

## **Section 4: Internal Assessment Procedures and Paperwork**

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## 4.1 Introduction

Candidates are required to develop a portfolio of evidence which demonstrates that they have successfully met all of the requirements of the relevant units at the appropriate level. This portfolio should include not only the evidence but also the following **mandatory** recording documents:

- Records of **internal moderation, sampling and standardisation** (all qualifications)
- Appropriate recording documents (e.g. **Assessment Checklists**) which record the location of evidence in the portfolio and facilitate on-going monitoring and assessment
- **Plan, Do, Review sheets**, these are intended to support candidates in providing sufficient and valid evidence for assessment to meet the requirements of each unit (**AoPE/CoPE**).
- Completed Evidence Transcript for each unit submitted (**PP**)

The portfolio of evidence is assessed internally and for a pass to be achieved it must demonstrate that the candidate has successfully met **all** assessment criteria in full. Internal Moderation of assessments must also take place and the External Quality Assurer will expect to see evidence of this in the form of internal centre records.

The portfolios must be kept secure within the centre. This is a quality assurance requirement.

Portfolios of evidence are externally moderated by ASDAN. This will be carried out by post unless the centre meets certain criteria for a moderation visit (for example, the centre is submitting a large number of candidates or is starting to deliver a new qualification for the first time). See 4.4 for details on what to expect with a centre moderation visit.

## 4.2 Summative Recording Documents

Assessment Checklists are **mandatory for all qualifications** that require a portfolio of evidence and are provided for each unit at each level. They can be found under the drop down tabs found at the bottom of the qualification specific course page of the ASDAN website.

These documents enable candidates to record the exact location of evidence in the portfolio against specific assessment criteria. In order to achieve a unit or qualification, an Assessment Checklist must be completed. The Checklist should be placed at the front of the candidate's portfolio of evidence.

The purposes of the Assessment Checklist are:

- for general identification of contents and a checklist for the portfolio
- for candidates to identify and locate (cross-reference) evidence for each unit
- for candidates to sign to confirm that the contents represent their own work
- for assessors to check evidence against standards, confirm and authenticate by signing
- for internal moderators to check and confirm internal standardisation by signing
- for Independent and External Quality Assurers to use to find evidence and check assessment decisions

Assessors should check that the **full range of requirements** has been met and confirm that the evidence is sufficient, valid, reliable and authentic before completing,

signing and dating the checklist. **Assessment Checklists must also be signed and dated by the candidate (not PP) and internal moderator.**

### PSD (Entry Levels)

Assessment Checklists can also be found in the PSD Student Book

### WKS

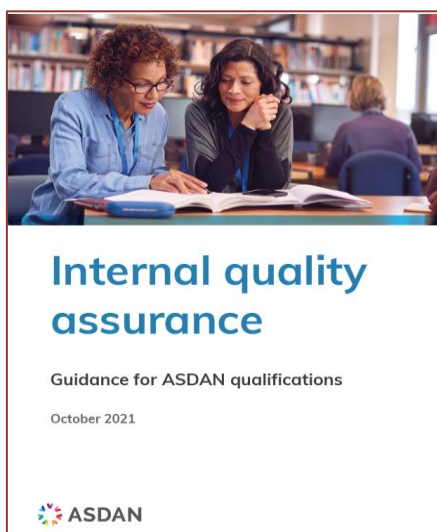
Assessment Checklists can also be found in the Candidate logbook. There is one for each wider key skill at each level.

*N.B. If the centre has an alternative method of recording assessment of portfolio evidence, this may be substituted as long as it serves the same functions as the ASDAN form and its use has been agreed with the External Moderator in advance.*

ASDAN also provides a range of **optional resources** for all qualifications which support candidates in their collection of appropriate evidence and achievement of the relevant qualification. These resources may be downloaded from the website.

## 4.3 Internal Moderation

ASDAN has provided a separate guide supporting Internal Quality Assurance as well as templates that the centre can choose to use as is or modify to suit the needs of the organisation. <https://www.asdan.org.uk>



Internal moderation report template **(with guidance)**

All highlighted text in this template is provided as guidance for the internal moderator. Please delete and replace with relevant text.

