

## DOCUMENT DETAILS

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Summary	The purpose of this document is to set out the policy and procedures for assessment and internal quality assurance at Nottingham College.

## DOCUMENT CONTROL

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## DOCUMENT APPROVAL

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<b>Approving person/body</b>	<b>Job Role (where applicable)</b>	<b>Date Approved</b>
SLT (Emma woods)	Director of Quality	03/09/2018
Lauren Waters	Director of Quality	11/09/2019

## COMMUNICATION

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## **1. INTRODUCTION**

The College recognises that effective assessment, internal quality assurance processes and meeting external Awarding/Validating organisations national standards and requirements is essential in supporting students' progress and achievement programmes and qualifications.

This policy and detailed procedures provides the framework through which robust and compliant assessment and internal quality assurance can be achieved.

## **2. SCOPE**

This policy and detailed guidelines in procedures have been produced to provide clear consistent college processes to be used in conjunction with the specific requirements of Awarding/Validating organisations for all staff involved in assessment, internal quality assurance and management of programmes at Nottingham College.

## **3. POLICY STATEMENT**

The college will work within this policy and framework to:

- Ensure that staff understand and fulfil their roles within the relevant assessment and IQA responsibilities.
- Monitor that practices and processes are adhered to in line with college and relevant Awarding/validating Organisations requirements.
- Ensure that all External Quality Assurance feedback is used by managers and staff as part of the quality improvement practices maintaining compliance and continuously improve teaching, learning and assessment for all students.

The Policy will be realised through the following:

- Programme approvals procedures in ensuring programmes internally /externally approved meet and continue to meet Awarding/Validating organisations agreements and conditions.
- Assessment procedures to be used in conjunction with Awarding/Validating standards and expectations to ensure that all assessment is planned and conducted in a fair, valid, timely and open manner to provide all students with an equal opportunity to demonstrate their learning and achievements.
- Recognition of Prior Learning procedures are in line with external funding guidelines and are in place to encourage wider participation of students from diverse educational backgrounds, and to prevent repetition of learning and experience in order to maximise student progress.
- Controlled assessment procedures are to ensure a systematic and consistent approach to the management of controlled assessment within the centre and that assessment is carried out in accordance with JCQ instructions and individual Awarding/Validating Organisations specifications.
- Academic Conduct procedures defines maladministration and malpractice and is in place to ensure that the College creates an ethos of honesty and authenticity and that the qualifications which students achieve are a fair and accurate representation of their knowledge and skills and understanding.



- Appeals processes to allow students an opportunity to appeal against any assessment decision where they feel that the assessment procedures have not been properly conducted or where they believe that the decision is unfair.
- Internal Quality Assurance procedures to be used in conjunction with Awarding/Validating organisations requirements to ensure that Lead IV/IQA and IV/IQA's duties and responsibilities are fulfilled to monitor assessment practice is consistent across the College, and that all outcomes and criteria for a programme are met within the assessment process and authorise claims for certification (if applicable).
- Employer involvement procedures are to ensure that there is clear and accurate plans and tracking for employer involvement for Technical Qualifications and that the activities undertake with Employers are 'meaningful' for individual students.
- End Point assessment processes is specific to Apprenticeship standards to ensure that end point assessment processes are consistent across the College and standards set down by Institute for Apprenticeships (IFA) are met.

#### **4. COLLEGE POLICIES AND CONNECTIONS**

The following Nottingham College policies and guidance are relevant in line with this Policy:

Quality Strategy

Code of Conduct

Continuing Professional development Policy

Data Protection Policy

Data Retention and disposal Policy

Disciplinary procedure

Equality Diversity and Inclusion Policy

Exams Policy

Examinations and Assessments Disability Policy

Management of Controlled Assessment Policy

NEA (Non -Examination Assessment) Policy

The College has adopted a differentiated approach to internal moderation of Higher Education Provision. HE courses are required to follow the processes and procedures as defined by the validating HEI for FdA and Degrees and Pearson for HNC and HND qualifications. Please refer to the HE Course Development, Academic Irregularities, APL, and Assessment Policies.

## APPENDIX1 1: INTERNAL PROGRAMME APPROVALS

The process of internal programme approval (IPA) is a requirement for all new qualifications, Apprenticeship standards and study programmes that Faculties/Industries wish to offer and no examination entries/registrations will be made without internal approval/external approval if required.

The procedure also applies to qualifications where there have been significant change to delivery from the original programme approval in line with AO's centre agreements /conditions. (e.g. change of location, delivery staff (please complete centre update forms with leavers/new starters) significant changes to teaching and learning models.

### Outside of the College's Curriculum planning cycle

The programme proposer must complete an Internal Programme Approval Submission Form (IPA1) and ensure that authorisation has been obtained from the relevant Head of Faculty/Operations.

Heads of Faculty	Responsible for agreeing that the programme fits into the College curriculum plan and granting approval outside of the curriculum planning cycle
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The Student Data & Funding Manager and Assessment & Exams Manager will undertake the internal programme approval process as a desk-based process. The Panel: Quality Nominee will review within 5 working days of the IPA submission and consider final viability and approval.

The Internal Programme Approval Panel comprises:

Quality Nominee	Responsible for agreeing the proposal and for managing and monitoring the procedure.
Student Data and Funding Manager	Responsible for checking the validity of programme submitted and its financial viability.
Exams Manager	Responsible for confirming the accuracy of exams related expenditure.

### During the College's Curriculum planning cycle

The programme proposer must complete an Internal Programme Approval Fast track Form (IPA2) and ensure that authorisation has been obtained from the relevant Head of Faculty/Operations.

Heads of Faculty	Responsible for agreeing that the programme fits into the College curriculum plan and granting approval outside of the curriculum planning cycle
Principal of Curriculum and Learning Executive Director of Curriculum Vice Principal of PAE	Responsible for agreeing that the programme fits into the College curriculum plan and granting final approval during Curriculum Planning cycle.
Quality Nominee	Responsible for agreeing the proposal and for managing and monitoring the procedure.



The Quality Nominee will review within 3 working days of the IPA2 submission to ensure that all the AO approval requirements are in place to gain external approval.

The IPA electronic form should be emailed to [programme.approvals@nottinghamcollege.ac.uk](mailto:programme.approvals@nottinghamcollege.ac.uk). Please note paper copies or incomplete forms will not be accepted.

Once a course/programme receives internal approval, it is the responsibility of the programme proposer to complete all relevant external paperwork (e.g. specifications, up-to-date CV's) and forward to the Quality team at [programme.approvals@nottinghamcollege.ac.uk](mailto:programme.approvals@nottinghamcollege.ac.uk), who will ensure that awarding organisation (AO) procedures are followed. Programme proposers should be aware that AOs will return external approval paperwork to the College where it does not have the authorised College signature of the quality nominee.

Increasingly AOs offer on-line external programme approval. Where this is available, the Awarding Organisation Coordinator or Senior Administrator will apply online for external approval from the AO. If postal submissions are required, the Awarding Organisation Coordinator will forward the paperwork to the relevant AO. For tracking and monitoring purposes programme proposers need to ensure that the Awarding Organisation Coordinator receives copies of all correspondence from the AO. Where a programme has been approved and the Faculty decides not to offer it, the programme proposer must inform the Awarding Organisation Coordinator/ Senior Administrator who will amend College records.

All programme approval communications should be directed to:  
[programme.approvals@nottinghamcollege.ac.uk](mailto:programme.approvals@nottinghamcollege.ac.uk)

## APPENDIX 2: EXTERNAL SUBMISSIONS AND APPROVALS

All new programmes and new qualifications are required to be internally approved **prior** to external validation, introduction and delivery. This procedure applies to all programmes and includes both on and off-campus provision.

The programme proposer must ensure that all documentation is completed in-line with the individual AO guidelines and procedures. Once the documentation is complete the programme proposer is responsible for submitting electronically the AO documentation to [programme.approvals@nottinghamcollege.ac.uk](mailto:programme.approvals@nottinghamcollege.ac.uk).

The senior administrator (Improvement and Awarding Organisations) will then ensure that the documentation is logged and passed to the Quality Nominee for authorised signature. Documentation should only be sent to an AO with the authorisation of the Quality Nominee. Programme proposers should be aware that AOs would return external paperwork to the College where it does not have the signature from the Head of Centre or Quality Nominee (as instructed by the AO).

Once written approval has been received from the relevant AO it will be forwarded to the Faculty Area Manager/Apprenticeship Manager from programme approvals email.

If an Awarding Organisation sends the external approval letter directly to a curriculum area it is the responsibility of the Faculty Area Manager/Apprenticeship Manager to forward a copy immediately to [programme.approvals@nottinghamcollege.ac.uk](mailto:programme.approvals@nottinghamcollege.ac.uk) for the Centre records.

The senior administrator (Improvement and Awarding Organisations) will inform the appropriate Manger of the outcome of the external programme approval. The Faculty Area Manager/Apprenticeship Manager will be responsible for ensuring that the programme is delivered according to the conditions stipulated by the AO, ensuring that assessment and Internal Quality Assurance standards are met and informing the Awarding Organisation Coordinator of the date for re-approval and registration.

