's knowledge and understanding of the principles and practices of assessment.

Assessment requirements

There is no requirement to undertake practice for this unit. However, Pearson recommends that this unit be assessed in the workplace.

The unit should be assessed using methods appropriate to the assessment of knowledge and understanding. There is no requirement for this unit to be assessed separately. Pearson recommends that assessors adopt a holistic approach and, where possible, use one activity as evidence for learning outcomes and assessment criteria for two or more units.

There must be valid, authentic and sufficient evidence for all the assessment criteria. Holistic assessment is encouraged and one piece of evidence may be used to meet the requirements of more than one learning outcome or assessment criterion.

Learning outcomes, assessment criteria and unit amplification

To pass this unit, the learner needs to demonstrate that they can meet all the learning outcomes for the unit. The assessment criteria determine the standard required to achieve the unit.

Learning outcomes		Assessment criteria		Unit amplification
1	Understand the principles and requirements of assessment	1.1	Explain the function of assessment in learning and development	☐ Functions, eg measurement and recording of achievement, identification of individual student needs, formative or summative assessment, fit for purpose, assessment against standards and performance/assessment criteria, monitoring development, evidence for performance review/targets/benchmarking, contributing to quality assurance, development of best practice.
		1.2	Define the key concepts and principles of assessment	☐ Purpose, eg who is it for – learner, trainer, assessor, organisation, employer?; assessment as part of the learning or training cycle, eg to recognise prior learning, to identify specific assessment requirements; assessment of specific learning domains, eg Bandler and Grinder's psychomotor/cognitive/affective–skills, knowledge or understanding.
		1.3	Explain the responsibilities of the assessor	☐ Range of responsibilities, eg to the student, the employer, the organisation, occupational standards, awarding organisation; practical responsibilities, eg planning, managing and delivering assessment; maintaining the integrity of the qualification; student-centred assessment
		1.4	Identify the regulations and requirements relevant to assessment in own area of practice	☐ Regulatory bodies of standards, eg Ofqual, Sector Skills Councils, awarding organisations, Institute for Learning; other regulations, eg health and safety, equality and diversity/disability act, data protection, safeguarding students during assessment; recording/tracking and logging assessment decisions, communicating decisions with students, standardisation, moderation and quality assurance of assessment.

Learning outcomes		Assessment criteria		Unit amplification
2	Understand different types of assessment method	2.1	Compare the strengths and limitations of a range of assessment methods with reference to the needs of individual learners	☐ Range of assessment methods for performance-based assessment of skills or knowledge-based assessment of understanding, individual or group assessment; fit for purpose, eg student needs, context; measures of achievement, eg performance criteria, assessment criteria, levels standards; practical limitations, eg numbers involved, range, opportunity, reliability, time constraints, resources, staffing.
3	Understand how to plan assessment	3.1	Summarise key factors to consider when planning assessment	☐ Formal, eg addressing regulations or standards, student, employer, business needs; timing of assessment, eg initial/pre-course, formative, summative, recognising prior learning; range of methods/activities to meet student needs, eg observation, performance evidence, discussion, witness/student statement, tests, multiple-choice questions, written activity, reflective journal, verbal questioning; naturally occurring evidence; specific needs.
		3.2	Evaluate the benefits of using a holistic approach to assessment	☐ Benefits, eg cost and time effectiveness, motivational for students, eg promoting student responsibility and student involvement, use of naturally occurring evidence, experiential learning, linking different aspects of learning through assessment, transference of skills, work-based opportunities, rationalising collection of assessment evidence, meeting number of learning outcomes/assessment criteria, linked knowledge-based and performance-based assessment opportunities.
		3.3	Explain how to plan a holistic approach to assessment	☐ Range of assessment requirements and opportunities, eg comprehensive approach, logical progression and sequencing, related to specific context, student needs, preferences, workplace–opportunities to use linkages particularly between knowledge and understanding to skills requirements, naturally occurring evidence, appropriate assessment opportunities, evidence appropriate to number of learning outcomes/assessment criteria.

Learning outcomes	Assessment criteria		Unit amplification
	3.4	Summarise the types of risks that may be involved in assessment in own area of responsibility	☐ Organisational risks, eg organisational culture, appropriate opportunities for assessment, staff occupational or assessment experience; practical risks, eg health and safety, equality and diversity, data protection, specific occupational risks, student-based risks, eg occupational competence, responsibility, motivation; assessment risks, eg timing, range, sufficiency, bias, fairness.
	3.5	Explain how to minimise risks through the planning process	☐ Clear criteria for assessment, eg identifying/addressing specific requirements, standardisation of planning, negotiating with student; selecting appropriate range of assessment methods appropriate to context to generate the required evidence; safeguarding students, eg planning for health and safety, equality and diversity, negotiating with students, appropriate timing of assessment, clear recording, tracking, logging of assessment decisions.
4 Understand how to involve learners and others in assessment	4.1	Explain the importance of involving the learner and others in the assessment process	☐ Recognising needs, eg initial assessment, learning/training needs analysis, recognising current level of knowledge, understanding, skills and experiences; negotiating learning eg targets, goals, objectives for assessment, self-assessment, 'bite-size chunks', meaningful, relevant, motivation, engagement, involvement, individual responsibility; involvement with others eg organisation, colleagues, employers, peers, witnesses.
	4.2	Summarise types of information that should be made available to learners and others involved in the assessment process	☐ Standards and criteria against which they will be assessed, eg awarding organisation requirements, occupational standards, other specific requirements; assessment plan, eg specific criteria they will be assessed against, timing, venue, methods, expected outcomes, opportunities for feedback, benefits of assessment, appeals procedure; requirements of the student, eg preparation, specific needs, activity, evidence required, assessment decisions.

Learning outcomes	Assessment criteria		Unit amplification
	4.3	Explain how peer- and self-assessment can be used effectively to promote learner involvement and personal responsibility in the assessment of learning	☐ Peer feedback, eg formal or informal, witness statements, peer observations, feedback, working collaboratively, sharing goals, targets, giving and receiving feedback, awareness of risks of appearing challenging or confrontational; formal or informal self-assessment, eg SAR (Self-Assessment Review), initial assessment, current knowledge, understanding, skills, occupational competence, SWOT (strengths, weaknesses, opportunities and threats), reflection, identifying targets, target setting, action planning.
	4.4	Explain how assessment arrangements can be adapted to meet the needs of individual learners.	☐ Negotiating assessment needs with individual students, eg identifying specific learning/assessment needs, range of assessment methods, activities to meet different student/context/needs, alternative assessment activities where appropriate, repeating assessment to provide opportunity for experiential learning, use of alternative assessor, learning support, discussion to supplement primary evidence; recording evidence of assessment to suit student needs, eg digital recording, audio/visual, scribe.
5 Understand how to make assessment decisions	5.1	Explain how to judge whether evidence is: • sufficient • authentic • current	☐ Understanding rules of evidence, eg meeting outcomes and objectives identified in assessment plan, evidence is coherent, accessible, realistic, relevant, attributable, achieved within time constraints; credible and compatible with learning programme and required assessment outcomes, context, adhering to organisation, industry, awarding body and government requirements and standards.

