

Assessment Strategy & Processes

(includes learner appeals process, IQA process,
malpractice & maladministration)

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Authorised by	C Gavaghan (CEO)

1. ASSESSMENT POLICY SUMMARY

1.1 This policy is to support the continuous improvement of assessment by putting the achievement of learners at the heart of the assessment process and to provide guidelines for staff and learners about their responsibilities in the process, to ensure best practice in assessment.

1.2 Derwent Training will make every effort to ensure through its quality assurance and improvement systems and procedures that learners are able to achieve their qualification aims to the maximum of their ability and potential, supported by high quality assessment processes, and effective, timely feedback to them.

1.3 Learner Entitlement

1.3.1 All learners are entitled to receive assessment that is fair, rigorous, regular, and appropriate for the courses being followed. It must also be ensured that assessment, quality assurance, standardisation and moderation procedures are in accordance with awarding organisation requirements.

1.3.2 Learners are entitled to assessment that will be used in planning learning, and in monitoring their progress. It will be sensitive to the needs of individual learners, and reflect the context in which learning takes place, and where achievement is recorded and accredited.

1.3.3 Feedback of progress to learners, against agreed criteria for assessment, is the cornerstone of this entitlement, and this must be clear, timely and transparent.

1.4 Assessment Principles

1.4.1 Assessments are designed to enable learners to demonstrate achievement of the standards of the units and all elements of a course, assessment activities should be undertaken regularly in a formative manner to inform and check learning and to identify any additional support needs learners may require.

1.4.2 Support, where appropriate, is offered to learners to enable them to meet the required standard by providing equality of access to assessment, and through additional tutorial or learning support where individuals require this to progress with their learning.

- 1.4.3 Special arrangements for assessment may be made in accordance with the awarding organisation where appropriate, and where prior agreement has been made with the Internal and/or External Quality Assurer as appropriate.
- 1.4.4 Clear guidelines are provided for trainers and learners, both in the operation of formative assessment (informal assessment activities conducted in lessons), and summative assessment (formal assessment to evidence criteria & unit accreditation) during the course.
- 1.4.5 Feedback of assessments to learners, whether formal or informal, should be provided in a timely manner (within 10 working days wherever possible) to enable them to plan and regulate the effectiveness of their own learning.

1.5 Derwent Training operates an assessment policy which:

- 1.5.1 Aims to provide fair, timely and informed feedback and assessment for all learners.
- 1.5.2 Provides learners on all courses with an assessment schedule for the year at the beginning of the year where assessments are spread-out throughout the year, and which complies with the examination and assessment regulations of accredited awarding bodies or apprenticeship assessment plan.
- 1.5.3 Includes a written procedure for appeals against unfair assessment.
- 1.5.4 Entitles all learners to access to initial diagnostic assessment and appropriate follow-up learning support.
- 1.5.5 Ensures initial and diagnostic assessment places learners where possible on appropriate additional qualifications such as English, math or ICT (where most relevant to their apprenticeship and long-term goals).
- 1.5.6 Assesses the support needs of all learners at entry and feeds back into on-course tutorial support.
- 1.5.7 Seeks to identify and to offer support to any learners with special learning support needs or learning difficulties.
- 1.5.8 Actively promotes Derwent Training's Equality & Diversity policy.

1.6 Assessment for Learning

- 1.6.1 Assessment for learning (formative assessment) rather than assessment of learning (summative assessment) reflects an approach to teaching and learning that should be at the core of all lessons. It is a formative procedure i.e., a developmental process of regular checks on learning in 'real time' to uncover and correct misunderstandings as they arise lesson by lesson.

Assessment for Learning responsibilities	
Trainer	Learner
<ol style="list-style-type: none"> 1. Engineer/use effective discussions, questions and tasks that elicit evidence of learning and link this to the awarding organisation criteria 2. Provide feedback that moves learners forward 3. Clarify and share learning intentions and criteria for success 4. Activate learners as the owners of their own learning, e.g., metacognition, motivation, interest, self-assessment 5. Activate learners as resources for one another e.g., collaborative learning, reciprocal teaching, and peer assessment. 	<ul style="list-style-type: none"> • Understand the standards of performance expected of them • monitors the quality of their performance against that standard • understands what they need to do to improve their performance

1.7 Trainers should:

- 1.7.1 design assessment activities carefully considering the minimum standards required to gain a pass including the required level of functional skills and any other industry specific requirements like health and safety awareness etc.
- 1.7.2 design questions and activities to test and check for the correct level of understanding and always share the awarding organisation criteria with learners.
- 1.7.3 differentiate the questions and formative assessment activities upwards and consider how to gauge each learner's level of understanding and progress. This will stretch and challenge higher level and the more independent learners.
- 1.7.4 design a range of assessment activities, which over time test and develop a range of skills and abilities.
- 1.7.5 seek to raise the performance of each learner via formative feedback.
- 1.7.6 issue all assessment activities with a clear 'brief' that specifies the task and the associated success criteria
- 1.7.7 A well-designed course of formative assessment should lead to a smooth and successful summative assessment outcome. Summative assessment can take many forms across different courses ranging from direct observation of the performance of a skill, to the outcomes of a long project or a written answer to a strict time limit.

- 1.7.8 Derwent Training believes that all learners must be supported in the build-up to the summative assessment with regular reminders of the form and content of the assessment and how to prepare for it. Summative assessment should contain no surprises in terms of presentation and form of questions / tasks to ensure confidence coupled with very clear step-by-step instructions for completion.
- 1.7.9 To ensure learners are not over assessed all the course teams should meet to plan summative assessments. This is particularly important if more than one tutor teaches a particular unit where standards and specifications need to be evidenced / assessed. This can be checked (without duplicating work) by ensuring the course team IQA each other's assignment briefs.

2. Assessment guidelines, responsibilities & timelines

- 2.1 To guide and support trainers, the following plan / timescale of activities should be followed throughout the year, with pathway meetings verifying and supporting the completion of activities.

2.2 The learner's responsibilities in the assessment process:

- 2.1.1 to declare any learning difficulty that may require exceptional support in an exam or assessment situation at the outset of the programme of study, so that support may be put in place
- 2.1.2 to attend all classes and tutorials punctually, and to produce work for formative assessment or for submission to an awarding organisation, as required by the assessor
- 2.1.3 to provide coursework and/or portfolio evidence for inspection by the trainer / Quality Manager, and Internal Quality Assurer on request
- 2.1.4 to provide coursework and/or portfolio evidence that is self-certified as their own work clearly evidencing sources via footnotes
- 2.1.5 to undertake placement/residential commitments as required
- 2.1.6 to attend examinations, assessments (including IQA and EQA visits) and submit work as required for assessment
- 2.1.7 to provide the trainer with information (in a timely manner) on any exceptional personal circumstances which may have affected performance, or require deadlines to be extended – see appendix 1 for process
- 2.1.8 to regularly look at their progress review and have an awareness of their developmental needs
- 2.1.9 to work to achieve SMART targets, and to speak to trainers about any queries about assessment

- 2.1.10 if the learner fails to attend examinations, without good cause, they may be charged for the subsequent assessment opportunity
- 2.1.11 in public examinations, learners should be in the exam room 10 minutes before the exam is due to start
- 2.1.12 if the learner is found to have misled or attempted to gain unfair advantage including through the use of plagiarism, assessors have the authority to deem the learner to have failed part or all of the assessment and to determine whether or not the learner will be permitted to be reassessed
- 2.1.13 cases of plagiarism or malpractice must be sent to the Quality Manager

2.2 Derwent training's responsibilities in the assessment process are:

- 2.2.1 ensure that only the correct and most up to date specifications/standards, including unit criteria are used to set and mark assignments
- 2.2.1 the Business Support Manager is responsible for ensuring learners are registered with the awarding organisation and their examination entry by completing the required information and ensuring learners are registered correctly
- 2.2.2 to provide all learners with an outline of their course assessment requirements and provide them with a copy of an annual / termly assessment schedule where appropriate
- 2.2.3 to accurately record all assignment grades and provide developmental feedback and SMART targets on the tripartite reviews as well as record all late submissions on accredited courses should be recorded
- 2.2.4 periodically all employers will have an academic report covering their achievement across the whole of the course at that point in time, this information will be forwarded to learners as well
- 2.2.5 to ensure all assessments are accompanied with a briefing sheet, which clearly states the criteria for successful completion of the assessment, and the marking and feedback arrangements as appropriate to the relevant awarding organisation guidelines
- 2.2.6 ensure all processes of summative assessment related to external awarding organisation's requirements are supervised by the Business Support Team who will maintain records of entries and individual achievements of learners
- 2.2.7 provide a variety of opportunities to practice meeting the final assessment standards during the formative period of assessment
- 2.2.8 to ensure trainers' experience and vocational qualifications meet the awarding bodies requirements and that trainers in training will have their decisions countersigned by an approved assessor

- 2.2.9 to provide clear and effective feedback to learners on all assessments within 10 working days whenever possible, this will be provided on a feedback sheet including marks/grades, written feedback and action planning, and developmental feedback for improvement
- 2.2.10 to ensure internal quality assurance takes place every 6 weeks and external moderation happens in a timely manner, using learners' assessed work/portfolios to meet the requirements of awarding bodies. Derwent Training aims to ensure appropriate standardisation of assessment and consistency by all staff involved within the assessment process
- 2.2.11 to provide equipment and resources to support assessment. This will be maintained at a level to meet current awarding organisation requirements
- 2.2.12 to provide reasonable opportunities to be re-assessed, or to appeal against an assessment decision as appropriate
- 2.2.13 provide regular reviews of an individual learner's progress which incorporates constructive feedback from all relevant staff involved in assessing their progress against their individual training and assessment programme
- 2.2.14 each pathway will provide an overview of each learner's progress against targets for assessment, and will be responsible for reporting progress or improvement issues to the learner, and employers if appropriate
- 2.2.15 to ensure all staff involved with assessment will be provided with sufficient information and undertake training as relevant, and have recent industrial experience as appropriate to meet an awarding organisation requirements and fully implement the policy and guidelines regarding assessment
- 2.2.16 informing the learner of consequences regarding plagiarism including disqualification from the assessment process / disciplinary procedure. This should be detailed in the Learner Handbook
- 2.2.17 completing assignment briefs on the standardised paperwork, and submitting these prior to assessment activities for IQA processes
- 2.2.18 undertaking regular setting and monitoring of SMART targets
- 2.2.19 actioning feedback given by the internal QA within the timescales stipulated
- 2.2.20 offering appropriate progression/exit guidance

2.3 Grading & Resubmission:

- 2.3.1 It is imperative that all learners understand the importance of submitting work on time by the deadlines given. The following rules around grading and resubmissions apply to all provision (though depending on the awarding organisation there may be some additional grading & submission rules).

- 2.3.2 All learners on must submit work on time and without exception unless an extension has been agreed in writing using the template prior to hitting the initial deadline (Appendix 1).
- 2.3.3 If a learner feels they may have a specific learning difficulty such as dyslexia or dyspraxia which impacts on the completion of work to deadline, they must speak to their allocated trainer and arrange a referral for Additional Learning Support (ALS) specialist assessment. This should be done early in the academic year.
- 2.3.4 If a learner's work is submitted on time, it will be graded according to the full grading criteria covering all grades and they will be able to achieve the maximum grade depending on the standard of work received.
- 2.3.5 Where an extension is given (a specific date **must** be recorded by the trainer) and if met, the learner will, as detailed above, be able to achieve the maximum grade depending on the standard of work received.
- 2.3.6 Where a learner has not met the initial deadline, or the extended deadline the Awarding Organisation's rules will be applied to the grading and further resubmission.
- 2.3.7 Learners will receive a cause for concern if deadlines are not met; 3 causes of concern will mean the learner is called in for an academic standards meeting with the Quality Manager.
- 2.3.8 Once a learner is working on assignments which will be submitted for assessment, they must work independently to produce and prepare evidence for the final assessment deadline. A draft assignment may be looked at and the trainer will set a formative feedback deadline to provide them with general feedback. They will not be able to indicate the grade however, that the submitted draft would receive if final.
- 2.3.9 Once the final submission is in the trainer must formally record the assessment result and confirm the achievement of specific assessment criteria.
- 2.3.10 If a learner has met the initial or extended deadline, depending on the grade they will be able to submit additional evidence, but only once and this will need to be authorised by the IQA. This is to ensure learners do not gain an unfair advantage by resubmitting work numerous times and to meet externally set rules
- 2.3.11 The resubmission deadline date will be a maximum of 10 working days from when it is handed back to the learner. The agreement of this resubmission must be recorded, and the learner must undertake the resubmission without any further guidance from their trainers.
- 2.3.12 All work learners submit for their course must be their own. Any instances of plagiarism must be reported to the Quality Manager. Plagiarism within formative or summative assessment is treated as extremely seriously and action will be taken in line with the Disciplinary Policy.

3 Appeals policy & procedure

- 3.1 It is the responsibility of Derwent Training and all trainers to make all learners aware of the appeals procedure during induction.
- 3.2 It is an awarding organisation requirement as a condition of approval that a learner may challenge assessment outcomes. If the learner feels Derwent Training has not acted in an appropriate way, the concern must be made firstly to Derwent Training and only if this process is unsatisfactory then to the awarding organization.
- 3.3 Assessment of learners is a continuous process on all programmes with constructive feedback given throughout the assessment period.
- 3.4 At the stage that assessment feedback is given, a dated record of the outcome should be signed by both trainer and learner. There must be a copy for Derwent Training records and the learner.

Appendix 2 shows the appeals form.

3.5 The informal appeals procedure:

- 3.5.1 If a learner disagrees with an assessment outcome, they are expected to explain the basis of their disagreement to the trainer at the time of the feedback session, using the appeals form for tracking purposes. Such negotiation does not constitute a formal appeal.
- 3.5.2 If after such feedback the disagreement has not been resolved, both trainer and learner should request guidance from the relevant IQA.
- 3.5.3 The IQA samples assessments at regular intervals and advises on their reliability. The IQA must examine closely any disputed evidence and report back on findings and judgments. This may include remarking a learner's work, changing an assessment decision, or upholding the assessor's viewpoint.

3.6 The formal appeals procedure:

- 3.6.1 If, after consultation with the IQA, the learner is still not satisfied, they can make a formal appeal. They should appeal in writing within two weeks of the original assessment decision to the Quality Manager who must acknowledge receipt.
- 3.6.2 The Quality Manager will inform the learner within two weeks of receipt of the formal appeal and of their decision.

3.6.3 The Quality Manager recommendation will be final up to the point of the EQA report.

4 Plagiarism & cheating guidelines

4.1 Derwent Training is committed to ensuring that each learner achieves their full potential. This policy on cheating and plagiarism is a measure through which Derwent Training seeks to protect the rights of its learners to a fair, honest, and systematic assessment process, which ensures that standards of quality and equal opportunity are maintained and promoted.

4.2 The purpose of these guidelines is to set out clear definitions of cheating and plagiarism for both staff and learners, to clarify reporting procedures for all staff and to provide guidelines for all learners to receive at their Induction.

4.3 These guidelines cover any attempt by a learner to gain unfair advantage over other learners' informal assessments (e.g., written examinations, assessed coursework and practical work). The reporting procedures are to be followed by all staff.

4.4 Definitions:

4.4.1 Cheating

4.4.1.1 Cheating is an attempt to deceive assessors or examiners. Derwent Training considers cheating to be a serious offence (Appendix 3).

It includes but is not restricted to situations when the learner:

- is in an examination situation and communicates or attempts to communicate with a fellow learner or individual who is not the invigilator or a member of staff
- copies or attempts to copy from a fellow learner
- attempts to introduce or consult during the examination with any unauthorised printed or written material, or electronic, calculation or information storage devices
- impersonates another or allows him or herself to be impersonated

4.4.1.2 The penalties that may be imposed range from downgrading the result, reporting to the awarding organisation, to specific disciplinary measures such as temporary or permanent exclusion from Derwent Training.

4.4.2 Plagiarism

4.4.2.1 Plagiarism is the theft or use of someone else's work without proper acknowledgement, presenting the material as if it were one's own. Plagiarism is a serious academic offence, and the consequences are severe.

4.4.3 **Minor plagiarism**

- The unattributed use of a few sentences, or a short paragraph
- Where learners may be unaware of the consequences of plagiarism
- Cases of minor plagiarism will normally be handled within the curriculum area and should be treated in a way which first of all provides clear guidance to learners over what they have done.
- Learners should receive instructions from their tutor/lecturer/trainer or personal tutor on the necessity of properly acknowledging and referencing the work of others and should provide appropriate examples.
- Learners should be told that plagiarism amounts to cheating and is regarded by the college as very serious.

