



ASSESSMENT & INTERNAL QUALITY ASSURANCE HANDBOOK

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STATEMENT OF PRINCIPLES

All College policies, procedures and strategies are underpinned by the College [strategy](#), our values (ambition, professionalism, resilience and respect) and FREDIE (fairness, respect, equality, diversity, inclusion and engagement). The four 'pillars' of the College strategy are: sustainability and direct delivery growth, high standards and an expectation of excellence, reputation and brand, and forward scanning.

Every policy, procedure and strategy is also considered against the College's sustainability and digital commitments. The College will champion an environmentally sustainable approach across all activities and will share this knowledge with learners, businesses and regional stakeholders. This includes our human behaviour, approach to planning, how the future College will seek to operate and how we engage with our community and region.

The College is digitally ambitious. As such a 'digital by design' approach informs decision making, delivery, planning and operations. This commitment extends to ensure that all future implementations to existing policies are also considered in a digital context, therefore supporting the sustainability first agenda with regards to College strategy.

INTRODUCTION

Eastleigh College aims to provide fair access to assessment for all learners on qualification-based programmes, including those learners on Apprenticeship standards.

Assessment practice will be open and consistent with the codes of practice and regulations laid down by the relevant awarding and validation bodies.

AIMS

The aim of this policy and its related procedures is to:

- Ensure that learners receive accurate and useful information about their progress and attainment.
- Ensure that staff receive clear and effective advice on managing the assessment process.
- Ensure compliance with awarding organisation regulations.
- Support improvements in teaching effectiveness, learner achievement and progression.

SCOPE

The policy applies to:

- All qualifications offered by the College and its partners up to and including Level 6.
- Any College staff with teaching, learning or assessment responsibilities.
- Any College staff with a direct input into the learning experience (e.g., Apprenticeship Standards).

PRINCIPLES

All staff are expected to ensure that:

- Assessment is conducted with rigour, fairness and in accordance with current awarding organisation regulations.
- Evidence for assessment meets the VACSR test in that it is:
 - valid (it genuinely tests the skills being assessed);
 - authentic (actually the learner's original work);
 - current (sufficiently recent and up to date);
 - sufficient (it meets the requirements of the assessment tool or awarding body);
 - reliable (if the assessment were to be repeated, the results would be similar).

- Formative assessment is used to measure learners' progress, challenge learners to achieve high standards and prepare them for summative assessment.
- Appropriate feedback is provided timely to learners on assessed work which promotes learning and facilitates improvement (this must adhere to awarding organisation regulations where strict feedback rules apply, as with Pearson).
- Assessments challenge learners to develop an in-depth and long-lasting knowledge of their subject
- assessment decisions are recorded and documented accurately and systematically (ProMonitor) and in accordance with the requirements of awarding organisations.
- There is a robust system in place at the start of the academic year for standardising and internally verifying assessment decisions and grades.
- The role of Lead Internal Verifier (Lead IQA) is appointed and succession planned for all qualifications and the Course Leader or appointed colleague co-ordinates the IQA process for all other qualifications.
- Assessment is co-ordinated between lecturers and other course teams to ensure that learner workloads are staggered and manageable.
- Assessment follows the sequential planning of the curriculum and allows learners to develop skills for their next steps whilst meeting the requirements of the qualification and awarding organisation.
- Assessment and internal quality assurance records are kept securely for the period stipulated by the awarding organisation.
- Learner work is kept securely for the period stipulated by the awarding organisation.
- All staff are required to read AO guidance for assessment and quality assurance processes and procedures and any policies.
- The Assessment Malpractice Procedure is referred to when necessary.

ASSESSMENT PLANNING

The assessment schedule is part of the College Scheme of Learning and Assessment and should be made available to learners during induction in hard or soft copy. All study programme learners should have access to assessment schedules and exam dates in Google Classroom.

Assessment schedules should include all internal quality assurance and exam dates and external assessment dates for each learner, and personal tutors should ensure that learners are aware of all assessment dates for each component of their qualification(s).

SETTING ASSIGNMENTS/ASSESSMENTS

- All staff should ensure that SOLAs contain details of all assignment deadlines and external test dates during induction (Point of induction/enrolment for AEB/WBL/Subcontractors). This should also include target dates for the completion of practical work.
- Delivery staff should work together to agree assessment schedules that are staggered across the year and provide learners with an even spread of work.
- Assessments challenge learners to develop in-depth and long-lasting subject knowledge, building on previous learning as appropriate.
- SOLAs should be checked by Heads of Delivery (HoDs) and stored in the College's central Google Drive for use in learning walks and lesson visits.
- All staff should ensure that learners understand the assignment grading criteria at the start of their course (e.g. the difference between a Pass, Merit and Distinction).
- All assignments should be issued with a top sheet which meets awarding organisation requirements (see individual awarding organisation for pro-formas).
- All formative assessment deadlines should be set sufficiently in advance of the summative deadlines to enable the learners to benefit from the feedback.

