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# Handbook

AUA03 – VTCT (Skillsfirst) Level 3 Award in  
Understanding the Principles and Practices of  
Assessment (RQF)

501/1745/2

Version 6

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# About Skillsfirst

VTCT is a market-leading Awarding, Assessment and End-point Assessment (EPA) Organisation offering vocational and technical qualifications in a range of 'services to people' sectors.

The VTCT group of companies are comprised of three innovative awarding brands: VTCT, ITEC and Skillsfirst. Together they have over 2,500 approved centres in over 40 countries across the world.

The qualifications suite offered by VTCT (Skillsfirst) spans a range of sectors including Childcare, Business Services, Health & Social Care, Recruitment and Social Media.

For more information visit us at [www.vtct.org.uk](http://www.vtct.org.uk) and [www.skillsfirst.co.uk](http://www.skillsfirst.co.uk), contact our dedicated Customer Support Team via email at [customersupport@vtct.org.uk](mailto:customersupport@vtct.org.uk) and [customerservices@skillsfirst.co.uk](mailto:customerservices@skillsfirst.co.uk) or call 0121 270 5100

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# 1 Qualification at a glance

<b>Qualification title</b>	VTCT (Skillsfirst) Level 3 Award in Understanding the Principles and Practices of Assessment (RQF)
<b>Qualification number</b>	501/1745/2
<b>Product code</b>	AUA03
<b>Age range</b>	There are no age limits attached to learners undertaking this qualification, unless this is a legal requirement of the process or the environment.
<b>Credits</b>	3
<b>Total Qualification Time (TQT)</b>	30
<b>Guided Learning (GL) hours</b>	24
<b>Assessment</b>	To be awarded this qualification, learners must successfully achieve the following assessments: <ul style="list-style-type: none"><li>• Portfolio of evidence</li><li>• Skills-based assessment (if applicable)</li></ul>
<b>Entry requirements</b>	There are no formal entry requirements for learners undertaking this qualification; however centres must ensure that learners have the potential and opportunity to gain evidence for the qualification in the work place.
<b>Legal considerations</b>	There are no formal entry requirements for learners undertaking this qualification however, centres must ensure that learners have the potential and opportunity to gain evidence for the qualification in the work place.
<b>Support materials</b>	Support materials can be found on the website (if applicable)

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## 2 Qualification information

### 2.1 Qualification aim and design

The VTCT (Skillsfirst) Level 3 Award in Understanding the Principles and Practices of Assessment (RQF) is intended for those who wish to gain an understanding of the principles and practices of assessment without any requirement to practice as assessors.

This qualification is ideal, therefore, for those individuals new to assessment and hoping to become an assessor. In addition, it is beneficial for those whose role requires them to know about essential principles and practices of assessment, but never practice, for example, programme administrators and managers.

### 2.2 Progression opportunities

On completion of individual qualification(s), learners may develop within the assessor role or progress either into the internal quality assurance of assessment processes and practice or onto direct delivery learning programmes.

Learners could progress onto the:

- VTCT (Skillsfirst) Level 4 Award in Understanding the Internal Quality Assurance of Assessment Processes and Practice (RQF)

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## 3 Qualification structure

To be awarded the VTCT (Skillsfirst) Level 3 Award in Understanding the Principles and Practices of Assessment (RQF) learners must achieve the mandatory unit. All **3** credits must be achieved.

The minimum TQT required to achieve this qualification is **30**.

Product code	Unit title	Level	Credit	Unit reference number
<b>Mandatory units (Group M)</b>				
AV01	Understanding the principles and practices of assessment	3	3	D/601/5313

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# 4 Centre requirements

## 4.1 Resources

Centres must possess the physical resources needed to support the delivery of the programme and the assessment of knowledge and skills, which should therefore be of industry standard. Where specific resources are required these have been indicated in individual units.

## 4.2 Occupational expertise of those who assess and quality assure assessments

All those who assess these qualifications must:

- already hold the qualification (or previous equivalent qualification) 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 learner performance using a range of methods, or
  - D32 Assess learner performance and D33 Assess learner using differing sources of evidence.
- show current evidence of continuing professional development in assessment and quality assurance

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 learner performance using a range of methods, or
  - D32 Assess learner performance and D33 Assess learner 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

### 4.3 Continuous professional development (CPD)

The sector requires all assessors and those carrying out quality assurance to maintain current assessment and quality assurance competence as necessary to deliver these functions. The LLUK recognises this can be achieved in many ways but must be recorded in individual continual professional development (CPD) records that are maintained in Lifelong Learning assessment centres.

### 4.4 Total Qualification Time (TQT)

Each qualification has a Total Qualification Time (TQT) value based on the total number of hours learning required to achieve it. The TQT value reflects the number of supervised learning hours required to achieve the knowledge and assessment requirements, plus the length of time a learner would need to take to achieve the skills and capabilities to be deemed competent. All RQF qualifications are subject to an evaluation process to determine their fitness-for-purpose.



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# 5 Assessment

## 5.1 Summary of assessment methods

For this qualification, learners will be required to provide a portfolio of evidence for each unit.

