



Qualification Guidance



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

Level 3 Award – 601/5094/4



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About Us

BIIAB Qualification Limited is part of Skills and Education Group, a charitable organisation that champions education and skills-oriented organisations, providers and learners, making real change locally, nationally and internationally.

BIIAB Qualifications Limited has an on-line registration system to help customers register learners on its qualifications, units and exams. In addition it provides features to view exam results, invoices, mark sheets and other information about learners already registered.

Sources of Additional Information

The BIIAB Qualifications Limited website www.biiab.co.uk provides access to a wide variety of information.

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Version	Date	Details of Change
2.1	June 2023	Reformatted Qualification Guide into new branding
2.2	July 2023	Op end date and cert end date added to Qualification Summary



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This is a live document and as such will be updated when required. It is the responsibility of the approved centre to ensure the most up-to-date version of the Qualification Specification is in use. Any amendments will be published on our website and centres are encouraged to check this site regularly.

Qualification Summary

BIIAB Level 3 Award in Understanding the Principles and Practices of Assessment – 601/5094/4	
Qualification Purpose	To confirm occupational competence.
Age Range	Pre 16 16-18 18+ ✓ 19+ ✓
Regulation	The above qualification is regulated by Ofqual
Assessment	<ul style="list-style-type: none"> Internal assessment
Type of Funding Available	See FaLa (Find a Learning Aim)
Qualification/Unit Fee	See BIIAB Qualifications Limited web site for current fees and charges
Grading	Pass/Fail To achieve a Pass grade, learners must achieve all the Learning Outcomes and Assessment Criteria in all the units completed
Operational Start Date	01/12/2014
Review Date	31/07/2024
Operational End Date	31/08/2023
Certification End Date	31/12/2024
Guided Learning (GL)	24 hours
Total Qualification Time (TQT)	30 hours
Credit Value	3
BIIAB Qualifications Limited Sector	Education and Skills Workforce
Ofqual SSA Sector	13.1 Teaching and Lecturing
Support from Trade Associations	
Administering Office	See BIIAB Qualifications Limited web site



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About the BIIAB Level 3 Award in Understanding the Principles and Practices of Assessment

BIIAB Qualifications Limited is regulated to deliver this qualification by Ofqual in England. The qualification has a unique Qualification Number (QN) which is shown below. Each unit within the qualification will also have a regulatory Unit Reference Number (URN).

The QN code will be displayed on the final certificate for the qualification.

Qualification Title	Qualification Number (QN)
BIIAB Level 3 Award in Understanding the Principles and Practices of Assessment	601/5094/4

Objective and Purpose of this Qualification

This qualification is part of a suite that was developed for the Regulated Qualifications Framework to cover assessment and the quality assurance of assessment. The suite provides a significant amount of knowledge, understanding and skills that underpin occupational competence in Assessment and Quality Assurance.

This suite of qualifications were developed in consultation with a number of individual practitioners, managers and organisations as well as relevant Awarding Organisations, Sector Skills Councils, regulators and other key stakeholders across the UK.

Due to constant regulatory, policy and funding changes users are advised to check this qualification has been placed in the relevant Apprenticeship Framework and / or is funded for use with individual learners before making registrations. If you are unsure about the qualification's status please contact BIIAB head office.

About this Guidance

This guidance has been developed to provide guidance for learners, assessors and quality assurers undertaking, delivering, or quality assuring this qualification.



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The purpose of the guidance is to provide the majority of the key information that may be needed to prepare for, and help support, the successful delivery of the qualification, in one place.

If this guidance is updated, centres will be notified by BIIAB Qualifications Limited.

BIIAB Qualifications Limited Customer Service

BIIAB Qualifications Limited is committed to giving the highest possible levels of customer service. Our Service Level Agreement is available via www.biiab.co.uk

Our Customer Service team can be contacted between the hours of 0900 and 1700 Monday to Friday by using the contact details below, or outside those hours, by leaving a message on our voicemail service.

