

# Level 3 & 4 Awards & Certificates in Assessment and Quality Assurance



## Qualification handbook for centres

6317

6317-30, 6317-31, 6317-32, 6317-33, 6317-40, 6317-41,  
6317-42

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## Qualification handbook for centres

Version 1.3

Version and date	Change detail	Section
1.3 October 2017	Added TQT and GLH details	Structure
	Deleted QCF	Throughout

Qualification title	Number	QAN
Level 3 Award in Understanding the Principles and Practices of Assessment	6317-30	501/1648/4
Level 3 Award in Assessing Competence in the Work Environment	6317-31	501/1676/9
Level 3 Award in Assessing Vocationally Related Achievement	6317-32	501/1677/0
Level 3 Certificate in Assessing Vocational Achievement	6317-33	501/1679/4
Level 4 Award in Understanding the Internal Quality Assurance of Assessment Processes and Practice	6317-40	501/1649/6
Level 4 Award in the Internal Quality Assurance of Assessment Processes and Practice	6317-41	501/1678/2
Level 4 Certificate in Leading the Internal Quality Assurance of Assessment Processes and Practice	6317-42	501/1680/0

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# 1 Introduction to the qualifications

Welcome to the qualifications for assessing and assuring the quality of assessment. These qualifications represent a real step change in the approach to qualifications for assessment and quality assurance; for the first time knowledge is formally recognised as the basis for sound performance through the mandatory inclusion of a knowledge or theory unit in all the qualifications.

This handbook provides you with everything you need to know to deliver and assess these Awards and Certificates including details and guidance on:

- quality assurance
- centre resource requirements
- learning and assessment approaches
- qualification structures
- progression
- the units of assessment
- assessment guidance
- evidence guidance

## The Training, Assessment and Quality Assurance (TAQA) qualifications:

Qualification title	Number	QAN	Credit value	Guided Learning Hours
Level 3 Award in Understanding the Principles and Practices of Assessment	6317 -30	501/1648/4	3	24
Level 3 Award in Assessing Competence in the Work Environment	6317 -31	501/1676/9	9	54
Level 3 Award in Assessing Vocationally Related Achievement	6317 -32	501/1677/0	9	54
Level 3 Certificate in Assessing Vocational Achievement	6317 -33	501/1679/4	15	84
Level 4 Award in Understanding the Internal Quality Assurance of Assessment Processes and Practice	6317 -40	501/1649/6	6	45
Level 4 Award in the Internal Quality Assurance of Assessment Processes and Practice	6317 -41	501/1678/2	12	90
Level 4 Certificate in Leading the Internal Quality Assurance of Assessment Processes and Practice	6317 -42	501/1680/0	17	115

The City & Guilds term for these units is the 'TAQA' qualifications:

**T**...raining  
**A**...ssessment  
**Q**...uality  
**A**...ssurance

The assessment and quality assurance qualifications will be part of an integrated suite of TAQA qualifications for training, assessment and quality assurance practitioners.

These qualifications are for people working in, or looking to enter roles in assessment and internal quality assurance. They have been developed by LLUK to replace the Assessor and Verifier (A&V) Units. They are designed for use in England, Wales and Northern Ireland – alternative arrangements exist in Scotland.

The units and qualifications will provide people who carry out assessment and internal quality assurance roles in their organisation with the opportunity to develop and improve their practice as well as achieving a professional qualification for the role. They are available to anyone working in: accredited learning; non accredited learning (where people may assess performance but do not assess for a qualification) and the NQF.

There are knowledge only units (which are titled 'Understanding the... ..') these allow anyone who is interested in or needs to know about assessment and quality assurance – but is not a practitioner – to acquire knowledge and information about the processes. Although they are stand alone units they feature in each qualification as the sound basis for 'competent' practice.

Achievers will understand the principles of assessment and/or internal quality assurance and have the knowledge to develop and improve systems at their centre.

## **A Comprehensive Approach to Quality and Quality Assurance**

It is in everyone's interest for the delivery of training, assessment and quality assurance of qualifications in the UK to be of the highest quality.

At City & Guilds we are committed to supporting centres to improve levels of quality. In line with this we view the content of the TAQA qualifications – and their delivery - as being fundamental to ensuring the quality of all vocational learning and qualifications.

**Quality** is the 'degree of excellence of something'

**Quality assurance** is 'a system of maintaining and improving standards'

High quality learning, assessment and quality assurance are required to get the most out of all qualifications. There are tangible benefits for all from this approach as it means:

- improved learner experience
- raised learner achievement rates
- increased learner retention rates
- more cost effective programmes
- regulatory requirements are met
- support for other planning and monitoring processes such as self-assessment

To achieve this - quality and quality assurance must be included from the planning stage of programmes of learning – as they are integral to the programmes themselves.



A useful way of looking at this is:

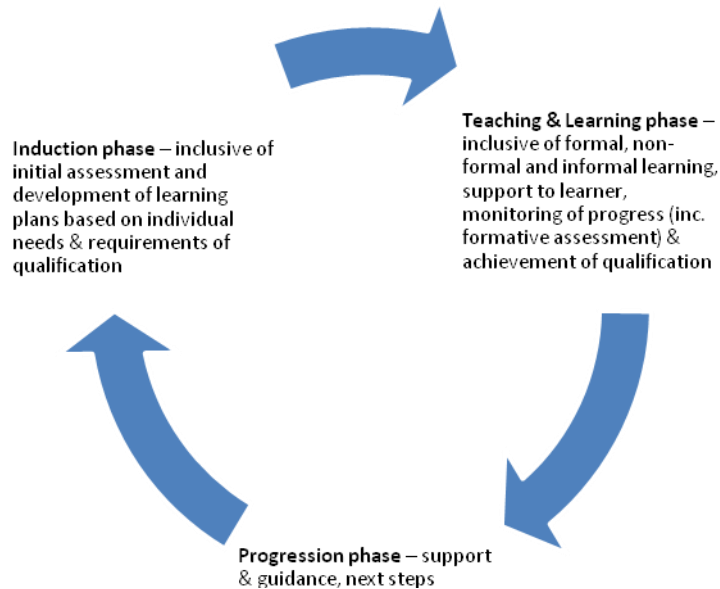
***‘Quality and quality assurance must be built into centre delivery from the start – it is much more difficult to audit poor quality out than build good quality in...’***

This needs to be firmly in mind when planning the delivery of the TAQA qualifications. Quality and quality assurance measures need to be built into all processes in the learner journey – these include the:

- recruitment process
- induction process
- initial assessment
- learning plans
- teaching
- facilitating learning
- reviews of progress
- assessment processes
- achievement
- progression planning

Quality matters everywhere in the ‘Learner Journey’ ... ..





If you are an existing centre for the 7317 & 7318 Learning and Development qualifications then you will already have relevant experience and resources such as:

- skilled learning, assessment and quality assurance practitioners
- existing internal quality assurance processes

### Learning and Assessment approaches

Quality requirements are not set centrally by Ofqual, but are ‘devolved’ to Awarding Organisations, to allow flexibility of approach. Please note that there are, however, some mandatory activities included in the assessment strategy for these qualifications. These are outlined at the start of the assessment guidance for each unit.

To assist centres the guidance included for assessment and evidence is based on ‘*activity based*’ learning and assessment. It is recommended that the delivery and assessment of these qualifications should be approached holistically whenever possible. For example, if a learner is undertaking the Award in ‘*Understanding the Principles and Practice of Assessment*’ and is not actively practising as an assessor, then this knowledge unit will be delivered and assessed on its own. However, if the learner is undertaking the Award, ‘*Assess Occupational Competence in the Work Environment*’, there are opportunities to acquire the knowledge through practice i.e. experientially – it may not be necessary to deliver ‘learning’ separately for this unit.

In most centres learning will be delivered through a combination of:

- applied practice
- coaching
- experience
- training
- support and advice

The provision of learning opportunities remains the responsibility of the centre (not the learner). Centres must ensure they have the right staff teams to deliver learning by the methods they decide, to meet learner’s needs. Formative assessment of each learner’s progress will monitor their development and indicate when summative assessment is appropriate.

When assessing the Award, '*Assess Occupational Competence in the Work Environment*', observing practice will provide opportunities to capture some knowledge as it is demonstrated through performance.

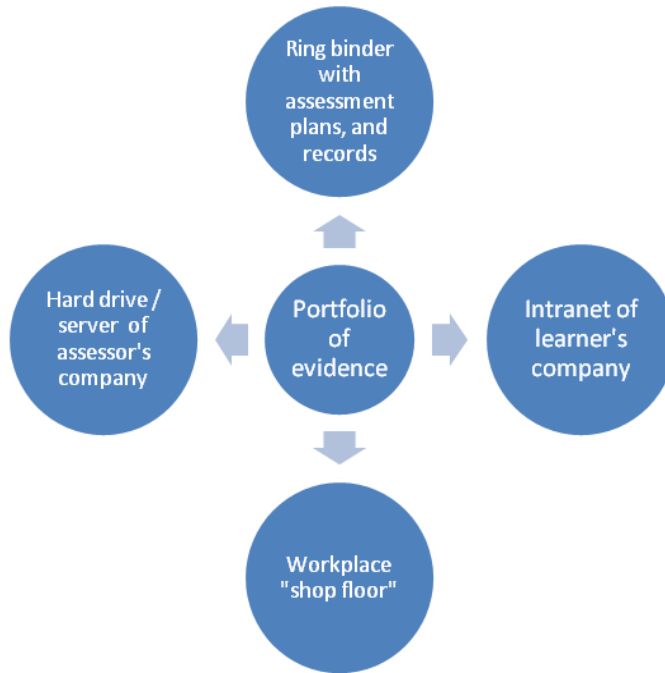
The recommended process for assessment involves:

- planning and candidate preparation
- assessment
- analysis
- decision taking
- recording
- feedback to the candidate throughout the process
- engaging with the quality assurance process throughout

This approach reduces the burden on the assessor and the learner as it removes the need for the learner to 'gather' separate evidence for assessment – the evidence falls naturally from the activities being undertaken.

This is what is traditionally thought of as the 'portfolio'. It contains the necessary assessment documentation: assessment plans, assessment records and judgements and the details of the location of the product evidence (so there is an audit trail which can be followed by the IQA and EQA, who will want to sample the evidence.)

The assessor may have digitally recorded audio or visual evidence of the learner. This may be a discussion or questioning session or a visual recording of an observed activity. The assessor will have made a decision about this which they will have recorded on the assessment records.



This may contain the Policies and Procedures the learner has shown they adhere to and understand. By leaving them "in situ" the learner avoids the unnecessary work of copying them for the 'portfolio'. The assessor will record they have judged these as part of an assessment decision on their assessment records.

This will be evidence which is inappropriate or impossible to put in a 'portfolio'. This may include confidential records, a piece of equipment or a structure built by the learner.

## Storage of evidence and 'portfolios'

### Evidence of learning and evidence of competence

'Portfolios' come in many forms – some are electronic, some paper based, others a combination of both. It is important to remember that the 'Portfolio of evidence' should be precisely that and contain ONLY the records of assessment and evidence that confirm achievement. It should **not** contain training materials, assignments for developing the learner and other information and guidance that formed part of the 'learner journey'.

However many learners want to maintain a personal record of their learning. They can maintain a 'Learning File' containing all the information and materials that chart their development. This 'Learning File' will not, however, form part of the assessment or quality assurance processes – but the learner would have a valuable personal record of their journey and progress.

### More about 'Portfolios of evidence'

Ofqual has long maintained that evidence *'where it is in paper or material form, can be left in its natural location'* for example the workshop, office or building site. This is a sensible approach as much 'product' evidence cannot for a variety of reasons go into a 'portfolio' (e.g. a brick wall which has been built, sensitive records from a care home etc.) In the same way, it is not necessary to print off and present paper copies of policies and procedures if those can be left in their usual location and checked by assessors, Internal Quality Assurer (IQA) and External Quality Assurer (EQA) 'in situ'.

However if this approach is adopted then the assessment record must state:

- Who and what was assessed by whom
- The date, and location of assessment
- The assessment methods used
- The assessment decision
- The Units, Learning Outcomes and Assessment Criteria achieved
- The location of the supporting evidence

One 'portfolio' may actually comprise evidence in a number of locations, linked by the audit trail provided through the assessment and quality assurance records.

There are however practical implications to consider:

- if evidence is left in its usual location then the internal and external quality assurers will both have to sample it in its usual location. This will require QA staff to plan for and carry out visits to other premises as part of their sampling
- the QA audit trail still has to be clear, trackable through the evidence and the planned sampling must be carried out as required by the qualification
- it is crucial that the evidence is kept safely in its usual location and is readily available for sampling whenever the external quality assurance sampling takes place. It is the responsibility of the centre to organise this – it is not the responsibility of the External Quality Assurer to have to locate evidence

### The qualifications

The qualification structures are on the next two pages. They consist of:

- awards and a certificate in assessment at level 3
- awards and a certificate in internal quality assurance at level 4

## The Level 3 Qualifications for Assessment

### Level 3 Award in Understanding the Principles and Practices of Assessment (3 credits)

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

A knowledge-only Award for those who are starting their journey as an assessor, or for those who need to know about assessment practice but who are not currently practicing e.g. a starting point for aspiring assessors or a professional development qualification for managers, HR or quality assurance personnel.

### Level 3 Award in Assessing Competence in the Work Environment (9 credits)

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

**Unit 2:** Assess Occupational Competence in the Work Environment (6 credits)

For practitioners who assess the demonstration of competence in a work environment using the following assessment methods: observation, examining work products, oral questioning and discussion, use of others (e.g. witnesses), learner statements and Recognition of Prior Learning (RPL).

### Level 3 Award in Assessing Vocationally Related Achievement (9 credits)

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

**Unit 3:** Assess Vocational Skills, Knowledge and Understanding (6 credits)

For practitioners who assess knowledge and/or skills in vocationally-related subject areas who use the following assessment methods: assessments in simulated environments, skills tests, oral and written questions, assignments, projects, case studies and RPL. This may take place in training workshops, classrooms or other learning environments.

### Level 3 Certificate in Assessing Vocational Achievement (15 credits)

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

**Unit 2:** Assess Occupational Competence in the Work Environment (6 credits)

**Unit 3:** Assess Vocational Skills, Knowledge and Understanding (6 credits)

For practitioners who may use ALL of the above listed assessment methods based upon sound assessment principles.

## The Level 4 qualifications for Quality Assurance

### Level 4 Award in Understanding the Internal Quality Assurance of Assessment Processes and Practice (6 credits)

**Unit 4:** Understanding the Principles and Practices of Internally Assuring the Quality of Assessment (6 credits)

A knowledge-only Award for those who are starting their journey as an internal quality assurance practitioners or for those who need to know about internal quality assurance but who are not carrying out quality assurance themselves. This might be people such as experienced assessors or centre managers, HR or quality assurance personnel.

