



ASSESSMENT PRINCIPLES

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1. Introduction

This document sets out the principles and approaches to unit/qualification assessment required by ABBE. The information contained within this document is intended to support the quality assurance processes of ABBE centres and should be read alongside individual qualification/unit assessment requirements.

Centres should be aware that for certain groups of qualifications there are Assessment Principles that are sector specific. The Assessment Principles for these qualifications is mandated by authorities that are expert in the sector and have the remit to define how these specific qualifications are assessed, internally quality assured and externally quality assured. The list of qualifications to which subject specific assessment principles apply can be found in **Appendix B**.

2. Assessment

To achieve the full unit/qualification, learners must meet all of the learning outcomes and assessment criteria identified in each unit of the qualification. Evidence should be developed over a period of time and may be assessed using different assessment methods. Where a particular assessment method is required for the qualification, this will be highlighted in the assessment requirements of the individual unit of the qualification.

2.1 Assessment of Skills Based Learning

Assessment of skills based units and qualifications should ideally be carried out within the workplace, this should include direct observation where possible. However, where this is not possible learners can be assessed within an approved Realistic Working Environment (RWE) that replicates a real work setting. The criteria for RWE can be found under **Definitions** at section 6 of this document.

Learner evidence of skills for units at any level should be generated and collected through performance under workplace conditions. These conditions would be those typical to the learner'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 learners have identical workplace conditions and therefore assessment conditions will not be identical for all learners. However, Assessors must ensure that, as far as possible, the conditions for assessment should be those under which the learner usually works.

2.2 Assessment of Knowledge Based Learning

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; this can be classroom based learning.

Where an examination is the only method used to assess knowledge based learning this needs to cover all assessment criteria (AC). Where the examination does not cover all assessment criteria, additional assessment will be required to cover the AC not covered by the examination, for example, a Professional Discussion could be utilised to cover any AC not included in the examination.

Assessment of Knowledge Based Learning via examination must use one of the following four examination methodologies:



Using the ABBE Secured online examination system (Pearson Vue or OnVue System)

Pearson Vue

This system allows learners to undertake the examination under controlled conditions in a physical test centre. Information in relation to the availability of this to centres is included in the Pearson VUE User Guide for Centres and Learners document which is available on the ABBE website.

OnVue System

This system allows learners to undertake the examination under controlled conditions by accessing an online E Proctored examination. Information in relation to the availability of this to centres is included in the 'E Proctoring System Requirements' document which is available in the Centres area of the ABBE website.

Using an Approved E Proctored System

Centres can use alternative E proctored systems. However, ABBE needs to authorise use of any alternative E Proctoring systems before the centre can use them. ABBE has produced a document 'E Proctoring System Requirements' which sets out the requirements that ABBE has set out for the conduct of E proctored examinations.

Classroom Based Examinations under Invigilated Conditions

ABBE has produced a document 'Guide for Invigilating Examinations' which sets out the requirements that ABBE has set for the conduct of examinations based in a classroom environment.

Centre Delivered Electronic Examinations

Centres can upload and deliver examinations from their own systems, e.g. Moodle. Where a centre chooses to adopt this method, the requirements set out in the 'E Proctoring System Requirements' document must be complied with.

2.3 Simulation

Simulation may only be utilised as an assessment method for skills-based learning outcomes where this is specified in the assessment requirements of the individual unit.

The use of simulation should be restricted to obtaining evidence where the evidence cannot be generated through normal work activity; or in instances where it is highly unlikely that the evidence requirement would be naturally occurring, for example, the administration of CPR to a patient.

2.4 Expert Witnesses

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 Internal Quality Assurer (IQA) and agreed with the ABBE External Quality Assurer (EQA) prior to use.

2.5 Assessor Requirements

Assessment decisions for knowledge based learning outcomes i.e. those beginning with 'Know... or Understand...' must be made by an occupationally knowledgeable Assessor, with up to date knowledge of the industry.

Those making assessment decisions for skills based requirements, i.e. those beginning with 'Be able to...' will be both currently, occupationally knowledgeable and occupationally competent to assess units and qualifications for which they have the expertise. They will need



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to be knowledgeable and competent at the level (or above) in the vocational area that they are assessing, as well as competent to make assessment decisions.

In this instance, competent to make assessment decisions means that the Assessor holds, or is **working towards**, a current, recognised Assessor qualification (L3 Certificate in Assessing Vocational Achievement, A1/A2 or D32/33, etc.), or, if they do not hold one of these qualifications, is working towards achievement and implements the practice from the standards of assessment practice as set out in the **Learning and Development National Occupational Standard 09 Assess Learner Achievement**.

