



Changing lives through learning

**Open Awards Level 3 Technical Occupational Entry
for the**

Early Years Educator (Diploma)

Ofqual: 610/6186/4

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Version Control

v0.1	New document March 2025
V0.2	29/6/25 Updated to reflect Ofqual and Skills England feedback.

About the Qualification

Title	Open Awards Level 3 Technical Occupational Entry for the Early Years Educator (Diploma)
Qualification Accreditation Number	Ofqual – 610/6186/4
Sector	1 Health, Public Services and Care
Level	Level Three
Funding	Please click here for more information
Pricing Information	Please click here for more information
Review Date	31/07/2029

Purpose	D. Confirm occupational competence and/or 'licence to practise'
Sub-Purpose	D1. Confirm competence in an occupational role to the standards required

The Open Awards Level 3 Technical Occupational Entry for the Early Years Educator (Diploma) has the core purpose of enabling learners to acquire the knowledge, skills, and behaviours relevant to developing competence in an occupation. Specifically, it has been designed to prepare learners to progress directly into employment as a qualified Early Years Educator.

This qualification will provide employers with reliable evidence of a learner's attainment against the knowledge, skills, and behaviours (KSBs) in the occupational standard for ST0135 Early Years Educator, which form the minimum requirements for entry into the occupation. In addition, this qualification meets the criteria that Early Years Educator (Level 3) qualifications must meet to be recognised as full and relevant by the Department for Education.

It is anticipated that this qualification will, in most cases, be the sole qualification undertaken by a trainee Early Years Educator (with the exception of Maths and/or English qualifications where these have not already been attained by the learner).

This qualification has been designed to be an 'Occupational Focus' qualification, that aligns to the knowledge, skills, and behaviours of the relevant employer-led occupational standard (ST0135).

The qualification is set to be delivered over a 12-24 month period which is appropriate for learners on this technical occupational entry qualification and takes

into account different levels of experience and different work placement arrangements. A typical duration is expected to be 18 months.

Total Qualification Time/Guided Learning	
Total Qualification Time (hours)	640
Guided Learning (hours)	416

Age Range and Restrictions	
Pre -16	x
16 – 18	x
19+	✓
Any other restrictions specific to the qualification(s)	None

Introduction and Positioning

The Early Years Foundation Stage (EYFS) Statutory Framework¹ sets the standards that all early years providers must meet to ensure that children learning and develop well and are kept healthy and safe. It promotes teaching and learning to help children thrive and to give them a broad range of knowledge and skills that provide a foundation for good future progress through school and life.

This qualification has been designed to meet the minimum qualification requirements that staff must meet to be recognised as Level 3 members of staff for the purpose of working within the EYFS staff:child ratios.

The unit specifications have been written to meet the criteria that Early Years Educator (Level 3) qualifications must meet to be recognised as full and relevant by the Department for Education. These criteria outline the minimum skills, knowledge and understanding that a practitioner must demonstrate to meet the EYFS and support the learning and development of young children.

The qualification requirements are given legal force by Regulations² made under section 39(1)(b) of the Childcare Act 2006.

¹ <https://www.gov.uk/government/publications/early-years-foundation-stage-framework--2>

² The Early Years Foundation Stage (Welfare Requirements) Regulations 2012 (S.I. 2012/938), as amended.

Early Years Qualification Requirements (Level 3)

To be included in the staff:child ratios at Level 3, staff must hold a full and relevant level 3, 4, 5, 6, 7 or 8 qualification and a suitable Level 2 English qualification.

Suitable Level 2 English qualifications are:

- Functional Skills qualification in English at Level 2
- GCSE or International GCSE qualification in English language and/ or literature to at least grade 4 (or grade C)
- Key skill qualification in communication at Level 2
- A Level or AS Level qualification in English language and/ or English literature to at least grade E
- O Level qualification in English to at least grade C
- CSE grade 1 English (language)
- Basic skills certificate Level 2 – certificate in adult literacy
- British Sign Language (BSL) for people who use BSL as their primary language.

Any Specified Entry Requirements

This qualification is suitable for learners aged 19+.

Learners will work in an early years setting (or undertake significant work experience) and will need to gain experience of working with the following age groups:

- 0–5-year-olds
- 5–7-year-olds

They will have responsibility for providing person-centred, values-driven care and support for the children accessing the service. They will typically work under the direction of their manager or supervisor.

Providers are required to carry out an initial assessment process with all individual learners. This process should ensure the learner can demonstrate the full requirements or if needed, act as an advisory process so the potential learner can reach the required standard to achieve the qualification.

You will be asked to submit your process for initial assessment at the point of applying to deliver the qualification as part of pre-verification checks.

To be included in the staff:child ratios at Level 3, staff must also hold a suitable Level 2 English qualification. If learners do not already hold a suitable Level 2 English qualification, they should be supported to achieve this alongside the Open Awards Level 3 Technical Occupational Entry for the Early Years Educator (Diploma).

Recommended Assessment Method Summary

Learners will be required to complete a portfolio of evidence set and marked by the education provider and externally quality assured by Open Awards.

This qualification will take 12-24 months to complete depending on experience.

Learners must provide sufficient evidence that they have the required knowledge, skills and understanding of the assessment criteria and that it is their own work.

Learners must achieve all Assessment Criteria to achieve (i.e., pass) the qualification.

All units are mandatory so must be achieved before the qualification is awarded.

Each individual assessment criterion must be met or not met and cannot be partially achieved. In order to ensure learners are not subject to over-assessment, each assessment criterion is only required to be met once and fully within one assessment.

Learners must be assessed in their own workplace and in line with their employer's standard operating procedures. They must be given opportunities to demonstrate the acquisition of transferable knowledge and skills, including that they are able to respond and adapt to different pharmacy contexts and potential range of prescribers and systems. The evidence presented must reflect this requirement in line with the qualification assessment criteria and indicative content.

Types of evidence could include:

- a) Written assignments
- b) Observation of performance
- c) Questioning (written or oral)
- d) Practical Activities
- e) Photographs or videos
- f) Personal statements
- g) Reflective logs
- h) Project work
- i) Witness testimonies
- j) Group discussion

There must be at least two observations of practice completed by a qualified assessor across the 12-24 month course duration.

Assessment practices must reflect the Equality and Diversity Policy of Open Awards.

This qualification is graded as pass/fail and learners must evidence they have met all assessment criteria in the units they are registered to in order to meet the rules of combination.

Qualification Structure

Rules of Combination

Credit Value of the Qualification:	64
Minimum Credits to be achieved at the Level of the Qualification:	64
Mandatory Unit Group A	64

Qualification Units

Mandatory Units (all units must be achieved to be awarded the qualification)

Unit Reference Number	Unit Name	Credits	Level
M/651/2884	Assessing Children's Learning and Development	6	3
Y/651/2878	Effective Teamwork and Communication in an Early Years Setting	4	3
A/651/2879	Implementing Support for Children with Special Educational Needs and Disabilities (SEND)	6	3
R/651/2885	Keeping Babies and Children Safe	6	3
T/651/2886	Personal Development for Early Years Educators	6	3
H/651/2880	Planning a Curriculum for Children	6	3
D/651/2889	Supporting Child Development	6	3
L/651/2883	Supporting Healthy Lifestyles in Children	3	3
J/651/2881	Understanding How Children Learn	6	3
Y/651/2887	Understanding Safeguarding and Child Protection	6	3

K/651/2882	Understanding Special Educational Needs and Disabilities (SEND)	3	3
A/651/2888	Working In Partnership with Others in Early Years Education	6	3

The units can be delivered and assessed in any order in line with the Provider's delivery and assessment plan. However, it is recommended that the knowledge criteria within 'Understanding Safeguarding and child Protection' is completed at the beginning of the course.

Delivering this Qualification

Becoming a Provider

To deliver this qualification you must be a recognised Open Awards Provider. For more information, head to our [website](#) or contact the team on 0151 494 2072.

How to Deliver

To request to deliver this qualification, please login to [the Portal](#) and then click on 'Tracking' and 'Initiate a Workflow'. You will then need to select 'Apply to Deliver Regulated Qualification(s) – Specialist Resources'.

For support with this process, please see the following document in the Portal 'Provider Portal Guidance – Qualification Approval' or contact the team on customerservices@openawards.org.uk or 0151 494 2072.

For this qualification, you will be required to submit a delivery and assessment plan as part of this application to ensure that you are able to meet the assessment principles outlined below.

In addition, you will be required to provide evidence that you have the following in place:

- Appropriate qualified and experienced staff
- Sufficient staff from relevant disciplines to deliver the course and support early years staff learning
- Sufficient resources to deliver the course
- Facilities that are fit for purpose
- Access to appropriate learning resources

Registering Learners

Once you are ready to deliver this qualification, you will need to register your learners in line with the timescales below:

Short courses (15 weeks or less) within 25 working days of the course start date.

Long courses (over 15 weeks) within 60 working days of the course start date.

You will need to register your learners via [the Portal](#).

Learners must be registered with the Awarding Organisation before formal assessment commences.

Quality Assurance and Standardisation

Delivery of this qualification must be done so in accordance with Ofqual regulatory guidelines and in line with Open Awards' quality assurance processes. Please see our website for more information.

Provider Staff Requirements

It is expected that providers will have occupationally competent staff with relevant sector experience for their role in the delivery of the units/qualifications being offered.

Providers are responsible for ensuring that their staff are occupationally competent and have access to appropriate training and support. They are also responsible for notifying Open Awards of staff changes.

