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Version: 2.3	Author: K.Smith	

Change Log (See Historic Change Log at the end of this policy for all changes prior to 2021)				
Date:	Change Description:	Proposed:	Actioned:	Approved:
08/06/21	<ul style="list-style-type: none"> <li>Minor edits to fit new Delegate Support Policy and to reflect latest best practice and terminology</li> </ul>	K Smith 25/03/21 H Lees 25/05/21	K Smith 25/03/21 H.Lees 25/05/21	<i>K.Smith</i>
07/07/21	<ul style="list-style-type: none"> <li>Minor update to reflect current Launch Day practice</li> </ul>	N.Coney 06/07/21	H.Lees 07/07/21	<i>K.Smith</i>
28/01/2022	<ul style="list-style-type: none"> <li>Insertion of a new Appendix 2 (Citation of Texts)</li> </ul>	H.Lees 22/06/21	H.Lees 28/01/2022	<i>K.Smith</i>
30/03/2022	<ul style="list-style-type: none"> <li>Updated Appendix 2 to also make reference to the Chicago Manual of Style system of referencing</li> <li>Updated to include reference to Professional Discussions</li> </ul>	A.Gill 05/03/22  T.Ward 22/03/22	H.Lees 29/03/22	<i>K.Smith</i>
27/09/2022	<ul style="list-style-type: none"> <li>Removal of reference to Complaints Form being on Freshdesk</li> </ul>	H.Lees	H.Lees 13/09/22	<i>K.Smith</i>
05/12/2022	<ul style="list-style-type: none"> <li>Various additions to incorporate formative assessment practices and inclusion of a new Annex "Measuring Effective Learning in Sessions – Toolkit for Trainers"</li> </ul>	K.Smith/S.Cole 17/10/2022	H.Lees 05/12/2022	<i>K.Smith</i>
16/05/2023	<ul style="list-style-type: none"> <li>Updated following implementation of Project GQ2 to reflect current practice and process</li> </ul>	C.Hughes/ R.Vaughan/ A.Gill	H.Lees 25/04/2023	<i>K.Smith</i>

## Purpose

The purpose of this policy is to:

- Set out the intentions and key tools that Capella will use to conduct assessment of apprentices/delegates taking part in our education and training programmes, including the initial assessment of prior learning and experience, and formative and summative assessments.
- Set out Capella's policy with regards to any malpractice and maladministration that may be suspected or identified relating to assessments (see Appendix 2 of this policy)

## Owners

All Capella Associates will be aware of and work within this policy. The Capella Managing Partner will take lead responsibility for deployment of this policy.

## Intent

We aim to ensure that assessments:

- Are conducted throughout the learning journey; starting with initial assessment of prior learning and experience, and then formative and summative practices including those used at:
  - the start of sessions to assess effectiveness of previous learning and readiness for next steps
  - any time during sessions to assess effectiveness of learning and readiness to continue, ensure progress is being made within the sessions, stretch apprentices/delegates to achieve their full potential, and to make any necessary adjustments (e.g. to pitch and pace)
  - the end of sessions to assess against learning objectives set at the start and plan next steps
- Are valid, reliable, fair and constructive
- Particularly when used as part of formative assessments, help to:
  - clarify
  - give reassurance
  - inspire confidence
  - deepen understanding
  - provide stretch including explicit references to merit and distinction criteria
- Do not advantage or disadvantage any group of apprentices/delegates or individuals
- Incorporate reasonable adjustments and consideration of identified learning support needs to ensure no apprentices/delegates are disadvantaged and all apprentices/delegates are appropriately supported
- Align with awarding body standards (where applicable)
- Are recorded accurately and in a timely manner
- Are aligned to externally published assessment criteria/guidance documents where programmes are linked to national standards

## Tools

*Note: All tools apply in respect of apprenticeship programmes, however not all tools will be utilised for, or relevant to, commercially funded (ie non-levy) programmes.*

Key tools we use for **Initial Assessment** include:

*Pre-Launch:*

1. Undertaking an assessment of the apprentice/delegate's prior learning and experience in order to confirm:
  - any prior learning and experience
  - suitability of the programme/level
  - funding eligibility (apprenticeships only) and any necessary adjustments to content and timing
  - current/working level for Functional Skills in English and Maths (Baseline Assessment using BKSB)
  - whether the apprentice/delegate needs to study for Functional Skills in English and Maths alongside their apprenticeship/training programme
  - any personal and/or learning challenges/needs that Capella needs to be aware of and to take into account [*Please see the Delegate Support Policy for further details*]

**Note:** *for apprenticeship programmes the assessment will be undertaken against the requirements of their selected apprenticeship standard.*
2. Holding a Professional Discussion with each apprentice/delegate and their employer to:
  - jointly complete the assessment of suitability and prior learning and experience
  - jointly review their qualifications and the results of their Baseline Assessments (BKSB Results)
  - consider current job role and career aspirations
  - consider their previous education and their training/apprenticeships and work experience
  - identify and analyse any gaps or overlaps against KSBs in the apprenticeship standard
  - discuss any learning support needs that they may have
3. Development of an individualised Training Plan for the apprentice/delegate, which is tailored to meet their individual needs, in order to ensure that a stretching programme of learning takes place with Functional Skills embedded throughout and ensuring that this is accessible to the apprentice/delegate on their Learning Platform. Where apprentices/delegates need to complete/achieve qualifications in Functional Skills the Training Plan will include delivery details. *Please see the Functional Skills Policy for further details.*
4. Holding a one-to-one call with each apprentice/delegate to assist them in their completion of the enrolment documents and to identify, and obtain evidence of, any learning support needs that they may have (*see Capella's Delegate Support Policy for further information*).

*Launch Day:*

1. Review the Initial Launch Information provided and commence the Wider Learning Topics

Key tools we use for **all assessments after Initial Assessment** include:

*Effectiveness of Learning (formative and summative assessments of apprentices/delegates):*

1. Asking apprentices/delegates to recap learning/check understanding by asking direct questions
2. Setting an exercise/quiz/activity to complete
3. Asking apprentices/delegates to assess their own understanding/confidence (thereby also building apprentices'/delegates' ability to reflect and self-assess by engaging in the process of assessment)

Further details for each of these are set out in Appendix 1.

In addition, we conduct tri-party sessions for each apprentice/delegate, their employer and their lead Trainer throughout our programmes. These include coaching sessions, plus Mid and Final Reviews, to assess progress, fill gaps, plan next steps and provide stretch/challenge. Supplementary sessions are also conducted, where appropriate, for learners requiring additional support.

*Internal (those used within our team):*

1. Undertaking regular internal standardisation meetings to share learning and best practice
2. Undertaking regular standardisation activities with Third Party End Point Assessment Organisations (EPAOs)
3. Using data to ensure assessment tools are robust and fair
4. Recording and monitoring apprentices'/delegates' progress against their targets in the tracking tool relevant to their Programme (eg Capella Tracker, OneFile or PICSWeb depending upon the enrolment date of the Programme)
5. Undertaking regular Associate Contract Reviews (BP16), including Skills Matrix (BP17) Reviews/updates
6. Undertaking regular Associate Observations (see Associate Observation Record template – BP24)
7. Undertaking sample assessment (up to 100% at Mid and Final Review) by Capella internal verifier
8. For apprenticeships only, ensuring that all Apprentices are fully prepared for End Point Assessment (EPA), including:
  - having successfully completed a Mock End Point Assessment including all component parts