- Staff are not advised to change assessment dates unless it absolutely essential. Where changes are necessary, learners should be given plenty of advanced notice, and some awarding organisations will need to be informed.
- All assignment briefs must be internally moderated before being issued to learners.
- All staff are required to set clear guidelines on how work should be submitted and exactly what evidence is required.
- Course teams are expected to maintain a tracking system for recording learner submission dates whether by hand or online. Learners should have this system explained to them at the beginning of the course to avoid any misunderstanding and the processes for submitting work must be consistent with awarding body guidelines.
- Pearson, for example, has specific guidelines about the meeting of initial deadlines if a learner is to be eligible for a re-submission, and these must be rigorously adhered to:
 - the learner has met initial deadlines set in the assignment, or has met an agreed deadline extension;
 - the tutor/trainer judges that the learner will be able to provide improved evidence without further guidance;
 - the trainer has authenticated the evidence submitted for assessment and the evidence is accompanied by a signed and dated declaration of authenticity by the learner;
 - ensures all awarding body guidelines are followed when setting assessments for work-based learning qualifications;
 - follows NVQ Assessment guidelines when setting assessment dates and ensures all reasonable adjustments are made for learners where appropriate.

CONTROLLED & NON-EXAMINED ASSESSMENTS

- Controlled assessment and non-examination assessment are forms of internal assessment which measure subject specific knowledge and skills which cannot be tested by timed written papers.
- Depending on the level of control defined within the specification, controlled assessments may take place for example:
 - in a normal timetabled lesson;
 - entirely within the Centre under supervision with controlled access to resources; or
 - outside the Center, including the workplace and involve research with limited supervision
- Controlled assessment and non-examination assessment may take place at any time during the course. However, tasks issued to candidates must be appropriate to the year in which the assessment will be submitted to the awarding body.
- The Joint Council for Qualifications (JCQ) requires all centres to have a policy with regard to the management of controlled assessments and the management of non-examination assessment. Inspectors may check at any time that such a policy has been put in place.
- All controlled and non-examined assessments must adhere to the College's Controlled and Non-Examined Assessment Policy (Appendix 3).

LATE SUBMISSIONS

- Late submission is defined as receipt of an assignment after the final submission time/date. An assignment that is due by noon, for example, is considered late if it is submitted at 17.00 on the same day.
- Actions taken by course/delivery teams to address late submission must always be in accordance with awarding organisation regulations.
- Learners may request an extension in accordance with the procedure using the [Extenuating Circumstances Form](#).

FORMATIVE ASSESSMENT

- Formative assessment is proven by research to be one of the key activities that improves learner achievement and lecturers should plan opportunities to feedback in class and on draft submissions that are sufficient to prepare learners for summative assessment.
- Course/delivery teams must ensure that their approach to formative assessment meets the awarding organisation regulations where, for example, Pearson stipulate that no formative assessment or feedback can take place once a summative assignment has begun.
- Formative feedback should be constructive, focussed on improvement, criterion referenced where relevant and designed to develop English, maths and employability skills.
- Formative assessment should be used to assess learners' knowledge, skills and behaviour development and amended to ensure the best sequencing of learning and the correct level of challenge is maintained.

ASSESSMENT GRADING

- The marking of assessments must be timely and comply with the requirements of the assessment criteria laid down by awarding organisations.
- Summative feedback should be as helpful as possible to the learner, i.e. confirming what has gone well and giving clear guidance on what the learner needs to do in order to improve on their performance (with the exception of Level 2 and 3 Pearson courses for which strict guidelines pertain to summative feedback and resubmissions). See Appendix 2 for procedural detail.
- Where an assignment/assessment is based on group work, learners must receive an individual grade which reflects their personal contribution; evidence of individual work must be clearly delineated and demonstrate that all learners have met the criteria targeted.
- Allowances may need to be made for learners with additional support needs. Please liaise with the Learning Support team for information on an individual case; they will need to liaise with Exams where arrangements need to be put in place.
- Assessment grades must be internally verified in accordance with the sampling plan before being returned to the learners; where actions are necessary, feedback to the trainer must be acted upon by the trainer and signed off by the verifier before the final assessment decision is returned to the learner.
- All course/delivery teams are strongly encouraged to attend awarding organisation standardisation events and relevant training courses to remain current and share best practice in assessment and grading.