Notification should also be given if the programme remains dormant after approval has been granted.

**Programmes should not be offered without first gaining approval through the relevant internal approval process.**

Please contact [programme.approvals@nottinghamcollege.ac.uk](mailto:programme.approvals@nottinghamcollege.ac.uk) for any internal approval programme queries.

### **Meeting Local Needs for BTEC Programmes**

Through Meeting Local Needs (MLN), it may be possible to request additional delivery units from other qualifications. This is through an application submission. The Proposer should:

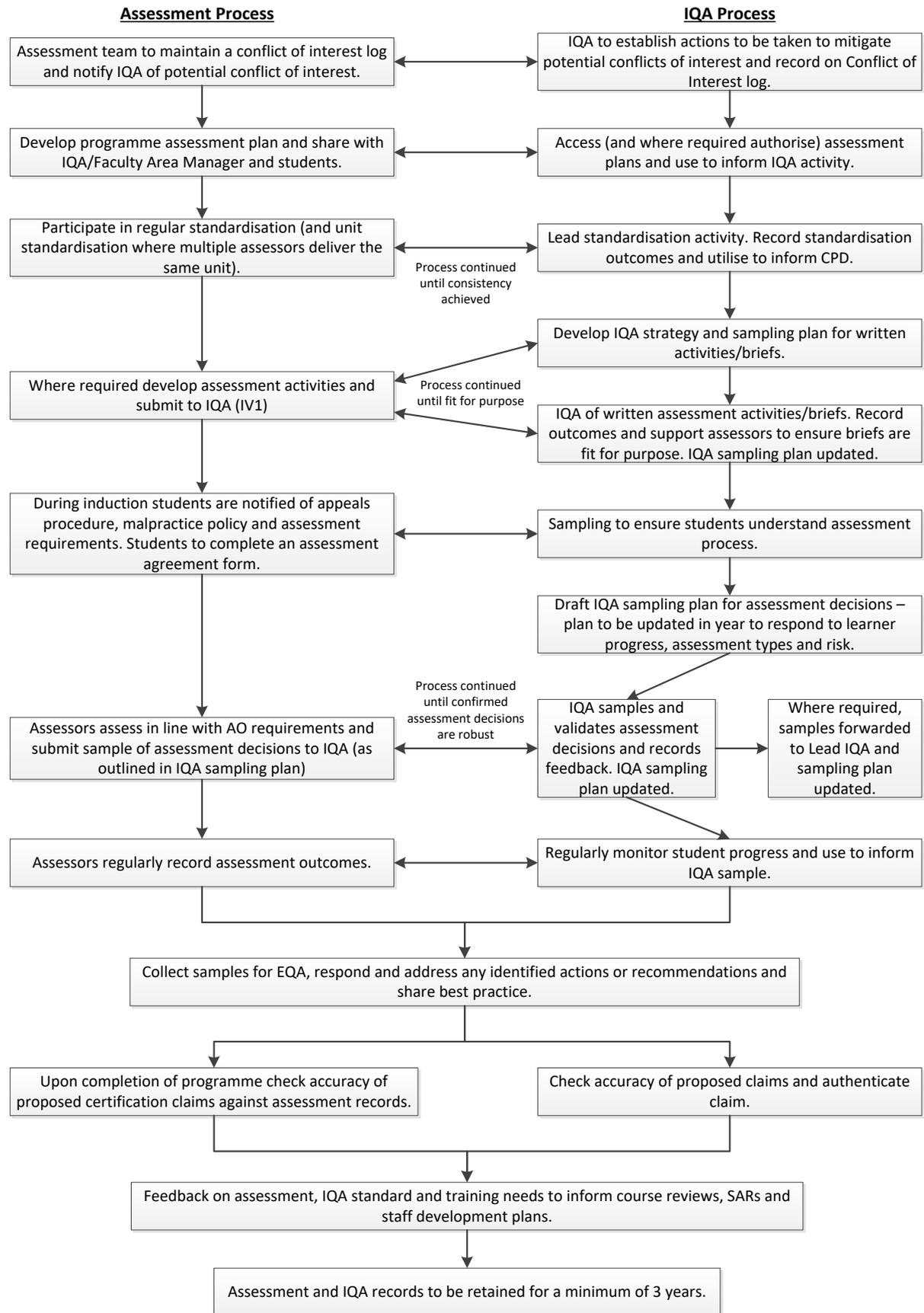
- Ensure that Rules of Combination are met;
- Request the application form from the Awarding Organisation Coordinator;
- Return the completed form by the 7 December to ensure approval and certification within that academic year.

### Apprenticeship Standards

- Some apprenticeship standard regulated occupations also require the provider to be approved by a regulatory body before being able to deliver training for an apprenticeship. Also from October 2019 new standards must have an EPAO in principle in place before public funding can be accessed for new apprentices and start to deliver on the programmes.



### APPENDIX 3: THE ASSESSMENT AND IQA PROCESS





## APPENDIX 4: ASSESSMENT PROCEDURE

### Purpose and Objectives

#### 1. Purpose

The College is committed to continuously improving the quality of teaching, learning and assessment for all students. This assessment procedure will ensure that assessment is planned and conducted in a fair, valid, timely and open manner to provide all students with an equal opportunity to demonstrate their learning and achievements. The assessment experience is an integral part of the student journey and enables both the student and tutor to identify and measure individual learning progress and achievements. All planning and recording of assessment activity must be completed in accordance with requirements of the Awarding Organisation (AO).

The Assessment Policy applies to all aspects of assessment including:

##### 1.1. Initial and diagnostic process

All students will complete a period of Initial assessment identifying an individual's learning and support needs and to determine the students starting point for each programme/component. Followed by an appropriate diagnostic to identify their skills gaps.

The diagnostic tool used is the Skills Forward Assessment: <http://www.skillsforward.co.uk> which, for initial assessment, is used across college, without exception, for all full-time students, apprentices and those on substantive part time provision (150 hours or more. A diagnostic assessment and analysis is to be completed during the first 3 weeks during the induction phase of the programme as stated in the tutorial framework and Induction standards.

Personal tutors must ensure that that the data from initial assessment is used to ensure the student is on the right programme and level and inform the planning of Teaching, Learning and Assessment (TLA), utilised to inform target grade setting and added to student/group profiles and eILPs.

##### 1.2 Formative assessment

This is aimed at helping students and assessors to understand and improve their individual learning progress. Formative Assessment should recognise the positive achievements and areas for development of each student, and the outcomes of formative assessment should be utilised to inform future learning, target setting and assessment activity in order to keep students on trajectory and maximise individual progress. Formal formative assessment dates should be recorded on an assessment schedule and distributed to students during induction.



This will occur at the most appropriate time in the academic year for each particular qualification and will enable the tutor/assessor and student to know how the quality of the student's work relates to the national standards required by external AOs. Summative assessment issue and submission dates should be recorded on an assessment schedule and distributed to students during induction.

### 1.2. Resubmission

Some qualifications may permit students to resubmit their work, in order to fully achieve the assessment criteria, or in some instances improve their grade. Assessors should refer to the qualification and AO guidance to identify the specific rules and guidance surrounding resubmissions. Where students are permitted to resubmit/retake work, they should be informed of the rules relating to resubmissions/retakes during their induction, in addition resubmission/retake dates should be included within the assessment schedule.

### 1.3. Retakes

Some qualifications offer students the opportunity to retake an assessment. When students are offered a retake assessment, this is usually an opportunity for students to undertake a *different* assessment activity in order to achieve the assessment criteria. Assessors should refer to the qualification and AOs guidance to identify the specific rules and guidance surrounding retakes. Where students are permitted to retake their assessment they should be informed of the rules relating to retakes during their induction and, where known, dates for retakes should be included within the assessment schedule.

## 2. Responsibilities

Responsibility for implementing this procedure lies with all colleagues involved in curriculum delivery, student support and assessment.

**Assessors and Course Leaders are responsible for ensuring that:**

- 2.1. Both formative and summative assessments are central to the planning of teaching and learning, and are embedded within the [Scheme of Work](#).
- 2.2. Students are registered with the AO prior to undertaking any summative assessment, and registered for externally set assessments or examinations within a timely manner via the College examinations team.
- 2.3. All colleagues that are delivering, assessing or internal quality assuring on the programme are utilising the **current specification** and have a sound understanding of the AO's *current* requirements.
- 2.4. Students have access to a range of assessment methods and materials on a regular basis which are clear, fair, timely, at the correct level and meet a student's individual needs and also those of the AO.