Assessors and Internal Quality Assurers (IQA) must:

- be occupationally competent in the area of practice to which the unit being assessed applies (e.g. holding a relevant qualification at an equivalent or higher level than the level of the qualification or demonstrate current occupational experience)
- hold or be working towards the appropriate assessor or IQA qualification (relevant to role being undertaken). Staff holding legacy qualifications must be able to demonstrate that they are assessing or internally verifying to current standards
- have credible experience which is clearly demonstrable through continuing learning and development

In addition, IQAs must understand the nature and context of the assessors' work and that of their candidates due to the critical nature of the work and the legal and other implications of the assessment process. This includes having a working knowledge of the working environment in which the learner is being assessed.

It is recognised that internal quality assurers are expected to verify the assessment process and not reassess the evidence provided but it is expected that IQAs will have undertaken an appropriate assessor qualification and practised as an assessor prior to undertaking the internal quality assurer role.

Expert witnesses

The use of expert witness testimony is encouraged as a contribution to the provision of performance evidence presented for assessment. The role of the expert witness is to submit evidence to the assessor as to the competence of the learner in meeting the unit. This evidence must directly relate to learner's performance in the work place which has been seen by the expert witness.

However, the use of an expert witness does not replace the need for direct observation. If there is an additional factor in which this needs to be explored to

support achievement of the learner, then again this must be discussed and agreed prior with the awarding organisation.

An expert witness in the workplace can be used to provide direct observation evidence when the assessor is not occupationally competent in a specialist area e.g., specialist healthcare tasks.

The use of an expert witness could also be used to enrich, supplement, and add triangulation to the main direct observations which have been carried out in person by the assessor. When an expert witness is used, it remains that overall assessment decisions relating to a learner's competency must be made by the assessor and be subject to the internal quality assurance process.

The expert witness will not be the person making the judgement as to whether the learner has met the criteria. Instead, the expert witness will provide a detailed report or 'testimony' of a learner's ability to complete work-based activities that are directly aligned with the skill requirements of their role, and the assessment criteria requirements within the qualification.

Evidence provided by the expert witness must be reviewed by the assessor who is, in turn, responsible for making the final judgement. When assessing the evidence provided by expert witness testimony, the assessor must ensure that the information provided meets the standard of evidence required by the qualification, including:

- Validity
- Authenticity
- Reliability
- Inclusive
- Currency
- Sufficiency

The use of expert witness testimonies must be internally quality assured to ensure the evidence meets the standards, including reliability. The IQA is responsible for sampling evidence provided and associated assessment judgements/ decisions to ensure that the use of expert witness testimony has been consistently followed. This could include holding discussions with some expert witnesses to confirm the authenticity, validity and reliability of their testimonies. The IQA approach must consider the experience of the expert witness and the volume of expert witness testimonies used.

The expert witness must have:

- Occupational competence and knowledge in the area of practice to which the unit being assessed applies
- A working knowledge of units on which their expertise is based
- Credible experience which is clearly demonstrable through continuing learning and development

Providers are responsible for ensuring that all expert witnesses are familiar with the standards for those units for which they are to provide expert witness testimony. They must also understand the provider's recording requirements and will need guidance on the skills required to provide evidence for the units. It is not necessary for expert witnesses to hold an assessor qualification because the qualified assessor makes all assessment decisions about the acceptability of evidence regardless of source. This would include expert witness testimony.

Please see Open Awards guidance for the use of expert witness testimony for more information (available on the Portal). **NB, This will be made available before the operational start date.**

Co-ordinating and Lead Assessors

In order that the requirements for occupational competence of assessors and expert witnesses can be met while allowing flexibility of delivery, candidates may have more than one assessor or expert witness involved in the assessment process.

Where more than one assessor is involved in the qualification there must be a named assessor who is responsible for the overall co-ordination of the assessment for each candidate. This person will be responsible for integrating, planning and directing the assessment for the whole qualification. Where more than one assessor is involved in a unit, there must be one named assessor who is responsible for the overall coordination of the assessment for that unit. The lead assessor must ensure that the best use is made of all available evidence and will make the final judgment of competence in each unit where other assessors have been involved. It is expected that all assessors will work closely with internal quality assurers to ensure standardised practice and judgments within the assessment process.

Student Support and Induction

Entry Requirements

Learners must be aged 19+.

There are no specific entry requirements for a learner with regards to prior qualifications. Providers must complete initial assessments with learners **before** confirming their place on the course.

Learners (or trainees) must be employed in a suitable early years setting to ensure they have the opportunity to develop competencies and complete tasks as outlined in the units within this qualification, or undertake significant work experience. This must include working with children aged 0-5 years old AND 5-7 years old.

This should include access to appropriate supervision and mentoring opportunities.

At a minimum, learners must be:

- Employed in a suitable role within an early year setting, or undertake significant work experience placements as part of the qualification
- Working under the direction of their manager or supervisor
- Given tasks within their area of competence
- Given tasks that allow them to develop and evidence the knowledge, skills and behaviour within the qualification specification

Providers must provide evidence that learners will work with:

- other members of the early years team(s);
- other teaching staff; or
- relevant healthcare professionals with a range of experience or relevant qualifications.

Providers must provide evidence that:

- learners will be supported by staff, both in their learning and training environments, who have relevant experience in the area of work where the trainee is training;
- there are mechanisms for securing sufficient levels of resourcing to deliver a care certificate course to the required standard;
- their staffing profile can support the delivery of the course and the learner's experience; and learning resources

Providers are required to have clear procedures in place for managing these responsibilities with any relevant employers or other parties, including who is responsible for completing a DBS check and/or health checks. Providers must ensure that learners are aware of why these checks are taking place and how the data collected about them will be used.

To be included in the staff:child ratios at Level 3, staff must also hold a suitable Level 2 English qualification. If learners do not already hold a suitable Level 2 English qualification, they should be supported to achieve this alongside the Open Awards Level 3 Diploma for the Early Years Educator (RQF).

Information, Advice and Guidance

Providers must ensure that all learners are supported with clear and accurate advice and guidance in relation to the requirements of the course, and progression routes.

This must include, as a minimum:

- Entry requirements
- Progression routes
- Course content and level of demand
- Professional behaviours and attitudes expected
- Work-place requirements including the requirement to access role models and early years professionals

LAG should be provided on application to the learner to ensure the course is appropriate for the learner and that they are fully informed of the expectations and

demands of the course. IAG should be provided throughout the course to ensure that the learner is fully supported, and receives ongoing feedback to support their ongoing professional development.

Induction

In addition to IAG, providers should provide a full induction to the course to include:

- roles and responsibilities
- learning agreements/ stakeholder agreements
- delivery plans, timescales and deadlines
- course content and level of demand
- supervision arrangements
- assignments, observations and resits
- work-place requirements including the requirement to access role models; health and care professionals; and multi-disciplinary teams
- Induction, training and ongoing support
- Professional behaviours and attitudes expected

Employer specific induction and mandatory training should be completed in line with the employer's usual working practices.

The induction should include training on the following policies and procedures to cover both the training provider and the employer:

- Health and Safety
- Whistleblowing
- Equality and Diversity
- Complaints and Appeals
- Plagiarism
- Supervisions and Observations
- Data Protection
- Confidentiality
- Conflicts of Interest
- Safeguarding

Supervision

Providers must work directly with the learner and their employer to put robust supervision systems in place to ensure child safety. This must include clear stakeholder agreements that outlines roles and responsibilities relating to supervision of trainees.

As a minimum:

- Learners must be supervised in all learning and training requirements (including in the workplace)
- Risk assessments must be implemented to ensure individual safety at all times

Ongoing Support

Throughout the course, providers must ensure that learners receive regular supervision and feedback. This should include feedback on:

- Performance within assessments
- Occupational performance
- Behaviour and attitude
- Professional development

Evidence of monitoring and feedback should be retained to support annual quality compliance activities.

Withdrawal or Partial Achievement

Providers are required to register learners with Open Awards within 60 working days of their course start date. Following this registration, providers are required to account for all learners during and at the end of their course.

Where a learner leaves their course for any reason, providers are required to notify Open Awards and to provide reasons for the withdrawal. Please see the Provider Handbook for the process of withdrawing learners via the Portal.

Providers should contact your Quality and Standards Advisor before withdrawing a learner e.g., if as a result of the learner's employment status changing, as soon as practicable to identify any action that can be taken to support the learner to stay on-programme.

In the case of a learner leaving employment part-way through a course, Open Awards will work closely with providers to minimise any disadvantage to the learner and to ensure any achievement to date is awarded.

If a learner does not meet all the assessment criteria by the end of their course, then they will be issued with an overall 'fail' result. Unit transcripts are issued for any achievement of whole units within the qualification.

Assessment

Open Awards units and qualifications have been designed around the principle that the learner will build evidence towards the achievement of the assessment criteria over a period of time. Each unit specification includes assessment guidance, including requirements for specific criteria.

This qualification consists of both skills units and knowledge units. This qualification will be graded pass or fail.

Each learner is required to build a portfolio of evidence to demonstrate that all the assessment criteria associated with each unit has been met.

Learners are permitted to use one piece of evidence to demonstrate knowledge, skills and understanding across different assessment criteria and/or different units. This qualification should incorporate holistic assessment for the units where appropriate.

Tutors and Assessors need to ensure that all evidence presented in a portfolio is:

Valid: it should be clearly demonstrating the knowledge or skills that are set out in the assessment criteria. It should be clearly the work of the learner.

Authentic: the evidence assessed is the learner's own work and completed in line with the required conditions. All submitted assignments must include a clear declaration/statement of authenticity and all sources, including any permitted use of AI must be clearly referenced.

Reliable: which means that it will in general, produce the same range of responses from learners, as long as they are used in similar circumstances and with similar groups of learners.

Inclusive: so that no individual learner is excluded from the opportunity to show their achievement because of their individual background or experience.

Current: it is up to date and reflects current legislation, processes and ways of working.

Sufficient: there is enough evidence to meet the criteria in full.

Assessors are required to review and assess all learner evidence and must be satisfied that learners have achieved all learning outcomes and assessment criteria relating to the unit being assessed prior to deciding the learner has completed the unit. Assessors will also ensure that the evidence produced by the learner is their own work.

