

Qualification Specification

Focus Awards Level 3 Certificate in
Preparing to Work in Adult Social Care
(RQF)

601/7450/X

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Focus Awards Level 3 Certificate in Preparing to Work in Adult Social Care (RQF)

Qualification Details

QAN: 601/7450/X

GLH: 190

TQT: 210

Credit: 21

Qualification Purpose

The Focus Awards Level 3 Certificate in Preparing to Work in Adult Social Care (RQF) is aimed at learners working in a health and social care role and those looking towards a career in this sector in a supervised job role.

The Focus Awards Level 3 Certificate in Preparing to Work in Adult Social Care (RQF) is aimed at developing learners knowledge and understanding of the following areas relating to working in adult social care:

- Communication
- Duty of care
- Equality, diversity and inclusion
- Handling information
- Health and safety
- Personal development
- Person centred approaches
- Role of the social care worker
- Safeguarding

Qualification Structure/Rules of Combination

Learners must achieve **the following 9 mandatory units** totalling **21 credits**.

Unit Title	Unit Ref	Level	GLH	Credit
Mandatory				
Understand how to handle information in social care settings	D/602/3119	3	9	1
Understand health and safety in social care	L/602/3178	3	49	5

settings				
Principles of Diversity, equality and inclusion in adult social care settings	M/602/3044	3	19	2
Principles of communication in adult social care settings	R/602/2906	3	17	2
Principles of personal development in adult social care settings	R/602/3036	3	19	2
Understand person-centred approaches in adult social care settings	R/602/3182	3	37	4
Principles of safeguarding and protection in health and social care	A/601/8574	2	26	3
Principles for implementing duty of care in health, social care or children's and young people's settings	R/601/1436	3	5	1
Understand the role of the social care worker	A/602/3113	2	9	1

Learner Entry Requirements

Learners should be competent in literacy and numeracy to help with elements of communication. This is at the discretion of the centre as they may decide to use diagnostic testing methods to ascertain how they can support learners.

Age Ranges

Learners should be 16 (minimum) to undertake this qualification.

Geographical Coverage

This qualification is available in England and Northern Ireland.

Reasonable Adjustments and Special Considerations

Please refer to the Focus Awards 'Reasonable Adjustments and Special Considerations Policy'.

Assessment Methods

The Focus Awards Level 3 Certificate in Preparing to Work in Adult Social Care (RQF) is **internally assessed**.

Each learner is required to create a portfolio of evidence which demonstrates achievement of all the learning outcomes and assessment criteria associated with each unit.

The main pieces of evidence for the portfolio could include;

- Observed work
- Witness statements
- Audio- visual media
- Evidence of prior learning or attainment
- Written questions
- Oral questions
- Assignments
- Case studies

All evidence must be cross referenced to unit outcomes, simulation is not allowed in all units.

Progression Routes

Learners wishing to progress from this qualification can undertake the following qualifications:

Level 4 Certificate in Management for Health and Social Care

Useful websites and supporting materials

- www.focusawards.org.uk/supportingmaterials
- www.skillsforcare.org.uk
- www.ofqual.gov.uk

Links to national occupational standards

Focus Awards has mapped to NOS where they exist.

Appendix A: Units

Unit Title:	Understand how to handle information in social care settings		
Unit No:	D/602/3119		
Level:	3		
GLH:	9		
Credit:	1		
Unit details: The aim of this unit is to provide learners with the knowledge to understand how to handle information in social care settings			
Learning Outcome The learner will:		Assessment Criterion The learner can:	
1	Understand requirements for handling information in social care settings	1.1	Identify legislation and codes of practice that relate to handling information in social care settings
		1.2	Explain how legal requirements and codes of practice inform practice in handling information
2	Understand good practice in handling information in social care settings	2.1	Explain how to maintain records that are up to date, complete, accurate and legible
		2.2	Describe practices that ensure security when storing and accessing information
		2.3	Describe features of manual and electronic information storage systems that help ensure security
3	Understand how to support others to handle information	3.1	Explain how to support others to understand the need for secure handling of information
		3.2	Explain how to support others to understand and contribute to records