4.4.4 **Major plagiarism**

4.4.4.1 All cases not covered by the definition above are deemed to be major, that is:

- Extensive copying or plagiarism committed by learners
- Plagiarism, which is the learners' second (or subsequent) offence of minor plagiarism
- Cases of such seriousness or such blatancy committed by learners that to deal with them within the curriculum area would be inappropriate
- Any case, regardless of extent, where it is inappropriate to deal with it within a curriculum area

4.4.4.2 Major plagiarism is gross misconduct by Derwent Training and will be treated as such.

4.4.4.3 The penalties that may be imposed range from awarding a minimum of a zero mark for the work (with or without allowing resubmission) or downgrading the result to reporting to the awarding organisation and disciplinary measures such as temporary or permanent exclusion.

4.4.4.4 It is important to distinguish between minor plagiarism and those cases in which the plagiarism is major. Staff assessing learners' work must use their own professional judgment to decide when an instance of plagiarism is significant, i.e., when action needs to be taken over the case. The unattributed use of several words or a single sentence would not normally require significant action (other than appropriate advice).

4.5 Reporting Procedures for Plagiarism and Malpractice

4.5.1 Where an invigilator/ trainer suspects a learner of infringing written assessments undertaken under examination conditions and rules (s)he shall:

- Confiscate any unauthorised material in the possession of the learner
- Endorse the learner's script/ work/assessment on the front cover with a note of the time when the alleged infringement was discovered. In the case of suspected collusion (s)he should endorse the script of each learner involved. Wherever possible (s)he should require another invigilator/ tutor to act as witness by countersigning the endorsement
- Allow the learner(s) in question to continue with the examination/ assessment
- Inform the learner(s) in question at the end of the examination that a report of the incident will be submitted to the Quality Manager
- Enter brief details of the incident in the invigilator's report and send this, with a formal written report and any unauthorised material confiscated, to the Quality Manager.

4.5.2 Where an internal or external assessor suspects a learner of attempting to gain unfair advantage in assessed coursework, through for example, plagiarism (representing the work of another as his or her own) (s) he shall:

- Endorse the learner's script on the front cover with a note detailing the location of any plagiarised passages
- Prepare a written report on the allegation and send it with copies of any plagiarised passages and their source(s) where appropriate to the Quality Manager, and any other assessors involved in assessing the work in question

4.5.3 If, based on the report, the Quality Manager considers there is sufficient evidence to suggest that the learner made a deliberate attempt to gain unfair advantage in assessment, the case shall result in the Behaviour Management Policy being implemented. This should be reported at the next Quality Performance Review.

4.5.4 If the Quality Manager decides there is not sufficient evidence to suggest that the learner made a deliberate attempt to gain unfair advantage the trainer will consider the work on its academic merit.

4.6 Procedures for Investigation

4.6.1 On receipt of any allegation related to summative end of year work, and where not previously picked up within the first stages of the procedure as outlined above, the Quality Manager shall write to the learner to outline the allegation of an attempt to gain unfair advantage to them.

- 4.6.2 If a written reply to the allegation is not received from the learner within ten days of the date on which the letter is sent, or if (s)he replies accepting the allegation, the Quality Manager shall report accordingly to the CEO recommending an appropriate penalty.
- 4.6.3 If the learner replies within the time limit denying the charge, the Quality Manager normally convenes a meeting of the learner. The learner shall have the right to be accompanied by a friend who must be a member of Derwent Training, and to submit oral or written evidence to the meeting.
- 4.6.4 All proceedings and papers associated with the meeting chaired by the Quality Manager shall be strictly confidential to those invited to attend.
- 4.6.5 Following the meeting, the Quality Manager shall decide on behalf of the CEO whether the learner sought to gain an unfair advantage. (S)he shall give his/her decision to the learner as soon as possible. (S)he shall also prepare a written report to the CEO recommending an appropriate penalty.
- 4.6.6 A learner may appeal against a decision to impose a penalty following the receipt of the report confirming an attempt to gain unfair advantage. Such an appeal will be made through the established appeal procedures with no subsequent involvement of the Quality Manager.

5 Internal and external quality assurance process

- 5.1 Derwent Training has operated an internal quality assurance (IQA) system for many years, which has consistently met the requirements of awarding bodies. However, the influence of individual external qualified assurers (EQA) led to the development of several different local systems.
- 5.2 Under standards and portfolio moderation the work of a cohort of learners can be downgraded or rejected if the sampled work does not accord with national standards. The current OFSTED Education Inspection Framework (EIF) also places great emphasis on assessment and internal quality assurance.
- 5.3 The internal quality assurance model is designed to ensure that:
- learner assessment is fair, appropriate and in accordance with national standards
 - learner work matches the requirements of awarding bodies
 - the standards of learners' work are improved
 - good practice is shared
 - the needs of external funding and inspection agencies are met.
- 5.4 All assignments presented to learners must meet the needs of the relevant awarding organisation. Derwent Training's internal quality assurance (IQA) procedure requires:
- assessment instruments to be IQA'd at the start of the course

- an assessment schedule to be agreed at the start of the course
- internal quality assurance of a learners' work to be carried out regularly throughout the course
- all internal quality assurance procedures to be carried out by the course team

5.5 IQA should use the principles of CAMERA¹ to ensure the sample is as representative as possible. The system of internal quality assurance is a team-based activity and requires internal quality assurance to be carried out at least every 6 weeks, to provide regular feedback to learners about their progress, improved standards of learner work and to reduce the burden on individuals. Sampling should cover all units and all learners over the duration of the course e.g., 3 pieces of work across 3 different learners for each unit as a minimum and up to 6 pieces for all for new assessors.

5.6 If the IQA finds issues with the accuracy of assessment or procedural decisions then further sampling must take place to establish the extent of the problem and to ensure recommendations are adequate.

5.7 Course internal quality assurance panel

5.7.1 Internal quality assurance panels should:

- be established for each pathway that contains internal assessment
- normally be chaired by the Quality Manager, or designated person
- meet at least once a term to ensure that the learners receive regular confirmation of their progress
- include the widest possible range of trainers from the pathway

5.7.2 Each pathways internal quality assurance panel should:

- internally verify assessment instruments, assessment opportunities, assessment schedules and assessment decisions
- plan and carry out internal quality assurance in accordance with the requirements of awarding bodies
- provide the course team with advice and support for the assessment process
- consider and recommend actions in response to external verifiers' reports
- identify the assessments, assessors, candidates, and grades to be internally verified and the observations to be carried out
- maintain records of internal quality assurance decisions, using forms or minutes
- ensure internal quality assurance feedback is correctly recorded
- recommend and arrange double marking if desirable
- plan, organise and carry out internal quality assurance at regular intervals
- recommend learners for qualifications/sign off portfolios
- arrange moderation where required
- review and evaluate assessment and internal quality assurance process

¹ Candidates, Assessors, Method of assessment, Evidence, Records, Assessment sites

- review assessment and internal quality assurance against the requirements of the awarding organisation
- initiate or recommend changes to assessment methods and/or unit content in appropriate cases
- initiate remedial action and corrective measures
- recommend training and mentoring
- disseminate good practice
- provide feedback to and reports to the Quality Manager

See appendix 4, 5, 6 & 7 for relevant IQA forms

5.8 External Quality Assurance Guidelines

5.8.1 The Quality Manager should ensure that all team members have completed the IQA processes as per guidelines and that the records are complete and held centrally.

5.8.2 The Quality Manager should be informed of all External Quality Assurers visits at least 2 weeks in advance so checks can be made on the quality of records being reviewed. The courses teams are responsible for ensuring that all actions from previous reports have been completed successfully. If necessary, actions should be clearly visible on the course review QIP so they can be monitored for completion through the QPR process.

5.8.3 All EQA visits should be organised to comply with the relevant awarding organisation requirements and should be scheduled prior to the summer break so results can be input to the ILR in a timely way. This will aid the completion of self-assessment and data reports to review the overall quality of provision across the Company.

5.8.4 All IQA records should be available and be up to date as per Awarding Organisation guidelines to ensure all EQA visits are successful. The aim should always be to gain Direct Claim Status (DCS) by demonstrating robust and high-quality assessment processes. The Quality Manager is responsible for checking all documentation prior to visits.

See appendix 8 for EQA checklist

6 Retention of learner records and storage of academic quality assurance documents

6.1 Purpose:

6.1.1 The Company must be compliant with awarding organisation requirements regarding the safe storage and continued accessibility of internal and external

quality assurance documentation.

6.1.2 Records and documentation covered by this paper include, but are not limited to:

- Summative assessment tools - Assignments, question papers, tests
- Group tracking records - mark sheets, assessment record sheets, learner tracking sheets
- Internal quality assurance or moderation records
 - assessment and IQA or moderation schedules, sampling plans, minutes of IQA or moderation meetings and resulting action plans, recommendations of credit (where applicable)
- External quality assurance or moderation records and action plans
 - Learner work subjected to IQA or moderation sampling, records of any academic appeals or misdemeanors and outcomes

6.2 Document format

Wherever possible all documents should be kept electronically to reduce storage requirements. Where work must be held in hard copy, curriculum teams must ensure that it is held in a secure but accessible location.

6.3 Retention period

All documents must be stored in a secure but accessible location for a minimum period of 3 years following completion of the course. Where an awarding organisation stipulates a longer period for retention of information, this becomes the minimum retention period.

For the first year following completion of the course information should be retained in Derwent Training to facilitate access, if required.

7. Controlled assessment policy

7.1 Outline

It is essential that staff adhere to strict procedural guidelines when administering a controlled assessment or examinations. Adherence to these guidelines safeguards both Derwent Training and learners from accusations of malpractice and the potential for results to be discounted by an awarding organisation.

Controlled assessments are subject to the Joint Council for Assessment (JCA) guidelines. These can be found on the relevant drive for full guidance on controlled assessments and exams and should be read by all relevant managers and staff prior to conducting a controlled assessment or exam.

Should a member of staff be found to be in breach of these guidelines the Quality Manager will undertake an initial review which may then lead to a full investigation taking place under the staff disciplinary or capability procedure as appropriate to the circumstances.

7.2 Staff responsibilities

Senior leadership team

- Are accountable for the safe and secure conduct of controlled assessments and to ensure assessments comply with JCQ guidelines and awarding organisation subject-specific instructions
- Map overall resource management requirements for the year.

As part of this resolve:

- clashes/ problems over the timing or operation of controlled assessments.
- issues arising from the need for particular facilities (rooms, IT networks, time out of class etc.)
- Ensure that all staff involved have a calendar of events
- Create, publish, and update an internal appeals policy for controlled assessments.

Quality Manager

- At the start of the academic year, Quality Manager schedule-controlled assessments and liaise with the relevant staff and Business Administration to ensure processes are put in place in good time
- Ensure that all required controlled and/or external assessment is scheduled and planned in accordance with the relevant awarding organisation specification
- Put in place robust standardisation processes to ensure all trainers involved in assessing an internally assessed component is accurate, consistent and meets the awarding organisation standards
- Ensure that individual trainers understand their responsibilities about controlled assessment
- Ensure that individual trainers understand the requirements of the awarding organisation's specifications and are familiar with the relevant trainers' notes, and any other subject specific instructions
- Where appropriate, develop new assessment tasks or contextualise sample awarding organisation assessment tasks to meet local circumstances, in line with awarding organisation specifications and control requirements

- Ensure access arrangements have been applied for in good time before the date of the controlled assessment or exam.
- Work with trainers to ensure requirements for support staff are met

Teaching staff

- Understand and comply with the general guidelines contained in the JCQ publication - *Instructions for conducting controlled assessments*.
- Understand and comply with the awarding organisation specification for conducting controlled assessments, including any subject-specific instructions, trainers' notes, or additional information on the awarding organisation's website
- Supply the office with details of all unit codes for controlled assessments
- Obtain confidential materials/tasks set by awarding bodies in sufficient time to prepare for the assessment(s) and ensure that such materials are always stored securely that they are in the possession of teaching staff
- Supervise assessments (at the specified level of control). Undertake the tasks required under the regulations, only permitting assistance to learners as the specification allows
- Ensure that learners and supervising trainers sign authentication forms on completion of an assessment
- Mark internally assessed components using the mark schemes provided by the awarding organisation
- Submit marks through the office to the awarding organisation when required, keeping a record of the marks awarded
- Retain candidates' work securely between assessment sessions (if more than one)
- Post-completion, retain candidates' work securely (or if required by awarding organisation specification return to exam department for secure storage) until the closing date for enquiries about results. If an enquiry is submitted, ensure the candidate's work is securely retained until the outcome of the enquiry and any subsequent appeal has been conveyed to the centre.
- Seek assistance with the administration and management of access arrangements
- On the few occasions where controlled assessment cannot be conducted in the classroom, arrange suitable accommodation where controlled assessment can be carried out.

Business Support & invigilators

- Enter learners for individual units, whether assessed by controlled assessment, external exam, or on-screen test, before the deadline for final entries
- Ensure the correct papers and assessment materials are distributed to the curriculum area.
- Enter learners' 'cash-in' codes for the terminal exam series where required

- Where confidential materials are directly received by the office, to be responsible for receipt, safe storage, and safe transmission, whether in electronic or hard copy format
- Download and distribute assessor materials (marksheets, RAC's etc.) for teaching staff to use,
- Provide invigilators for all examinations, ensuring course trainers do not invigilate their own students.
- Ensure all invigilators are trained and understand their role and what actions they can take.
- Collect and send materials to awarding bodies before deadlines.
- After assessments ensure that all assessment paperwork (including completed and unused papers) is checked by office staff before being returned to curriculum staff for marking and internal quality assurance.

8. Examination entries and re-sits

Examinations should not be used to check a learner's progress. Formative assessment should be used for that purpose.

To ensure that learners are not repeatedly re-sitting and being unsuccessful in examinations they must take a mock examination and either pass it or be within 10% of passing before being entered for summative assessment. This is especially important in Functional Skills maths, English, and ICT.

If a learner fails an exam, they will be able to be re-entered immediately if they are within 10% of passing. If not, they will not be able to re-sit until they have received further teaching.

If a learner does not show up for an examination, without good cause, they are not automatically permitted re-entry free of charge. Derwent Training reserves the right to recoup any fees required by the Awarding Organisation plus a small admission fee.

9. Tracking of learner progress

The progress of all learners must be closely tracked and recorded so learners can see what they have completed to date and what else they need to do to ensure achievement.

All trainers must input progress on a course centralised tracker as learners achieve throughout the year. This will ensure that learner's progress can be monitored, and actions put in place should it be evident that they are at risk of not achieving.

Learners must be set SMART targets following assessment feedback to ensure they are clear of what they need to do next to achieve. These should then be monitored through the review process.

The monitoring of learners' progress should mirror the assessment schedule for the course they are studying, i.e., grades available 10 days after the proposed assignment deadline.

All tracking documents should be available on the shared drive for quality review purposes.

10. Maladministration

Maladministration is any activity, neglect, default, or other practice that results in Derwent Training or a learner not complying with the specified requirements for delivery of the qualifications as set out in the relevant codes of practice, where applicable.

Failure to adhere to the regulations regarding the conduct of controlled assessments, coursework, examinations and non-examination assessments, or malpractice in the conduct of examinations/ assessments and/or the handling of examination question papers, candidate scripts, mark sheets, cumulative assessment records, results, and certificate claim forms, etc. For example:

- failing to ensure that candidates' controlled assessment, coursework, non-examination assessment or work to be completed under controlled conditions is adequately completed and/or monitored and/or supervised
- failure to adhere to awarding body specification requirements in the delivery of non-examination assessments and other projects required as part of a qualification.
- inappropriate members of staff assessing candidates for access arrangements who do not meet the criteria as detailed within Chapter 7 of the JCQ publication Access Arrangements and Reasonable Adjustments
- failure to use the correct tasks/assignments for assessments
- failure to train invigilators and those facilitating access arrangements adequately, e.g., readers and scribes, leading to non-compliance with the JCQ publications
- failing to issue to candidates the appropriate notices and warnings, e.g., JCQ Information for candidate's documents
- failing to post notices relating to the examination or assessment outside all rooms where examinations and assessments are held
- not ensuring that the examination venue conforms to the requirements as stipulated in the JCQ publication Instructions for conducting examinations

- failing to prevent the introduction of unauthorised material into the examination room, either prior to or during the examination (NB this precludes the use of the examination room to coach candidates or give subject-specific presentations, including power-point presentations, prior to the start of the examination) failing to remind candidates that any mobile phones or other unauthorised items found in their possession must be handed to the invigilator prior to the examination starting
- failure to invigilate examinations in accordance with the JCQ publication Instructions for conducting examinations
- failure to have on file for inspection purposes appropriate evidence, as per the JCQ publication Access Arrangements and Reasonable Adjustments, to substantiate approved access arrangements processed electronically using the Access arrangements online system
- granting access arrangements to candidates who do not meet the requirements of the JCQ publication Access Arrangements and Reasonable Adjustments
- granting access arrangements to candidates where prior approval has not been obtained from the Access arrangements online system or, in the case of a more complex arrangement, from an awarding body
- failure to effectively supervise the printing of computer-based assignments when this is required
- failing to retain candidates' controlled assessments, coursework, or non-examination
- failing to maintain the security of candidate scripts prior to dispatch to the awarding body or examiner; failing to dispatch candidates' scripts, controlled assessments, coursework or nonexamination assessments to the awarding bodies, examiners, or moderators in a timely way
- failing to notify the appropriate awarding body immediately of all alleged, suspected, or actual incidents of malpractice
- failing to conduct a thorough investigation into suspected examination or assessment malpractice when asked to do so by an awarding body
- inappropriate retention or destruction of certificates
- failing to recruit learners with integrity, including the recruitment of learners who have not met the qualification's minimum entry requirements wherever stipulated and/or the recruitment of learners who are unable or otherwise unlikely to complete the qualification.

Should an alleged instance of maladministration arise, a member of the senior team will be appointed to investigate. The report will be reviewed by the CEO and appropriate action taken including, if required, informing the relevant awarding organisation.

11. Communication with awarding organisations

As a matter of standard operating practice, the Systems & Apprentice Administration Manager must ensure that

- Awarding Organisations are notified immediately when changes to staffing occur
- Awarding Organisations are informed if the Company has insufficient numbers of assessors or IQA's to maintain the veracity and accuracy of the assessment for a sustained period of time
- Awarding Organisations are notified immediately when the physical resources for an approved course change substantially
- Awarding Organisations receive learner registrations within 12 weeks of learners starting a programme of study

APPENDIX 1

Application for Late Submission of Work			
Learner Name:		Course Title:	
Date:		Trainer:	
Unit/assignment late submission applied for:			
Outline the reason for the request (NB: the more information you give, the easier it will be for the reviewer to decide):			
Name of reviewing trainer		Date received	
Feedback to Learner i.e., reason for decision:			
Late submission outcome agreed:	Yes	No	
New Submission Date		Grades attainable on resubmission	Indicate if grade will be capped
Learner Signature		Reviewer Signature	

NB: Applications should be made at least 2 weeks before planned submission date unless a serious, unforeseen reason emerges after this date

APPENDIX 2

Appeal Against Assessment Decision				
Learner Name:		Course Title:		
Date:		Course trainer:		
Appeal for unit / assignment:				
Outline the reason for your appeal: (NB: the more information you give, the easier it will be to decide):				
Name of trainer		Date received		
Appeal outcome by trainer (Informal Stage):	Appeal upheld i.e. work recommended for re-marking		Appeal declined i.e., original assessment decision stands	
Feedback to Learner i.e., reason for decision:				
Appeal resolved	Yes no further action needed		No appeal escalated to the IQA for decision	
Learner Signature		Trainer Signature		
IQA Name (Formal Stage):		Date received		
Appeal outcome by IQA	Appeal upheld i.e. work recommended for re-marking		Appeal declined i.e. original assessment decision stands	
Feedback to Learner i.e., reason for decision:				
Appeal resolved	Yes no further action needed		No appeal escalated to the QM/EV for decision	
Quality Manager (Final Stage):		Date received		
Appeal outcome by IQA	Appeal upheld i.e. work recommended for re-marking		Appeal declined i.e. original assessment decision stands	
Feedback to Learner i.e., reason for decision				
Learner Signature		QM Signature		
Date		NO FURTHER ACTION TO BE TAKEN		

APPENDIX 3

Guidelines on plagiarism – to be given to learners

Plagiarism occurs whenever a learner dishonestly presents as his or her own work the work of another person, whatever the medium (text, written or electronic, computer programmes, data sets, visual images whether still or moving).

1. Unacknowledged direct copying from the work of another person, or the close paraphrasing of somebody else's word, is plagiarism. This applies to copying both from other learners' work; work of staff and from published sources such as books, reports, or journal articles. Plagiarised material may originate from any source. It is as serious to use material from the Internet or from a computer-based encyclopedia or literature archive as it is to use material from a printed source if it is not properly acknowledged.
2. Use of quotations or data from the work of others is entirely acceptable and is often very valuable provided that the source of the quotation or data is given. Failure to provide a source or put quotation marks around material that is taken from elsewhere gives the appearance that the comments are ostensibly one's own. When quoting word-for-word from the work of another person quotation marks or indenting (setting the quotation in from the margin) must be used and the source of the quoted material must be acknowledged.
3. Paraphrasing when the original statement is still identifiable and has no acknowledgement is plagiarism. Taking a piece of text, from whatever source, and substituting words or phrases with other words or phrases is plagiarism. Any paraphrase of another person's work must have an acknowledgement to the source. It is not acceptable to put together unacknowledged passages from the same or from different sources linking these together with a few words or sentences of your own and changing a few words from the original text: this is regarded as over-dependence on other sources, which is a form of plagiarism.
4. Direct quotations from an earlier piece of the learner's own work, if unattributed, suggests that the work is original, when in fact it is not. The direct copying of one's own writings qualifies as plagiarism if the fact that the work has been or is to be presented elsewhere is not acknowledged.
5. Source of quotations used should be listed in full in a bibliography at the end of the piece of work and in a required style.
6. Coursework (including assignments, essays, skills assessments, and management reports) must be the Learner's own work unless in the case of group projects a joint effort is expected and is indicated as such. Learners must acknowledge assistance given from fellow learners, staff, and work-based mentors to avoid suspicion of plagiarism.
7. Major plagiarism is a serious offence and will result in the Company disciplinary process being invoked. In deciding upon the penalty, the Company will consider factors such as the stage of the study, the extent and proportion of the work that has been plagiarised and the apparent intent of the Learner. The penalties that may be imposed range from a minimum of a zero mark for the work (with or without allowing resubmission), the down grading of a result, reporting to the awarding organisation, to disciplinary measures such as temporary or permanent exclusion from the Company.

Appendix 4

Internal Quality Assurance - Assignment Brief IQA1:

NB: This form must be used to internally verify an assignment brief prior to being presented to learners

NAME OF APPRENTICESHIP				
COURSE CODE		Pathway(s)		
Unit(s) and AC being assessed		Title of the Assignment		
IQA		IQA Signature		
DATE IQA'd		Approved?	Yes	No
IQA CHECKLIST		Comments		
Are accurate programme details shown?	Y / N*			
Are accurate unit details shown?	Y / N*			
Are deadline dates indicated?	Y / N*			
Are resubmission dates provided?	Y / N*			
Is this assignment for whole or part of a unit?	W / P*			
Are assessment criteria to be addressed listed accurately?	Y / N*			
Are tasks clearly mapped against relevant assessment criteria?	Y / N*			
Do the tasks allow the relevant assessment criteria to be met?	Y / N*			
Have learners been provided with clear guidance on how they are to complete the set tasks?	Y / N*			
Is it clear what evidence the Learner needs to generate?	Y / N*			
Are the activities appropriate?	Y / N*			
Have the correct Grade Descriptors been used	Y / N			
Is the choice of grade elements appropriate	Y / N			

Have learners been provided with adequate guidance on how they can meet the selected grade elements	Y / N	
Is the language and presentation appropriate and inclusive?	Y / N*	
Is the timescale for the assignment appropriate?	Y / N*	
Overall is the assignment fit for purpose?	Y / N*	
* If "No" is recorded and the IQA recommends remedial action before the brief is issued, the IQA should confirm that the action has been undertaken		
Action to be taken and by who and when		

Appendix 5

INTERNAL QUALITY ASSURANCE of ASSESSMENT DECISIONS			
Course title			
Trainer		IQA	
Unit(s)			
Assignment title			
Learner's name			
First submission / resubmission?			
List which assessment and grading criteria the assessor has awarded.	Pass	Merit	Distinction
IQA CHECKLIST		Comments	
Have the Learner and trainer confirmed the authenticity of the evidence?	Y/N		
Do the assessment criteria awarded match those targeted by the brief?	Y/N		
Has the work been assessed accurately?	Y/N		
Does the assessment feedback to the learner: <ul style="list-style-type: none"> • Link to relevant assessment criteria? • Justify each assessment criterion awarded? 	Y/N		
Does the assessment decision need amending?	Y/N		
Trainer signature			Date
IQA signature			Date
Lead IQA signature (if required)			Date
Confirm action completed			
Remedial action taken			
Trainer signature			Date
IQA signature			Date
Lead IQA signature (if required)			Date

Assessment Planner

Appendix 6

Internal quality assurance should be planned so that it detects any assessment issues early in the assessment cycle. Remember, every unit, every assignment, every assessor, and every site should be included in the internal quality assurance process.

Programme Number & Title											
Unit No & Title	Assignment No & Title	Learning Aim	Assessment Criteria	Hand Out Date	Hand In Date	Assessment Date	IV Sampling Date	Resubmission Assessment Date*	Resubmission IV Sampling Date	Assessor Name	IV Name
IQA Signature					Name				Date		
<p>The learner must have met the initial deadline (or an agreed extension deadline) and authenticated their work. The resubmission date must be within 10 working days of the learner receiving the results of assessment.</p>											

IQA Schedule Planner

Appendix 7

Programme Number & Title											
Learner name	Unit no/ Name 01	Unit no/ Name 03	Unit no/ Name 10	Unit no/ Name 12	Unit no/ Name 14	Unit no/ Name 15	Unit no/ Name 21	Unit no/ Name 22	Unit no/ Name 26	IQA Name	Date completed
Learner 1	10.10.16					21.04.17			06.06.17	LK	
Learner 2		12.12.16			10.03.17		12.05.17			LK	
Learner 3			15.01.17	03.02.17				28.05.17		AM	
Learner 4		12.12.16			10.03.17				06.06.17	LK	
Learner 5	10.10.16			03.02.17				28.05.17		AM	
Learner 6		12.12.16				21.04.17			06.06.17	AM	
Learner 7			15.01.17		10.03.17		12.05.17			LK	
Learner 8	10.10.16	12.12.16						28.05.17		AM	
Learner 9	10.10.16			03.02.17		21.04.17				LK	
Learner 10			15.01.17				12.05.17		06.06.17	AM	
(Lead) Internal Verifier Signature					Name				Date		
<p>Learner must have met the initial deadline (or an agreed extension deadline) and authenticated their work. The resubmission date must be within 10 working days of the learner receiving the results of assessment.</p>											

NB:

1. Indicate ALL learners on programme and all units to be IQAd – see above for example
2. Indicate which unit and which Learner is to be sampled and when – see above for example
3. All learners and all units should be sampled at least 3 times as a minimum to ensure suitable coverage – see example above

Appendix 8 Checklist for Verifier Visits

Name of course:		Date of proposed visit:	
Name of IQA		Trainer Names:	
Name of EQA		Contact details	
Action Area			
	Yes	No	Notes/comments
1. Assignment Briefs IQAd	Yes	No	
2. Included in file and signed off	Yes	No	
3. Assessment Planner included	Yes	No	
4. IQA schedule planner included	Yes	No	
5. All learners IQAd	Yes	No	
6. All units IQAd	Yes	No	
7. IQA records all included	Yes	No	
8. All dated by IQA	Yes	No	
9. All signed by IQA	Yes	No	
10. All assessment records signed by candidate	Yes	No	
11. All assessment records dated by candidate	Yes	No	
12. All signed by Assessor	Yes	No	
13. All dated by Assessor	Yes	No	
14. All IQA actions highlighted, actioned, and signed off	Yes	No	
15. Previous actions from EQA report actioned and complete?	Yes	No	
16. Sample in place and checked prior to visit?	Yes	No	
17. Records all in place and meet quality standards?			QM Signature Date:

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