Assessors retain records (e.g. Feedback Sheets, Individual Progress Records, Group Progress Records) on behalf of the provider which are made available and used by the provider's internal verifier / AIV and Open Awards Quality Reviewer / External Verifier.

Use of Sample Assignments

The sample assignments have been developed as an indicative approach to assessment methods and question types for each of the units. Therefore, we accept that there is a range of appropriate tasks and evidence that may not be included in the examples provided. Unit specifications include guidance where there are specific assessment requirements e.g., direct observation of skills-based criteria.

The overall assessment methodology is a portfolio of evidence to combine knowledge-based and written evidence with evidence from the learner's workplace, including direct observation and practical work-based activities of the skills-based

criteria. Therefore, providers are required to devise their own assessments to meet their own delivery plans, including considering the learners' work placements/ diverse employer contexts and naturally occurring evidence.

Sample assessments must not be used without adaptation/ re-development to meet the provider's delivery and assessment plans and to meet individual learner's role and early years context.

The proposed grouping of assessment criteria across the sample assessments are not the only one way that the criteria could be assessed; providers are required to devise their own assessment and delivery plans.

The format of the observations and professional discussion sample assessments may be used by providers if they choose to. However, we would expect the guidance to learners to be adapted to meet the individual learner's role, employer and early years work setting. In addition, the questions used for Q&A (observations) and professional discussions must be adapted to meet the individual learner's role, employer and early years setting, and to respond to the learner's performance during the assessment (e.g., follow-up questions or specific questions to address assessment criteria not met in other assessment methods).

Sample assessments for practical tasks and written assignments again must be adapted to meet the learner's specific role, employer and early years setting. This may include using some of the same formats/ activities but with contexts, case studies and/or activities updated, or it may include the centres writing entirely new assignments.

Centre-devised assignments, including the requirement to not use the sample assessments as live assessment materials, are subject to pre-verification and ongoing external quality assurance.

Providers are required to submit an assessment and delivery plan prior to starting delivery of the qualification (see below section), including internally set assignment briefs and mapping documents, and provider assessors and IQAs are required to attend standardisation and training activities annually to ensure consistent application of the standard across providers. EQAs review assessment plans and assignment briefs/ tasks in advance of delivery. Providers must review their delivery and assessment plans, and adapt these year-on-year in response to stakeholder feedback and IQA/EQA outcomes and mitigate against risk of predictability.

These control measures are in line with our CASS strategy for high-risk qualifications to minimise the risk of variance in the standard required across our providers.

All assessment decisions are subject to external quality assurance to ensure consistency across providers.

Open Awards will continue to refresh its bank of assignment briefs over time and in response to provider feedback.

Delivery and Assessment Plan

Providers are required to produce a delivery and assessment plan **before** they start delivering this qualification. This plan is subject to pre-verification by the Quality and Standards Advisor to ensure it meets the following assessment principles.

This qualification must be assessed in line with Open Awards Quality Assurance procedures as outlined in the Provider Handbook and associated policies.

Delivery and assessment plans must include, as a minimum:

- Deadlines and dates for submissions
- Delivery plan for units (i.e. order of delivery; lesson planning)
- Observation plans, methods, and evidence
- Assessment plan and internally set assignments (including approach to marking against the assessment criteria e.g., assessor records)
- Roles and responsibilities (including requirements for designated educational supervisors and assessors)
- Student support and supervision
- Marking criteria for internal assignments
- Procedures for resits and resubmissions
- Procedures for suspected plagiarism and/or malpractice
- Appeals procedures
- Mapping of learning outcomes and assessment criteria

Where there is crossover between policies and guidance, e.g. Open Awards policy for resits and resubmissions providers are requested to provide evidence of how they will meet Open Awards policy and their plans for implementing any required procedures or guidance.

Marking against assessment criteria

All assessment criteria must be met in order for learners to pass the qualification. Therefore, the 'pass criteria' for each assessment is whether the allocated (mapped) assessment criteria have all been met. The indicative content provided amplifies what is expected to be included in a response for a learner to be assessed as having passed.

Each individual assessment criterion must be met or not met and cannot be partially achieved.

In order to ensure learners are not subject to over-assessment, each assessment criterion is only required to be met once and fully within one assessment.

Where not all criteria have been met within a specific assessment (e.g. if an essay is submitted that met some but not all of the criteria mapped to the assessment), only the criteria not yet met would need to be re-assessed.

This could be through an alternative assessment method e.g., professional discussion if this is appropriate for the outstanding assessment criteria.

Please see the section on 'resits' for more information.

High performance in one assessment criterion does not compensate for poor or no performance against another criterion. Assessment decisions are made against each assessment criteria in each of the units in order for the learner to achieve a 'pass' overall at qualification level.

If a learner does not meet all the assessment criteria by the end of their course, then they will be issued with an overall 'fail' result. Unit transcripts are issued for any achievement of whole units within the qualification.

Pass Descriptor

To support initial assessment decisions at providers, until providers have sufficient experience and an evidence base, we have provided Pass Performance Descriptors as a representation of what a threshold learner would generally be expected to demonstrate at qualification level.

The following pass descriptor applies to this qualification and must be considered by all assessors, IQAs, and EQAs when recommending the award of credit:

The Open Awards Level 3 Technical Occupational Entry for the Early Years Educator (Diploma) is awarded to learners who hold the minimum level of qualities and transferable skills necessary for employment as an Early Years Educator.

Typically learners will be able to:

- Demonstrate knowledge of a broad range of early years concepts and understanding of the practices and principles associated with the role, as well as the capacity to interpret and apply these within that occupational context to solve routine problems;
- Hold and apply the necessary early years work skills, taking responsibility and showing some initiative and independence, to be considered competent, including the ability to communicate effectively and contribute to the effective work of an early years team;
- Behave consistently in a manner that instils confidence they act in the best interests of babies and children and take responsibility for their own learning and development.

The Pass Descriptor is designed to additionally support consistency of assessment decisions in the initial roll out of the qualification. We are not expecting providers to directly apply this or to assess against it. It should be used as a supportive tool to

provide context for assessors on the anticipated standard of competency. Over time, in subsequent years, providers will be able to rely much more on the IQA and EQA feedback as indicators of the threshold learner and rely less on surrogate indicators such as this Pass Descriptor.

All assessment criteria in each unit must be met in order for learners to pass the qualification. The indicative content provided amplifies what is expected to be included in a response for a learner to be assessed as having passed.

The Pass Descriptor is intended to be used as an overview of the level of occupational competence that assessors should be assessing learners against as a whole i.e. if all assessment criteria has been met fully, this is what the learner would look like.

Assessment Methods

Evidence generated from the following assessment methods can be included within the portfolio of evidence. This list is not exhaustive.

Assessment Method	Knowledge/ Skill Based Criteria	Rationale
Observation in the Workplace	S	Enables learners to demonstrate the skills/ competencies outlined in the assessment criteria. It is a mandatory requirement of this qualification for a learner to complete two (2) holistic observations of their practice over the 12-24 months.
Simulated Observation	S	Enables learners to demonstrate additional skills/ competencies that do not occur naturally in the workplace. As the primary method of assessment for skills-based criteria is workplace observation, simulated observation is only likely to be realistically presented where naturally occurring workplace observation is not possible and considered on an individual learner basis. Simulation is seen as a 'last resort' if all other ways of evidencing the criteria had been exhausted.

Assessment Method	Knowledge/ Skill Based Criteria	Rationale
Practical work-based activities	S	Enables learners to complete pieces of work directly related to their role/ practice in an early years setting. Activities may feed into future observations or professional discussions, or be discrete pieces of work used to assess specific criteria. Examples include producing a risk assessment or child development plan.
Professional Discussion	K	Enables targeted questions/ answers to assess learners' knowledge for a specific unit. This assessment method can also be used to sample criteria across all units holistically.
Witness Testimonies	S	Enables learners to provide evidence from their workplace, validated by their workplace tutor, supervisor or manager.
Reflective Essays	S, K	Enables learners to provide evidence from their workplace to demonstrate their application of learning. This assessment method can support the assessment of knowledge, and the application of this knowledge.
Case Studies	S, K	Enables learners to provide evidence from their workplace to demonstrate their application of learning. This assessment method can support the assessment of knowledge, and the application of this knowledge.
Long-answer Questions	K	Enables learners to demonstrate their knowledge/ understanding of specific subject content areas. Long-answer questions can be designed to cover multiple assessment criteria, and to support learners to demonstrate

Assessment Method	Knowledge/ Skill Based Criteria	Rationale
		analysis and discussions.
Short-answer Questions	K	Enables learners to demonstrate their knowledge/ understanding of specific subject content areas. Short-answer questions will normally cover one (1) assessment criterion.
Presentations	K	Enables holistic assessment of learners' knowledge across multiple subject content areas/ assessment criteria.
Posters/ leaflets	K	Enables holistic assessment of learners' knowledge across multiple subject content areas/ assessment criteria.
Written Report	K	Enables holistic assessment of learners' knowledge across multiple subject content areas/ assessment criteria.
Synoptic Projects (e.g., creating an induction handbook)	K	Enables holistic assessment of learners' knowledge across multiple subject content areas/ assessment criteria.
Group work/ activities	K, S	Enables learners to demonstrate individual knowledge and/or skills and their ability to operate within team-based, workplace-relevant contexts (depending on the activity).

These assessment methods provide the opportunity for different learning styles and individual needs of learners to be taken into account. If Providers are proposing to use an assessment method that is not included within the recommended list, Providers should contact the External Quality Assurer with full details of the proposed method which will need formal approval from Open Awards before it can be used.

Providers must also carry out regular standardisation activities as part of the ongoing quality assurance of assessment decisions within the assignments used for knowledge-based units and assignments should be refreshed over time.