- that the apprentice's Training Plan is up-to-date
  - that the 20% OTJ requirement has been met
9. For programmes linked to a national standard, we will refer to externally published assessment criteria/guidance documents to ensure alignment of Capella gateway assessments
  10. Ensuring that Capella's Complaints Policy is published on Capella's website (<https://capellaassociates.com/company/capella-policies>)
  11. Acting sensitively if consideration of learning support needs and/or reasonable adjustments are required
  12. Ensuring that this policy is communicated to Associates during their induction process and each year thereafter, in order to promote the importance of good assessment practice and to ensure all Associates understand their responsibilities
  13. Ensuring that this policy is communicated to any Capella sub-contractors who are involved in the delivery of training and ensuring that all such persons comply with the policy (or their own policy if it is agreed to be an acceptable alternative)
  14. Ensuring that Capella's Apprenticeship Support Resources (<https://capellaassociates.com/apprenticeships-support-resources>) contain information regarding Malpractice and Maladministration so that apprentices/delegates and their Employers are aware of what actions constitute Malpractice and/or Maladministration, and what action may be taken if Malpractice and/or Maladministration are suspected
  15. Showing apprentices/delegates the appropriate formats to record cited texts and other material or information sources (including websites) and ensuring that delegates are aware of the difference between acceptable and unacceptable practice (*see Appendix 3 for further information regarding citation of texts*).
  16. Requiring apprentices/delegates to declare that their work is their own and that they have acknowledged any sources that they may have used
  17. Acting swiftly if we suspect any malpractice or maladministration (eg plagiarism, cheating) has occurred (see Appendix 2 of this policy for further details regarding malpractice or maladministration)

### Review and Updates

This policy will be reviewed annually or more frequently in the event of:

- (a) publication of new guidelines/official communications; or
- (b) upon the conclusion of any investigation into any incident of malpractice or maladministration having been reported;

whichever is the sooner.

Related Policies

- Capella's Delegate Support Policy
- Capella's Functional Skills Policy
- Capella's Whistleblowing Policy (which covers Incidents of Malpractice that do not relate to Vocational Qualifications)

## **Appendix 1 – Assessing Learning Effectiveness in Sessions – Toolkit for Trainers**

This appendix sets out a selection of tools that could be used at any time to assess learning. It is not intended to be an exhaustive list. Best practice is to use a selection of tools in every session, always including some during the session as well as at the end to ensure any gaps are identified and addressed in a timely way.

### **Asking learners to recap learning/check understanding by asking direct questions:**

- Individual volunteers answer
- Asking a specific individual
- Asking the group to discuss and assign spokesperson/s
- Asking for responses in the chat function and/or “reactions” (e.g. thumbs-up)
- Giving multiple choice option and all/some respond
- Asking for all to jot down answers and then inviting one/more to share theirs
- Inviting others to comment on answers given by peer/s
- Be aware of how often a question is thrown out to the whole group, as this risks the same people dominating
- Similarly caution against asking “is everyone ok” and accepting silence as a yes! This is a very blunt tool for assessment.
- When delivering remotely, ask for all cameras to be on (this also enables body language and other behaviours to be considered)
- Use share screen function to share learners’ responses
- Give time to enable learners to answer fully (suffer the silence!)

### **Setting an exercise/quiz/activity to complete:**

- Individually and share answers/findings in group feedback
- Go into breakout rooms, work collaboratively and assign (specific) spokesperson/s to feedback (Trainer visits rooms to assess progress during activity)
- Set a further stretch activity to deepen understanding (this could be completed within the sessions or could be set as homework for review at the next session)

**Asking learners to assess their own understanding/confidence to determine pitch/pace:**

- Hands up (remotely or in person)
- Recording their “confidence” score on a scale and sharing (various polls)
- Asking learners to jot down a question to ask to clarify/deepen their understanding
- Asking learners to annotate their slides/make notes/raise questions as they listen during direct teaching to improve engagement (and highlight key points as part of re-cap)
- Build in pause points and ask learners to reflect - reflections can then be shared if appropriate
- Asking learners to summarise key points from what they have understood and how they might apply this new learning



## **Appendix 2 – Malpractice and Maladministration**

Incidents of malpractice and/or maladministration relating to internal and external assessments, assignments and examinations for Vocational Qualifications may:

- adversely affect apprentices/delegates and lead to apprentices/delegates being disadvantaged
- undermine public confidence in the delivery and award of Vocational Qualifications
- require costly and time-consuming investigations to be conducted
- cause reputational damage to Capella Associates

It is therefore necessary that incidences of malpractice and/or maladministration relating to Vocational Qualifications are prevented from occurring whenever possible. Where it has not been possible to prevent this it is important that cases of suspected or actual malpractice and/or maladministration are dealt with quickly, thoroughly and effectively.