ASDAN qualification: \_\_\_\_\_  
 Level: \_\_\_\_\_  
 Number of candidates in the cohort: \_\_\_\_\_ Number of assessments in the cohort: \_\_\_\_\_  
 Assessor name(s): \_\_\_\_\_ No. of samples used in the moderation: \_\_\_\_\_  
 Internal moderator(s): \_\_\_\_\_ Date: \_\_\_\_\_

1. Internal quality assurance of delivery

This section is designed to quality assure the suitability of the evidence units for the candidate profile and the suitability of the formative and summative activities. It should be completed prior to the teaching of the units.

Date: \_\_\_\_\_

Candidate details	Teacher/assessor	Units planned	Teaching time frame
Details of any specific needs that the cohort may have	List of all resources/assessors for this unit	List of all units to be delivered for this business and	Planned formative and summative assessment/teaching dates

Teaching plan/outline completed prior to delivery? Yes (1) No (1)  
 Assessment plan completed (summative)? Yes (1) No (1)  
 Feedback on types of this service: **(delete the result of the candidate profile)**

Feedback on quality of topics selected **(suitability and relevance of the topics and assessment-based activities)**

Feedback on the types of formative activities proposed that will be used to support the decisions to allow the candidate to complete the summative activity (final assessment activity) **(delete the result of the candidate profile)**

Feedback on whether the delivery of the quality business has enabled, or will enable, the candidate to demonstrate relevant skills for the summative assessment (final activity used as assessment)

ASDAN IM report template, with guidance | © ASDAN October 2021

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Internal moderation report template **(with guidance)**

Units and action points for follow up:

Units	Date to be done	Completed
Unit 1	10/20/21	Yes
Unit 2	11/20/21	No

Internal quality assurance of assessment – first assessment

This template is used to quality assure the assessment decisions after the first unit has been assessed. It should be completed post-assessment through the teaching of the units used as evidence.

Date: \_\_\_\_\_

Assessor	Assessment decision
Assessor 1	Assessment decision
Assessor 2	Assessment decision

Feedback on quality of feedback to the candidate: **(delete the result of the candidate profile)**

ASDAN IM report template, with guidance | © ASDAN October 2021

Each centre will have a named person or persons undertaking the role of Internal Moderator (IM).

One aspect of the IM role is the sampling of candidates' portfolios, including Part A questions when appropriate, to review the quality of assessors' judgements. The internal moderator should sample enough work to ensure that the centre's summative assessment of the qualification is consistent. Samples should be selected from all:

- qualifications (**WKS only**)
- assessors
- levels
- units
- programmes (if applicable)

The internal moderator should decide on the size of the sample and this will be dependent on delivery workload and assessment experience. Factors determining the size and nature of the sample will also include the size of the centre, the geographical location (i.e. separate assessment sites) or any 'problem' aspects of the standards. If assessors are new, the IM should look at all or most of the portfolios presented.

However, with experienced assessors, selecting a smaller sample may be appropriate. ASDAN recommends that this should be around 10% of the cohort. The 'test' is whether or not the sample represents a sufficiently accurate picture of the quality of assessment in the centre for the IM to be confident that assessor decisions in portfolios not sampled also meet national standards. Internal Moderation should prepare for, and therefore reflect, the processes of External Moderation.

Further guidance and example materials for making use of effective internal moderation can be found on the secure area of the website ([www.asdan.org.uk](http://www.asdan.org.uk)).

### **Completion of Assessment Checklists**

When the candidate has finished a unit, the relevant Assessment Checklist or part of the Assessment Checklist (**CoPE/AoPE**) must be completed by the assessor. The page numbers where the evidence can be found in the candidate's portfolio of evidence must be indicated.