Please see Appendix 1 for controlled condition requirements for each assessment method.

Skills-based Criteria

The primary method of assessment for the skills-based criteria is direct observation of field work placement in a an early years work environment (paid or unpaid) by an assessor as well as assessment of work-based practical tasks/activities and reflective practice. Other methods of assessment may be used to triangulate the evidence (e.g., professional discussion, question and answer, reflective accounts).

Evidence should be naturally occurring and so minimise the impact on individuals and their families and carers.

There must be at least two observations completed by a qualified assessor over the 12-24 months.

Additional observations may be planned over the course of the 12 months as appropriate in line with the provider's delivery and assessment plans.

Expert witness testimony may be used where it is difficult for an assessor to observe aspects of practice. Expert witness testimony is NOT a substitute for the requirement of observations by the assessor across the qualification.

Any knowledge evidence integral to skills-based learning outcomes may be generated outside of the work environment, but the final assessment decision must show application of knowledge within the real work environment.

Where the assessment activity involves individuals using early years services, consent should be sought from parents/ carers that they are happy for the assessor to be present and this should be recorded by the assessor.

Learners must anonymise their work when referencing any child or young people.

Video or audio recording will require explicit consent and should not be used where this compromises the privacy, dignity or confidentiality of any individual.

At any time during practical/ workplace assessment e.g., an observation the assessor observes unsafe practice or a safeguarding or welfare concern that cannot be managed or mitigated by the learner within their role and level of responsibility, the assessment will be stopped immediately. An incident report should be raised internally and shared with Open Awards to identify what happened, the reasons for the occurrence, what action has been taken (including to mitigate against any disadvantage to learners), what actions will be taken to prevent recurrence and any

further actions required. Where possible, the learner may be credited for some assessment criteria where these were met before the incident.

The task or activity will have to be repeated but the learner will not be required to be assessed against any assessment criteria that were met during the initial assessment activity. The incident report should include a rationale supporting achievement of any specific assessment criteria (not affected by the unsafe practice or other concerns that led to the assessment needing to be stopped). The incident report should also outline any further learning required by the learner before they resit the assessment and steps required to mitigate any impact on other planned assessment activities.

There are some assessment criteria within the qualification that require assessment of working with two age groups (0-5 year olds and 5-7 year olds). Where these are skills-based criteria, we expect the primary assessment method to be direct observation in the learner's normal workplace or practical work-based activities. Therefore, learners will need to undertake a placement that enables coverage of both age groups.

Where learners are not able to achieve the skills-based criteria in their usual place of employment, the training provider and employer must ensure that the learner is given opportunities to achieve the criteria in a work placement or another suitable setting in line with the assessment guidance within the unit content. For example, the provider may be able to organise an assessment opportunity at their premises which would provide the learner concerned with the potential to be able to demonstrate their learning with reference to the age group concerned.

Simulated tasks would be acceptable but as a 'last resort' where it is not possible for learners to access any alternative work placement to demonstrate their performance e.g., against both age ranges. We expect these situations to be the exception rather than the rule and the planned simulated tasks would be subject to pre-verification (internal and external), and additional EQA activities to ensure that there is sufficient, valid and reliable evidence that the learner has met the criteria in full.

Where simulated tasks are used as a last resort, to ensure a learner is not disadvantaged, the provider will need to be able to evidence the learner has had experience over the course of the 12-24 months with both age groups even if the summative assessments cannot cover both. Evidence of this experience would be reviewed through EQA activity.

Prior to starting the qualification, an assessment of the learner's employment setting should be carried out by the training provider and employer to identify such gaps.

Knowledge-based Criteria

For knowledge-based criteria, evidence will be assessed using internally set, internally marked assignments. This may include written evidence or other evidence

e.g., professional discussions. Assessment decisions and evidence will be internally quality assured, then subject to externally quality assurance sampling by Open Awards. Providers must also carry out regular standardisation activities as part of the ongoing quality assurance of assessment decisions within the assignments used for knowledge-based criteria. Assignments must be refreshed over time.

These assessment methods provide the opportunity for different learning styles and individual needs of learners to be taken into account. If providers are proposing to use an assessment method that is not included within the recommended list, providers should contact the External Quality Assurer with full details of the proposed method which will need formal approval from Open Awards before it can be used.

Resits

Learners should only attempt a summative assessment when they, their tutor, and their employer have agreed that they are ready i.e., they have completed all relevant teaching/learning and formative assessment shows their understanding.

Due to the type of assessment (internal, holistic assessment), there are different scenarios where a learner may not meet the criteria within a planned assessment e.g.,

- a. An assessment was designed to assess a criteria in the workplace e.g., through direct observation. However, the scenario did not occur naturally during the planned observation and, therefore, the learner was not able to meet the criteria. This would require an additional and/or alternative assessment to be completed to give the learner the opportunity to meet the criteria. We would categorise these scenarios as 'assessment criteria has not yet been attempted' and no result would be issued to the learner for the relevant criteria (other criteria in the assessment can still be confirmed as achieved'. We would not expect the additional/alternative assessment to be recorded as a resit. This scenario is most likely to occur for skills-based criteria.
- b. An assessment was completed in full e.g., long-answer questions, presentations, where a learner is being explicitly assessed against the given criteria. Where the criteria is not met in full or at all, this would result in the criteria not being achieved, and a learner should be issued as a 'fail' result. This also includes where assignments are completed but evidence is incomplete, insufficient or incorrect, and is most likely to apply knowledge-based assessment. In these circumstances, any future assessment must count as a resit.

Therefore, in this context, a resit refers to where a learner hands their work on time, but has not demonstrated achievement of all assessment criteria. In these instances, the provider can set a second deadline to allow the learner to cover the missing criteria only.

Wherever possible, learners are not expected to resit the whole assessment and an alternative assessment method may be used by the Provider where this would be appropriate. For example, a professional discussion as a resit for knowledge based criteria where a written assignment was previously used.

Resits must:

- be proportionate to the degree of non-achievement
- be consistent with the way the learning outcome(s) were originally assessed
- be subject to a clear deadline
- be applied consistently in equivalent assessment situations, so that all learners have equivalent opportunities for resubmission and reassessment
- ensure that the additional or revised work being resubmitted is clearly distinguishable from the work originally submitted
- be subject to moderation

As the qualification is assessed over time, and against the full range of assessment criteria, it is not expected that a learner would be offered the opportunity to resit the qualification in its entirety. As above, opportunities should be given for learners to be assessed against specific assessment criteria where the provided evidence does not meet the criteria or the standard required. Providers are responsible for setting their own course duration/ length (typically 12-24 months) to ensure learners have sufficient time to complete all learning and assessment requirements.

Providers should use recording documentation to record assignment re-take results and feedback. This must include any additional teaching/learning that is required before a resit.

Providers are required to collect data around resits to enable Open Awards to externally quality assure how this requirement is implemented in practice, and so data can be monitored across and within providers.

Open Awards provides additional guidance for specific assessment methods with regards to the level of control anticipated for different types of assessments.

If a learner does not pass all assessment criteria across the qualification, they will be issued with a unit transcript. If the learner decided to attempt the course again, the unit achievement could be used towards achievement of the qualification as a whole, provided that it was within the unit validity period to ensure its currency. The provider would be required to complete an initial assessment to identify gaps in knowledge, skills, behaviours and apply to Open Awards to recognise the existing units in line with Open Awards' recognition of prior learning policy. In all cases, the requirement for two observations over the course would be required to ensure the learner is assessed in their workplace for competency.

Learner Feedback

Tutors/ assessors must provide feedback to learners for each submitted assignment in a timely manner. The assignment brief should provide the learner with an indication of when they can expect to receive this feedback.

All feedback provided must be sufficient, focused and developmental. It should provide justification for the grade(s) recommended (pass/fail) and must explicitly reference the assessment criteria relating to the assignment.

Where more than one assignment is used to assess a unit, tutors should provide feedback in relation to the individual assignments so that learners can identify strengths and weaknesses in different areas and improve their performance.

Feedback on work which has not met the requirements of one or more learning outcomes, and therefore has not achieved the standard for Pass, must only confirm which aspect of a learning outcome has not been achieved.

Feedback should include specific examples where the learner's work provides evidence for the recommended grade (Pass/Fail). Feedback should be developmental and constructive – allowing learners to understand how they can improve in future assessments, or what is required to improve to the required standard in the case of a retake. Care must be taken to avoid providing feedback that is so detailed that it could be deemed to be coaching.

Data Collection

Providers must retain the following records and make this available to Open Awards when conducting external quality assurance and compliance activities, and on request.

Learner details	Learner assessment records	Internal quality assurance records
• Learner name • Date of birth • Contact address • Registration date • Open Awards learner registration number • Unique Learner Number (ULN) - where applicable • Unit names and unit codes for each unit completed	• Name of the assessor(s) • The assessment methods used • Evidence of the assessment decision being made • Reasons for the assessment decision made • The location of relevant supporting evidence. • Order of unit delivery • Learner attendance rates • Delivered learning hours (GLH)	• Name of the internal quality assurer(s) • Sampling strategy, including the sample selected and the rationale for choosing that sample • Details of internal standardisation activities relating to the units • Evidence of assessor competence (including copies of certificates, CVs and evidence of continuing professional development)

	• Resits • First-time pass rates	• Records of certificates claimed • Records of learner complaints – including outcomes • Records of learner appeals – including outcomes
<i>These details are retained on the Open Awards registration and certification database. Providers must keep their own records in case of learner complaints, appeals or malpractice allegations.</i>	<i>Open Awards does not expect Providers to retain learner portfolios, which must be returned to the learner once results have been confirmed.</i>	<i>Records of certificates claimed are retained on the Open Awards database. Providers must keep their own records in case of learner complaints, appeals or malpractice allegations.</i>

Training and support

Open Awards offers a variety of training and support to Providers. Our online training and support is free of charge and can be accessed on the following link [ehttps://oalearn.org.uk/shop](https://oalearn.org.uk/shop). An everlasting coupon (PLUC code) will be issued to each Provider to gain free access to these resources.