Unit Title:	Understand health and safety in social care settings		
Unit No:	L/602/3178		
Level:	3		
GLH:	49		
Credit:	5		
Unit details: The aim of this unit is to provide learners with the knowledge required to understand health and safety in social care settings			
Learning Outcome The learner will:		Assessment Criterion The learner can:	
1	Understand the different responsibilities relating to health and safety in social care settings	1.1	Identify legislation relating to health and safety in a social care setting
		1.2	Explain how health and safety policies and procedures protect those in social care settings
		1.3	Compare the differences in the main health and safety responsibilities of: a) the social care worker b) the employer or manager c) others in the social care setting
		1.4	Identify situations in which the responsibility for health and safety lies with the individual
		1.5	Explain why specific tasks should only be carried out with special training
		1.6	Explain how to access additional support and information relating to health and safety
2	Understand risk assessments and their importance in relation to health and safety	2.1	Explain why it is important to assess health and safety risks
		2.2	Explain the steps to carrying out a risk assessment
		2.3	Explain how to address potential health and safety risks identified
		2.4	Explain how risk assessment can help

			address dilemmas between an individual's rights and health and safety concerns
		2.5	Explain how to promote health and safety within the social care setting
3	Understand procedures for responding to accidents and sudden illness	3.1	Describe different types of accidents and sudden illness that may occur in a social care setting
		3.2	Explain procedures to be followed if an accident or sudden illness should occur
		3.3	Explain why it is important for emergency first aid tasks only to be carried out by qualified first aiders
		3.4	Explain the consequences of failing to follow emergency first aid procedures
4	Understand how to reduce the spread of infection	4.1	Describe the routes by which an infection can get into the body
		4.2	Explain the following prevention methods: <ul style="list-style-type: none"> • hand washing • own personal hygiene • encouraging the individual's personal hygiene
		4.3	Evaluate different types of personal protective equipment and how they can prevent the spread of infection
		4.4	Explain own role in supporting others to follow practices that reduce the spread of infection
5	Understand how to move and handle equipment and other objects safely	5.1	Describe the main points of legislation that relates to moving and handling
		5.2	Explain how following principles for safe moving and handling protects those in the social care setting from injury or harm
		5.3	Explain situations that may require

			additional supports necessary for safer moving and handling
		5.4	Explain why it is important for moving and handling tasks to be carried out following specialist training
6	Understand the principles of assisting and moving an individual	6.1	Explain why it is important to have specialist training before assisting and moving an individual
		6.2	Explain the potential consequences of assisting and moving an individual without specialist training
		6.3	Explain the consequences of not following an individual's care plan or fully engaging with them when assisting and moving
7	Understand how to handle hazardous substances	7.1	Describe types of hazardous substances that may be found in the social care setting
		7.2	Explain safe practices for: <ul style="list-style-type: none"> ➤ Storing hazardous substances ➤ Using hazardous substances ➤ Disposing of hazardous substances
		7.3	Explain the dangers associated with not following these safe practices
8	Understand how to promote environmental safety procedures in the social care setting	8.1	Explain procedures to be followed in the social care setting to prevent: <ul style="list-style-type: none"> ➤ Fire ➤ Gas leak ➤ Floods ➤ Intruding ➤ Security breach
		8.2	Explain procedures to be followed in the social care setting in the event of: <ul style="list-style-type: none"> ➤ Fire

			<ul style="list-style-type: none"> ➤ Gas leak ➤ Floods ➤ Intruding ➤ Security breach
		8.3	Explain how you would encourage others to adhere to environmental safety procedures
		8.4	Explain the importance of having an emergency plan in place to deal with unforeseen incidents
9	Understand how to manage stress	9.1	Describe common signs and indicators of stress
		9.2	Describe factors that tend to trigger own stress
		9.3	Evaluate strategies for managing stress
10	Understand procedures regarding handling medication	10.1	Describe the main points of agreed procedures about handling medication
		10.2	Explain why medication must only be handled following specialist training
		10.3	Explain the consequences of handling medication without specialist training
11	Understand how to handle and store food safely	11.1	Describe the main points of food safety standards in a social care setting
		11.2	Explain how to: <ul style="list-style-type: none"> ➤ Store food ➤ Maximize hygiene when handling food ➤ Dispose of food
		11.3	Explain the potential consequences of not following food safety standards

Unit Title:	Principles of Diversity, equality and inclusion in adult social care settings		
Unit No:	M/602/3044		
Level:	3		
GLH:	19		
Credit:	2		
Unit details: The aim of this unit is to provide learners with knowledge and understanding of the principles of diversity, equality and inclusion in adult social care settings			
Learning Outcome The learner will:		Assessment Criterion The learner can:	
1	Understand the importance of diversity, equality and inclusion	1.1	Explain what is meant by <ul style="list-style-type: none"> ➤ Diversity ➤ Equality ➤ Inclusion ➤ Discrimination
		1.2	Describe the potential effects of discrimination
		1.3	Explain the importance of inclusive practice in promoting equality and supporting diversity
2	Understand how to work in an inclusive way	2.1	Describe key legislation and codes of practice relating to diversity, equality, inclusion and discrimination in adult social care settings
		2.2	Explain the possible consequences of not actively complying with legislation and codes of practice relating to diversity, equality, inclusion and discrimination in adult social care settings
		2.3	Describe how own beliefs, culture, values and preferences may affect working practice
		2.4	Describe ways to ensure that own interactions with individuals respect their

			beliefs, culture, values and preferences
		2.5	Compare inclusive practice with practice which excludes an individual
3	Understand how to raise awareness of diversity, equality and inclusion	3.1	Describe how to challenge discrimination in a way that promotes change
		3.2	Explain how to raise awareness of diversity, equality and inclusion
		3.3	Explain how to support others to promote diversity, equality and inclusion