- 2.5. All assessors participate in regular standardisation activity, as required by the AO to ensure that all colleagues are aware of current requirements, qualification's rules of combination and developments in national standards.
- 2.6. Students are given the opportunity to accredit prior learning or experience where appropriate (See Recognition of Prior Learning Procedure).
- 2.7. During Induction each student is provided with an assessment schedule, informed of the assessment requirements and processes for the course and signs an **Assessment Agreement form**.
- 2.8. During Induction in the first week, students are made aware of the College's expectations of the submission of coursework, the assessment procedure, Academic Conduct (plagiarism) and Appeals Procedure against unfair assessment, and that this information is accessible to the student via the **StudentNet**, along with the respective student versions. **Turnitin** is the college's platform for students to submit assignments online through the interact system and promoted to students and used by staff to check similarity reports and to mark online. Apprentices use e-portfolio platforms for students to submit evidence and assessments online, the platforms should be used by all staff involved in the student journey to provide assessment feedback.
- 2.9. Each student is aware of their responsibility in the collection and presentation of evidence as outlined in the student's course handbook.
  - 2.10. Students are encouraged to participate in the assessment process and engage in self and peer assessment activity.
  - 2.11. Where students complete competency based assessment, their performance is observed in the workplace and/or in simulated situations and that the assessment of performance by observation is unobtrusive.
  - 2.12. Students have access to assessment which takes account of their particular circumstances (access to fair assessment) e.g. providing appropriate materials for sight impaired students, extending methods and/or timings to reflect any physical or learning disability. Where appropriate, arrangements should be made with the AO to ensure equal access. Where appropriate, specialist student support colleagues are consulted to determine the nature and extent of support required, and any special provisions that are needed to ensure access to fair assessment.
  - 2.13. Where required liaise with the Additional Learning Support and Exams team to submit fair access applications, and make arrangements to fulfil what has been agreed within the fair access application.
  - 2.14. Where formal assessment activities are internally produced, these are Internally Quality Assured (IQA'd) and any associated actions completed, prior to being distributed to the students.

- 2.15.** The assessment schedule is reviewed at the start of each module/unit, and where required by the AO, an assessment plan is agreed and recorded with each student. The assessment schedule should include dates of formal formative assessment activity, specific summative assessment issue and submission dates and where the qualification permits, resubmission and retake dates. In addition, submission dates should be carefully planned to ensure that they are appropriately 'staggered' to support students in meeting their deadlines.
- 2.16.** Assessment documentation which is utilised for each cohort of students is presented in a consistent format (e.g. the assessment brief, feedback form, and assessment schedule). All assessors and IQAs should utilise the AO's assessment documentation and only utilise the [College templates](#) where this documentation is not provided. Localised documentation should not be developed unless required by the AO.
- 2.17.** Each assessment activity is accompanied by an assessment brief that includes details of:
- Module and outcomes to be assessed.
  - Grading criteria to be applied and assessed.
  - Method of assessment.
  - Issue and submission date.
  - Guidance to support assessment which is clear, appropriate and accessible to all students and utilises language and complexity that is appropriate for the level of student.
  - Any relevant health and safety warnings and advice.
- 2.18.** Assessment schedules, assessment tracking documentation, and assessed student work is available to IQAs upon request.
- 2.19.** Students sign a student declaration as part of the submission procedure, to ensure assessment is confirmed as being authentic and identified as the student's own.
- 2.20.** Grading criteria is well defined, clear, appropriate, and is used by, and accessible to, all in order to encourage high levels of achievement.
- 2.21.** Assessment is demonstrably valid and reliable, and assesses only that which is intended to be assessed, differentiating between students for grading purposes utilising key criteria only in order to meet national standards set by the AO (under no circumstances should grades of late submissions be capped, unless expected by the AO).
- 2.22.** Feedback on assignments/assessments is against clearly pre stated criteria/syllabus which is readily available to the student and clearly justifies how assessment decisions have been made. The outcome should be recorded in an appropriate way and informative



and constructive feedback should be given to the student within **three weeks of the submission**, unless the qualification requires work to be externally quality assured prior to being returned to the student.

- 2.23. Where the AO requires work to be IQA'd prior to being returned to the student, the assessor must ensure that the required sample of student work is assessed, marked and forwarded to the IQA or Lead Internal Quality Assurer (LIQA) within two weeks of the assessment submission date.
- 2.24. Marking includes constructive annotation throughout the student work and clearly references where the criteria have been met.
- 2.25. Opportunities to assess and develop English and maths skills are included within assessment activities.
- 2.26. Where incorrect spelling and grammar is identified within an assessment, student work is appropriately annotated and corrected using the College English marking codes, and students are provided with feedback to develop their literacy skills (even where this is not an expectation from the AO).
- 2.27. Assessment is conducted by appropriately qualified assessors as required by the individual AO. Assessors for work-based provision should also hold or be working towards the assessor award 'Assessing Occupational Competence in the Work Environment' or D32 and D33 or A1.
- 2.28. Where the AO permits, assessors not holding the appropriate qualifications must have their assessment decisions checked and countersigned by a qualified assessor whilst working towards their qualifications.
- 2.29. New assessors are supported by the IQA through standardisation meetings, and increased sampling activity in line with the AO requirements.
- 2.30. Student assessment outcomes are frequently and accurately recorded and made accessible to subject tutors, personal tutors, and IQAs. Progress information should be utilised to inform negotiated target grade setting, IQA sampling and certification claims.
- 2.31. Where the student has not completed the full qualification, and where the AO permits, students are accredited for completed individual units.
- 2.32. They comply with AO and Joint Council for Qualifications (JCQ) published guidelines and testing requirements.
- 2.33. Assessment records are retained in a secure location that meets JCQ requirements for a minimum of three years.
- 2.34. Submitted and unmarked work is stored securely in JCQ compliant storage.
- 2.35. Marked student work is retained in line with the AO and [JCQ](#) requirements.



2.36. A **Conflict of Interest log** is maintained, and that the IQA/LIQA and Faculty Area/Apprenticeship Manager is informed where there is a potential conflict of interest e.g. a close relation, spouse or partner who is a student, or colleague acting as an IQA or External Quality Assurer (EQA).

2.37. The Conflict of Interest record is made available upon request.

**3. Faculty Area/ Apprenticeship Managers are responsible for monitoring the implementation of this through:**

- 3.1. Ensuring that their team have an explicit assessment and marking procedure available to the students via the studentnet. Alternative formats are made available on request to ensure all students have access to the information. This must specify details on setting, marking and returning student work and adhering to specified timelines.
- 3.2. Supporting assessors and IQAs through the staff development process where training needs are identified and, where appropriate, where performance continues to require improvement.
- 3.3. Monitoring assessment tracking documentation to ensure that students are provided with feedback within the specified timeframe.
- 3.4. Monitoring that students understand how they will be assessed, the appeals process, what constitutes as malpractice and have completed an assessment agreement form.
- 3.5. Monitoring IQA and assessment tracking documentation to ensure that rules of combination have been met and that IQA is timely and robust.
- 3.6. Ensuring staff have suitable storage for marked and submitted assessments that comply with AO and JCQ requirements.
- 3.7. Sampling the quality of assessment and IQA documentation.
- 3.8. Sampling the quality of standardisation exercises/meetings records.
- 3.9. Sampling and monitoring the quality of assessment feedback.
- 3.10. Sampling the [Student Interact](#) to ensure assessment schedules are accessible to students.
- 3.11. Monitoring the Conflict of Interest log, taking appropriate action to prevent potential conflicts of interest and taking action in accordance with the academic conduct procedure where malpractice is suspected or identified.
- 3.12. Reviewing EQA report outcomes and supporting teams in redressing any identified actions or recommendations.
- 3.13. Notifying the Awarding Organisations Coordinator /Senior Administrator Awarding Organisations of action taken to respond to any actions/recommendations identified within EQA reports. This may also be reviewed and validated by the Internal Assurance and Standards Manager.



**3.14.** Monitoring the implementation of this procedure through formal and developmental lesson observations, TLA reviews, learning walks and student voice.

**4. The Quality Nominee is responsible for:**

- 4.1.** Supporting the quality of assessment offered to students and other stakeholders.
- 4.2.** Ensuring a commitment to continuous improvement and the drive for excellence.
- 4.3.** Supporting assessors, IQAs and Faculty Area Managers to redress identified areas for development and take action to improve the quality of assessment.
- 4.4.** Disseminating information from the AOs and keeping colleagues up to date on current and likely developments in terms of assessment.
  - 4.5.** Investigating and providing support to teams to resolve identified issues.
- 4.6.** Collaborating with the Partnerships provision to ensure compliance with AO requirements and Centre Agreements.

## APPENDIX 5: RECOGNITION OF PRIOR LEARNING

### 1. Purpose

- 1.1. The College is committed to improving the quality of teaching, learning and assessment for all students. The purpose of this procedure is to encourage wider participation of students from diverse educational backgrounds, and to prevent repetition of learning and experience in order to maximise student progress.

### 2. Recognition of Prior Learning (RPL)

- 2.1. RPL is about using a student's evidence of earlier learning, experience and achievement towards part of a qualification/apprenticeship standard. An assessor reviews whether the evidence is enough to show that a learner has met the assessment /learning outcomes, competencies/standards for a current qualification/in readiness for end point assessment. The student needs to show that through knowledge, understanding or skills they already have, they do not need to repeat the learning/internal assessment or complete extra assessment activity.