Internal Quality Assurance (IQA)

All providers delivering Open Awards provision must operate rigorous internal quality assurance systems. A provider must identify how they will internally quality assure and standardise their delivery and assessment before delivering a course.

Assessors and Internal Quality Assurers (IQA) must:

- be occupationally competent in the area of practice to which the unit being assessed applies (e.g. holding a relevant qualification at an equivalent or higher level than the level of the qualification or demonstrate current occupational experience)
- hold or be working towards the appropriate assessor or IQA qualification (relevant to role being undertaken e.g., D32/33/34 or A1/V1). Staff holding legacy qualifications must be able to demonstrate that they are assessing or internally verifying to current standards
- have relevant and credible experience which is clearly demonstrable through continuing learning and development. IQA activity must be demonstrated within the last three years

Every course must have an internal quality assurance (IQA) plan agreed before delivery commences. The following outlines the overarching activities that will be completed for all courses.

Internal Pre-Course Verification

Pre-verification activities must be undertaken to ensure that delivery and assessment arrangements:

- Meet the rules of combination for the qualification
- Align with the assessment methods mandated in the qualification guide
- Are appropriate to the level
- Have been mapped against all the Assessment Criteria for the unit
- Enable students to generate the necessary evidence of achievement
 - Are inclusive and follow the principles of fair design. i.e., the assessment activities should:

- be reliable,
- be valid,
- be fit for purpose,
- be transparent,
- recognise and respect equality and diversity,
- be written in appropriate and accessible language that is free from bias.

Continued Quality Assurance

The quality of delivery, assessment will be reviewed on an ongoing basis throughout the course duration. As a minimum, this will include:

- Interim sampling at both the early and middle stages of the assessment process. This enables the IQA to check formative assessment and identify consistency or issues at an early stage for corrective action
- Standardisation activities as outlined in this policy, and the course IQA plan
- Quality checks on delivery and assessment including, observations and walk throughs, work scrutiny, learner feedback/ surveys

Internal Quality Assurance

An effective internal quality assurance system ensures assessment practices and decisions are regularly reviewed and evaluated to ensure the validity of inferences which can be drawn from unit or qualification achievement.

Internal quality assurance is a process by which an approved Provider regularly samples and evaluates consistency and fairness of assessment decisions.

It involves two key processes:

1. Verification of assessment decisions in line with the sampling strategy outlined below;
2. Standardisation activities.

Sampling Strategy

The sampling strategy will be included in the IQA plan and take into account:

- This qualification being categorised as high risk
- Learners across demographics – sampling must cover ethnicity, gender, employed full or part time and special arrangements

- Assessors – sampling will cover all assessors taking into account a higher risk of new assessors or feedback from EQA reports, across all assessment sites, occupational and qualification and experience
- Units – sampling will cover all units within the qualification
- Methods of assessment – sampling will cover all assessment methods within the qualification
- Evidence types – evidence submitted towards assessment is valid, authentic, current, sufficient, plus a focus on any special requirements and identified problem units
- Records – all documents relating to assessments and assessor feedback to learners
- Assessment locations – across different assessment locations, main centre location and delivery sites

The following sampling sizes are mandated for this qualification:

Learners registered per qualification suite	Minimum sample size
1-15	3
16-50	5
51-250	7
251+	10

All units must be sampled.

The IQA will increase the size of the sample if the minimum sample does not provide the necessary assurances.

Where new assessors are being used, 100% of the first two cohorts assessed will be sampled. This also applies to individual assessors deemed to be high risk due to significant errors in assessment decisions identified in previous sampling. This measure is in place to support new staff and ensure quality.

Learners who withdraw from the course before completing the course are entitled to unit certification (for all units completed) so should be included in the IQA sample and documentation.

Claiming Results

Results for units cannot be claimed until an IQA has confirmed them in line with the agreed sampling strategy. Results will be claimed via the Open Awards Portal by the authorised centre administrator.

External Quality Assurance (EQA)

Delivery of this qualification must be done so in accordance with Ofqual regulatory guidelines and in line with Open Awards' quality assurance processes.

Provider approval, compliance monitoring and external quality assurance is carried out by the Open Awards Quality Assurance Team/ External Quality Assurers who will confirm that the Provider is assessing to standard and ensure that there are robust internal quality assurance systems embedded.

Open Awards will also ensure that, **External Quality Assurers (EQA)** must:

- hold a professional Early Years Educator qualification or an aligned professional qualification from the sector
- have working knowledge of early years settings, the regulation, legislation and codes of practice for the service (where applicable) at the time any assessment is taking place
- have credible experience which is clearly demonstratable through continuing learning and development
- a sound understanding of assessment principles and practices (e.g, hold or be working towards the appropriate assessor qualification (i.e. D32/33, A1)
- hold, or be working towards, the appropriate external verifier qualification as identified by the qualification's regulators. External quality assurers holding legacy qualifications must be able to demonstrate that they are assessing to current standards
- have credible experience which is clearly demonstrable through continuing learning and development

External quality assurers who are not yet qualified against the appropriate competences but have the necessary occupational competence and experience, can be supported by a qualified external quality assurer who does not necessarily have the occupational expertise or experience.

The Open Awards Quality Assurance Team has overarching responsibility for ensuring the Provider's ongoing compliance through their quality assurance policies and practices. The Open Awards Quality Assurance Team's role is to:

- support Providers to improve the quality and standards of delivery, assessment and internal quality assurance
- externally quality assure Providers' recommendations for awards

- ensure consistency in standards between Providers and over time
- ensure ongoing compliance with the Open Awards Provider agreement, policies and procedures

For this qualification, Providers will also be allocated an External Quality Assurer (EQA) to undertake external quality assurance activities. This is due to the specialist knowledge and experience required to effectively undertake the role.

This qualification has been allocated a 'high' risk rating and therefore External Quality Assurance will be undertaking in line with the procedures outlined in the Provider Handbook for 'high risk' qualifications.

Each provider is allocated a Quality and Standards Advisor (QASA) who has overarching responsibility for ensuring the provider's ongoing compliance through their quality assurance policies and practices. The QASA role is designed:

- To support providers to improve the quality and standards of delivery, assessment and internal quality assurance
- To externally quality assure providers' recommendations for awards
- To ensure consistency in standards between providers and over time
- To ensure ongoing compliance with the Open Awards provider agreement, policies and procedures.

For this qualification, provider will also be allocated an External Quality Assurer (EQA) to undertake external quality assurance activities. This is due to the specialist knowledge and experience required to effectively undertake the role.

The level of external quality assurance intervention a Provider receives is determined by the Provider's quality risk rating (New Provider, Low, Medium or High).

Open Awards allocates a risk rating for a provider based on their overall risk for all Open Awards qualifications offered by Open Awards. They are then issued a qualification specific risk rating for medium and high-risk qualifications. The rationale for this is to recognise that there may be qualification specific risks at a provider e.g., relating to the specific resources required for a qualification.

This qualification has been classified as **high risk**. Therefore, any provider offering either qualification will be given a qualification-specific risk rating that drives the external quality assurance arrangements for this qualification. The qualification level risk-rating supersedes the overall risk rating at a provider for the purposes of external quality assurance arrangements of this qualification.

Risk ratings are reviewed, as a minimum, on an annual basis.

External Pre-course Verification

As this is a high-risk qualification, providers must submit a delivery and assessment plan along with their qualification approval request. This is to ensure that Open Awards can pre-verify delivery and assessment arrangements before the Provider starts to deliver the qualification.

Pre-verification checks apply to providers being approved to deliver a high-risk qualification for the first time and existing providers where they have made changes which may impact the validity of their delivery and assessment, including:

- Changes to delivery and assessment staff
- Changes to Internal Quality Assurance staff
- Proposed change to the order of unit delivery
- Proposed changes to the methods of assessment, tasks and materials
- Changes made in response to actions placed by Open Awards

These will be monitored on an annual basis through compliance reviews, although providers may request amendments at any time and must not wait until a scheduled review to advise of changes that may trigger pre-verification.

Where a Provider does not have a coherent delivery and assessment plan in place, or significant changes are needed to the proposed arrangements, they will not be allowed to deliver the qualification until this plan has been revised and approved by Open Awards.

Assessment tasks and materials (e.g., assignment briefs, examination papers, professional discussion arrangements) must be planned in advance, and reviewed as part of the pre-verification activities, to ensure that each assessment criteria can be fully met through the proposed assessments.

Wherever possible, Open Awards will review all assessment tasks for all units in advance of the qualification being delivered. However, it is recognised that assessment tools may not be created before approval has been granted. In such circumstances, the subject specialist will pre-verify the first assessments scheduled and will review subsequent documents as required, based on the provider's risk rating.

Therefore, pre-verification will review the assignments the provider has prepared and will make a decision on approval with two possible outcomes:

1. Approval rejected - assignment briefs require substantial development and will need to be resubmitted prior to approval.
2. Approved with conditions - reviewed assignments are fit for purpose however, the conditions will require the provider to submit the remaining assignments for the entire qualification prior to the units being delivered to ensure they are fit for purpose.

Annual Quality Assurance Reviews

The Annual Quality Assurance Review will provide the Open Awards Quality Assurance Team with an up-to-date record of specific areas of compliance with the Provider agreement. This enables Open Awards to make a judgement on the Provider's ongoing compliance in the following areas:

1. Quality assurance policies
2. Business policies
4. Staffing and resources
5. Data management
5. Engagement with Open Awards
6. Internal quality assurance arrangements
7. Provider administration

The Open Awards Quality Assurance Team will review progress towards the Provider Improvement Action Plan (PIAP) and may incorporate external verification activities into the review.

Where concerns are raised as a result of this activity, the Provider's risk rating may be increased and review visits undertaken more frequently.

Preparing for Annual Quality Assurance Reviews

The Open Awards Quality Assurance Team must make appropriate arrangements with the Provider's Quality Assurance Contact (or designated alternative) at least ten (10) working days in advance of the agreed date. These arrangements must include:

- The mode of delivery (on-site or remote)
- The date and time of the scheduled activity
- The location of the activity (for on-site reviews)
- The anticipated duration of the visit (for on-site reviews)
- Whether arrangements need to be made for discussions with learners
- The names of assessors, internal quality assurers and other staff that may need to be available for the review
- Agreement on how documents will be made available (see guidance on electronic storage and postal arrangements)
- Where the Provider is posting documents, the address to which these needs to be posted
- The agreed scope of activity
- Any other areas for clarification (where known in advance)

During the review

The following documentation will be reviewed:

Quality assurance policy and procedures, covering:

- Internal verification and standardisation
- Reasonable adjustments and special considerations
- Learner enquiries, complaints and appeals
- Maladministration and malpractice
- Distribution of certificates for learners

- Recognition of prior learning
- Quality assurance course review
- Invigilation (if delivering controlled assessments)
- Learner support
- Evidence that quality assurance policies and procedures are reviewed regularly
- Evidence that quality assurance policies and procedures are being followed

Business policies and procedures, covering:

- Health and Safety
- Data Protection
- Equality and Diversity
- Fire Evacuation
- Safeguarding
- Risk assessments of specific risks faced, e.g. violence at work, service users with challenging behaviours, visitors etc.
- Policy on Checking for Criminal Records
- Employers' Liability Certificate
- Public Liability Certificate (minimum cover £1 million)
- Conflict of Interest Policy and Procedure
- Evidence that business policies and procedures are reviewed regularly
- Evidence that business policies and procedures are being followed

Staffing and resources

- Staffing structure
- Amended contacts list (if applicable)
- CVs of any new staff involved in the delivery, assessment or internal quality assurance of Open Awards provision
- Evidence of staff training and development activities (internal and external)
- Evidence that the learning environment is appropriate for the units being assessed
- Evidence of appropriate administrative record keeping

Data management

- Evidence of secure data and learner record storage

Internal quality assurance

- Evidence of pre-verification of courses
- Evidence of sampling of assessment decisions
- Evidence of internal standardisation (where appropriate)
- Course resources
- Portfolios with assessment and IQA paperwork
- IQA sampling strategy

Evidence of progress towards previously set actions

In many cases, the annual review will be scheduled to allow for verification of learners' work at the same time.

External Verification

The process of external verification is to make sure that assessments meet nationally agreed standards by reviewing whether assessment decisions (including grading decisions where appropriate) made by assessors and the checks carried out by the Internal Quality Assurer at the provider are valid.

The frequency of external verification activities required at each approved provider is dependent upon a number of factors, including the provider risk rating for the qualification.

Provider approval, compliance monitoring and external quality assurance is carried out by the Open Awards Quality Assurance Team/ External Quality Assurers who will confirm that the Provider is assessing to standard and ensure that there are robust internal quality assurance systems embedded.

This qualification has been classified as high risk in line with our CASS strategy. For further guidance on External Quality Assurance activities for high-risk qualifications, please refer to the [Provider Handbook](#).

Standardisation

Providers are required to complete internal standardisation activities to ensure all assessors are making consistent and valid assessment decisions.

In addition, providers are required contribute to national standardisation events, as a minimum once a year. Open Awards offers Standardisation events and qualification-specific forums that are held throughout the year. Such events will also provide an opportunity to identify and share best practice. Up to date details of training and standardisation events can be found on [our website](#).

Internal standardisation involves ensuring that, where there is more than one tutor/assessor delivering Open Awards provision or more than one site, internally set tasks and the outcomes of internal assessment are consistent across the range of courses.

For further guidance on Quality Assurance and Standardisation, please refer to the [Provider Handbook](#).

Recognition of Prior Learning and Achievement (RPL)

RPL is a method of assessment that considers whether a learner can demonstrate that they can meet the assessment requirements for a unit through knowledge, understanding or skills they may already possess. Evidence of learning must be sufficient, reliable and valid.

It is the responsibility of the Provider to inform Open Awards at registration of any exemptions and/or equivalences for which a claim may be made. These claims will be subject to external quality assurance by the Open Awards Quality Assurance Team.

For more information, please see our Recognition of Prior Learning Policy found on [the Portal](#).

Health and Safety

Due to the practical requirements of some of the units within this qualification, providers must ensure that appropriate risk assessments are in place for both the activities and individual learners to ensure the learners, staff and children and young people safety throughout the course.

As part of this, providers must ensure that learners and staff have access to appropriate clothing and personal protective equipment (PPE).

Providers must work directly with the learner and their employer to put robust supervision systems in place to ensure children's safety. This must include clear stakeholder agreements that outlines roles and responsibilities relating to supervision of trainees.

As a minimum:

- Learners must be supervised in all learning and training requirements (including in the workplace)
- Risk assessments must be implemented to ensure children and young people safety at all times

Providers must have clear reporting procedures in place for any concerns, whether these are raised by the trainee, employer or provider staff. Any serious concerns that could impact children and young person safety should be reported in line with the provider's safeguarding procedures and, where appropriate, Open Awards.

All approved providers are required to have a safeguarding policy in place. This is checked at provider approval stage and through ongoing compliance activities. Open Awards records a named safeguarding contact for each approved provider as one of the key contacts.

Open Awards has a safeguarding policy that is in place and followed by all staff.

The Open Awards policy includes, in the first instance, where a concern is raised, a requirement to engage with the provider to ensure their own safeguarding policy has been enacted and followed. Open Awards has a process for reporting safeguarding concerns directly to the relevant authority where a provider's policy has either not been enacted, or Open Awards has concerns about the action taken by the provider.

Please refer to the Safeguarding Policy for more detail.

Appendix 1 – Controlled Conditions Requirements

General conditions statements

High Control: Work must only be done in a supervised environment. Learners must work independently (unless there is a specific need or requirement). Time limits are in place. No external assistance or access to unauthorised resources is allowed.

Medium Control: Work may be completed in a supervised environment or independently unsupervised. Communication and access to external resources is permitted in line with assignment briefs. Learners may or may not work independently, although individual contributions to group work must be identified. Time restrictions may or may not be in place.

Low Control: Work can be completed independently, unsupervised or in unrestricted environments with access to external resources. Time restrictions may or may not be in place.

Assessment Method	Knowledge/ Skill Based Criteria	Rationale	Conditions
Observation in the Workplace	S	Enables learners to demonstrate the skills/ competencies outlined in the assessment criteria.	Level of control: High • Standardised observation checklists/ records • Trained assessors following the same criteria • Recorded observations for moderation • Clearly defined tasks aligned with learning outcomes Conditions for Delivery: • Conducted one-to-one between the learner and assessor • Assessor must be present on-site and observe in real time • Authenticity checks completed at the start of assessment e.g., learning identity confirmed • Clear observation checklist aligned with assessment criteria • Tasks must be naturally occurring and relevant to the learner's

Assessment Method	Knowledge/ Skill Based Criteria	Rationale	Conditions
			role • Observations should take place during normal working hours in real settings • Video recording may be used for moderation (where appropriate and permitted) • AI may be used by the learner to complete tasks where this is part of their normal way of working • AI may be used by the assessor to record or summarise the observation but not used to make assessment decisions Resits: Where a scenario did not occur naturally during a planned observation and, therefore, the learner was not able to meet the criteria. This would require an additional and/or alternative assessment to be completed to give the learner the opportunity to meet the criteria. This should be categorised as ‘assessment criteria has not yet been attempted’ and no result issued to the learner for the relevant criteria (other criteria in the assessment can still be confirmed as achieved’). We would not expect the additional/alternative assessment to be recorded as a resit. Where the learner attempted to meet an assessment criteria within the observation but did not meet it in full or at all (evidence is incomplete, insufficient or incorrect,), this would result in the criteria not being achieved, and a learner should be issued with a ‘fail’ result for the relevant criteria (other criteria in the assessment can still be confirmed as achieved’). In these circumstances, any future assessment must count as a resit.

Assessment Method	Knowledge/Skill Based Criteria	Rationale	Conditions
Simulated Observation	S	Enables learners to demonstrate additional skills/competencies that do not occur naturally in the workplace.'	Level of control: High • Standardised scenarios and tasks • Consistent environment and resources • Trained assessors following the same criteria • Clearly defined tasks aligned with learning outcomes Conditions for Delivery: • Conducted in a controlled environment with standardised scenarios (subject to pre-verification) • Conducted one-to-one between the learner and assessor • Assessor must be present throughout to observe performance • Authenticity checks completed at the start of assessment e.g., learning identity confirmed • Tasks must be predefined and simulate real workplace activities • Consistent facilities, tools, and materials used across different providers • Video recording may be used for moderation • AI may be used by the learner to complete tasks where this is part of their normal way of working • AI may be used by the assessor to record or summarise the observation but not used to make assessment decisions Resits: The assessment brief for the simulated observation must be designed to enable the learner to meet all assessment criteria allocated to it. Where the does not meet an assessment criteria in full or at all (evidence is incomplete, insufficient or incorrect,), this would result in

Assessment Method	Knowledge/Skill Based Criteria	Rationale	Conditions
			the criteria not being achieved, and a learner should be issued with a 'fail' result for the relevant criteria (other criteria in the assessment can still be confirmed as achieved'). In these circumstances, any future assessment must count as a resit.
Practical work-based activities	S	Enables learners to complete pieces of work directly related to their role/ practice in an early years work setting. Activities may feed into future observations or professional discussions, or be discrete pieces of work used to assess specific criteria.	Level of control: High • Pre-verification of assignment briefs • Clear assessment criteria • Academic standards and plagiarism policy and processes • Standardisation of assignment briefs • Sampling for internal and external moderation • Use of milestones or checkpoints for consistency Conditions for Delivery: • Completed independently by the learner over a defined period • Must follow a structured format with clear expectations for activities and evidence required • Assessed against given assessment criteria • Work must be submitted by a set deadline • Regular check-ins or progress milestones to ensure authenticity • Randomised sampling for moderation across providers • Follow-up verification may be required (e.g., an assessor asking questions of the learner about the process they followed) • AI is permitted to be used by the learner for research purposes when completed independently, but this must be clearly acknowledged and referenced where appropriate • AI may be permitted to be used by the learner to support the production of their evidence and subject to the learner demonstrating their understanding of the content through its

Assessment Method	Knowledge/ Skill Based Criteria	Rationale	Conditions
			delivery and acknowledgement of how AI was used AI must not be used by the assessor to make assessment decisions Resits: The assessment brief for the work-based activities must be designed to enable the learner to meet all assessment criteria allocated to it. Where follow-up verification is required with the learner (e.g., Q&A), the assessor must ensure that the questions asked provide opportunities for the learner to give evidence for all allocated assessment criteria. Where the learner does not meet an assessment criteria in full or at all (evidence is incomplete, insufficient or incorrect,), this would result in the criteria not being achieved, and a learner should be issued with a 'fail' result for the relevant criteria (other criteria in the assessment can still be confirmed as achieved'). In these circumstances, any future assessment must count as a resit.
Professional Discussion	K	Enables targeted questions/ answers to assess learners' knowledge for a specific unit. This assessment method can also be used to sample criteria across all units holistically.	Level of control: High - Structured questioning framework - Recorded discussions for verification - Trained assessors following the same criteria - Trained assessors to ensure fair and consistent evaluation Conditions for Delivery: - Conducted one-to-one between the learner and assessor - Structured with pre-agreed topics/questions aligned to assessment criteria - Authenticity checks completed at the start of assessment e.g.,

Assessment Method	Knowledge/Skill Based Criteria	Rationale	Conditions
			learning identity confirmed - Recorded (audio/video) for standardisation and moderation - Can be conducted in person or via a secure online platform - Assessor must prompt for depth and ensure evidence is fully explored - AI is not permitted to be used by the learner. - AI may be used by the assessor to record or summarise the discussion but not used to make assessment decisions Resits: The assessment brief for the professional discussion must be designed to enable the learner to meet all assessment criteria allocated to it. The assessor must ensure that the questions asked provide opportunities for the learner to give evidence for all allocated assessment criteria. Where the learner does not meet an assessment criteria in full or at all (evidence is incomplete, insufficient or incorrect,), this would result in the criteria not being achieved, and a learner should be issued with a 'fail' result for the relevant criteria (other criteria in the assessment can still be confirmed as achieved'). In these circumstances, any future assessment must count as a resit.
Witness Testimonies	S	Enables learners to provide evidence from their workplace, validated by their workplace tutor, supervisor or manager.	Level of control: Low - Standardised witness testimony templates - Witnesses briefed on required evidence - Verification process (e.g., follow-up discussion or supporting documentation) - Clear guidance on acceptable testimony content

Assessment Method	Knowledge/ Skill Based Criteria	Rationale	Conditions
			Conditions for Delivery: • Provided by a manager, supervisor, or qualified professional familiar with the learner's work • Standardised templates must be used to ensure relevant evidence is provided • Testimonies should be signed and verified by the witness • Follow-up verification may be required (e.g., an assessor interviewing the witness or learner) • Should be supported by other forms of evidence where possible • AI is not permitted to be used by the learner or their witness to produce or refine the submitted evidence Resits: The use of witness testimonies must be planned in advance to ensure it is clear what assessment criteria they are providing evidence for. Where follow-up verification is required with the learner (e.g., Q&A), the assessor must ensure that the questions asked provide opportunities for the learner to give evidence for all allocated assessment criteria. Where the learner does not meet an assessment criteria in full or at all (evidence is incomplete, insufficient or incorrect,), this would result in the criteria not being achieved, and a learner should be issued with a 'fail' result for the relevant criteria (other criteria in the assessment can still be confirmed as achieved'). In these circumstances, any future assessment must count as a resit. It is expected that this would most likely apply to the follow-up verification rather than the witness testimony itself.
Reflective Essays	S, K	Enables learners to provide evidence	Level of control: Medium

Assessment Method	Knowledge/ Skill Based Criteria	Rationale	Conditions
		from their workplace to demonstrate their application of learning. This assessment method can support the assessment of knowledge, and the application of this knowledge.	• Clear assessment criteria for reflection depth and relevance • Academic standards and plagiarism policy and processes • Standardisation of assignment briefs • Sampling for internal and external moderation Conditions for Delivery: • Completed independently by the learner in their own time • Must follow a structured format with clear expectations for depth and critical analysis • Assessed against given assessment criteria • Work must be submitted by a set deadline • Randomised sampling for moderation across providers • Follow-up verification may be required (e.g., an assessor asking questions of the learner about the process they followed) • AI is permitted to be used by the learner for research purposes, but this must be clearly acknowledged and referenced where appropriate • AI is not permitted to be used by the learner to write or refine the essay • AI must not be used by the assessor to make assessment decisions Resits: The assessment brief for the reflective essays must be designed to enable the learner to meet all assessment criteria allocated to it. Where follow-up verification is required with the learner (e.g., Q&A), the assessor must ensure that the questions asked provide opportunities for the learner to give evidence for all allocated assessment criteria.

Assessment Method	Knowledge/Skill Based Criteria	Rationale	Conditions
			Where the learner does not meet an assessment criteria in full or at all (evidence is incomplete, insufficient or incorrect,), this would result in the criteria not being achieved, and a learner should be issued with a 'fail' result for the relevant criteria (other criteria in the assessment can still be confirmed as achieved'). In these circumstances, any future assessment must count as a resit.
Case Studies	S, K	Enables learners to provide evidence from their workplace to demonstrate their application of learning. This assessment method can support the assessment of knowledge, and the application of this knowledge.	Level of control: Medium/ High • Pre-verification of case study scenarios • Clear assessment criteria • Academic standards and plagiarism policy and processes • Standardisation of assignment briefs • Sampling for internal and external moderation Conditions for Delivery: • Completed independently by the learner in their own time • Must follow a structured format with clear expectations for depth and critical analysis • Assessed against given assessment criteria • Work must be submitted by a set deadline • Randomised sampling for moderation across providers • Follow-up verification may be required (e.g., an assessor asking questions of the learner about the process they followed) • AI is permitted to be used by the learner for research purposes, but this must be clearly acknowledged and referenced where appropriate • AI is not permitted to be used by the learner to write or refine the case study • AI must not be used by the assessor to make assessment

Assessment Method	Knowledge/ Skill Based Criteria	Rationale	Conditions
			decisions Resits: The assessment brief for case studies must be designed to enable the learner to meet all assessment criteria allocated to it. Where follow-up verification is required with the learner (e.g., Q&A), the assessor must ensure that the questions asked provide opportunities for the learner to give evidence for all allocated assessment criteria. Where the learner does not meet an assessment criteria in full or at all (evidence is incomplete, insufficient or incorrect,), this would result in the criteria not being achieved, and a learner should be issued with a 'fail' result for the relevant criteria (other criteria in the assessment can still be confirmed as achieved'). In these circumstances, any future assessment must count as a resit.
Long-answer Questions	K	Enables learners to demonstrate their knowledge/ understanding of specific subject content areas. Long-answer questions can be designed to cover multiple assessment criteria, and to support learners to demonstrate analysis and	Level of control: Medium/ High • Pre-verification of assignment briefs • Clear assessment criteria • Academic standards and plagiarism policy and processes • Standardisation of assignment briefs • Sampling for internal and external moderation Conditions for Delivery: • Completed independently by the learner in their own time OR under controlled conditions • Can be administered online or on paper • Must follow a structured format with clear expectations for depth and critical analysis

Assessment Method	Knowledge/Skill Based Criteria	Rationale	Conditions
		discussions.	- Assessed against given assessment criteria - Work must be submitted by a set deadline - Randomised sampling for moderation across providers - Follow-up verification may be required (e.g., an assessor asking questions of the learner about the process they followed) - AI is not permitted to be used by the learner when completed under controlled conditions - AI is permitted to be used by the learner for research purposes when completed independently, but this must be clearly acknowledged and referenced where appropriate - AI is not permitted to be used by the learner to write or refine their evidence - AI must not be used by the assessor to make assessment decisions Resits: The assessment brief for long-answer questions must be designed to enable the learner to meet all assessment criteria allocated to it. Where the learner does not meet an assessment criteria in full or at all (evidence is incomplete, insufficient or incorrect,), this would result in the criteria not being achieved, and a learner should be issued with a 'fail' result for the relevant criteria (other criteria in the assessment can still be confirmed as achieved'). In these circumstances, any future assessment must count as a resit.
Short-answer Questions	K	Enables learners to demonstrate their knowledge/ understanding of	Level of control: Medium - Pre-verification of assignment briefs - Clear assessment criteria

Assessment Method	Knowledge/ Skill Based Criteria	Rationale	Conditions
		specific subject content areas. Short-answer questions will normally cover one (1) assessment criterion.	• Academic standards and plagiarism policy and processes • Standardisation of assignment briefs • Sampling for internal and external moderation Conditions for Delivery: • Completed independently by the learner in their own time OR under controlled conditions • Can be administered online or on paper • Must follow a structured format with clear expectations for depth and critical analysis • Assessed against given assessment criteria • Work must be submitted by a set deadline • Randomised sampling for moderation across providers • Follow-up verification may be required (e.g., an assessor asking questions of the learner about the process they followed) • AI is not permitted to be used by the learner when completed under controlled conditions • AI is permitted to be used by the learner for research purposes when completed independently, but this must be clearly acknowledged and referenced where appropriate • AI is not permitted to be used by the learner to write or refine their evidence • AI must not be used by the assessor to make assessment decisions Resits: The assessment brief for long-answer questions must be designed to enable the learner to meet all assessment criteria allocated to it.