Learning outcomes		Assessment criteria		Unit amplification
		5.2	Explain how to ensure that assessment decisions are: • made against specified criteria • valid • reliable • fair	☐ Range of evidence, eg clearly identified, current, appropriate criteria, valid currency, level, attributable; reliable and can be repeated or learning transferred; assessment decisions are fair, eg without bias and relate to the identified criteria, complying with organisation and/or industry, awarding body and government requirements, addressing specific student needs.
6	Understand quality assurance of the assessment process	6.1	Evaluate the importance of quality assurance in the assessment process	☐ Ensuring organisation, occupational, awarding organisation and government requirements are meeting standardisation, quality assurance of practice, consistency across learners, assessors, contexts, units; comprehensive approach to assessment at all stages–preparation, planning process, assessment outcomes ie product; benchmarking and measures of achievement; identifying development and continuing professional development needs for quality improvement.
		6.2	Summarise quality assurance and standardisation procedures in own area of practice	☐ Organisation assessment policies and procedures, eg complying with Sector Skills Council, National Occupational Standards requirements; team, assessor standardisation, eg observations of practice, standardisation meetings, sharing good practice, observation of peers, workshadowing, feedback, comparisons of process and product; internal/external quality assurance reviews, evaluation procedures
		6.3	Summarise the procedures to follow when there are disputes concerning assessment in own area of practice	☐ Organisation policies and procedures, eg clearly written appeals and grievance procedures, accessible systems for appeals, eg documents for appeals, appropriate staffing for management of appeals, confidentiality, non-discriminatory policy, application in practice, recording of outcomes, clear paper trail

Learning outcomes	Assessment criteria	Unit amplification
7 Understand how to manage information relating to assessment	7.1 Explain the importance of following procedures for the management of information relating to assessment	▫ Policies for management of assessment evidence, eg portfolios, assessment records, observation records, physical evidence, student and witness statements; management of assessment records, eg storage and retrieval, confidentiality, data protection, use of technology; sharing information with relevant parties eg students, other assessors, employer, colleagues, organisation, regulations covering sharing information, eg Ofqual, awarding organisation, Sector Skills Council, data protection
	7.2 Explain how feedback and questioning contribute to the assessment process	▫ Supporting range of evidence; confirming learning, eg knowledge, understanding, skills, reward, motivation, linking learning of product and process, transferability of learning, identifying further learning requirements, target setting and action planning, recording distance travelled, value-added, progression; corroboration of assessor decision-making process, judgement; identifying specific needs or need for support
8 Understand the legal and good practice requirements in relation to assessment	8.1 Explain legal issues, policies and procedures relevant to assessment, including those for confidentiality, health, safety and welfare	▫ Organisation policies and procedures, eg associated with Ofqual, awarding organisation requirements, Sector Skills Council/National Occupational Standards, specific requirements, eg confidentiality, health, safety and welfare, inclusion, equality and diversity; staff development needs eg standardisation, sharing good practice, work-shadowing, peer observation, in-service training, cascading training, continuing professional development.
	8.2 Explain the contribution that technology can make to the assessment process	▫ Appropriate technology, eg initial assessments, online testing, recording of evidence including audio or visual, submission of assignments electronically, electronic feedback to learners, emailing feedback, discussion forums, web-based learning, including distance or blended learning, issues of authenticity; technology for recording and storing assessment evidence, eg software, awarding organisation online provision, students managing own electronic records; security

Learning outcomes	Assessment criteria		Unit amplification
	8.3	Evaluate requirements for equality and diversity and, where appropriate, bilingualism in relation to assessment	☐ Forms of inequality and discrimination and their impact on individuals, the relevant legislation, employment regulations and policies and codes of practice relevant to the promotion of equality and valuing of diversity, eg visual/auditory impairment, physical disability, bilingualism; flexibility in approach to planning of assessment and quality assurance, eg negotiating timing, context, providing additional resources where appropriate, recognising additional support needs, alternative approaches, evidence
	8.4	Explain the value of reflective practice and continuing professional development in the assessment process	☐ Reflective practice, eg self-assessment, SWOT analysis (strengths, weaknesses, opportunities, threats or barriers), realistic targets for own development, using feedback from students, colleagues, managers, external evaluators, other individuals and professionals, self and team reviews, observation reports, outcome from appraisal, monitoring and modifications, updating knowledge, occupational expertise, skills and self-confidence, modifications to assessment plans, developing technologies to extend and enhance assessment process, contributing to curriculum development.

Unit 2: Assess Occupational Competence in the Work Environment

Unit reference number: H/601/5314

Level: 3

Credit value: 6

Guided learning hours: 30

Unit aim

The aim of this unit is to assess a learning and development practitioner's performance in carrying out assessments of occupational competence in a work environment.

Target groups

This is a valuable unit for all trainers and teachers of vocational subjects that involve assessment of occupational competence in a work environment.

Assessment requirements

Evidence for all learning outcomes must come from carrying out assessments in a work environment. Simulations are not allowed.

As a minimum, there must be performance evidence for the following assessment methods: observation of performance in the work environment, examining products of work and questioning the learner.

Other forms of evidence will be acceptable for the remaining assessment methods: discussing with the learner, use of others (witness testimony, looking at learner statements, recognising prior learning.

There must be evidence of the learner carrying out a minimum of two assessments of occupational competence with at least two of their own students (ie four assessments in total). This occupational competence must not be in assessment itself, ie evidence from this unit must not come from assessing another candidate assessor who is in turn assessing someone else. There must be valid, authentic and sufficient evidence for all the assessment criteria. Holistic assessment is encouraged and one piece of evidence may be used to meet the requirements of more than one learning outcome or assessment criterion.

Centres need to have Learning and Development approval to offer this unit.

Learning outcomes, assessment criteria and unit amplification

To pass this unit, the learner needs to demonstrate that they can meet all the learning outcomes for the unit. The assessment criteria determine the standard required to achieve the unit.

Learning outcomes		Assessment criteria		Unit amplification
1	Be able to plan the assessment of occupational competence	1.1	Plan assessment of occupational competence based on the following methods: • observation of performance in the work environment • examining products of work • questioning the learner • discussing with the learner • use of others (witness testimony) • looking at learner statements • recognising prior learning	☐ Assessment standards, eg awarding organisation, Sector Skills Council requirements, employer needs, performance requirements, transferability of skills; range of methods to include observation of performance in the work environment, examining products of work, questioning the learner, discussing with the learner, use of others ie witness testimony, looking at learner statements, recognising prior learning.
		1.2	Communicate the purpose, requirements and processes of assessing occupational competence to the learner	☐ Requirements, eg standards/criteria against which they will be assessed, awarding organisation requirements, occupational standards, other specific requirements. ☐ Assessment plan, eg specific criteria they will be assessed against, timing, venue, methods, expected outcomes, opportunities for feedback, benefits of assessment, appeals procedure; requirements of the student, eg preparation, specific needs, activity, evidence required.

Learning outcomes		Assessment criteria		Unit amplification
		1.3	Plan the assessment of occupational competence to address learner needs and current achievements	☐ Initial assessment of students' needs, eg initial assessment, learning, training needs analysis, recognising current level of knowledge, understanding, skills and experiences, performance indicators, skills tests, employer review. ☐ Negotiating learning, eg targets, goals, objectives for assessment, self-assessment, bite-size chunks, assessment that is meaningful and relevant; motivation, engagement, involvement, individual responsibility; involvement with others, eg organisation, colleagues, employers, peers, witnesses.
		1.4	Identify opportunities for holistic assessment	☐ Opportunities, eg logical progression and sequencing as related to specific context, student needs; opportunities to use linkages particularly between knowledge and understanding to skills requirements; opportunities to incorporate naturally occurring evidence and appropriate assessment opportunities.
2	Be able to make assessment decisions about occupational competence	2.1	Use valid, fair and reliable assessment methods including: Use valid, fair and reliable assessment methods including: • observation of performance • examining products of work • questioning the learner • discussing with the learner • use of others (witness testimony) • looking at learner statements • recognising prior learning	☐ Assessment methods, eg observation, performance evidence, discussion, witness or student statement; fit for purpose, eg student needs, context, measures of achievement ie performance criteria, assessment criteria; practical limitations, eg numbers involved, range, opportunity, time constraints, resources, staffing.

