



Assessment Principles

Version 16

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Version Control Information

Document details	
Document name	Assessment Principles
Purpose of document	To outline FutureQuals 'Assessment Principles' for use in all qualifications
Change applied to existing version	V15
Document owner	Product Development Team

Version history			
New version number after amendment	Date amended	Section	Details of change/s
V15	August 2018	All	Minor terminology changes made to the generic set of assessment principles such as 'Unit' now being 'Component'.
V16	January 2019	Appendices removed	Generic Assessment Principles are now a standalone document, individual appendices have now removed and are contained within specific individual qualification specifications.

Assessment Principles – Version 16 – January 2019

1. Introduction

- 1.1 This document sets out those principles and approaches to component/qualification assessment already described in the Regulatory Framework. The information is intended to support the quality assurance processes of FutureQuals and it should also be read alongside individual component assessment requirements.
- 1.2 These principles will ensure a consistent approach to those elements of assessment which require further interpretation and definition.

2. Assessment

The assessment and Internal Quality Assurance of selected FutureQuals qualifications may be subject to additional or modified assessment requirements. These requirements can be found within the qualification specification and listed as an appendix. All definitions remain the same as in section 6 of this document.

- 2.1 Learners must meet all of the learning outcomes and assessment criteria identified in each component to achieve the full component. Evidence for competence based learning outcomes should be developed over a period of time using different assessment methods.
- 2.2 Assessment decisions for competence based learning outcomes (e.g. those beginning with ‘to be able to’) must be made by an occupationally competent assessor qualified to make assessment decisions, using evidence generated and collected through performance in the workplace during the learner’s normal work activity. Any knowledge evidence integral to these learning outcomes may be generated outside of the work environment but the final assessment decision must be within the real work environment. Competence-based assessment must include direct observation as a primary source of evidence which should ideally be carried out within the workplace. However, where this is not possible candidates can be assessed within an approved Realistic Working Environment (RWE).
- 2.3 Assessment of knowledge based learning outcomes (e.g. those beginning with ‘know’ or ‘understand’) may take place in or outside of a real work environment. Assessment decisions for knowledge based learning outcomes must be made by an occupationally knowledgeable assessor qualified to make assessment decisions.
- 2.4 Simulation may only be utilised as an assessment method for competence based learning outcomes where this is specified in the assessment requirements of the individual component. The use of simulation should be restricted to obtaining evidence where the evidence cannot be generated through normal work activity. Where this may be the case, the use of simulation in the component assessment strategy will be agreed with FutureQuals.
- 2.5 Expert witnesses can be used for direct observation where they have occupational expertise for specialist areas or the observation is of a particularly sensitive nature. The use of expert witnesses should be determined by the IQA. The centre will have approved the expert witness but a centre assessor will judge the evidence provided by the expert witness against the assessment criteria. This can be used as competence and knowledge evidence.

3. Assessors

- 3.1 Assessors employed by your centre will be both currently, occupationally knowledgeable and currently, occupationally competent to assess components and qualifications for which they have the expertise. They will need to be knowledgeable and competent in both the vocational area as well as in assessment. They must not assess learners where they have a potential conflict of interest, for example a family member or close friend. If this cannot be avoided, additional quality assurance checks must be put in place.
- 3.2 FutureQuals requires that the assessor holds, or be working towards, a current, recognised Assessor qualification. Assessors holding the L3 Certificate in Assessing Vocational Achievement, A1/A2 or D32/33 qualifications are not required to re-qualify. Unqualified Assessors will need to have all of their assessment decisions countersigned by a fully qualified Assessor. Where FutureQuals does not expect the assessor to hold a formal qualification, we expect that the assessor meets the same standards of assessment practice as set out in the Learning and Development National Occupational Standard 09 Assess learner achievement.