Unit Title:	Principles of communication in adult social care settings		
Unit No:	R/602/2906		
Level:	3		
GLH:	17		
Credit:	2		
Unit details: The aim of this unit is to provide learners with knowledge and understanding of the principles of communication in adult social care settings			
Learning Outcome The learner will:		Assessment Criterion The learner can:	
1	Understand why effective communication is important in adult social care settings	1.1	Identify the different reasons people communicate
		1.2	Explain how communication affects relationships in an adult social care setting
2	Understand how to meet the communication and language needs, wishes and preferences of an individual	2.1	Compare ways to establish the communication and language needs, wishes and preferences of an individual
		2.2	Describe the factors to consider when promoting effective communication
		2.3	Describe a range of communication methods and styles to meet individual needs
		2.4	Explain why it is important to respond to an individual's reactions when communicating
3	Understand how to overcome barriers to communication	3.1	Explain how individuals from different backgrounds may use communication methods in different ways
		3.2	Identify barriers to effective communication
		3.3	Explain how to overcome barriers to communication
		3.4	Describe strategies that can be used to clarify misunderstandings

		3.5	Explain how to access extra support or services to enable individuals to communicate effectively
4	Understand principles and practices relating to confidentiality	4.1	Explain the meaning of the term "confidentiality"
		4.2	Describe ways to maintain confidentiality in day to day communication
		4.3	Describe the potential tension between maintaining an individual's confidentiality and disclosing concerns to agreed others
		4.4	Explain how and when to seek advice about confidentiality

Unit Title:	Principles of personal development in adult social care settings		
Unit No:	R/602/3036		
Level:	3		
GLH:	19		
Credit:	2		
Unit details: The aim of this unit is to provide learners with knowledge and understanding of the principles of personal development in adult social care settings			
Learning Outcome The learner will:		Assessment Criterion The learner can:	
1	Understand how to reflect on practice in adult social care	1.1	Explain what reflective practice is
		1.2	Explain the importance of reflective practice in continuously improving the quality of service provided
		1.3	Explain how standards inform reflective practice in adult social care
		1.4	Describe how own values, belief systems and experiences may affect working practice
2	Understand the importance of feedback in improving own practice	2.1	Explain how people may react and respond to receiving constructive feedback
		2.2	Explain the importance of seeking feedback to improve practice and inform development
		2.3	Explain the importance of using feedback in improving own practice
3	Understand how a personal development plan can contribute to own learning and development	3.1	Describe the components of a personal development plan
		3.2	Identify sources of support for planning and reviewing own development
		3.3	Explain the role of others in the development of a personal development plan in identifying: <ul style="list-style-type: none"> ➤ Strengths

			➤ Areas for development
		3.4	Explain the benefits of using a personal development plan to identify ongoing improvements in knowledge and understanding

Unit Title:	Understand person-centred approaches in adult social care settings		
Unit No:	R/602/3182		
Level:	3		
GLH:	37		
Credit:	4		
Unit details: The aim of this unit is to provide learners with knowledge and understanding of person-centred approaches in adult social care settings			
Learning Outcome The learner will:		Assessment Criterion The learner can:	
1	Understand person-centred approaches in adult social care	1.1	Describe person-centred approaches
		1.2	Explain why person-centred values must influence all aspects of social care work
		1.3	Explain how person-centred values should influence all aspects of social care work
2	Understand how to implement a person-centred approach in an adult social care setting	2.1	Explain how finding out the history, preferences, wishes and needs of an individual contributes to their care plan
		2.2	Describe ways to put person-centred values into practice in a complex or sensitive situation
		2.3	Evaluate the use of care plans in applying person-centred values
		2.4	Explain the importance of monitoring an individual's changing needs or preferences
3	Understand the importance of establishing consent when providing care or support	3.1	Describe factors that influence the capacity of an individual to express consent
		3.2	Explain how to establish consent for an activity or action
		3.3	Explain what steps to take if consent cannot be readily established
4	Understand how to implement and	4.1	Explain the principles of active participation

	promote active participation	4.2	Explain how the holistic needs of an individual can be addressed by active participation
		4.3	Explain how to work with an individual and others to agree how active participation will be implemented
		4.4	Explain how to promote the understanding and use of active participation
5	Understand how to support an individual's right to make choices	5.1	Describe different approaches to support an individual to make informed choices
		5.2	Describe how to support an individual to question or challenge decisions concerning them that are made by others
		5.3	Explain the consequences of allowing the personal views of others to influence an individual's choices
6	Understand how to an promote individual's well-being	6.1	Explain the links between identity, self image and self esteem
		6.2	Explain factors that contribute to the well-being of an individual
		6.3	Explain the importance of supporting an individual in a way that promotes their sense of identity, self image and self esteem
		6.4	Describe ways to contribute to an environment that promotes well-being
7	Understand the role of risk assessment in enabling a person-centred approach	7.1	Compare different uses of risk assessment in adult social care settings
		7.2	Explain how risk assessment relates to rights and responsibilities
		7.3	Explain how risk-taking relates to rights and responsibilities
		7.4	Explain why risk assessments need to be regularly revised