Assessment Checklists must be signed by the Candidate, Assessor and Internal Moderator. By signing the Assessment Checklist:

- the candidate is confirming that the evidence in the portfolio is all their own work
- the Assessor is confirming that the details are correct, that the evidence submitted is the candidate's own work and that the candidate meets all of the requirements for certification of the unit
- the Internal Moderator is confirming that internal moderation has taken place

The IM should keep records of candidates' portfolios/units sampled and include them in the portfolios requested for external moderation. The IM could follow a similar approach to sampling as outlined for External Moderation in Section 4.5

- Feedback should be provided to the assessor, including a list of any action points that need to be addressed.

### **Completion of Candidate Record for Wider Key Skills**

For those portfolios sampled, section two of the candidate record sheet in the logbook should be completed with comments on the evidence sampled and any action points for the assessor. Assessment checklists for **all** candidates and qualifications/units should be checked for assessor signatures and dates. For **all** candidates the IV (IM) declaration should be ticked appropriately and signed off.

#### 4.4 External Moderation

It is the role of ASDAN to establish and maintain the quality of assessment. It does this through a process of moderation carried out by External Quality Assurers (EQAs).

The principal responsibilities of EQAs are to:

- Look at the quality and compare the standards of candidates' work to ensure that national standards are being met.
- Monitor assessment practice and, where problems are identified, take action to ensure that assessment conforms to national standards.

ASDAN arranges staff development and themed support meetings for centres, to assist with the development of a consistent approach to each level for each unit. Details of these are provided on the secure area of the website.

It is important that centres attend these, particularly during the first year of delivery.

#### 4.5 Summary of Procedures and Administration for External Moderation

External moderation is on request and is either carried out by post or by centre visit. This will be arranged centrally by ASDAN. Two free postal moderations are offered per year. Additional moderations will incur a fee.

In all cases, centres request a date for external moderation through the ASDAN website members area; selecting the qualification and preferred date and submitting the request before 31 October for a moderation in the next summer. An email confirming the preferred date (if available) or an alternative date is then sent to the centre.

Dates for moderation should be agreed well in advance in order to avoid disappointment at peak times.

#### Registration for External Moderation

Candidates must be entered for moderation using the online candidate registration process. See Section 3.3 for more information about candidate registration.

To register the candidates for moderation, the centre co-ordinator must update the registered candidate details and completed units at least **four weeks** before the date of moderation. This is then checked and the sample chosen by ASDAN. If the candidate details are not updated by this deadline it will not allow time to resolve any problems and inform the centre of the candidate portfolios selected for sampling. In this event there is no guarantee that the external moderation will go ahead.

On submission of the results the co-ordinator should be confident that **all** the portfolios entered are ready for the process of external moderation. There may be minor adjustments made to portfolios during the four-week period, but the expectation is that by the date of the moderation these portfolios will be fully complete and have been internally moderated successfully. **It is not acceptable to withdraw candidates after submission due to non-completion, as this invalidates the quality assurance of the moderation process and may result in the centre being withdrawn from moderation.**

Co-ordinators must ensure that **all parts** of the candidate registration process are completed according to the accompanying instructions. Information Assessor names, for example, are required for ASDAN to make the selection for sampling. The regulatory bodies (Ofqual, CCEA and Qualifications Wales) in turn will be checking on this as part of their audit.

### **Candidate selection and sampling**

On receipt of the updated candidate details, ASDAN will identify a sample of candidate portfolios to cover all units, levels and assessors.

Where the assessor, units and levels are the same for all candidates, a minimum of 3 portfolios will be sampled. Where there are multiple assessors, units and/or levels, ASDAN applies a minimum of 10% rule, ensuring that an example of work that covers all variables is seen.

When the sample has been identified, it is marked on the form and a copy emailed to the Centre Co-ordinator to indicate which candidate portfolios have been selected.

### **Changes to the sample**

EQAs may request an additional sample if there are portfolios which do not meet all the requirements of the standards/specifications. Therefore, all other portfolios going through on the same occasion (i.e. in the same cohort) must also be retained by the centre and made available to the External Moderator if requested.