RETURN OF WORK

- Learner written work should be marked and returned, with feedback, within **10 working days for level 1 & 2 programmes and within 15 working days for level 3 programmes**; trainers should leave adequate time to act on any feedback from the internal verification process within this period.
- Delaying feedback can have a hugely deleterious impact on learning and future assignments and should be avoided wherever possible.
- If it becomes clear that work is unlikely to be returned within three weeks, the HoD/Lead IQA must be informed, and learners given a clear indication of when they can expect feedback.

EXTENSIONS

- In exceptional cases (e.g. ill-health) an extension may be authorised by the lecturer/trainer where appropriate evidence (e.g. a medical certificate) has been provided.
- Lecturers/trainers should ensure that learners are aware of the procedures governing extensions at the start of their course.

- Learners, or their parents or carers, must apply for an extension in writing outlining the reasons for their request.
- Learners should apply for an extension using the [Extenuating Circumstances Form](#).
- Learners on University of Portsmouth programmes should use the University's Extenuating Circumstances Form and submit their form directly to the College's Deputy Principal and Vice Principal for consideration.

INTERNAL QUALITY ASSURANCE AND MODERATION

Principles:

- All programmes are subject to an internal verification procedure in order to assure standards and consistency. Assessment will be internally verified in line with the principles of assessment set out in this policy and in accordance with awarding organisation regulations.
- The aim of internal quality assurance is to ensure:
 - there is an accredited lead internal quality assurer (IQA) for each subject area;
 - that the IQA is valid, reliable and can effectively quality assure assessment decisions across the range of qualifications offered;
 - the IQA process is open, fair and free from bias;
 - that there is accurate and detailed recording of IQA decisions.
- Internal Quality Assurance procedures for all programmes are detailed in Appendix 1.
- It is vital that, having completed internal quality assurance, the internal quality assurer gives personal feedback to the trainer (which may be to affirm good practice as well as to address problems) and that this feedback is recorded. It is this discussion that forms the basis for the IQA system and provides the opportunity to review practice.
- Should disagreements arise in relation to grading, feedback and achievement of criteria this should be reported to the HoD for resolution.
- If a resolution is not possible the issue is referred to the relevant Vice Principal and/or Quality Nominee for further investigation and confirmation of actions resulting from disagreement.

EXTERNAL QUALITY ASSURANCE AND MODERATION

- All programmes are subject to some form of external quality assurance, standardisation or moderation, and HoDs and Lead IQAs are responsible for ensuring that awarding organisation regulations are followed.
- The Quality, Compliance and Improvement Manager must be sent copies of all external reports.
- All external quality assurance reports will be stored centrally and actions added to Area Development Plans (ADPs). EQA actions will be regularly followed up in Quality Review Meetings to ensure improvement actions are in place.
- HoDs/Lead IQAs must ensure that all actions and recommendations from reports are included in course ADPs so that progress can be recorded and reviewed.
- HoDs must ensure that actions and recommendations, including any action plans, are thoroughly reviewed and updated as part of standardisation meetings.

END-POINT ASSESSMENT FOR APPRENTICESHIP STANDARDS

- Apprentices who are registered under new standards will be subject to an end-point assessment in order to complete their apprenticeship. The purpose of end-point assessment (EPA) is to measure that the appropriate knowledge, skills and behaviours have been attained. EPA tasks will vary by organisation but could include tasks, interviews and tests.
- EPA assessment will be conducted by an independent trainer working on behalf of a registered EPA organisation. A register of EPA organisations is kept by the ESFA which can be found via the following hyperlink <https://www.gov.uk/guidance/register-of-end-point-assessment->

[organisations](#). The employer is responsible for choosing an appropriate EPA organisation from the register of EPA organisations and arranging for EPA to take place at the appropriate time. The College is responsible for keeping records of EPA allocation, activity and outcomes.

- The College will support employers and subcontractors to identify a suitable EPA organisation and liaise with the employer, apprentice and EPA to ensure all required paperwork is in place prior to confirming the EPA data.
- The College will monitor Gateway requirements and update HoDs and subcontractors of any changes to EPA regulations and requirements.
- Further information regarding how EPA is regulated can be found in the following hyperlink:
https://assets.publishing.service.gov.uk/government/uploads/system/uploads/attachment_data/file/683560/Regulating_Apprenticeship_End_Point_Assessments.pdf.
- Employer guidance for End-Point Assessment can be found in the following hyperlink:
<https://www.gov.uk/guidance/register-of-end-point-assessment-organisations#using-the-register-of-end-point-assessment-organisations>.
- Details of specific knowledge, skills and behaviours subject to assessment by an EPA are contained within the apprenticeship standard and assessment plan. Apprenticeship standards can be found on the Institute for Apprenticeships website:
<https://www.instituteforapprenticeships.org/apprenticeship-standards/>.
- Course Managers/Lead IQAs will ensure that opportunities are planned in to the assessment and IQA plan where learners are assessed against Gateway and End-Point assessment criteria. This will ensure a robust system is in place to measure progress towards and achievement of any mandatory qualifications (assessment & IQA policy to be adhered to) and the relative knowledge, skills and behaviours are being developed and assessed effectively.