Customer Support Contact Details: 0115 854 1620

Email: CustomerSupport@biiab.co.uk

Our Customer Support team will be happy to assist with any administration related enquiries you may have. For example:

- registration and certification enquiries
- re-certification issues
- centres available in the local area
- appeals
- whistleblowing

What are Rules of Combination (ROC)?

Under the Regulatory Qualifications Framework (RQF), qualifications can be made up of a combination of mandatory and/or optional units. The units and credits required to complete a qualification are set out by the rules of combination (RoC). The RoC allows for flexibility and transferability.

The ROC will specify:

- the total credit value of the qualification
- the amount of credit that must be achieved within specific groups of units (e.g. Mandatory, Optional Unit, and Optional groups)
- the minimum credit which must be achieved at the level or above the level of the qualification
- the Total Qualification Time (TQT)
- the title, Unit Regulation Number and BIIAB Qualifications Limited Unit number for each unit, alongside its level, credit, and Guided Learning Hours (GLH)

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- any barred units (units that cannot be taken together as part of the qualification)

When choosing the appropriate route for a learner or group of learners, it is the responsibility of the centre to ensure the rules of combination are adhered to.

BIIAB Level 3 Award in Understanding the Principles and Practices of Assessment Rules of Combination (ROC) and Structure

To achieve the BIIAB Level 3 Award in Understanding the Principles and Practices of Assessment learners **must** gain a **total of 3** credits. This **must** consist of:

- Minimum total credit: **3**
- Mandatory Group A **minimum** credit: **3**
- Guided Learning hours (GLH): **24** hours
- Total Qualification Time (TQT): **30** hours

Listed below are the qualification units.

Mandatory Unit Group A

Unit No.	URN	Unit Title	Level	Credit	GLH	Assessment Method
A1	D/601/5313	Understanding the principles and practices of assessment	3	3	24	Portfolio

Age Restriction

This qualification is appropriate for use in the following age ranges:

- 18+

Entry Requirements and Progression

There are no entry requirements for this qualification. However, learners must be assessed to ensure they have a reasonable chance of achievement and will be able to generate the required evidence.

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The qualification is designed to equip learners with the knowledge and skills to work effectively in assessing competence. It also will allow for a number of progression routes into Level 4 qualifications, to employment or into other areas of learning.

Achievement of the qualification offers opportunities for progression, including:

- BIIAB Level 4 Award in the Internal Quality Assurance of Assessment Processes and Practice
- Career progression.

Assessment

Overview of assessment strategy

The learner needs to demonstrate competence against all the Assessment Criteria within the Assessment. The most appropriate way of covering this is through a discussion with the Learner.

BIIAB Qualifications Limited requirements for carrying out a discussion apply (see below). If you wish to use an alternative assessment methodology, this needs to be agreed with BIIAB in advance of the assessment taking place.

Assessment Process

Assessment is the process used to judge the competence, of a learner, against set standards. The assessor is the person who is responsible for determining learners' competence. The assessor may be a work place supervisor or an external person who is trained and qualified, or working towards a qualification relevant to the assessor role.

Assessors base their judgement on performance and decide how it compares to the national standard. The assessor will also ask questions based on the knowledge required to do the work, to ascertain the knowledge and understanding of the learner.

When the required units have been completed and the assessor is satisfied that the learner has met the national standard, a recommendation for a certificate will be made.

An Internal Quality Assurer (IQA) is responsible for the quality assurance of the qualifications within the training organisation and will provide advice, guidance and support to the assessors. IQAs also ensure that the assessors apply the standards consistently and fairly. The IQA will review the portfolio of evidence during the assessment process.

An External Quality Assurer (EQA), who is appointed by BIIAB, will quality assure the assessment and internal quality assurance decisions involved in the development of the portfolio. The EQA will quality assure the qualification process, which ensures that certification of the qualification is reliable, consistent

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and to the national standard, by checking the consistency of assessments made by the training provider, and across training providers.