- 2.2. OFQUAL statement qualifying the use of RPL by explaining:

*'recognition of prior learning' is the – identification by an awarding organisation of any learning undertaken, and/or attainment, by a Learner – prior to that Learner taking a qualification which the awarding organisation makes available or proposes to make available, and which is relevant to the knowledge, skills and understanding which will be assessed as part of that qualification, and recognition by an awarding organisation of that learning and/or attainment through amendment to the requirements which a Learner must have satisfied before the Learner will be assessed or that qualification will be awarded'.*

### 3. When to use RPL

RPL is not normally used to provide evidence against achievement for an entire qualification. This would be called an exemption, and is usually used where a student must gain a specified qualification for a particular purpose (for example, as an entry requirement for further study, employment or registration).

- 3.1. Where an individual has evidence of having previously learnt something but **has not received formal recognition for it through a qualification or other form of certification**. Evidence can draw on any aspect of a candidate's prior experience including domestic / family life, education and training, work activities, community or voluntary activities. The



RPL process does **not** however extend to the recognition of any unit or qualification assessed by external assessment only. This is because such units are subject to specific evidence requirements.

- 3.2.** Where a student **has received formal recognition for their learning** through a qualification or certification and in which case the assessor should compare the assessment criteria for the two qualifications to ensure full coverage and agree RPL mapping with the AO and EQA.

## Responsibilities

### 4. Assessors and Course Leaders are responsible for:

- 4.1. Advising students of fees, evidence requirements, grading criteria, and any limits on the amount of credit that can be awarded.
- 4.2. Ensuring all RPL is appropriately documented in line with AO's requirements and made available to students, academic and administrative colleagues and external assessors using the AO's documentation or the College's documentation where this is not available.
- 4.3. If further evidence is required in addition to the applicant's initial submission, informing the student as soon as possible regarding the particular evidence required, or options which are available to the student.
- 4.4. Assessing RPL evidence and determining whether it is sufficient, valid, authentic, current, relevant, and matches the level of learning required.
- 4.5. Mapping achievement of RPL, identifying learning not evidenced and arranging additional learning and assessment where appropriate.
- 4.6. Grading RPL evidence where relevant.
- 4.7. Arranging IQA/moderation/standardisation and external quality assurance of the RPL evidence in accordance with the AO requirements.
- 4.8. Retaining RPL evidence, assessment records and IQA documentation in line with AO and JCQ requirements and for a minimum of three years.
- 4.9. Retaining records of the units/modules that have been successfully accredited against student records, and recording the outcome of the AO communicated to the student.
- 4.10. Where the application for RPL fails, ensuring that the student is informed and that the student completes all units/modules required to achieve the full qualification.
- 4.11. Informing students of the College Appeals Process, (and following this the AO appeals procedure) in the event that a student wishes to appeal.

### 5. Internal Quality Assurer (IQA)/ Lead Internal Quality Assurer (LIQA) is responsible for:



- 5.1. Conducting IQA on RPL in the same manner as traditional evidence.
- 5.2. Ensuring that the RPL claim has been appropriately documented on the AO documentation or College template where this is not available.
- 5.3. Malpractice checks when undertaking IQA.
- 5.4. Using robust IQA and audited record keeping.
- 5.5. Auditing student records, assessment tracking records and certification claims.
- 5.6. Ensuring that AO and national standards are maintained.
- 5.7. Ensuring RPL evidence is retained in storage that complies with AO and JCQ requirements.

**6. Faculty Area/Apprenticeship Managers are responsible for:**

- 6.1. Countersigning and recording RPL applications and outcomes.
- 6.2. Supporting colleagues to confirm whether RPL application is appropriate, valid, authentic, current, relevant, and sufficient for the current qualification.
- 6.3. Ensuring that all students are aware of the RPL procedure during admissions and course advice and guidance.
- 6.4. Ensuring that the College RPL procedure is implemented.
- 6.5. Supporting colleagues to ensure that they are able to meet the requirements of the procedure.
- 6.6. Monitoring RPL applications to ensure that the criteria for RPL remain objective and are being fairly and consistently applied to all applicants across the Faculty.
- 6.7. Monitoring the achievement, success rate, and progress of students admitted with RPL to determine the suitability of particular qualifications for the granting of credit exemption.
- 6.8. Monitoring that RPL evidence is retained in storage that complies with AO and JCQ requirements.

**7. The Quality Nominee is responsible for:**

- 7.1. Disseminating information from the AO and keeping colleagues up to date on the current and likely developments in terms of assessment.
- 7.2. Informing colleagues about the College procedures for dealing with RPL.

## Procedures

### 8. Assessment of RPL Evidence

**8.1.** Evidence obtained through RPL must meet the same rigorous quality criteria that other assessment methods must conform to. Assessors and IQAs must ensure that evidence is:

**Valid:** Evidence genuinely demonstrates that the demands of the learning outcome and criteria, knowledge, skill or behaviour have been met and currency of evidence has been considered e.g. whether evidence meets up-to-date demands/standards or is representative of practice that may have changed significantly.

**Current** If the currency of any evidence is in doubt, the assessor may use questions to check understanding, and ask for the demonstration of skills to check competence. Care should also be taken to ensure that the assessment strategy for each qualification is adhered to.

**Authentic:** It must be clear that evidence being examined is genuinely the work of the individual student.

**Sufficient:** There must be sufficient evidence to fully meet the requirements of the learning outcome(s) and assessment criteria from the relevant qualification specification. If there is insufficient evidence to fully meet requirements, then evidence obtained through RPL must be complemented by evidence gained through other suitable assessment method(s) before requirements can be said to have been met.

**Reliable:** The evidence obtained through RPL should be such that an assessor would arrive at the same assessment decision, were the assessment to be repeated.

### 9. Outcomes of RPL

**9.1.** If individuals can produce relevant evidence that meets learning outcome requirements then recognition can be given for their existing knowledge, understanding or skills.

**9.2.** If an individual can meet all the learning outcomes and assessment criteria in a unit, then they can claim credit for that unit solely on the basis of their RPL achievement. If however, evidence from RPL is only sufficient to cover one or more learning outcomes, or to partly meet the need of a learning outcome, then additional assessment methods should be employed to generate the sufficient evidence required to make a safe assessment decision.

### 10. Funding for RPL



**10.1.** The ESFA (19/20) states that *if a student has prior learning that has been previously accredited by an AO or that could be formally recognised and count towards a qualification. If this is the case you must:*

- *reduce the amount of funding claimed for the learning aim by the percentage of learning and assessment that the student does not need*
- *follow the policies and procedures set by the AO for the delivery and assessment of the qualification*

**10.2** There are no limits on the length of time of either prior learning or previously certificated learning. However, where the individual's learning and/or achievement occurs outside of five years, you must assess whether the learning is still valid and relevant.

**10.3.** Recognition of prior learning must not be used to reduce funding for English and maths qualifications up to and including Level 2. For further information see paragraph 72 in the adult education budget funding and performance- management rules 2019-20.

**10.4.** If a student does an AS-level qualification followed by an A-level then the amount of funding for the A-level must be reduced and recorded in the 'Funding adjustment for prior learning' field in the ILR.

Further information can be accessed by the Education Skills Funding Agency link which can be accessed [here](#).

**10.5.** Recognition of prior learning and experience for apprenticeship programmes:

*Funds must not be used to pay for training for skills, knowledge and behaviours already attained by the apprentice see paragraph 58 in the ESFA apprenticeship funding rules for main providers 2019-2020.*

*You must account for prior learning and experience when negotiating a price with the employer. You must reduce the content, duration and price, where the individual has prior learning necessary to achieve occupational competence, see paragraph 59.*

*Where you account for prior learning and experience and the reduction of content would mean the apprenticeship would take less than the minimum duration to complete (practical period of training lasts for a minimum duration of 12 months), or fail to meet the requirement for the apprentice to spend 20% of their time in off-the-job training the apprenticeship is ineligible for funding. See paragraph 60.*

*You must assess the individual's prior learning and experience before starting the apprenticeship. You must quantify and evidence the proportion of prior learning already attained, quantify the proportion of off-the-job training content that will not be covered, and quantify the amount that the funding will be reduced by. See paragraph 61.*

*You must include a thorough appraisal of the apprentice's existing knowledge, skills and behaviours against those required to achieve occupational competence. Where*



*applicable, you must include in your appraisal any knowledge, skills and behaviours gained from the following:*

- *work experience, particularly where the apprentice is an existing employee;*
- *prior education or training and associated qualifications in a related sector subject area; and*
- *any previous apprenticeship undertaken*

*The initial assessment must be documented in the evidence pack and must demonstrate how prior learning has been taken into account to adjust the training content, duration and cost. See paragraph 62.*

Further information can be accessed by the Education Skills Funding Agency link which can be accessed [here](#).

## **APPENDIX 6: CONTROLLED ASSESSMENT**

### **1. Purpose**

- 1.1.** The purpose of this procedure is to ensure a systematic and consistent approach to the management of controlled assessment within the centre and that assessment is carried out in accordance with JCQ instructions and individual AO specifications.
- 1.2.** Controlled Assessment is a form of internal assessment where the control levels are set for each stage of the assessment process. There are three stages to Controlled Assessment; task setting, task taking and task marking, and each stage has a level of control (high, medium or low) to ensure reliability and authenticity and to make assessments more manageable for tutors and students. Where AO have their own published procedures, these will take precedence over the College procedures.

