



<b>Title:</b>	<b>Learner Assessment Process</b>		
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## 1. PURPOSE

To describe how CLS manages Assessment of Learners to ensure that learners are assessed consistently and fairly against the learning outcomes.

## 2. SCOPE


Applies to Learners enrolled in CLS delivered programmes.

## 3. RESPONSIBILITIES

**Assessor:** The assessor is the Lean Trainer that delivers the programme and is responsible for evaluating learner evidence and making the assessment decision/judgment on whether the outcome of knowledge, skill, or competence, as outlined in the Award Specification, have been achieved. The assessor must determine that the evidence is valid, reliable, and sufficient to make the assessment decision with the following skills:

- subject matter/technical expertise; the assessor must be proficient in the subject/technical area in which they are assessing.
- knowledge of and proficiency of the award standards (learning outcomes) being assessed.
- knowledge of the provider's assessment procedures.
- familiarity with QQI assessment policy and guidelines.

<b>Support Process Team:</b>	Manage CLS Certification Process
<b>Programme Management Team:</b>	Develop the Assessment Criteria
<b>Programme Delivery Team:</b>	Deliver the Assessment Criteria
<b>Examination Process Team:</b>	Manage the Approval of Assessment Results
<b>Quality Process:</b>	Management of the Appeals Process
<b>QQI:</b>	Management of the Certification Process
<b>External Authenticator:</b>	Complete an independent assessment of a sample of results per Policy for External Authenticator FOR-42.

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## 4. PROCEDURE

### 4.1 Overview

This SOP is subdivided into two parts that cover:

- a) Learner Assessment.
- b) Protection of enrolled Learners.

The first part, described in section 4.2, covers how Learners are assessed to achieve the associated recognition in the form of the award for the programme completed.

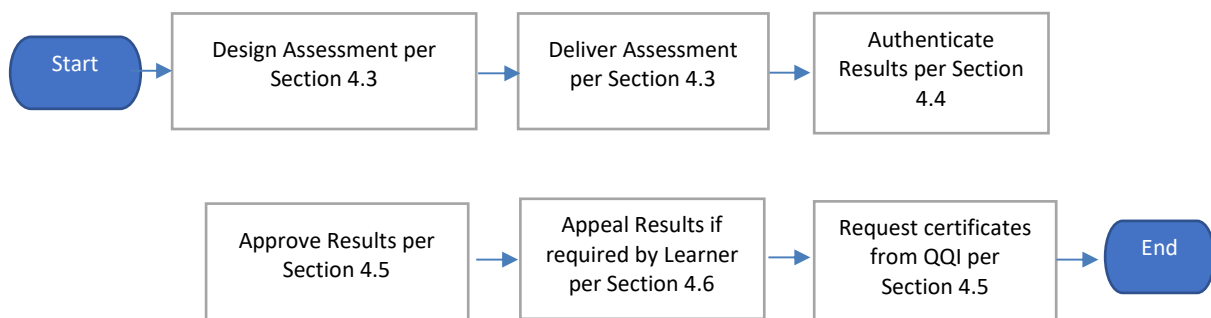
The second part, covered in section 4.3, describes CLS’s approach to ensure that Learners enrolled on their programmes are adequately protected in the event of cessation of a programme.

### 4.2 Learner Assessment Process


CLS is committed to performing fair and consistent assessments of Learners.

The aim of assessments performed by CLS is for Learners to demonstrate their learning achievement and for Trainers to assess this against stated learning outcomes for a given programme such that the assessment process supports effective teaching and learning.