Changes to the cohort (e.g. candidate additions or withdrawals, the selection of portfolios, or the levels), **must not** be made by co-ordinators once the sample has been identified and requested. If there are unforeseen problems or last minute changes, ASDAN must be contacted **immediately** in order to discuss and agree a way forward and an amended request provided in advance (Fees for late additions/withdrawals will apply). 'Surprising' the EQA by submitting a different sample without prior notice will invalidate the moderation process and no candidate work will be externally moderated and no certificates awarded. The centre would need to re-submit work at another external moderation opportunity, incurring additional costs. A new moderation request would need to be submitted and a new sample chosen.

## **Sending the sample portfolios for postal moderation**

**It is the centre's responsibility to ensure the safe and timely receipt of materials by EQAs and other ASDAN staff.**

Centres are advised not to send heavy items, such as ring binders or folders, but instead use plastic wallets, treasury tags etc., to ensure that all the evidence for each candidate remains together and in the correct order. **There must be a front sheet for each candidate that clearly identifies both the centre and candidate name.**

For all postal moderations, the identified portfolios must be securely packaged and sent to the address specified **by either recorded delivery or courier only**, by the deadline indicated. Centres will not be charged to participate in the postal moderation process. However, centres are required to pay the full postal/carriage cost of sending their portfolios for moderation.

The centre must send **only** the candidates' work identified in the sample. Centres submitting work for external moderation after the specified date for the receipt of sample portfolios will be charged a fee for a late entry.

## How to submit candidate's work for External Moderation - Postal

### All qualifications

Tutors must ensure that all portfolio pages are properly secured, by use of a treasury tag or similar attachment. Loose-leaf pages should not be submitted.

Each portfolio must be clearly identified on the front page/cover with:

- candidate's name
- centre name and number
- centre co-ordinator's name

**Each portfolio must include clear evidence of internal moderation, for example in the form of the centre's own IM recording documents. Whilst expected, the signature of the IM on the assessment checklist alone is not sufficient evidence that a thorough IM process has been carried out. This has been mandatory since September 2020.**

For all qualifications, centres have been required, **from September 2020**, to provide an example of at least one of their **assessment plans** alongside their sample portfolios, which must represent one of the activities used for the current moderation.

### PSD

Each **Assessment Checklist** (available on the secure area of the website) must be located at the front of each unit and be completed, signed and dated by the candidate, assessor and internal moderator.

### CoPE/AoPE

Ensure that the completed **Student Book** is placed at the front of the portfolio and that the **Assessment Checklist** is placed behind this.

### Employability

Each **Assessment Checklist or Candidate Achievement Record Book** (available on the secure area of the website) must be located at the front of each unit (in the case of Assessment Checklist) or at the front of each portfolio (in the case of Candidate Achievement Record Book) and be completed, signed and dated by the Candidate, Assessor and Internal Moderator.

### WKS

Each **Assessment Checklist (and candidate logbook if used)** must be located at the front of the portfolio, and signed by the Assessor and Internal Moderator.

### Personal Progress

Each **Unit Assessment Checklist** must be located at the front of each candidate's portfolio and be completed, signed and dated by the Assessor and Internal Moderator and an **Evidence Transcript** must be completed for each unit undertaken by the candidate.

### External Moderation

When carrying out External Moderation the EQA is undertaking a quality assurance role on behalf of the Awarding Organisation. It is inappropriate at this time to offer

general support and guidance and therefore the focus of any subsequent discussion and feedback (either by telephone or in writing) will be on the portfolios sampled.

During moderation, omissions, errors or problems may be found. If this occurs, the sample may need to be extended to establish the extent of the problem (or whether it is a “one off”). In this case ASDAN/the EQA will contact the centre and ask for additional portfolios to be sent. Any additional sample should be sent within two working days of the request (longer delays will affect the continuity of the moderation process, and may incur additional costs). Should problems continue to occur once the additional portfolios have been inspected, further action would be required.