Learning outcomes	Assessment criteria		Unit amplification
	2.2	Make assessment decisions of occupational competence against specified criteria	□ Assessment decisions, eg credibility and compatibility with learning programme and required assessment outcomes, context, adhering to organisation, industry, awarding body and government requirements and standards. □ Appropriate standards, eg understanding rules of evidence, meeting outcomes and objectives identified in assessment plan; evidence is coherent, accessible, realistic, relevant, can be identified as attributed to the student, achieved within time constraints.
	2.3	Follow standardisation procedures	□ Policies and procedures, eg complying with awarding body, occupational standards requirements. □ Standardisation, eg observations of practice, performance evidence, discussion, witness or student statement, standardisation meetings, sharing good practice, observation of peers, work shadowing, feedback, comparisons of process and product; evaluation procedures.
	2.4	Provide feedback to learners that affirms achievement and identifies any further implications for learning, assessment and progression.	□ Feedback, eg timing and location for feedback negotiated with student, linked to assessment opportunities, using the range of available evidence, providing opportunity for students to give feedback, focusing on identified criteria and standards, involving the student actively in the feedback, avoiding personal issues or bias, use of feedback, PCP (praise, criticism, praise).
3 Be able to provide required information following the assessment of occupational competence	3.1	Maintain records of the assessment of occupational competence, its outcomes and learner progress	□ Records, eg naturally occurring evidence, observation, interview, discussion records eg written records, video, audio, student and witness statement. □ Record of product, eg tracking and logging documents, action plans, assessment pro forma, examples, samples; record of questioning, regular progress checks, goals, checking targets at appropriate intervals.

Learning outcomes		Assessment criteria		Unit amplification
		3.2	Make assessment information available to authorised colleagues	☐ Identifying appropriate colleagues, eg recording evidence in a way that can be shared with appropriate access, use of technology, electronic formats, team meetings, assessment or standardisation meetings, cross-programmes, assignments, organisation, employers, holistic approaches.
		3.3	Follow procedures to maintain the confidentiality of assessment information.	☐ Secure environment for providing feedback and safeguarding recording and storage of information, eg organisational procedures, data protection, security and safety of paper-based records, electronic formats for recording and storage and electronic safeguards; identifying those with legitimate access and limiting access.
4	Be able to maintain legal and good practice requirements when assessing occupational competence	4.1	Follow relevant policies, procedures and legislation for the assessment of occupational competence, including those for health, safety and welfare	☐ Current regulatory bodies of standards, eg Ofqual, Sector Skills Councils, awarding organisations, Institute for Learning; other regulations, eg health and safety, equality and diversity including bilingualism where appropriate, data protection. ☐ Organisational policies and procedures, eg safeguarding students during assessment, standardisation/moderation of assessment; qualifications and occupational competence of assessors, professional updating, CPD requirements.
		4.2	Apply requirements for equality and diversity and, where appropriate, bilingualism, when assessing occupational competence	☐ Requirements, eg equality and diversity, inequality and discrimination and their impact on individuals, legislation, employment regulations and policies and codes of practice relevant to the promotion of equality and valuing of diversity, eg visual auditory impairment, physical disability, bilingualism. ☐ Flexibility in approach to planning of assessment and quality assurance, eg negotiating timing, context, providing additional resources where appropriate, recognising additional support needs, alternative approaches.

Learning outcomes	Assessment criteria		Unit amplification
	4.3	Evaluate own work in carrying out assessments of occupational competence	□ Own work, eg self-assessment, evaluation of planning and carrying out of assessment, SAR (Self Assessment Review), understanding of current occupational and awarding organisation standards, students' achievements, evaluation/feedback from students, teachers, managers, external quality assessors, other individuals and professionals, observation reports, outcome from appraisal, milestones, monitoring and modifications, updating knowledge and occupational expertise, skills and self-confidence, developing technologies.
	4.4	Maintain the currency of own expertise and competence as relevant to own role in assessing occupational competence.	□ Maintaining currency, eg using review of competence, eg identifying constraints and opportunities, action planning, establishing realistic goals and targets for own occupational competence, updating occupational expertise, skills and self-confidence, modifications to assessment plans, exploring alternative approaches to assessment, changes in policies, procedures or regulations relating to assessment, technologies to develop and improve own assessing, CPD, awarding organisation provision for professional updating, monitoring Sector Skills Council websites.

Unit 3: Assess Vocational Skills, Knowledge and Understanding

Unit reference number: F/601/5319

Level: 3

Credit value: 6

Guided learning hours: 30

Unit aim

The aim of this unit is to assess a learning and development practitioner's performance in carrying out the assessment of vocational skills, knowledge and understanding outside of the work environment. Assessment methods include: assessments of the learner in simulated environments, skills tests, oral and written questions, assignments, projects, case studies, recognising prior learning.

The unit does not require the design of assessments.

Assessment requirements

Evidence for all learning outcomes must come from performance in the work environment. Practice should be in the appropriate context — either with groups or with individuals. Simulation is not permitted.

There must be evidence of the learner carrying out at least two assessments of two students' skills, knowledge and understanding (ie four assessments in total).

There must be evidence to cover all of the assessment methods listed in the unit. There must be performance evidence for at least three of the following assessment methods: assessments of the student in simulated environments skills tests, oral and written questions, assignments, projects, case studies and recognising prior learning. Other forms of evidence will be acceptable for the remaining assessment methods.

There is no requirement for each unit to be assessed separately. Assessors are advised to adopt a holistic approach and, where possible, to use one activity as evidence for learning outcomes and assessment criteria for two or more units.

Learning outcomes, assessment criteria and unit amplification

To pass this unit, the learner needs to demonstrate that they can meet all the learning outcomes for the unit. The assessment criteria determine the standard required to achieve the unit.

Learning outcomes		Assessment criteria		Unit amplification
1	Be able to prepare assessments of vocational skills, knowledge and understanding	1.1	Select methods to assess vocational skills, knowledge and understanding which address learner needs and meet assessment requirements, including: • assessments of the learner in simulated environments • skills tests • oral and written questions • assignments • projects • case studies • recognising prior learning	□ Addressing your students' needs, eg recognising prior learning, current level of skills, knowledge, understanding, specific learning, assessment needs. □ Meeting assessment requirements, eg organisation, awarding organisation, employers, vocational standards, fit for purpose, individual or group assessment, simulated environments, skills tests, oral and written questions or discussions, assignments, projects, case studies.
		1.2	Prepare resources and conditions for the assessment of vocational skills, knowledge and understanding	□ Environment, eg workplace, rooming, laboratory, simulated environment, virtual learning environment. □ Materials, eg materials necessary for skills test, paper-based or online tests, assignment brief, practical outline, materials required for projects, case studies. □ Conditions, eg timing, staffing, access to ICT; learner preparation, eg support for specific students as required.

Learning outcomes		Assessment criteria		Unit amplification
		1.3	Communicate the purpose, requirements and processes of assessment of vocational skills, knowledge and understanding to learners.	☐ Standards, criteria against which they will be assessed, eg awarding organisation requirements, vocational skills, knowledge, understanding standards.
				☐ Other specific requirements, eg deadlines, venue, methods, testing procedures, format for evidence, expected outcomes, opportunities for feedback, benefits of assessment, appeals procedure.
				☐ Requirements of the student, eg preparation, specific needs, activity, evidence required.
2	Be able to carry out assessments of vocational skills, knowledge and understanding	2.1	Manage assessments of vocational skills, knowledge and understanding to meet assessment requirements	☐ Organisation policies and procedures, eg initial assessment, assessment methods, range of appropriate evidence to meet specified and identified criteria, requirements of awarding organisation, regulatory bodies, National Occupational Standards, Sector Skills Council, standardisation procedures, roles and responsibilities.
				☐ Appropriate assessment opportunities, eg timing and conducting of assessments, naturally occurring evidence, individuals or groups.
		2.2	Provide support to learners within agreed limitations	☐ Appropriate levels of support, eg initial assessment, clarification of assessment activities, negotiating deadlines, adopting alternative approaches/timing.
				☐ Identifying specific support needs, eg language, literacy, visual, auditory, physical.
				☐ Availability of support, eg specialist support for visual, auditory impairments, translator for second, alternative language, practical or electronic equipment.