		7.5	Explain the importance of using agreed risk assessment processes to support choice
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Unit Title:	Principles of safeguarding and protection in health and social care		
Unit No:	A/601/8574		
Level:	2		
GLH:	26		
Credit:	3		
Unit details: The aim of this unit is to provide learners with knowledge and understanding of the principles of safeguarding and protection in health and social care			
Learning Outcome The learner will:		Assessment Criterion The learner can:	
1	Know how to recognise signs of abuse	1.1	Define the following types of abuse: <ul style="list-style-type: none"> ➤ Physical abuse ➤ Sexual abuse ➤ Emotional/psychological abuse ➤ Financial abuse ➤ Institutional abuse ➤ Self neglect ➤ Neglect by others
		1.2	Identify the signs and/or symptoms associated with each type of abuse
		1.3	Describe factors that may contribute to an individual being more vulnerable to abuse
2	Know how to respond to suspected or alleged abuse	2.1	Explain the actions to take if there are suspicions that an individual is being abused
		2.2	Explain the actions to take if an individual alleges that they are being abused
		2.3	Identify ways to ensure that evidence of abuse is preserved
3	Understand the national and local context of safeguarding and	3.1	Identify national policies and local systems that relate to safeguarding and protection from abuse
		3.2	Explain the roles of different agencies in

	protection from abuse		safeguarding and protecting individuals from abuse
		3.3	Identify reports into serious failures to protect individuals from abuse
		3.4	Identify sources of information and advice about own role in safeguarding and protecting individuals from abuse
4	Understand ways to reduce the likelihood of abuse	4.1	Explain how the likelihood of abuse may be reduced by: <ul style="list-style-type: none"> ➤ Working with person centred values ➤ Encouraging active participation ➤ Promoting choice and rights
		4.2	Explain the importance of an accessible complaints procedure for reducing the likelihood of abuse
5	Know how to recognise and report unsafe practices	5.1	Describe unsafe practices that may affect the well-being of individuals
		5.2	Explain the actions to take if unsafe practices have been identified
		5.3	Describe the action to take if suspected abuse or unsafe practices have been reported but nothing has been done in response

Unit Title:	Principles for implementing duty of care in health, social care or children's and young people's settings		
Unit No:	R/601/1436		
Level:	3		
GLH:	5		
Credit:	1		
Unit details: The aim of this unit is to provide learners with knowledge and understanding of the principles for implementing duty of care in health, social care or children's and young people's settings			
Learning Outcome The learner will:		Assessment Criterion The learner can:	
1	Understand how duty of care contributes to safe practice	1.1	Explain what it means to have a duty of care in own work role
		1.2	Explain how duty of care contributes to the safeguarding or protection of individuals
2	Know how to address conflicts or dilemmas that may arise between an individual's rights and the duty of care	2.1	Describe potential conflicts or dilemmas that may arise between the duty of care and an individual's rights
		2.2	Describe how to manage risks associated with conflicts or dilemmas between an individual's rights and the duty of care
		2.3	Explain where to get additional support and advice about conflicts and dilemmas
3	Know how to respond to complaints	3.1	Describe how to respond to complaints
		3.2	Explain the main points of agreed procedures for handling complaints

Unit Title:	Understand the role of the social care worker		
Unit No:	A/602/3113		
Level:	2		
GLH:	9		
Credit:	1		
Unit details: The aim of this unit is to provide learners with the knowledge required to understand the role of the social care worker			
Learning Outcome The learner will:		Assessment Criterion The learner can:	
1	Understand working relationships in social care settings	1.1	Explain how a working relationship is different from a personal relationship
		1.2	Describe different working relationships in social care settings
2	Understand the importance of working in ways that are agreed with the employer	2.1	Describe why it is important to adhere to the agreed scope of the job role
		2.2	Outline what is meant by agreed ways of working
		2.3	Explain the importance of full and up-to-date details of agreed ways of working
3	Understand the importance of working in partnership with others	3.1	Explain why it is important to work in partnership with others
		3.2	Identify ways of working that can help improve partnership working
		3.3	Identify skills and approaches needed for resolving conflicts
		3.4	Explain how and when to access support and advice about: <ul style="list-style-type: none"> ➤ Partnership working ➤ Resolving conflicts

Appendix B: Assessment Strategy

Assessment Guidance for Skills for Care and Development

Competence based units must include direct observation in the workplace as the primary source of observation. 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 and agreed by the assessor.