Requirements of assessors, external and internal verifiers

Candidates may be assessed, moderated or verified at work either by one or several appointed individuals.

Assessors - The primary responsibility of an assessor is to assess candidates' performance in a range of tasks and to ensure the evidence submitted by the candidate meets the requirements of the assessment criteria. It is important that an assessor can recognise occupational competence as specified by the national standard. Assessors therefore need to have a thorough understanding of assessment and quality assurance practices, as well as have in-depth technical understanding related to the qualifications for which they are assessing candidates. To be able to assess candidates, assessors **must**:

- hold an appropriate qualification, as specified by the appropriate regulatory authority, confirming their competence to assess candidates undertaking competence-based units and qualifications. Assessors holding older qualifications **must** be able to demonstrate that they are assessing to the current standards;

OR

- be working toward an appropriate qualification, as specified by the appropriate regulatory authority. Any assessors working towards an appropriate qualification **must** ensure their decisions are countersigned by a suitably-qualified assessor/verifier and should be supported by a qualified assessor throughout their training period.
- be 'occupationally competent'. Assessors must provide current evidence of competence, knowledge and understanding in the areas to be assessed. This will normally be achieved through demonstrating competence in the roles which are to be assessed, or demonstrated by relevant experience and continuing professional development (CPD) which may include the achievement of qualifications relevant to the areas being assessed.
- have a full and current understanding of the units of competence and requirements of the qualifications being assessed, including the quality of assessment and the assessment process. It is the responsibility of approved centres to select and appoint assessors.

Internal Quality Assurer (IQA) - A primary responsibility of IQAs is to assure the quality and consistency of assessments by the assessors for whom they are responsible. IQAs therefore need to have a thorough understanding of quality assurance and assessment practices, as well as sufficient technical understanding related to the qualifications that they are internally verifying. It will be the responsibility of the approved centre to select and appoint IQA's.

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IQAs **must**:

- hold an appropriate qualification, as specified by the appropriate regulatory authority, confirming their competence to internally verify competence-based assessments and candidates. IQAs holding older qualifications **must** be able to demonstrate that they are verifying to the current standards

OR

- be working toward an appropriate qualification, as specified by the appropriate regulatory authority. If an IQA is working towards an appropriate qualification, his/her decisions **must** be countersigned by a suitably qualified IQA and should be supported by a qualified IQA throughout the training period.
- be 'occupationally competent'. IQAs **must** demonstrate sufficient and current understanding of the qualifications to be internally verified, and know how they are applied in business.
- demonstrate competent practice in internal verification of assessment, and demonstrate understanding of the principles and practices of internal verification of assessment, including the quality of assessment and the assessment process.

External Quality Assurer (EQA) - The primary responsibility of EQAs is to assure quality of internal verification and assessments across the centres for which they are responsible. EQAs **must** have a thorough understanding of quality assurance and assessment practices, as well as in-depth technical knowledge related to the qualifications that they are externally verifying.

EQAs **must**:

- hold an appropriate qualification as specified by the appropriate regulatory authority, confirming their competence to verify competence-based assessments. EQAs holding older qualifications **must** be able to demonstrate that they are verifying to the current standards;

OR

- be working toward an appropriate qualification, as specified by the appropriate regulatory authority. If EQAs are working towards an appropriate qualification, their decisions **must** be countersigned by a suitably qualified EQA and should be supported by a qualified EQA throughout their training period.
- be 'occupationally competent'. EQAs must demonstrate sufficient and current

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understanding of the qualifications to be verified, and know how they are applied in business.

- demonstrate competent practice in external verification of assessment, and demonstrate understanding of the principles and practices of external verification of assessment, including the quality of assessment and the assessment process. It is the responsibility of the awarding organisation to select and appoint EQAs.

