

Lost Portfolio Policy

(learner assessment evidence)

Abstract

This policy establishes procedures and guidelines for managing situations where physical or digital portfolios are lost or misplaced

Document Control		
Document Number:	AIQ-014	Effective from: 30-10-2024
Linked Regulatory Requirements:	GCOR: C1, G4, G9, H2	
Version Number and Date:	V1.3, 10-10-2025	Review date: 10-10-2025
Date of Next Review:	31-03-2026	Classification Level: Public/General

Approval Level: Low impact
Approved by: QI team
Date version approved: 10-10-2025

Version Number	Date	Changes
V1.3	10/10/25	Cover and contents sheet added, document control sheet updated

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1. Introduction

This policy identifies the requirements in the event of a centre, learner, or the postal system losing a learner's portfolio of assessment evidence, to mitigate the potential issues that could arise for all parties including the learner, the centre and Active IQ. Notwithstanding the information contained in this policy, centres must take all reasonable steps to ensure the safety of learners' work and portfolios, whether they are in transit or being stored on the centre's premises (hard copy or electronic), adhering to confidentiality requirements at all times. This policy is provided to assist all parties involved in the event of a learner's work being lost.

2. What to do when you first become aware that evidence is potentially lost

Before reporting lost evidence to Active IQ, centres must ensure that all possible searches for the work have been made, including contacting any third parties that could have had access to the work or file. If the file remains lost after a full and exhaustive search, the following procedure is to be followed.

3. Reporting lost evidence

For the purpose of this policy, whether the word 'portfolio', 'work' or 'file' is used, it is to mean that the learner has either completed in full their portfolio/assessments across the qualification, or that such a significant percentage of the qualification has been completed that it would be impractical to do it again.

Therefore, should a learner's evidence be lost and there is no other method of retrieval, and it would be impractical to do so, the centre must complete the attached lost portfolio notification form in full, providing all the requested details on the form, stating the learner's progression and/or achievement to date.

The centre must also provide the following additional information where applicable or available:

- photocopy evidence of theory exam marking sheet (where applicable)
- attendance registers
- copies of assessor's action/assessment plans and reviews (formative and/or summative)
- evidence of any digitally recorded assessments
- reviews /tutorial records that have indicated competence and specific learner achievements
- internal verification records specifically relating to the learner

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- witness statement from the assessor to confirm learner competence
- evidence of learner interviews completed by the internal verifier
- evidence of written feedback given from the assessor to the learner
- evidence of the portfolio being posted if the portfolio has been lost due to the postal system

Applications must be supported by applicable supplementary evidence, and always with a witness statement from the relevant assessors and internal verifier. The witness statement should provide an overview of the evidence the learner had created.

Once the lost portfolio form has been completed and signed by all parties, it should be submitted to the centre's allocated external verifier who will make a decision and judgement, providing a response accordingly. The external verifier will do this within 20 working days of receipt of the completed lost portfolio form and all supplementary information. The external verifier may wish to interview the learner and the assessor to build up a picture of the evidence the learner has produced. As a result of collecting all the above information, the external verifier will then be able to make an overall decision. Please see the step-by-step procedures for the full process.

4. Procedure

4.1. A step-by-step process of reporting a lost portfolio

Stage 1: Active IQ will acknowledge notification of the lost portfolio/s within five working days of receiving the lost portfolio form.

Stage 2: Active IQ will arrange for an appropriate member of the Quality Assurance team to review the application. (This will normally be the centre's external verifier; however, if unavailable, it will be allocated to another external verifier.)

Stage 3: Active IQ will review the application and will respond to the centre within 20 working days of receipt of the lost portfolio form.

Please note: in some cases, the review process may take longer; for example, if a centre visit is required, or additional evidence is requested. In such instances, Active IQ will contact all parties concerned to inform them of the likely revised timescale. Where a visit is required, the centre may be charged £250 as an additional visit fee (see fees list).

Stage 4: Active IQ will inform the centre of the outcome within five working days of making the decision.

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Stage 5: If a centre wishes to appeal against the decision made by Active IQ, this must be within 20 working days from the date the centre was notified by Active IQ of the decision, using Active IQ's appeals policy.

4.2. Lost portfolio form

Centre name		
Centre number		
Centre contact		
Date file lost, if known		
Date reported to Active IQ		
Name of learner(s)		
Qualification title(s) and QAN		
Learner's date of birth		
Learner's registration number		
Description of circumstances		
Additional evidence of learning to show competence (see list included in procedure above; please provide as much information as possible)		
Progress that learner(s) had made with qualification, including units completed and approximate % completed (this must be significant progress)		
Learner's signature and date		
Assessor's name, signature and date		

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Internal verifier's name, signature and date		
External verifier's comments and decision		
External verifier's name, signature and date		

5. References to associated documents

- Active IQ's role of the external verifier policy
- Active IQ's centre risk management policy
- Active IQ's appeals policy
- Active IQ's internal verification requirements for centres policy

6. Implementation and dissemination

This policy will be implemented immediately upon approval and available on Active IQ website.

7. Monitoring arrangements

We will review this policy annually as part of our self-evaluation arrangements, revising it as necessary in response to customer and learner feedback, or best practice guidance issued by the regulatory authorities.

This policy will be reviewed in six months by relevant Active IQ and NCFE colleagues to ensure document is aligned and fit for purpose following full integration of Active IQ.

8. Data retention

Active IQ 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.

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