ARRANGEMENTS FOR LEARNERS WITH SPECIAL ASSESSMENT REQUIREMENTS

- Assessment must be available to all those who have the potential to achieve the standards required for a particular qualification.
- Where special arrangements need to be made to accommodate learners with particular needs, care must be taken to ensure that they are fair.
- Support may be appropriate in a variety of ways including:
 - help with communication and number skills;
 - adapted equipment and physical environment;
 - extended assessment time;
 - assistive technology;
 - awarding organisation protocols must be adhered to;
 - For external examinations and tests, the lecturer must consult with the SENCo.

MALPRACTICE

- All incidences of academic misconduct, such as cheating and plagiarism, must be dealt with according to the College's Assessment Malpractice Procedure (Appendix 4).
- Learners must be informed of this procedure during induction and given careful guidance about what constitutes malpractice and the study skills required to avoid it.
- Staff will familiarise themselves with the Assessment Malpractice Procedure and refer to the procedure if they suspect malpractice by learners, trainers and centre staff.
- Further information is available in the Assessment Malpractice Procedure.

APPEALS

- Learners who have concerns about the outcome of an assessment should, in the first instance, discuss the matter with their subject lecturer or trainer. The [Appeals Procedure](#) should be explained to all learners at the start of their course.

CONFLICT OF INTEREST

- The College ensures that any conflict of interest by staff members directly or indirectly involved in assessment is managed in accordance with relative awarding body guidelines.

ACCOUNTABILITIES

- All course/programme teams are expected to refer to this policy and the relevant awarding organisation guidance when they plan their assessment strategy.
- Assessment guidance should be an integrated feature of learner and subject inductions and should be included in Course Handbooks.
- Course/programme teams are expected to evaluate their assessment strategy at the end of each academic year as part of the course self-assessment process.
- The VP/HoD is ultimately responsible for the management of assessment practices for courses in their charge, and for the implementation of actions arising from the internal and external verification processes.
- HoDs are responsible for updating EQA actions, recommendations during regular QRMs.
- VP Quality, Compliance and Improvement is responsible for monitoring EQA actions and recommendations. The Quality, Compliance and Improvement Manager will support all HoDs and Lead IQAs to ensure robust improvement actions are in place.
- HoDs and the Quality, Compliance and Improvement Manager will provide updates on EQA actions and recommendations during QRM meetings. Outstanding actions will be recorded and swift support and or guidance provided for course teams where actions are incomplete.

INTERNAL QUALITY ASSURANCE PROCEDURE

Internal Quality Assurance of Assignments – Overview of Procedure

1. The Course Manager/Lead IQA allocates an IQA for each assignment.
2. **All** assignments go through IQA even if they are repeated from previous years to ensure dates and any new guidance or industrial practices have been taken into account.
3. The teacher or trainer submits the assignment to the IQA in good time to make any necessary amendments before the planned hand-out date.
4. The IQA follows awarding organisation protocols and uses any templates or checklists provided to assess the assignment.
5. Checks are likely to include, but are not limited to:
 - a. correct course codes and titles
 - b. correct unit/module codes and titles
 - c. reasonable time for completion between hand-out and submission dates
 - d. a clear scenario giving an employment context to the assignment
 - e. correct spelling, punctuation and grammar
 - f. language suitable for the learners, level and subject
 - g. accurate linkage of criteria to tasks
 - h. tasks likely to enable learners to produce evidence that meets the criteria at all grades available
 - i. guidance about how the evidence should be presented by the learner
 - j. tasks which provide adequate coverage of course content
 - k. tasks which adhere to assessment guidance in the specification
6. If the assignment is fit for purpose, the IQA includes feedback about good practice and signs and dates the IQA form; a copy of the IQA form and assignment are kept in the IV file and the assignment can be issued to learners.
7. If the assignment is not fit for purpose, the IQA completes feedback including necessary actions to make it fit for purpose, signs and dates the form and hands it back to the trainer in good time to make amendments before the issue date.
8. The trainer makes the necessary amendments and hands back the new assignment and the IQA form to the IQA.
9. The IQA checks the assignment again to ensure it is now fit for purpose. If so, the IQA signs and dates the form to agree that the actions have been met; a copy of the IQA form and assignment are kept in the IQA file and the assignment can be issued to learners.
10. If the assignment is still not fit for purpose, the IQA should repeat the cycle or alert the HoD/VP/DP if they require further support. It is vital that any issues are resolved in good time to hand out the assignment in accordance with the assessment schedule.

Internal Quality Assurance of Assessments – Overview of Procedure

1. The Course Manager or Lead IQA completes an IQA sampling planner which ensures coverage of all units, trainers, learners and sites.
2. The number of pieces of work sampled in each unit must adhere to the awarding organisation guidelines – some stipulate a percentage or minimum while others are risk-based.
3. There may be reasons for increasing the number of samples in a particular unit if the risk of safeguarding academic standards is increased by factors such as a new teacher, a new unit or a unit which was blocked in the previous year. The Course Manager decides the number and incorporates it in the plan.
4. When the work has been submitted, the trainer marks the work and hands the submissions identified on the sampling planner to the nominated IV.
5. For Apprenticeship standards the IQA ensures that assessments allow the learner to access all assessment criteria and the assessment is adequately assessing the skills, knowledge and behaviour required to be successful at Gateway.
6. The IQA checks the assessment decisions and feedback using the awarding organisation template where provided.
7. Checks are likely to include, but are not limited to:
 - a. VACSR (see Principles on page 2)
 - b. Whether the criteria awarded have been met
 - c. Whether differentiated grades have been interpreted and awarded correctly
 - d. Where a unit grade has been awarded, whether the grade has been calculated correctly
 - e. Whether the awarding of grades is consistent between submissions
 - f. Whether feedback is constructive and criterion referenced
 - g. Whether opportunities have been taken to mark SPAG
 - h. Whether specific guidelines for giving feedback have been adhered to (as with Pearson)
8. If the assessment is agreed, the IQA includes feedback about good practice and signs and dates the IQA form; a copy of the IQA form and assessment top sheet are kept in the IQA file and the assessment can be returned to learners.
9. If the assessment is not agreed, the IQA completes feedback including necessary actions to make it fit for purpose, signs and dates the form and hands it back to the trainer in good time for them to make amendments within the three-week assessment window.
10. The trainer makes the necessary amendments and hands back the submission, the new assessment sheet and the IQA form to the IQA.
11. The IQA checks the assessment again to ensure it is now fit for purpose. If so, the IQA signs and dates the form to agree that the actions have been met; a copy of the IQA form and assignment and assessment top sheet are kept in the IQA file and the assignment can be issued to learners.
12. If the assessment is still not fit for purpose, the IQA should repeat the cycle or alert the HoD/VP/DP if they require further support. It is vital that any issues are resolved in good time to hand the submission back within the three-week window.
13. Copies of sampling should be kept for three years following certification including:
 - a. the assignment and assignment IV sheet;
 - b. the learners' work;
 - c. the assessment top and IQA sheet;
 - d. any associated witness statements, observation records, videos, photos etc
 - e. learner and staff authentication declarations and permissions where required by the awarding organisation;
 - f. the sampling plan;
 - g. tracking documents at criterion level.

14. Awarding organisations stipulate how long all learner work must be kept and all assessments must be stored in line with these guidelines

Assessment & Internal Quality Assurance of BTEC and Associated level 3 RQF Programmes

Submission of Evidence

Once learners are working on assignments which will be submitted for assessment, they must work independently to produce and prepare evidence for assessment.

Each learner must submit:

- An assignment for assessment which consists of evidence towards the targeted assessment criteria.
- A signed and dated declaration of authenticity with each assignment which confirms they have produced the evidence themselves:
 - electronic signatures are permitted;
 - alternatively, validation can come in the form of an email from the learner to confirm submission; or
 - a system log to show that the learner has submitted the assessment.

The Lecturer/Trainer must:

- Formally record and confirm the achievement of specific assessment criteria.
- Complete a confirmation that the evidence they have assessed is authentic and is the learner's own work.

The Lecturer/Trainer must not:

- Provide feedback or guidance on how to improve the evidence to achieve higher grades.

Meeting Deadlines

- The learner must meet formal assessment deadlines in order for a trainer to accept evidence for assessment. Each assignment will have a clear date that the assignment needs to be submitted to the trainer. When the learner submits the assignment they must ensure the trainer and learner sign to confirm the date the assignment was submitted.
- Only one submission is allowed for each assignment. The trainer must formally record the assessment result and confirm the achievement of specific assessment criteria.
- It is important that learners are assessed fairly and consistently and that some learners are not advantaged by having additional time to complete assignments. Therefore failure to submit on time will exclude any opportunities for resubmission or retake; please see resubmission and retake sections below.

Resubmission

- Because every assignment contributes to the final qualification grade, it may be appropriate for the Lead Internal Verifier to authorise one opportunity for a learner to resubmit evidence to meet assessment criteria targeted by an assignment.
- Assessment guidance details that one resubmission of evidence for each assignment is allowed if authorised by the Lead Internal Verifier.
- The Lead Internal Verifier can only authorise a resubmission if all the following conditions are met:
 - the learner has met initial deadlines set in the assignment, or has met an agreed deadline extension;
 - the learner has correctly authenticated the evidence;

- the tutor judges that the learner will be able to provide improved evidence without further guidance;
 - the trainer has authenticated the evidence submitted for assessment.
- If a learner has not met the conditions listed above, the Lead Internal Verifier must not authorise a resubmission.
- If a resubmission attempt is allowed the learner should be awarded all the criteria achieved and cannot be capped at a Pass grade only.

Procedure for resubmission

- Recorded on the assessment plan.
- Given a deadline for resubmission within 10 working days* of the learner receiving the results of the assessment. The new timeframe for completion should not exceed the original timeframe. (*10 working days must be within term time, in the same academic year as the original submission).
- Undertaken by the learner with no further guidance.

The Standards Verifier will require evidence of resubmitted work in sampling, including:

- Evidence of Lead Internal Verifier authorisation, signed and dated, with the resubmission deadline clearly stated.
- The initial assessment record.
- The resubmitted learner evidence, accompanied by a signed and dated declaration of authenticity by the learner.
- The resubmission assessment record, detailing the additional learner evidence submitted and showing any related changes to the assessment decisions.
- Confirmation from the trainer that the resubmitted evidence is authentic and is the learner's own work.

CONTROLLED ASSESSMENT AND NON-EXAMINATION ASSESSMENT POLICY**Rationale**

Eastleigh College provides its learners with the opportunity to take a wide range of qualifications which require various different forms of assessment. These include controlled assessments and other non-examination assessments.

Controlled assessment and non-examination assessment are forms of internal assessment which measure subject specific knowledge and skills which cannot be tested by timed written papers. For Controlled assessments, control levels are set for each stage of the assessment process: task setting; task taking and task marking.

Depending on the level of control defined within the specification, controlled assessments may take place for example:

- in a normal timetabled lesson;
- entirely within the Centre under supervision with controlled access to resources; or
- outside the Centre and involve research with limited supervision.

Controlled assessment and non-examination assessment may take place at any time during the course. However, tasks issued to candidates must be appropriate to the year in which the assessment will be submitted to the awarding organization.

The Joint Council for Qualifications (JCQ) requires all centres to have a policy with regard to the management of controlled assessments and the management of non-examination assessment.

Objectives

This policy aims to ensure that:

- Statutory regulations relating to controlled assessments and non-examination assessments are met.
- Procedures are in place to ensure that controlled assessments and non-examination assessments are managed consistently, efficiently and effectively throughout the College.
- Responsibility and accountability for the various tasks associated with the above are clearly defined.
- Colleagues have clear guidelines on how to manage various issues and difficulties that may arise during the controlled assessment or non-examination assessment process.

Strategies for Implementation

In order to meet these objectives, members of staff will be responsible for the following aspects of management and organisation.

Senior Managers

- Accountable for the safe and secure conduct of controlled assessments and non-examination assessments. Ensure assessments comply with JCQ guidelines and awarding bodies' subject-specific instructions.
- At the start of the academic year, begin coordinating with Heads of Delivery to schedule controlled assessments and non-examination assessments. (It is advisable that controlled assessments and non-examination assessments be spread throughout the academic years of study).

- Map overall resource management requirements for the year. As part of this, resolve:
 - clashes/problems over the timing or operation of controlled assessments and non-examination assessments;
 - issues arising from the need for particular facilities (rooms, IT networks, time out of College etc).
- Ensure that all staff, parents and learners involved have a calendar of events.
- Create, publish and update an internal appeals policy for controlled assessments and non-examination assessments.

Heads of Delivery

- Be familiar with JCQ instructions for conducting controlled assessments and non-examination assessments and the detailed requirements of the relevant awarding organisation specification(s) for their subject, and ensuring that these are implemented.
- In discussion with SMT line manager and employer (where appropriate), decide on the awarding organisation and/or End-Point Assessment organization.
- Ensure that controlled assessment and non-examination assessment tasks issued to candidates are appropriate to the year in which assessment will be submitted to the awarding organization.
- Ensure that non-examination assessment tasks set by the Centre are consistent with the assessment criteria detailed in the specification and that they are accessible to candidates.
- Standardise internally the marking of all teachers involved in assessing an internally assessed component and ensure that records of this process are kept.
- Ensure that individual teachers understand their responsibilities with regard to controlled assessment and non-examination assessment.
- Ensure that individual teachers understand the requirements of the awarding organisation specification and are familiar with the relevant teachers' notes, and any other subject specific instructions.
- Ensure that an appropriate colleague attends relevant meetings or training, especially when facilitated by the awarding organization.
- Where appropriate, develop new assessment tasks or contextualize sample awarding organisation assessment tasks to meet local circumstances, in line with awarding organisation specifications and control requirements.
- Ensure that confidential materials/tasks set by awarding organisations are obtained in sufficient time to prepare for the assessment(s) and ensure that such materials are stored securely at all times.
- Supply to the Exams Office details of all unit codes for controlled assessments and non-examination assessments.
- Supply to the Exams Office marksheet for completed controlled assessments or non-examination assessments.
- Liaise with the IT technical team to ensure that any IT requirements are in place and have been tested before controlled assessments or non-examination assessments take place
- Ensure that internal curriculum area deadlines for controlled assessments and non-examination assessments are clear and are shared with all relevant staff, learners and, where appropriate, their parents/carers and employers.
- Ensure that assessment materials and candidates' work are kept in secure conditions at all times. In the case of work stored electronically, this will include protection from corruption. (If work is stored on memory sticks, these should be backed up and locked away after each session.)
- Ensure that informed consent of parents/carers has been obtained if photographs/images of candidates or other learners are submitted.
- Maintain records of all controlled assessment or non-examination assessment sessions within the curriculum area.
- Manage (in conjunction with Lead IQA) the submission of candidates' work for moderation, keeping a record of the names and examination numbers of those candidates whose work is included in the moderation sample.

Teaching staff

- Understand and comply with the general guidelines contained in the JCQ publications Instructions for conducting controlled assessments and Instructions for conducting non-examination assessments.
- Understand and comply with the awarding organisation specification for conducting controlled assessments, including any subject-specific instructions, teachers' notes or additional information on the awarding organisation's website.
- Ensure that learners are aware of the controlled assessment or non-examination assessment task requirements and know the assessment criteria they are expected to meet.
- 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 teachers sign authentication forms on completion of an assessment.
- Mark internally assessed components using the mark schemes provided by the awarding organisation and take part in standardisation activities as required by the Head of Delivery/Lead Internal Quality Assurer (IQA). Submit marks through the Exams 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).
- Check that candidates using electronic storage facilities only introduce permitted material into the assessment environment.
- Complete an attendance list for each controlled assessment or non-examination assessment session, indicating date, time, duration, supervision arrangements and details of any incidents.
- Post-completion, retain candidates' work securely until the closing date for enquiries about results. In the event that an enquiry is submitted, retain candidates work securely until the outcome of the enquiry and any subsequent appeal has been conveyed to the Centre.
- Liaise with the College's Special Educational Needs Coordinator (SENCo) for any assistance required for the administration and management of access arrangements.

Exams Office staff

- Be familiar with JCQ instructions for conducting controlled assessments and non-examination assessments.
- Enter learners for individual units, whether assessed by controlled assessment, external exam or on-screen test, before the deadline for final entries.
- Where confidential materials are directly received by the Exams Office, to be responsible for receipt, safe storage and safe transmission, whether in digital, CD or hard copy format.
- Ensure that candidates' work is stored in secure conditions when necessary.
- Download and distribute marksheets for teaching staff to use, and collect and send marksheets to awarding bodies before deadlines.
- On the few occasions where controlled assessments cannot be conducted in the classroom arrange suitable accommodation where controlled assessments can be carried out, at the direction of the senior leadership team.
- Organise in liaison with the relevant Head of Delivery, the submission of candidates' work for moderation, keeping a record of the names and examination numbers of those candidates whose work is included in the moderation sample.
- Liaise with the SENCo to ensure the completion of the relevant JCQ forms for access arrangements and other concessions.

Special educational needs coordinator/additional learning support

- Ensure access arrangements have been applied for.
- Ensure that Exams Office staff and teaching staff are informed of candidates with particular needs/access arrangements at the start of an examined course, or as soon as possible thereafter, so that appropriate arrangements can be made in lessons.
- Advise on the implementation of access arrangements when required.
- Liaise with the exams officers to ensure the completion of the relevant JCQ forms.

Network Manager and IT Technical Team

- Ensure PCs and laptops meet the guidelines set out by JCQ.
- Provide technical assistance when required.

Marking of Controlled Assessments and other Non-Examination Assessments

- Eastleigh College is committed to ensuring that learners' work is marked fairly, consistently and in accordance with the awarding organisation's specification and other related documents.
- All non-examination assessments will be marked by staff who have appropriate knowledge, understanding and skill and who have received appropriate training in this activity.
- When more than one subject teacher is involved in the marking of work in a subject, internal moderation and standardisation procedures will ensure that marking is consistent.
- Eastleigh College is committed to ensuring that the work submitted by its learners is authenticated in line with the requirements of the awarding organisation.

Internal Appeals Procedure

- Learners will receive their mark for any non-examination assessment in accordance with the College's Assessment and Marking Policy.
- All appeals will follow the College's Appeals Procedure which is available on the College's website.

Other relevant Policies

This Policy should be used with reference to one or more of the following policies:

- Appeals procedure.
- Assessment and IQA Handbook.

ASSESSMENT MALPRACTICE PROCEDURE

This procedure covers all forms of malpractice including plagiarism.

Aim:

- To identify and minimise the risk of malpractice by staff or learners.
- To respond to any incident of alleged malpractice promptly and objectively.
- To standardise and record any investigation of malpractice to ensure openness and fairness.
- To impose appropriate penalties and/or sanctions on learners or staff where incidents (or attempted incidents) of malpractice are proven.
- To protect the integrity of this centre.

In order to do this, the Centre will:

- Seek to avoid potential malpractice by using the induction period and the learner handbook to inform learners of the centre's policy on malpractice and the penalties for attempted and actual incidents of malpractice.
- Show learners the appropriate formats to record cited texts and other materials or information sources.
- Ask learners to declare that their work is their own.
- Ask learners to provide evidence that they have interpreted and synthesised appropriate information and acknowledged any sources used.
- Conduct an investigation in a form commensurate with the nature of the malpractice allegation. Such an investigation will be supported by the relevant Deputy / Vice Principal and all personnel linked to the allegation. It will proceed through the following stages:

Investigation of malpractice by centre staff:

- The line manager will conduct an investigation into the alleged malpractice and report findings to the Quality Nominee.
- If malpractice is found the Quality Nominee will invoke the Code of Conduct and inform the awarding body as appropriate.
- If malpractice is not found to have taken place, but a training need is identified, the Quality Nominee will invoke a programme of support and training for the teacher and/or trainer.

Investigation of malpractice by learners:

- The Internal Quality Assurer will conduct an investigation into the alleged malpractice and report findings to the Quality Nominee.

If malpractice is found the Quality Nominee will invoke the College Disciplinary Procedure and inform the awarding body as appropriate.

The investigation will:

- Make the individual fully aware at the earliest opportunity of the nature of the alleged malpractice and of the possible consequences should malpractice be proven.
- Give the individual the opportunity to respond to the allegations made by providing an advocate or other support as identified.
- Inform the individual of the avenues for appealing against any judgment made.
- Document all stages of any investigation.

Where malpractice is proven, this centre will apply actions or penalties in line with the College Disciplinary Procedure.

Definition of malpractice by learners

This list is not exhaustive and other instances of malpractice may be considered by this centre at its discretion:

- Plagiarism of any nature.
- Collusion by working collaboratively with other learners to produce work that is submitted as individual learner work.
- Copying (including the use of ICT to aid copying).
- Deliberate destruction of another's work.
- Fabrication of results or evidence.
- False declaration of authenticity in relation to the contents of a portfolio or coursework.
- Impersonation by pretending to be someone else in order to produce the work for another or arranging for another to take one's place in an assessment/examination/test.

Definition of malpractice by centre staff

This list is not exhaustive and other instances of malpractice may be considered by this centre at its discretion:

- Improper assistance to candidates.
- Inventing or changing marks for internally assessed work (coursework or portfolio evidence) where there is insufficient evidence of the candidates' achievement to justify the marks given or assessment decisions made.
- Failure to keep candidate coursework/portfolios of evidence secure.
- Fraudulent claims for certificates.
- Inappropriate retention of certificates.
- Assisting learners in the production of work for assessment, where the support has the potential to influence the outcomes of assessment, for example where the assistance involves centre staff producing work for the learner.
- Producing falsified witness statements, for example for evidence the learner has not generated
- Allowing evidence, which is known by the staff member not to be the learner's own, to be included in a learner's assignment/task/portfolio/coursework.
- Facilitating and allowing impersonation.
- Misusing the conditions for special learner requirements, for example where learners are permitted support, such as a note-taker or scribe, this is permissible up to the point where the support has the potential to influence the outcome of the assessment.
- Falsifying records/certificates, for example by alteration, substitution, or by fraud.
- Fraudulent certificate claims, that is claiming for a certificate prior to the learner completing all the requirements of assessment.