### **Malpractice**

With regards to Vocational Qualifications, there are two main types of Malpractice that may be encountered, with these being Delegate Malpractice and Trainer/Assessor Malpractice:

#### **A) Delegate Malpractice:**

Delegate Malpractice is defined as any action by an apprentice or delegate which has the potential to undermine the integrity and validity of the assessment of the apprentice's or delegate's work.

#### **Examples of Delegate Malpractice (NB: This list is not exhaustive):**

- Plagiarism of any nature (ie taking and using another's thoughts, writings, inventions etc as one's own)
- Collusion by working collaboratively with other apprentices/delegates to produce work that is submitted as an individual apprentice's/delegate's 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 or test
- Inappropriate behaviour during an assessment that causes disruption to other apprentices/delegates (eg shouting, aggressive behaviour and/or language, use of an unauthorised electronic device)
- Inclusion of inappropriate, offensive, discriminatory or obscene material in assessment evidence
- Frivolous content
- Physical possession of unauthorised materials (including mobile phones, electronic devices, notes etc) in the examination room.

### **B) Trainer/Assessor malpractice:**

Trainer/Assessor malpractice is defined as any deliberate action by a Trainer/Assessor which has the potential to undermine the integrity of the vocational qualification.

#### **Examples of Trainer/Assessor Malpractice (*this list is not exhaustive*):**

- Providing improper assistance to apprentices/delegates
- Inventing or changing marks for internally assessed work (coursework or portfolio evidence) where there is insufficient evidence of the apprentice/delegate's achievement to justify the marks given or assessment decisions made
- Failure to keep apprentices/delegates coursework and/or portfolios of evidence secure
- Assisting apprentices/delegates in the production of work for assessment, where the support has the potential to influence the outcomes of assessment (eg where the assistance involves the trainer/assessor producing work for the apprentice/delegate)
- Allowing evidence to be included in an apprentice's/delegate's assignment/portfolio/coursework which the trainer/assessor knows is not the apprentice/delegate's own work
- Facilitating and/or allowing impersonation
- Misusing the conditions for special apprentice/delegate requirements (eg provision of additional time)
- Falsifying records and/or certificates
- Fraudulently claiming for a certificate before the apprentice/delegate has completed all the requirements of the assessment
- Failing to comply with awarding body procedures for managing and transferring accurate apprentice/delegate data

### **Maladministration**

In relation to Vocational Qualifications, Maladministration is defined as any non-deliberate activity, neglect or other practice that results in Capella Associates or an apprentice/delegate not complying with the specified requirements for delivery of the qualification, as set out in the relevant Codes of Practice (where applicable).

### **Actions that may be taken in response to a concern relating to Malpractice and/or Maladministration**

If an apprentice/delegate, an Associate or a Capella Sub-Contractor, suspects that Malpractice and/or Maladministration relating to an assessment, assignment or examination for a Vocational Qualification has taken place they must raise their concern with the Managing Partner or the Operations Director at the earliest practicable stage.

The Managing Partner or Operations Director will then:

- Alert the apprentice/delegate's employer
- Obtain written details including information about times, dates, locations and names of potential witnesses
- Conduct an initial assessment (but not investigation) of the allegation
- Alert appropriate organisations (including Awarding Bodies and End Point Assessment Organisations) as appropriate
- For apprenticeships only, notify the ESFA of any circumstances arising in connection with the delivery of Capella obligations under the ESFA Apprentice Agreement for Training Providers which could give rise to legal liability, have an adverse effect on the reputation of the ESFA or call into question Capella's suitability to deliver training to apprentices.
- Agree actions and communicate to all stakeholders.

Once an investigation into a concern has concluded, the Managing Partner will undertake a "Lessons Learned Review" to identify and implement improvements such that the likelihood of recurrence is removed or reduced. The Managing Partner may seek input from the Capella Advisory Board during any such review.