Where an expert witness is used, they must meet the following criteria:

- Have a working knowledge of the RQF units on which their expertise is based;
- Be occupationally competent in their area of expertise;
- Have EITHER a qualification in assessment of workplace performance OR a professional role work role which involves evaluating the everyday practice of staff.

Methods of evaluating

Visual, verbal, written feedback

Tutor and Assessor Requirements

It is essential that candidates are assessed by competent individuals. It is important that assessors are able to recognise occupational competence as specified by the national standard. Assessors therefore need to have a thorough knowledge and understanding of assessment and quality assurance practices and an in-depth knowledge and understanding of the qualifications for which they are assessing candidates.

Requirements of Tutors:

Tutors should hold, or be working towards a teaching qualification. The following are acceptable:

- Preparing to Teach in the Lifelong Learning Sector (PTLLS);
- Certificate to Teach in the Lifelong Learning Sector (CTLTS);
- Diploma to Teach in the Lifelong Learning Sector (DTLLS);

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- Level 3 Award in Education and Training;
- Level 4 Certificate in Education and Training;
- Level 5 Diploma in Education and Training.

Focus Awards will consider other teaching qualifications upon submission.

Tutors must also be able to show the following:

- Relevant technical / occupational competency in the disciplines/units they wish to teach.

Requirements of Assessors:

Assessors should hold or be working towards the following:

- D32/D33;
- A1 qualification;
- Level 3 Award in Assessing Vocational Achievement;
- Level 3 Award in Assessing Competence in the Work Environment;
- Level 3 Certificate in Assessing Vocationally Related Achievement;
- Possess a qualification equivalent to the qualification or units being taught/assessed or quality assured
- Demonstrate active involvement in a process of industry relevant Continued Professional Development during the last two years
- Be knowledgeable of the framework of qualifications

Assessors must be able to show the following:

- Relevant technical / occupational competency in the disciplines/units they wish to teach.

Please note that trainee assessors will require their decisions to be countersigned by a suitably qualified assessor.

Requirements of Internal Quality Assurers (IQA):

IQA's should hold or be working towards one of the following:

- D34;
- V1 qualification;
- Level 4 Award in the Internal Quality Assurance of Assessment.
- Possess a qualification equivalent to the qualification or units being taught/assessed or quality assured
- Demonstrate active involvement in a process of industry relevant Continued Professional Development during the last two years
- Be knowledgeable of the framework of qualifications

Please note simulation is not allowed

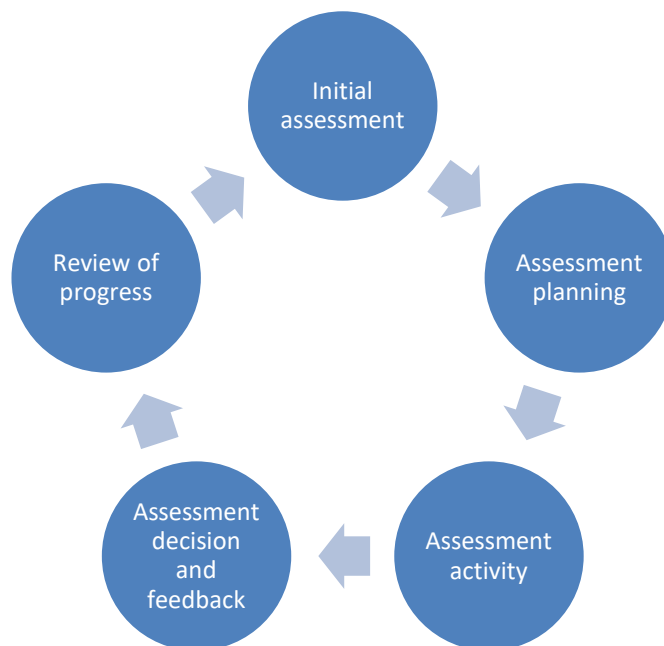
Appendix C: Assessment Best Practice

The assessment process

The assessment process is a systematic procedure which should be followed to give learners a positive experience. This can be achieved by following the assessment cycle. The cycle will continue until all aspects of the qualification have been achieved by your learner(s).

Throughout the cycle, standardisation of assessment practice between assessors should take place; this will ensure consistency and fairness of decisions and that all assessors interpret the requirements in the same way. Internal Quality Assurance will also take place throughout the cycle as part of your Centre's internal quality assurance arrangements.