**Figure 1** outlines a high-level flow map of the Learner Assessment Process.

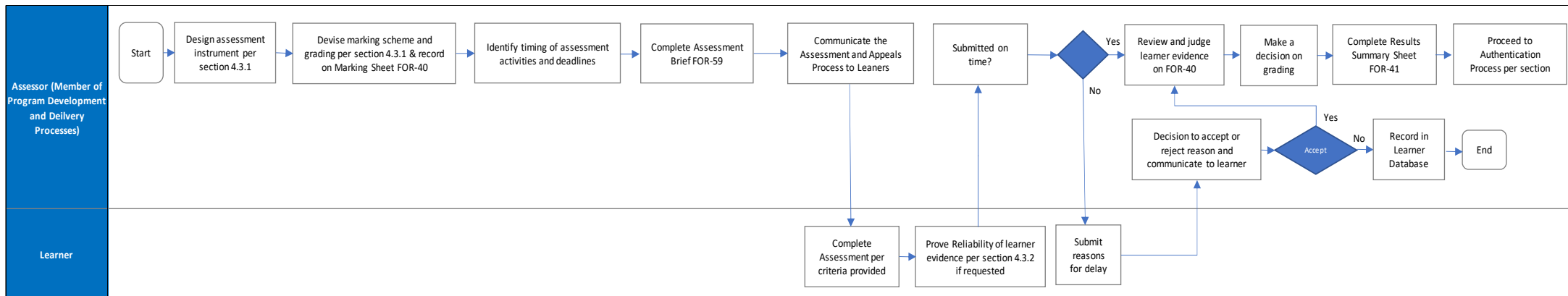


**Figure 1** High Level Flow of Assessment and Certification Process


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### 4.3 The Assessment Design and Delivery Process

The Assessment Design and Delivery Process is the process of judging Learner achievement in relation to the standards of knowledge, skill, and competence so that the successful Learner may receive an award. The main steps involved in the design, delivery and decision on grading is outlined in **Figure 1**.



**Figure 2** Assessment Design Process

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#### 4.3.1 Assessment Techniques

CLS uses summative assessments to evaluate Learner knowledge at the end of a programme of education. Such assessments include, but are not limited to:

- Project completion to demonstrate application of knowledge learned
- Multiple choice exams
- Essay-style exams
- Oral presentation of project work
- Learner report
- Assessment brief FOR-59

The type of assessment will be designed for each programme, on a case-by-case basis, to suit the training being provided and the course objectives and required learning outcomes.

CLS uses formative assessments throughout the program to check for learning. These can include, but are not limited to:

- Quiz's
- Activities during modules to test for learning
- Case study activities
- Practice assessment questions

Assessments will be designed and carried out in accordance with Section 3 of [QQI guidance "Quality Assuring Assessment"](#).


When designing an assessment and marking technique, consider the QQI grading classification described in section 4.3.1 and grading criteria in section 4.3.2.

#### 4.3.2 Grading Classification:

For QQI certification, QQI awards are graded and classified as follows for awards at level 4, level 5 and level 6 are classified as **Pass, Merit or Distinction** where a learner has achieved the standards for the award within the grading criteria.

- **Pass** is a grade awarded to a Learner who has attained the minimum standard. To be awarded a pass grade a Learner must have achieved a mark of between 50-64%.
- **Merit** is a grade awarded to a Learner who has exceeded the minimum requirements. To be awarded a merit grade a Learner must have achieved a mark of between 65-79%.
- **Distinction** is a grade awarded to a Learner who has substantially exceeded the minimum requirements. For a learner to be awarded a distinction they must have achieved a mark of 80% or over.

When a Learner has not achieved the minimum standards for an award the grade is recorded as **Referred**.

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### 4.3.3 Grading Criteria


Grading criteria describes what a learner must attain to achieve a particular grade for an award at a particular level. **Table 1** outline the grading criteria for QQI awards at levels 4-6.

<b>Pass</b>	<b>Merit</b>	<b>Distinction</b>
<p>A Pass indicates that the Learner has:</p> <ul style="list-style-type: none"> <li>• achieved the learning outcomes as outlined in the minor award, a pass is the minimum acceptable standard.</li> <li>• used the language of the vocational/specialised area competently.</li> <li>• attempted to apply the theory and concepts appropriately.</li> <li>• provided sufficient evidence which has relevance and clarity.</li> </ul>	<p>A Merit indicates that the Learner has:</p> <ul style="list-style-type: none"> <li>• achieved the learning outcomes as outlined in the minor award, a merit implies a good standard has been achieved.</li> <li>• used the language of the vocational/specialised area with a degree of fluency.</li> <li>• expressed and developed ideas clearly</li> <li>• demonstrated initiative, evaluation and analytical skills.</li> <li>• presented coherent and comprehensive evidence.</li> </ul>	<p>A Distinction indicates that the Learner has:</p> <ul style="list-style-type: none"> <li>• achieved the learning outcomes as outlined in the minor award, a distinction implies that an excellent standard has been achieved.</li> <li>• used the language of the vocational/specialised area fluently and confidently.</li> <li>• demonstration-depth understanding of the subject matter.</li> <li>• demonstrated a high level of initiative, evaluation skills.</li> <li>• demonstrated analytical and reflective thinking.</li> <li>• expressed and developed ideas clearly, systematically and comprehensively.</li> <li>• presented coherent, detailed and focused evidence.</li> </ul>

**Table 1** QQI Grading Criteria for Level 4 to 6.

### 4.3.4 Reliability of Learner Evidence

When a trainer is not in a position to observe the learner in action, the Assessor can request any of the following examples to ensure that the learning evidence is reliable and genuine:

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**Questioning:** this involves asking the learner to explain and describe part of the evidence. It is important to concentrate on how the evidence was produced. This will enable the Learner to show that they were responsible for producing the evidence and will also give the Learner the opportunity to apply the knowledge and skills required.