Learning outcomes	Assessment criteria		Unit amplification
	2.3	Analyse evidence of learner achievement	□ Sufficiency, eg employ range of evidence, student work, performance evidence, test results, responses to questioning, results, achievement records, authenticity, recording observation evidence.
			□ Comparing evidence against assessment criteria, standards, individual or group contributions, eg valid, coherent, reliable, fair, realistic, relevant.
			□ Compatibility with assessment, learning programme, eg vocational and awarding organisation standards and required learning outcomes, adhere to college and/or industry, awarding body and government requirements.
	2.4	Make assessment decisions relating to vocational skills, knowledge and understanding against specified criteria	□ Evidence that is appropriate, eg range of evidence clearly identified against assessment criteria, decisions based on evidence that is valid, sufficient and authentic, reliable and can be repeated or learning transferred; decisions are fair, without bias and relate to the identified criteria, complying with organisation and/or industry, awarding body and government requirements.
	2.5	Follow standardisation procedures	□ Organisation assessment policies and procedures, eg complying with awarding body, national occupational standards requirements.
			□ Team, assessor standardisation, eg across qualifications, units, modules, assessment criteria, learners, assessors, observations of practice, standardisation meetings, sharing good practice, observation of peers, work shadowing, feedback, comparisons of process and product; evaluation procedures.

Learning outcomes		Assessment criteria		Unit amplification
		2.6	Provide feedback to the learner that affirms achievement and identifies any further implications for learning, assessment and progression.	☐ Appropriate approaches to feedback, eg timing and location for feedback negotiated with student, linked to assessment opportunities, using the range of available evidence, providing opportunity for students to give feedback, focusing on identified criteria and standards, involving the student actively in the feedback, avoiding personal issues or bias, use of feedback sandwich; identifying opportunities for progression, setting realistic goals.
3	Be able to provide required information following the assessment of vocational skills, knowledge and understanding	3.1	Maintain records of the assessment of vocational skills, knowledge and understanding, its outcomes and learner progress	☐ Reflects appropriate range of activities, record of appropriate naturally occurring evidence, observation, interview, discussion records, eg written records, video, audio; learner and witness statement; record of product, eg tracking and logging documents, action plans, assessment pro forma, examples; record of questioning, regular progress checks, targets checked at appropriate intervals.
		3.2	Make assessment information available to authorised colleagues as required	☐ Identifying appropriate colleagues, eg recording evidence in a way that can be shared with appropriate access, use of technology, electronic formats, team meetings, assessment or standardisation meetings, cross-programmes, assignments, organisation, employers, holistic approaches, distance travelled, value added.
		3.3	Follow procedures to maintain the confidentiality of assessment information	☐ Secure environment for providing feedback, safeguarding recording and storage of information, eg organisational procedures, data protection, security and safety of paper-based records, electronic formats for recording and storage and electronic safeguards; identifying those with legitimate access and limiting access

Learning outcomes		Assessment criteria		Unit amplification
4	Be able to maintain legal and good practice requirements when assessing vocational skills, knowledge and understanding	4.1	Follow relevant policies, procedures and legislation relating to the assessment of vocational skills, knowledge and understanding, including those for health, safety and welfare	□ Regulatory bodies of standards, eg Ofqual, Sector Skills Councils, awarding organisations, Institute for Learning. □ Other regulations, eg health and safety, equality and diversity, data protection. □ Organisational policies and procedures, eg safeguarding learners during assessment, standardisation, moderation of assessment; qualifications and occupational competence of assessors, professional updating, continuing professional development requirements.
		4.2	Apply requirements for equality and diversity and, where appropriate, bilingualism	□ Legislation, employment regulations and policies and codes of practice relevant to the promotion of equality and valuing of diversity, eg visual auditory impairment, physical disability, bilingualism; flexibility in approach to planning of assessment and quality assurance, eg negotiating timing, context, providing additional resources where appropriate, recognising additional support needs, alternative approaches.
		4.3	Evaluate own work in carrying out assessments of vocational skills, knowledge and understanding	□ Review of own competence, eg self-assessment, evaluation of planning and carrying out of assessment, Self Assessment Review (SAR), understanding of current occupational and awarding organisation expectations, student's achievements, evaluation/feedback from students, teachers, managers, external quality assessors, other individuals and professionals, observation reports, outcome from appraisal, milestones, monitoring and modifications, updating knowledge and occupational expertise, skills and self-confidence, developing technologies to extend and enhance assessment process.

Learning outcomes	Assessment criteria		Unit amplification
	4.4	Take part in continuing professional development to ensure current expertise and competence in assessing vocational skills, knowledge and understanding	☐ Using review of competence, eg identifying constraints and opportunities, action planning, establishing realistic goals and targets for own occupational competence, updating occupational expertise, skills and self-confidence, modifications to assessment plans, explore alternative approaches to assessment, changes in policies, procedures or regulations relating to assessment, technologies to develop and improvement of own assessing, CPD, awarding organisation provision for professional updating.

13 Further information and useful publications

To get in touch with us visit our 'Contact us' pages:

- Edexcel, BTEC and Pearson Work Based Learning contact details: qualifications.pearson.com/en/support/contact-us.html

- books, software and online resources for UK schools and colleges: www.pearsonschoolsandfecolleges.co.uk

Key publications:

- *Adjustments for candidates with disabilities and learning difficulties, Access and Arrangements and Reasonable Adjustments, General and Vocational qualifications* (Joint Council for Qualifications (JCQ))

- *Supplementary guidance for reasonable adjustments and special consideration in vocational internally assessed units* (Pearson)

- *General and Vocational qualifications, Suspected Malpractice in Examination and Assessments: Policies and Procedures* (JCQ)

- *Equality Policy* (Pearson)

- *Recognition of Prior Learning Policy and Process* (Pearson)

- *UK Information Manual* (Pearson)

- *BTEC UK Quality Assurance Centre Handbook*

All of these publications are available on our website.

Publications on the quality assurance of BTEC qualifications are also available on our website.

Our publications catalogue lists all the material available to support our qualifications. To access the catalogue and order publications, please visit our website.

Additional resources

If you need further learning and teaching materials to support planning and delivery for your learners, there is a wide range of resources available.

Any publisher can seek endorsement for their resources and, if they are successful, we will list their resources on our website.

14 Professional development and training

Pearson supports UK and international customers with training related to Pearson qualifications. This support is available through a choice of training options offered on our website.

The support we offer focuses on a range of issues, such as:

- planning for the delivery of a new programme
- planning for assessment and grading
- developing effective assignments
- building your team and teamwork skills
- developing learner-centred learning and teaching approaches
- building in effective and efficient quality assurance systems.

The national programme of training we offer is on our website. You can request centre-based training through the website or you can contact one of our advisers in the Training from Pearson UK team via Customer Services to discuss your training needs.

Pearson training and support for the lifetime of the qualifications

Training and networks: our training programme ranges from free introductory events through sector-specific opportunities to detailed training on all aspects of delivery, assignments and assessment. We also host some regional network events to allow you to share your experiences, ideas and best practice with other Pearson colleagues in your region.

Regional support: our team of Curriculum Development Managers and Curriculum Support Consultants, based around the country, are responsible for providing advice and support in centres. They can help you with planning and curriculum developments.

To get in touch with our dedicated support teams please visit our website.

Your Pearson support team

Whether you want to talk to a sector specialist, browse online or submit your query for an individual response, there's someone in our Pearson support team to help you whenever – and however – you need:

- Subject Advisors: find out more about our subject advisor team – immediate, reliable support from a fellow subject expert
- Ask the Expert: submit your question online to our Ask the Expert online service and we will make sure your query is handled by a subject specialist.