The assessment cycle



Initial Assessment

The assessor must ascertain if the learner has any previous knowledge and/or experience of the subject/topic/unit to be assessed. This information can be obtained through application forms, interviews or professional discussions. The results of the initial assessment will give you vital information regarding your learners which you may be able to use within the assessment process for example claiming exemptions, equivalences, credit transfer or Recognition of Prior Learning (RPL). It will also give you vital information if your learner requires further training or any additional support they may need. This process might not always be carried out by the assessor, but the information obtained must be passed on to the assessor in order for them to effectively move on to the next stage of the assessment cycle and plan the learner assessment. The initial assessment is known as assessment for learning, as it helps prepare learners for assessment and identifies their potential.

Assessment planning

Assessment planning should be short and medium/long term, to allow for both formative and summative assessment to take place. Inclusion of your learner(s) in the planning process will help identify what they have learnt, how and when they will be assessed and will allow for communication to take place to clarify any points or concerns.

Assessment activity

The assessor must use relevant methods, approaches and activities for example observation, questioning, assignments or gathering appropriate evidence of competence. Assessment can be formative (usually ongoing and to check progress) and summative (usually at the end, that fully achieves the assessment criteria and fully concludes the assessment cycle).

Assessment decision and feedback

The assessor makes a judgement of success or otherwise, giving constructive feedback and agreeing further action that may be necessary. Records of what was assessed and the decisions made should always be maintained.

Review of progress

The assessor reviews the progress and achievement with the learner, discussing any other issues that may be relevant to the learning and assessment process. Within this session, the assessor will naturally start the assessment cycle again, by identifying what is the next stage in the assessment of the qualification, how the learner will achieve this and then planning the assessment.

Records should be maintained throughout all aspects of the assessment cycle and internal quality assurance activities should take place on an ongoing basis.

Exemptions, equivalences, credit transfer and RPL

With the introduction of the RQF learners are able to avoid duplication of learning and assessment through exemptions or equivalences as follows:

- It is possible to transfer credit (equivalence) for achievements within the RQF
- Exemption from the requirement to achieve credits for designated units can be claimed by individuals with certificated achievements outside the RQF
- Where the unit has previously been achieved by the learner through a different awarding organisation, this will be regarded as a credit transfer.

Due to the learner already having their achievement recognised, and having received a certificate to confirm this, in all of these instances their recognised achievement concerning this specific qualification **MUST** be shown as an exemption, equivalence or credit transfer and credit achievement **MUST NOT** be allocated.

Recognition of Prior Learning (RPL) is a system of assessment that considers whether a learner already possesses the knowledge, skills or understanding to meet the assessment requirements for a unit and determines whether the learner can be awarded the unit or can omit a particular course of learning and progress to assessment without the need for delivery. This will be displayed as a unit achievement on the certificate

It is the responsibility of all learners who have previously achieved units approved as Exemptions, Equivalences and Credit Transfers, or who will achieve through RPL, to inform Focus Awards at registration using the registration excel spread sheet.

Learners must initially make the claim to the centre and the centre has the responsibility of making the preliminary consideration. If a centre is in doubt they should contact Focus Awards for advice or clarification.

When authorising a request, all centres must ensure that appropriate documentation and evidence is reviewed, maintained and made available as required to Focus Awards staff.

Guided Learning Hours (GLH)

The number of guided learning hours specified for each unit gives the minimum amount of time required for delivery of the course, it includes:

- All times when a member of staff is present to give specific guidance towards learning aims and outcomes, as well as:
- Other structured learning time such as supported individual study, directed assignments, or practice and assessments

The specified number of guided learning hours does not include time spent on work initiated by the learner; or the time tutors spend marking assignments where the learner is not in attendance.

Assessment

To comply with Focus Awards Equality and Diversity Policy assessment practices it is a requirement that reasonable adjustments be made, where necessary, to enable individual learners to undertake assessments without bias. Please familiarise yourself with Focus guidance and the procedures for applying reasonable adjustments.

To ensure compliance, assessments must fulfil all assessment criteria and learning outcomes set out in the qualification specification and assessment strategy guidelines. The method of assessment may be adjusted to accommodate learners requiring alternative assessment methods in order to evaluate a learner's competency fairly. Detailed assessment and evidence requirements are provided in the qualification assessment strategy.