### **Responsibilities**

#### **2. Assessors and Course Leaders are responsible for:**

- 2.1.** Understanding and complying with the general guidelines contained in the JCQ publication ['Instructions for conducting controlled assessments'](#).
- 2.2.** Understanding and complying with the AO specification for conducting controlled assessments, including any subject specific instructions, tutor guidance or additional information on the AO's website or programme specification.
- 2.3.** Supplying details of all unit codes for controlled assessments to the exams department.
- 2.4.** Checking that all students have been appropriately registered for the qualification/controlled assessment.
- 2.5.** Obtaining confidential materials/tasks set by AOs through the exam office in sufficient time to prepare for the assessments(s) and ensure that such materials are stored securely at all times.
- 2.6.** Ensuring appropriate fair access arrangements have been made in line with the AO's guidance.
- 2.7.** Supervising assessments at the specified level of control. Undertaking the tasks required under the regulations, only permitting assistance to students in accordance with the specification.
- 2.8.** Ensuring that students and supervising teachers sign authentication forms on completion of an assessment.
- 2.9.** Marking internally assessed components using the mark schemes provided by the AO.



- 2.10. Submitting marks through the exams office to the AO when required, keeping a record of the marks awarded.
- 2.11. Retaining candidates' work securely in line with AO and JCQ requirements\_ (e.g. prior to marking, prior to submission to exams, between assessment decisions if more than one assessment is being completed within the series of assessments)
- 2.12. Retaining candidates' work post-completion, securely in line with AO and JCQ requirements until the closing date for enquiries about results.
- 2.13. Ensuring that coursework and any examination pre-release material are delivered to the examination team by the specified deadline.
- 2.14. In the event that an enquiry is submitted, retaining candidates' work securely in JCQ and AO compliant storage until the outcome of the enquiry and any subsequent appeal has been conveyed to the Centre.
- 2.15. Working in collaboration with Learning Support and Exams departments for any assistance required for the administration and management of access arrangements. The exams department should be notified of any fair access arrangements by 20th September 2017 (or for short courses within three weeks of the student registration date).
- 2.16. Complying with the internal appeals procedure in the event of a student appeal.
- 2.17. Where appropriate, developing new assessment tasks or contextualising sample AO assessment tasks to meet local circumstances in line with AO specifications and control requirements.
- 2.18. Ensuring that assessment tasks which have been developed or contextualised have been IQA'd to ensure that they remain in line with AO specification and national standards.
- 2.19. Ensuring that all assessment decisions have been IQA'd in line with the AO requirements.
- 2.20. Undertaking any standardisation activity or familiarisation activities where appropriate, as advised by the AO.

**3. Internal Quality Assurers (IQAs) are responsible for:**

- 3.1. Undertaking malpractice checks when undertaking IQA of controlled assessments.
- 3.2. Using robust IQA and record keeping.
- 3.3. Auditing student records, assessment tracking records and certification claims.
- 3.4. Ensuring that AO and national standards are maintained.
- 3.5. Ensuring students' work (both marked and unmarked) is retained in storage that is compliant with JCQ and AO requirements.



**4. Faculty Area Managers are responsible for:**

- 4.1. Ensuring that all colleagues involved in the controlled assessment have a calendar of events.
- 4.2. Ensuring that an appropriate proportion of the overall assessment (controlled and/or external assessment) is taken in the controlled assessment series in which the qualification is certificated to satisfy the terminal assessment requirement in accordance with the AO specification.
- 4.3. Coordinating the standardisation and IQA of all tutors' internal assessment decisions.
- 4.4. Ensuring that all tutors understand their responsibilities with regards to controlled assessment.
- 4.5. Ensuring that all tutors understand the JCQ requirements and the requirements of the AO's specifications and are familiar with the relevant guidance, and any other subject specific instructions.
- 4.6. Operating in line with internal appeals procedure in the event of a student appeal.
- 4.7. Overseeing the safe and secure conduct of controlled assessments.
- 4.8. Ensuring assessments comply with JCQ guidelines and AO's subject specific instructions.
- 4.9. Ensuring that staff have storage that is compliant with JCQ and AO requirements and ensuring that staff use this to store student work securely where required.
- 4.10. Working in collaboration with the tutors at the start of the academic year to schedule controlled assessments. It is advisable that controlled assessments be spread throughout the academic year.
- 4.11. Mapping overall resource management requirements for the year.
- 4.12. Carefully planning the timing or operation of controlled assessments.
- 4.13. Monitoring that appropriate specialised exam arrangements are made to ensure fair access for all students and deal with arising issues.
- 4.14. Ensuring appropriate resources and facilities are supplied and dealing with arising issues (e.g. rooms, IT networks or timetabling) including specialised exam arrangements to ensure fair access for all students.
- 4.15. Retaining a set of current controlled assessments for teaching colleagues to view in a secure environment.
- 4.16. On the few occasions where controlled assessment cannot be conducted in the classroom, arranging suitable accommodation where controlled assessment can be carried out.



4.17. Ensuring the quality of provision and services offered to students and other stakeholders.

**5. The Exams Department are responsible for:**

- 5.1. Adhering to the AO and regulator's guidelines.
- 5.2. Entering students for individual units, whether assessed by controlled assessment, external assessment, external exam or onscreen test, before the deadline for final entries.
- 5.3. Liaising with tutors and Faculty Area Managers to ensure that entries/registrations/access arrangements are accurate.
- 5.4. Entering students' 'cash in' codes for the terminal exam series.
- 5.5. Where confidential materials are directly received by the exams office, to be responsible for receipt, storage and safe transmission to teaching colleagues and Faculty Area Managers, whether by soft or hard copy format within specified timeframes.
- 5.6. Downloading and distributing mark sheets for tutors to use, and collecting and sending mark sheets to AOs before deadlines.
- 5.7. Forwarding any fair access applications to the relevant AOs by the specified dates.
- 5.8. Maintaining confidentiality of material for Access Arrangements or Special Consideration and retaining appropriate evidence for audit and inspection purposes.
- 5.9. Where required, issuing timetables for examination series.
- 5.10. Ensuring controlled assessment accommodation complies with AO and regulatory requirements.
- 5.11. Ensuring that student work (marked and unmarked) is transported and stored in line with JCQ and AO requirements.
- 5.12. Issuing statements of entry for students.
- 5.13. Notifying the Additional Support Manager of any fair access applications, and providing details of the qualification, location, duration, and student details by 30<sup>th</sup> September 2017. For short courses, any fair access applications should be made within three weeks of student registration.
- 5.14. Collecting, collating and issuing results.

**6. The Exams and Assessment Manager is responsible for:**

- 6.1. Ensuring that the College adheres to all regulations and guidance.
- 6.2. Ensuring that fair access applications are in line with JCQ requirements.



- 6.3. Applying for special consideration for any student who encounters a personal or physical problem immediately prior to or on the day of their examination which may have an adverse effect on their performance. (Appropriate documentary evidence must be presented to the Examination team within 7 days of the assessment sitting).

**7. The ALS Specialist Tutors are responsible for:**

- 7.1. Completing any fair access application forms in line with the AO's protocols.
- 7.2. Forwarding any fair access applications to the Exams team at least 7 days prior to the assessment sitting.
- 7.3. Supporting the student as agreed within the fair access application.
- 7.4. Advising Faculty Area Managers and Tutors of student support needs (including rooming).
- 7.5. Advising Faculty Area Managers, Tutors and Course Leaders of JCQ requirements where required.

**8. The Quality Nominee is responsible for:**

- 8.1. Supporting the quality of provision and services offered to students and other stakeholders.
- 8.2. Ensuring a commitment to improvement and a drive for excellence.
- 8.3. Supporting the actions to improve the quality of assessment.
- 8.4. Disseminating information from AOs and keeping colleagues up to date on current and likely developments in terms of controlled assessment.



## APPENDIX 7: ACADEMIC CONDUCT

### 1. Purpose

- 1.1. The College is committed to creating an ethos of honesty and authenticity and has an obligation to AOs, students, employers and other stakeholders to ensure that the qualifications which students achieve are a fair and accurate representation of their knowledge and skills and understanding. The College is committed to the detection of maladministration and malpractice and in taking appropriate measures when it is detected as outlined in this procedure.
- 1.2. It should be noted that many AOs will have their own maladministration/malpractice/plagiarism policies and that these policies must be followed in conjunction with the College procedures.
- 1.3. This procedure applies only to internal investigations. It does not deal with external enquiries for which the AOs or Franchise Partner will have their own procedures, although when required, the College will advise students on how to make an appeal to the appropriate AO.
- 1.4. This procedure applies to malpractice in all aspects of assessment activity as outlined in the Assessment procedures and covers a range of infringements within the assessment process as outlined below. Malpractice and maladministration can be conducted by a range of College and Community Members and can be defined as the following

#### 1.5. Definitions

**Malpractice** is defined by any an act or an instance of improper practice and includes maladministration. Malpractice is any activity, practice or omission which is either wilfully negligent or deliberately contravenes regulations and requirements and compromises one or more of the following:

- Internal or external assessment process
- Integrity of a qualification
- Validity of a result or certificates

**Maladministration** is defined by any activity, practice or omission which results in center or learner non-compliance with administrative regulations and requirements.