BIIAB and awarding organisations require all assessors, moderators and verifiers to maintain current competence to deliver these functions. BIIAB recognises this can be achieved in many ways. However, such information **must** be formally recorded in individual CPD records that are maintained in assessment centres.

Evidence from Workplace Performance

- Evidence of occupational competence of all competence units at any level, should be generated and collected through performance under workplace conditions. This includes the knowledge-based learning outcomes and assessment criteria of the competence units.
- These conditions would be those typical to the candidate's normal place of work. The evidence collected under these conditions should also be as naturally occurring as possible. It is accepted that not all employees have identical workplace conditions and therefore there cannot be assessment conditions that are identical for all candidates. However, assessors **must** ensure that, as far as possible, the conditions for assessment should be those under which the candidate usually works.

Level 3 Assessor Units

When planning the assessment of unit A1 Understanding the principles and practices of assessment with a learner, BIIAB encourages the following approach in most instances, however the individual requirements of each Learner should be taken into account.

Due to the size of the unit it is impractical to assess this unit in one discussion. It is more appropriate to assess it through two or three discussions depending on the learner and assessment needs. The discussions could cover the following:

- 1st Discussion – Covers the assessment criteria within the Learning Outcomes 1, 2, and 3.
- 2nd Discussion – Covers the assessment criteria within the Learning Outcomes 4, 5 and 6.
- 3rd Discussion – Covers the assessment criteria within the Learning Outcomes 7 and 8.

The 2nd and 3rd discussion could be combined if preferred and suitable to do so.

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When carrying out the discussion, it is important to set some scenarios eg:

- “If you were planning an assessment to cover...”
- “How would you deal with ...?”
- “What if...?”

When assessing this unit in conjunction with either of the following units:

- A2 Assess Occupational Competence in the Work Environment
- A3 Assess Vocational Skills, Knowledge and Understanding

the process may be holistic and the discussions can be based around the performance evidence produced by the Assessor Learner.

For units A2 Assess occupational competence in the work environment and A3 Assess vocational skills, knowledge and understanding evidence for all learning outcomes must come from performance in the work environment. There must be evidence to cover all of the assessment methods listed in the unit. As a minimum, there must be performance evidence for at least three of the following assessment methods:

- assessments of the learner in simulated environments
- skills tests
- oral and written questions
- assignments
- projects
- case studies
- recognising prior learning

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

Carrying out a Discussion

When carrying out a discussion, BIIAB recommends that discussions are kept to 20 minutes or less. For this length of discussion there is no requirement to breakdown the discussion, detailing at which point of the discussion each Assessment Criteria has been covered. However, for discussions longer than 20 minutes, a breakdown is required. 20 minutes is a lengthy period of time for a discussion and if it is expected to take longer than this, the BIIAB recommends that the Assessor plans to conduct two separate discussions.

Appeals

If learners are dissatisfied with an assessment outcome, they have the right to appeal. The **main** reasons for an appeal are likely to be:

- Learners do not understand why they are not yet regarded as competent, because of unsatisfactory feedback from the assessor

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- Learners believe they are competent and that the assessor has misjudged them, or has failed to utilise some vital evidence

BIIAB Qualifications Limited expects most appeals from learners to be resolved within the centre. BIIAB Qualifications Limited will only consider a learner's appeal after the centre's internal appeals procedure has been fully exhausted.

For full details of the BIIAB Qualifications Limited's appeals procedure please refer to <https://biiab.co.uk/policies-and-procedures/>

Initial Assessment and Induction

Prior to the start of any programme it is recommended that centres should make an initial assessment of each learner. This is to ensure that the learners are entered for an appropriate type and level of qualification.

The initial assessment should identify the specific training needs that the learner has, and the support and guidance that they may require when working towards their qualification.

The centre must also identify any units the learner has already completed, or credits they have accumulated, relevant to the qualification.

