



This policy sets out the assessment regulations AIM Assessment will follow when undertaking end-point assessment against apprenticeship standards.

Training and formative assessment

The apprenticeship training must enable the apprentice to develop the knowledge, skills and behaviours set out in the standard in order that they can pass the end-point assessment.

We recommend that the training provider design a cumulative approach to formative assessment, such that as the apprentice progresses through their apprenticeship they are tested on all of the knowledge and skills they have learned.

Much of the assessment of readiness falls to the employer. They will appraise the apprentice using their normal appraisal system, and give feedback to the apprentice on their work. The apprentice should write regular reflections on work and outcomes and keep these in the form of a training log and reflection. The training provider will review the apprentice's progress during their apprenticeship using their formative assessments, learner reviews and mock assessments.

The gateway – is the apprentice ready for assessment?

As the apprentice nears the end of the training, we recommend that the training provider set mock assessments using our exemplar assessment tasks. These mock assessments should be set under the same conditions as the end-point assessments and should serve as an indicator of the apprentice's readiness for passing through the gateway.

Employers will agree with the training provider when the apprentice is ready to take their end-point assessment and it is expected that this will be in the last three months of their apprenticeship, but must be after 365 days of training.

Once ready, the employer and training provider must complete and submit the **Gateway Form** along with evidence of any qualification achievement required for the gateway.

The end-point assessment

End-point assessments are made up of several assessment devices that together test the skills, knowledge and behaviours that employers need for this job role. Descriptions of each of the assessment devices together with an explanation of how they work in each standard are in our apprentice, training provider and employer guides.

Dates for each assessment device are set in agreement by the employer and training provider. It is therefore imperative that the timescales set are realistic and give the apprentices every opportunity to pass. We will allocate an assessor to each apprentice for each assessment device (please note it may not be the same assessor for each device) and confirm that there are no conflicts of interest between the assessor(s) and apprentice(s).

Once the assessment has taken place we will apply our quality assurance checks to ensure that our assessor(s) have marked the apprentice accurately. Marks will be recorded and considered at the awarding meeting, following which we will confirm final grades with the employer, the apprentice and their training provider, and send on to the IfA for certification.



Awarding meeting

Individual Assessments:

The awarding meeting will consider the evidence of apprentice performance in all assessments presented by the assessor and will confirm that the apprentice should pass, or be offered a resit opportunity, or be deferred or should fail an assessment.

Exceptionally, following a ruling made by a panel in consideration of a proven academic offence, an apprentice may be required to take an assessment again.

Apprentices are expected to accept or reject resit opportunities by the required deadline. Failure to do so may result in a resit assessment not being scheduled.

Overall Achievement:

At the conclusion of an apprentice's end-point assessment, the awarding meeting will consider the apprentice's profile of marks and determine whether the profile qualifies for a pass, and what the final grade will be according to the assessment plan (for example Fail, Pass, Distinction).

Awarding meetings may be run for individual apprenticeship standards or it may be possible to cluster apprenticeship standards where appropriate to operate a combined awarding meeting for practical and efficiency purposes.

Terms of reference are in Appendix 2.

What happens if apprentices fail or fail to submit/attend?

All apprentices are entitled to two attempts at each assessment device. There are two circumstances where this can happen:

- Work is submitted by the deadline or the apprentice attends for assessment at the scheduled time, but fails to meet the standard required to pass. In this situation, one more opportunity to attempt the assessment that was failed will be offered, with the employer's consent. Apprentices will not be able to submit for any further assessment if the assessment is failed for a second time.
- Work is not submitted by the deadline, or the apprentice does not attend for the scheduled assessment. In this situation, one more opportunity to attempt the assessment that was missed will be offered, with Employer's consent. Apprentices will not be able to submit for any further assessment if they fail.

Conditions of resit opportunities:

- Apprentices must be employed by the same employer with whom they were an apprentice
- The resit must take place within the lifespan of the assessment plan (as defined by the Institute for Apprenticeships)
- Employer consent is required because there may be additional costs.

Personal Mitigating Circumstances (PMC) – Illness and incapacity

If there are valid, evidenced reasons why an apprentice could not submit or attend for assessment then they may submit a Personal Mitigating Circumstances (PMC) form alongside evidence for consideration by the PMC Panel. The role of the panel is to ensure that assessment opportunities are fair to all.



It is recognised that during an apprenticeship some will have to cope with a range of illnesses and experiences which are part of the normal course of events in life. In many cases these circumstances will have little or no noticeable effect on assessment performance. However, there may be serious circumstances of a medical or personal nature, which affect apprentices for a significant period of time during the end point assessment period, which are beyond their control and which have a recognisable effect on their performance.

AIM Assessment does not define those circumstances which are serious and which are not. However, the following are examples of circumstances which will probably not be taken into account:

- Circumstances over which an apprentice has some control through prior planning (eg moving house, getting married, computer problems, workload)
- Circumstances experienced by all or most apprentices (eg financial difficulties) minor illnesses of a short-term nature
- Circumstances which have already been appropriately provided for by special assessment arrangements

The personal mitigating circumstances (PMC) procedure

This procedure gives apprentices the opportunity to inform AIM Assessment of serious medical or personal circumstances which they believe have affected their academic performance in an adverse way.

Apprentices must complete a Personal Mitigating Circumstances form which is available on our website.

It is the apprentice's responsibility to complete and submit the form to assessment@aim-group.org.uk. In exceptional circumstances they may nominate another person to submit the form on their behalf if they are unable to because of physical or mental incapacity. Staff cannot initiate PMCs or make oral representations on their behalf. PMC applications will be considered at a meeting of a PMC panel which will report to the awarding meeting. This process is explained further below.

Apprentices must indicate clearly on their PMC form each assessment covered by their PMC and they must make sure that all relevant dates are given.

Documentary evidence that must be provided

Apprentices must submit any relevant documentary evidence which supports their case, particularly if they have missed an assessment. It is their responsibility to decide on the evidence to be used and collate and submit the evidence.

The nature of the documentary evidence will vary according to the circumstances. If, for example, the apprentice has been ill with the flu for a period of 10 days, we will expect a doctor's note which says they were incapacitated between the two relevant dates. If, on the other hand, they have suffered the loss of a close relative and feel their work has been affected, we will need confirmation of how this affected their performance, eg their emotional condition, their ability to work effectively, etc. This would probably be a letter from their doctor or counsellor, etc. It is important that they provide details of how any circumstances such as these affected them, rather than confirmation of any actual event.

When should a PMC be submitted?

Apprentices must submit the PMC form by the submission date for assessments and before the date of tests or examinations and, in any event, before the meeting of the PMC Panel.



What must apprentices do if they are ill on the day of an examination?

There will be occasions when apprentices are not fit to attend on the day of an exam, test or other form of assessment. In such cases they must:

- Notify AIM Assessment on 01332 341822
- Seek medical attention on the day and documentary evidence of incapacity where possible
- Submit a PMC form at the earliest opportunity. If they are taken ill during an assessment they should notify the Invigilator or Assessor so that a report can be made; seek medical attention on the day and documentary evidence of incapacity where possible, submit a PMC form at the earliest opportunity

What must an apprentice do if they cannot hand in assignments on the due date or have been ill during the assignment?

Apprentices cannot request an extension to the deadline for assignments unless they have a case for PMC.

If a PMC case is the reason for the delay in submitting the assignment apprentices must either:

- Submit the assignment by the due date with it a PMC form providing details of the circumstances which may have affected their standard of performance, or
- Submit a PMC form by the due date explaining the circumstances which have led to the late submission; submit the assessment as soon after the due date as possible.

The PMC Panel will determine the validity of the PMC.

What happens to PMC applications?

PMC applications are considered by a PMC panel. The panel will comprise a minimum of three members, of which at least two are senior members of staff at AIM Assessment. The Chair of the panel will be independent of the Chair of the awarding meeting.

The PMC panel will meet before the awarding meeting. It will consider all the PMCs together with supporting documentary evidence. The panel is empowered by the awarding meeting to determine the validity of each case.

The panel will report to the awarding meeting one of the following decisions in each case:

- Reject PMC
- Accept PMC – effect not applicable
- Accept PMC - effect applicable

The panel will take into account:

- Any evidence to support the case being made
- Timing - does the period affected by the PMC correspond with the date of the assessment?
- How long the apprentice had to complete the assessment (ie date when assessment set and deadline for submission)? Did the apprentice have time to complete the assessment if the PMC is disregarded?
- Severity of circumstances
- Nature of circumstances - the panel, therefore, may accept the validity of the PMC but consider that it is not applicable to the assessments in question because of timing, for example. The panel will take great care to keep your information confidential.



What action can the awarding meeting take?

The awarding meeting can decide whether circumstances are sufficiently serious to warrant an apprentice being given another opportunity to demonstrate their skills and competence at a time when they are fit to do so. Awarding meetings can take various actions in cases where the PMC panel has determined that a PMC has been accepted and effect applicable. These are as follows:

- Allow the apprentice to be assessed, despite them missing the original deadline
- Permit the apprentice to be assessed again in cases where the PMC has affected performance. It is the apprentice's choice whether they choose to accept any offer of re-assessment:
- If an apprentice repeats an assessment as though for the first time, the grade obtained, whether higher or lower than for their original assessment, will be counted and any previous grade(s) obtained discounted.

Rescheduling and cancellation

There may be a charge for cancelling or rescheduling an assessment once the date for assessment has been agreed. This is because we have to contract with specialists.

Rescheduling:

- At least 30 days before the date of assessment: no charge
- Less than 30 days before the date of assessment: we will charge the additional charges set out below
- Cancellation:
- At least 30 days before the date of assessment: full refund
- Less than 30 days before the date of assessment: we will charge the additional charges set out below.

Re-scheduling/cancellation charges are set out in our charging structure

Appeals

The process for appeals against assessment, PMC or any other decisions is set out in our Appeals Policy, available on our website: <http://www.aim-group/assessment.org.uk/working-with-us/>



Appendix 1 – Assessment process

The process we will follow is below.