### Level 4 Award in the Internal Quality Assurance of Assessment Processes and Practice (12 credits)

**Unit 4:** Understanding the Principles and Practices of Internally Assuring the Quality of Assessment (6 credits)

**Unit 5:** Internally Assure the Quality of Assessment (6 credits)

For practitioners who conduct internal quality assurance of the assessment process from within a centre or organisation, by sample planning, monitoring and advising on the practice of assessors.

### Level 4 Certificate in Leading the Internal Quality Assurance of Assessment Processes and Practice (17 credits)

**Unit 4:** Understanding the Principles and Practices of Internally Assuring the Quality of Assessment (6 credits)

**Unit 5:** Internally Assure the Quality of Assessment (6 credits)

**Unit 8:** Plan, Allocate and Monitor Work in Own Area of Responsibility (5 credits)

For practitioners who lead the internal quality assurance process within a centre/organisation and have a responsibility for managing the quality of the assessment process, practice and the performance of assessors. They may also develop systems and lead on visits from outside agencies such as awarding organisations.

## Total Qualification Time

Total Qualification Time (TQT) is the total amount of time, in hours, expected to be spent by a Learner to achieve a qualification. It includes both guided learning hours (which are listed separately) and hours spent in preparation, study and assessment.

Title and level	GLH	TQT
Level 4 Certificate in Leading the Internal Quality Assurance of Assessment Processes and Practice	115	170

### 1.1 Opportunities for progression

These units have been designed to be achieved individually or as qualifications.

The ‘Understanding the Principles...’ Units are knowledge-only so may be undertaken by anyone interested in the underlying principles and practices of assessment and quality assurance without having to be a practitioner. However as these units then appear in each of the subsequent qualifications it is possible (when the learner’s job role allows) to move on from the ‘Principles’ units into practice and therefore achieve the ‘applied or ‘competence-based’ units.

There is a progression route through these qualifications but *it is not mandatory that they are done in any order* – unless this is required by the assessment strategy for the qualification that the candidate assessor or candidate Internal Quality Assurer (IQA) may be using to achieve their units. For example in some sectors it is not compulsory to be an assessor before being an IQA. So a candidate could do the IQA qualification without doing any of the assessment ones first. **Therefore centres must carry out in-depth initial assessment and guide candidates to undertake the most appropriate units or qualification for their particular role and situation at that time.**

These qualifications relate to and are designed to complement the following qualifications:

- 7303 Levels 3 and 4 Award in Preparing to Teach in the Lifelong Learning Sector (PTLLS)
- 7304 Levels 3 and 4 Certificate to Teach in the Lifelong Learning Sector (CTLLS)
- 7305 Level 5 Diplomas in Teaching in the Lifelong Learning Sector (DTLLS)

There are opportunities for Recognition of Prior Learning (RPL) between these two suites of qualifications.



## 2 Centre requirements

This section outlines the approval processes for centres to offer the Assessment and Quality Assurance qualifications and any resources that centres will need in place to offer the qualifications - including specific requirements for centre staff.

### 2.1 Approval

#### Centres not yet approved by City & Guilds

Only approved organisations can offer City & Guilds qualifications. Organisations approved by City & Guilds are referred to as **centres**.

Centres must meet a set of quality criteria including:

- provision of adequate physical and human resources
- clear management information systems
- suitable candidate support
- effective assessment and quality assurance procedures
- reliable recording systems

An organisation that has not previously offered City & Guilds qualifications must apply for approval to become a centre. This is known as the **centre approval process (CAP)**. Centres also need approval to offer a specific qualification. This is known as the **qualification approval process (QAP)**.

In order to offer these qualifications, organisations which are not already City & Guilds centres must apply for centre and qualification approval at the same time. To do this, please contact your regional office.

#### Centres already approved for the A&V Units

For existing 7317 (A&V Units) centres there is an automatic approval process - they do not have to take any action. The sanction level in place on the 7317 qualification approval at the time of commencing on the TAQA units will be automatically applied to the 6317 approval.

However as always with new qualifications, centres will not be able to claim any 6317 certificates prior to external quality assurance taking place.

These qualifications will be sampled annually by the External Quality Assurer (EQA).

### 2.2 Quality Assurance

#### Internal quality assurance

All centres must have effective quality assurance systems to ensure optimum delivery and assessment of qualifications.

Quality assurance includes initial centre approval, qualification approval and the centre's own internal procedures for monitoring quality. Centres are responsible for internal quality assurance while City & Guilds is responsible for external quality assurance.

For these qualifications centres must develop a sampling strategy and plan which must be implemented by all those undertaking the internal quality assurance role. Centres with experience of offering N/SVQs will find that their internal verification process can be adapted to establish an internal quality assurance (IQA) system for these qualifications.

This IQA system needs to contain:

- Sample planning based on the principles of 'CAMERA', ie plans must include sampling of all types of:
  - **C**andidates,
  - **A**ssessors,
  - **M**ethods of assessment,
  - **E**vidence or Elements,
  - **R**ecords,
  - **A**ssessment sites
- Effective communication
- Interim sampling
- Summative sampling
- Monitoring of assessor practice (including observation)
- Standardisation activities
- Sound administration
- Records of the above

Whoever is responsible for internal quality assurance in a centre will need to ensure that all factors related to quality assurance are covered in the centre. These include ensuring that:

- quality assurance systems are 'fit for purpose' and *do* actually monitor the quality of the learner journey
- quality assurance sampling is planned for and carried out throughout the learner journey and not just at the end of assessment
- learning and training that is delivered models 'best practice' and meets all requirements – and that this is monitored
- assessment practice is in line with the current NOS for assessment
- assessors are regularly observed carrying out assessment processes
- assessors are supported, get feedback on their practice and take part in standardisation activities
- record keeping is maintained as required
- IQA practice is in line with the current NOS for internal quality assurance
- all members of the team maintain their CPD year on year
- communication with City & Guilds is effective

### **External quality assurance**

External quality assurance for the qualifications will be provided by City & Guilds. This includes:

- approval of centres
- monitoring of learning delivery
- monitoring of assessment practice
- monitoring of internal quality assurance practices

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

### **2.3 Human resources**

City & Guilds expects that these qualifications will be delivered by highly skilled practitioners of learning delivery, assessment and quality assurance.

Practitioners involved in the delivery of these qualifications should be able to fulfil all of the following functions to ensure a quality learning experience for the learner:

- identify training and development needs of the learner
- plan for, design and develop learning and development opportunities
- provide high quality learning opportunities
- facilitate and support learner progress and achievements
- assess learner performance

- review the effectiveness of learning opportunities
- contribute to the quality assurance process

Therefore, for **all** the assessor and internal quality assurance qualifications, it is required that practitioners are:

- skilled, knowledgeable and experienced in learning delivery, assessment and quality assurance
- able to demonstrate good practice in accordance with the NOS for Learning and Development and/or the relevant Professional Standards
- show current evidence of continuing professional development and practice in assessment and quality assurance

In accordance with the guidance provided by Lifelong Learning UK (LLUK) as to who can deliver these assessment and internal quality assurance qualifications, for the knowledge only units – wherever they appear in the qualifications but in particular:

- Level 3 Award in Understanding the Principles and Practices of Assessment
- Level 4 Award in Understanding the Internal Quality Assurance of Assessment Processes and Practice

City & Guilds expects the following:

- practitioners will hold a relevant assessor and/or quality assurance qualification (or recognised equivalent)
  - for example:
    - Level 3 Award in Assessing Vocationally Related Achievement, **or**
    - 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
    - Level 4 Award in the Internal Quality Assurance of Assessment Processes and Practice, **or**
    - 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/or** have up-to-date working knowledge and experience of best practice in assessment/quality assurance.

For the delivery of the applied units (ie where candidates have to be carrying out the role):

- Unit 2 Assess Occupational Competence in the Work Environment
- Unit 3 Assess Vocational Skills Knowledge and Understanding

practitioners must

- hold one of the following qualifications (or their recognised equivalent)
  - Level 3 Award in Assessing Competence in the Work Environment, **or**
  - 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** have up-to-date working knowledge and experience of best practice in assessment.

For the delivery of the applied internal quality assurance units (ie where candidates have to be carrying out the role):

- Unit 5 Internally assure the quality of assessment
- Unit 8 Plan allocate and monitor work in own area of responsibility

Practitioners must hold one of the above assessor qualifications **and** one of the following internal quality assurance qualifications:

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

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

In addition practitioners assessing and internally quality assuring Unit 403 must also demonstrate that they:

- have credible expertise in management and leadership relevant to the level(s)/units they are assessing or verifying.
- keep themselves up-to-date with developments in management and leadership practice;
- have a thorough understanding of the NOS for management and leadership at the unit(s)/level(s) they are assessing or verifying.

Plus they must have:

- An accredited assessor and/or verifier qualification, or
- A related qualification in assessment and/or verification that has been mapped to the National Occupational Standards for assessment and/or verifications, or
- Evidence of undertaking an employer assessment programme that has been mapped to The National Occupational Standards for assessment and/or verification

This flexibility is to encourage centres to use high quality learning and development practitioners where possible, **not only** qualified assessors/quality assurance personnel.

To complement this flexibility, City & Guilds will work with centres and practitioners to offer appropriate professional development opportunities to ensure standards can be maintained and that a more qualified and skilled workforce can be developed for these new qualifications.

In addition, practitioners delivering these qualifications must meet the statutory and contractual arrangements of the nation in which they work.

## 2.4 Candidate entry requirements

Candidates should not be entered for a qualification of the same type, content and level as that of a qualification they already hold.

There are no formal entry requirements for candidates undertaking these qualifications. However, it is the responsibility of the centre to ensure that candidates have the skills, potential and opportunity to gain the qualifications successfully.

Anyone engaged in assessing and quality assuring other units or qualifications **must meet the specific requirements of the assessment strategy related to those units and qualifications.**

There are no age limits attached to candidates undertaking the qualifications unless this is a legal requirement of the process or the environment in which they operate. However, it is not expected that candidates for these qualifications would be younger than 18.

## 2.5 City & Guilds administration

Full details of City & Guilds' administrative procedures for these qualifications are provided in the *Online Catalogue*. This information includes details on:

- registration procedures
- enrolment numbers
- fees
- entry for examinations
- claims for certification

Centres should be aware of time constraints regarding the registration and certification periods for the qualifications, as specified in the City & Guilds *Online Catalogue*.

Centres should follow all administrative guidance carefully, particularly noting that fees, registration and certification end dates for the qualifications are subject to change. The latest News is available on the website [www.cityandguilds.com](http://www.cityandguilds.com).

### **Retaining assessment records**

Centres must retain copies of candidate assessment records for at least three years after the date of certification.

### **Certificates of unit credit (CUCs)**

A certificate of unit credit records the successful completion of a unit. Centres can apply to City & Guilds for CUCs as soon as candidates have achieved a unit. Centres do not need to wait until the entire learning and assessment process has been completed in order to claim CUCs for learners.

### **Full certificates**

Full certificates are only issued to candidates who have met the full requirements of the qualifications.

## **2.6 Recognition of Prior Learning (RPL)**

Recognition of Prior Learning (RPL) recognises the contribution a person's previous experience could contribute to a qualification. As part of each learner's initial assessment, any opportunities for RPL will be identified by the relevant assessor.

Claims for credit for units through RPL will be considered in individual cases. Some units in this set of qualifications lend themselves more readily to a claim for credit through RPL than others. Note that the RPL process relates to the production of evidence against ALL the requirements of a particular unit – it is not possible to claim 'partial credit achievement' for a unit through RPL.

Where a claim for credit through RPL may be appropriate, a member of the assessment team will explain to the learner in question what the RPL process will involve and how evidence may be produced to substantiate an RPL claim. If, having considered the option of a claim for credit through RPL, a learner decides not to pursue such a claim, he or she is free to do so without further implications.

## **2.7 Appeals against assessment decisions**

This section relates to appeals against results from assessments.

It is a condition of centre approval that all centres must ensure that there is an appeals procedure available to all learners. The appeals procedure documentation must be submitted to City & Guilds in the qualification approval submission.

If a candidate appeals against the result of an assessment, the Assessor should try to resolve the problem in the first instance. It should then be referred to the Internal Quality Assurer and following that, the Internal Quality Assurance Co-ordinator.

If the problem cannot be satisfactorily resolved, the External Verifier should be approached to offer independent advice. All appeals must be clearly documented by the centre's Co-ordinator and made available to the External Verifier and/or City & Guilds.

## **2.8 Equal opportunities**

Access to this qualification is open to all, irrespective of gender, race, religion or creed, age or special needs. The Centre Co-ordinator should ensure that no learner is subjected to unfair

discrimination on any grounds in relation to access to assessment and to the fairness of the assessment.

Ofqual requires City & Guilds to monitor centres to check whether equal opportunities policies are being adhered to. The City & Guilds equal opportunities policy can be found in the *Directory of Vocational Qualifications/Product Catalogue*. City & Guilds requires that centres approved to offer assessments leading to its qualifications should inform candidates of the existence of this policy.

## 3 Course design and delivery

### 3.1 Initial assessment and induction

Centres will need to make an initial assessment of each learner prior to the start of their programme to ensure they are entered for an appropriate type and level of qualification and also to ensure that they undertake the most appropriate unit.

The initial assessment process should identify:

- any specific learning needs the learner has, and the support and guidance they may require when working towards their qualifications. This is sometimes referred to as a diagnostic test or skill scan
- any units the learner has already completed, or credit they have accumulated which is relevant to the qualifications they are about to begin
- any units or parts of units that may cause difficulties for the learner e.g. if their job role or level of experience is not sufficiently wide-ranging for them to meet the requirements
- the requirements of the assessment strategy of the qualification which is to be assessed or quality assured by the learner to ensure that they can meet the specifications

City & Guilds recommends that centres provide an induction programme to ensure that learners fully understand the requirements of the qualification(s) they will work towards, their responsibilities as a learner, and the responsibilities of the centre. It may be helpful to record the information on a learning contract.

Further guidance about initial assessment and induction as well as a learning contract that centres may use can be found on the City & Guilds website.

### 3.2 Learning delivery strategies

City & Guilds does not prescribe how centres deliver the learning on these qualifications providing that all requirements are met.

Centre staff should familiarise themselves with the structure, content and assessment requirements of the qualifications before designing any learning programme. In addition there is guidance information in most units that centre staff would find very useful when designing learning programmes for these qualifications.

## 4 Assessment

### 4.1 Summary of assessment methods

Different units in these qualifications will include different assessment requirements and methods – all of which will be familiar to existing assessors and quality assurance staff.

For the unit where competence is being assessed methods will include:

- observation of performance in the work environment by an assessor or witness
- examining products of the learner's own work
- questioning the learner
- discussions with the learner
- use of others (witness testimony)
- looking at learner statements
- recognition of prior learning

For the units where knowledge and skills in vocationally related subject areas are being assessed methods will also include:

- oral and written questions
- assignments
- projects
- case studies
- recognition of prior learning

Evidence for **practical activities** should be gathered from naturally occurring evidence collected in the work-related environment.

Evidence for the **knowledge-only** units such as assignments, case studies, project etc must follow City & Guilds guidelines and be agreed in advance with the External Quality Assurer (EQA).

### General assessment guidance

There must be valid, authentic and sufficient evidence for all the assessment criteria. However, there is no requirement for each unit, learning outcome or assessment criteria to be assessed separately. It is recommended that holistic assessment is used whenever appropriate. Wherever possible, one activity should be used as evidence for learning outcomes and assessment criteria for other units. For example, a discussion for 'Assess occupational competence in the work environment' might provide some evidence for 'Understanding the principles and practices of assessment'. However, it is essential that evidence for the assessment criteria in each unit is also identified individually.

### Recording assessment activities

Recording of assessment decisions and evidence may be undertaken in a range of formats. However regardless of the form of recording used, the guiding principle must be that all information relating to assessment must comply with legal requirements and best practice in the sector. This will include ensuring confidentiality of information which can, however, still be tracked for internal and external verification purposes.

Where candidates have particular needs the evidence may vary, provided that any alternative evidence demonstrates the assessment requirements as identified in the unit.



City & Guilds expects the following assessments:

<b>Unit No.</b>	<b>Title</b>	<b>Assessment Method</b>	<b>Where to obtain assessment materials</b>
301	Understanding the Principles and Practices of Assessment	Written assignment or professional discussion  The assessment must cover all learning outcomes and will also provide some knowledge for associated units.	Assessment guidance is within the unit.
302	Assess Occupational Competence in the Work Environment	<ul style="list-style-type: none"> <li>• Observation of performance in the work environment</li> <li>• Examining products of work</li> <li>• Questioning the learner</li> </ul>	Assessment guidance is within the unit.
303	Assessing Vocational Skills Knowledge and Understanding	<ul style="list-style-type: none"> <li>• Observation of performance in the work environment</li> <li>• Examining products of work</li> <li>• Questioning the learner</li> </ul>	Assessment guidance is within the unit.
401	Understanding the Principles and Practice of Internally Assuring the Quality of Assessment	Written assignment or professional discussion  The assessment must cover all learning outcomes and will also provide some knowledge for associated units.	Assessment guidance is within the unit.
402	Internally Assure the Quality of Assessment	<ul style="list-style-type: none"> <li>• Observation of performance in the work environment</li> <li>• Examining products of work</li> <li>• Questioning the learner</li> </ul>	Assessment guidance is within the unit.
403	Plan, Allocate and Monitor Work in Own Area of Responsibility	<ul style="list-style-type: none"> <li>• Observation of performance in the work environment</li> <li>• Examining products of work</li> <li>• Questioning the learner</li> </ul>	Assessment guidance is within the unit.

## 4.2 Evidence requirements

The evidence requirements for these qualifications are provided on a unit by unit basis. These requirements must be met as specified.

**Please note** - Simulation may only be used in the knowledge-only **Units 1 and 4**. Simulation is **not allowed** in any of the other units.

## 5 Units

### Availability of units

The units and assessment guidance for these qualifications follow.

The learning outcomes and assessment criteria are also viewable on the National Database of Accredited Qualifications (NDAQ) at: **[www.accreditedqualifications.org.uk](http://www.accreditedqualifications.org.uk)**

## Unit 301

## Understanding the Principles and Practices of Assessment

<b>Title:</b>	Understanding the Principles and Practices of Assessment
<b>Level:</b>	3
<b>Credit value:</b>	3
<b>General Guidance</b> This unit assesses a candidate assessor's knowledge of the principles and practices of assessment in a learning and development context. Evidence for this unit could take the form of: <ul style="list-style-type: none"><li>• written statements or answers by the candidate assessor</li><li>• oral statements or answers by the candidate assessor</li><li>• discussions between the candidate assessor and their own assessor</li><li>• assignments</li><li>• projects</li></ul> <b>Considerable evidence could be generated for this unit in the form of statements and discussions if the candidate assessor attempts either of the following units at the same time as this one:</b> <ul style="list-style-type: none"><li>• <i>Assess occupational competence in the work environment</i></li><li>• <i>Assess vocational skills, knowledge and understanding</i></li></ul>	

## Unit 301 Understanding the Principles and Practices of Assessment

### Terminology

Authentic	<i>Being the learner's own work.</i>
Equality	<i>A state of fair treatment that is the right of all the people regardless of differences in, for example, culture, ability, gender race, religion, wealth, sexual orientation, or any other group characteristic</i>
Diversity	<i>Acknowledging that each individual is unique and recognising our individual differences in, for example, culture, ability, gender, race, religion, wealth, sexual orientation, or any other individual characteristic.</i>
Evidence	<i>Evidence of a learner's knowledge, understanding, skill or competence that can be used to make a judgment of their achievement against agreed standards/criteria</i>
Learner	<i>The person being assessed by the candidate assessor</i>
Reliable	<i>Consistently achieves the same results with different assessors and the same (or similar) group of learners.</i>
Requirements	<i>These could be the requirements of the practitioner's own organisation or those of an external organisation, such as awarding organisation.</i>
Sufficient	<i>Enough evidence as specified in Evidence Requirements or Assessment Strategy.</i>
Valid	<i>Relevant to the standards/criteria against which the candidate is being assessed.</i>
Fair	<i>Ensuring that everyone has an equal chance of getting an objective and accurate assessment.</i>

## Unit 301 Understanding the Principles and Practices of Assessment

<b>Learning outcomes</b> <i>The candidate assessor will:</i>	<b>Assessment criteria</b> <i>The candidate assessor can:</i>	<b>Evidence Guidelines</b> <i>The candidate assessor provides evidence that they understand:</i>
1. Understand the principles and requirements of assessment	1.1 explain the functions of assessment in learning and development	The roles of: <ul style="list-style-type: none"> <li>• initial assessment in identifying learner needs</li> <li>• formative assessment in tracking learner progress</li> <li>• summative assessment in assessing learner achievement</li> </ul>
	1.2 define the key concepts and principles of assessment	The following key concepts and principles: <ul style="list-style-type: none"> <li>• assessment as a process of making judgments of learners' knowledge, skills and competence against set criteria</li> <li>• what is meant by validity and reliability</li> <li>• the role of evidence in making assessment decisions</li> <li>• what is meant by evidence being authentic, sufficient and current</li> <li>• the importance of objectivity and fairness to learners</li> <li>• the importance of transparency for the learner</li> </ul>

## Unit 301 Understanding the Principles and Practices of Assessment

<b>Learning outcomes</b> <i>The candidate assessor will:</i>	<b>Assessment criteria</b> <i>The candidate assessor can:</i>	<b>Evidence Guidelines</b> <i>The candidate assessor provides evidence that they understand:</i>
	1.3 explain the responsibilities of the assessor	<p>The following assessor responsibilities:</p> <ul style="list-style-type: none"> <li>• understanding and applying the standards and requirements they are working to</li> <li>• planning assessments to meet learner needs</li> <li>• communicating assessment requirements to learners</li> <li>• carrying out assessments</li> <li>• comparing evidence with set standards</li> <li>• making assessment decisions</li> <li>• recording the assessment process and decisions</li> <li>• providing feedback to learners</li> <li>• taking part in standardisation processes</li> <li>• taking part in continuing professional development</li> </ul> <p><i>Holistic assessment opportunities</i></p> <p>If the candidate assessor is also attempting either of the following units:</p> <ul style="list-style-type: none"> <li>• <i>Assess occupational competence in the work environment</i></li> <li>• <i>Assess vocational skills, knowledge and understanding</i></li> </ul> <p>evidence for the above could come from a discussion with the candidate assessor about their assessment activities.</p>

## Unit 301 Understanding the Principles and Practices of Assessment

<b>Learning outcomes</b> <i>The candidate assessor will:</i>	<b>Assessment criteria</b> <i>The candidate assessor can:</i>	<b>Evidence Guidelines</b> <i>The candidate assessor provides evidence that they understand:</i>
	1.4 identify the regulations and requirements relevant to assessment in own area of practice	<ul style="list-style-type: none"> <li>• The general requirements for the assessments they are responsible for – for example, those of the awarding organisation or regulatory body – and the key source documents.</li> <li>• The importance of complying with the relevant assessment strategy if assessing a qualification</li> </ul> <p><i>Holistic assessment opportunities</i></p> <p>If the candidate assessor is also attempting either of the following units:</p> <ul style="list-style-type: none"> <li>• <i>Assess occupational competence in the work environment</i></li> <li>• <i>Assess vocational skills, knowledge and understanding</i></li> </ul> <p>evidence for the above could come from a discussion with the candidate assessor about the requirements for the assessments they carry out.</p>

## Unit 301 Understanding the Principles and Practices of Assessment

<b>Learning outcomes</b> <i>The candidate assessor will:</i>	<b>Assessment criteria</b> <i>The candidate assessor can:</i>	<b>Evidence Guidelines</b> <i>The candidate assessor provides evidence that they understand:</i>
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	<p>The strengths and weaknesses of four different assessment methods selected from:</p> <ul style="list-style-type: none"> <li>• observation of performance in the work environment</li> <li>• examining products of work</li> <li>• discussing with the learner</li> <li>• use of others (witness testimony)</li> <li>• looking at candidate statements</li> <li>• recognising prior learning</li> <li>• assessments in simulated environments</li> <li>• skills tests</li> <li>• oral and written questions</li> <li>• assignments</li> <li>• projects</li> <li>• case studies</li> </ul> <hr/> <p><i>Holistic assessment opportunities</i>            If the candidate assessor is also attempting either of the following units:</p> <ul style="list-style-type: none"> <li>• <i>Assess occupational competence in the work environment</i></li> <li>• <i>Assess vocational skills, knowledge and understanding</i></li> </ul> <p>evidence for the above could come from a discussion with the candidate assessor about why they have selected particular assessment methods.</p>



## Unit 301 Understanding the Principles and Practices of Assessment

<b>Learning outcomes</b> <i>The candidate assessor will:</i>	<b>Assessment criteria</b> <i>The candidate assessor can:</i>	<b>Evidence Guidelines</b> <i>The candidate assessor provides evidence that they understand:</i>
3. Understand how to plan assessment	3.1 summarise key factors to consider when planning assessment	<p>The following factors:</p> <ul style="list-style-type: none"> <li>• standards/criteria to be used</li> <li>• types and volume of evidence required</li> <li>• choice of assessment methods</li> <li>• communication with learner and others involved</li> <li>• location and resources</li> <li>• time and duration of assessment</li> <li>• specific learner needs and any support required</li> <li>• how to manage the assessment process</li> <li>• recording assessment processes and decisions</li> <li>• feedback to learner</li> <li>• the importance of complying with the relevant assessment strategy if planning the assessment of a qualification</li> </ul> <hr/> <p><i>Holistic assessment opportunities</i>            If the candidate assessor is also attempting either of the following units:</p> <ul style="list-style-type: none"> <li>• <i>Assess occupational competence in the work environment</i></li> <li>• <i>Assess vocational skills, knowledge and understanding</i></li> </ul> <p>evidence for the above could come from a discussion with the candidate assessor about the factors they have considered when planning their assessments.</p>

## Unit 301 Understanding the Principles and Practices of Assessment

<b>Learning outcomes</b> <i>The candidate assessor will:</i>	<b>Assessment criteria</b> <i>The candidate assessor can:</i>	<b>Evidence Guidelines</b> <i>The candidate assessor provides evidence that they understand:</i>
	3.2 evaluate the benefits of using a holistic approach to assessment	The value of holistic assessment in: <ul style="list-style-type: none"> <li>• efficient evidence collection for the learner and assessor</li> <li>• evidence that can be used for more than one unit</li> <li>• identifying how the learner integrates for example, knowledge and understanding into their practice</li> </ul>
	3.3 explain how to apply holistic assessment when planning assessment	How to plan assessments so that a variety of required evidence can be derived from one assessment occasion.  <i>Holistic assessment opportunities</i> If the candidate assessor is also attempting either of the following units: <ul style="list-style-type: none"> <li>• <i>Assess occupational competence in the work environment</i></li> <li>• <i>Assess vocational skills, knowledge and understanding</i></li> </ul> evidence for the above could come from a discussion with the candidate assessor about how they have planned assessments to make the most efficient use of evidence generation.
	3.4 summarise the types of risks that may be involved in assessment in own area of responsibility	The following risks; <ul style="list-style-type: none"> <li>• health and safety</li> <li>• unrealistic/unnecessary stress on the learner</li> <li>• inauthentic evidence/collusion/unjustifiable support to the learner</li> <li>• over-assessment</li> <li>• potential for unfairness to learner</li> <li>• failing to meet the requirements of any relevant assessment strategy if assessing a qualification</li> </ul>

## Unit 301 Understanding the Principles and Practices of Assessment

<b>Learning outcomes</b> <i>The candidate assessor will:</i>	<b>Assessment criteria</b> <i>The candidate assessor can:</i>	<b>Evidence Guidelines</b> <i>The candidate assessor provides evidence that they understand:</i>
		<p><i>Holistic assessment opportunities</i></p> <p>If the candidate assessor is also attempting either of the following units:</p> <ul style="list-style-type: none"> <li>• <i>Assess occupational competence in the work environment</i></li> <li>• <i>Assess vocational skills, knowledge and understanding</i></li> </ul> <p>evidence for the above could come from a discussion with the candidate assessor about how they identified risks when planning the assessment process.</p>
	<p>3.5 explain how to minimise risks through the planning process</p>	<p>How to manage assessments to minimise risks associated with:</p> <ul style="list-style-type: none"> <li>• health and safety</li> <li>• learner stress</li> <li>• potential for inauthentic evidence, collusion, unjustifiable support to the learner</li> <li>• fairness</li> </ul> <p><i>Holistic assessment opportunities</i></p> <p>If the candidate assessor is also attempting either of the following units:</p> <ul style="list-style-type: none"> <li>• <i>Assess occupational competence in the work environment</i></li> <li>• <i>Assess vocational skills, knowledge and understanding</i></li> </ul> <p>evidence for the above could come from a discussion with the candidate assessor about how they minimized risks when planning the assessment process.</p>
<p>4. Understand how to involve learners and others in assessment</p>	<p>4.1 explain the importance of involving the learner and others in the assessment process</p>	<p>The benefits of involving learners in the assessment process:</p> <ul style="list-style-type: none"> <li>• transparency – learner understanding the standards/criteria they are being assessed against and how assessment decisions are made</li> <li>• efficiency – learner identifying and providing evidence themselves, others for example expert witnesses providing evidence</li> </ul>

## Unit 301 Understanding the Principles and Practices of Assessment

<b>Learning outcomes</b> <i>The candidate assessor will:</i>	<b>Assessment criteria</b> <i>The candidate assessor can:</i>	<b>Evidence Guidelines</b> <i>The candidate assessor provides evidence that they understand:</i>
		<p><i>Holistic assessment opportunities</i></p> <p>If the candidate assessor is also attempting either of the following units:</p> <ul style="list-style-type: none"> <li>• <i>Assess occupational competence in the work environment</i></li> <li>• <i>Assess vocational skills, knowledge and understanding</i></li> </ul> <p>evidence for the above could come from a discussion with the candidate assessor about why they involved the learner and others.</p>
	<p>4.2 summarise types of information that should be made available to learners and others involved in the assessment process</p>	<p>The following types of information:</p> <ul style="list-style-type: none"> <li>• standards and criteria for the assessment</li> <li>• types of evidence required and methods to be used</li> <li>• practical arrangements</li> <li>• how feedback will be given</li> <li>• use of assessment outcomes and records</li> </ul>
	<p>4.3 explain how peer and self-assessment can be used effectively to promote learner involvement and personal responsibility in the assessment of learning</p>	<p>The benefits of the learner and others contributing to formative assessment and therefore advising on when summative assessment might be appropriate. The benefits of the learner developing a sense of ownership over the learning and assessment process.</p>
	<p>4.4 explain how assessment arrangements can be adapted to meet the needs of individual learners</p>	<p>Examples of how assessment arrangements may need to be adapted to meet:</p> <ul style="list-style-type: none"> <li>• language requirements</li> <li>• cultural or religious requirements</li> <li>• physical disabilities</li> <li>• particular learning needs</li> <li>• working patterns</li> </ul>

## Unit 301 Understanding the Principles and Practices of Assessment

<b>Learning outcomes</b> <i>The candidate assessor will:</i>	<b>Assessment criteria</b> <i>The candidate assessor can:</i>	<b>Evidence Guidelines</b> <i>The candidate assessor provides evidence that they understand:</i>
		<p><i>Holistic assessment opportunities</i></p> <p>If the candidate assessor is also attempting either of the following units:</p> <ul style="list-style-type: none"> <li>• <i>Assess occupational competence in the work environment</i></li> <li>• <i>Assess vocational skills, knowledge and understanding</i></li> </ul> <p>evidence for the above could come from a discussion with the candidate assessor about how they adapted assessment arrangements to meet particular learner needs.</p>
5. Understand how to make assessment decisions	5.1 explain how to judge whether evidence is: <ul style="list-style-type: none"> <li>• valid</li> <li>• authentic</li> <li>• current</li> <li>• sufficient</li> </ul>	<p>How to use e.g. in-house and/or awarding organisation guidelines to ensure evidence meets requirements.</p> <hr/> <p><i>Holistic assessment opportunities</i></p> <p>If the candidate assessor is also attempting either of the following units:</p> <ul style="list-style-type: none"> <li>• <i>Assess occupational competence in the work environment</i></li> <li>• <i>Assess vocational skills, knowledge and understanding</i></li> </ul> <p>evidence for the above could come from a discussion with the candidate assessor about how they judged the quality of evidence.</p>
	5.2 explain how to ensure that assessment decisions are: <ul style="list-style-type: none"> <li>• made against specified criteria</li> <li>• valid</li> <li>• reliable</li> <li>• fair</li> </ul>	<p>How to:</p> <ul style="list-style-type: none"> <li>• interpret assessment standards/criteria correctly</li> <li>• match and measure evidence against assessment standards/criteria</li> <li>• ensure that consistent judgments are being made in own practice and liaise with other assessors and verifiers to ensure reliability</li> <li>• consider any possibility that individual learners are being treated differently to others in the assessment process</li> </ul>

## Unit 301 Understanding the Principles and Practices of Assessment

<b>Learning outcomes</b> <i>The candidate assessor will:</i>	<b>Assessment criteria</b> <i>The candidate assessor can:</i>	<b>Evidence Guidelines</b> <i>The candidate assessor provides evidence that they understand:</i>
		<i>Holistic assessment opportunities</i> If the candidate assessor is also attempting either of the following units: <ul style="list-style-type: none"> <li>• <i>Assess occupational competence in the work environment</i></li> <li>• <i>Assess vocational skills, knowledge and understanding</i></li> </ul> evidence for the above could come from a discussion with the candidate assessor about how they made assessment decisions.
6. Understand own contribution to the quality assurance of assessment	6.1 evaluate the importance of quality assurance in the assessment process	The importance of quality assurance in terms of: <ul style="list-style-type: none"> <li>• ensuring the reliability of assessment decisions</li> <li>• fairness to individual candidates</li> <li>• upholding the credibility of assessment processes and decisions</li> <li>• ensuring consistency</li> </ul>
	6.2 summarise quality assurance and standardisation procedures in own area of practice	Typical quality assurance and standardisation processes relevant to own area of practice or interest.  <i>Holistic assessment opportunities</i> If the candidate assessor is also attempting either of the following units: <ul style="list-style-type: none"> <li>• <i>Assess occupational competence in the work environment</i></li> <li>• <i>Assess vocational skills, knowledge and understanding</i></li> </ul> evidence for the above could come from a discussion with the candidate assessor about why the quality assurance and standardization processes relevant to their own practice.
	6.3 summarise the relevant procedures to follow when there are disputes concerning assessment in own area of practice	Appeals procedures relevant to own area of practice or interest.

## Unit 301 Understanding the Principles and Practices of Assessment

<b>Learning outcomes</b> <i>The candidate assessor will:</i>	<b>Assessment criteria</b> <i>The candidate assessor can:</i>	<b>Evidence Guidelines</b> <i>The candidate assessor provides evidence that they understand:</i>
7. Understand how to manage information relating to assessment of occupational competence	7.1 explain the importance of following procedures for the management of information relating to assessment	The importance of the candidate assessor completing and storing assessment records in order to: <ul style="list-style-type: none"> <li>• provide accurate information on learner achievement</li> <li>• contribute to quality assurance and standardisation processes</li> <li>• provide a basis for feedback to the learner and review learner progress</li> <li>• make available information in the event of appeals</li> </ul>
	7.2 explain how feedback and questioning contributes to the assessment process	How feedback to the learner and others assists transparency of the assessment process and assists learner progression. <i>Holistic assessment opportunities</i> If the candidate assessor is also attempting either of the following units: <ul style="list-style-type: none"> <li>• <i>Assess occupational competence in the work environment</i></li> <li>• <i>Assess vocational skills, knowledge and understanding</i></li> </ul> evidence for the above could come from a discussion with the candidate assessor about why they provided feedback to the learner.
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	Legal requirements and the policies and procedures of own organisation and awarding organisation concerning: <ul style="list-style-type: none"> <li>• health and safety, including learner emotional welfare</li> <li>• confidentiality</li> <li>• transparency</li> <li>• record keeping</li> <li>• equal opportunities and diversity</li> <li>• compliance with the relevant assessment strategy if assessing a qualification</li> </ul>

## Unit 301 Understanding the Principles and Practices of Assessment

<b>Learning outcomes</b> <i>The candidate assessor will:</i>	<b>Assessment criteria</b> <i>The candidate assessor can:</i>	<b>Evidence Guidelines</b> <i>The candidate assessor provides evidence that they understand:</i>
		<p><i>Holistic assessment opportunities</i></p> <p>If the candidate assessor is also attempting either of the following units:</p> <ul style="list-style-type: none"> <li>• <i>Assess occupational competence in the work environment</i></li> <li>• <i>Assess vocational skills, knowledge and understanding</i></li> </ul> <p>evidence for the above could come from a discussion with the candidate assessor about legal, organizational and awarding organization policies and procedures that govern their practice.</p>
	8.2 explain the contribution that technology can make to the assessment process	<p>How technology can be used to enhance the assessment process:</p> <ul style="list-style-type: none"> <li>• video evidence of skills/performance</li> <li>• recording of oral evidence</li> <li>• paperless portfolio</li> <li>• computer-based/on-line testing</li> </ul> <p><i>Holistic assessment opportunities</i></p> <p>If the candidate assessor is also attempting either of the following units:</p> <ul style="list-style-type: none"> <li>• <i>Assess occupational competence in the work environment</i></li> <li>• <i>Assess vocational skills, knowledge and understanding</i></li> </ul> <p>evidence for the above could come from a discussion with the candidate assessor about how they used technology to enhance the assessment process.</p>
	8.3 evaluate requirements for equality and diversity and, where appropriate, bilingualism in relation to assessment	<p>How legal and best practice requirements may have implications for the assessment process in regard to:</p> <ul style="list-style-type: none"> <li>• gender</li> <li>• disability</li> <li>• race/culture/religion</li> <li>• language</li> </ul>



## Unit 301 Understanding the Principles and Practices of Assessment

<b>Learning outcomes</b> <i>The candidate assessor will:</i>	<b>Assessment criteria</b> <i>The candidate assessor can:</i>	<b>Evidence Guidelines</b> <i>The candidate assessor provides evidence that they understand:</i>
		<p><i>Holistic assessment opportunities</i></p> <p>If the candidate assessor is also attempting either of the following units:</p> <ul style="list-style-type: none"> <li>• <i>Assess occupational competence in the work environment</i></li> <li>• <i>Assess vocational skills, knowledge and understanding</i></li> </ul> <p>evidence for the above could come from a discussion with the candidate assessor about how they took account of equality, diversity and bilingual requirements that affect the assessment process.</p>
	<p>8.4 explain the value of reflective practice and continuing professional development in the assessment process</p>	<p>How the assessor must:</p> <ul style="list-style-type: none"> <li>• continuously reflect on their assessment practice and ensure it meets legal, organisational and awarding body requirements</li> <li>• learn lessons from their assessment practice, interactions with learners, other assessors and those involved in the quality assurance and standardisation processes and improve what they do</li> <li>• maintain their occupational expertise by keeping up with changes in technology, working practices and standards in their sector</li> <li>• maintain their expertise in assessment by keeping up-to-date with new assessment standards, requirements and methods</li> </ul> <p><i>Holistic assessment opportunities</i></p> <p>If the candidate assessor is also attempting either of the following units:</p> <ul style="list-style-type: none"> <li>• <i>Assess occupational competence in the work environment</i></li> <li>• <i>Assess vocational skills, knowledge and understanding</i></li> </ul> <p>evidence for the above could come from a discussion with the candidate assessor about how they reflect on their assessment practice and maintain their occupational and assessment expertise.</p>

## Unit 302

## Assess Occupational Competence in the Work Environment

<b>Title:</b>	Assess Occupational Competence in the Work Environment
<b>Level:</b>	3
<b>Credit value:</b>	6
<b>General Guidance</b> This unit assesses a candidate assessor's competence in assessing the occupational competence of others. Primary evidence for the learning outcomes and assessment criteria must come from the candidate assessor assessing two real learners on two occasions in a real work environment against standards/criteria that are approved by the organisation. These standards/criteria may include national occupational standards, components of qualifications or in-house standards. Each assessment must be a substantial but realistic and manageable piece of a learner's work. The unit covers seven assessment methods in total. The candidate assessor must show that they have covered a minimum of three of these assessment methods in their real practice. The candidate assessor is allowed, if necessary, to provide other forms of evidence – for example through a statement or by discussion – to show how they would use the other assessment methods. <b>Evidence from this unit – in the form of statements and discussions – can be used as evidence for the following unit:</b> <i>301: Understanding the principles and practices of assessment</i>	

## Unit 302 Assess Occupational Competence in the Work Environment

### Terminology

Authentic	<i>Being the learner's own work.</i>
Equality	<i>A state of fair treatment that is the right of all the people regardless of differences in, for example, culture, ability, gender race, religion, wealth, sexual orientation, or any other group characteristic</i>
Diversity	<i>Acknowledging that each individual is unique and recognising our individual differences in, for example, culture, ability, gender, race, religion, wealth, sexual orientation, or any other individual characteristic.</i>
Evidence	<i>Evidence of a learner's knowledge, understanding, skill or competence that can be used to make a judgment of their achievement against agreed standards/criteria</i>
Learner	<i>The person being assessed by the candidate assessor</i>
Reliable	<i>Consistently achieves the same results with different assessors and the same (or similar) group of learners.</i>
Requirements	<i>These could be the requirements of the practitioner's own organisation or those of an external organisation, such as awarding organisation.</i>
Sufficient	<i>Enough evidence as specified in Evidence Requirements or Assessment Strategy.</i>
Valid	<i>Relevant to the standards/criteria against which the candidate is being assessed.</i>
Fair	<i>Ensuring that everyone has an equal chance of getting an objective and accurate assessment.</i>

## Unit 302 Assess Occupational Competence in the Work Environment

<b>Learning outcomes</b> <i>The candidate assessor will:</i>	<b>Assessment criteria</b> <i>The candidate assessor can:</i>	<b>Evidence</b> <i>The candidate assessor must provide the following:</i>	<b>Best Practice Guide</b> <i>To meet best practice standard the following should apply:</i>
1. Be able to plan the assessment of occupational competence	1.1 plan assessment of occupational competence based on the following methods: <ul style="list-style-type: none"> <li>• observation of performance in the work environment</li> <li>• examining products of work</li> <li>• questioning the learner</li> <li>• discussing with the learner</li> <li>• use of others (witness testimony)</li> <li>• looking at learner statements</li> <li>• recognising prior learning</li> </ul>	Products of work showing planning for two assessments of two learners (four assessments in total), covering as a minimum across the four assessments: <ul style="list-style-type: none"> <li>• observation of performance in the work environment</li> <li>• examining products of work</li> <li>• questioning the learner</li> </ul> If the candidate assessor's planning does not include the following assessment methods: <ul style="list-style-type: none"> <li>• discussing with the learner</li> <li>• use of others (witness testimony)</li> <li>• looking at candidate statements</li> <li>• recognising prior learning</li> </ul> they must show through a statement or by discussion how they would plan to use these assessment methods.	The candidate assessor's planning should include: <ul style="list-style-type: none"> <li>• identification of the standards/criteria to be used for assessment</li> <li>• reference to the assessment strategy if they are assessing a qualification</li> <li>• the types and sufficiency of evidence required – evidence of performance in the work environment, evidence of knowledge and/or understanding</li> <li>• how they will communicate with the learner and others involved in the assessment process</li> <li>• location and resources required for the assessment</li> <li>• time and duration of the assessment</li> <li>• specific learner needs and any support required</li> <li>• how they will manage the assessment process</li> <li>• how they will record assessment processes and decisions</li> <li>• how they will provide feedback to learner</li> </ul> In addition this could be confirmed by witness testimony

## Unit 302 Assess Occupational Competence in the Work Environment

<b>Learning outcomes</b> <i>The candidate assessor will:</i>	<b>Assessment criteria</b> <i>The candidate assessor can:</i>	<b>Evidence</b> <i>The candidate assessor must provide the following:</i>	<b>Best Practice Guide</b> <i>To meet best practice standard the following should apply:</i>
	1.2 communicate the purpose, requirements and processes of assessing occupational competence to the learner	Observation, products of work or witness testimony	Observation to include the candidate assessor briefing the learner ahead of the assessment. Products of work to include for example, notes, emails, recorded conversations. Witness testimony to include, for example, statements from the learner or learners' supervisor showing that the candidate assessor has communicated the purpose, requirements and processes of the assessment to the learner.
	1.3 plan the assessment of occupational competence to address learner needs and current achievements	As in 1.1 above	The candidate assessor should show – either through a statement or by discussion – that they have taken account of the learner's needs – for example, shift patterns, occasions when they are carrying out relevant work, any special support they may need. They should also show that they have taken account of learners' current achievements, for example by not planning to reassess something for which there is already sufficient evidence. In addition this could be confirmed by witness testimony
	1.4 Identify opportunities for holistic assessment	As in 1.1 above	The plans should show that the candidate assessor is planning to use techniques, such as holistic assessment and cross referencing, to make the best use of the evidence that is generated by the assessment occasion, rather than seeking separate pieces of evidence for each standard/criterion.

## Unit 302 Assess Occupational Competence in the Work Environment

<b>Learning outcomes</b> <i>The candidate assessor will:</i>	<b>Assessment criteria</b> <i>The candidate assessor can:</i>	<b>Evidence</b> <i>The candidate assessor must provide the following:</i>	<b>Best Practice Guide</b> <i>To meet best practice standard the following should apply:</i>
2. Be able to make assessment decisions about occupational competence	2.1 use valid, fair and reliable assessment methods including: <ul style="list-style-type: none"> <li>• observation of performance</li> <li>• examining products of work</li> <li>• questioning the learner</li> <li>• discussing with the learner</li> <li>• use of others (witness testimony)</li> <li>• looking at learner statements</li> <li>• recognising prior learning</li> </ul>	Observations showing two assessments of two learners (four assessments in total). The candidate assessor must use, as a minimum, the following assessment methods during these assessments: <ul style="list-style-type: none"> <li>• observation of performance in the work environment</li> <li>• examining products of work</li> <li>• questioning the learner</li> </ul> If the candidate assessor does not include the following assessment methods: <ul style="list-style-type: none"> <li>• discussing with the learner</li> <li>• use of others (witness testimony)</li> <li>• looking at candidate statements</li> <li>• recognising prior learning</li> </ul> they must show through a statement or by discussion how they would plan to use these assessment methods.	The candidate assessor should show, through a discussion or statement, how the assessment methods they have used are valid, fair and reliable in terms of the outcomes and criteria being used to assess the learner.

## Unit 302 Assess Occupational Competence in the Work Environment

<b>Learning outcomes</b> <i>The candidate assessor will:</i>	<b>Assessment criteria</b> <i>The candidate assessor can:</i>	<b>Evidence</b> <i>The candidate assessor must provide the following:</i>	<b>Best Practice Guide</b> <i>To meet best practice standard the following should apply:</i>
	2.2 make assessment decisions of occupational competence against specified criteria	As above	The candidate assessor should show, through a discussion or statement, how they have matched and measured evidence against the required outcomes/criteria. If they are assessing a qualification they should describe how they have complied with the assessment strategy for that qualification.
	2.3 follow standardisation procedures	As above	The candidate assessor should show, through a discussion or statement, how their assessment decisions conform to standardisation procedures within their organisation.
	2.4 provide feedback to learners that affirms achievement and identifies any further implications for learning, assessment and progression	Observation of feedback to learners on at least one occasion.	Feedback to learners should be clear, accurate and constructive, should identify progress and any further learning and assessment requirements.
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	Products of work in the form of assessment records completed by the candidate assessor.	Records should be accurate, meet the requirements of the organisation and, where appropriate, awarding organisation. This could also be confirmed by witness testimony
	3.2 make assessment information available to authorised colleagues	Products of work as above.	Products of work, for example, completed assessment records showing that the candidate assessor has followed all the required organisational and awarding organisation requirements for communicating and storing information about the four assessments to colleagues in the organisation. In addition this could be confirmed by witness testimony

## Unit 302 Assess Occupational Competence in the Work Environment

<b>Learning outcomes</b> <i>The candidate assessor will:</i>	<b>Assessment criteria</b> <i>The candidate assessor can:</i>	<b>Evidence</b> <i>The candidate assessor must provide the following:</i>	<b>Best Practice Guide</b> <i>To meet best practice standard the following should apply:</i>
	3.3 follow procedures to maintain the confidentiality of assessment information	Discussion or statement	The candidate assessor should explain – either through discussion or a statement – how they have complied with the requirements of the Data Protection Act and any additional organisational and awarding organisation requirements for confidentiality. In addition this could be confirmed by witness testimony
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	There must be evidence through the observations and associated products of work above that the candidate assessor has applied all relevant legal requirements – in particular for health, safety and welfare – and all relevant organisational policies and procedures.	This should be supported by the candidate assessor providing an explanation – either through discussion or a statement showing how they took account of relevant legal and organisational requirements. If they are assessing a qualification they should describe how they have complied with the assessment strategy for that qualification. In addition this could be confirmed by witness testimony
	4.2 apply requirements for equality and diversity and, where appropriate, bilingualism when assessing occupational competence	There must be evidence through the observations and associated products of work above that the candidate assessor has applied all relevant legal requirements for equality, diversity and, if appropriate (for example in Wales) for bilingualism, and all relevant organisational policies and procedures.	This should be supported by the candidate assessor providing an explanation – either through discussion or a statement showing how they took account of equality and diversity requirements.



## Unit 302 Assess Occupational Competence in the Work Environment

<b>Learning outcomes</b> <i>The candidate assessor will:</i>	<b>Assessment criteria</b> <i>The candidate assessor can:</i>	<b>Evidence</b> <i>The candidate assessor must provide the following:</i>	<b>Best Practice Guide</b> <i>To meet best practice standard the following should apply:</i>
	4.3 evaluate own work in carrying out assessments of occupational competence	Discussion or statement	There should be an explanation by the candidate assessor – either through a discussion or statement – as to how they have evaluated the four assessments they have carried out and what learning points they have identified.
	4.4 maintain the currency of own expertise and competence as relevant to own role in assessing occupational competence	Discussion or statement	There should be an explanation by the candidate assessor – either through a discussion or statement – as to how they will continue to reflect on their practice and plan and take part in continuing professional development in respect of both their occupational expertise in the sector and their competence as an assessor.

## Unit 303      Assess Vocational Skills, Knowledge and Understanding

<b>Title:</b>	Assess Vocational Skills, Knowledge and Understanding
<b>Level:</b>	3
<b>Credit value:</b>	6
<b>General Guidance</b> <p>This unit assesses a candidate assessor's competence in assessing a learner's vocational skills, knowledge and understanding in contexts other than a work environment, for example in a simulated environment, in a workshop or classroom. Primary evidence for the learning outcomes and assessment criteria must come from the candidate assessor assessing two real learners on two occasions against standards/criteria that are approved by the organisation. These standards/criteria may include components of qualifications or in-house training requirements.</p> <p>Each assessment must be a substantial but realistic and manageable piece of a learner's work.</p> <p>The unit covers seven assessment methods in total. The candidate assessor must show that they have covered a minimum of three of these assessment methods in their real practice. The candidate assessor is allowed, if necessary, to provide other forms of evidence – for example through a statement or by discussion – to show how they would use the other assessment methods.</p> <p><b>Evidence from this unit – in the form of statements and discussions – can be used as evidence for the following unit:</b></p> <p><i>301: Understanding the principles and practices of assessment</i></p>	

## Unit 303 Assess Vocational Skills, Knowledge and Understanding

### Terminology

Authentic	<i>Being the learner's own work.</i>
Equality	<i>A state of fair treatment that is the right of all the people regardless of differences in, for example, culture, ability, gender race, religion, wealth, sexual orientation, or any other group characteristic</i>
Diversity	<i>Acknowledging that each individual is unique and recognising our individual differences in, for example, culture, ability, gender, race, religion, wealth, sexual orientation, or any other individual characteristic.</i>
Evidence	<i>Evidence of a learner's knowledge, understanding, skill or competence that can be used to make a judgment of their achievement against agreed standards/criteria</i> <i>The person being assessed by the candidate assessor</i>
Learner	<i>Consistently achieves the same results with different assessors and the same (or similar) group of learners.</i>
Reliable	<i>These could be the requirements of the practitioner's own organisation or those of an external organisation, such as awarding organisation.</i>
Requirements	<i>Enough evidence as specified in Evidence Requirements or Assessment Strategy.</i>
Sufficient	<i>Relevant to the standards/criteria against which the candidate is being assessed.</i>
Valid	<i>Ensuring that everyone has an equal chance of getting an objective and accurate assessment.</i>
Fair	

## Unit 303 Assess Vocational Skills, Knowledge and Understanding

<b>Learning outcomes</b> <i>The candidate assessor will:</i>	<b>Assessment criteria</b> <i>The candidate assessor can:</i>	<b>Evidence</b> <i>The candidate assessor must provide the following:</i>	<b>Best Practice Guide</b> <i>To meet best practice standard the following should apply:</i>
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: <ul style="list-style-type: none"> <li>• assessments of the learner in simulated environments</li> <li>• skills tests</li> <li>• oral and written questions</li> <li>• assignments</li> <li>• projects</li> <li>• case studies</li> <li>• recognising prior learning</li> </ul>	Products of work showing planning for two assessments of two learners (four assessments in total), covering as a minimum (across the four assessments three of the methods under 1.1 opposite. If the candidate assessor's planning does not include the other methods listed in 1.1 opposite, they must show through a statement or by discussion how they would plan to use these assessment methods.	The candidate assessor should show, through a discussion or statement, how the assessment methods they are planning to use are consistent with e.g. Awarding Organisation requirements and meet the learner's needs in terms of their readiness for assessment and, where appropriate, their preferred learning/assessment styles.

## Unit 303 Assess Vocational Skills, Knowledge and Understanding

<b>Learning outcomes</b> <i>The candidate assessor will:</i>	<b>Assessment criteria</b> <i>The candidate assessor can:</i>	<b>Evidence</b> <i>The candidate assessor must provide the following:</i>	<b>Best Practice Guide</b> <i>To meet best practice standard the following should apply:</i>
	1.2 prepare resources and conditions for the assessment of vocational skills, knowledge and understanding	Products of work showing preparation of resources for two assessments of two learners (four assessments in total), covering as a minimum (across the four assessments) three of the methods under 1.1 above If the candidate assessor's planning does not include the other methods listed in 1.1 above, they must show through a statement or by discussion how they would plan to use these assessment methods.	The candidate assessor's preparation should include: <ul style="list-style-type: none"> <li>• the resources required for the assessment – for example, equipment and materials, instruction sheets, question papers etc.</li> <li>• the environment for the assessment and any controlled conditions, for example, those required for simulations</li> <li>• practical arrangements that may need to be made with other staff</li> </ul> In addition this could be confirmed by witness testimony
	1.3 communicate the purpose, requirements and processes of assessment of vocational skills, knowledge and understanding to learners	Observation, products of work or witness testimony	Observation to include the candidate assessor briefing the learner ahead of the assessment. Products of work to include for example, notes, emails, recorded conversations. Witness testimony to include, for example, statements from the learner or learners' supervisor showing that the candidate assessor has communicated the purpose, requirements and processes of the assessment to the learner.

## Unit 303 Assess Vocational Skills, Knowledge and Understanding

<b>Learning outcomes</b> <i>The candidate assessor will:</i>	<b>Assessment criteria</b> <i>The candidate assessor can:</i>	<b>Evidence</b> <i>The candidate assessor must provide the following:</i>	<b>Best Practice Guide</b> <i>To meet best practice standard the following should apply:</i>
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	Observations showing the management of two assessments of two learners (four assessments in total), covering as a minimum (across the four assessments) three of the methods under 1.1 above.  If the candidate assessor's planning does not include the other methods listed in 1.1 above, they must show through a statement or by discussion how they would plan to use these assessment methods.	Observations must confirm that the candidate assessor met all the e.g. Awarding Organisation requirements for the assessment, for example, ensuring the test conditions were appropriate, ensuring there was no collusion between learners.
	2.2 provide support to learners within agreed limitations	Observation or statement/discussion with candidate assessor.	This is a contingency situation. Observation of the candidate assessor, for example, providing clarification of a question or instruction (where permitted), replacing a faulty item of equipment, allowing extra time for a dyslexic learner (where permitted). If there is no opportunity for the candidate assessor to demonstrate this during the observations, a statement or discussion with the candidate assessor.  In addition this could be confirmed by witness testimony

## Unit 303 Assess Vocational Skills, Knowledge and Understanding

<b>Learning outcomes</b> <i>The candidate assessor will:</i>	<b>Assessment criteria</b> <i>The candidate assessor can:</i>	<b>Evidence</b> <i>The candidate assessor must provide the following:</i>	<b>Best Practice Guide</b> <i>To meet best practice standard the following should apply:</i>
	2.3 analyse evidence of learner achievement	Statement/discussion corroborated where necessary by a subject expert.	The candidate assessor should show, through a discussion or statement, how they have matched and measured evidence against the required standards/criteria. If the person assessing the candidate assessor is not a subject expert, there will need to be corroboration from, for example, a subject specialist assessor or internal verifier.
	2.4 make assessment decisions relating to vocational skills, knowledge and understanding against specified criteria	Statement/discussion corroborated where necessary by a subject expert.	The candidate assessor should show, through a discussion or statement, how they have made their assessment decisions against the required standards/criteria. If the person assessing the candidate assessor is not a subject expert, there will need to be corroboration from, for example, a subject specialist assessor or internal quality assurer (IQA).
	2.5 follow standardisation procedures	Statement/discussion corroborated where necessary.	The candidate assessor should show, through a discussion or statement, how their assessment decisions conform to standardisation procedures within their organisation. This could be corroborated by a witness testimony from the internal quality assurer (IQA).
	2.6 provide feedback to the learner that affirms achievement and any further implications for learning, assessment and progression	Observation of feedback to learners on at least one occasion.	Feedback to learners should be clear, accurate and constructive, should identify progress and any further learning and assessment requirements.

## Unit 303 Assess Vocational Skills, Knowledge and Understanding

<b>Learning outcomes</b> <i>The candidate assessor will:</i>	<b>Assessment criteria</b> <i>The candidate assessor can:</i>	<b>Evidence</b> <i>The candidate assessor must provide the following:</i>	<b>Best Practice Guide</b> <i>To meet best practice standard the following should apply:</i>
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	Products of work.	Assessment records showing that the candidate assessor has followed all the required organisational and awarding organisation requirements for recording assessments and assessment decisions. This could be corroborated by a witness testimony from the internal quality assurer (IQA).
	3.2 make assessment information available to authorised colleagues as required	Products of work.	Completed assessment records showing that the candidate assessor has followed all the required organisational and awarding organisation requirements for communicating and storing information about the four assessments to colleagues in the organisation. In addition this could be confirmed by witness testimony
	3.3 follow procedures for the confidentiality of assessment information	Discussion or statement	The candidate assessor should explain – either through discussion or a statement – how they have observed the requirements of the Data Protection Act and any additional organisational and awarding organisation requirements for confidentiality. In addition this could be confirmed by witness testimony



## Unit 303 Assess Vocational Skills, Knowledge and Understanding

<b>Learning outcomes</b> <i>The candidate assessor will:</i>	<b>Assessment criteria</b> <i>The candidate assessor can:</i>	<b>Evidence</b> <i>The candidate assessor must provide the following:</i>	<b>Best Practice Guide</b> <i>To meet best practice standard the following should apply:</i>
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	There must be evidence through the observations and associated products of work above that the candidate assessor has applied all relevant legal requirements – in particular for health, safety and welfare – and all relevant organisational policies and procedures.	This should be supported by the candidate assessor providing an explanation – either through discussion or a statement showing how they took account of relevant legal and organisational requirements. If they are assessing a qualification they should describe how they have complied with the assessment strategy for that qualification. In addition this could be confirmed by witness testimony
	4.2 apply requirements for equality and diversity and, where appropriate, bilingualism	There must be evidence through the observations and associated products of work above that the candidate assessor has applied all relevant legal requirements for equality, diversity and, if appropriate (for example in Wales) for bilingualism, and all relevant organisational policies and procedures.	This should be supported by the candidate assessor providing an explanation – either through discussion or a statement showing how they took account of equality and diversity requirements. In addition this could be confirmed by witness testimony
	4.3 evaluate own work in carrying out assessments of vocational skills, knowledge and understanding	Discussion or statement	There should be an explanation by the candidate assessor – either through a discussion or statement – as to how they have evaluated the four assessments they have carried out and what learning points they have identified.

## Unit 303 Assess Vocational Skills, Knowledge and Understanding

<b>Learning outcomes</b> <i>The candidate assessor will:</i>	<b>Assessment criteria</b> <i>The candidate assessor can:</i>	<b>Evidence</b> <i>The candidate assessor must provide the following:</i>	<b>Best Practice Guide</b> <i>To meet best practice standard the following should apply:</i>
	4.4 take part in continuing professional development to ensure current expertise and competence in assessing vocational skills, knowledge and understanding	Discussion or statement	There should be an explanation by the candidate assessor – either through a discussion or statement – as to how they will continue to reflect on their practice and plan and take part in continuing professional development in respect of both their occupational expertise in the sector and their competence as an assessor.

## Unit 401      Understanding the Principles and Practices of Internally Assuring the Quality of Assessment

<b>Title:</b>	Understanding the Principles and Practices of Internally Assuring the Quality of Assessment
<b>Level:</b>	4
<b>Credit value:</b>	6
<b>General Guidance</b> This unit assesses a candidate Internal Quality Assurer's (IQA) knowledge of the principles and practices of quality assurance in a learning and development context. Evidence for this unit could take the form of: <ul style="list-style-type: none"><li>• written statements or answers by the candidate Internal Quality Assurer (IQA)</li><li>• oral statements or answers by the candidate Internal Quality Assurer (IQA)</li><li>• discussions between the candidate IQA and their own assessor</li><li>• assignments, or</li><li>• projects</li></ul> <b>Considerable evidence could be generated for this unit in the form of statements and discussions if the candidate IQA attempts the following unit at the same time as this one:</b> <ul style="list-style-type: none"><li>• <i>Internally assure the quality of assessment</i></li></ul>	

## Unit 401 Understanding the Principles and Practices of Internally Assuring the Quality of Assessment

### Terminology

Authentic	<i>Being the learner's own work.</i>
Equality	<i>A state of fair treatment that is the right of all the people regardless of differences in, for example, culture, ability, gender race, religion, wealth, sexual orientation, or any other group characteristic</i>
Diversity	<i>Acknowledging that each individual is unique and recognising our individual differences in, for example, culture, ability, gender, race, religion, wealth, sexual orientation, or any other individual characteristic.</i>
Evidence	<i>Evidence of a learner's knowledge, understanding, skill or competence that can be used to make a judgment of their achievement against agreed standards/criteria</i>
Learner	<i>The person being assessed by the candidate assessor</i>
Reliable	<i>Consistently achieves the same results with different assessors and the same (or similar) group of learners.</i>
Requirements	<i>These could be the requirements of the practitioner's own organisation or those of an external organisation, such as awarding organisation.</i>
Sufficient	<i>Enough evidence as specified in Evidence Requirements or Assessment Strategy.</i>
Valid	<i>Relevant to the standards/criteria against which the candidate is being assessed.</i>
Fair	<i>Ensuring that everyone has an equal chance of getting an objective and accurate assessment.</i>

## Unit 401 Understanding the Principles and Practices of Internally Assuring the Quality of Assessment

<b>Learning outcomes</b> <i>The candidate internal quality assurer (IQA) will:</i>	<b>Assessment criteria</b> <i>The candidate internal quality assurer (IQA) can:</i>	<b>Evidence Guidelines</b> <i>The candidate internal quality assurer (IQA) provides evidence that they understand:</i>
1. Understand the context and principles of internal quality assurance	1.1 explain the functions of internal quality assurance in learning and development	The functions of: <ul style="list-style-type: none"> <li>• upholding employer, learner and public credibility and respect for the qualifications being delivered</li> <li>• ensuring quality in all learning delivery and assessment</li> <li>• ensuring assessors comply with the assessment strategy for the qualification they are assessing (if applicable)</li> <li>• ensuring the accuracy and consistency of assessment decisions between assessors operating in a centre</li> <li>• ensuring that assessors are consistent in their interpretation of the standards/outcome and criteria contained within the relevant qualifications</li> <li>• assessing and managing risk</li> <li>• monitoring the quality of training delivery and assessment.</li> <li>• identifying issues and trends</li> <li>• identifying assessor development needs</li> <li>• identifying assessment development opportunities</li> <li>• supporting and ensuring the continuing professional development of assessors</li> </ul>

## Unit 401 Understanding the Principles and Practices of Internally Assuring the Quality of Assessment

<b>Learning outcomes</b> <i>The candidate internal quality assurer (IQA) will:</i>	<b>Assessment criteria</b> <i>The candidate internal quality assurer (IQA) can:</i>	<b>Evidence Guidelines</b> <i>The candidate internal quality assurer (IQA) provides evidence that they understand:</i>
	1.2 explain the key concepts and principles of the internal quality assurance of assessment	The concepts and principles of ensuring: <ul style="list-style-type: none"> <li>• planning</li> <li>• sampling strategies</li> <li>• rationales for sampling</li> <li>• consistency</li> <li>• reliability</li> <li>• supporting assessors</li> <li>• developing assessors</li> </ul>
	1.3 explain the roles of practitioners involved in the internal and external quality assurance process	The roles and responsibilities of each of the following in the quality assurance process: <ul style="list-style-type: none"> <li>• the trainer</li> <li>• expert witness</li> <li>• other witnesses</li> <li>• the assessor</li> <li>• any independent assessor</li> <li>• internal quality assurance staff</li> <li>• external quality assurance staff</li> </ul>
	1.4 explain the regulations and requirements for internal quality assurance in own area of practice	The relevant sections of the regulations under which the qualifications fall, for example, the <i>Regulatory Arrangements for the Qualifications and Credit Framework</i> or the <i>NVQ Code of Practice</i> as they apply to the assessment and quality assurance of qualifications.

## Unit 401 Understanding the Principles and Practices of Internally Assuring the Quality of Assessment

<b>Learning outcomes</b> <i>The candidate internal quality assurer (IQA) will:</i>	<b>Assessment criteria</b> <i>The candidate internal quality assurer (IQA) can:</i>	<b>Evidence Guidelines</b> <i>The candidate internal quality assurer (IQA) provides evidence that they understand:</i>
2. Understand how to plan the internal quality assurance of assessment	2.1 evaluate the importance of planning and preparing internal quality assurance activities	<p>A clear explanation of the benefits of planning internal quality assurance and the risks to accuracy, validity, fairness and consistency in assessment practice if planning does not take place.</p> <p><i>Holistic assessment opportunities</i>            If the candidate IQA is also attempting the following unit:</p> <ul style="list-style-type: none"> <li>• <i>Internally assure the quality of assessment</i></li> </ul> <p>evidence for the above could come from a discussion with the candidate IQA about how they have planned and prepared internal quality assurance processes.</p>

## Unit 401 Understanding the Principles and Practices of Internally Assuring the Quality of Assessment

<b>Learning outcomes</b> <i>The candidate internal quality assurer (IQA) will:</i>	<b>Assessment criteria</b> <i>The candidate internal quality assurer (IQA) can:</i>	<b>Evidence Guidelines</b> <i>The candidate internal quality assurer (IQA) provides evidence that they understand:</i>
	2.2 explain what an internal quality assurance plan should contain	<p>Required timeframes and arrangements for:</p> <ul style="list-style-type: none"> <li>• assessment of risk</li> <li>• interim sampling of assessment decisions</li> <li>• summative sampling of assessment decisions</li> <li>• monitoring assessment practice</li> <li>• standardising assessment decisions</li> <li>• supporting assessors</li> </ul> <p>That planned sampling needs to take account of different types of:</p> <ul style="list-style-type: none"> <li>• candidates</li> <li>• assessors</li> <li>• assessment methods</li> <li>• evidence/elements</li> <li>• records</li> <li>• assessment sites</li> </ul> <p><i>Holistic assessment opportunities</i>            If the candidate IQA is also attempting the following unit:</p> <ul style="list-style-type: none"> <li>• <i>Internally assure the quality of assessment</i></li> </ul> <p>evidence for the above could come from the internal quality assurance plan that the candidate IQA has produced.</p>



## Unit 401 Understanding the Principles and Practices of Internally Assuring the Quality of Assessment

<b>Learning outcomes</b> <i>The candidate internal quality assurer (IQA) will:</i>	<b>Assessment criteria</b> <i>The candidate internal quality assurer (IQA) can:</i>	<b>Evidence Guidelines</b> <i>The candidate internal quality assurer (IQA) provides evidence that they understand:</i>
	2.3 summarise the preparations that need to be made for internal quality assurance, including: <ul style="list-style-type: none"> <li>• information collection</li> <li>• communications</li> <li>• administrative arrangements</li> <li>• resources</li> </ul>	<p>Explanation of the practical arrangements that internal quality assurance staff need to carry out in order to put the quality assurance plan into practice to meet the guidelines in 2.2 above</p> <hr/> <p><i>Holistic assessment opportunities</i></p> <p>If the candidate IQA is also attempting the following unit:</p> <ul style="list-style-type: none"> <li>• <i>Internally assure the quality of assessment</i></li> </ul> <p>evidence for the above could come from the internal quality assurance preparations that the candidate IQA has produced.</p>

## Unit 401 Understanding the Principles and Practices of Internally Assuring the Quality of Assessment

<b>Learning outcomes</b> <i>The candidate internal quality assurer (IQA) will:</i>	<b>Assessment criteria</b> <i>The candidate internal quality assurer (IQA) can:</i>	<b>Evidence Guidelines</b> <i>The candidate internal quality assurer (IQA) provides evidence that they understand:</i>
3. Understand techniques and criteria for monitoring the quality of assessment internally	3.1 evaluate different techniques for sampling evidence of assessment, including use of technology	<p>The benefits, requirements and differences between interim and summative sampling</p> <p>The varying uses of different types of sampling:</p> <ul style="list-style-type: none"> <li>• Vertical (sampling one unit or learning outcome across assessors or sites etc)</li> <li>• Horizontal (sampling something of all units or learning outcomes over a period of time)</li> <li>• Theme-based (sampling related to a particular activity)</li> </ul> <p>Benefits of different sampling techniques such as:</p> <ol style="list-style-type: none"> <li>1. Observations of assessors</li> <li>2. Discussions with candidates</li> <li>3. Discussions with witnesses</li> <li>4. Sampling products</li> <li>5. Sampling assessor records</li> </ol> <p>Sampling strategies to ensure reliability</p> <p>Different approaches to sampling according to factors including:</p> <ul style="list-style-type: none"> <li>• the types of assessment methods and evidence available</li> <li>• experience, workload and location of assessors involved</li> <li>• levels of complexity</li> <li>• level of experience and maturity of centre</li> <li>• 'problem' units</li> <li>• number of assessment sites</li> <li>• numbers of learners</li> <li>• types of records</li> <li>• availability of observation of assessors</li> </ul> <p>Use of information technology to store and sample evidence and assessment records</p>

## Unit 401 Understanding the Principles and Practices of Internally Assuring the Quality of Assessment

<b>Learning outcomes</b> <i>The candidate internal quality assurer (IQA) will:</i>	<b>Assessment criteria</b> <i>The candidate internal quality assurer (IQA) can:</i>	<b>Evidence Guidelines</b> <i>The candidate internal quality assurer (IQA) provides evidence that they understand:</i>
		<p><i>Holistic assessment opportunities</i></p> <p>If the candidate IQA is also attempting the following unit:</p> <ul style="list-style-type: none"> <li>• <i>Internally assure the quality of assessment</i></li> </ul> <p>evidence for the above could come from a discussion with the candidate IQA about how they have planned and prepared internal quality assurance processes.</p>
	<p>3.2 explain the appropriate criteria to use for judging the quality of the assessment process</p>	<p>How and why to select different assessment methods to check for:</p> <ul style="list-style-type: none"> <li>• validity</li> <li>• authenticity</li> <li>• sufficiency</li> <li>• currency of evidence</li> <li>• accuracy of assessment decisions</li> <li>• consistency of assessment decisions</li> <li>• assessor record keeping</li> </ul>
		<p><i>Holistic assessment opportunities</i></p> <p>If the candidate IQA is also attempting the following unit:</p> <ul style="list-style-type: none"> <li>• <i>Internally assure the quality of assessment</i></li> </ul> <p>evidence for the above could come from a discussion with the candidate IQA about how they have planned and prepared internal quality assurance processes.</p>

## Unit 401 Understanding the Principles and Practices of Internally Assuring the Quality of Assessment

<b>Learning outcomes</b> <i>The candidate internal quality assurer (IQA) will:</i>	<b>Assessment criteria</b> <i>The candidate internal quality assurer (IQA) can:</i>	<b>Evidence Guidelines</b> <i>The candidate internal quality assurer (IQA) provides evidence that they understand:</i>
4. Understand how to internally maintain and improve the quality of assessment	4.1 summarise the types of feedback, support and advice that assessors may need to maintain and improve the quality of assessment	<p>That feedback should be:</p> <ul style="list-style-type: none"> <li>• aimed at assessors and not learners</li> <li>• clear – leaving no ambiguity</li> <li>• based on facts</li> <li>• honest – identifying both the strengths and weaknesses of the assessors practice</li> <li>• specific and detailed</li> <li>• directly stating what is good practice and/or what needs to be changed</li> <li>• positive and constructive – focusing on how assessment practice can improve</li> <li>• helpful and supportive – pointing the assessor to useful resources and documents</li> <li>• strategic – seeking to improve the assessor’s performance over the long term</li> </ul> <hr/> <p><i>Holistic assessment opportunities</i>            If the candidate IQA is also attempting the following unit:</p> <ul style="list-style-type: none"> <li>• <i>Internally assure the quality of assessment</i></li> </ul> <p>some evidence for the above could come from a discussion with the candidate IQA about how they provided feedback and support.</p>

## Unit 401 Understanding the Principles and Practices of Internally Assuring the Quality of Assessment

<b>Learning outcomes</b> <i>The candidate internal quality assurer (IQA) will:</i>	<b>Assessment criteria</b> <i>The candidate internal quality assurer (IQA) can:</i>	<b>Evidence Guidelines</b> <i>The candidate internal quality assurer (IQA) provides evidence that they understand:</i>
	4.2 explain standardisation requirements in relation to assessment	<p>The importance of standardisation and the role it plays in quality assurance            The centre and awarding organisation's procedures for standardisation and how the internal quality assurance process should manage this.</p> <p><i>Holistic assessment opportunities</i>            If the candidate IQA is also attempting the following unit:</p> <ul style="list-style-type: none"> <li>• <i>Internally assure the quality of assessment</i></li> </ul> <p>some evidence for the above could come from a discussion with the candidate IQA about how they and why they have co-ordinated standardization processes.</p>
	4.3 explain relevant procedures regarding disputes about the quality of assessment	<p>The IQA role in disputes            The centre and awarding organisation's appeals procedures and the role of quality assurance in the appeals procedures.</p>
5. Understand how to manage information relevant to the internal quality assurance of assessment	5.1 evaluate requirements for information management, data protection and confidentiality in relation to the internal quality assurance of assessment	<p>The importance of record keeping in the assessment and quality assurance process and the safe and secure storage of records.            The relevant requirements on the quality assurance process in the centre for record keeping and management – including what information must be recorded.            The requirements of the quality assurance process for data protection and the rules governing confidentiality, for example what information is confidential and who is allowed access to it.</p>

## Unit 401 Understanding the Principles and Practices of Internally Assuring the Quality of Assessment

<b>Learning outcomes</b> <i>The candidate internal quality assurer (IQA) will:</i>	<b>Assessment criteria</b> <i>The candidate internal quality assurer (IQA) can:</i>	<b>Evidence Guidelines</b> <i>The candidate internal quality assurer (IQA) provides evidence that they understand:</i>
		<p><i>Holistic assessment opportunities</i></p> <p>If the candidate IQA is also attempting the following unit:</p> <ul style="list-style-type: none"> <li>• <i>Internally assure the quality of assessment</i></li> </ul> <p>some evidence for the above could come from a discussion with the candidate IQA about how they have managed information about the assessment and quality assurance process and how they have observed certain requirements.</p>
<p>6. Understand the legal and good practice requirements for the internal quality assurance of assessment</p>	<p>6.1 evaluate legal issues, policies and procedures relevant to the internal quality assurance of assessment, including those for health, safety and welfare</p>	<p>Legal requirements and the policies and procedures of own organisation and awarding organisation concerning:</p> <ul style="list-style-type: none"> <li>• health and safety, including learner emotional welfare</li> <li>• confidentiality</li> <li>• transparency</li> <li>• record keeping</li> <li>• security and safe storage of information</li> <li>• equal opportunities and diversity</li> </ul> <p><i>Holistic assessment opportunities</i></p> <p>If the candidate IQA is also attempting the following unit:</p> <ul style="list-style-type: none"> <li>• <i>Internally assure the quality of assessment</i></li> </ul> <p>some evidence for the above could come from a discussion with the candidate IQA about the legal issues and the centre's and awarding organisation's policies and procedures and how they have followed these in their internal quality assurance practice.</p>

## Unit 401 Understanding the Principles and Practices of Internally Assuring the Quality of Assessment

<b>Learning outcomes</b> <i>The candidate internal quality assurer (IQA) will:</i>	<b>Assessment criteria</b> <i>The candidate internal quality assurer (IQA) can:</i>	<b>Evidence Guidelines</b> <i>The candidate internal quality assurer (IQA) provides evidence that they understand:</i>
	6.2 evaluate different ways in which technology can contribute to the internal quality assurance of assessment	<p>How technology can be used to enhance the assessment and quality assurance process:</p> <ul style="list-style-type: none"> <li>• video evidence of skills/performance</li> <li>• recording of oral evidence</li> <li>• e-portfolios</li> <li>• computer-based/on-line testing</li> <li>• electronic management of records and evidence</li> <li>• virtual standardisation activities</li> <li>• electronic communication e.g. between assessors and learners</li> </ul> <hr/> <p><i>Holistic assessment opportunities</i></p> <p>If the candidate IQA is also attempting the following unit:</p> <ul style="list-style-type: none"> <li>• <i>Internally assure the quality of assessment</i></li> </ul> <p>some evidence for the above could come from a discussion with the candidate IQA about how they have used technology to enhance their internal quality assurance practice.</p>

## Unit 401 Understanding the Principles and Practices of Internally Assuring the Quality of Assessment

<b>Learning outcomes</b> <i>The candidate internal quality assurer (IQA) will:</i>	<b>Assessment criteria</b> <i>The candidate internal quality assurer (IQA) can:</i>	<b>Evidence Guidelines</b> <i>The candidate internal quality assurer (IQA) provides evidence that they understand:</i>
	6.3 explain the value of reflective practice and continuing professional development in relation to internal quality assurance	How staff involved in assessment and quality assurance must: <ul style="list-style-type: none"> <li>• ensure their practice is in line with the current NOS in assessment and/or quality assurance</li> <li>• continuously reflect on their practice and ensure it meets legal, organisational and awarding body requirements</li> <li>• learn lessons from their practice, interactions with learners, other assessors and those involved in the quality assurance and standardisation processes and improve what they do</li> <li>• maintain their occupational expertise by keeping up with changes in technology, working practices and standards in their sector</li> <li>• maintain their expertise in assessment and quality assurance by keeping up-to-date with new assessment standards, requirements and methods</li> </ul>
		<i>Holistic assessment opportunities</i> If the candidate IQA is also attempting the following unit: <ul style="list-style-type: none"> <li>• <i>Internally assure the quality of assessment</i></li> </ul> some evidence for the above could come from a discussion with the candidate IQA about how they have maintained their own occupational and quality assurance expertise and competence.



## Unit 401 Understanding the Principles and Practices of Internally Assuring the Quality of Assessment

<b>Learning outcomes</b> <i>The candidate internal quality assurer (IQA) will:</i>	<b>Assessment criteria</b> <i>The candidate internal quality assurer (IQA) can:</i>	<b>Evidence Guidelines</b> <i>The candidate internal quality assurer (IQA) provides evidence that they understand:</i>
	6.4 evaluate requirements for equality and diversity and, where appropriate, bilingualism, in relation to the internal quality assurance of assessment	<p>How legal and best practice requirements may have implications for the assessment and quality assurance process. Particularly in relation to issues of:</p> <ul style="list-style-type: none"> <li>• gender</li> <li>• disability</li> <li>• race/culture/religion</li> <li>• language</li> </ul> <hr/> <p><i>Holistic assessment opportunities</i>            If the candidate IQA is also attempting the following unit:</p> <ul style="list-style-type: none"> <li>• <i>Internally assure the quality of assessment</i></li> </ul> <p>some evidence for the above could come from a discussion with the candidate IQA about how they took account of equality and diversity issues and – where appropriate bilingualism – in their internal quality assurance work.</p>

## Unit 402 Internally Assure the Quality of Assessment

<b>Title:</b>	Internally Assure the Quality of Assessment
<b>Level:</b>	4
<b>Credit value:</b>	6
<b>General Guidance</b> This unit assesses a candidate IQA's competence in assuring the quality of assessment from within an assessment centre or organisation. Primary evidence for the learning outcomes and assessment criteria must come from the candidate IQA monitoring and quality assuring the work of two assessors, each with a minimum of two candidates of their own through components of a qualification. <b>Evidence from this unit – in the form of statements and discussions – can be used as evidence for the following unit:</b> <i>401: Understanding the principles and practices of internally assuring the quality of assessment</i>	

## Unit 402 Internally Assure the Quality of Assessment

### Terminology

Authentic	<i>Being the learner's own work.</i>
Equality	<i>A state of fair treatment that is the right of all the people regardless of differences in, for example, culture, ability, gender race, religion, wealth, sexual orientation, or any other group characteristic</i>
Diversity	<i>Acknowledging that each individual is unique and recognising our individual differences in, for example, culture, ability, gender, race, religion, wealth, sexual orientation, or any other individual characteristic.</i>
Evidence	<i>Evidence of a learner's knowledge, understanding, skill or competence that can be used to make a judgment of their achievement against agreed standards/criteria</i>
Learner	<i>The person being assessed by the candidate assessor</i>
Reliable	<i>Consistently achieves the same results with different assessors and the same (or similar) group of learners.</i>
Requirements	<i>These could be the requirements of the practitioner's own organisation or those of an external organisation, such as awarding organisation.</i>
Sufficient	<i>Enough evidence as specified in Evidence Requirements or Assessment Strategy.</i>
Valid	<i>Relevant to the standards/criteria against which the candidate is being assessed.</i>
Fair	<i>Ensuring that everyone has an equal chance of getting an objective and accurate assessment.</i>

## Unit 402 Internally Assure the Quality of Assessment

<b>Learning outcomes</b> <i>The candidate internal quality assurer (IQA) will:</i>	<b>Assessment criteria</b> <i>The candidate internal quality assurer (IQA) can:</i>	<b>Evidence</b> <i>The candidate internal quality assurer (IQA) must provide the following:</i>	<b>Best Practice Guide</b> <i>To meet best practice standard the following should apply:</i>
1. Be able to plan the internal quality assurance of assessment	1.1 plan monitoring activities according to the requirements of own role	Products of work showing a plan to monitor the work of two assessors each working with two learners to cover the components of a qualification.	<p>The candidate IQA's plan(s) should include:</p> <ul style="list-style-type: none"> <li>• risk assessment and approach to managing risk</li> <li>• monitoring of documentation, information and other resources provided to the assessors and learners</li> <li>• observation of assessors</li> <li>• sampling assessment plans and candidate induction</li> <li>• discussions with candidates and witnesses</li> <li>• sampling of products</li> <li>• monitoring the quality of assessment decisions</li> <li>• monitoring assessment record keeping and certification claims</li> <li>• evaluating the occupational and assessment competence of assessors</li> <li>• checking the continuing professional development of assessors</li> <li>• taking part in standardisation processes and activities</li> <li>• monitoring learner needs and progress reviews</li> <li>• checking the application of all relevant policies, including those for equality and diversity</li> </ul> <p>Planning should show regular activity over the period of assessment and not be targetted towards or at the end of the learning and assessment process.</p> <p>This could be confirmed by witness testimony</p>

## Unit 402 Internally Assure the Quality of Assessment

<b>Learning outcomes</b> <i>The candidate internal quality assurer (IQA) will:</i>	<b>Assessment criteria</b> <i>The candidate internal quality assurer (IQA) can:</i>	<b>Evidence</b> <i>The candidate internal quality assurer (IQA) must provide the following:</i>	<b>Best Practice Guide</b> <i>To meet best practice standard the following should apply:</i>
	1.2 make arrangements for internal monitoring activities to assure quality	Products of work showing practical arrangements to monitor the work of two assessors each working with two learners to cover the components of a qualification.	The candidate IQA's preparations should include: <ul style="list-style-type: none"> <li>• times and locations for observations and meetings with assessors</li> <li>• opportunities to feedback to assessors</li> <li>• arrangements for discussions with learners and witnesses</li> <li>• arrangements for portfolios and other forms of evidence</li> <li>• arrangements for assessment records</li> <li>• arrangements for information on assessors and learners</li> <li>• arrangements for standardisation activities</li> </ul> This could be confirmed by witness testimony
2. Be able to internally evaluate the quality of assessment	2.1 carry out internal monitoring activities to quality requirements	At least one observation supported by products of work showing monitoring of the work of two assessors each working with two learners to cover the components of a qualification.	Observation of the candidate IQA observing and giving feedback to assessor(s) who are carrying out assessment activities with learner(s) The candidate IQA has to demonstrate that all aspects of their monitoring and quality assurance plan has been followed through and that all centre and Awarding Organisation policies, procedures and criteria have been followed.

## Unit 402 Internally Assure the Quality of Assessment

<b>Learning outcomes</b> <i>The candidate internal quality assurer (IQA) will:</i>	<b>Assessment criteria</b> <i>The candidate internal quality assurer (IQA) can:</i>	<b>Evidence</b> <i>The candidate internal quality assurer (IQA) must provide the following:</i>	<b>Best Practice Guide</b> <i>To meet best practice standard the following should apply:</i>
	2.2 evaluate assessor expertise and competence in relation to the requirements of their role	Products of work, supported by at least one observation, showing how the candidate IQA has checked the expertise and competence of two assessors each working with two learners to cover the components of a qualification.	The candidate IQA should show, through a discussion or statement, what requirements they evaluated assessor expertise and competence against and how they carried out the evaluation.
	2.3 evaluate the planning and preparation of assessment processes	Products of work showing how the candidate IQA has evaluated the planning and preparation of assessments by two assessors each working with two learners to cover the components of a qualification.	The candidate IQA should show, through a discussion or statement, what they were looking for in their assessors' planning and preparation and how they determined whether planning and preparation were appropriate.
	2.4 determine whether assessment methods are safe, fair, valid and reliable	Products of work, supported by at least one observation, and discussions showing how the candidate IQA has checked the assessment methods used by two assessors each working with two learners to cover the components of a qualification.	Observation of the candidate IQA giving feedback to assessor(s) carrying out assessment activities with learner(s) The candidate IQA should show, through a discussion or statement, how they checked the safety, fairness, validity and reliability of the assessment methods used by their assessors.

## Unit 402 Internally Assure the Quality of Assessment

<b>Learning outcomes</b> <i>The candidate internal quality assurer (IQA) will:</i>	<b>Assessment criteria</b> <i>The candidate internal quality assurer (IQA) can:</i>	<b>Evidence</b> <i>The candidate internal quality assurer (IQA) must provide the following:</i>	<b>Best Practice Guide</b> <i>To meet best practice standard the following should apply:</i>
	2.5 determine whether assessment decisions are made using the specified criteria	Products of work supported by at least one observation and discussions showing how the candidate IQA has checked the assessment decisions by two assessors each working with two learners to cover the components of a qualification.	Observation of the candidate IQA giving feedback to assessor(s) carrying out assessment activities with learner(s) The candidate IQA should demonstrate through discussion how they evaluated the assessment decisions made by their assessors and determined whether or not they met agreed criteria for the learners' qualification.
	2.6 compare assessor decisions to ensure they are consistent	Products of work supported by discussions showing how the candidate IQA has checked the assessment decisions by two assessors each working with two learners to cover the components of a qualification.	The candidate IQA should demonstrate through discussion how they compared assessment decisions made by the same assessor across different learners to ensure that they were operating in a consistent manner. They should also demonstrate how they have compared the assessment decisions of a number of assessors to ensure consistency between them.

## Unit 402 Internally Assure the Quality of Assessment

<b>Learning outcomes</b> <i>The candidate internal quality assurer (IQA) will:</i>	<b>Assessment criteria</b> <i>The candidate internal quality assurer (IQA) can:</i>	<b>Evidence</b> <i>The candidate internal quality assurer (IQA) must provide the following:</i>	<b>Best Practice Guide</b> <i>To meet best practice standard the following should apply:</i>
3. Be able to internally maintain and improve the quality of assessment	3.1 provide assessors with feedback, advice and support, including professional development opportunities, which help them to maintain and improve the quality of assessment	Products of work in the form of records of meetings between the candidate IQA and both assessors, supported by an observation of feedback sessions with different assessors.	Observation of the candidate IQA giving feedback and guidance to assessor(s) Records of meetings and observations should show that the candidate IQA: <ul style="list-style-type: none"> <li>• specifies the evidence used, assessments carried out and records made by the assessors</li> <li>• is specific about strengths and weaknesses in terms of the quality of planning, evidence, observations, assessment decisions and records</li> <li>• provides constructive criticism which praises the strengths and is honest and clear about areas where changes of practice are required</li> <li>• provides specific advice on how the assessment practice could be developed and improved further</li> <li>• highlights opportunities for continuing professional development for the assessors</li> </ul> If the candidate IQA does not identify specific areas for change or development in the assessors' practice, they will demonstrate through discussion what types of assessment practice issues they might encounter and what forms of feedback, advice and support they would provide, including CPD opportunities.



## Unit 402 Internally Assure the Quality of Assessment

<b>Learning outcomes</b> <i>The candidate internal quality assurer (IQA) will:</i>	<b>Assessment criteria</b> <i>The candidate internal quality assurer (IQA) can:</i>	<b>Evidence</b> <i>The candidate internal quality assurer (IQA) must provide the following:</i>	<b>Best Practice Guide</b> <i>To meet best practice standard the following should apply:</i>
	apply procedures to standardise assessment practices and outcomes	Products of work in the form of meeting records showing the candidate IQA has taken part in standardisation processes within the centre on at least two occasions.	Products of work should demonstrate that the candidate IQA has participated in standardisation processes and activities within the centre and has worked with assessors (and other IQAs if applicable) to achieve a common interpretation of criteria, standardised assessment decisions and identified areas for improvement. This could be confirmed by witness testimony
4. Be able to manage information relevant to the internal quality assurance of assessment	4.1 apply procedures for recording, storing and reporting information relating to internal quality assurance	There must be evidence through products of work in the form of records appropriately stored by the candidate IQA and reports they have produced.	Records must be completed according to centre and awarding organisation requirements. These must be stored in a way that meets awarding organisation and centre requirements. This could be confirmed by witness testimony. The candidate IQA must produce at least one report (for their line manager/organisation) outlining and reporting back on their monitoring and other QA activities.
	4.2 follow procedures to maintain confidentiality of internal quality assurance information	Products of work and discussion.	Records and reports must be securely stored, enabling access to authorised personnel only. There should also be a discussion with the candidate IQA or a statement from them outlining the confidentiality requirements and how they go about maintaining these. This could also be confirmed by witness testimony

## Unit 402 Internally Assure the Quality of Assessment

<b>Learning outcomes</b> <i>The candidate internal quality assurer (IQA) will:</i>	<b>Assessment criteria</b> <i>The candidate internal quality assurer (IQA) can:</i>	<b>Evidence</b> <i>The candidate internal quality assurer (IQA) must provide the following:</i>	<b>Best Practice Guide</b> <i>To meet best practice standard the following should apply:</i>
5. Be able to maintain legal and good practice requirements when internally monitoring and maintaining the quality of assessment	5.1 apply relevant policies, procedures and legislation in relation to internal quality assurance, including those for health, safety and welfare	Records of observations of assessment practice, products of work and discussion.	All observations and products of work must confirm that the candidate IQA has followed all relevant centre and awarding organisation policies and procedures and any appropriate legislation. This should include health and safety. This evidence should be supported by a discussion or statement from the candidate IQA about the key policies, procedures and areas of legislation that they should follow and an explanation as to how they do this. This could be confirmed by witness testimony
	5.2 apply requirements for equality and diversity and, where appropriate, bilingualism, in relation to internal quality assurance	Records of observations of assessment practice ,products of work supported by discussion or statement	All observations and products of work must confirm that the candidate IQA has followed all relevant centre and awarding organisation policies and procedures and any appropriate legislation in regard to equality and diversity. This evidence should be supported by a discussion or statement from the candidate IQA about equality and diversity in the assessment and QA process and what constitutes good practice in regard to these. This could be confirmed by witness testimony
	5.3 critically reflect on own practice in internally assuring the quality of assessment	Discussion or statement	There should be an explanation by the candidate IQA – either through a discussion or statement – as to how they will continue to reflect on their practice and plan and take part in continuing professional development in respect of both their occupational expertise in the sector and their competence in assessment and quality assurance.

## Unit 402 Internally Assure the Quality of Assessment

<b>Learning outcomes</b> <i>The candidate internal quality assurer (IQA) will:</i>	<b>Assessment criteria</b> <i>The candidate internal quality assurer (IQA) can:</i>	<b>Evidence</b> <i>The candidate internal quality assurer (IQA) must provide the following:</i>	<b>Best Practice Guide</b> <i>To meet best practice standard the following should apply:</i>
	5.4 maintain the currency of own expertise and competence in internally assuring the quality of assessment	Documentation outlining actions taken to maintain own CPD and competence	CPD records, attendance records, certificates showing how candidate IQA has maintained currency of expertise and competence.

## Unit 403

## Plan, Allocate and Monitor Work in Own Area of Responsibility

<b>Title:</b>	Plan, allocate and monitor work in own area of responsibility	
<b>Level:</b>	4	
<b>Credit value:</b>	5	
	<b>In the 6317 series this unit is for candidates who plan allocate and monitor work done by other IQAs. The area of responsibility would be that of managing or co-ordinating the quality assurance in the organisation through managing the work of a team of IQAs.</b>	
<b>Learning outcomes</b> <i>The candidate internal quality assurer (IQA) will:</i>	<b>Assessment criteria</b> <i>The candidate internal quality assurer (IQA) can:</i>	<b>Best Practice Guide</b> <i>To meet best practice standard the following should apply:</i>
1 Be able to produce a work plan for own area of responsibility.	1.1 Explain the context in which work is to be undertaken.	Lead IQA explains the context of the strategic IQA plan they will produce for the IQA team members who carry out internal quality assurance in the centre.
	1.2 Identify the skills base and the resources available	Lead IQA carries out training needs analyses or other skills checks with the IQA team members. Lead IQA agrees with IQA team members an allocation of time and materials e.g. IQA sample plans, records, learner work etc.
	1.3 Examine priorities and success criteria needed for the team.	Lead IQA identifies and communicates the priorities for the IQA team. Lead IQA identifies what will be considered successful outcomes from the planned internal quality assurance the team will carry out.
	1.4 Produce a work plan for own area of responsibility	Lead IQA produces a strategic IQA plan for the internal quality assurance that the IQA team will implement in the centre.

2 Be able to allocate and agree responsibilities with team members.	2.1 Identify team members' responsibilities for identified work activities.	Lead IQA outlines which IQA is responsible for which part of the strategic IQA plan.
	2.2 Agree responsibilities and SMART (Specific, Measurable, Achievable, Realistic and Time-bound) objectives with team members.	Lead IQA agrees specific individual work plans with each IQA team member. The Lead IQA plan agrees SMART objectives with each IQA in the team.
3 Be able to monitor the progress and quality of work in own area of responsibility and provide feedback.	3.1 Identify ways to monitor progress and quality of work.	Lead IQA identifies points in the strategic IQA plan where they will monitor the work being carried out by the IQA team members. Lead IQA identifies methods for monitoring the work being carried out by the IQA team members.
	3.2 Monitor and evaluate progress against agreed standards and provide feedback to team members	Lead IQA monitors the work being carried out by the IQA team members against the strategic IQA plan and the IQA standards. Lead IQA gives the IQA team members feedback on their internal quality assurance activities.
4 Be able to review and amend plans of work for own area of responsibility and communicate changes.	4.1 Review and amend work plan where changes are needed.	Lead IQA reviews strategic IQA plan in light of progress or issues identified during monitoring IQA team members. Lead IQA amends strategic IQA plan produced for AC1.4.
	4.2 Communicate changes to team members.	Lead IQA informs IQA team of changes to strategic IQA plan produced for AC1.4.

## Unit 403 Plan, Allocate and Monitor Work in Own Area of Responsibility

Additional information about the unit	
Unit aim(s)	This unit helps learners to plan, allocate and monitor work in own area of responsibility, and make any necessary changes to original work plans.
Unit expiry date	28/02/2015
Details of the relationship between the unit and relevant national occupational standards (if appropriate)	MSC D6 Allocate and monitor the progress and quality of work in your area of responsibility
Details of the relationship between the unit and other standards or curricula (if appropriate)	
Assessment requirements specified by a sector or regulatory body (if appropriate)	
Endorsement of the unit by a sector or other appropriate body (if required)	Management Standards Centre
Location of the unit within the subject/sector classification system	15.3
Name of the organisation submitting the unit	LLUK
Availability for use	Shared
Guided Learning Hours	25

## Appendix 1 Sources of general information

The following documents contain essential information for centres delivering City & Guilds qualifications. They should be referred to in conjunction with this handbook. To download the documents and to find other useful documents, go to the **Centres and Training Providers homepage** on [www.cityandguilds.com](http://www.cityandguilds.com).

***Providing City & Guilds qualifications – a guide to centre and qualification approval*** contains detailed information about the processes which must be followed and requirements which must be met for a centre to achieve ‘approved centre’ status, or to offer a particular qualification. Specifically, the document includes sections on:

- The centre and qualification approval process and forms
- Assessment, verification and examination roles at the centre
- Registration and certification of candidates
- Non-compliance
- Complaints and appeals
- Equal opportunities
- Data protection
- Frequently asked questions.

***Ensuring quality*** contains updates and good practice exemplars for City & Guilds assessment and policy issues. Specifically, the document contains information on:

- Management systems
- Maintaining records
- Assessment
- Internal verification and quality assurance
- External verification

***Access to Assessment & Qualifications*** provides full details of the arrangements that may be made to facilitate access to assessments and qualifications for candidates who are eligible for adjustments in assessment.

The **centre homepage** section of the City & Guilds website also contains useful information such on such things as:

- ***Walled Garden***  
Find out how to register and certificate candidates on line
- ***Events***  
Contains dates and information on the latest Centre events
- ***Online assessment***  
Contains information on how to register for GOLA assessments

## Useful contacts

Type	Contact	Query
UK learners	T: +44 (0)844 543 0033 E: learnersupport@cityandguilds.com	<ul style="list-style-type: none"> <li>• General qualification information</li> </ul>
International learners	T: +44 (0)20 7294 2885 F: +44 (0)20 7294 2413 E: intcg@cityandguilds.com	<ul style="list-style-type: none"> <li>• General qualification information</li> </ul>
Centres	T: +44 (0)844 543 0000 F: +44 (0)20 7294 2413 E: centresupport@cityandguilds.com	<ul style="list-style-type: none"> <li>• Exam entries</li> <li>• Registrations/enrolment</li> <li>• Certificates</li> <li>• Invoices</li> <li>• Missing or late exam materials</li> <li>• Nominal roll reports</li> <li>• Results</li> </ul>
Single subject qualifications	T: +44 (0)844 543 0000 F: +44 (0)20 7294 2413 F: +44 (0)20 7294 2404 (BB forms) E: singlesubjects@cityandguilds.com	<ul style="list-style-type: none"> <li>• Exam entries</li> <li>• Results</li> <li>• Certification</li> <li>• Missing or late exam materials</li> <li>• Incorrect exam papers</li> <li>• Forms request (BB, results entry)</li> <li>• Exam date and time change</li> </ul>
International awards	T: +44 (0)20 7294 2885 F: +44 (0)20 7294 2413 E: intops@cityandguilds.com	<ul style="list-style-type: none"> <li>• Results</li> <li>• Entries</li> <li>• Enrolments</li> <li>• Invoices</li> <li>• Missing or late exam materials</li> <li>• Nominal roll reports</li> </ul>
Walled Garden	T: +44 (0)844 543 0000 F: +44 (0)20 7294 2405 E: walledgarden@cityandguilds.com	<ul style="list-style-type: none"> <li>• Re-issue of password or username</li> <li>• Technical problems</li> <li>• Entries</li> <li>• Results</li> <li>• GOLLA</li> <li>• Navigation</li> <li>• User/menu option problems</li> </ul>
Employer	T: +44 (0)121 503 8993 E: business_unit@cityandguilds.com	<ul style="list-style-type: none"> <li>• Employer solutions</li> <li>• Mapping</li> <li>• Accreditation</li> <li>• Development Skills</li> <li>• Consultancy</li> </ul>
Publications	T: +44 (0)844 543 0000 T: +44 (0)844 543 0033 F: +44 (0)20 7294 3387	<ul style="list-style-type: none"> <li>• Logbooks</li> <li>• Centre documents</li> <li>• Forms</li> <li>• Free literature</li> </ul>

If you have a complaint, or any suggestions for improvement about any of the services that City & Guilds provides, email: [feedbackandcomplaints@cityandguilds.com](mailto:feedbackandcomplaints@cityandguilds.com)



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