**Authorship Statement:** from the Learner testifying the evidence as being his/her original work. An authorship statement could be provided with regard to all evidence submitted.

**Personal log:** this is a record of how the Learner planned and developed the evidence. A personal log should identify problems and how they were overcome by the Learner.


**Personal Statements:** a personal statement may be used to explain the actions of the Learner in carrying out activities or producing the evidence. Personal statements should be clear and explain the Learner's role and the context in which the evidence was produced. Personal statements can provide evidence of knowledge and understanding.

**Peer Reports:** these are especially suitable for group work. Peer reports are reports drafted by group members which can help explain individual involvement in a task or project.

**Independent Testimony:** this is a statement produced by an individual other than the Assessor, which confirms that the Learner has carried out a series of tasks or produced a product. It should record what the Learner has demonstrated and corroborate the Learner evidence submitted. The identity and role of the individual to provide the testimony for the Learner should be agreed in advance between the Assessor and the Learner. The use of independent testimony is not intended as a mechanism for assessing Learner evidence but as a tool to corroborate the reliability of that evidence.

#### 4.3.5 Assessment Report

Following the development of assessment criteria, a Marking Sheet will be created per FOR-40 and a Results Summary Sheet FOR-41 will be completed to summarize assessment results.

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#### 4.4 Authentication Process

The purpose of the Authentication Process is to ensure fairness, consistency, and validity of assessment and of the outcome of assessment i.e., learner results across each major, special purpose, or supplement award. The Authentication Process will ensure that QQI receive accurate and quality assured learner results. The Authentication Process established by the provider must include:

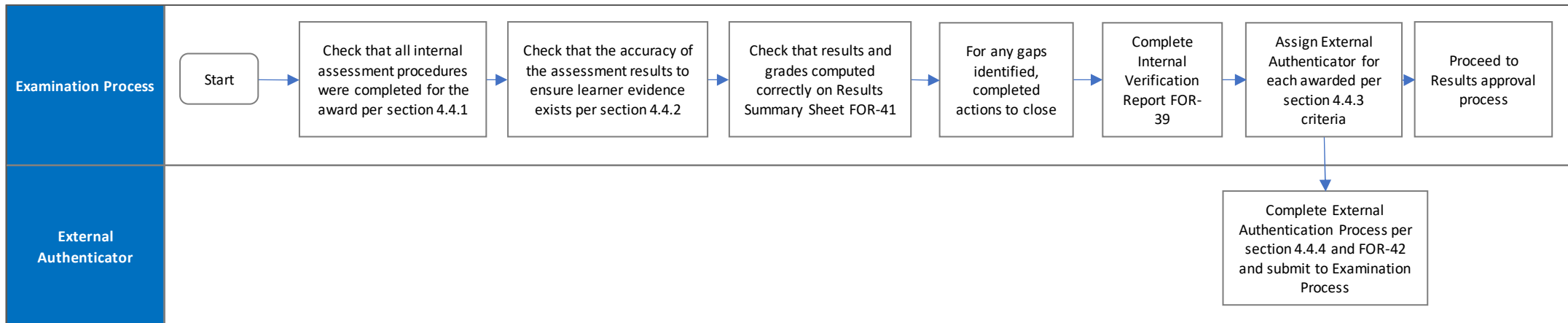
- Internal verification.
- External authentication.

The external authentication provides independent authoritative confirmation of fair and consistent assessment of learners in accordance with national standards. An External Authenticator is selected based on the criteria in section 4.4.1 and the role of the External Authenticator is outlined in section 4.4.2.




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**Figure 3** describes the key steps of the authentication process.



**Figure 3** Authentication Process

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#### 4.4.1 Internal Verification of Assessment Procedure

The elements to check for internal verification of assessment procedures adherence include:

- Learning was assessed using the techniques and instruments as indicated in the validated programme per SOP-27.
- Assessment results are documented and recorded as per the CLS procedures and results documented on Results Summary Sheet Form FOR-41.

