

Unit 301 Understanding the Principles and Practices of Assessment

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

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Terminology

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

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

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

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

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2. Understand different types of assessment method	2.1 compare the strengths and limitations of a range of assessment methods with reference to the needs of individual learners	<p>The strengths and weaknesses of four different assessment methods selected from:</p> <ul style="list-style-type: none"> • observation of performance in the work environment • examining products of work • discussing with the learner • use of others (witness testimony) • looking at candidate statements • recognising prior learning • assessments in simulated environments • skills tests • oral and written questions • assignments • projects • case studies <hr/> <p><i>Holistic assessment opportunities</i> If the candidate assessor is also attempting either of the following units:</p> <ul style="list-style-type: none"> • <i>Assess occupational competence in the work environment</i> • <i>Assess vocational skills, knowledge and understanding</i> <p>evidence for the above could come from a discussion with the candidate assessor about why they have selected particular assessment methods.</p>

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

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

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

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

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

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

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7. Understand how to manage information relating to assessment of occupational competence	7.1 explain the importance of following procedures for the management of information relating to assessment	The importance of the candidate assessor completing and storing assessment records in order to: <ul style="list-style-type: none"> • provide accurate information on learner achievement • contribute to quality assurance and standardisation processes • provide a basis for feedback to the learner and review learner progress • make available information in the event of appeals
	7.2 explain how feedback and questioning contributes to the assessment process	How feedback to the learner and others assists transparency of the assessment process and assists learner progression. <i>Holistic assessment opportunities</i> If the candidate assessor is also attempting either of the following units: <ul style="list-style-type: none"> • <i>Assess occupational competence in the work environment</i> • <i>Assess vocational skills, knowledge and understanding</i> evidence for the above could come from a discussion with the candidate assessor about why they provided feedback to the learner.
8. Understand the legal and good practice requirements in relation to assessment	8.1 explain legal issues, policies and procedures relevant to assessment, including those for confidentiality, health, safety and welfare	Legal requirements and the policies and procedures of own organisation and awarding organisation concerning: <ul style="list-style-type: none"> • health and safety, including learner emotional welfare • confidentiality • transparency • record keeping • equal opportunities and diversity • compliance with the relevant assessment strategy if assessing a qualification

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

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