Consistency of assessment decisions

Focus Awards strives to maintain consistency with regard to assessment decisions overarching learners, assessors and sites. This key component necessitates the following in order to meet Focus Awards stringent principles:

- Assessors are either qualified or working towards current assessor standards: Level 3 Award in Assessing Competence in the Work Environment or Level 3 Award in Assessing Vocational Achievement (A1 and D32/33 are also acceptable)
- Assessors have competency in the subjects relevant to the units that they wish to assess
- Assessors are observed at least annually by qualified IQA's during assessment
- Focus Awards make available 'Assessment Guidance' documentation for each qualification
- Standardisation exercises take place within the Centre
- Centre training days run by Focus Awards include assessment best practice
- External quality assurance is carried out by trained and qualified EQA's at least twice per year in each Centre

Judging authenticity

- All centres and assessors must monitor and control the generation of evidence to ensure that evidence provided by learners is their own and is current, reliable, sufficient, valid and meets the qualification standard
- Learners must complete an assignment declaration form to confirm that the materials they present are their own work. All centres, trainers and assessors should ensure that this declaration is signed by the learners

A Record of Achievement document must be implemented to record how the assessment criteria and learning outcomes have been sufficiently covered. By using this document and 'signing off' learners' evidence the assessors and IQAs are confirming that the assessment evidence submitted by the learner is authentic, is their own unassisted work and that it meets the stated assessment criteria and learning outcomes required

Where the authenticity of the work is in doubt, checks to ascertain its authenticity should be carried out by the assessor, the use of oral questioning, for example, to check that the learner's knowledge matches the evidence provided

- Evidence which is not considered to be authentic should be disallowed

Guidance on re-submission of learner assessment

There is no maximum to the number of times that work may be resubmitted for assessment by the learner. However, you may wish to implement your own systems and policies for additional advice/support for those learners who have been unsuccessful on a number of occasions

- There is no limit to the number of times that the learner may redraft their assessment prior to it being submitted for assessment

Assessors/tutors must not give learners, or lead them to, the correct answers, they may however offer some assistance to learners in completing written work, such as explaining what the questions mean or offering additional guidance when they have previously answered questions incorrectly

- Assessors/tutors should not add to learners' answers where they do not fully meet the required standard in the worksheets, etc. The learner should be asked to add to their own answers until they have demonstrated competence at the required standard

Use of language and stimulus materials

It is the responsibility of each individual Centre to provide its learners with appropriate resources and assessment materials to support them in their learning journey. The resources and any assessment materials and the language they contain should be appropriate and suitable for the learners needs. They are appropriate only if they:

- Facilitate learners to demonstrate their level of attainment
- Require skills, knowledge, and understanding that are required for the qualification
- Are clear and unambiguous (except where ambiguity forms part of the assessment) and
- Are not expected to cause unnecessary offence to learners.

These materials and their use will be reviewed during EQA monitoring visits to the Centre and an EQA will take into account the following when considering whether language and stimulus materials for learning and assessment are appropriate:

- The age of learners who may realistically be expected to take the qualification
- The qualification level
- The qualification objective
- The skills, knowledge and understanding assessed for the qualification
- It comprises content or language which could lead to a group of learners sharing a common attribute or circumstance experiencing an unreasonable disadvantage in the level of achievement that they are able to demonstrate in the assessment because of that attribute or circumstance

Please note that, you must show how each of the learning outcomes has been covered for the creation of manuals or text books, and for assessment materials an evidence referencing system must be adopted to show how each of the assessment criteria has been covered.

Appendix D: Guidance on observed assessments

Assessment briefing

When carrying out a planned observed assessment, it is essential that the assessor carries out a briefing prior to the assessment. The assessment briefing should cover the following information:

- Where the assessment will take place;
- How the assessment will be conducted;
- What the student is expected to present in terms of performance evidence;
- Any documentation which forms part of the assessment;
- When questioning and feedback will take place;
- What to do if there is a disagreement with the assessment decision (appeals procedure);
- The assessor should also use this time to let students ask questions or seek clarification on anything relating to the planned assessment. Others involved in the assessment process should be part of the assessment briefing.

The assessment briefing is usually carried out in a group situation and then the assessor will briefly confirm the process with each individual before the assessment commences.

Observing the learner

Observation involves the assessor viewing the learner while they carry out the planned tasks and is the primary method used to assess practical competence. The assessor should adhere to the following guidelines when conducting out an observed assessment:

- Involve the learner
- Carry out an adequate briefing
- Complete an assessment checklist
- Avoid carrying out an assessment in a noisy environment
- Ensure a good observational position which enables seeing and hearing the events taking place appropriately

- Avoid involvement in the assessment process except for the purpose of health and safety or when 'moving on'
- When 'moving on', use only limited dialogue, the phrase 'thank you, can you move onto the next exercise please' is sufficient
- Avoid using dialogue which could give an indication of performance such as 'well done' or 'that's great'
- Ensure that adequate time is planned for the purpose of giving immediate feedback following the assessment
- Discreet and unobtrusive methods of recording the observation should be used where possible. Shuffling paperwork can be disruptive in a quiet environment where people are focussed on what is being assessed
- Be seen to be observing, never leave the room, eat, talk to other people, use a mobile phone or any perform any other action which will distract from the observation
- Avoid using positive/negative body language such as nodding the head as this could give an indication of performance
- Following the learner's performance ensure that the feedback is delivered in a suitably private, quiet and comfortable environment