BIIAB Qualifications Limited suggests that centres provide an induction programme to ensure the learner fully understands the requirements of the qualification they will work towards, their responsibilities as a learner, and the responsibilities of the centre.

Resources

BIIAB Qualifications Limited provides the following additional resources for this qualification:

- Evidence matrixes for the competence / NVQ units, including a Summative Reflective account template.
- Access to the units

All of these resources are available on request.

Evidence Matrixes

BIIAB Qualifications Limited provide a matrix that supports each competence unit. These are also identified within each of the unit information sections identified below. It is not essential that these resources are used to support the

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delivery of the content of the qualification; however they have been mapped against the learning outcomes and assessment criteria.

The evidence matrix is designed to help the learner and assessor with evidence collection. It is a mapping activity to ensure that all the 'Assessment Criteria' contained in the learning outcomes are covered, and is intended to help to keep the volume of evidence to a minimum. One matrix (or appropriate equivalent recording device) must be completed for each unit.

It is expected that a selection of various types of evidence is used as appropriate; columns in the matrix enable the assessor to enter the evidence type, e.g. Report, Log, Written Statement, and also the assessment method, e.g. Obs (= Observation), as shown in the assessment method key. By inserting portfolio reference numbers in the box provided, it will enable the assessor, IQA and EQA quickly to locate the evidence which is being submitted to demonstrate competence.

Examples of types of evidence learners could provide to prove competence:

- Record of observation of performance in the workplace
- Professional discussion
- Reflective account
- Product evidence (e.g. implementation plans, correspondence, work records)
- Testimony from senior colleagues/clients
- Personal report of actions and circumstances
- Recognition of Prior Achievement (RPA)
- Records of questioning
- Other

Access to the Units

Units form the qualification and the standard that **must** be achieved in order to be awarded each unit. This is covered within the learning outcomes, assessment criteria and the indicative content that form part of the delivery. BIIAB Qualifications Limited includes the mandatory units within this guidance document.

Learner Summative Reflection

In order to claim the unit(s) for the qualification, the learner will need to complete a learner summative reflection, to reflect on their qualification, what they have learnt and how they have been able to apply this within their work role.

Design and Delivery

Centres must refer to the units that form the qualification and the standard that must be achieved in order to be awarded each unit. This is covered within the learning outcomes and assessment criteria that forms part of the delivery.

Each unit within this qualification has been allocated a number of Guided Learning hours (GL).

This can include activities such as training/class room based sessions, tutorials, supervised study or supervised 'on-the-job' learning and face-to-face or other pre-arranged 1:1 teaching sessions (e.g. simultaneous electronic communication such as webcam contact or internet messaging). It could also include time spent undertaking assessments.

The qualification will be assigned Total Qualification Time (TQT), which, as well as GL, will include the estimated number of hours spent in preparation, study or any other supervised learning, study or assessment for an average learner.

When planning how to deliver the qualification it is important to refer to this definition.

BIIAB Qualifications Limited will not prescribe how the qualification is delivered, but centres must ensure the delivery chosen meets their learners' needs.

Format of Units

All units within this qualification will be presented in a standard format that is consistent with the format for all units of assessment. The format will give tutors and learners guidance as to the requirements of the unit for successful completion. Each unit within this guidance document will be in the format below:

Unit Title

This will be shown as it appears on the Register of Regulated Qualifications (<http://register.ofqual.gov.uk>).

Unit Number / Unit Reference Number (URN)

The Unit Reference Number is the unique code that the unit is given by the Regulator. This unit will be referenced on the final qualification certificate. The same unique code for the unit applies in whichever qualification the unit is

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included within. BIIAB Qualifications Limited also assign unique unit numbers which is consistent when the unit is used in multiple BIIAB qualifications.

Level

This identifies the level of demand for the unit, but may be a different level to that of the overall qualification. The level of the units will be set according to National Occupational Standards and the level descriptors.