Please visit our website at qualifications.pearson.com/en/support/contact-us.html

Annexe A

Progression opportunities

These are examples of progression opportunities to other Pearson qualifications within the Learning and Development sector.

Level	General qualifications	BTEC full vocationally-related qualifications	Pearson Specialist and Professional courses	NVQ/occupational
8				
7			Pearson Edexcel Diploma in the Management of Assessment	
6				
5			Pearson Edexcel Diploma in Teaching in the Lifelong Learning Sector	

Level	General qualifications	BTEC full vocationally-related qualifications	Pearson Specialist and Professional courses	NVQ/occupational
4			Pearson Edexcel Award in Preparing to teach in the Lifelong Learning Sector Pearson Edexcel Certificate in Teaching in the Lifelong Learning Sector Pearson Edexcel Award in Assuring the Quality of Assessment Pearson Edexcel Certificate in Assuring the Quality of Assessment	
3		Pearson Edexcel Award, Certificate, Diploma in Supporting Teaching and Learning in Schools	Pearson Edexcel Award in Preparing to teach in the Lifelong Learning Sector Pearson Edexcel Certificate in Teaching in the Lifelong Learning Sector	
2		Pearson Edexcel Award in Support Work in Schools Pearson Edexcel Certificate in Supporting Teaching and Learning in Schools		
1				
Entry				

Annexe B

LLUK Assessment Strategy

The following assessment strategy sets out the requirements of Lifelong Learning UK (now Learning and Skills Improvement Service, LSIS) for the qualifications in this specification. They are not the requirements of the Regulators, Sector Skills Councils or awarding organisations for other qualifications and should not be applied to them. This is taken from LLUK Assessing and Assuring the quality of Assessment Guidance for awarding organisations, March 2010.

Quality assurance

Centres offering these qualifications must provide internal quality assurance to ensure assessment meets all Awarding Organisation requirements and is standardised across individual assessors, assessment locations and learners. In addition, the Awarding Organisation must ensure there is a robust system of external quality assurance to ensure quality and standardisation across centres. Awarding organisations should apply appropriate risk rating measures to individual assessment centres and ensure that robust quality assurance systems are in place to manage these risks on an individual basis.

Lifelong Learning UK will also expect the awarding organisations offering these qualifications to meet on a regular basis through an Awarding Organisation Forum to compare practice and identify issues of concern.

Requirements for Assessors

All those who assess these qualifications must:

- already hold the qualification (or previous equivalent qualification) they are assessing *and*

- have successfully assessed learners for other qualifications; if assessing quality assurance roles, they must have experience as a qualified quality assurance practitioner of carrying out internal or external quality assurance of qualifications for a minimum of two assessors

- have up-to-date working knowledge and experience of best practice in assessment and quality assurance

- hold one of the following qualifications or their recognised equivalent:

  – the Level 3 Award in Assessing Competence in the Work Environment, *or*

  – the Level 3 Certificate in Assessing Vocational Achievement, *or*

  – A1 Assess candidate performance using a range of methods, *or*

  – D32 Assess candidate performance and D33 Assess candidate using differing sources of evidence

and

- show current evidence of continuing professional development in assessment and quality assurance.

Requirements for Internal Quality Assurance

All those who quality assure these qualifications internally must:

- have up-to-date working knowledge and experience of best practice in assessment and quality assurance

- hold one of the following assessor qualifications or their recognised equivalent:

    – the Level 3 Award in Assessing Competence in the Work Environment,

    or

    – the Level 3 Certificate in Assessing Vocational Achievement, or

    – A1 Assess candidate performance using a range of methods, or

    – D32 Assess candidate performance and D33 Assess candidate using differing sources of evidence

- hold or be working towards, one of the following internal quality assurance qualifications or their recognised equivalent:

    – the Level 4 Award in the Internal Quality Assurance of Assessment Processes and Practice, or

    – the Level 4 Certificate in Leading the Internal Quality Assurance of

    – Assessment Processes and Practice, or

    – V1 Conduct internal quality assurance of the assessment process, or

    – D34 Internally verify the assessment process

and

- show current evidence of continuing professional development in assessment and quality assurance

Requirements for external quality assurance

All those who provide external quality assurance for these qualifications must:

- have up-to-date working knowledge and experience of best practice in Learning and Development

- hold one of the following qualifications or their recognised equivalent:

    – the Level 3 Award in Assessing Competence in the Work Environment

    or

    – the Level 3 Certificate in Assessing Vocational Achievement, *or*

    – A1 Assess candidate performance using a range of methods, *or*

    – D32 Assess candidate performance and D33 Assess candidates using differing sources of evidence

- hold, or be working towards, one of the following external quality assurance qualifications or their recognised equivalent:

    – the Level 4 Award in Externally Assuring the Quality of Assessment Processes and Practice, *or*

    – the Level 4 Certificate in Leading the External Quality Assurance of Assessment Processes and Practice, *or*

- V2 Conduct external quality assurance of the assessment process,

or

- D35 Externally verify the assessment process.

and

- show current evidence of continuing professional development in learning and development, assessment and quality assurance.

In terms of best practice, external quality assurance staff might also be expected to hold an appropriate internal quality assurance qualification, either:

- the Level 4 Award in the Internal Quality Assurance of Assessment Processes and Practice, *or*

- the Level 4 Certificate in Leading the Internal Quality Assurance of Assessment Processes and Practice, *or*

- V1 Conduct internal quality assurance of the assessment process *or*

- D34 Internally verify the assessment process.

Annexe C

Unit Delivery and Assessment Guidance

Unit 1: Understanding the Principles and Practices of Assessment

Delivery

A holistic approach to learning and assessment is helpful to learners, showing them how to relate their own achievements to the underpinning theory, Professional Standards (PS) and National Occupational Standards (NOS). This unit provides the underpinning theory for the practical units *Unit 2: Assess Occupational Competence in the Work Environment* and *Unit 3: Assess Vocational Skills, Knowledge and Understanding.* Learners should be aware of the importance of their own professional practice and the opportunities for using naturally occurring evidence whenever available or appropriate. Learners should be encouraged to evaluate their own experiences and assess relevant past and present practice.

This knowledge-based unit emphasises the importance of the shared knowledge and experience of peers and colleagues for good practice and reflection on assessment approaches. When dealing with peers and colleagues, any applicable policies and procedures regarding confidentiality should be followed.

The delivery of this unit should take into account the different contexts in which learners may be undertaking assessments. Naturally occurring evidence will enable learners to relate to evidence from their own practice. This will contextualise the underpinning knowledge and help to build effective assessment processes used in the practical units *Unit 2: Assess Occupational Competence in the Work Environment* and *Unit 3: Assess Vocational Skills, Knowledge and Understanding.*

The unit should focus on the knowledge required to improve understanding of the assessment process. It should also focus on the different methods that can be used to engage learners more actively in their own learning through assessment. Learners will need to examine a wide range of assessment methods in order to develop an understanding of the different purposes of assessment and the wide range of assessment tools, including those used for diagnostic, formative or summative purposes.

Learners should explore, with others, how data is used in the planning, management and quality assurance of the delivery of the assessment of learning – whether it is of knowledge, skills or understanding. It is important to recognise the role of assessment in enabling individual learners to feel greater ownership of their own learning, whilst providing appropriate support and guidance in accordance with the requirements of the assessment process.

Delivery should emphasise links with the current professional standards and National Occupational Standards and should allow for formal and informal discussion of the issues raised by the unit content. Learners should be given opportunities to demonstrate their understanding of both organisational and

external requirements. Tutors should refer to the need to maintain standards of quality that will meet the requirements of external moderation, examination and quality assurance. Learners should also consider ways to address the needs of those learners unable to access usual assessment strategies.