## 5.2 Recognition of prior learning (RPL)

RPL is a method of assessment that considers whether a learner can demonstrate that they can meet the assessment requirements for a component of a qualification through knowledge, understanding or skills that they already possess and do not need to develop through a course of learning. Should any opportunities for RPL be identified, it is important that a complete process of recognising prior experience and learning is undertaken, by ensuring that:

- it covers relevant or appropriate experience for previous activities, as well as accredited learning and qualifications
- it is incorporated into the assessment planning, with details of how this will take place
- mapping of prior learning to the national occupational standards to identify gaps is documented and auditable
- assessment methods or processes for recognising prior experience and learning, are documented and made available to the external verifier
- the audit trail covers the whole process and methodology of RPL
- the authenticity and currency of presented evidence is established by the assessor

This evidence will need to be referenced clearly on recording documentation and will need to be appropriately authenticated and validated, perhaps by an employer or expert witness. Assessment must be valid and reliable to ensure the integrity of the award. The evidence gathered must meet the standards of the qualification or component and the assessment process must be subject to the same quality assurance procedures as any other assessment process.

In summary, evidence submitted to the RPL process must:

- be authentic and prove conclusively that RPL is based on the learner's own work;
- meet the requirements of the current the skills and knowledge requirements and be appropriate to the content of the component or qualification being considered for RPL;
- be sufficient to conclusively prove consistency of learner performance in meeting the skills and knowledge requirements

## 5.3 Assessing performance

Assessment of individual units of the Level 3 and 4 assessor and quality assurance qualifications are detailed within the evidence requirements and assessment guidance for each unit.

## 5.4 Simulation

Simulation may be used for Level 3 and 4 assessor and quality assurance qualifications AUA03 and QUA04. For further details, please see the evidence requirements and assessment guidance for each unit.

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# 6 Units

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# Unit Handbook

## AV01 – Understanding the principles and practices of assessment

Unit reference number: D/601/5313

**Level: 3**

**Credit value: 3**

**Guided Learning (GL) hours: 24**

### Unit aim

The aim of this unit is to assess the learning and development practitioner's knowledge and understanding of the principles and practices of assessment. 'Practitioner' means anyone with a learning and development responsibility as the whole or a part of their role

### Learning outcomes

There are eight outcomes to this unit. The learner will:

LO1 Understand the principles and requirements of assessment

LO2 Understand different types of assessment method

LO3 Understand how to plan assessment

LO4 Understand how to involve learners and others in assessment

LO5 Understand how to make assessment decisions

LO6 Understand quality assurance of the assessment process

LO7 Understand how to manage information relating to assessment

LO8 Understand the legal and good practice requirements in relation to assessment

Version 1.0

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# Unit content

## Evidence requirements and assessment guidance

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.

## Details of the relationship between the unit and relevant national occupational standards (if appropriate)

This unit is linked to the National Occupational Standards for Learning and Development Standard 9: Assess learner achievement.

## Endorsement of the unit by a sector or other appropriate body

This unit is endorsed by Lifelong Learning UK (LLUK), the sector skills council for learning and development.

## Functional skills

This unit could contribute towards the Functional Skills in the following areas:

- English Level 2
- Mathematics Level 2
- ICT Level 1

# Learning outcomes

Learning Outcome	Assessment Criteria
LO1 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

Learning Outcome	Assessment Criteria
LO2 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

Learning Outcome	Assessment Criteria
LO3 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

Learning Outcome	Assessment Criteria
LO4 Understand how to involve learners and others in assessment	4.1 Explain the importance of involving the learner and others in the assessment process
	4.2 Summarise types of information that should be made available to learners and others involved in the assessment process
	4.3 Explain how peer and self-assessment can be used effectively to promote learner involvement and personal responsibility in the assessment of learning
	4.4 Explain how assessment arrangements can be adapted to meet the needs of individual learners

<b>Learning Outcome</b>	<b>Assessment Criteria</b>
LO5 Understand how to make assessment decisions	5.1 Explain how to judge whether evidence is: <ul style="list-style-type: none"> <li>• sufficient</li> <li>• authentic</li> <li>• current</li> </ul>
	5.2 Explain how to ensure that assessment decisions are: <ul style="list-style-type: none"> <li>• made against specified criteria</li> <li>• valid</li> <li>• reliable</li> <li>• fair</li> </ul>

<b>Learning Outcome</b>	<b>Assessment Criteria</b>
LO6 Understand quality assurance of the assessment process	6.1 Evaluate the importance of quality assurance in the assessment process
	6.2 Summarise quality assurance and standardisation procedures in own area of practice
	6.3 Summarise the procedures to follow when there are disputes concerning assessment in own area of practice

<b>Learning Outcome</b>	<b>Assessment Criteria</b>
LO7 Understand how to manage information relating to assessment	7.1 Explain the importance of following procedures for the management of information relating to assessment
	7.2 Explain how feedback and questioning contribute to the assessment process

<b>Learning Outcome</b>	<b>Assessment Criteria</b>
LO8 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
	8.2 Explain the contribution that technology can make to the assessment process
	8.3 Evaluate requirements for equality and diversity and, where appropriate, bilingualism in relation to assessment
	8.4 Explain the value of reflective practice and continuing professional development in the assessment process

### AV01 Document History

Version	Issue Date	Changes	Role
V1.0	31/01/2023	Re-branded	Qualification Administrator

### AUA03 Document History

Version	Issue Date	Changes	Role
v6	10/02/2023	Formatting and re-branding. No content amendment.	Data Administrator