Suggested stages of an observation for Focus Awards Level 3 Certificate in Preparing to Work in Adult Social Care (RQF)

- **Step 1**
Initial briefing with the learner
- **Step 2**
Observation of the learner
- **Step 3**
Assessor led learner/client Feedback
- **Step 4**
Learner Evaluation with the participant (15 minutes minimum)
- **Step 5**
Assessor Questions to assess knowledge and understanding (non-leading and open)
- **Step 6**
Assessor Adjudication (pass/refer)
- **Step 7**
Assessor Feedback (written and verbal concise, constructive, and relevant to performance criteria)

Questioning to Assess Knowledge and Understanding

- It is essential that learners are questioned whenever there is doubt about underpinning knowledge. It is easy to assume a level of understanding by what we see during an observation
- A question should not be asked if the assessor does not see a particular performance criteria
- Questions can be divided into two types:
- Open questions start with the words, 'Who?', 'How?', 'Where?', 'What?', 'When?', and 'Why?' - These words act as prompts to enable a learner to respond and use their own words. Closed questions enable the learner to respond with a simple 'Yes' or 'No' answer. For example, "Is it important to have an emergency plan in place to deal with unforeseen incidents?"

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Assessors should always use open questions when assessing underpinning knowledge

- It is a Focus Awards requirement that all questions asked as part of an assessment, AND the learner responses, are documented. These must be written out in full and then signed and dated by both the assessor and the learner
- Assessors writing “learner answered correctly” next to a question is not acceptable. If an appeal against the assessment decision is raised a clearly auditable trail of evidence which shows the question that was asked, and the learner response, must be available

Non-Leading Questions

Assessors must be careful not to use questions that could give clues to a learner and lead them to the right answer. Assessors should also be aware of any opinions or preferences they may hold which could affect the way they direct their questions. It is also possible to lead a learner to an answer by the tone or inflection of the voice or through body language or facial expression. Examples of leading questions would be:

- 1 “Is it important to maintain confidentiality in day to day communication?”
- 2 “Can the use of personal protective equipment prevent the spread of infection?”

Feedback

‘Structured, helpful information that is given to someone to suggest what can be done to improve a performance’

- Feedback following an assessment should specifically relate to what has been assessed and how the evidence witnessed meets, or does not fully meet the standards being assessed
- Feedback should not include an assessor’s opinion and should not be delivered as criticism. Criticism is subjective it is one individual’s judgement of another person, or their work. Criticism will likely make a person feel angry or devalued; it does not boost self-confidence or assist a learner with solving a problem. Criticism indicates disapproval, dismissal, or rejection, and is unlikely to lead to the result intended; it may however create a negative situation or a hostile response
- Effective feedback should always be constructive and positive; it must be a two way process which involves the learner at all times and should be delivered using the ‘feedback sandwich’ model of placing constructive feedback between positive comments
- The assessment decision should be given to the learner at the beginning of the feedback session. The learner will then be more able to concentrate and focus on their feedback and not be distracted waiting for the pass/refer result of their performance

Appendix E: Example Assessment Plan

Assessor name:

Learner name:

Date:

Date and timings of planned assessment	Unit/s and/or learning outcome/s to be assessed	What is to be assessed? Describe the activity or process you will observe or the product to be produced.	Assessment Method (Please see key below)	Date assessment completed

I confirm that the assessment process, the activity and evidence to be generated has been fully explained to me:

Signed by Learner:

Date:.....

OQ - Oral Questioning, **O** – Observation, **WT** - Witness Testimony, **S** - Simulation, **PD** - Professional Discussion, **WQ** - Written Questions,
A - Assignment/Project, **WP** - Work Project, **CS** - Case Study, **RA** – Reflective Account, **RPL** – Recognition of prior learning

Professional Discussion

Learner name:	
Assessor name:	
Date:	
Assessment criteria / topic of discussion:	Learner response:

Assessor signature:		Date:	
Learners signature:		Date:	
Internal quality assurer signature:		Date:	

Assessor Question Sheet

Qualification:

Unit:

Assessor question	Learner response	Assessment criteria covered

Assessor signature:		Date:	
Learners signature:		Date:	
Internal quality assurer signature:		Date:	

Assessor Feedback Sheet

Qualification:

Unit(s):

Performance criteria / assessment criteria	Assessor feedback

Assessor signature:		Date:	
Learners signature:		Date:	
Internal quality assurer signature:		Date:	

Learner Assessment Record

Evidence	Date Achieved	Assessor signature	Learner Signature

Evidence Record Sheet

Qualification:

Unit:

Learning outcome																						
Evidence																						

I confirm that the evidence provided is a result of my own work:

Signature of learner:

Date:

I confirm that the learner has demonstrated competence by satisfying all of the learning outcomes and assessment criteria for this unit:

Signature of assessor:

Date:

Signature of IQA:

Date: