



## **Specification**

# **IAO Level 2 Certificate in Principles of Working with Individuals with Learning Difficulties**

**Qualification number: 600/9441/2**

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## Change Control Sheet

Innovate Awarding will continuously review all support material to ensure its accuracy. All amendments will be recorded on the change control table below.

Version Number	Date Revised	Description of Revision	Page Affected
5	May 2026	New template	All

## **Innovate Awarding Organisation**

Innovate Awarding is an Ofqual regulated awarding organisation offering a wide range of Regulated Qualifications Framework (RQF) approved Qualifications ranging from Level 1 to Level 7, including skills for life and bespoke Qualifications.

This Specification version number is 5. We will inform centres of any changes to this Specification. Centres can keep up to date by visiting our website

[www.innovateawarding.org](http://www.innovateawarding.org)

This Specification provides details on administration, Quality Assurance policies and requirements as well as responsibilities that are associated with the delivery of vocational qualifications.

For more information on our range of Qualifications, email

[contactus@innovateawarding.org](mailto:contactus@innovateawarding.org)

## Qualification Summary

<b>Qualification Title</b>	<b>IAO Level 2 Certificate in Principles of Working with Individuals with Learning Difficulties</b>		
<b>Qualification Number (QN)</b>	<b>600/9441/2</b>	<b>RQF Level</b>	<b>2</b>
<b>Operational Start Date</b>	<b>1<sup>st</sup> June 2013</b>		
<b>Qualification Appropriate For Age Ranges</b>	<b>16 and over</b>		

<b>Total Qualification Time (TQT)</b>	<b>Guided Learning Hours (GLH)</b>	<b>Qualification Credit Value</b>
170	143	17

## Qualification Objective

This qualification provides learners with knowledge and understanding to help them prepare to care for an individual with learning disabilities or difficulties. The qualification provides an understanding of the principles required to ensure an individual with learning disabilities is provided with person-centred care.

## Assessment Requirements

This qualification is internally assessed and internally quality assured by Centre staff and externally quality assured by Innovate Awarding External Quality Advisors (EQAs).

Learners must compile a portfolio of evidence demonstrating how they meet the assessment criteria. To pass the qualification, the learner must demonstrate that they have met all the learning outcomes and their associated assessment criteria. If the learner has not demonstrated competence, they will be provided with feedback by their assessor for the criteria not yet met.

## Portfolio of Evidence

The Portfolio of Evidence may include workplace documentation and workplace records, witness statements and professional discussion. This is not a definitive list; other evidence sources are allowed.

## Statement of Authenticity

Learners will need to provide a Statement of Authenticity to confirm that work submitted for assessment is their own and that they have not copied it from someone else or allowed another learner to copy it from them.

## Qualification Structure

### Mandatory Units

The learner must achieve all the mandatory units.

Unit Number	Unit Title	Level	Credit Value	GLH
K/601/5315	Understand the context of supporting individuals with learning disabilities	2	4	35
A/601/8574	Principles of safeguarding and protection in health and social care	2	3	26
K/601/9493	Introduction to personalisation in social care	3	3	22
K/601/6285	Principles of positive risk taking for individuals with disabilities	2	2	20
M/601/5316	Introductory awareness of Autistic Spectrum Conditions	2	2	17
T/601/8654	Principles of supporting individuals with a learning disability to access healthcare	2	3	23

### Target Audience

This knowledge-based qualification is suitable for learners who work or wish to work in health and social care.

There are no formal entry requirements for this qualification.

This qualification is regulated for learners aged 16 years old and over.

### Progression Opportunities

Learners who achieve this qualification could progress into or within employment in a number of health and social care roles or continue their study in this or other areas.

Learners who complete this qualification may go on to further study in related areas such as:

- Level 2 Adult Social Care Certificate

- Level 3 Diploma in Adult Care
- Level 3 Diploma in Healthcare Support

## Support Materials

The following support materials available for this qualification are:

- Portfolio Evidence Locator

All the support materials for this qualification can be found on Quartz, including the Assessment Key Verbs Document.

## Funding

This qualification is not eligible for public funding.

## QUALIFICATION UNITS

## Unit Title      **Understand the context of supporting individuals with learning disabilities**

**Unit Number**      **K/601/5315**  
**Level**                **2**  
**Credit Value**      **4**  
**GLH**                 **35**

### Unit Aim

The unit explores the meaning of learning disability and considers issues closely linked with learning disability support. These include an awareness of how the attitudes and beliefs of others affect individuals who have learning disabilities. The unit introduces themes of inclusion, human rights, advocacy, empowerment and active participation and also considers the central place of communication in working with individuals who have learning disabilities.

Learning outcome The learner will	Assessment criteria The learner can
1. Understand the legislation and policies that support the human rights and inclusion of individuals with learning disabilities	1.1 Identify legislation and policies that are designed to promote the human rights, inclusion, equal life chances and citizenship of <b>individuals</b> with learning disabilities 1.2 Explain how this legislation and policies influence the day to day experiences of individuals with learning disabilities and their families
2. Understand the nature and characteristics of learning disability	2.1 Explain what is meant by 'learning disability' 2.2 Give examples of <b>causes</b> of learning disabilities 2.3 Describe the medical and social models of disability 2.4 State the approximate proportion of individuals with a learning disability for whom the cause is 'not known' 2.5 Describe the possible impact on a family of having a member with a learning disability
3. Understand the historical context of learning disability	3.1 Explain the types of services that have been provided for individuals with learning disabilities over time 3.2 Describe how past ways of working may affect present services

	<p>3.3 Identify some of the key changes in the following areas of the lives of individuals who have learning disabilities:</p> <ul style="list-style-type: none"> <li>• where people live</li> <li>• daytime activities</li> <li>• employment</li> <li>• sexual relationships and parenthood</li> <li>• the provision of healthcare</li> </ul>
<p>4. Understand the basic principles and practice of advocacy, empowerment and active participation in relation to supporting individuals with learning disabilities and their families</p>	<p>4.1 Explain the meaning of the term 'social inclusion'</p> <p>4.2 Explain the meaning of the term advocacy</p> <p>4.3 Describe different types of advocacy</p> <p>4.4 Describe <b>ways to build empowerment</b> and <b>active participation</b> into everyday support with individuals with learning disabilities</p>
<p>5. Understand how views and attitudes impact on the lives of individuals with learning disabilities and their family carers</p>	<p>5.1 Explain how attitudes are changing in relation to individuals with learning disabilities</p> <p>5.2 Give examples of positive and negative aspects of being labelled as having a learning disability</p> <p>5.3 Describe steps that can be taken to promote positive attitudes towards individuals with learning disabilities and their family carers</p> <p>5.4 Explain the roles of <b>external agencies</b> and <b>others</b> in changing attitudes, policy and practice</p>
<p>6. Know how to promote communication with individuals with learning disabilities</p>	<p>6.1 Identify ways of adapting each of the following when communicating with individuals who have learning disabilities:</p> <ul style="list-style-type: none"> <li>• verbal communication</li> <li>• non-verbal communication</li> </ul> <p>6.2 Explain why it is important to use language that is both 'age appropriate' and 'ability appropriate' when communicating with individuals with learning disabilities</p> <p>6.3 Describe ways of checking whether an individual has understood a communication, and how to address any misunderstandings</p>

### Additional Information

An **individual** is someone requiring care or support.

**Causes** should include: before birth, during birth and after birth.

**Ways to build empowerment** should include person-centred thinking.

**Active participation** is a way of working that recognises an individual's right to participate in the activities and relationships of everyday life as independently as

possible; the individual is regarded as an active partner in their own care or support, rather than a passive recipient.

**External agencies** – include:

- Advocacy services
- Campaign groups
- Parent / carer support group

**Others** may include:

- The individual
- Families or carers
- Other professionals
- Advocates
- Colleagues
- Friends
- Members of the public

### **Assessment requirements specified by a sector or regulatory body**

This unit needs to be assessed in line with the Skills for Care and Development Assessment Principles.

## Unit Title      **Principles of safeguarding and protection in health and social care**

**Unit Number**      **A/601/8574**  
**Level**                **2**  
**Credit Value**      **3**  
**GLH**                 **26**

### Unit Aim

This unit introduces the important area of safeguarding individuals from abuse. It identifies different types of abuse and the signs and symptoms that might indicate abuse is occurring. It considers when individuals might be particularly vulnerable to abuse and what a learner must do if abuse is suspected or alleged.

<b>Learning outcome The learner will</b>	<b>Assessment criteria The learner can</b>
1. Know how to recognise signs of abuse	1.1 Define the following types of abuse: <ul style="list-style-type: none"> <li>• Physical abuse</li> <li>• Sexual abuse</li> <li>• Emotional/psychological abuse</li> <li>• Financial abuse</li> <li>• Institutional abuse</li> <li>• Self-neglect</li> <li>• Neglect by others</li> </ul> 1.2 Identify the signs and/or symptoms associated with each type of abuse 1.3 Describe <b>factors</b> that may contribute to an <b>individual</b> being more vulnerable to abuse
2. Know how to respond to suspected or alleged abuse	2.1 Explain the actions to take if there are suspicions that an individual is being abused 2.2 Explain the actions to take if an individual alleges that they are being abused 2.3 Identify ways to ensure that evidence of abuse is preserved
3. Understand the national and local context of safeguarding and protection from abuse	3.1 Identify national policies and <b>local systems</b> that relate to safeguarding and protection from abuse 3.2 Explain the roles of different agencies in safeguarding and protecting individuals from abuse

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

### Additional Information

**Factors:** May include but are not limited to:

- A setting or situation
- The individual and their care and support needs.

**An individual** is someone requiring care or support.

**Local systems** should include the appropriate detail and reference to:

- Employer/organisation policies and procedures
- Multi-agency adult protection arrangements for a locality.

**Person-centred values:** Values include individuality, rights, choices, privacy, independence, dignity, respect, care, compassion, courage, communication, competency and partnership.

**Active participation:** A way of working that recognises an individual's right to participate in the activities and relationships of everyday life as independently as possible; the individual is regarded as an active partner in their own care or support, rather than a passive recipient.

### Assessment requirements specified by a sector or regulatory body

This unit needs to be assessed in line with the Skills for Care and Development Assessment Principles.

## Unit Title      Introduction to personalisation in social care

**Unit Number**      K/601/9493  
**Level**                3  
**Credit Value**      3  
**GLH**                 22

### Unit Aim

This unit introduces understanding of how personalisation affects the provision of social care services, with a focus on the systems, skills and support needed to implement personalised provision.

Learning outcome The learner will	Assessment criteria The learner can
1. Understand the meaning of personalisation in social care	1.1 Define the term 'personalisation' as it applies in social care 1.2 Explain how personalisation can benefit individuals 1.3 Explain the relationship between rights, choice and personalization 1.4 Identify legislation and other national policy documents that promote personalisation
2. Understand systems that support personalisation	2.1 List local and national systems that are designed to support personalisation 2.2 Describe the impact that personalisation has on the process of commissioning social care 2.3 Explain how direct payments and individual budgets support personalisation
3. Understand how personalisation affects the way support is provided	3.1 Explain how person centred thinking, person centred planning and person centred approaches support personalisation 3.2 Describe how personalisation affects the balance of power between individuals and those providing support 3.3 Give examples of how personalisation may affect the way an <b>individual</b> is supported from day to day
4. Understand how to implement personalisation	4.1 Analyse the skills, attitudes and approaches needed by those providing support or brokering services, in order to implement personalisation 4.2 Identify potential barriers to personalisation

	<p>4.3 Describe ways to overcome barriers to personalisation in day to day work</p> <p>4.4 Describe types of support that individuals or their families might need in order to maximise the benefits of a personalised service</p>
<p><b>Additional Information</b></p>	
<p><b>An individual</b> is someone requiring care or support.</p>	
<p><b>Assessment requirements specified by a sector or regulatory body</b></p>	
<p>This unit needs to be assessed in line with the Skills for Care and Development Assessment Principles.</p>	

## Unit Title      **Principles of positive risk taking for individuals with disabilities**

**Unit Number**      **K/601/6285**  
**Level**                **2**  
**Credit Value**      **2**  
**GLH**                 **20**

### Unit Aim

This unit provides the knowledge behind positive risk-taking. It highlights the importance of positive risk taking for individuals with disabilities. It explores how to take a person-centred approach to enabling individuals to take risks and how to balance risk-taking with duty of care. The legislative context is also covered.

<b>Learning outcome The learner will</b>	<b>Assessment criteria The learner can</b>
1. Know the importance of risk taking in everyday life for <b>individuals</b> with disabilities	1.1 Identify aspects of everyday life in which risk plays a part 1.2 Identify aspects of everyday life in which, traditionally, individuals with disabilities were not encouraged to take risks 1.3 Outline the consequences for individuals with disabilities of being prevented or discouraged from taking risk 1.4 Explain how supporting individuals to take risks can enable them to have choice over their lives to: <ul style="list-style-type: none"> <li>• gain in self-confidence</li> <li>• develop skills</li> <li>• take an active part in their community</li> </ul>
2. Understand the importance of positive, <b>person-centred</b> risk assessment	2.1 Explain how a person-centred approach to risk assessment can have a more positive outcome than traditional approaches 2.2 Identify the features of a person-centred approach to risk assessment 2.3 Describe ways in which traditional risk assessments have tended to have a negative focus
3. Know how legislation and policies are relevant to positive risk taking	3.1 Identify legislation and policies which promote the human rights of individuals with disabilities 3.2 Describe how to use a human rights based approach to risk management

<p>4. Understand how to support individuals with disabilities in decisions about risk-taking</p>	<p>4.1 Explain the connection between an individual's right to take risks and their responsibilities towards themselves and <b>others</b></p> <p>4.2 Outline how the principle of '<b>Duty of Care</b>' can be maintained whilst supporting individuals to take risks</p> <p>4.3 Describe ways of enabling individuals with disabilities to make informed choices about taking risks</p> <p>4.4 Outline the particular challenges that may arise when supporting individuals to make decisions if they have had limited previous experience of making their own decisions</p> <p>4.5 Explain the potential positive and negative consequences of the choices made about taking risks</p> <p>4.6 Describe what action to take if an individual decides to take an unplanned risk that places him/herself or others in immediate or imminent danger</p> <p>4.7 Explain why it is important to record and report all incidents, discussions and decisions concerning risk taking</p>
<p>5. Understand how to support individuals with disabilities to manage identified risks</p>	<p>5.1 Explain the importance of including risks in the individual's support plan</p> <p>5.2 Explain why it is important to review risks in the individual's support plan</p> <p>5.3 Outline why it is important to communicate and work in a consistent way with all those supporting the individual</p> <p>5.4 Describe ways of supporting individuals with disabilities to test out the risk they wish to take</p>

### Additional Information

**An individual** is someone requiring care or support.

**Person-centred values:** Values include individuality, rights, choices, privacy, independence, dignity, respect, care, compassion, courage, communication, competency and partnership.

**Others** may include:

- The individual
- Families or carers
- Other professionals
- Colleagues
- Friends
- Members of the public

- Advocates

**Duty of Care** – legal duty to take reasonable care to avoid others being harmed.

**Assessment requirements specified by a sector or regulatory body**

This unit needs to be assessed in line with the Skills for Care and Development Assessment Principles.

## Unit Title      **Introductory awareness of Autistic Spectrum Conditions**

**Unit Number**      **M/601/5316**  
**Level**                **2**  
**Credit Value**      **2**  
**GLH**                 **17**

### Unit Aim

The unit provides introductory awareness on autistic spectrum conditions. It provides learners with key areas of knowledge and explores important themes such as individuality, communication, behaviour and person centred support.

<b>Learning outcome The learner will</b>	<b>Assessment criteria The learner can</b>
1 Understand the areas in which <b>individuals</b> with an autistic spectrum condition characteristically have difficulties	1.1 Describe the types of difficulty that individuals with an autistic spectrum condition may have with language and other ways of communicating with <b>others</b> 1.2 Identify problems that individuals with an autistic spectrum condition may have in social interaction and relationships 1.3 Outline the problems of inflexibility and restrictiveness in activities and interests and how these may affect individuals on the autistic spectrum
2 Understand the concept of autism as a spectrum, and the implications for variation in the capacities and needs of individuals	2.1 Explain why it is important to recognise that each individual on the autistic spectrum has their own individual abilities, needs, strengths, preferences and interests 2.2 Describe why autism can be considered as a spectrum, encompassing individuals differing in the expression and severity of their symptoms 2.3 Identify other conditions which may be associated with an autistic spectrum condition 2.4 Outline the sensory difficulties experienced by many individuals with an autistic spectrum condition
3 Understand the behaviours exhibited by some individuals with an autistic spectrum condition	3.1 Describe behavioural characteristics associated with autistic spectrum conditions 3.2 Identify reasons why individuals with an autistic spectrum condition may exhibit such behaviours

	3.3 Describe what to do if an individual is highly anxious or stressed
4 Understand how to contribute to the person-centred support of an individual who has an autistic spectrum condition	<p>4.1 Explain why it is important to have in place structures and routines which match the wishes and needs of the individual</p> <p>4.2 Identify formal and informal support networks for an individual with an autistic spectrum condition</p> <p>4.3 Explain why it is important to involve families/parents/carers in a person-centred approach to the support of individuals with an autistic spectrum condition</p> <p>4.4 Describe ways of ensuring that support provided is consistent, both within own approach and with that of others</p> <p>4.5 Describe how to contribute towards the learning of an individual with an autistic spectrum condition</p>
5 Understand how to communicate effectively with individuals on the autistic spectrum	<p>5.1 Explain why it is important to be aware of the impact of own verbal and non-verbal communication on an individual with an autistic spectrum condition</p> <p>5.2 Identify aspects of the environment that affect communication with an individual</p> <p>5.3 Describe how to reduce barriers to communication with an individual</p> <p>5.4 Outline the use of visual communication systems for individuals who have an autistic spectrum condition</p> <p>5.5 Identify who could provide advice about effective communication with an individual</p>

### Additional Information

The terminology chosen to describe the Autistic Spectrum in this unit is Autistic Spectrum Condition (ASC), one of several different usages in this field. In diagnosis and other clinical and research settings, the more usual term is Autism Spectrum Disorders (ASDs). Other usages, such as 'autism' as an umbrella term for the spectrum, are also frequently used informally and by organisations such as the National Autistic Society. ASC has been chosen here since it forms a more neutral and less medical phrase than ASDs in this context.

**An individual** is someone requiring care or support.

**Others** may include:

- The individual
- Families or carers
- Colleagues
- Friends

- |   |   |
|---|---|
| <ul style="list-style-type: none"><li>• Other professionals</li><li>• Advocates</li></ul> | <ul style="list-style-type: none"><li>• Members of the public</li></ul> |
|---|---|

**Assessment requirements specified by a sector or regulatory body**

This unit needs to be assessed in line with the Skills for Care and Development Assessment Principles.

## Unit Title      **Principles of supporting individuals with a learning disability to access healthcare**

**Unit Number**      **T/601/8654**  
**Level**                **2**  
**Credit Value**      **3**  
**GLH**                 **23**

### Unit Aim

This unit covers the principles of supporting individuals with a learning disability to access healthcare. It covers legislation, barriers to and functions of healthcare services, and plans for healthcare.

<b>Learning outcome The learner will</b>	<b>Assessment criteria The learner can</b>
1 Understand legislation, policies and guidance relevant to <b>individuals</b> with a learning disability accessing healthcare	1.1 Outline what is meant by a rights based approach to accessing healthcare 1.2 Identify legislation which supports a rights based approach to accessing healthcare 1.3 Describe ways that healthcare services should make 'reasonable adjustments' to ensure that they provide equal access to individuals with a learning disability 1.4 Explain why it is important to ensure an individual is able to give informed consent to their treatment in line with legislation, policies or guidance 1.5 Describe the actions to take if an individual cannot give informed consent to the treatment
2 Understand the function of different healthcare services that an individual with a learning disability may need to access	2.1 List a range of <b>healthcare services</b> that an individual with a learning disability may need to access 2.2 Describe the work of each type of healthcare service 2.3 Explain how to gain access to each type of healthcare service
3 Understand the role of professionals within different healthcare services that an individual with a learning disability may need to access	3.1 Outline the role and responsibility of the professionals working in different types of <b>healthcare services</b>
4 Understand how <b>plans for healthcare</b> and regular	4.1 Explain how <b>plans for healthcare</b> can be of benefit to an individual with a learning disability

<p>health checks underpin long-term health and well-being for individuals with a learning disability</p>	<p>4.2 Identify a range of regular health checks that an individual may have to support good health and well being</p> <p>4.3 Outline how missing regular health checks may increase the risk of poor health and wellbeing for the individual</p> <p>4.4 Explain the importance of individual preference in relation to <b>treatments available</b></p>
<p>5 Understand the issues that an individual with a learning disability may face when accessing a variety of healthcare services</p>	<p>5.1 Identify <b>barriers</b> to accessing healthcare services that an individual with a learning disability may experience</p> <p>5.2 Describe ways to overcome barriers to accessing healthcare services</p> <p>5.3 Describe reasons why an individual may be reluctant to access healthcare services</p> <p>5.4 List a range of resources that may be helpful to an individual with a learning disability assessing healthcare services</p>

### Additional Information

An **individual** is someone requiring care or support.

**Healthcare services** may include:

- Primary healthcare
- Acute healthcare services
- Specialist healthcare services
- Community healthcare services

**Plans for healthcare** – in England this refers to / should include Health Action Plans.

**Treatments available** – this may include complementary therapies.

**Barriers** should include personal barriers as well as external barriers.

### Assessment requirements specified by a sector or regulatory body

This unit needs to be assessed in line with the Skills for Care and Development Assessment Principles.

## APPENDIX

## The Regulated Qualifications Framework (RQF)

### What is the RQF?

The Regulated Qualifications Framework (RQF) is an Ofqual regulated system of cataloguing qualifications. Qualifications on the RQF can be found by their size or level. Qualifications at a given level can differ depending on their content and purpose.

All of Innovate Awarding's qualifications are on the RQF.

### Qualification Level

The level reflects the challenge or difficulty of the qualification. There are eight levels of qualification from 1 to 8, supported by three 'Entry' levels.

### Qualification Size

The size of a qualification reflects the estimated total amount of time it would take the average learner to study and be assessed. The size of a qualification is expressed in terms of Total Qualification Time (TQT). The time spent being taught or supervised, rather than studying alone, is the Guided Learning Hours (GLH).

Qualifications can sit at different levels but require similar amounts of study and assessment. Similarly, qualifications at the same level can take different amounts of time to complete.

### Credit Values

Every unit and qualification on the RQF has been given a credit value, which denotes the number of credits that will be awarded to each candidate who successfully completes the unit or qualification.

- **1** credit represents **10** notional learning hours.

Notional learning hours represent the amount of time a learner is expected to take, on average, to complete the learning outcomes of the unit to the standard required within the assessment criteria. It is important to note that notional learning hours is not the same as guided learning hours (GLH). GLH represents the hours during which a tutor or trainer is present and contributing to the learning process. Notional learning hours represents the hours which are needed to successfully cover all the learning required to achieve the unit, either guided or independently.

## RQF Terminology

Whilst the evidence outcomes required from RQF and NVQ units are the same, the RQF units use different terminology to the NVQ units. The assessment criteria for NVQ units are 'what you must do' and 'what you must know' whereas the RQF units are all 'the Learner can' or 'the Learner is able to'.

## Rules of Combination (RoC)

Every qualification on the RQF is structured through Rules of Combination. Rules of Combination are important because they define the number of credits which need to be achieved and where these credits must come from in order for a Learner to achieve the qualification. Rules of Combination also state what the potential is for Learners who wish to transfer credits between qualifications and awarding organisations.

## Assessment Principles

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

Assessors must be able to evidence and justify the assessment decisions that they have made.

Where an assessor is occupationally competent but not yet qualified as an assessor, assessment decisions must rest with a qualified assessor. This may be expressed through a robust countersigning strategy that supports and validates assessment decisions made by as yet unqualified assessors, until the point where they meet the requirements for qualification.

Assessment of knowledge-based learning outcomes:

- May take place in or outside of a real work environment
- Must be made by an occupationally qualified and knowledgeable assessor, qualified to make assessment decisions
- Must be robust, reliable, valid, and current; any assessment evidence using pre-set automated tests, including e-assessment portfolios, must meet these requirements and can only contribute to overall decisions made by the assessor.

Those involved in assessment must demonstrate their continuing professional development, up to date skills, knowledge and understanding of practice at or above the level of the unit.

Regardless of the form of recording used for assessment evidence, the guiding principle must be that evidence gathered for assessment must comply with policy

and legal requirements in relation to confidentiality and data protection. Assessors must ensure they are satisfied the evidence presented is traceable, auditable and authenticated and meets assessment principles.

## Quality Assurance

Internal quality assurance is key to ensuring that the assessment of evidence is of a consistent and appropriate quality. Those carrying out internal quality assurance must be occupationally knowledgeable in the unit they are assuring and be qualified to make quality assurance decisions.

Those involved in internal quality assurance must have the authority and the resources to monitor the work of assessors. They have a responsibility to highlight and propose ways to address any challenges in the assessment process (e.g. to ensure suitable assessors are assigned to reflect the strengths and needs of particular learners).

Those carrying out external quality assurance must be occupationally knowledgeable and understand the policy and practice context of the qualifications in which they are involved.

Those involved in external quality assurance have a responsibility to promote continuous improvement in the quality of assessment processes.

## Skills for Care and Development Assessment Principles

The Innovate Awarding Level 2 Adult Social Care Certificate must be delivered and assessed in accordance with the Skills for Care and Development Assessment Principles. The following information has been adapted from the principles and applies to Innovate Awarding, training providers approved by Innovate Awarding, tutors, assessors and internal and external quality assurers.

### 1. Assessment Principles

#### 1.1. Good practice dictates the following:

- Robust initial assessments are needed to identify and plan for each learner's needs, ensuring their role and responsibilities meet all qualification requirements, including the mandatory and optional units.
- Centres should have in place processes to identify and recognise opportunities for use of Accredited Prior Learning (APL) and/or Recognition of Prior Learning (RPL), and these should meet the requirements of the AO/B.
- Centres should also have in place processes to support reasonable adjustments, and again, these should meet the requirements of the AO/B.

#### 1.2. The centre must monitor that learners are registered with the AO/B **before** formal assessment continues.

Assessors must be able to fully evidence and justify the assessment decisions they have made in line with the principles of validity, authenticity, reliability, currency and sufficiency. Assessment records should be accurate, legible and complete, and meet requirements set out by the AO/B and associated assessment strategy where this is in place.

#### 1.3. Skills-based assessment must include direct observation as the principal and most reliable assessment source of evidence, carried out by the assessor in person with the learner in their workplace. Observation must be carried out over an appropriate period of time and not be end-loaded. Evidence should be naturally occurring and minimise the impact on individuals who use care or support, their families and carers.

Where a centre has valid and genuine reasons for being unable to meet the direct observation requirements, short-term flexible approaches may be permitted. These approaches must be standardised, and the centre must discuss and agree this with the awarding organisation.

#### 1.4. Assessment decisions for skills-based learning outcomes must be made during the learner's normal work activity by an occupationally qualified, competent and knowledgeable assessor.

- 1.5. Assessors must demonstrate occupational competence and sector knowledge at or above the level they assess, maintaining this through ongoing continual professional development.
- In examples where assessors are returning to practice, a professional development plan should be in place to ensure current sector competency against the level, the subject matter being assessed, and overall assessment practices.
  - If an assessor is occupationally competent but not yet qualified, a qualified assessor must make the final assessment decisions. These must be validated through countersigning and supported by robust internal quality assurance, sampling plans and activities until qualification requirements are met.
  - It is the responsibility of the AO/B to confirm that assessors in centres are suitably qualified and competent to make assessment decisions.
- 1.6. Simulation must only be used to assess skills-based learning outcomes when specified in the unit assessment requirements or agreed with the awarding organisation or agreed with the External Quality Assurer acting on behalf of the awarding organisation.
- 1.7. Witness testimony from others, including those who use services, their families and professionals, can be an important contribution to evidence in the assessment process and can enrich and triangulate other evidence obtained. A witness testimony does not replace direct observation and should not be used as the only evidence of skills. A witness testimony and an expert witness testimony are two different types of evidence. Informed consent must be gained for those providing witness testimonies.
- 1.8. Expert witnesses play an important role in assessments. They must:
- have a working knowledge of the relevant units
  - be occupationally competent in the relevant units, and
  - have either a qualification in workplace assessment or a role evaluating staff performance within their area of expertise.
- 1.9. Appropriate processes to identify and recruit, confirm, support, and standardise suitable expert witnesses should be applied by the centre and assured by the awarding organisation.
- 1.10. The expert witness is a reliable source of evidence:
- where the assessor is not occupationally competent in a specialist area e.g. a healthcare task, an expert witness testimony can be used for direct observation of the unit (not the whole qualification) where they have occupational expertise in the specialist area.

- when used as a method to enrich, supplement, and add triangulation to other assessment methods and outcomes.
- in supporting flexibility where there are valid and genuine factors in not being able to obtain direct observation in the workplace e.g. individual considerations, environment and practice sensitivities. Occasions where this is needed must be discussed and agreed with the AO/B. This should not be the sole primary method used in place of all observations.
- where allowed as per the assessment strategy.

1.11. The use of expert witnesses should be determined and agreed by the assessor, in line with internal quality assurance arrangements and AO/B requirements for assessment of units within the qualification and the sector. The assessor remains responsible for supporting the expert witness through the process and making the final assessment decision.

## 2 **Assessment of knowledge-based learning outcomes:**

2.1. The assessment of knowledge-based learning outcomes:

- may take place in or outside of a real work environment
- must be made by an occupationally qualified and knowledgeable assessor, qualified to make assessment decisions
- must be robust, reliable, valid and current
- can be supported by eLearning programmes to support overall summative assessment, by helping learners acquire and review knowledge, but they cannot replace practical assessment in a real work environment
- may include pre-set automated tests (such as multiple-choice questions) which contribute evidence towards summative decisions. However, they must be complemented by direct assessment methods that demonstrate the learner's ability to apply knowledge in real work situations
- must take into account APL/RPL to avoid duplication of learning.

## 3 **Recording and documentation**

3.1. All assessment and quality assurance evidence, regardless of format, must comply with confidentiality and data protection laws. Information must be traceable, auditable, authenticated, and meet assessment principles. In addition, no recordings should compromise anyone's privacy or dignity. As such, clear and robust referencing is necessary to establish a relationship between the evidence and the assessment standard, which validates competence. Referencing should clearly indicate the specific location within the evidence where the relevant skills and knowledge are claimed, either in paper-based or e-portfolios.

## 4 Use of technology in the assessment process

- 4.1. Centres should have in place robust policies and procedures regarding Artificial Intelligence (AI) and technology, and these must meet requirements as set out by the awarding organisation.
- 4.2. Technology, platforms, and e-portfolios can support assessment by enabling planning, reviews, learner reflection, professional discussions, and capturing evidence from expert witnesses. When using technology in these contexts, ensure:
  - recording, storage, and access comply with confidentiality and data protection legislation
  - individuals receiving care or support and others are not unintentionally recorded
  - informed consent must be freely given by everyone involved in the assessment and this must be documented.
- 4.3. Using technology to observe and verify learner competency (remote observation) is not allowed if it risks anyone's privacy, dignity, or confidentiality.
- 4.4. Where permitted by sector or qualification guidelines, technology may be used to remotely observe learners' task-based competencies, such as online meetings or remote support to colleagues. Such evidence must be clearly marked and distinguished from other types. It should not be used when there is a requirement for direct interaction with individuals using care or support services or others.
- 4.5. The remote observation approach in 4.4 is supplementary and does not replace direct observation as the primary assessment method. It should be used to support and enhance planned direct assessments throughout the qualification.
- 4.6. Centre practices in the use of technology are to be monitored and assured by the awarding organisation, and this should include centre consideration of the following:
  - Use aligns to adherence to any additional guidance set by the awarding organisation, the qualification, which is being assessed, any specific sector considerations and associated assessment strategies in place.
  - The centre understands the ethical considerations in the use of technology in the sectors and has policies and procedures in place to support use.
  - Robust approaches to risk assessment are used to ensure risks to individuals and others are eradicated.
  - Centre practices and approaches are guided and supported by thorough standardisation.
  - Technology and programmes used are standardised, accessible, safe and reliable.

- If the centre allows assessor and internal quality assurer use of personal devices (e.g. phones, tablets, or personal laptops), then procedures should be in place to ensure data and confidentiality aspects. This includes consideration of where and how devices are accessed to view learner evidence.
- Assessment planning and discussion should capture the relevant and safe opportunities to use technology, along with the approach used to explore and mitigate any risks.
- Evidence recording methods and assessment outcome processes do not increase the risk of any data or confidentiality breaches.
- Assessment outcomes and decisions and outcomes generated by use of technology in the process are reliable, sufficient and traceable.
- All protocols are upheld in the 'observation' context e.g. permissions sought and confirming the purpose of the assessment activity.
- Assessment activities where technology is used, must be incorporated in internal and external quality assurance sampling planning and activities.
- Learners are not disadvantaged by the use of technology and they are aware of its use.
- Learning requirements, support, skill development or other developmental needs of the learner are fully supported throughout the qualification process.
- Technology is used well to genuinely enhance the assessment process, experience, outcomes and digital skills of the learner.
- Practices and lessons learned should be shared by all to support review and continuous improvement.

#### **4. Internal quality assurance**

- 5.1 Internal quality assurance is key to ensuring the assessment of evidence is of a consistent and appropriate quality. This process should be supported by robust sampling plans and activity that takes place at beginning, middle and end of the qualification journey and accounts for any potential risks in the assessment process. Those carrying out internal quality assurance must be occupationally knowledgeable in the unit they are assuring and be qualified to make quality assurance decisions. It is the responsibility of the AO/B to confirm that those involved in internal quality assurance are suitably qualified for this role.
- 4.1 If the internal quality assurer is knowledgeable but not yet qualified, a qualified internal quality assurer must make final decisions. A clear countersigning strategy should support and confirm decisions by unqualified staff until they are fully qualified.
- 4.2 Those involved in internal quality assurance must have the authority and the resources to monitor the work of assessors. They have a responsibility to highlight and propose ways to address any challenges in the assessment

process (e.g. to ensure suitable assessors are assigned to reflect the strengths and needs of particular learners).

- 5.4 Those carrying out external quality assurance must be occupationally knowledgeable and understand the policy and practice context of the qualifications in which they are involved. It is the responsibility of the awarding organisation to confirm that those involved in external quality assurance are suitably qualified for this role.

Those involved in external quality assurance have a responsibility to promote continuous improvement in the quality of assessment processes.

## 5. Definitions

**Occupationally competent:** This means that each assessor must be capable of carrying out the full requirements of the specific qualification units they are assessing. Occupational competence may be at unit level for specialist areas: this could mean that different assessors may be needed across a whole qualification, while the final assessment decision for a qualification remains with the lead assessor. Being occupationally competent also means being occupationally knowledgeable. This occupational competence should be maintained annually through clearly demonstrable continuing learning and professional development.

**Occupationally knowledgeable:** This means that each assessor and internal quality assurer should possess knowledge and understanding relevant to the specific qualifications and / or units they are assessing or internally quality assuring. This occupational knowledge should be maintained annually through clearly demonstrable continuing learning and professional development. It is crucial that internal quality assurers understand the nature and context of the assessors' work and that of their learners.

**Qualified to make assessment decisions:** This means that each assessor must hold a qualification suitable to support the making of appropriate and consistent assessment decisions. Awarding organisations will determine what will qualify those making assessment decisions according to the unit of skills under assessment. A list of general assessor qualifications is included in Appendix B. Please also refer to additional guidance for qualifications in the relevant nation, where available.

**Qualified to make quality assurance decisions:** AO/B will determine what qualifies those undertaking internal and external quality assurances to make decisions about that quality assurance. A list of general internal qualification assurance qualifications is included below. Please also refer to additional guidance for qualifications in the relevant nation, where available.

**Witness testimony:** Witness testimony is an account of practice that has been witnessed or experienced by someone other than the assessor and the learner.

## Occupational Competence Requirements

### Tutors, Assessors and Quality Assurance Staff

All Tutors, Assessors and Quality Assurance Staff must:

- Have a specific qualification equivalent to the qualification or units being taught/assessed or quality assured
- Have relevant industry experience
- Demonstrate active involvement in a process of industry relevant Continued Professional Development during the last two years (this may be discipline/context specific or relevant to tutoring assessing or quality assurance)

### Tutors

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

- Level 3 Award, Level 4 Certificate or Level 5 in Education and Training
- Level 3 Award in Preparing to Teach in the Lifelong Learning Sector (PTTLS)
- Level 4 Award in Preparing to Teach in the Lifelong Learning Sector (PTTLS)
- Level 4 Certificate in Teaching in the Lifelong Learning Sector (CTTLS)
- Level 5 Diploma in Teaching in the Lifelong Learning Sector (DTTLS)
- Qualified Teacher Status
- Relevant predecessor tutor qualifications, such as Level 3 Awards and Certificate in Assessing the Quality of Assessment (QCF), Certificate in Education in Post Compulsory Education (PCE) or L&D9DI - Assessing workplace competence using Direct and Indirect methods (Scotland)

### Assessors

Assessors must hold or be working towards any of the following:

- Level 5 Diploma in Teaching (Further Education and Skills) (September 2024) to be discussed with Awarding Organisation to ensure relevant units have been undertaken
- Level 3 Learning and Skills Assessor Apprenticeship (March 2023)
- Level 5 Learning and Skills Teacher Apprenticeship (January 2019)
- L&D9DI - Assessing workplace competence using Direct and Indirect methods (Scotland) (2015)
- L&D9D - Assessing workplace competence using Direct methods (Scotland) (2015)
- Level 5 Diploma in Education and Training (2014)

#### **Relevant assessing units:**

- Teaching, learning and assessment in education and training

- Developing teaching, learning and assessment in education and training
- Level 4 Certificate in Education and Training (2014)
- Relevant assessing units:**
  - Assessing learners in education and training
  - Assess occupational competence in the work environment
  - Assess vocational skills, knowledge and understanding
- D32 Assess Candidate Performance and D33 Assess Candidate Using Differing Sources of Evidence (2012)
- Diploma in Teaching in the Lifelong Learning Sector (DTLLS) (2012)
- Teaching Certificate in Teaching in the Lifelong Learning Sector (CTLLS) (2012, 2007)
- Level 3 Award in Assessing Competence in the Work Environment (for competence/skills learning outcomes only) (2010)
- Level 3 Award in Assessing Vocationally Related Achievement (for knowledge learning outcomes only) (2010)
- Level 3 Certificate in Assessing Vocational Achievement (2010)
- A1 Assess Candidate Performance Using a Range of Methods and A2 Assessing Candidates' Performance through Observation (2002)
- HEI Certificate in Education
- Qualified Teacher Status Certificate in Education in Post Compulsory Education (PCE)
- Post Graduate Certificate in Education

## Internal Quality Assurers

Internal Quality Assurers must hold or be working towards any of the following:

- Level 5 Diploma in Education and Training (2014)
- Relevant IQA unit:**
  - Internally assure the quality of assessment
- Level 4 Certificate in Education and Training (2014)

### **Relevant IQA units:**

- Assessing learners in education and training
- Internally assure the quality of assessment
- Level 4 Certificate in Leading the Internal Quality Assurance of Assessment Processes and Practice (2014) or
- Level 4 Award in the Internal Quality Assurance of Assessment Processes and Practice (2014)
- D34 Unit Internally verify the assessment process (2012)
- V1 Verifiers Award (2012)
- L&D11- Internally Monitor and Maintain the Quality of Workplace Assessment (Scotland) (2010)

## External Quality Assurers

External Quality Assurers must hold or be working towards any of the following:

- Level 4 Award in the External Quality Assurance of Assessment Processes and Practice
- Level 4 Certificate in Leading the External Quality Assurance of Assessment Processes and Practice

External verifiers holding historical qualifications such as unit V2 – Conduct External Quality Assurance of the Assessment Process, are required to demonstrate that they meet the same standards for monitoring assessment processes and decisions as current assessment practice requirements. Suggested evidence that demonstrates this requirement may include CPD records, a Personal Development Plan (PDP) and/or records of work completed.

It is recommended that external quality assurance staff also hold a relevant assessing and internal quality assurance qualifications as detailed above.

All new assessors and quality assurance staff must be given a clear action plan for achieving the appropriate qualification(s) and should be countersigned by an appropriately qualified individual until the qualification(s) are achieved.

## Occupational Competence Requirements

### Tutors, Assessors and Quality Assurance Staff

All Tutors, Assessors and Quality Assurance Staff must:

- Have a specific qualification equivalent to the qualification or units being taught/assessed or quality assured
- Have relevant industry experience
- Demonstrate active involvement in a process of industry relevant Continued Professional Development during the last two years (this may be discipline/context specific or relevant to tutoring assessing or quality assurance)

#### Tutors

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

- Level 3 Award, Level 4 Certificate or Level 5 in Education and Training
- Level 3 Award in Preparing to Teach in the Lifelong Learning Sector (PTTLS)
- Level 4 Award in Preparing to Teach in the Lifelong Learning Sector (PTTLS)
- Level 4 Certificate in Teaching in the Lifelong Learning Sector (CTTLS)
- Level 5 Diploma in Teaching in the Lifelong Learning Sector (DTTLS)
- Qualified Teacher Status
- Relevant predecessor tutor qualifications, such as Level 3 Awards and Certificate in Assessing the Quality of Assessment (QCF), Certificate in Education in Post Compulsory Education (PCE) or L&D9DI - Assessing workplace competence using Direct and Indirect methods (Scotland)

#### Assessors

Assessors must hold or be working towards any of the following:

- Level 3 Award in Assessing Vocationally Related Achievement
- Level 3 Award in Assessing Competence in the Work Environment
- Level 3 Certificate in Assessing Vocational Achievement

Assessors holding historical qualifications such as unit A1, unit A2, or Level 4 Awards and Certificates in Assuring the Quality of Assessment (QCF), are required to demonstrate that they meet the same standards as current assessment practice requirements. Suggested evidence that demonstrates this requirement may include CPD records, a Personal Development Plan (PDP) and/or records of work completed.

## **Internal Quality Assurers**

Internal quality assurers must hold or be working towards any of the following:

- Level 4 Award in the Internal Quality Assurance of Assessment Processes and Practice
- Level 4 Certificate in Leading the Internal Quality Assurance of Assessment Processes and Practice

Internal Verifiers holding historical qualifications such as unit V1 – Conduct Internal Quality Assurance of the Assessment Process, are required to demonstrate that they meet the same standards for monitoring assessment processes and decisions as current assessment practice requirements. Suggested evidence that demonstrates this requirement may include CPD records, a Personal Development Plan (PDP) and/or records of work completed.

It is recommended that internal quality assurance staff also hold a relevant assessing qualification as detailed above.

## **External Quality Assurers**

External Quality Assurers must hold or be working towards any of the following:

- Level 4 Award in the External Quality Assurance of Assessment Processes and Practice
- Level 4 Certificate in Leading the External Quality Assurance of Assessment Processes and Practice

External verifiers holding historical qualifications such as unit V2 – Conduct External Quality Assurance of the Assessment Process, are required to demonstrate that they meet the same standards for monitoring assessment processes and decisions as current assessment practice requirements. Suggested evidence that demonstrates this requirement may include CPD records, a Personal Development Plan (PDP) and/or records of work completed.

It is recommended that external quality assurance staff also hold a relevant assessing and internal quality assurance qualifications as detailed above.

All new assessors and quality assurance staff must be given a clear action plan for achieving the appropriate qualification(s) and should be countersigned by an appropriately qualified individual until the qualification(s) are achieved.

## **Additional Information**

### **Centre Approval**

We approve organisations such as colleges, schools, providers and employers as approved centres. As an approved centre you will be able to deliver our qualifications.

To become an approved centre complete our Centre Approval Application Form which can be download from our website. Our support team will contact you within two working days to help you through the process.

### **Feedback**

Your feedback is very important to us. We're always open to suggestions when it comes to enhancing and improving our services, products and systems.

Email [contactus@innovateawarding.org](mailto:contactus@innovateawarding.org) or call 0117 314 2800.

### **Complaints**

If we do get things wrong, we will make every effort to resolve your issues quickly and efficiently. If you'd like to raise a formal complaint, then we recommend you read our Complaints Procedure which can be found on our website.

### **Fees**

Our fees structure is transparent and straightforward. Our fees are published on our website in a clear format with no hidden charges. Unlike other awarding organisations, we do not charge an annual centre fee. Visit our website to compare our fees.

### **Enquiries and Appeals**

We recognise that sometimes decisions are made that a centre (or learner) may wish to appeal. We have an Enquiries and Appeals Policy and Process on our website that sets out guidelines on grounds for appeal and the process.

## **Data Protection**

Innovate Awarding takes the protection of data seriously; we have a data protection statement outlining how we and our centres, comply with the current legislation on data protection. This statement can be found on our website.

## **Equality and Diversity**

Innovate Awarding is committed to giving everyone who wants to gain one of our qualifications an equal opportunity of achieving it in line with current UK legislation (Equality Act 2010) and EU directives.

Centres are required, as conditions of approval, to use an equality and diversity policy that works together with ours and that they maintain an effective complaint and appeals process. We expect centres to tell learners how to find and use their own equality and diversity and appeals processes. For information, please visit our website.

## **Reasonable Adjustment and Special Consideration**

All learners must be treated fairly and equally and be given every opportunity to achieve our/the qualifications. A copy of our policy on Reasonable Adjustments and Special Considerations, and application form, can be found on our website.

## **Malpractice and Maladministration**

Innovate Awarding has a responsibility to do everything it can to prevent any malpractice or maladministration from occurring, and where it has already occurred, ensuring action is taken proportionate to the gravity and scope of the occurrence.

A copy of our policy and procedure on Malpractice and Maladministration is available on our website.

## **Use of Artificial Intelligence (AI) and referencing**

Learner submissions such as reports, presentations, business projects and portfolios must be produced by themselves. Correctly cited quotes and the use of Artificial Intelligence (AI) can be used to enhance and support the document, but the document itself must be the learner's own work and not generated by AI.

Innovate Awarding expects all forms of plagiarism to be treated very seriously by staff at centres, and centres should have in place their own plagiarism policy and process for handling suspected cases of plagiarism.

## **Recognition of Prior Learning (RPL)**

RPL recognises how the contribution of a learner's previous experience could contribute to a qualification or unit. Innovate Awarding have produced guidance on RPL, and this can be found within our Information and Guidance for Centres on our website.

**Please note the above is not a comprehensive guide to running qualifications. Once approved, centres must adhere to the Centre Agreement and Information and Guidance for Centres.**