#### 4.4.2 Internal Verification of Assessment Results

The internal verification process involves the verification of assessment of results on a sampling basis. A minimum 20% sample is taken of results from Results Summary Sheet Form FOR-41 and confirm that:

- Evidence is generated as per the technique identified in the Award Specification and using appropriate instruments as indicated in the validated programme.
- Assessment results are available for each Learner.
- That marks are totalled, and percentage marks are calculated correctly.
- The percentage marks and grades awarded are consistent with QQI grading bands per Table 1.

This verification is documented on FOR-39


#### 4.4.3 External Authenticator

CLS select an External Authenticator that has the technical/subject matter expertise within the appropriate award area/field of learning.

- Have experience of delivering programme assessment or work in the industry/field.
- Agree to undertake appropriate training and attend appropriate briefings.
- Have the qualities necessary to interact with Learners, Assessors and Senior Staff members i.e., communication skills.
- Have administrative and IT skills e.g., report writing, time-management skills.
- Undertake to operate within the code of practice and guidelines issued by QQI and this is documented on FOR-38.
- Be available to the provider at appropriate times.
- Be independent of the centre to which they are assigned.

#### 4.4.4 Role of the External Authenticator

The role of the External Authenticator is to provide independent confirmation of fair and consistent assessment of Learners in line with QQI requirements and to ensure consistency of assessment results with national standards.

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**External Authenticators will:**

- Confirm the fair and consistent assessment of learners consistent with the Provider’s procedures and with QQI policy on quality assuring assessment.
- Review internal verification report(s) and authenticate the findings/outcomes.
- Moderate assessment results in accordance with standards outlined in the Award Specification.
- Participate in the results approval process as per the Provider’s agreed procedures
- Identify any issues/irregularities in relation to the Assessment Process
- Recommend results for approval.
- Produce an external authentication report per FOR-42.

**4.5 Results Approval and Request for Certification Process**

The purpose of the Results Approval Process is to ensure that results are fully quality assured and signed off by the Provider prior to submission to QQI.

The Results Approval Process ensures that appropriate decisions are taken regarding the outcome of the assessment and authentication processes. The process described in Figure 4 includes the consideration of the internal verifier and external authenticator reports.

The Results Approval Process is managed by the Examination Process Team and has the following roles:

- Review reports of the internal verification and external authentication process.
- Agree to the submission of final results to QQI to request certification.
- Identify any issues arising in relation to the results and make recommendations for corrective action.

The Results approval process is detailed in **Figure 4**

On completion of the approval of results, the outcome is the request to QQI to issue certificates. Figure 4 includes for these process steps. QQI will issue certificates to Learners without appeals.


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Figure 4 describes the key steps in the Approval Process Flow.

