Apprenticeship Assessment Cancellation Resit and Retake Policy

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1. Introduction

This policy covers the delivery of Apprenticeship Assessment which are subject to internal and external Quality and Compliance. NCFE Apprenticeship Assessment products include those which may be offered and/or delivered under an NCFE-owned brand name (for example 'CACHE').

The policy also forms part of a suite of policies for NCFE's Apprenticeship Assessment products and services, all of which are designed to:

- protect apprentices who are registered with us
- minimise the risk of an Adverse Effect occurring
- help support us and all other partners involved in risk management and risk minimisation
- help ensure we and all partners comply with all relevant legislation and guidance
- help improve and refine our products and services.

For our partners, this policy supports compliance with the Contract. It does not replace any of the requirements contained within that Contract. Please ensure all policies are read and implemented carefully.

Noncompliance

Failure to comply with the requirements of this policy may result in a cancellation, resit or retake request being rejected, or the assessment opportunity being forfeited where applicable.

Where noncompliance raises concerns regarding malpractice or maladministration the matter may be investigated in accordance with NCFE Malpractice and Maladministration Policy and JCQ suspected malpractice and maladministration policies and procedures.

Where the requirements of this policy form part of a contractual or other agreed obligation may also be managed in accordance the centre agreement or contractual arrangements

1.1. Purpose

Our policy assists us and our partners, by outlining the framework for dealing with cancellations, re-sits and re-takes. This is important in situations which could result in a detrimental effect to the apprentice and/or could potentially compromise the integrity of our standards, systems and/or processes.

1.2. Scope

This policy applies to all apprenticeship assessment products and services where an apprentice is required to cancel, resit, or retake an assessment.

It applies to apprentices, centres, assessors and relevant colleagues involved in the administration, delivery and assessment or quality assurance of apprenticeships assessment.

Where the requirements of an applicable apprenticeship assessment plan differ from the policy the requirements of the assessment plan will take precedence

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1.3. Responsibilities/duties

Partners must make sure that apprentices and staff, who are involved in the design, delivery, management, assessment and/or quality assurance of our Apprenticeship Assessment, are familiar with the contents of this policy. Staff can include site, sub-site or contractual staff.

Document owner is responsible for:

- Ensuring the policy remains accurate, current and aligned with applicable regulatory and contractual and assessment plan requirements.

Responsible manager ensures:

- The document, and any requirements outlined in the document, are followed.

Quality and Compliance team are responsible for:

- Administering, cancellation, resit and retake arrangements in accordance with this policy and the applicable apprenticeship assessment plan
- Applying the requirements of this policy consistently and fairly
- Ensuring assessment arrangements remain compliant with applicable regulatory and assessment requirements
- Supporting the review and continuous improvement of cancellation, resit and retake processes.
- identifying and escalating risks or areas of noncompliance

Apprenticeship Assessor/Independent Assessor are responsible for:

- Conducting assessments in accordance with the appliable apprenticeship assessment plan, requirements and following NCFE procedures accurately recording and reporting assessment outcomes

1.4. Definitions

Word/Acronym	Definition
AAO	Apprenticeship assessment organisation
DWP	Department for Work and Pensions
MCQ	Multiple choice question
Proficient	NCFEs internal assessment management system used to record and administer apprenticeship assessment activities, including the processing of cancellations, resits and/or retakes

1.5. Location

This policy is available on the NCFE website

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2. Process

2.1 How do I request a resit/retake for an apprentice?

Assessments that NCFE deliver

To request a re-sit or re-take for an apprentice, you must submit an assessment booking request on Proficient.

When requesting a resit/retake, you **must** consider the completion timescales as identified in *section 5.2, allowing sufficient time for the resit/retake to be booked and remain **within timescales

Your submitted assessment booking will be reviewed within three working days of receipt. Once your request has been approved, the Customer Service team will offer an assessment date to the apprentice within five working days.

** Consideration must be made to the availability of assessment dates

Assessments that the Centre deliver

Centres will not need to request a resit or retake through Proficient, once you have arranged the assessment with the apprentice, you will need to schedule the assessment on Proficient at least five days prior to the assessment taking place.

3. Definition of cancellation, resit and retake

3.1. Cancellation

3.1.1. Cancelled with notice

If a digital assessment is cancelled with at least 48 hours' notice, or a face-to-face assessment with at least five working days' notice this is recorded as a cancelled assessment and is not subject to a cancellation fee. Subsequent attempts will be subject to all resit/retake rules detailed in this policy.