## Appendix 3 – Citation/Referencing of Texts

- *Why reference?*

Referencing is an important part of academic work which:

- Helps you to put your work into context and show your understanding of the topic
- Demonstrates the breadth and depth of your research and provides supporting evidence for your ideas, arguments and opinions
- Allows others to identify the sources that you have used, and acknowledges other people's work
- Helps you to avoid plagiarism by making it clear which ideas are your own and which are someone else's.

Plagiarism is when someone presents someone's else's work or ideas as their own, with or without the other person's consent, by incorporating it into their work without full acknowledgement. Plagiarism constitutes malpractice – see Appendix 2 for further information regarding malpractice.

- *When must I reference?*

Every time you refer to the ideas, facts or opinions of another person or group of people in a piece of work you must acknowledge this within your work. This is a key part of good practice in academic writing and is the case regardless of whether you have quoted directly, indirectly, paraphrased or summarised the work of another person or persons. Failure to do so constitutes plagiarism.

Direct quoting is where you copy an author's text word for word. Direct quotes should always be placed in quotation marks (".....") and should be followed by a citation eg (Smith 2021, p1). Direct quotes should be used sparingly as over-quoting can suggest a lack of understanding of the text you are referring to. You may make minor changes to a direct quotation, as long as in doing so you do not change the meaning of the quotation. Further details regarding how to edit direct quotes are available from the information contained in the Reference List at the end of this policy.

In most academic writing, you should generally paraphrase from sources (also referred to as indirect quoting), rather than quoting directly.

- *References and Citations*

When you refer to someone else's work within your work (whether this be by paraphrasing someone else's ideas, summarising them or quoting directly), you must include a citation in the body of your text, as well as including the full reference at the end of your work. By doing this, you will give the reader enough information to find the source you have consulted.

When referencing you should:

- Be consistent: use the same style throughout your work wherever possible
- Provide your reader with enough information to enable them to locate the same source that you read and referenced in your work
- Fully acknowledge the source that you took the idea or the quotation from

### *Citations of Texts*

There are many different ways to cite texts, however the most common method is "Harvard Referencing". Under the Harvard System, sources are cited in short notes in brackets in the text (these are called in-text citations), and a corresponding full reference is included in a list of references at the end of the work. In-text citations should follow the format below:

- o The surname of the **author(s)** followed by the **date (full year)** of the source. The format Author (Year) or (Author, Year) are both acceptable. For example: **Brown (1987)** or **(Brown and Smith, 1988)**
- o The specific **page reference** if available/relevant. For example: '(Brown, 1987, p.23)' or, where multiple pages are referenced, '(Brown and Smith, 1988, pp.56-78)'.

Please note that:

- If the author is not known, you should use '**Anon**'.
- If the date is uncertain you should try to give an approximate date that is as accurate as possible. This should appear in square brackets preceded by 'ca.' e.g. [**ca.1990**].
- There should be no comma between the name of the author and the date, but the date and page reference should be separated with commas.
- Page references should be as specific as possible and there should be no space between 'p.' and the page number.
- The particular content of the citation note will depend on the nature of the sentence in which the reference appears. In some instances all three

pieces of information (Author's surname, year and page numbers) will be included, however in other instances, for example where the name of the Author has been included in the body of text, only the date and the page reference, or even the page reference alone will be included. See below for an example of each type of citation:

*It has long been argued (Butcher 1990, pp.78-90) that pork and leek sausages are better than pork and apple. However, Neville (2005, pp.56-98) has recently produced evidence to the contrary.*

Whilst the Harvard System is the most common referencing system used overall, within industry the Chicago Manual of Style referencing system is frequently used. When using the Chicago Manual of Style method of referencing, the author should insert a reference number in square brackets into the main body of their writing immediately after the reference. The reference numbers should be used sequentially ie the first reference should be [1], the second reference should be [2] etc. For example:

*"Supplementary restraint systems have been installed in consumer automotive products since the 1990's [1].*

*Control ring friction is an important consideration for efficiency of power units, and can contribute to parasitic energy loss [2].*

#### References

1. Guo, Q. and Liu, B., "Simulation and Physical Measurement of Seamless Passenger Airbag Door Deployment," SAE Technical Paper 2012-01-0082, 2012, doi:10.4271/2012-01-0082.
2. Kunkel, S., Zimmer, T., and Wachtmeister, G., "Friction Analysis of Oil Control Rings during Running-In," SAE Technical Paper 2011-01-2428, 2012, doi:10.4271/2011-01-2428.

Further information regarding citation of texts, including:

- further examples of how to cite texts
- examples of how to cite different types of texts (eg books, journals, websites), and
- exercises on citation of texts

are available in the Reference List for Capella Assessment Policy overleaf.

#### *Reference Lists*

At the end of your piece of work, you must provide a list of references that contains full details of all of the citations that you have used within your work.

This list should have a title (Reference List) and should be arranged alphabetically by author's surname. Where there are multiple citations by the same author, these should be listed chronologically by year of publication.

You do not need to use bullet points in the Reference List, or split the Reference List into sections such as books, websites etc.

***In order to ensure that you capture all of your sources within your piece of work, it is recommended that you take notes as you go along and that you clearly mark where you have quoted directly from the source in order to ensure that you correctly capture all of the references that you have used within the body of your work and the Reference List.***

### **Reference List for Capella Assessment Policy Appendix 3 – Citation/Referencing of Texts**

University of Leeds, 2022, viewed on 8<sup>th</sup> January 2022

[https://library.leeds.ac.uk/info/1402/referencing/47/referencing\\_explained](https://library.leeds.ac.uk/info/1402/referencing/47/referencing_explained)

University of Bristol, Faculty of Arts, viewed on 8<sup>th</sup> January 2022

<http://www.bristol.ac.uk/arts/exercises/referencing/>

Birmingham City University, Library and Learning Resources, viewed on 8<sup>th</sup> January 2022

<https://www.bcu.ac.uk/library/services-and-support/referencing>

University of Worcester Library Services: A Short Guide to Harvard Referencing at the University of Worcester, published August 2022

The Chicago Manual of Style

<https://www.chicagomanualofstyle.org/home.html>

Pears, R. and Shields, G (2022) *Cite them right: the essential referencing guide*. 12<sup>th</sup> Edition. London: Palgrave Macmillan.

Historic Change Log (See Change Log at the beginning of this policy for all changes from 2021 onwards)				
Date:	Change Description:	Proposed:	Actioned:	Approved:

18/12/17	<ul style="list-style-type: none"> <li>No change made – policy reviewed and reissued</li> </ul>	K.Smith 18/12/17	K.Smith 18/12/17	<i>K.Smith</i>
28/11/18	<ul style="list-style-type: none"> <li>Policy reviewed – additional tools inserted</li> </ul>	K.Smith 28/11/18	C.Hughes 28/11/18	<i>K.Smith</i>
17/01/20	<ul style="list-style-type: none"> <li>Reissue of policy following annual policy review – no changes made to policy</li> </ul>	C.Hughes 17/01/20	H.Lees 17/01/20	<i>K.Smith</i>
25/02/20	<ul style="list-style-type: none"> <li>Insertion of information relating to Malpractice and Maladministration into the Policy</li> </ul>	S.Baldry 10/07/19	H.Lees 25/02/20	<i>K.Smith</i>
16/07/20	<ul style="list-style-type: none"> <li>Insertion of the Initial Assessment Policy into the Assessment Policy</li> </ul>	C.Hughes 03/03/20	H.Lees 07/04/20	<i>K.Smith</i>
08/12/20	<ul style="list-style-type: none"> <li>Augmentation to clarify/differentiate process for Commercial/Levy delegates; insertion of ref to OneFile and replacement of refs to Handbooks with ref to Freshdesk</li> </ul>	H.Lees 08/12/20	H.Lees 08/12/20	<i>K.Smith</i>