Learners should be encouraged to evaluate the requirements of their own assessment process and assess relevant past and present practice, identifying areas of strength and need. They should also evaluate the qualities and transferable skills required to meet the needs of those being assessed. It is important for learners to recognise the need to be adaptable to changing circumstances; they should also develop both the confidence and flexibility to adapt and develop assessment methods. Learners should be encouraged to follow best assessment practice, contributing effectively to the quality assurance process and understanding the need to share information with others.

A mentoring system can provide informal support and guidance for learners, giving them the opportunity to record their own professional development and possible routes for progression, with the aid of a personal learning log.

Assessment

For assessment purposes, links should be made between this unit and the practical units *Unit 2: Assess Occupational Competence in the Work Environment* and *Unit 3: Assess Vocational Skills, Knowledge and Understanding.* These will provide opportunities to generate a range of evidence that can effectively cover assessment criteria across units. Assessment criteria requiring knowledge- or understanding-based evidence require the use of reflective journals and other forms of evaluation that can draw on research which supports the evidence of practical experience.

Supporting evidence for this unit could potentially include any of the following:

- summaries of key documentation, eg awarding organisation documentation, quality assurance policy, documents, procedures and legal requirements

- assessment plan indicating when/how learners are involved, eg through providing feedback/action planning/recordkeeping

- written report including examples of assessment methods and procedures devised, developed and used with learners relevant to a specific programme. At least two different methods should be included to show how they can be fairly and reliably used to produce valid results

- justification and evaluation of selected assessment tools to suit specific learners and/or contexts

- identification of approaches to make assessment accessible for learners with specific needs within a specific subject area

- records of formal/informal assessment according to organisational and/or awarding body requirements to demonstrate how they can be used to inform changes and/or modifications to a selected curriculum/training area

- evidence of the use of assessment records to inform/manage/develop assessment practice individually and through negotiation within a teaching team.

It is important, however, for the assessor to interview the learner so they can demonstrate the knowledge underpinning their presentation of any documentary evidence.

Sample holistic assessment activity

The assessment for this unit is in three parts. All parts have to be completed in order to achieve the unit.

Before beginning this assignment, learners need to be familiar with:

- policies and procedures relating to assessment and quality assurance processes (standardisation, moderation, internal and external quality assurance) of their organisation, appeals procedures and equality of opportunity (in relation to assessment).The range will depend on availability within different organisations.

- awarding organisation regulations about assessment

Part one — the principles and requirements of assessment

Describe how, within your own organisation, the functions of assessment in learning and development relate to the key concepts and principles of assessment.

Use your organisation documentation to review the ways in which assessment is affected by the regulations, legal issues, policies, procedures and requirements relevant to assessment and the responsibilities of the assessor in the management of the process. (This could be done through discussion or in writing.)

(Assessment criteria 1.1; 1.2; 1.3; 1.4; 8.1)

Part two – the assessment process

Use the principles from part one to identify assessment opportunities for **two** specific learners with different levels of occupational competence or individual needs.

You need to include:

- types of information that need to be made available to learners and others involved in assessment

- the use of a holistic approach to assessment that makes use of different methods

- how self-assessment can be used to involve the individual learner and promote personal responsibility

- how peer assessment can be used to promote involvement

- ways in which others can be involved in the assessment process

- how risks for individual learners as well as the procedures can be minimised

- procedures to follow when there are disputes concerning assessment in your own area of practice. (This could be done through discussion or in writing.)

(Assessment criteria 3.1; 3.3; 3.5; 4.1; 4.2; 4.3; 6.3)

Identify a range of assessment methods you could use to enable you to make a judgement as to whether the evidence was sufficient, authentic and current. The methods identified must also provide appropriate evidence to show the assessment decisions are made against specified criteria that is valid, reliable and fair. (This may be done through discussion or in writing.)

(Assessment criteria 5.1; 5.2; 7.1)

Produce a written report to explain the benefits of using a holistic approach to assessment, as well as the strengths and limitations of your selected assessment methods. Explain the risks involved in assessment and how you would plan assessment arrangements to meet the needs of selected learners, equality and diversity needs and minimise possible risks in the assessment process.

(*Assessment criteria 2.1; 3.2: 3.4; 4.4; 8.2*):

Part three — Quality assurance of the assessment process

Explain what happens to the results of the assessment process once you have completed it with learners. Include in the explanation:

- procedures for the management of information
- importance of quality assurance in the assessment process
- quality assurance and standardisation procedures
- ways to use technology in assessment.

Explain how you can now use this reflective practice in your own continuing professional development to improve your assessment practice. (This could be done through discussion or in writing.)

(*Assessment criteria 6.1; 6.2; 6.3; 7.1; 8.3; 8.4*)

Unit 2: Assess Occupational Competence in the Work Environment

Delivery

A holistic approach to learning and assessment is helpful to learners, showing them how to relate their own achievements to the underpinning theory, Professional Standards (PS) and National Occupational Standards (NOS). Learners should be aware of the importance of their own professional practice and the opportunities for using naturally occurring evidence whenever available or appropriate. Learners should be encouraged to evaluate their own experiences and assess relevant past and present practice.

This is a practical unit, with links to *Unit 1: Understanding the Principles and Practices of Assessment.* Evidence must be generated from practice in the work environment. Evidence for this unit cannot be from simulation. Learners must be able to apply their learning to the planning, delivery and evaluation of assessment of specific learners. They may choose to combine this unit with *Unit 3: Assess Vocational Skills, Knowledge and Understanding.*

The delivery of this unit needs to be associated with an appropriate work environment. Learners will be working in a practical context that gives them the opportunity to assess the occupational competence of their students, using the range of assessment methods identified, and justified, through the knowledge unit, *Unit 1: Understanding the Principles and Practices of Assessment.* Delivery methods should support learners in planning and making assessment decisions in order to share good practice and identify opportunities for developing and improving their practice.

Delivery should also provide support in identifying the relevant policies, procedures and legislation so that assessment addresses the required occupational and awarding organisation standards and assessment or performance criteria. Identifying and using naturally occurring evidence will enable learners to relate to evidence from their own practice. This will contextualise the underpinning knowledge and help to build effective assessment processes in this unit.

Learners should be encouraged to focus on the use of assessment methods that stimulate and encourage further learning and to use the assessment tools to help evaluate their own performance as an assessor, identifying opportunities for improvement. It is important to recognise the role of assessment in enabling individual learners to feel greater ownership of their own learning in a way that provides appropriate support and guidance in accordance with the requirements of the assessment process.

Throughout the delivery of the unit, tutors should emphasise the links in practice with current professional standards and National Occupational Standards. Learners must be able to evaluate the requirements of their own assessment process to meet the needs of the learners involved in the assessment process. The learning gained from the unit should encourage individuals to develop their own assessment approaches in order to contribute effectively to the sharing of best assessment practice.

A mentoring system can provide informal support and guidance for learners, giving them the opportunity to record their own professional development and possible routes for progression, with the aid of a personal learning log.

Assessment

Practical assessment activities and opportunities for practical assessment are necessary to generate a range of evidence that can be used to cover the assessment criteria effectively. This evidence may also be used in conjunction with other appropriate units, such as *Unit 1: Understanding the Principles and Practices of Assessment* and *Unit 3: Assess Vocational Skills, Knowledge and Understanding*, as an opportunity for a holistic assessment strategy.

Learners should be given the opportunity to be involved in negotiating delivery and assessment methods and approaches for a minimum of two assessments with a minimum of two of their own students (a minimum of at least four in total). The unit must be delivered in a way that relates to learners' own assessment situations, students and experiences. Learners should be encouraged to evaluate their own assessment and assess their past and current practice, identifying areas of strength and needs so that they can apply their learning to their own students.