3.1.2. Cancelled without notice

If a digital assessment is cancelled with less than 48hrs notice, or a face-to-face assessment is cancelled with less than five working days' notice this is recorded as cancelled without notice. Unless extenuating circumstances apply, this will be subject to a cancellation fee. Subsequent attempts will be subject to all resit/retake rules detailed in this policy.

3.1.3. Apprentice does not attend

If the apprentice does not attend the assessment, this will be recorded as a No-Show and deemed as cancelled without notice. Unless extenuating circumstances apply, this will be subject to a cancellation fee. Subsequent attempts will be subject to all resit/retake rules detailed in this policy.

The cancellation fees outlined above apply only to assessments delivered by NCFE and do not apply to assessments delivered by centres.

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3.1.4 Cancellation by NCFE

In extenuating circumstances, NCFE may have to cancel the apprentice's assessment. If NCFE do cancel an assessment, the apprentice and centre will receive a call from NCFE informing them and then also offering a new assessment date. The centre will not be charged a cancelation fee or resit/retake fee.

3.2. Resit – Apprentice does not require further learning

If an apprentice fails the first attempt in any individual assessment component, this will class as a resit unless the assessment plan requires an apprentice to undertake additional learning prior to re-taking an assessment (thus making it a retake, not a resit. Evidence of additional learning does not need to be provided for a resit.

3.3. Retake – Apprentice requires further learning

If an apprentice requires a third or subsequent attempt in any individual assessment component, this will class as a retake, and the centre **must** deliver additional learning to the apprentice before they attempt the assessment again.

For assessments that NCFE deliver, the Re-take Declaration Form must be uploaded to the apprentice's profile on Proficient prior to the assessment booking request being made.

For assessments that the centre delivers, evidence of Re-take Declaration Form must be uploaded to the apprentice's profile on Proficient when the re-attempt assessment is scheduled on Proficient.

4. Generic conditions of resit/retake policy

4.1. Does this policy apply to all standards?

The rules for resitting/retaking elements apply to all standards unless specified in the standard specific assessment plan.

4.2. Will the same Apprenticeship assessor conduct the resit/retake of an assessment?

For assessments NCFE deliver the same apprenticeship assessor may conduct the re-sit/retake unless there are extenuating circumstances.

In all cases, evidence of further learning must be evidence after two attempts have been made.

For assessments the centres deliver, it would be the centres decision.

4.3. Can a digital assessment be resat/retaken with a face-to-face assessment, or vice versa?

Yes, for assessments NCFE deliver, refer to the NCFE price list for appropriate resit/retake fees per delivery method.

For assessments the centre deliver, it would be the centres decision.

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5. Attempts and timescales

5.1. How many times can an apprentice resit/retake an assessment method?

5.1.1. Unless otherwise specified in NCFE's specification and guidance document, the maximum number of assessment attempts will be determined by the employer.

5.1.2. If an apprentice fails, the maximum number of attempts permitted per assessment method in NCFE's specification and guidance or the employer does not approve a further resit/retake, the overall result will be recorded as Fail and any remaining assessment methods will be cancelled.

5.2. What are the timescales for an assessment method resit/retake?

Unless otherwise specified in NCFE specification and guidance documents, or in exceptional circumstances:

5.2.1 The entire apprenticeship assessment including resits/retakes must be concluded within twelve months of the first assessment taking place.

5.2.2 If the apprenticeship assessment extends beyond 12 months from the first assessment date, it will be necessary to repeat the entire Apprenticeship assessment for us to confirm currency of full competency across the standard unless extenuating circumstances would apply. This would fall under the Special Consideration policy.

5.3. If an apprentice fails one part of the apprenticeship assessment, do they have to resit/retake all Apprenticeship Assessment(s)?

The apprentice only needs to resit/retake the method of assessment that they have failed.

5.4. What if the apprentice leaves their employer before the apprenticeship assessment has concluded?

The apprentice must be employed for the entire duration of the apprenticeship, including apprenticeship assessment. The only exception to this is if the apprentice has been made redundant. Refer to the DWP funding rules for further guidance.

5.5. What if the apprentice has a break during their apprenticeship?

If an apprentice has a break during their apprenticeship, and has completed at least one assessment component, the total duration including the break cannot extend beyond 12 months from the date of the first assessment taking place. If an apprentice has not sat any assessments, they will need to be suspended on Proficient and then updated once they return to programme.

5.6. If an apprentice has been awarded an overall grade of Fail, or have passed twelve months in apprenticeship assessment, can they re-attempt the entire apprenticeship assessment?