To establish the further action that needs to be taken, the nature of the problem must be identified. For example, it may be that disagreements between the assessor and the EQA only occur with one assessor or with one unit at one level. In other areas the assessments may be acceptable. In this case, if the assessments in some units, levels, or with particular assessors are acceptable, then these may be approved by the EQA for certification.

If remedial action is required, the centre will be instructed to provide a further sample, at a later date, to show that appropriate steps have been taken.

If **action points** are identified, the centre will be informed in writing via the Moderation Feedback Report to ensure future success. At future moderations, if action points are found not to have been addressed, portfolios may not be passed for certification.

### **End of the moderation process**

At the end of the moderation process, feedback will be given to the centre via the Provisional Summary of Results.

Following ASDAN's quality checks, the centre will also receive certificates for successful candidates, and a Moderation Feedback Report will be uploaded to the members area of the website. A notification will be posted on the website to let centres know the Moderation Feedback report is available to view and download. The purpose of the report is to provide centres with a record of the outcomes of moderation and give examples of good practice/excellent work as well as work that is of a borderline nature and needs further development. Action points may be identified. (Failure to address these in future submissions may jeopardise candidate achievement).

Where moderation has taken place during a Centre Visit the External Moderator will complete a Centre Visit Report, which may include action points, where required, and this will be made available through the members area of the website in the same way.



### **Additional Postal Moderation**

If postal moderation is requested by a centre, in addition to the moderation opportunities included in the centre registration fee, a fee will be applied and centres will also be expected to bear the costs of postage and packing (see Information on Additional Fees on the secure area of the website [www.asdan.org.uk](http://www.asdan.org.uk)).

Centres requiring additional postal moderation will need to contact ASDAN in order to obtain approval for their request and to confirm all details.

### **Certification**

Overall results of the moderation will be sent, together with certificates due to candidates within 20 working days of confirmation of the results being received from the EQA.

### **Personal Progress**

Entry 1 Qualifications in Personal Progress certificates are not valid unless the corresponding Evidence Transcript is attached. It is the centre's responsibility to ensure that this Evidence Transcript is attached to the relevant certificate.

### **Enquiries and Appeals**

Please see the Policies and Procedures section on the website for information regarding enquiries and appeals against external moderation decisions.

## Centre Moderation Visit Guidance for Centres

### General

Where moderation takes place during a centre visit, the EQA will also be confirming that the centre's policies and procedures for the quality assurance of the delivery and assessment of ASDAN qualifications are appropriate and effective. Centres will be provided with information and guidance so they can prepare adequately for the visit and will have the opportunity to discuss requirements with the EQA, which may include access to staff and candidates. Centres will also be requested to feedback on certain aspects of ASDAN qualifications, which supports ASDAN's qualification review process.

Therefore, as well as moderating the candidate work, the EQA will look at how the centre is implementing their Centre Approval policies, managing and reviewing resources, and operating effective management, administration and quality assurance arrangements.

Following a Centre Moderation Visit the EQA completes a Centre Visit Report alongside the Moderation Feedback Report. The centre will be able to access both reports in the normal way, through the cohort page that the moderation is linked to in the Teaching area of the ASDAN website.

If necessary, Action Points may be agreed and set.

### 1. Preparing for the visit

- 1.1 The centre will need to ensure that the EQA has everything they need to complete the moderation: all portfolios will need to be available for the visit, a sample of portfolios can be prepared (with access to the rest of the submission), a quiet room in which to work; access to staff and candidates as agreed.
- 1.2 The remainder of the visit will focus on confirming that the centre's policies and procedures for the quality assurance of the delivery and assessment of ASDAN qualifications are appropriate and effective. The centre will need to provide the EQA with suitable evidence for each section of the Centre Visit Report, and to make the relevant staff and learners available to the EQA as agreed in advance.

## **2. The Centre Visit Report**

The following guidance explains the purpose of each section of the Centre Visit Report and what would constitute suitable evidence.

The EQA comments in each section will result from a combination of discussion with staff and learners, and a review of the relevant evidence.