In some instances ABBE does **not** expect the Assessor to hold a formal qualification, however, we would 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**. The qualifications to which this applies are listed in **Appendix A**.

Assessors 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, the centre should notify ABBE and agree the additional quality assurance checks to be put in place.

Where a qualification is based on knowledge and understanding only, and is assessed by means of an external examination only, the role of the Assessor is not required.

3. Internal Quality Assurance (IQA)

Internal quality assurance is key to ensuring that the assessment of evidence for units and qualifications is of a consistent and appropriate quality. Centres will need to demonstrate that assessment is being monitored for consistency, reliability, 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 vocational area they are assuring and be competent to make quality assurance decisions.

3.1 Internal Quality Assurer Requirements

ABBE requires those responsible for internal quality assurance to hold or to be **working towards** a current, recognised Quality Assurance qualification (L4 Award in the Internal Quality Assurance of Assessment Processes and Practice, D34 or V1 etc).

In some instances ABBE does **not** require those responsible for internal quality assurance to hold a formal qualification, however, 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**. The qualifications to which this applies are listed in **Appendix A**.

The Internal Quality Assurer is responsible for the integrity of the unit/qualification that is being claimed 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 ABBE has been notified and additional quality assurance measures put in place.

Where a qualification is based on knowledge and understanding only, and is assessed by means of an external examination only, the role of the Internal Quality Assurer **is not required**.

4. External Quality Assurance (EQA)

ABBE External Quality Assurers are appointed against rigorous criteria and have responsibility for ensuring the integrity and quality of units and qualifications awarded by ABBE. The External Quality Assurer will work with centres to ensure that all ABBE and regulatory requirements are met.



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ABBE appoints the External Quality Assurers to centres.

4.1 External Quality Assurer Requirements

ABBE requires those responsible for external quality assurance to hold **or to be working toward** a current, recognised Quality Assurance qualification (L4 Award in the External Quality Assurance of Assessment Processes and Practice, V2 or D35 etc.).

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

There are a small number of niche qualifications for which the external quality assurer is not required to hold a recognised quality assurance qualification. These instances are very few and arise due to the niche or specialist nature of the qualification subject. In these instances the external quality assurer should meet the standards of the current recognised EQA qualifications. The qualifications to which this applies are listed in **Appendix A**.

Where a qualification is based on knowledge and understanding only, and is assessed by means of an external examination only, the role of the External Quality Assurer **is not required**.



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5. Standards Moderation

Standards Moderation is the process used by ABBE to ensure, that where assessments are internally set and marked within the centre, that the marks awarded within the centre are consistent and are in line with the marking criteria of the qualification.

Standards moderation involves a review of the marking of the learner's examination papers, documentation, transcripts or recordings against the set marking criteria of the qualification.

Standards Moderation is required to ensure that all learners achieve a consistent level of marking regardless of the centre or the time at which the assessment is conducted.

Standards Moderation takes place before results are issued to learners.

Standards Moderation involves two stages as follows:

5.1 Confirmation of the Learner

The Standards Moderator requires photographic ID shown next to the learner undertaking the assessment (this can be achieved by the learner holding a copy of their passport, open at the photograph page, next to their face). This ID check should be recorded by the centre and made available to the Standards Moderator during the Standards Moderation process.

In addition to the photographic ID requirements, centres should also supply the Standards Moderator with a signed declaration from both the learner and the centre Assessor confirming that the work submitted is that of the learner.

5.2 Standards Moderation of Learner Submissions

Standards Moderation is a review of the marking of learner's examination papers, transcripts or recordings against the set marking criteria for the qualification.

5.3 How is Standards Moderation carried out?

- Learners must be registered with ABBE before undertaking any assessments for the qualification
- Centres will inform ABBE of the details of each learner (full name and learner registration number) undertaking a given assessment within each cohort
- ABBE will share this information with the allocated Standards Moderator
- **Centres will produce the learner authentication material (photos of the learner alongside the photographic ID)**
- Learners will then undertake assessments in line with the qualification requirements
- Completed assessments will be marked by centre staff, who will indicate a pass or fail for each learner
- Centres will also complete the learner and Assessor declarations
- The centre will scan and email all completed assessments (this should be for all learners who undertook the assessment, including all pass and fail) for the cohort, to the allocated Standards Moderator
- At the same time, the centre will complete and sign the qualification CRF for each learner that it considers has passed the assessment and will also scan and email this to the allocated Standards Moderator
- The Standards Moderator will contact ABBE to determine if all learners supplied by the centre for the cohort are registered for the qualification
- Once learner registration has been confirmed, the Standards Moderator will review the marking of a sample of the assessments against the set marking criteria for the qualification
- The Standards Moderator will 'sign off' a CRF for each learner for which marking is confirmed and will forward this to ABBE
- ABBE will notify the centre on the outcomes of the Standards Moderation and will issue qualification certificates as appropriate



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5.4 Requirements for Standards Moderators

ABBE requires Standards Moderators to have an understanding of the standards moderation process and an awareness of the subject matter. The Standards Moderator must be able to mark in line with the marking scheme.