This will be reviewed on a case-by-case basis via the Special Consideration process. If approved, re-attempting their apprenticeship assessment is strictly under the following conditions:

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- The apprentice must have entered a period of additional learning before re-attempting apprenticeship assessment and be declared ready by both the employer and the centre.
- re-attempting apprenticeship assessment is subject to full cost.
- all methods of assessment must be retaken.
- where relevant, apprenticeship assessment evidence must be refreshed/re-submitted.
- all other conditions within this policy apply.

6. Grades

6.1 Are all grades available on a resit/retake?

Unless otherwise specified in the assessment plan, the results for a resit/retake are not capped at a Pass. This may or may not impact on the final overall grade, depending on the grading methodology applied by each individual standard.

6.2 Resit/retake to increase a grade from 'Pass'

Unless specified within the assessment plan, apprentices can resit/retake any elements of the apprenticeship assessment to achieve a higher grade.

7. Transferring from another AAO

Apprentices can transfer to NCFE at any stage of their programme, where appropriate, to support the successful completion of their apprenticeship. However, as each AAO develops its own apprenticeship assessment approach, grading criteria, and methods for assessing knowledge and skills across the assessment components, apprentices transferring to NCFE will normally be required to undertake NCFE's assessment approach. Where assessment criteria from a previous AAO can be successfully mapped to NCFE requirements, prior assessment activity may be considered. Any mapping exercise will be reviewed and approved by NCFE on a case-by-case basis.

If the apprentice has failed all elements of apprenticeship assessment with another AAO, they will be able to take the full apprenticeship assessment with NCFE.

8. Fees and charges

8.1. Are apprenticeship assessment resits/retakes free?

Refer to the NCFE Price List

8.2. Will fees apply for a resit/retake if there are technical issues during the administration of an assessment?

This will be reviewed on a case-by-case basis.

8.3. When will we be charged for the resit/retake?

All resit/retake fees will be included in the monthly invoice from NCFE.

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9. Initial Equality Impact Assessment

An Initial Equality Impact Assessment has been completed for this policy, and no concerns were raised.

10. References to associated documents

- NCFE price list
- DWP funding rules
- Apprenticeship Assessments Special Considerations Request Form

11. Implementation and dissemination

This policy is available for access via the NCFE website

12. Monitoring arrangements

We will review this policy annually, as a minimum, and where otherwise necessary, and may revise it in response to the findings of any review.

13. Data protection

13.1. Mandatory disclosure

It is imperative that the integrity of our assessments are maintained. We are aware that partner organisations often work with more than one Apprenticeship Assessment Organisation (AAO), and that therefore more than one AAO may be at risk when things go wrong.

Our regulators have outlined some specific conditions that we must meet to protect the integrity across the sector. This includes the requirement that where certain things are identified (such as malpractice), or certain actions taken (such as when sanctions are applied) the regulators and other relevant AAO who may be affected must be informed.

Depending on the seriousness of the matter, we may be required to declare to our regulators that we are no longer compliant due to an act or omission by partners which has put us in breach. In this event, we may have regulatory action directed against us, such as monetary penalties. In accordance with the Contract, where appropriate, we reserve the right to direct such financial penalties against partners, should they be as a result of the act or omission.

13.2. Confidentiality

We may need to access confidential information. We will ensure that such information is kept secure and only used for the purposes of the investigation and in line with relevant data protection legislation. We will not normally disclose the information to third parties unless required to do so, such as to our regulators and/or the Police or other relevant and/or Statutory Bodies.

NCFE will not keep personal data for longer than we need it. Once the retention period is over, and it is no longer justifiable to hold personal data any longer, data will be securely destroyed or anonymised.

13.3. Termination for convenience

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Our actions under this Policy and any sanctions imposed will be proportionate. Where possible, we will always try to work with partners in resolving issues. However, nothing within this policy precludes us from invoking our right under the Contract to terminate our relationship with partners.

14. Data retention

Information provided as part of a cancellation, resit, or retake requests will be securely stored by NCFE in line with our Data Retention Policy. Personal data will be retained only for as long as necessary and will be securely destroyed or anonymised when no longer required.

15. Contact information

If you have any queries relating to enquiries and appeals, please contact NCFE's EPA Quality and Compliance team in writing:

Email: epaqualityassurance@ncfe.org.uk

Post: NCFE EPA Quality and Compliance team, Q6 Quorum Park, Benton Lane, Newcastle upon Tyne, NE12 8BT

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