Evidence for this unit must **not** come from assessing another candidate assessor who in turn is assessing someone else.

Evidence to support this unit could include any of the following:

- summaries of key documentation eg awarding organisation documentation, quality assurance policy, documents, procedures and legal requirements

- individual ILP (Individual Learning Plan)/TNA (Training Needs Analysis)/RPL (Recognising Prior Learning)

- assessment plans for a minimum of TWO students – on at least TWO occasions

- samples of assessment evidence

- observation report

- learner/witness statements

- assessment records from the above-mentioned plans to cover the range of assessment methods in accordance with organisational and/or awarding body requirements

- evidence of the use of assessment records to inform/manage/develop assessment practice individually and through negotiation within teaching team.

Where actual documents are included, names should be blanked out to maintain confidentiality.

Sample holistic assessment activity

Produce **one** plan for each of **two** specific students for an assessment of the occupational competence in each of their work environments. The selected students need to be of different levels of occupational competence, or experience, with contrasting identified needs.

Plan to use **at least one** of the methods below – to identify appropriate evidence opportunities from the work environment:

- observation

- product evidence

- questioning

The plan needs to identify the opportunity where the student can explain their current level of occupational competence, recognising prior learning and any specific assessment needs. The plan should begin with an opportunity to discuss with each student what their assessment with involve – including the purpose of the assessment, the assessment methods to be used and the intended outcomes. This needs to be linked to specific assessment criteria. Negotiate with each of the students how and when you will provide feedback, linked as closely as possible to the assessment activity.

(Assessment criteria 1.1; 1.2; 1.3; 1.4; 4.1; 4.2; 4.3)

Carry out each of the assessment plans in each of the students' workplaces. You should use at least one of the methods identified as appropriate to the work environment: observation, product evidence, questioning.

During feedback with each student, identify areas for improvement in their occupational competence, set appropriate targets to be achieved by the next assessment and record the decisions.

Produce and carry out a **second** assessment plan with **each** student using methods **not** used previously from the primary range:

- observation

- product evidence

- questioning.

In order to supplement the primary evidence, use any additional methods with each student, such as: discussion, witness statement, personal statement.

Where one of the selected students does not have the opportunity to cover the full range, ensure that this is covered by the second student.

Use an appropriate range of methods to record the outcomes of your assessment plans, following policies and procedures for confidentiality and standardisation, sharing the information with appropriate others.

(Assessment criteria: 2.1; 2.2; 2.4; 3.1; 4.1; 4.2; 4.3)

Following the assessments, review and evaluate your competence in the occupational context in order to identify ways in which you need to maintain the currency of your practice.

(Assessment criteria: 2.3; 2.4; 3.1; 3.2; 4.1; 4.2; 4.3; 4.4)

Unit 3: Assess Vocational Skills, Knowledge and Understanding

Delivery

A holistic approach to learning and assessment is helpful to learners, showing them how to relate their own achievements to the underpinning theory, Professional Standards (PS) and National Occupational Standards (NOS). Learners should be aware of the importance of their own professional practice and the opportunities for using naturally occurring evidence whenever available or appropriate. Learners should be encouraged to evaluate their own experiences and assess relevant past and present practice.

This is a practical unit, with links to *Unit 1: Understanding the Principles and Practices of Assessment.* Evidence must be generated from practice in the work environment. Evidence for this unit cannot be from simulation. Learners must be able to apply their learning to the planning, delivery and evaluation of assessment of specific learners.

The delivery of this unit needs to be contextualised in an appropriate work environment. Learners will be working in a practical context that gives them the opportunity to assess the occupational competence of their own students using the range of assessment methods identified, and justified, through the knowledge unit *Unit 1: Understanding the Principles and Practices of Assessment.* Delivery methods should support learners in planning and making assessment decisions in order to share good practice and identify opportunities for developing and improving their practice.

Delivery should also provide support in identifying the relevant policies, procedures and legislation so that assessment addresses the required occupational and awarding organisation standards and assessment or performance criteria. Identifying and using naturally occurring evidence will enable learners to relate to evidence from their own practice. This will contextualise the underpinning knowledge and help to build effective assessment processes in this unit.

Learners should be encouraged to focus on the use of assessment methods that stimulate and encourage further learning and to use the assessment tools to help evaluate their own performance as an assessor, identifying opportunities for improvement. It is important to recognise the role of assessment in enabling individual learners to feel greater ownership of their own learning in a way that provides appropriate support and guidance in accordance with the requirements of the assessment process.

Throughout the delivery of the unit, tutors should emphasise the links in practice with current professional standards and National Occupational Standards. Learners must be able to evaluate the requirements of their own assessment process to meet the needs of the learners involved in the assessment process. The learning gained from the unit should encourage individuals to develop their own assessment approaches in order to contribute effectively to the sharing of best assessment practice.

A mentoring system can provide informal support and guidance for learners, giving them the opportunity to record their own professional development and possible routes for progression, with the aid of a personal learning log.

Assessment

Practical assessment activities and opportunities for practical assessment are necessary to generate a range of evidence that can be used to cover the assessment criteria effectively. This evidence may also be used in conjunction with other appropriate units, such as *Unit 1: Understanding the Principles and Practices of Assessment* and *Unit 2: Assess Occupational Competence in the Work Environment*, as an opportunity for a holistic assessment strategy.

Learners should be given the opportunity to be involved in negotiating delivery and assessment methods and approaches for a **minimum** of **two** assessments with a **minimum** of **two** of their own students (a minimum of at least four in total). The unit must be delivered in a way that relates to learners' own assessment situations, learners and experiences. Learners should be encouraged to evaluate their own assessment and assess their past and current practice, identifying areas of strength and needs so that they can apply their learning to their own learners. (Evidence for this unit must **not** come from assessing another candidate assessor who in turn is assessing someone else.)

The learner's/candidate assessor's performance evidence must be assessed by observation of practice, examining the products of work and questioning/discussions.

One piece of evidence may be used to meet the requirements of more than one learning outcome or assessment criterion.

Evidence to support this unit can potentially include any of the following:

- summaries of key documentation, eg awarding organisation documentation, quality assurance policy, documents, procedures and legal requirements

- Individual ILP (Individual Learning Plan)/TNA (Training Needs Analysis)/RPL (Recognising Prior Learning)

- Assessment plans for a minimum of TWO learners – each on at least TWO occasions

- Samples of assessment evidence

- Observation report

- Learner/witness statements

- Assessment records from the above-mentioned plans to cover the range of assessment methods in accordance with organisational and/or awarding body requirements

- Evidence of the use of assessment records to inform/manage/develop

- assessment practice individually and through negotiation within teaching team.

Where actual documents are included names should be blanked out to maintain confidentiality.

Sample holistic assessment activity

Carry out an initial assessment and LNA (Learning Needs Analysis)/TNA (Training Needs Analysis) with **two** potential students – with contrasting assessment needs – in order to identify the level of existing skills, knowledge and understanding of each student in their specific vocational area.

(Assessment criteria 1.1; 1.3; 4.1; 4.2)

With **each** student, plan an assessment activity using **two** of the methods in Group A (see below) to identify the criteria to be assessed, opportunities for assessment and any specific learning or assessment needs. This will make each student aware of the purpose, objectives, requirements and processes of the assessment of vocational skills, knowledge and understanding required of them.

(Note: Methods of assessment for vocational skills/knowledge/understanding can include group assessment, eg tests, written questions, assignments)

Use **two different** assessment methods from Group A for each student (eg skills test and project for one student, questions and assignments for the other student).

Group A

skills tests

oral and written questions

assignments

projects.

Prepare the resources and conditions necessary and carry out the planned assessment with each student (whether individually or as part of a group), providing an appropriate level of support.

Analyse the evidence of each student's achievement, make assessment decisions based on standardisation procedures and discuss the outcome of the assessments with each student. Provide feedback that recognises each student's achievements and identifies further needs for learning, assessment and progression.