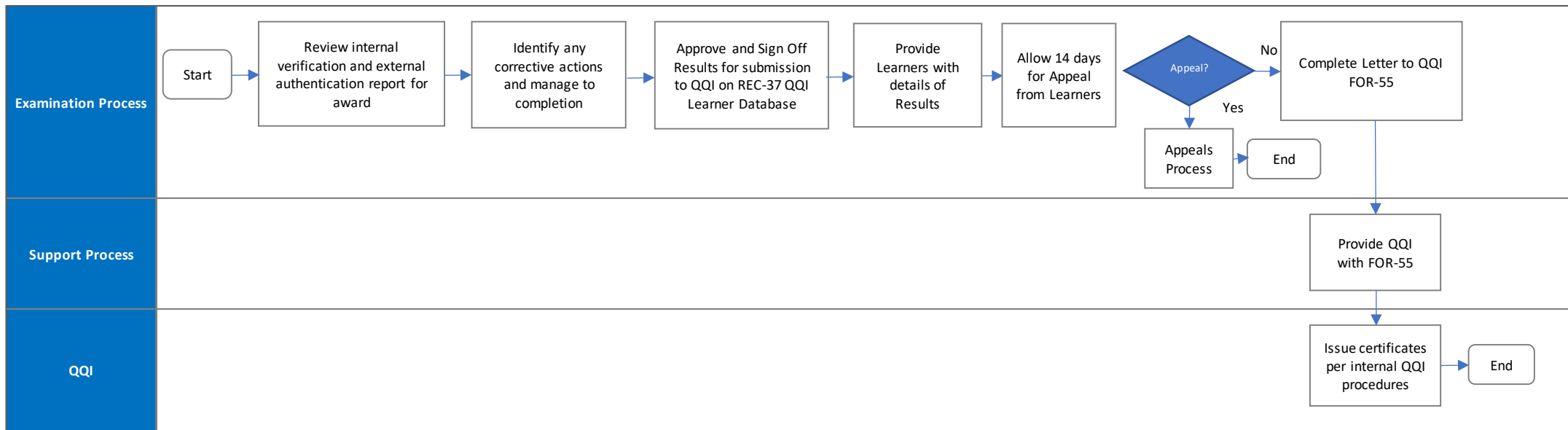



Figure 4 Results Approval Process Flow

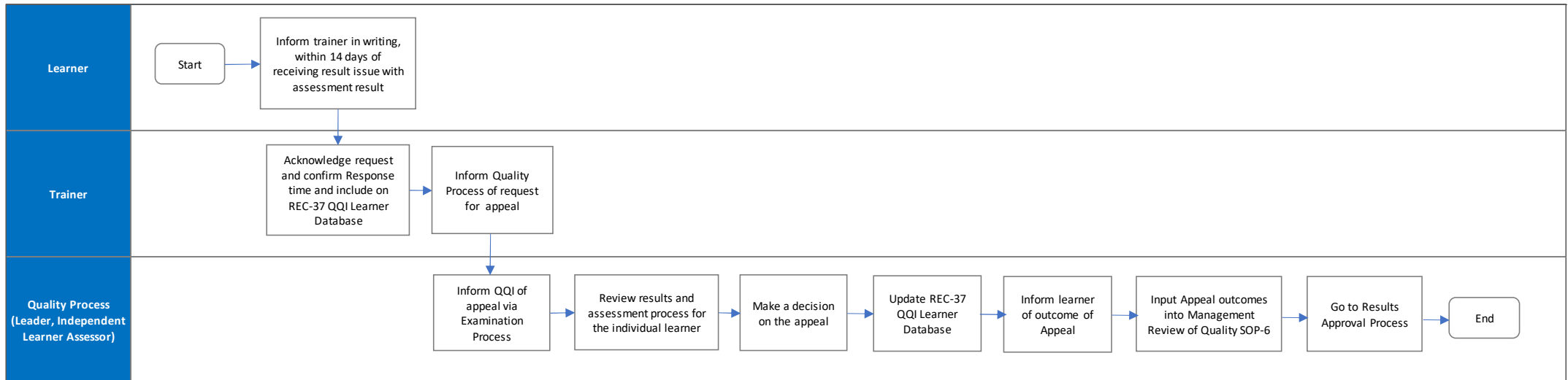
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#### 4.6 The Appeals Process


The purpose of the Appeals process is to provide learners with the opportunity to appeal.

- a) The assessment process if they perceive there to be irregularities/inequality in its implementation.
- b) The assessment results.

Only approved results can be formally appealed by the Learner and no new information will be accepted in the Appeals Process. An independent Lean Consultant will be assigned to the appeal. **Figure 5** outlines the key steps in the Appeals Process.



**Figure 5** The Appeals Process

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## 5. ABBREVIATIONS AND DEFINITIONS

### 5.1 Abbreviations

Abbreviation	Description
PEL	Protection of Enrolled Learners
RPL	Recognition of Prior Learning
CLS	Crystal Lean Solutions


### 5.2 Definitions

Term	Definition
Summative	To evaluate student/learner knowledge at the conclusion of a course programme by means of assessment including but not limited to, either exam, assignments, or projects.
External Authenticator	To provide independent confirmation of fair and consistent assessment of learners in line with QQI requirements and national standards. The External Authenticator will be appointed from the QQI External Authenticator Panel.

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## 6. RELATED DOCUMENTS

Doc ID	Title
QQI guidance: QG1-V2	Statutory Quality Assurance Guidelines developed by QQI for use by all Providers
QQI guidance: Sept 2013/2-V2	Protection of Enrolled Learners: Protocols for the Implementation of Part 6 of the 2012 Act
SOP-4	Governance Process
SOP-27	Preparation of Programmes for Validation by QQI
FOR-38	External Authenticator Code of Practice
FOR-39	Internal Verification of Results and Processes
FOR-40	Marking Sheet Template
FOR-41	Results Summary Sheet
FOR-42	External Authentication Report
FOR-55	Notification to QQI of Results / Appeals

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## 7. SOP HISTORY

Revision #	Reason for Revision
1	Original Version

## 8. DOCUMENT APPROVALS

Role	Name	Signature and Date
<b>Author</b>	Maria Ryan	 11/02/2022
<b>Approver</b>	Christy Murphy	 11/02/2022