ABBE appoints Standards Moderators to qualifications and centres.

Standards Moderation is carried out before any results are issued to the centre.

The qualifications to which Standards Moderation apply are included in Appendix C of this document.



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6. Definitions

6.1 Occupationally competent:

This means that each Assessor must be capable of carrying out the requirements within the skills unit(s) they are assessing. Occupational skills must be at unit level which might mean different Assessors are needed across a whole qualification. Being occupationally competent means they are also occupationally knowledgeable. Their occupational skills should be maintained through clearly demonstrable continuing learning and professional development.

6.2 Occupationally knowledgeable:

This means that each Assessor should possess relevant knowledge and understanding, and be able to assess this in units designed to test specific knowledge and understanding, or in units where knowledge and understanding are components of a skill. This occupational knowledge should be maintained through clearly demonstrable continuing learning and professional development.

6.3 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 units on which their expertise is based
- be occupationally competent in their area of expertise

The centre will have to approve the expert witness but a centre Assessor will judge the evidence provided by the expert witness against the assessment criteria.

6.4 Realistic Working Environment (RWE)

A Realistic Working Environment gives the learner the opportunity to be assessed in an environment which reflects a real work setting. This will ensure that any skills 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
- assessment must be carried out under realistic business pressures
- all services that are carried out should be completed in a way, and to a timescale, that is acceptable in business organisations
- learners must be expected to achieve a volume of work comparable to normal business practices
- the range of services, products, tools, materials and equipment that the learner uses must be up to date and available
- account must be taken of any legislation or regulations in relation to the type of work that is being carried out
- learners must be given workplace responsibilities to enable them to meet the requirements of the units
- any customer perceptions of the RWE are similar to that found in the work situation being represented



Appendix A

Assessor Qualification Exemptions

There are a number of ABBE portfolio-based qualifications for which the experience and occupational competence of the Assessment Team is recognised and for which Assessors are not required to hold or to be working towards formal Assessor qualifications (A1, A2, etc.). However, please note, that other than no requirement for Assessors to hold or to be working towards formal Assessor qualifications, the ABBE assessment principles still apply to these qualifications.

The qualifications to which this applies are listed below:

- Level 3 Certificate in Basic Sectional Overhead & Roller Shutter Installation
- Level 3 Certificate in Sectional Overhead & Roller Shutter Faults & Repair
- Level 3 Certificate in Advanced Sectional Overhead Door Installation
- Level 3 Award in Advanced Sectional Overhead Door Faults & Repair
- Level 3 Award in Installation, Faults & Repair of Roller Shutter
- Level 3 Award in Installation, Faults & Repair of High-Speed Doors
- Level 2 Certificate for the Water Jetting Technician
- Level 6 Award External Wall System Assessments
- Level 3 Certificate in Domestic Energy Assessment
- Level 3 Certificate in Domestic On Construction Energy Assessment
- Level 3 Certificate in Non-Domestic Energy Assessment
- Level 4 Diploma in Non-Domestic Energy Assessment
- Level 3 Diploma in Operational Ratings
- Level 3 Award in Fire Door Inspection
- Level 3 Certificate in Fire Risk Assessment
- Level 4 Diploma in Fire Risk Assessment
- Level 3 Certificate for Retrofit Assessors
- Level 3 Award in Energy Efficiency for Older and Traditional Buildings
- Level 3 Award in Introduction to Domestic Retrofit

Internal Quality Assurer Qualification Exemptions

There are a number of ABBE portfolio-based qualifications for which the experience and occupational competence of the Assessment Team is recognised and for which Internal Quality Assurers (IQAs) are not required to hold or to be working towards formal IQA qualifications (L4 Award in the Internal Quality Assurance of Assessment Processes and Practice, D34 or V1 etc.). However, please note, that other than no requirement for IQAs to hold or to be working towards formal IQA qualifications, the ABBE assessment principles still apply to these qualifications.