4. Internal Quality Assurance

- 4.1 Internal quality assurance is key to ensuring that the assessment of evidence for components is of a consistent and appropriate quality. Centres will need to demonstrate that assessment is being monitored for consistency, reliability, inclusiveness, transparency and validity over time. Those carrying out internal quality assurance must be currently, occupationally knowledgeable, have relevant occupational expertise at the level (or above) in the area they are assuring and be qualified to make quality assurance decisions.
- 4.2 FutureQuals requires those responsible for internal quality assurance to hold or be working towards a current, recognised Quality Assurance qualification. Those responsible for internal quality assurance holding the L4 Award in the Internal Quality Assurance of Assessment Processes and Practice, D34 or V1 qualifications are not required to re-qualify. Unqualified IQAs will need to have all of their verification decisions countersigned by a fully qualified IQA. Where FutureQuals does not require those responsible for internal quality assurance to hold a formal qualification we would expect that those responsible for internal quality assurance meet the standard of practice set out in the Learning and Development National Occupational Standard 11 Internally monitor and maintain the quality of assessment.
- 4.3 The Internal Quality Assurer is responsible for the integrity of the component/qualification that you, as a FutureQuals centre, claim for the learner. They will also ensure that there is no conflict of interest in assessment at the centre or where it cannot be avoided, that additional quality assurance is put in place.

5. External Quality Assurance

- 5.1 FutureQuals External Quality Assurers are appointed against rigorous criteria and have responsibility for ensuring the integrity and quality of components and qualifications awarded by FutureQuals. Your External Quality Assurer will work with you to ensure that all FutureQuals and regulatory requirements are met.

Those carrying out external quality assurance must be currently, occupationally knowledgeable and have gained their expertise working within the sector or associated professional/occupational area they are assuring and be qualified to make quality assurance decisions.

- 5.2 FutureQuals requires those responsible for external quality assurance to hold or be working toward a current, recognised Quality Assurance qualification. Those responsible for external quality assurance holding the L4 Award in the External Quality Assurance of Assessment Processes and Practice, V2 or D35 qualifications are not required to re-qualify. Unqualified EQAs will need to have all of their verification decisions countersigned by a fully qualified EQA. Where FutureQuals does not require those responsible for external quality assurance to hold a formal qualification we would expect those responsible for external quality assurance to meet the standard of practice set out in the Learning and Development National Occupational Standard 12 Externally monitor and maintain the quality of assessment.

6. Definitions

- 6.1 Occupationally competent:
This means that each assessor must be capable of carrying out the full requirements within the competency component(s) they are assessing. Occupational competence must be at component level which might mean different assessors are needed across a whole qualification. Being occupationally competent means they are also occupationally knowledgeable. This occupational competence should be maintained annually through demonstrable continuing learning and professional development (CPD).
- 6.2 Occupationally knowledgeable:
This means that each assessor should possess relevant knowledge and understanding, and be able to assess this in components designed to test specific knowledge and understanding, or in components where knowledge and understanding are components of competency. This occupational knowledge should be maintained annually through demonstrable continuing learning and professional development (CPD).
- 6.3 Qualified to make assessment decisions:
This means that each assessor must hold a relevant qualification agreed with FutureQuals as suitable to support the making of appropriate and consistent assessment decisions.
- 6.4 Qualified to make quality assurance decisions:
This means that each quality assurer must hold a relevant qualification agreed with FutureQuals as suitable to support the making of appropriate and consistent quality assurance decisions.

6.5 Expert witness:

This is where an expert witness, such as a qualified professional, observes the learner working in their workplace and records their findings when it would not be possible for an assessor to observe the learner's practice.

An expert witness must:

- have a working knowledge of the components on which their expertise is based
- be occupationally competent in their area of expertise
- have EITHER a qualification in assessment of workplace performance OR a professional work role which involves evaluating the everyday practice of staff.

6.6 Mentoring: There are many definitions of mentoring.

One utilised by CIPD is offered as follows:

“Mentoring in the workplace tends to describe a relationship in which a more experienced colleague shares their greater knowledge to support the development of an inexperienced member of staff. It calls on the skills of questioning, listening, clarifying and reframing that are also associated with coaching”
(© Chartered Institute of Personnel and Development 2019).

6.7 Realistic Working Environment (RWE)

It is essential that organisations wishing to operate a RWE operate in an environment which reflects a real work setting. This will ensure that any competence achieved in this way will be sustained in real employment.

To undertake the assessment in a RWE the following guidelines must be met:

- the RWE is managed as a real work situation and assessment must be carried out under realistic pressures. Account must be taken of any legislation or regulations in relation to the type of work that is being carried out
- all services that are carried out should be completed in a way, and to a timescale, that is acceptable in organisations
- the range of services, products, tools, materials and equipment that the candidates use must be up to date and available.

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Future (Awards and Qualifications) Ltd
EMP House, Telford Way, Coalville,
Leicestershire, LE67 3HE

Telephone: 01530 836662

Fax: 01530 836668

Email: info@futurequals.com

www.futurequals.com