Plan and carry out a **second** assessment activity using at least one method from Group B (see below) using a **different** assessment method for each selected student.

Group B

assessments of the student in simulated environments

case studies

(Assessment criteria: 1.1; 1.2; 2.1; 2.2; 2.3; 2.4; 2.5; 2.6)

Use the range of evidence available to you to complete the records of the two students' achievements and progress. Make the assessment information available to authorised colleagues in an appropriate way. Use the evidence of the assessment activities to review and evaluate your competence in relation to the assessment of vocational skills, knowledge and understanding in order to identify ways in which you need to maintain the currency of your practice.

(Assessment criteria: 3.1; 3.2; 3.3; 4.3; 4.4)

Annexe D

Portfolio Evidence Record Sheets

Unit 1: Understanding the Principles and Practices of Assessment (Level 3)

Learning outcomes		Assessment criteria		Portfolio reference	Date
1	Understand the principles and requirements of assessment	1.1	Explain the function of assessment in learning and development		
		1.2	Define the key concepts and principles of assessment		
		1.3	Explain the responsibilities of the assessor		
		1.4	Identify the regulations and requirements relevant to assessment in own area of practice		
2	Understand different types of assessment method	2.1	Compare the strengths and limitations of a range of assessment methods with reference to the needs of individual learners		
3	Understand how to plan assessment	3.1	Summarise key factors to consider when planning assessment		
		3.2	Evaluate the benefits of using a holistic approach to assessment		
		3.3	Explain how to plan a holistic approach to assessment		

Learning outcomes		Assessment criteria		Portfolio reference	Date
		3.4	Summarise the types of risks that may be involved in assessment in own area of responsibility		
		3.5	Explain how to minimise risks through the planning process		
4	Understand how to involve learners and others in assessment	4.1	Explain the importance of involving the learner and others in the assessment process		
		4.2	Summarise types of information that should be made available to learners and others involved in the assessment process		
		4.3	Explain how peer and self-assessment can be used effectively to promote learner involvement and personal responsibility in the assessment of learning		
		4.4	Explain how assessment arrangements can be adapted to meet the needs of individual learners		
5	Understand how to make assessment decisions	5.1	Explain how to judge whether evidence is: • sufficient • authentic • current		

Learning outcomes		Assessment criteria		Portfolio reference	Date
		5.2	Explain how to ensure that assessment decisions are: • made against specified criteria • valid • reliable • fair		
6	Understand quality assurance of the assessment process	6.1	Evaluate the importance of quality assurance in the assessment process		
		6.2	Summarise quality assurance and standardisation procedures in own area of practice		
		6.3	Summarise the procedures to follow when there are disputes concerning assessment in own area of practice		
7	Understand how to manage information relating to assessment	7.1	Explain the importance of following procedures for the management of information relating to assessment		
		7.2	Explain how feedback and questioning contribute to the assessment process		

Learning outcomes		Assessment criteria		Portfolio reference	Date
8	Understand the legal and good practice requirements in relation to assessment	8.1	Explain legal issues, policies and procedures relevant to assessment, including those for confidentiality, health, safety and welfare.		
		8.2	Explain the contribution that technology can make to the assessment process		
		8.3	Evaluate requirements for equality and diversity and, where appropriate, bilingualism in relation to assessment		
		8.4	Explain the value of reflective practice and continuing professional development in the assessment process		
Learner name:					Date:
Learner signature:					Date:
Assessor signature:					Date:
Internal verifier signature (if verified)					Date:

Unit 2: Assess Occupational Competence in the Work Environment (Level 3)

Learning outcomes		Assessment criteria		Portfolio reference	Date
1	Be able to plan the assessment of occupational competence	1.1	Plan assessment of occupational competence based on the following methods: • observation of performance in the work environment • examining products of work • questioning the learner • discussing with the learner • use of others (witness testimony) • looking at learner statements • recognising prior learning		
		1.2	Communicate the purpose, requirements and processes of assessing occupational competence to the learner		
		1.3	Plan the assessment of occupational competence to address learner needs and current achievements		
		1.4	Identify opportunities for holistic assessment		

Learning outcomes		Assessment criteria		Portfolio reference	Date
2	Be able to make assessment decisions about occupational competence	2.1	Use valid, fair and reliable assessment methods including: • observation of performance • examining products of work • questioning the learner • discussing with the learner • use of others (witness testimony) • looking at learner statements • recognising prior learning		
		2.2	Make assessment decisions of occupational competence against specified criteria		
		2.3	Follow standardisation procedures		
		2.4	Provide feedback to learners that affirms achievement and identifies any further implications for learning, assessment and progression		
3	Be able to provide required information following the assessment of occupational competence	3.1	Maintain records of the assessment of occupational competence, the outcomes and learner progress		
		3.2	Make assessment information available to authorised colleagues		
		3.3	Follow procedures to maintain the confidentiality of assessment information		

Learning outcomes		Assessment criteria		Portfolio reference	Date
4	Be able to maintain legal and good practice requirements when assessing occupational competence	4.1	Follow relevant policies, procedures and legislation for the assessment of occupational competence, including those for health, safety and welfare		
		4.2	Apply requirements for equality and diversity and, where appropriate, bilingualism when assessing occupational competence		
		4.3	Evaluate own work in carrying out assessments of occupational competence		
		4.4	Maintain the currency of own expertise and competence as relevant to own role in assessing occupational competence		
Learner name:					Date:
Learner signature:					Date:
Assessor signature:					Date:
Internal verifier signature (if verified)					Date:

Unit 3: Assess Vocational Skills, Knowledge and Understanding (Level 3)

Learning outcomes		Assessment criteria		Portfolio reference	Date
1	Be able to prepare assessments of vocational skills, knowledge and understanding	1.1	Select methods to assess vocational skills, knowledge and understanding which address learner needs and meet assessment requirements, including: • assessments of the learner in simulated environments • skills tests • oral and written questions • assignments • projects • case studies • recognising prior learning		
		1.2	Prepare resources and conditions for the assessment of vocational skills, knowledge and understanding		
		1.3	Communicate the purpose, requirements and processes of assessment of vocational skills, knowledge and understanding to learners		
2	Be able to carry out assessments of vocational skills, knowledge and understanding	2.1	Manage assessments of vocational skills, knowledge and understanding to meet assessment requirements		
		2.2	Provide support to learners within agreed limitations		

Learning outcomes		Assessment criteria		Portfolio reference	Date
		2.3	Analyse evidence of learner achievement		
		2.4	Make assessment decisions relating to vocational skills, knowledge and understanding against specified criteria		
		2.5	Follow standardisation procedures		
		2.6	Provide feedback to the learner that affirms achievement and identifies any further implications for learning, assessment and progression		
3	Be able to provide required information following the assessment of vocational skills, knowledge and understanding	3.1	Maintain records of the assessment of vocational skills, knowledge and understanding, its outcomes and learner progress		
		3.2	Make assessment information available to authorised colleagues as required		
		3.3	Follow procedures to maintain the confidentiality of assessment information		

Learning outcomes		Assessment criteria		Portfolio reference	Date
4	Be able to maintain legal and good practice requirements when assessing vocational skills, knowledge and understanding	4.1	Follow relevant policies, procedures and legislation relating to the assessment of vocational skills, knowledge and understanding, including those for health, safety and welfare		
		4.2	Apply requirements for equality and diversity and, where appropriate, bilingualism		
		4.3	Evaluate own work in carrying out assessments of vocational skills, knowledge and understanding		
		4.4	Take part in continuing professional development to ensure current expertise and competence in assessing vocational skills, knowledge and understanding		
Learners name:					Date:
Learner signature:					Date:
Assessor signature:					Date:
Internal verifier signature (if verified)					Date: