



Assessing Competence and Vocational Achievement



Qualifications Handbook

SFJ Awards Level 3 Award in Understanding the Principles and Practices of Assessment

Qualification No: 600/7643/4

SFJ Awards Level 3 Award in Assessing Competence in the Work Environment

Qualification No: 600/6542/4

SFJ Awards Level 3 Award in Assessing Vocationally Related Achievement

Qualification No: 600/7644/6

SFJ Awards Level 3 Certificate in Assessing Vocational Achievement

Qualification No: 600/7261/1

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V9	07.06.18	Update guidance for Section 4.7.1 Observation (Methods for Assessing Competence)	16
V8	05.03.18	<ul style="list-style-type: none"> Minor amends to wording in unit guidance for clarification Additional guidance for LO2 unit H/601/5314 Assess Occupational Competence in the Work Environment Change to wording in guidance for LO2 unit F/601/5319 Assess Vocational Skills, Knowledge and Understanding 	22-36 27 32
V7	30.11.17	Update guidance in unit Understanding the Principles and Practices of Assessment	21-25
		Update SFJ Awards branding	Cover
V6	20.07.17	Amend Section 4.1 Qualification Assessment Methods re countersigning	11
V5	19.07.17	Amend Section 4.1 Qualification Assessment Methods (no change to requirements)	11
V4	18.07.17	Additional information from the Education and Training Foundation Guidance	Various
		Add Total Qualification Time	8
		Update Section 2.11 Use of Languages	9
		Update Centre Requirements section (no change to requirements)	10
		Update Section 4 Assessment (no change to requirements)	11-20
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1 Introduction

1.1 About us

SFJ Awards is part of the Skills for Health and Justice Group. For over 10 years Skills for Justice and Skills for Health have been working with employers, Governments of the UK and agencies within the skills system, to better equip workforces with the right skills now and for the future.

During this time Skills for Justice and Skills for Health have earned an enviable reputation for their knowledge of the sectors and their proactive approach to the development of skills and qualifications, along with an ability to deliver genuinely workable solutions for the employers they represent.

SFJ Awards is an awarding organisation that builds upon this reputation, and understands the specific challenges facing the Policing, Community Safety, Legal, Armed Forces and Health sectors, enabling us to quality assure learning outcomes that are suited to the needs of the sectors.

1.2 Customer Service Statement

Our Customer Service Statement is published on SFJ Awards website giving the minimum level of service that Centres can expect. The Statement will be reviewed annually and revised as necessary in response to customer feedback, changes in legislation, and guidance from the qualifications Regulators.

1.3 Centre Support

SFJ Awards works in partnership with its customers. For help or advice contact:

SFJ Awards
Consult House
Meadowcourt Business Park
4 Hayland Street
Sheffield
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Tel: 0114 284 1970

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Website: www.sfjawards.com

2 The Qualifications

This handbook relates to the following qualifications for assessors:

- SFJ Awards Level 3 Award in Understanding the Principles and Practices of Assessment
- SFJ Awards Level 3 Award in Assessing Competence in the Work Environment
- SFJ Awards Level 3 Award in Assessing Vocationally Related Achievement
- SFJ Awards Level 3 Certificate in Assessing Vocational Achievement

All of the qualifications include a unit that covers the essential knowledge and understanding that assessors need. In addition, three of the qualifications include one or more units that describe competent assessment practice.

These qualifications are aimed at people who work in, or are planning to undertake, roles in assessment. Those new to assessment and hoping to become assessors can take the first unit and gain an understanding of assessment principles and practices even before they are in a position to assess learners. When they are ready to practice, they can attempt additional relevant unit/s and become qualified in the areas specified by the qualification title. Individuals who are in a position to carry out real assessments can undertake both units at the same time and use evidence in a holistic way.

In addition, individuals who need to know about assessment, but never intend to practise as assessors (e.g. some managers) are able to learn about the essential principles and practices. Such individuals would gain the Award in Understanding the Principles and Practices of Assessment.

2.1 Overall Objective for the Qualifications

These qualifications will enable the learner to update and continue professional development, and to develop knowledge and skills relevant to assessment practice.

2.2 Pre-entry Requirements

There are no pre-entry requirements for enrolling to complete the following qualification:

- Level 3 Award in Understanding the Principles and Practices of Assessment

However, learners must be fully competent practitioners and where applicable, hold the relevant practitioner qualifications in the work area in which they are seeking to become assessors for the following qualifications:

- Level 3 Award in Assessing Competence in the Work Environment
- Level 3 Award in Assessing Vocationally Related Achievement
- Level 3 Certificate in Assessing Vocational Achievement

2.3 Summary of the Level 3 Assessment Qualifications

<p>Level 3 Award in Understanding the Principles and Practices of Assessment (3 credits)</p> <div style="border: 1px solid black; padding: 5px; width: fit-content;"> <p>Unit 301: Understanding the Principles and Practices of Assessment (3 credits)</p> </div>	<p>A knowledge-only Award aimed at those beginning an assessor role and those who need to know about assessment practice but who are not practising, such as those who wish to become assessors, quality assurance staff or managers.</p>
<p>Level 3 Award in Assessing Competence in the Work Environment (9 credits)</p> <div style="display: flex; justify-content: space-between;"> <div style="border: 1px solid black; padding: 5px; width: 45%;"> <p>Unit 301: Understanding the Principles and Practices of Assessment (3 credits)</p> </div> <div style="border: 1px solid black; padding: 5px; width: 45%;"> <p>Unit 302: Assess Occupational Competence in the Work Environment (6 credits)</p> </div> </div>	<p>For assessors who assess competence in a work environment, which requires the use of the following assessment methods: observation, examining work products or outputs, oral questioning, discussion, use of witness testimony, learner statements and Recognition of Prior Learning (RPL).</p>
<p>Level 3 Award in Assessing Vocationally Related Achievement (9 credits)</p> <div style="display: flex; justify-content: space-between;"> <div style="border: 1px solid black; padding: 5px; width: 45%;"> <p>Unit 301: Understanding the Principles and Practices of Assessment (3 credits)</p> </div> <div style="border: 1px solid black; padding: 5px; width: 45%;"> <p>Unit 303: Assess Vocational Skills, Knowledge and Understanding (6 credits)</p> </div> </div>	<p>For assessors who assess knowledge and/or skills in vocationally-related areas using the following assessment methods: tests of skills, oral questioning, written questions, case studies, assignments, projects and RPL.</p> <p>Assessment may take place in a range of learning environments, such as simulated environments, training workshops and classrooms.</p>
<p>Level 3 Certificate in Assessing Vocational Achievement (15 credits)</p> <div style="display: flex; justify-content: space-between;"> <div style="border: 1px solid black; padding: 5px; width: 30%;"> <p>Unit 301: Understanding the Principles and Practices of Assessment (3 credits)</p> </div> <div style="border: 1px solid black; padding: 5px; width: 30%;"> <p>Unit 302: Assess Occupational Competence in the Work Environment (6 credits)</p> </div> <div style="border: 1px solid black; padding: 5px; width: 30%;"> <p>Unit 303: Assess Vocational Skills, Knowledge and Understanding (6 credits)</p> </div> </div>	<p>For assessors who may use all of the above assessment methods in a wide range of settings.</p>

2.4 Units and Rules of Combination

2.4.1 Level 3 Award in Understanding the Principles and Practices of Assessment

This qualification consists of a knowledge-based unit and is aimed at those wanting to gain an understanding of assessment without the need to practise. The qualification comprises one mandatory unit giving learners a total of 3 credits.

Unit Number	Ofqual Reference	Unit Title	Level	Credit Value
301	D/601/5313	Understanding the Principles and Practices of Assessment	3	3

2.4.2 Level 3 Award in Assessing Competence in the Work Environment

This qualification is for assessors who assess occupational competence using naturally occurring evidence from work. The qualification comprises two mandatory units giving learners a total of 9 credits.

Unit Number	Ofqual Reference	Unit Title	Level	Credit Value
301	D/601/5313	Understanding the Principles and Practices of Assessment	3	3
302	H/601/5314	Assess Occupational Competence in the Work Environment	3	6

2.4.3 Level 3 Award in Assessing Vocationally Related Achievement

This qualification is for assessors who assess vocational skills, knowledge and understanding outside of the work environment. The qualification comprises two mandatory units giving learners a total of 9 credits.

Unit Number	Ofqual Reference	Unit Title	Level	Credit Value
301	D/601/5313	Understanding the Principles and Practices of Assessment	3	3
303	F/601/5319	Assess Vocational Skills, Knowledge and Understanding	3	6

2.4.4 Level 3 Certificate in Assessing Vocational Achievement

This qualification is for assessors who carry out assessments in all environments. The qualification comprises three mandatory units giving learners a total of 15 credits.

Unit Number	Ofqual Reference	Unit Title	Level	Credit Value
301	D/601/5313	Understanding the Principles and Practices of Assessment	3	3
302	H/601/5314	Assess Occupational Competence in the Work Environment	3	6
303	F/601/5319	Assess Vocational Skills, Knowledge and Understanding	3	6

The detailed content of each of the units in the above qualifications is provided in Section 5.

2.5 Total Qualification Time (TQT)

Total Qualification Time comprises of the following two elements.¹

- (a) The number of hours which an awarding organisation has assigned to a qualification for Guided Learning, and
- (b) An estimate of the number of hours a Learner will reasonably be likely to spend in preparation, study or any other form of participation in education or training, including assessment, which takes place as directed by – but, unlike Guided Learning, not under the immediate guidance or supervision of – a lecturer, supervisor, tutor or other appropriate provider of education or training.

The Total Qualification Time for these qualifications is as follows:

Qualification Title	TQT	GLH
Level 3 Award in Understanding the Principles and Practices of Assessment	30	24
Level 3 Award in Assessing Competence in the Work Environment	90	54
Level 3 Award in Assessing Vocationally Related Achievement	90	54
Level 3 Certificate in Assessing Vocational Achievement	150	84

¹ Total Qualification Time criteria, Ofqual September 2015
<https://www.gov.uk/government/publications/total-qualification-time-criteria>

2.6 Age Restriction

These qualifications are available to learners aged 18+ years.

2.7 Opportunities for Progression

There is no progression route through these qualifications as learners may choose to work towards those qualifications which are most relevant to their circumstances. It may be that some learners complete the Level 3 Award in Understanding Principles and Practices of Assessment and then decide to work towards one of the competence based qualifications, but this is not a requirement.

Once learners have become qualified they may wish to progress into an Internal Quality Assurance (IQA) role and there is a further suite of qualifications available covering this area. As these qualifications are linked with the Learning and Development suite of qualifications, learners may consider progression to the Level 3 Certificate or Level 4 Diploma in Learning and Development.

2.8 Exemption

No exemptions have been identified.

2.9 Credit Transfer

Credits from identical units that have already been achieved by the learner may be transferred.

2.10 Use of Languages

SFJ Awards business language is English and we provide assessment materials and qualification specifications that are expressed in English. Assessment specifications and assessment materials may be requested in Welsh or Irish and, where possible, SFJ Awards will try to fulfil such requests. SFJ Awards will provide assessment materials and qualification specifications that are expressed in Welsh or Irish and support the assessment of those learners, where the number of learners makes it economically viable for SFJ Awards to do so. More information is provided in the SFJ Awards' Use of Language Policy.

For learners seeking to take a qualification and be assessed in British Sign Language or Irish Sign Language, please refer to SFJ Awards' Reasonable Adjustments Policy. A learner may be assessed in British Sign Language or Irish Sign Language where it is permitted by SFJ Awards for the purpose of Reasonable Adjustment.

Policies are available on our website www.sfjawards.com or on request from SFJ Awards.

3 Centre Requirements

Centres must be approved by SFJ Awards and also have approval to deliver the qualifications they wish to offer. This is to ensure centres have the processes and resources in place to deliver the qualifications. Approved centres must adhere to the requirements detailed in the SFJ Awards Centre Handbook, which includes information for centres on assessment and internal quality assurance processes and procedures and is available in the centres' area of the SFJ Awards website <http://sfjawards.com/approved-centres>.

Centres are responsible for ensuring that their assessor and internal quality assurance staff:

- are occupationally competent and/or knowledgeable as appropriate to the assessor or IQA role they are carrying out
- have current experience of assessing/internal quality assuring as appropriate to the assessor or IQA role they are carrying out, and
- have access to appropriate training and support.

Information on the induction and continuing professional development of those carrying out assessment and internal quality assurance must be made available by centres to SFJ Awards through the external quality assurance process.

This qualification handbook should be used in conjunction with the SFJ Awards Centre Handbook, the SFJ Awards Assessment Policy and the SFJ Awards Quality Assurance (Internal and External) Policy. All policies are available on the website www.sfjawards.com or on request from SFJ Awards.

4 Assessment

Assessment requirements for individual units, where applicable, are included in Section 5: Qualification Units.

4.1 Qualification Assessment Methods and Guidance

Assessment methods that can be used for these qualifications are as follows.

Coursework, E-assessment, Multiple Choice Examination, Oral Examination, Portfolio of Evidence, Practical Demonstration/Assignment, Practical Examination, Written Examination

Portfolios of evidence can include for example records of professional discussions, question and answer sessions, and reflective accounts.

Please note that the decisions of unqualified assessors should be countersigned by someone suitably qualified and experienced and so in a position to judge whether the decisions taken are valid, accurate, reliable and consistent.

4.2 Assessors²

This section relates to the assessors who are assessing the learner (e.g. trainee assessors). All those who assess these qualifications must:

- already hold the qualification (or previous equivalent qualifications) they are assessing and have successfully assessed learners for other qualifications; if assessing quality assurance roles, they must have experience as a qualified quality assurance practitioner of carrying out internal or external quality assurance of qualifications for a minimum of two assessors
- have up-to-date working knowledge and experience of best practice in assessment and quality assurance
- hold one of the following qualifications or their recognised equivalent:
 - the Level 3 Award in Assessing Competence in the Work Environment or
 - the Level 3 Certificate in Assessing Vocational Achievement, or
 - A1 Assess candidate performance using a range of methods, or
 - D32 Assess candidate performance and D33 Assess candidate using differing sources of evidence.
- show current evidence of continuing professional development in assessment and quality assurance.

² Education and Training Foundation, Qualification guidance: Assessment and Quality Assurance Qualifications, 2016 <https://www.feadvice.org.uk/i-am-ite-provider-etf-guidance-documents/assessor-and-quality-assurance-qualifications>

4.3 Internal Quality Assurers³

All those who quality assure these qualifications internally must:

- have up-to-date working knowledge and experience of best practice in assessment and quality assurance
- hold one of the following assessor qualifications or their recognised equivalent:
 - the Level 3 Award in Assessing Competence in the Work Environment, or
 - the Level 3 Certificate in Assessing Vocational Achievement, or
 - A1 Assess candidate performance using a range of methods, or
 - D32 Assess candidate performance and D33 Assess candidate using differing sources of evidence.
- hold one of the following internal quality assurance qualifications or their recognised equivalent:
 - the Level 4 Award in the Internal Quality Assurance of Assessment Processes and Practice, or
 - the Level 4 Certificate in Leading the Internal Quality Assurance of Assessment Processes and Practice, or
 - V1 Conduct internal quality assurance of the assessment process, or
 - D34 Internally verify the assessment process.
- show current evidence of continuing professional development in assessment and quality assurance.

4.4 External Quality Assurers

External quality assurers (EQAs) are appointed by SFJ Awards to approve centres and to monitor the assessment and internal quality assurance carried out by centres. SFJ Awards is responsible for ensuring that their external quality assurance team have:

- sufficient occupational knowledge
- current experience of external quality assurance
- access to appropriate training and support.

External quality assurance is carried out to ensure that there is compliance, validity, reliability and good practice in centres. EQAs must have appropriate occupational and verifying knowledge and expertise.

4.4.1 External Quality Assurer competence⁴

All those who externally quality assure these qualifications must:

³ Ibid note 2 above

⁴ Education and Training Foundation, Qualification guidance: Assessment and Quality Assurance Qualifications, 2016 <https://www.feadvice.org.uk/i-am-ite-provider-etf-guidance-documents/assessor-and-quality-assurance-qualifications>

- have up-to-date working knowledge and experience of best practice in assessment and quality assurance
- hold one of the following assessor qualifications or their recognised equivalent:
 - the Level 3 Award in Assessing Competence in the Work Environment or
 - the Level 3 Certificate in Assessing Vocational Achievement, or
 - A1 Assess candidate performance using a range of methods, or
 - D32 Assess candidate performance and D33 Assess candidate using differing sources of evidence.
- hold one of the following external quality assurance qualifications or their recognised equivalent:
 - the Level 4 Award in Externally Assuring the Quality of Assessment Processes and
 - the Level 4 Certificate in Leading the External Quality Assurance of Assessment Processes and Practice, or
 - V2 Conduct external quality assurance of the assessment process, or
 - D35 Externally verify the assessment process.
- show current evidence of continuing professional development in assessment and quality assurance.

Best practice would suggest that external quality assurance staff should also hold an appropriate internal quality assurance qualification, either:

- the Level 4 Award in the Internal Quality Assurance of Assessment Processes and Practice, or
- the Level 4 Certificate in Leading the Internal Quality Assurance of Assessment Processes and Practice, or
- V1 Conduct internal quality assurance of the assessment process, or D34 Internally verify the assessment process.

4.4.2 Continuing professional development

EQAs must maintain their occupational and external quality assurance knowledge. They will attend training and development designed to keep them up-to-date, facilitate standardisation between staff and share good practice.

4.5 Expert Witnesses

Expert witnesses can provide evidence that a learner has demonstrated competence in an activity. Their evidence contributes to performance evidence and has parity with assessor observation. Expert witnesses do not however perform the role of assessor. The assessment guidance for individual units in Section 5 indicates where evidence from expert witnesses can be used.

4.5.1 Occupational Competence

Expert witnesses must, according to current sector practice, be competent in the functions covered by the units for which they are providing evidence.

They must be able to demonstrate consistent application of the skills and the current supporting knowledge and understanding in the context of a recent role directly related to the qualification unit that they are witnessing as a practitioner, trainer or manager.

4.5.2 Qualification Knowledge

Expert witnesses must be familiar with the qualification unit(s) and must be able to interpret current working practices and technologies within the area of work.

4.6 Assessing Competence

The purpose of assessing competence is to make sure that an individual is competent to carry out assessor, internal/external quality assurance activities required in their work. Assessors gather and judge evidence during normal work activities to determine whether the learner demonstrates their competence against the standards in the qualification unit(s). Competence should be demonstrated at a level appropriate to the qualification. The skills required at the different qualification levels are defined in Ofqual's level descriptors.⁵ Further information on qualification levels is included in the SFJ Awards Assessment Policy.

Evidence must be:

- Valid
- Authentic
- Sufficient
- Current
- Reliable.

Assessment should be integrated into everyday work to make the most of opportunities that arise naturally within the workplace.

4.7 Methods for Assessing Competence

Qualifications must be assessed in line with the assessment guidance provided for each unit. Where there is no specific guidance, assessors can use any method, or combination of methods, in Section 4.1, which clearly demonstrate that the learning outcomes and assessment criteria have been met.

Assessors need to be able to select the right assessment methods for the competences that are being assessed, without overburdening the learner or the assessment process. Assessors must follow the assessment guidance provided for each unit and use a combination of different assessment methods where appropriate to make a decision about an individual's occupational competence. Further information on assessment methods is provided below and also in the SFJ Awards Assessment Policy.

⁵ Qualification and Component Levels: Requirements and Guidance for All Awarding Organisations and All Qualifications, Ofqual 2015, www.gov.uk/government/publications/qualification-and-component-levels

4.7.1 Observation

The Education and Training Foundation guidance document on the assessment and quality assurance qualifications includes the criteria that learners must be observed in person (i.e. the assessor must be in the same room as the trainee assessor/IQA/EQA). Whilst observation of trainee assessors, IQAs and EQAs forms an important assessment method to be used by our centres with learners who are completing the assessment and quality assurance qualification(s), SFJ Awards will continue to respect arrangements agreed with our External Quality Assurance team in advance of the Guidance, as we are satisfied that these meet all necessary requirements and are robust.

Should the requirement for in-person observation present any particular problems for centres, or centres wish to request the use of alternative arrangements, proposals must be submitted to our External Quality Assurance team for consideration and agreement prior to implementation to provide assurance that the centre's proposed approach will meet the requirements and have robust standards in place.

All records of observation should assure that the learner being observed is the learner registered and being presented for certification (i.e. authentication should be certain). All other stated assessment requirements detailed in this handbook must also be met.

4.7.2 Testimony of witnesses and expert witnesses

Witness testimonies are an accepted form of evidence by learners when compiling portfolios and the assessment guidance for individual units in Section 5 indicates where witness testimony can be used. Witness testimonies can be generated by peers, line managers and other individuals working closely with the learner. Witnesses are defined as being those people who are occupationally expert in their role.

Testimony can also be provided by expert witnesses who are occupationally competent **and** familiar with the qualification unit(s). Assessors will not need to spend as long assessing expert witness testimony as they would a witness testimony from a non-expert. Therefore if expert witnesses are involved in the assessment strategy for a qualification a greater number of learners can be managed by a smaller number of assessors.

The assessor is however responsible for making the final judgement in terms of the learner meeting the evidence requirements for the qualification unit(s).

4.7.3 Work outputs (product evidence)

Examples of work outputs include assessment plans, activities and records. Assessors can use work outputs in conjunction with other assessment methods, such as observation and discussion, to confirm competence and assure authenticity of the evidence presented.

4.7.4 Professional discussion

Discussions allow the learner to describe and reflect on their performance and knowledge in relation to the standards. Assessors can use discussions to test the authenticity, validity and reliability of a learner's evidence. Written/audio records of discussions must be maintained.

4.7.5 Questioning the learner

Questioning can be carried out orally or in written form and used to cover any gaps in assessment or corroborate other forms of evidence. Written/audio records of all questioning must be maintained.

4.7.6 Simulations

The use of simulation as a source of evidence does not apply to the following qualifications:

- Level 3 Award in Understanding the Principles and Practices of Assessment
- Level 3 Award in Assessing Competence in the Work Environment
- Level 3 Award in Assessing Vocationally Related Achievement
- Level 3 Certificate in Assessing Vocational Achievement

Simulation is not allowed for units *Assess Vocational Skills, Knowledge and Understanding* and *Assess Occupational Competence in the Work Environment*. Unit *Understanding the Principles and Practices of Assessment* is knowledge based and simulation is therefore not applicable.

4.8 Assessing Knowledge and Understanding

Knowledge-based assessment involves establishing what the learner knows or understands at a level appropriate to the qualification. The depth and breadth of knowledge required at the different qualification levels are defined in Ofqual's level descriptors.⁶ Further information on qualification levels is included in the SFJ Awards Assessment Policy.

Assessments must be:

- Fair
- Robust
- Rigorous
- Authentic
- Sufficient
- Transparent
- Appropriate.

⁶ Qualification and Component Levels: Requirements and Guidance for All Awarding Organisations and All Qualifications, Ofqual 2015 www.gov.uk/government/publications/qualification-and-component-levels

Good practice when assessing knowledge includes use of a combination of assessment methods to ensure that as well as being able to recall information, the learner has a broader understanding of its application in practice. This ensures that qualifications are a valid measure of a learner's knowledge and understanding.

A proportion of any summative assessment may be conducted in controlled environments to ensure conditions are the same for all learners. This could include use of:

- Closed book conditions, where learners are not allowed access to reference materials
- Time bound conditions
- Invigilation.

4.9 Methods for Assessing Knowledge

Qualifications may be assessed using any method, or combination of methods in Section 4.1, which clearly demonstrate that knowledge-based learning outcomes and assessment criteria have been met. Evidence used for assessment must be:

- Valid
- Authentic
- Sufficient
- Current
- Reliable.

4.9.1 Portfolio of evidence

Evidence of assessment, examples listed below, can be included in a portfolio of evidence.

- a) Written tests in a controlled environment
- b) Multiple choice questions
- c) Evidenced question and answer sessions with assessors
- d) Evidenced professional discussions
- e) Written assignments (including scenario-based written assignments).

Where written assessments are used centres must maintain a sufficient bank of assignments which are changed regularly.

4.9.2 Work outputs (product evidence)

Examples of work outputs include assessment plans, activities and records developed by the trainee teacher. Assessors can use work outputs in conjunction with other assessment methods, such as written assessments and discussion, to confirm knowledge and assure authenticity of the evidence presented.

4.9.3 Professional discussion

Discussions allow the trainee assessor/IQA/EQA to describe and reflect on their performance/learning and knowledge in relation to the standards. Assessors can use discussions to test the authenticity, validity and reliability of a learner's evidence. Written/audio records of discussions must be maintained.

4.9.4 Question and answer sessions

Questioning can be carried out orally or in written form and used to cover any gaps in assessment or corroborate other forms of evidence. Written/audio records of all questioning must be maintained.

4.10 Assessment Planning

Planning assessment allows a holistic approach to be taken, which focuses on assessment of the learner's work activity as a whole. This means that the assessment:

- reflects the skills requirements of the workplace
- saves time
- streamlines processes
- makes the most of naturally occurring evidence opportunities.

Planning assessment enables assessors to track learners' progress and incorporate feedback into the learning process; assessors can therefore be sure that learners have had sufficient opportunity to acquire the skills and knowledge to perform competently and consistently to the standards before being assessed. The assessment is therefore a more efficient, cost effective process which minimises the burden on learners, assessors and employers.

4.11 Standardisation

Internal and external standardisation is required to ensure the consistency of evidence, assessment decisions and qualifications awarded over time.

4.11.1 Internal standardisation

IQAs should facilitate internal standardisation events for assessors to attend and participate, in order to review evidence used, make judgments, compare quality and come to a common understanding of what is sufficient.

4.11.2 External standardisation

SFJ Awards will enable access to external standardisation opportunities for centres and EQAs over time.

Further information on standardisation is available in the SFJ Awards Quality Assurance (Internal and External) Policy and the SFJ Awards Standardisation Policy.

4.12 Recognition of Prior Learning (RPL)

Recognition of prior learning (RPL) is the process of recognising previous formal, informal or experiential learning so that the learner avoids having to repeat learning/assessment within a new qualification. RPL is a broad concept and covers a range of possible approaches and outcomes to the recognition of prior learning (including credit transfer where an awarding organisation has decided to attribute credit to a qualification).

The use of RPL encourages transferability of qualifications and/or units, which benefits both learners and employers. SFJ Awards supports the use of RPL and centres must work to the principles included in Section 6 Assessment and Quality Assurance of the SFJ Awards Centre Handbook and outlined in SFJ Awards Recognition of Prior Learning Policy.

4.13 Equality and Diversity

Centres must comply with legislation and the requirements of the RQF relating to equality and diversity. There should be no barriers to achieving a qualification based on:

- Age
- Disability
- Gender
- Gender reassignment
- Marriage and civil partnerships
- Pregnancy and maternity
- Race
- Religion and belief
- Sexual orientation

Reasonable adjustments are made to ensure that learners who are disabled are not disadvantaged in any way. Learners must declare their needs prior to the assessment and all necessary reasonable adjustment arrangements must have been approved by SFJ Awards and implemented before the time of their assessment.

Further information is available in the SFJ Awards Reasonable Adjustments and Special Considerations Policy and the SFJ Awards Equality of Opportunity Policy.

4.14 Health and Safety

SFJ Awards is committed to safeguarding and promoting the welfare of learners, employees and volunteers and expect everyone to share this commitment.

SFJ Awards fosters an open and supportive culture to encourage the safety and well-being of employees, learners and partner organisations to enable:

- learners to thrive and achieve
- employees, volunteers and visitors to feel secure
- everyone to feel assured that their welfare is a high priority.

Assessment of competence based qualifications in the justice sector can carry a high risk level due to the nature of some roles. Centres must therefore ensure that due regard is taken to assess and manage risk and have procedures in place to ensure that:

- qualifications can be delivered safely with risks to learners and those involved in the assessment process minimised as far as possible
- working environments meet relevant health and safety requirements.

5 Qualification Units

Unit 301: Understanding the Principles and Practices of Assessment

Title	Understanding the Principles and Practices of Assessment	
Level	3	
Credit Value	3	
GLH	24	
Ofqual Reference	D/601/5313	
Learning Outcomes	Assessment Criteria	Guidance on Evidence Requirements
<i>The learner will</i>	<i>The learner can</i>	
1 Understand the principles and requirements of assessment	1.1 explain the functions of assessment in learning and development 1.2 define the key concepts and principles of assessment 1.3 explain the responsibilities of the assessor 1.4 identify the regulations and requirements relevant to assessment in own area of practice	Trainee assessors/learners will know about the different types of assessment, what they are used for and at what stage in the learning journey they are used. They will be able to explain how judgements of competence are made and how to ensure that they are valid, reliable and fair. Trainee assessors/learners must also know requirements for the assessments, for example any relevant assessment strategy.

<p>2 Understand different types of assessment method</p>	<p>2.1 compare the strengths and limitations of a range of assessment methods with reference to the needs of individual learners</p>	<p>Trainee assessors/learners must know about different assessment methods and should be able to identify those which would be most appropriate for their own sector/practice.</p> <p>If the trainee assessor is also working towards the units</p> <ul style="list-style-type: none"> • Unit 302 Assess occupational competence in the work environment • Unit 303 Assess vocational skills, knowledge and understanding <p>it would be expected that they would focus on those methods of assessment most applicable to assessing competence in the workplace. Giving reasons for assessment methods selected would also provide evidence for these units.</p>
<p>3 Understand how to plan assessment</p>	<p>3.1 summarise key factors to consider when planning assessment</p> <p>3.2 evaluate the benefits of using a holistic approach to assessment</p> <p>3.3 explain how to plan a holistic approach to assessment</p> <p>3.4 summarise the types of risks that may be involved in assessment in own area of responsibility</p> <p>3.5 explain how to minimise risks through the planning process</p>	<p>Key factors when planning assessment will include, for example, the types of evidence needed, location/timing and communication with those involved in the assessment process.</p> <p>Trainee assessors/learners must be able to evidence that they understand the value of holistic approach in planning assessment, which minimises the risk of over-assessment and ensures the process is both rigorous and cost-effective.</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>4.2 summarise types of information that should be made available to learners and others involved in the assessment process</p>	<p>The value of involving the learner and others in the assessment process includes transparency and efficiency, for example use of witness testimony.</p> <p>Reasons why assessment arrangements may need to be adapted should include for example</p>

	<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>4.4 explain how assessment arrangements can be adapted to meet the needs of individual learners</p>	<p>practicalities, religious requirements and reasonable adjustments.</p>
<p>5 Understand how to make assessment decisions</p>	<p>5.1 explain how to judge whether evidence is:</p> <ul style="list-style-type: none"> • sufficient • authentic • current <p>5.2 explain how to ensure that assessment decisions are:</p> <ul style="list-style-type: none"> • made against specified criteria • valid • reliable • fair 	<p>The trainee assessor/learner must know where to find guidance on evidence requirements and making assessment decisions, for example awarding organisation policies/guidelines and those of own organisation if appropriate.</p> <p>They will be aware that learners could be treated differently in the assessment process.</p>
<p>6 Understand quality assurance of the assessment process</p>	<p>6.1 evaluate the importance of quality assurance in the assessment process</p> <p>6.2 summarise quality assurance and standardisation procedures in own area of practice</p> <p>6.3 summarise the procedures to follow when there are disputes concerning assessment in own area of practice</p>	<p>Trainee assessors/learners must know the quality assurance, standardisation and appeals procedures relating to their own area of practice/sector.</p>
<p>7 Understand how to manage information relating to assessment</p>	<p>7.1 explain the importance of following procedures for the management of information relating to assessment</p> <p>7.2 explain how feedback and questioning contribute to the assessment process</p>	<p>Trainee assessors/learners must be able to show their understanding of managing assessment information to ensure records are complete, accurate and stored securely.</p> <p>They will also evidence their understanding of how feedback and questioning are used in the assessment process to ensure clarity and encourage learner progression.</p>

<p>8 Understand the legal and good practice requirements in relation to assessment</p>	<p>8.1 explain legal issues, policies and procedures relevant to assessment, including those for confidentiality, health, safety and welfare</p> <p>8.2 explain the contribution that technology can make to the assessment process</p> <p>8.3 evaluate requirements for equality and diversity and, where appropriate, bilingualism in relation to assessment</p> <p>8.4 explain the value of reflective practice and continuing professional development in the assessment process</p>	<p>Trainee assessors/learners must know about the legal and awarding organisation requirements and policies/procedures of own organisation, where appropriate, relating to assessment.</p> <p>They will also be aware of the use of technology in the assessment process, for example video, audio recording, e-portfolios and on-line tests.</p> <p>Trainee assessors/learners must also understand the impact of legal requirements and best practice on the assessment process relating to areas such as:</p> <ul style="list-style-type: none"> • language • disability • religion • race/culture • gender <p>Trainee assessors/learners must know what reflective practice is and how it can be used to improve practice.</p> <p>If a trainee assessor, they must be able to reflect on their assessment practice on an ongoing basis to ensure it meets legal, their own organisation and the awarding organisation's requirements. They must be able to use what they have learnt from their reflection, experience and feedback from others to improve their practice.</p> <p>Trainee assessors/learners must also keep up to date with changes in:</p> <ul style="list-style-type: none"> • their own sector to maintain occupational competence
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		<ul style="list-style-type: none"> assessment standards and methods to understand the requirements and/or maintain their expertise if already working as an assessor
Unit Guidance		
<p>The aim of this unit is to assess the trainee assessor//learner's knowledge and understanding of the principles and practices of assessment.</p> <p>All learning outcomes in this unit must be assessed using methods appropriate to the assessment of knowledge and understanding. There must be valid, authentic and sufficient evidence for all the assessment criteria. However, one piece of evidence may be used to meet the requirements of more than one learning outcome or assessment criterion.</p> <p>Where trainee assessors are already assessing and undertaking one/both of the competence units below, links should be made where appropriate so that evidence can cover assessment criteria across all units.</p> <ul style="list-style-type: none"> Unit 302 Assess occupational competence in the work environment Unit 303 Assess vocational skills, knowledge and understanding <p>Supporting evidence could include:</p> <ul style="list-style-type: none"> Summaries of key documents Assessment plans Assessment records <p>Note: any records used should have names blanked out to maintain confidentiality.</p> <p>This unit is underpinned by the Learning and Development NOS, Standard 9: Assess learner achievement.</p>		

Unit 302: Assess Occupational Competence in the Work Environment

Title	Assess Occupational Competence in the Work Environment	
Level	3	
Credit Value	6	
GLH	30	
Ofqual Reference	H/601/5314	
Learning Outcomes <i>The Learner Will</i>	Assessment Criteria <i>The Learner Can</i>	Guidance on Evidence Requirements
1 Be able to plan the assessment of occupational competence	<p>1.1 plan assessment of occupational competence based on the following methods:</p> <ul style="list-style-type: none"> • observation of performance in the work environment • examining products of work • questioning the learner • discussing with the learner • use of others (witness testimony) • looking at learner statements • recognising prior learning <p>1.2 communicate the purpose, requirements and processes of assessing occupational competence to the learner</p> <p>1.3 plan the assessment of occupational competence to address learner needs and current achievements</p> <p>1.4 identify opportunities for holistic assessment</p>	<p>Trainee assessors must evidence planning of at least two assessments of two learners' occupational competence (four assessments in total). This must include as a minimum the use of the following assessment methods:</p> <ul style="list-style-type: none"> • observation of performance in the work environment • examining products of work • questioning the learner <p>If the plans do not include other assessment methods listed in AC1.1, the trainee assessor must evidence through a statement or by discussion how they would plan to use them.</p> <p>Evidence for this learning outcome can be through observation, witness testimony or work outputs/product evidence.</p>

		Use of holistic assessment should be included in any assessment plans to ensure that evidence can be used for more than one standard/assessment criterion where possible.
2 Be able to make assessment decisions about occupational competence	<p>2.1 use valid, fair and reliable assessment methods including:</p> <ul style="list-style-type: none"> • observation of performance • examining products of work • questioning the learner • discussing with the learner • use of others (witness testimony) • looking at learner statements • recognising prior learning <p>2.2 make assessment decisions of occupational competence against specified criteria</p> <p>2.3 follow standardisation procedures</p> <p>2.4 provide feedback to learners that affirms achievement and identifies any further implications for learning, assessment and progression</p>	<p>There must be evidence of the trainee assessor carrying out at least two assessments of two learners' occupational competence (four assessments in total). This must include as a minimum the use of the following assessment methods:</p> <ul style="list-style-type: none"> • observation of performance in the work environment • examining products of work • questioning the learner <p>Simulations are not allowed.</p> <p>Other forms of evidence will be acceptable for the remaining assessment methods:</p> <ul style="list-style-type: none"> • discussing with the learner • use of others (witness testimony) • looking at learner statements • recognising prior learning <p>If the decisions do not involve using other assessment methods listed in AC1.1, the trainee assessor must evidence through a statement or by discussion how they would plan to use them.</p> <p>The trainee assessor must be able to justify the assessment methods selected, showing how they are valid, fair and reliable in relation to the learning outcomes and criteria against which the learner is being assessed.</p> <p>The trainee assessor must be able to evidence how they have matched and measured against the learning</p>

		<p>outcomes/criteria they are assessing the learner against. They should also be able to say how:</p> <ul style="list-style-type: none"> ✓ they have met the requirements of the relevant assessment strategy if they are assessing a qualification ✓ their assessment decisions comply with their own organisation's standardisation procedures <p>The trainee assessor must be observed on a minimum of one occasion giving clear, accurate and constructive feedback to learners, which should identify progress and any further learning needs.</p>	
3	<p>Be able to provide required information following the assessment of occupational competence</p>	<p>3.1 maintain records of the assessment of occupational competence, its outcomes and learner progress</p> <p>3.2 make assessment information available to authorised colleagues</p> <p>3.3 follow procedures to maintain the confidentiality of assessment information</p>	<p>Records must meet the requirements of the organisation and the awarding organisation if they relate to qualifications. They should be:</p> <ul style="list-style-type: none"> • accurate • kept securely in line with legal and organisational procedures • shared with appropriate colleagues <p>Evidence for this learning outcome will be through work outputs/product evidence in the form of assessment records completed by the trainee assessor. Witness testimony could be used as evidence that information about the assessments has been communicated appropriately.</p> <p>The trainee assessor will be able to explain either verbally or in writing how they have maintained records in accordance with the Data Protection Act and/or requirements of their own and/or the awarding organisation.</p>
4	<p>Be able to maintain legal and good practice requirements when</p>	<p>4.1 follow relevant policies, procedures and legislation for the assessment of occupational competence, including those for health, safety and welfare</p>	<p>The observations of the trainee assessor and associated work products must show that the appropriate legal and organisational requirements for health and safety have been met. In addition, the</p>

<p>assessing occupational competence</p>	<p>4.2 apply requirements for equality and diversity and, where appropriate, bilingualism, when assessing occupational competence</p> <p>4.3 evaluate own work in carrying out assessments of occupational competence</p> <p>4.4 maintain the currency of own expertise and competence as relevant to own role in assessing occupational competence</p>	<p>trainee assessor will be able to describe verbally or in writing how they took account of the necessary health and safety requirements.</p> <p>The observations of the trainee assessor and associated work products must show that any legal requirements relating to equality and diversity, including bilingualism where appropriate, have been met. The trainee assessor will be able to describe verbally or in writing how they took account of the necessary equality and diversity requirements.</p> <p>Witness testimony could also support evidence relating to health, safety, equality and diversity.</p> <p>The trainee assessor must describe verbally or in writing how they evaluated the (minimum of four) assessments they carried out, what they learned from the process and if they have identified any further learning needs.</p> <p>The trainee assessor must describe verbally or in writing how they plan to continue their professional development in relation to both their occupational expertise in the sector and their competence as an assessor.</p>
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Unit Guidance

The aim of this unit is to assess a trainee assessor's performance in assessing occupational competence in an individual's work environment. There must be evidence to cover all the assessment methods listed in the unit.

Evidence for all learning outcomes must come from the trainee assessor carrying out assessments in a work environment. Simulations are not allowed. This unit requires evidence of the trainee assessor working with real learners, staff or customers. There must be evidence to cover all the assessment methods listed in the unit. As a minimum, there must be **performance evidence** for the following assessment methods:

- observation of performance in the work environment
- examining products of work

- questioning the learner

Other forms of evidence will be acceptable for the remaining assessment methods:

- professional discussion with the trainee assessor
- use of others (witness testimony)
- looking at trainee assessor statements
- recognising prior learning

The trainee assessor's performance evidence must be assessed by observation, examining the products of work, questioning or professional discussions.

There must be evidence of the trainee assessor carrying out at least **two assessments of two learners'** occupational competence (**four** assessments in total). This occupational competence must not come from the trainee assessing another trainee assessor who in turn is assessing someone else. In gathering evidence for these qualifications, an unqualified trainee assessor is not allowed to assess the competence of another unqualified assessor.

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

This unit is underpinned by the Learning and Development NOS, Standard 9: Assess learner achievement.

Unit 303: Assess Vocational Skills, Knowledge and Understanding

Title	Assess Vocational Skills, Knowledge and Understanding	
Level	3	
Credit Value	6	
GLH	30	
Ofqual Reference	F/601/5319	
Learning Outcomes	Assessment Criteria	Guidance on Evidence Requirements
<i>The Learner Will</i>	<i>The Learner Can</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"> • assessments of the learner in simulated environments • skills tests • oral and written questions • assignments • projects • case studies • recognising prior learning 1.2 prepare resources and conditions for the assessment of vocational skills, knowledge and understanding	The trainee assessor must be able to evidence planning for two assessments of two learners (a total of four assessments), which should use at least three of the assessment methods listed in AC1.1. If the plans do not include assessment methods listed in AC1.1, the trainee assessor must evidence through a statement or by discussion how they would plan to use them. Where possible the trainee assessor should also show how the assessment methods meet requirements (e.g. of the organisation and the AO) and learners' needs. The trainee assessor must also be able to evidence that they have been able to prepare the environment appropriately for the assessments.

	1.3 communicate the purpose, requirements and processes of assessment of vocational skills, knowledge and understanding to learners	
2 Be able to carry out assessments of vocational skills, knowledge and understanding	<p>2.1 manage assessments of vocational skills, knowledge and understanding to meet assessment requirements</p> <p>2.2 provide support to learners within agreed limitations</p> <p>2.3 analyse evidence of learner achievement</p> <p>2.4 make assessment decisions relating to vocational skills, knowledge and understanding against specified criteria</p> <p>2.5 follow standardisation procedures</p> <p>2.6 provide feedback to the learner that affirms achievement and identifies any further implications for learning, assessment and progression</p>	<p>There must be evidence of the trainee assessor carrying out at least two assessments of two learners' occupational competence (four assessments in total). There must be evidence to cover all the assessment methods listed in the unit. As a minimum, there must be performance evidence for at least three of the following assessment methods:</p> <ul style="list-style-type: none"> • assessments of the learner in simulated environments • skills tests • oral and written questions • assignments • projects • case studies • recognising prior learning <p>Simulations are not allowed.</p> <p>Other forms of evidence will be acceptable for the remaining assessment methods. The trainee assessor's performance evidence must be assessed by observation, examining the products of work, questioning or professional discussions.</p> <p>If the trainee assessor's practice does not include all the assessment methods in AC 1.1, they must be able to explain (in writing or verbally) how they would manage those they have not been able to evidence through observation.</p> <p>The trainee assessor must explain (in writing or verbally) how they have:</p>

		<ul style="list-style-type: none"> matched and measured evidence against the standards/assessment criteria made their assessment decisions ensured that their assessment decisions met their organisation's standardisation requirements <p>The trainee assessor must be observed on a minimum of one occasion giving clear, accurate and constructive feedback to learners, which should identify progress and any further learning needs.</p>	
3	<p>Be able to provide required information following the assessment of vocational skills, knowledge and understanding</p>	<p>3.1 maintain records of the assessment of vocational skills, knowledge and understanding, its outcomes and learner progress</p> <p>3.2 make assessment information available to authorised colleagues as required</p> <p>3.3 follow procedures to maintain the confidentiality of assessment information</p>	<p>The trainee assessor must be able to show that assessment records follow their organisation and awarding organisation requirements for:</p> <ul style="list-style-type: none"> recording assessments and decisions communicating information about the four assessments storing information about the assessments <p>The trainee assessor will also be able to explain (in writing or verbally) how they met the Data Protection, awarding organisation and own organisation's requirements for confidentiality of the assessment process.</p>
4	<p>Be able to maintain legal and good practice requirements when assessing vocational skills, knowledge and understanding</p>	<p>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</p> <p>4.2 apply requirements for equality and diversity and, where appropriate, bilingualism</p> <p>4.3 evaluate own work in carrying out assessments of vocational skills, knowledge and understanding</p> <p>4.4 take part in continuing professional development to ensure current expertise and competence in</p>	<p>The trainee assessor must be able to evidence through observations of their practice and the associated work products that they have met legal and awarding organisation requirements and followed organisational procedures including those for:</p> <ul style="list-style-type: none"> Health and safety Equality and diversity Assessment (where there is a strategy for assessing a qualification)

	<p>assessing vocational skills, knowledge and understanding</p>	<p>The trainee assessor will also be able to explain (in writing or verbally) how they:</p> <ul style="list-style-type: none"> • have met the above requirements • have evaluated the assessments they have carried out, including what went well and any areas for improvement • plan to maintain occupational expertise and competence in their assessor role.
<p>Unit Guidance</p>		
<p>The aim of this unit is to assess a trainee assessor's performance in assessing vocational skills, knowledge and understanding in a classroom, workshop, simulated or other training environment, rather than assessing competence in the work environment.</p> <p>Evidence for all learning outcomes must come from the trainee assessor's performance in their work environment. Simulated assessments are not allowed. This unit requires evidence of the trainee assessor working with real learners, staff or customers. There must be evidence to cover all the assessment methods listed in the unit. As a minimum, there must be performance evidence for at least three of the following assessment methods:</p> <ul style="list-style-type: none"> • assessments of the learner in simulated environments • skills tests • oral and written questions • assignments • projects • case studies • recognising prior learning <p>Other forms of evidence will be acceptable for the remaining assessment methods.</p> <p>The trainee assessor's performance evidence must be assessed by observation, examining the products of work, questioning or professional discussions. There must be evidence of the trainee assessor carrying out at least two assessments of two learners' skills, knowledge and understanding (four assessments in total).</p> <p>There must be valid, authentic and sufficient evidence for all the assessment criteria. Holistic assessment is encouraged and one piece of evidence may be used to meet the requirements of more than one learning outcome or assessment criterion.</p>		

This unit does not require the design of assessments.

This unit is underpinned by the Learning and Development NOS, Standard 9: Assess learner achievement

6 Glossary

Authentic	The learner's own work
Diversity	Acknowledgement that every individual is unique and recognising differences in, for example, gender, culture, race, age, ability, religion or sexual orientation
Equality	Every individual has equal rights and a fair chance, recognising that different people have different starting points and needs
Evidence	Proof of the learner's understanding, knowledge, skill or competence that can be used to make a decision as to whether they have achieved the relevant criteria/standards
Fair	Evidence is measured against the relevant assessment criteria only and decisions are unbiased so all learners have an equal chance of an objective assessment
Learner	The individual being assessed by the trainee assessor
Reliable	The same results are achieved over time with different assessors and similar cohorts of learners
Sufficient	Enough evidence to make a robust assessment decision, as determined by the evidence requirements or the assessment strategy
Valid	Evidence is relevant to the criteria/standards against which the learner is being assessed

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