### **Sections 1 – 3: Centre and External Quality Assurer details, plan for moderation**

These sections will be completed by the Centre Support team before emailing the form to the centre.

### **Section 4: Staff expertise**

This section will also be completed by the Centre Support Team, with the information currently available. However the EQA will check and confirm that the staffing information provided here is current and accurate, so that ASDAN can maintain an up to date record of centre staff.

### **Section 5: Administration**

**Suitable evidence** could include:

**5.1** - a description of where the centre's policies and procedures in relation to assessment and internal moderation are kept, and/or a demonstration of how to access them.

**5.2** - programmes for meetings, agendas and minutes, in-house training events and development groups.

**5.3** - documented evidence of prompt dissemination to tutors/assessors, such as agendas, minutes, evidence of development workshops, internal memos/circulars.

**5.4/5.5** - a demonstration of how all candidate records are stored securely and how access to candidate records is restricted to those who have a right to view them.

**5.6** - the centre's policy on retention of registration records and details of results in line with ASDAN's policy for the retention of assessment materials, and for enquiries and appeals; examples of such records.

### **Section 6: Management and Resources**

**Suitable evidence** could include:

**6.1** - the latest versions of recording documents, candidate books, Standards with Guidance etc.

**6.2** - records of attendance at training, CVs or certificates.

**6.3** - staff handbook, confirmation that all staff involved have a copy of the Standards with Guidance

**6.4** - staff appraisal/review documentation

**6.5** – description of job role/responsibilities; how other commitments to responsibilities other than those associated with the qualification(s) are managed; the arrangements for supporting candidates undertaking the qualification in the event of staff absence; staff conflict of interest declaration

**6.6, 6.7** – documented evidence of how the ratios are determined, taking into account the qualification, the method of assessment and the location and number of candidates.

### **Section 7: Delivery, Assessment and Internal Moderation**

**7.1** - registration forms, learning/training needs analysis, learning/training action plans.

**7.2** - a student handbook or similar. Candidates must be made aware that they are able to request a review of marking and other assessor decisions, and make a complaint in relation to the centre's policies on fair assessment or equality and diversity. They must be aware of the policies that relate to them, for example Malpractice and Maladministration.

**7.3** - a log of all adjustments made for the purposes of assessment.

**7.4** - formative and summative assessment records, teaching and learning plans (to meet GLH), assessment plans, internal moderation records etc.

**7.5, 7.6** - a sample of assessment plans and materials.

**7.7** - minutes of Assessment/IM meetings, standardisation meetings for assessors, Internal Moderation Sampling Plans and Reports.

### **Section 8: Malpractice and maladministration**

**Suitable evidence** could include:

**8.1, 8.2** - evidence of the implementation of the centre's malpractice and maladministration policy; evidence of how it is made available to staff and candidates. Specific inclusion of reporting, investigation and sanction arrangements.

**8.3, 8.4, 8.5** - a written procedure to follow when submitting candidates, including checking by an identified person against records of completion; records of checking certificates before distribution; records of requests for amendments to candidate submissions and actions taken to prevent similar errors re-occurring.

### **Section 9: Centre feedback**

In order to fulfil our regulatory requirements and to ensure that we undertake a regular review of our qualifications, we need stakeholder feedback.

### **Section 10: Candidate Review**

The questions relate to the centre's delivery and assessment process, not the qualification itself.

If requested, candidate questions may be sent to the centre in advance and the responses sent on separately to the EM.

If candidates are available to speak to the EQA, they must be interviewed as a group or with a member of centre staff present. Candidate names will not be recorded.

## **Access guidance**

The questions listed are unlikely to be meaningful to all candidates, and it is acknowledged that there will also be instances where it is not appropriate or possible to interview candidates due to learning or communication issues and this should be recorded. In this case, responses from some who are able to participate would be acceptable, and where all candidates are unable to give direct answers about their experience, centres might include evidence from parents or carers.

The EQA may need to rephrase questions, and prompt candidates with additional questions, in order to elicit a relevant response.