### 2. Malpractice by students

- 2.1. Student malpractice is not tolerated by the College and could affect the student's ability to achieve their qualification. Where malpractice is suspected or confirmed the Faculty Area / Apprenticeship Manager and Quality Nominee must be notified immediately. The Quality Nominee will report all suspected or confirmed malpractice to the AO or relevant Regulatory Body in line with the AO or Regulatory Body's guidance and timeframe. Student malpractice can be defined as;



- **Plagiarism** of any nature (e.g. to take and use as your own the thoughts, inventions, images and writings of someone else, to pass off the work of someone else as your own, or to copy improperly or presenting information from research/sources without acknowledging sources).
- **Cheating** (e.g. communicating or copying from another candidate during an examination, taking written, printed or electrical materials into an examination unless permitted or gaining access to unauthorised material prior to or during an examination).
- **Ghosting** (e.g. buying assessments, use of essay banks and essay writing services, or work produced by another person which the student submits as their own).
- **Collusion** by working collaboratively with other students to produce work that is submitted as individual student work. Where a student copies work from another student either with or without their knowledge this will also be viewed as academic misconduct and any student that has knowingly allowed their work to be copied shall also be subject to the same procedure.
- **Copying** including the use of ICT to 'copy and paste' or copying from another student.
- **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/test.
- **Inclusion of inappropriate, offensive or obscene material in assessment tasks.**
- **Inappropriate behaviour during assessment/examination** or acting in a disruptive manner during an assessment activity.
- **Completing assessments where there is a known conflict of interest.** A conflict of interest is where an individual or organisation has competing interests or loyalties e.g. a student that is taught and assessed by a relative. Where a conflict of interest arises, the student (and where appropriate the relevant colleague) should inform their tutor (or Faculty Area Manager in the instance where the conflict of interest is with the tutor) of the nature of the conflict. The IQA and Faculty Area Manager will complete the 'Conflict of Interest log' and agree actions that must be taken to negate any conflicts of interest. Failure to follow agreed action will be deemed as malpractice.



### 3. Malpractice by Colleagues

- **Failure to comply with the conditions agreed as part of the qualification approval process or as outlined in the Centre Agreement Form.**
- **Improper assistance to candidates.**
- **Inventing or changing marks for internally assessed work** (coursework or portfolio evidence) where there is insufficient evidence of the candidate's achievement to justify the marks given or assessment decisions made.
- **Failure to keep candidate coursework/portfolios of evidence secure.**
- **Failure to keep 'controlled assessment' activities and records secure.**
- **Obtaining unauthorised access to assessment/examination documentation prior to assessment.**
- **Failure to comply with assessment/examination procedures and guidelines.**
- **Inappropriate retention of certificates.**
- **Over assisting students** in the production of work for assessment, where the support has the potential to influence the outcomes of assessment, for example where the assistance involves centre colleagues producing work for the student.
- **Producing falsified witness statements**, for example for evidence the student has not generated.
- **Allowing evidence, which is known by the colleague not to be the student's own, to be included in a student's assignment/task/ portfolio/coursework.**
- **Facilitating and allowing impersonation.**
- **Misusing the conditions for special student requirements**, for example where students are permitted support, such as an amanuensis, this is permissible up to the point where the support has the potential to influence the outcome of the assessment.
- **Falsifying records/certificates**, for example by alteration, substitution or by fraud.
- **Fraudulent certificate claims** including claiming for a certificate prior to the student completing all the requirements of assessment or prior to being authenticated by the IQA.
- **Failure to comply with the terms of ethical approval for a research project**, or failure to seek further approval if required.
- **Failure to notify the Faculty Area / Apprenticeship Manager and IQA/LIQA of any potential conflicts of interests**, failure to record the potential conflict of interest on the potential Conflict of Interest log, and failure to take appropriate action to mitigate the conflict of interest. Potential conflicts of interest could be a close relation, spouse or partner who is a



student or colleague, or it could be a close relation, spouse or partner that is acting as an EQA.

- Intentional colleague malpractice is deemed as gross misconduct and will be dealt with under the Corporation's Staff Disciplinary Process. Where colleague malpractice is suspected or confirmed the Quality Nominee must be notified immediately. The Quality Nominee will report all suspected or confirmed malpractice to the AO or relevant Regulatory Body and undertake further investigations where required.

### **Responsibilities**

Responsibility for implementing this procedure lies with all colleagues involved in curriculum delivery, student support and assessment.

#### **4. Assessors and Course Leaders are responsible for:**

- 4.1.** Instilling an ethos of fairness and authenticity among students.
- 4.2.** Designing assessment opportunities which limit the opportunity for malpractice e.g. differentiated assessment activities or modifying assessments annually.
- 4.3.** Checking the validity of the student's work and signing a confirmation to confirm that the evidence is the student's own work, and where appropriate confirm the level of supervision or support/guidance which was provided to the student.
- 4.4.** Ensuring students sign declarations to authenticate their work and do not assess or submit student work externally until student declarations have been signed.
- 4.5.** Complete the minor/major academic misconduct form and forward to the Faculty Area / Apprenticeship Manager.
- 4.6.** Providing general as opposed to prescriptive advice according to AO requirements.
- 4.7.** Providing opportunities to complete elements of assessment under the assessor's supervision (where appropriate).
- 4.8.** Revising assignment briefs for different cohorts of students.
- 4.9.** Ensuring all students Level 3 and above submit course work through Turnitin.
- 4.10.** Retaining records, evidence and documentation relating to suspected academic misconduct.
- 4.11.** Maintaining student confidentiality throughout investigation of academic misconduct.
- 4.12.** Informing the Faculty Area / Apprenticeship Manager and Quality Nominee of any suspected academic misconduct.
- 4.13.** Informing students of the unethical nature of plagiarism.



- 4.14. Ensuring students are aware of what constitutes as malpractice and the Academic Conduct procedure.
- 4.15. Consistently follow the Academic Conduct procedure to take action against academic misconduct.
- 4.16. Providing students with the skills to reference their work appropriately for the level of qualification. Students on programmes at levels 3 and above should be provided with the knowledge and skills to cite and reference according to the Harvard referencing system.
- 4.17. Ensuring student work is appropriately referenced in line with **Harvard referencing system** at levels 3 and above.
- 4.18. Operating in line with AO or franchise partnership requirements.
- 4.19. Operating in line with the Data Protection & Copyright Act when using Turnitin.
- 4.20. Being familiar with copyright law within their curriculum area (e.g. Guidelines issued by the Association of Photographers).
- 4.21. Maintaining an up to date Conflict of Interest log, which details any potential conflicts of interest within the programme team.
- 4.22. Where academic misconduct is only suspected, conducting alternative assessment activity or investigation to confirm whether academic misconduct has occurred (e.g. by conducting a viva to validate that the work is the student's own).
- 4.23. Inform the Faculty Area/ Apprenticeship Manager where a panel is required to undertake a 'Formal Review', where the student does not agree that academic misconduct has occurred.

**5. Internal Quality Assurer/ Lead Internal Quality Assurer (LIQA) are responsible for:**

- 5.1. Malpractice checks when undertaking IQA activity.
- 5.2. Using robust internal quality assurance and audited record keeping.
- 5.3. Auditing student records, assessment tracking records and certification claims. Supporting investigations of malpractice where required.
- 5.4. Reporting suspected malpractice to the Faculty Area / Apprenticeship Manager and Quality Nominee.
- 5.5. Ensuring that colleagues and students are aware of what constitutes as malpractice and maladministration, and the Academic Conduct procedure.
- 5.6. Maintaining an up to date [Conflict of Interest log](#), which details any potential conflict of interest, and take appropriate action to ensure that no conflicts of interest exist.



- 5.7. Where academic misconduct is only suspected, and where required, supporting the assessor in conducting alternative assessment activity or investigation, to confirm whether academic misconduct has occurred (e.g. by conducting a viva to validate that the work is the student's own).
- 5.8. Ensuring evidence related to academic misconduct (suspected or confirmed) is appropriately stored in line with AO and JCQ requirements.

**6. Faculty Area / Apprenticeship Managers are responsible for:**

(A more senior member colleague will replace the Faculty Area / Apprenticeship Manager if he/she is the person responsible for an assessment, which is in dispute or is linked to the Academic Misconduct)

- 6.1. Investigating persistent or major allegations of malpractice.
- 6.2. Notifying the Quality Nominee and ensuring evidence associated to the suspected/confirmed malpractice is made available.
- 6.3. Ensuring that their team have an explicit assessment and marking procedure available to the students via StudentNet. Alternative formats will be made available on request to ensure all students have access to the information. This must specify details on setting, marking and returning student work and adhering to specified timelines.
- 6.4. Retaining records of academic misconduct.
- 6.5. Ensuring appropriate disciplinary action is taken in line with the Academic Conduct procedure, the Student College Disciplinary Policy and Staff Disciplinary Process.
- 6.6. Supporting the assessor and IQA/LIQA in acting in accordance with the Academic Conduct and AO guidance.
- 6.7. Monitoring the implementation of this procedure through mechanisms such as formal and developmental lesson observations, learning walks sampling of assessment documentation, standardisation exercises/meetings.
- 6.8. Maintaining an up to date Conflict of Interest log and taking action where appropriate to ensure that no conflicts of interest exist.
- 6.9. Where academic misconduct is only suspected, support assessors and Internal Quality Assurers in conducting alternative assessment activity or investigation to confirm whether academic misconduct has occurred (e.g. by conducting a viva to validate that the work is the student's own).
- 6.10. Where required, convening an Academic Misconduct Panel within 5 working days of being notified by the assessor.
- 6.11. Where required, informing the student verbally and in writing of decisions made by the Academic Misconduct panel.