The qualifications to which this applies are listed below:

- Level 3 Certificate in Basic Sectional Overhead & Roller Shutter Installation
- Level 3 Certificate in Sectional Overhead & Roller Shutter Faults & Repair
- Level 3 Certificate in Advanced Sectional Overhead Door Installation
- Level 3 Award in Advanced Sectional Overhead Door Faults & Repair
- Level 3 Award in Installation, Faults & Repair of Roller Shutter
- Level 3 Award in Installation, Faults & Repair of High-Speed Doors
- Level 2 Certificate for the Water Jetting Technician
- Level 6 Award in External Wall System Assessments
- Level 3 Certificate in Domestic Energy Assessment
- Level 3 Certificate in Domestic On Construction Energy Assessment



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- Level 3 Certificate in Non-Domestic Energy Assessment
- Level 4 Diploma in Non-Domestic Energy Assessment
- Level 3 Diploma in Operational Ratings
- Level 3 Award in Fire Door Inspection
- Level 3 Certificate in Fire Risk Assessment
- Level 4 Diploma in Fire Risk Assessment
- Level 3 Certificate for Retrofit Assessors
- Level 3 Award in Energy Efficiency for Older and Traditional Buildings
- Level 3 Award in Introduction to Domestic Retrofit

External Quality Assurer Qualification Exemptions

Currently there are no ABBE qualifications for which External Quality Assurers (EQAs) are not required to hold or to be working towards formal EQA qualifications (Level 4 Certificate in Leading the External Quality Assurance of Assessment Processes and Practice, D35, V2 etc.).



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Appendix B

Please note, there are three groups of qualifications that have Assessment Principles that are unique to their sector. These two groups are listed below:

Group 1:

- ABBE Level 3 Award in Emergency First Aid at Work
- ABBE Level 3 Award in Emergency First Aid at Work

The assessment principles that apply to these two qualifications are called **Assessment Principles for Regulated First Aid Qualifications** and are on the centre's section of the ABBE website.

Group 2:

- ABBE Level 2 NVQ Diploma in Insulation Building Treatments (Cavity Wall Insulation)
- ABBE Level 2 NVQ Diploma in Insulation and Building Treatments (Cold Roof Insulation)
- ABBE Level 2 NVQ Diploma in Insulation and Building Treatments (Solid Floor Insulation)
- ABBE Level 2 NVQ Diploma in Insulation and Building Treatments (Underfloor Insulation)
- ABBE Level 2 NVQ Diploma in Insulation and Building Treatments (Wall Tie Replacement)
- ABBE Level 2 NVQ Diploma in Insulation and Building Treatments (Wood Preserving and Damp Proofing)
- ABBE Level 3 NVQ Diploma in Insulation Building Treatments (External Wall Insulation – Boarder and Finisher)
- ABBE Level 3 NVQ Diploma in Insulation Building Treatments (External Wall Insulation – Boarder)
- ABBE Level 3 NVQ Diploma in Insulation Building Treatments (External Wall Insulation – Finisher)
- ABBE Level 3 NVQ Diploma in Insulation Building Treatments (Insulating Framed Sections)
- ABBE Level 3 NVQ Diploma in Insulation Building Treatments (Hybrid Wall Insulation)
- ABBE Level 3 NVQ Diploma in Insulation Building Treatments (Internal Wall Insulation)
- ABBE Level 3 NVQ Diploma in Insulation and Building Treatments (Room in Roof)

- ABBE Level 3 NVQ Diploma in Building Control Technical Support
- ABBE Level 3 NVQ Diploma in Town Planning Technical Support
- ABBE Level 6 NVQ Diploma in Building Control
- ABBE Level 6 NVQ Diploma in Conservation

The assessment principles that apply to these qualifications are called **Consolidated Assessment Strategy for Construction and the Built Environment – Craft, Supervisory, Technical, Managerial and Professional National Vocational Qualifications (NVQs) and Scottish Vocational Qualifications (SVQs)** and are on the centre's section of the ABBE website.

Group 3:

- ABBE Level 3 Diploma in Healthcare Support



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The assessment principles that apply to this qualification are called **Skills for Health Assessment Principles for Qualifications that Assess Occupational Competence** and are on the centre's section of the ABBE website.



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Appendix C

The qualifications that have Standards Moderation requirements are listed below:

- ABBE Level 2 Award in Automated Gate and Traffic Barrier Safety
- ABBE Level 2 Award in Industrial and Garage Door Safety
- ABBE Level 4 Award in Industrial Door and Garage Door and Automated Gate and Traffic Barrier legislation

- ABBE Level 4 Certificate in Built to Rent and Private Rented Sector
- ABBE Level 4 Certificate in Leasehold Property Management
- ABBE Level 3 Diploma in Residential Property Management (Leasehold/Estate)



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