Assessment Method	Knowledge/ Skill Based Criteria	Rationale	Conditions
			Where the learner does not meet an assessment criteria in full or at all (evidence is incomplete, insufficient or incorrect,), this would result in the criteria not being achieved, and a learner should be issued with a 'fail' result for the relevant criteria (other criteria in the assessment can still be confirmed as achieved'). In these circumstances, any future assessment must count as a resit.
Presentations	K	Enables holistic assessment of learners' knowledge across multiple subject content areas/ assessment criteria.	Level of control: Medium/ High • Pre-verification of assignment briefs • Clear assessment criteria • Standardisation of assignment briefs • Sampling for internal and external moderation Conditions for Delivery: • Conducted in person or via a secure online platform • A panel of assessors or peers may be present for consistency • Standardised criteria for grading delivery, content, and engagement • Should be recorded or have a second assessor present for moderation • Clear guidelines on duration and required content • AI is permitted to be used by the learner for research purposes when completed independently, but this must be clearly acknowledged and referenced where appropriate • AI is permitted to be used by the learner to support the production their presentation subject to the learner demonstrating their understanding of the content through its delivery and acknowledgement of how AI was used • AI must not be used by the assessor to make assessment

Assessment Method	Knowledge/ Skill Based Criteria	Rationale	Conditions
			decisions Resits: The assessment brief presentations must be designed to enable the learner to meet all assessment criteria allocated to it. Where a presentation task includes a Q&A session, the assessor must ensure that the questions asked provide opportunities for the learner to give evidence for all allocated assessment criteria. Where the learner does not meet an assessment criteria in full or at all (evidence is incomplete, insufficient or incorrect,), this would result in the criteria not being achieved, and a learner should be issued with a 'fail' result for the relevant criteria (other criteria in the assessment can still be confirmed as achieved'). In these circumstances, any future assessment must count as a resit.
Posters/ leaflets	K	Enables holistic assessment of learners' knowledge across multiple subject content areas/ assessment criteria.	Level of control: Medium • Pre-verification of assignment briefs • Clear assessment criteria • Academic standards and plagiarism policy and processes • Standardisation of assignment briefs • Sampling for internal and external moderation • Evidence of independent work (e.g., drafts or rationale) Conditions for Delivery: • Completed independently by the learner in their own time • Must follow a structured format with clear expectations for depth and critical analysis • Assessed against given assessment criteria

Assessment Method	Knowledge/ Skill Based Criteria	Rationale	Conditions
			• Work must be submitted by a set deadline • Randomised sampling for moderation across providers • Follow-up verification may be required (e.g., an assessor asking questions of the learner about the process they followed) • AI is permitted to be used by the learner for research purposes when completed independently, but this must be clearly acknowledged and referenced where appropriate • AI is permitted to be used by the learner to support the production their poster/ leaflet and subject to the learner demonstrating their understanding of the content through its delivery and acknowledgement of how AI was used • AI must not be used by the assessor to make assessment decisions Resits: The assessment brief for posters/ leaflets must be designed to enable the learner to meet all assessment criteria allocated to it. Where follow-up verification is required with the learner (e.g., Q&A), the assessor must ensure that the questions asked provide opportunities for the learner to give evidence for all allocated assessment criteria. Where the learner does not meet an assessment criteria in full or at all (evidence is incomplete, insufficient or incorrect,), this would result in the criteria not being achieved, and a learner should be issued with a 'fail' result for the relevant criteria (other criteria in the assessment can still be confirmed as achieved'). In these circumstances, any future assessment must count as a resit.
Written Report	K	Enables holistic assessment of	Level of control: Medium/ High

Assessment Method	Knowledge/ Skill Based Criteria	Rationale	Conditions
		learners' knowledge across multiple subject content areas/ assessment criteria.	• Pre-verification of assignment briefs • Clear assessment criteria • Academic standards and plagiarism policy and processes • Standardisation of assignment briefs • Sampling for internal and external moderation Conditions for Delivery: • Completed independently by the learner in their own time • Must follow a structured format with clear expectations for depth and critical analysis • Assessed against given assessment criteria • Work must be submitted by a set deadline • Randomised sampling for moderation across providers • Follow-up verification may be required (e.g., an assessor asking questions of the learner about the process they followed) • AI is permitted to be used by the learner for research purposes when completed independently, but this must be clearly acknowledged and referenced where appropriate • AI is permitted to be used by the learner to support the production their report and subject to the learner demonstrating their understanding of the content through it's delivery and acknowledgement of how AI was used • AI must not be used by the assessor to make assessment decisions Resits: The assessment brief for written reports must be designed to enable the learner to meet all assessment criteria allocated to it. Where follow-up verification is required with the learner (e.g., Q&A), the assessor must

Assessment Method	Knowledge/ Skill Based Criteria	Rationale	Conditions
			ensure that the questions asked provide opportunities for the learner to give evidence for all allocated assessment criteria. Where the learner does not meet an assessment criteria in full or at all (evidence is incomplete, insufficient or incorrect,), this would result in the criteria not being achieved, and a learner should be issued with a 'fail' result for the relevant criteria (other criteria in the assessment can still be confirmed as achieved'). In these circumstances, any future assessment must count as a resit.
Synoptic Projects (e.g., creating an induction handbook)	K	Enables holistic assessment of learners' knowledge across multiple subject content areas/ assessment criteria.	Level of control: High • Pre-verification of assignment briefs • Clear assessment criteria • Academic standards and plagiarism policy and processes • Standardisation of assignment briefs • Sampling for internal and external moderation • Use of milestones or checkpoints for consistency Conditions for Delivery: • Completed independently by the learner over a defined period • Must follow a structured format with clear expectations for depth and critical analysis • Assessed against given assessment criteria • Work must be submitted by a set deadline • Regular check-ins or progress milestones to ensure authenticity • Randomised sampling for moderation across providers • Follow-up verification may be required (e.g., an assessor asking questions of the learner about the process they followed) • AI is permitted to be used by the learner for research purposes

Assessment Method	Knowledge/ Skill Based Criteria	Rationale	Conditions
			when completed independently, but this must be clearly acknowledged and referenced where appropriate • AI is permitted to be used by the learner to support the production of their project and subject to the learner demonstrating their understanding of the content through its delivery and acknowledgement of how AI was used • AI must not be used by the assessor to make assessment decisions Resits: The assessment brief for synoptic projects must be designed to enable the learner to meet all assessment criteria allocated to it. Where follow-up verification is required with the learner (e.g., Q&A), the assessor must ensure that the questions asked provide opportunities for the learner to give evidence for all allocated assessment criteria. Where the learner does not meet an assessment criteria in full or at all (evidence is incomplete, insufficient or incorrect,), this would result in the criteria not being achieved, and a learner should be issued with a 'fail' result for the relevant criteria (other criteria in the assessment can still be confirmed as achieved'). In these circumstances, any future assessment must count as a resit.
Group work/ activities	K, S	Enables learners to demonstrate individual knowledge and/or skills and their ability to operate within team-based,	Level of control: Medium • Pre-verification of assignment briefs • Clear assessment criteria • Defined roles within the group • Structured observation and/or intervention points • Standardisation of assignment briefs

Assessment Method	Knowledge/Skill Based Criteria	Rationale	Conditions
		workplace-relevant contexts (depending on the activity).	• Sampling for internal and external moderation Conditions for Delivery: • Completed under controlled conditions or with structured observation and/or intervention points • Completed within a small group (normally 3-5 learners) • Must follow a structured format with clear expectations for activities and evidence required • Assessed against given assessment criteria • Randomised sampling for moderation across providers • Follow-up verification may be required (e.g., an assessor asking questions of the learner about the process they followed) • AI is permitted to be used by the learner for research purposes when completed independently, but this must be clearly acknowledged and referenced where appropriate • AI may be permitted to be used by the learner to support the production of their evidence and subject to the learner demonstrating their understanding of the content through its delivery and acknowledgement of how AI was used • AI must not be used by the assessor to make assessment decisions Resits: The assessment brief for synoptic projects must be designed to enable the learner to meet all assessment criteria allocated to it. Where follow-up verification is required with the learner (e.g., Q&A), the assessor must ensure that the questions asked provide opportunities for the learner to give evidence for all allocated assessment criteria.

Assessment Method	Knowledge/Skill Based Criteria	Rationale	Conditions
			Where the learner does not meet an assessment criteria in full or at all (evidence is incomplete, insufficient or incorrect,), this would result in the criteria not being achieved, and a learner should be issued with a 'fail' result for the relevant criteria (other criteria in the assessment can still be confirmed as achieved'). In these circumstances, any future assessment must count as a resit.

Appendices and Links

The following documents can be viewed on the Open Awards [website](#):

1. Provider Handbook
2. Enquiries and Appeals Policy and Procedures
3. Complaints Policy
4. Equality and Diversity Policy
5. Invoicing Policy
6. Privacy Policy
7. Reasonable Adjustments and Special Considerations Policy and Procedures

Additional supporting documents can be viewed in the Open Awards Portal.

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Open Awards

17 De Havilland Drive,
Estuary Commerce Park
Speke
Liverpool
L24 8N

0151 494 2072
enquiries@openawards.org.uk
www.openawards.org.uk
@openawards