- 6.12. Ensuring evidence related to academic misconduct (suspected or confirmed) is retained in AO and JCQ compliant storage.

## 7. Heads of Faculty are responsible for:

Convening the interview as outlined in the Student Disciplinary Process and deciding subsequent actions and outcomes as a result of identified malpractice.

## 8. Quality Nominee is responsible for:

- 8.1. Disseminating information from the AOs and keeping colleagues up to date on current and likely developments in terms of assessment and academic irregularities.
- 8.2. Informing all colleagues about the College and AO Assessment and Appeals Procedures and the procedures for dealing with academic misconduct.
- 8.3. Reporting acts of colleague and student malpractice to AO in line with the AO's requirements.
- 8.4. Investigating persistent or major allegations of malpractice.
- 8.5. Supporting teams to redress identified actions to improve the quality of assessment.
- 8.6. Participating in the review panel where major academic misconduct has been identified.
- 8.7. Where reports are received, producing timely reports on appeals and their outcomes to the Senior Leadership Team.

## 9. Procedure for Dealing with Student Academic Misconduct

When academic misconduct is suspected or identified the assessor concerned should complete the **Minor Academic Misconduct Report Form** and discuss the matter with the student sharing any evidence that is available (e.g. the original source of material or results from Turnitin). The assessor should ensure that the declaration of authenticity of the assessment in question has been signed to confirm the work as the student's own. During the discussion, the student should explain the reason for the academic misconduct.

- 9.1. **Minor Misconduct** - In this instance the academic misconduct is a minor case such as failure to acknowledge sources and/or mistakes in referencing on their first piece of assessed work. If during the discussion with the student the malpractice is;



- **Confirmed** – the student should be allowed to correct their work (where permitted by the AO but under no circumstances is this permissible in the case of higher education courses, unless it is the student's first submission and it is identified that the student requires further support to reference their work appropriately). The tutor should ensure that the student is provided with a support system to enable them to develop the knowledge and skills to reference appropriately. The assessor should issue a Cause for Concern and Stage 1 of the **Student Disciplinary Process** invoked, where malpractice is confirmed. A copy of the Minor Academic Misconduct Report Form should be forwarded to the Faculty Area / Apprenticeship Manager, Quality Nominee and IQA for information purposes within 3 working days and a copy of the form should be retained for 3 years within the IQA file. Where required by the AO, the Quality Nominee will take appropriate action to notify the AO of the academic misconduct.
  - **Not confirmed** – Where the academic misconduct remains to be only suspected, the assessor and IQA should undertake additional assessment (e.g. a viva to confirm student understanding), or investigation to determine whether an academic misconduct has occurred. (E.g. discussion with other sources, use of Turnitin, questioning the student regarding the content of the assessment). Where IQA and assessor investigations remain inconclusive, the assessor should notify the Faculty Area / Apprenticeship Manager that a Formal Review of the evidence is required and the Faculty Area / Apprenticeship Manager will convene an Academic Misconduct panel.
  - **Persistent minor malpractice** - If the student continues to engage in minor misconduct, then this would escalate through the stages of the Student Disciplinary Process (if permitted by the AO).
- 9.2 Major Misconduct** - In major cases such as deliberate plagiarism with little or no attempt to acknowledge sources or reference correctly, cheating, copying other students' work, wholesale cutting and pasting of articles from web pages or intimidating other students for access to their work, the assessor should immediately bring the situation to the attention of the Faculty Area / Apprenticeship Manager through forwarding a copy of the **Major Academic Misconduct Report Form** and in turn the Faculty Area / Apprenticeship Manager will immediately notify the Head of Faculty and Quality Nominee. The Quality Nominee will take



appropriate action to inform the AO of the suspected or identified Academic Misconduct where required. If during the discussion with the student the malpractice is;

- **Confirmed** - the student will immediately proceed to Stage 3 of the Student Disciplinary Process without going through stages 1 and 2. As part of the investigations, as outlined in Stage 3 of the Student Disciplinary Policy, the Investigating Officer (normally the Faculty Area Manager) will convene an Academic Misconduct Panel to formally review the evidence. The student will be informed of the panel decision during the Formal Disciplinary Interview as part of the Student Disciplinary Process, and agreed actions will be in accordance with the Awarding Organisation's requirements and Student Disciplinary Policy and could potentially result in exclusion from the College. Where a student is not permanently excluded following stage 3 of the Student Disciplinary Process, the Record of Outcome will be completed outlining that under no circumstances can the student commit a further academic misconduct and this record will be placed on the student file.
- **Not confirmed** - Where the academic misconduct remains to be only suspected, the assessor and IQA should undertake additional assessment (e.g. a viva to confirm student understanding) or investigation to determine whether an academic misconduct has occurred (e.g. discussion with other sources, use of Turnitin, questioning the student regarding the content of the assessment). Following collation of the evidence, the Faculty Area /Apprenticeship Manager will convene an Academic Misconduct panel who will determine whether misconduct has occurred and where malpractice is confirmed the process above will be followed.
- **Persistent major malpractice** – Failure to comply with the agreed conditions following stage 3 of the Student Disciplinary process will result in immediate permanent exclusion until an agreed date at least after the end of the current academic year as decided by the Head of Faculty.

## 10. Formal Review

- 10.1. Upon request the Faculty Area / Apprenticeship Manager or Investigating Officer (in the instances of major misconduct) will convene an Academic Misconduct Panel consisting of at least three people within 5 working days. Where required by the AO, the Quality



Nominee will take appropriate action to notify the AO of the Academic Misconduct and the actions that the College is taking to investigate the matter. The Panel will comprise of the Faculty Area /Apprenticeship Manager, Quality Nominee and another panel member (in instances of Major Misconduct this may be the Investigating Officer where different from the Faculty Area/ Apprenticeship Manager. NB: a more senior member of staff should replace the Faculty Area / Apprenticeship Manager if he/she is the person responsible for an assessment which is in dispute.

**10.2.** The Panel will meet to review the evidence available, consider whether further evidence is required and act accordingly. Information to be considered in the review will include the assessment evidence, Turnitin evidence (where appropriate), the assessor/invigator testimony, IQA evidence and any other evidence relating to the academic misconduct. The information should be provided to the parties prior to the Panel meeting. The student has the right to appear and make their case, calling witnesses if appropriate. The student can be accompanied by a friend, an Achievement Coach or a member of their family. The assessor will also be invited to attend for the purposes of presenting or clarifying evidence. Where required by the AO, the Quality Nominee will liaise with the AO to report findings, and where malpractice has been confirmed agree appropriate actions and notify the panel of AO requirements as soon as is practicable.

**10.3.** The Panel must reach a decision within 5 working days of the panel meeting (and prior to the Formal Disciplinary Interview in the instances of major malpractice) and decide whether;

- An academic misconduct has occurred.
- There is no evidence to substantiate that academic misconduct has occurred.
- Further investigation of the academic misconduct is required.

In addition, dependent on the severity of the malpractice, the Panel may also recommend that;

- The existing assessment should be amended by the student.
- An additional assessment is set and assessed in accordance with AO grading restrictions.
- A short test under exam conditions is set.



- The Faculty Area / Apprenticeship Manager (or Investigating Officer in the instance of major academic misconduct) should complete the Academic Misconduct Panel Record to outline the Panel's decision.
- In the instance of **minor academic misconduct**, the Faculty Area /Apprenticeship Manager will inform the student of the outcome both verbally and in writing within 5 working days.
- In the instance of **major academic misconduct**, the Faculty Area / Apprenticeship Manager should forward this to the Head of Faculty in preparation for the Formal Disciplinary Interview. The student will be informed of the decisions taken and the required actions during their Formal Disciplinary Interview as part of the Student Disciplinary Process.

### **11. Malpractice records**

All records should be completed and retained on the IQA file in storage that complies with AO and JCQ requirements for a minimum of 3 years and made available to the External Quality Assurer. A copy should also be sent to the Quality Nominee. In addition the decision of the Panel is subject only to External Quality Assurance.

### **12. Student's Right of Appeal**

The student has a right to appeal in accordance with the College's and AO's Appeals Procedure. Please note that where the appeal is linked to the Student Disciplinary Process, the Student Disciplinary Policy's Appeals Process should be followed. Where the AO has been involved in the actions taken following an identified misconduct, the AO's appeal procedure should be followed.