Credit

When a whole unit is completed the learner will achieve credits specified by the number of hours' learning time it will take an average learner to complete the unit including the assessment.

Guided Learning Hours (GLH)

The required number of hours that learning should take place under the immediate guidance or supervision of a lecturer, supervisor, tutor or other appropriate provider of education or training.

Total Qualification Time (TQT)

Total Qualification Time (TQT) is defined by Ofqual as the number of notional hours which represents an estimate of the total amount of time that could reasonably be expected to be required in order for a Learner to achieve and demonstrate the achievement of the level of attainment necessary for the award of a qualification. TQT is comprised of the following two elements:

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

TQT is always assigned to the qualification however a similar calculation may on occasions also be assigned to a unit.



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Learning Outcomes and Assessment Criteria

Learning Outcomes are what the learner is expected to know, understand or be able to do upon successful completion of the unit.

Assessment Criteria are descriptions of the requirements that a learner is expected to meet in order to demonstrate that a learning outcome has been achieved.

Initial Registration

Registration and Certification

Learners should be registered and certificated via BIIAB Qualifications Limited's Customer Management System.

Equal Opportunities and Diversity Policy

BIIAB Qualifications Limited has in place an equal opportunities policy, a copy can be found at <https://www.biiab.co.uk/policies-and-procedures/>

BIIAB Qualifications Limited is committed to ensure that:

- approved centres operate an equal opportunities policy
- approved centres communicate the policy to staff and learners
- approved centres have an effective complaints and appeals procedure of which both staff and learners are made aware
- approved centres are aware of their responsibilities in providing equality of opportunity, particularly with regard to provision for learners with particular assessment requirements

Reasonable Adjustment Policy

Learners who require reasonable adjustments for their assessments must inform their assessor at the beginning of their course of their requirements. BIIAB Qualifications Limited has a reasonable adjustment policy in place, a copy of which is provided to all approved centres and can be found at <https://www.biiab.co.uk/policies-and-procedures/>



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Qualification Review and Feedback

BIIAB Qualifications Limited is committed to the ongoing review of this qualification to ensure it remains fit for purpose.

This review approach involves the collation of evidence in the form of any information, comments and complaints received from users of this qualification in relation to its development, delivery and award.

BIIAB Qualifications Limited will give due regard to any credible evidence received which suggests that a change in approach to the development, delivery and award of this qualification is required in order to ensure that no adverse effects will result. This qualification will be periodically reviewed and revised to ensure the content remains relevant, assessment approach remains appropriate and that it remains valid and fit for purpose.

Mandatory Units

The following units are mandatory for this qualification.

Understanding the principles and practices of assessment

Unit Reference	D/601/5313
BIIAB Reference	A1
Level	3
Credit Value	3
Guided Learning (GL)	24
Unit Summary	This unit provides the learner with the skills and knowledge to understand the principles and practice of assessment.
Learning Outcomes (1 to 8) The learner will:	Assessment Criteria (1.1 to 8.4) The learner can:
1. Understand the principles and requirements of assessment	1.1 Explain the function of assessment in learning and development 1.2 Define the key concepts and principles of assessment 1.3 Explain the responsibilities of the assessor 1.4 Identify the regulations and requirements relevant to the assessment in own area
2. Understand different types of assessment method	2.1 Compare the strengths and limitations of a range of assessment methods with reference to the needs of individual learners
3. Understand how to plan assessment	3.1 Summarise key factors to consider when planning assessment 3.2 Evaluate the benefits of using a holistic approach to assessment 3.3 Explain how to plan a holistic approach to assessment 3.4 Summarise the types of risks that may be involved in assessment in own area of responsibility

	3.5 Explain how to minimise risks through the planning process
4. Understand how to involve learners and others in assessment	<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>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>
5. Understand how to make assessment Decisions	<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
6. Understand quality assurance of the assessment process	<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>

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<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>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>