## APPENDIX 8: APPEALS

### 1. Purpose

- 1.1. When students are assessed, they should be given clear guidance on assessment criteria and provided with comprehensive feedback, which is clearly linked to those criteria. It is the policy of the College to allow students an opportunity to appeal against any assessment decision where they feel that the assessment procedures have not been properly conducted or where they believe that the decision is unfair, and students should be made aware of the appeals process during their induction. All efforts should be made to resolve issues using the Informal Procedure outlined below in Stage 1, in order to avoid the Formal Procedure in Stage 2. This procedure only applies to internal assessments. Where assessments are set and assessed externally the College has no power to reconsider assessment decisions, but it can advise students how to make an appeal to the appropriate Awarding Organisation.
- 1.2. A student has the right to appeal against an assessment decision where the student believes that:
  - There has been an irregularity in the conduct or grading of the assessment
  - There has been an administrative error in the recording of the grade
  - Discrimination or unfair practice has occurred
  - Their level of achievement was affected by illness or other mitigating circumstances

### Procedures

#### 2. Informal Stage 1

- 2.1. Any student wishing to dispute an assessment decision should bring the matter to the attention of the assessor as quickly as possible or within 5 working days of the receipt of the decision. The assessor and the student should discuss the matter and the assessor should explain the rationale for the grading decision and the assessor and student should complete the **Internal assessment appeals form** and upon completion a copy of the form should be sent to the IQA.
- 2.2. If an agreement between the student and assessor is not reached after this discussion, the assessor should bring the situation to the attention of the Faculty Area/ Apprenticeship Manager through submitting an Internal Appeal form and the Faculty Area/ Apprenticeship Manager should arrange for the work in dispute to be independently reassessed within 5 working days, and outcomes of the reassessment should be recorded on an additional feedback form. The assessment and the additional



feedback form should be returned to the assessor, and a copy of the additional feedback form should also be forwarded to the IQA.

**2.3.** The assessor should meet with the student within 10 working days of the original dispute to discuss the outcomes of the reassessment, and present the feedback from the second assessor. In consultation with the student, a decision may be made to:

- Accept the original assessment decision
- Modify the assessment decision
- Re-assess the student, practically or verbally

**2.4.** Having followed the above process, if the student believes that there are still grounds for appeal then the assessor should be informed in writing through completing section 5 of an Internal assessment appeals form and the formal procedure in Stage 2 should be invoked within 5 days of receiving feedback from the subject tutor and second assessor.

### **3. Formal Stage 2**

**3.1.** If the student remains unhappy with the assessment decision they should notify the assessor that they wish to proceed to formal Stage 2 through completing section 5 of the Internal assessment appeals form which may be submitted to either the assessor or Faculty Area/ Apprenticeship Manager. Where this is received by the assessor this should be forwarded to the Faculty Area/ Apprenticeship Manager at the earliest possible convenience. Within 5 working days the Faculty Area / Apprenticeship Manager will convene an appeals panel that will normally comprise of the Faculty Area / Apprenticeship Manager the Quality Nominee, and an independent IQA. (NB a more senior colleague should replace the Faculty Area/Apprenticeship Manager if it is their assessment decision which is in dispute).

### **4. Appeals Panel**

**4.1.** The Faculty Area /Apprenticeship Manager will collate the information in preparation for the appeals panel. Information to be considered in the review should include the assessment evidence, the Internal assessment appeals form, the evidence from the second assessor, IQA evidence, and any other evidence deemed appropriate.

**4.2.** When all required information has been collated, the Panel will convene to consider the case. The information should be provided to the panel members prior to the meeting and no additional documentation will be accepted subsequently. The student has the right to appear and make their case, calling witnesses if appropriate, although only reasons for appeal that have been disclosed in the 'Internal Assessment Candidate Appeal form' will be reviewed by the appeal panel. The student can be accompanied by a friend, a Learner Achievement Coach or a member of their family. The assessor will also be invited to attend for the purposes of presenting or clarifying evidence. The assessor and student will be informed of the date, time and location of the panel meeting, and of their rights at least 3 days prior to the panel meeting.



## **5. Panel Recommendations**

**5.1.** The Panel must reach a decision within 15 working days of the notice of the appeal, and will inform the student both verbally and in writing, within 7 days of the panel meeting. The panel will decide on one of the following outcomes:

- There are no grounds for proceeding with the appeal, and the original assessment decision stands.
- The appeal is upheld. The student work is assessed under conditions determined by the Panel, and where appropriate, programme assessment decisions adjusted to reflect panel outcomes.

**5.2.** The decision of the Panel is subject only to External Quality Assurance. The student will also be notified of their right to appeal to the Awarding Organisation, and thereafter the Regulator if desired.

## **6. Review and Evaluation**

**6.1.** Records of the appeal and Panel decision will be logged and retained by the Quality Nominee. In addition, the Quality Nominee will monitor the operation of this procedure and report on appeals and their outcomes to the Senior Leadership Team.

## **7. Records**

**7.1.** The Internal Assessment Candidate Appeal Form should be retained within the IQA file and made available to the External Quality Assurer if the student work is sampled. A copy of the Internal Assessment Candidate Appeal Form should also be sent to the relevant Faculty Area/ Apprenticeship Manager and the Quality Nominee.

## **APPENDIX 9: INTERNAL QUALITY ASSURANCE (IQA)**

### **1. Purpose**

- 1.1.** The purpose of this procedure is to ensure that assessment practice is consistent across the College, and that all outcomes and criteria for a programme are met within the assessment process. The procedures are designed to ensure that the standards set down by AOs and Ofqual are at least met and potentially exceeded.
- 1.2.** Internal Quality Assurance (IQA) (often referred to as Internal Verification (IV) is the process of monitoring assessment practice in order to ensure that assessment decisions meet national standards. It provides a continuous check on the consistency, quality, timeliness and fairness of marking, grading and overall assessment of students' work, ensuring that valid assessment decisions are reached for all students and that external requirements are fully met. IQA is also a mechanism to support academic colleagues in their assessment activities by affording them the opportunity to receive critically supportive comment on the assessment decisions reached.
- 1.3.** The IQA procedures outlines the processes that should be implemented by each Faculty Area and local strategies/rationales should also be in place for each qualification to support the implementation of these procedures and meet AO guidelines.
- 1.4.** In addition to the IQA procedure IQAs, colleagues and managers are required to comply with the following external requirements and also the AO's quality assurance handbook and terms and conditions.

### **Responsibilities**

All colleagues have a responsibility to give full and active support for the procedure.

### **2. The Assessor is responsible for:**

- 2.1.** Being familiar with and complying with the IQA strategy/rationale.
- 2.2.** Designing assessment activities which meet the assessment requirements and rules of combination of the AO.
- 2.3.** Ensuring assignment tasks and briefs are IQA'd and appropriate actions readdressed and signed off prior to being distributed to students.
- 2.4.** Making accurate and up to date assessment schedules, assessment tracking and marked student work available to the IQA upon request.
- 2.5.** Ensuring an appropriate sample of assessed work has been IQA'd.



- 2.6. For qualifications which require work to be IQA'd prior to being returned to the student, ensuring that the selected sample of assessed work is forwarded to the IQA within one week of the assessment submission date.
- 2.7. Ensuring that any remedial actions identified in the IQA's feedback are followed up, acted upon and signed off by the IQA within one week (or before the assignment brief is distributed to the students), and that students receive their feedback within three weeks of the assessment submission date.
- 2.8. Utilising outcomes of IQA and EQA to inform future assessment practice.
- 2.9. Where required by the AO, seeking authorisation from the IQA/LIQA before permitting a student to resubmit or in exceptional circumstances retake an assessment.
- 2.10. Maintaining an up to date **Conflict of Interest log**, notifying the IQA/LIQA and Faculty Area / Apprenticeship Manager of any potential conflicts of interest, and taking appropriate action to mitigate the conflict of interest. Potential conflicts of interest could be a close relation, spouse or partner who is a student or colleague, or it could be a close relation, spouse or partner that is acting as an EQA.

### 3. The Course Leader is responsible for:

- 3.1. Ensuring that all colleagues are utilising ***current specifications*** and assessment requirements.
- 3.2. Ensuring that there are sufficient and suitably qualified IQAs and assessors.
- 3.3. Ensuring rigorous IQA frameworks are in place to meet the requirements outlined in this procedure and meet AO and national standards.
- 3.4. Ensuring that all schemes and assessment plans are internally approved.
- 3.5. Where required, ensuring that the AO is notified of any changes that have occurred since qualification approval was provided (e.g. changes to assessors, IQAs, or assessment location).
- 3.6. Ensuring that an accurate and up to date IQA file is maintained and retained in JCQ compliant storage.

### 4. The Internal Quality Assurer (IQA) is responsible for:

- 4.1. Writing an IQA strategy/rationale to explain variances in IQA sampling activity, management of risk, retention of records, how assessors are monitored, developed and supported and this strategy must meet AO requirements.
- 4.2. Ensuring that work is IQA'd and returned to the assessor within one week.



- 4.3. Ensuring that subject tutors use the correct programme specifications and assessment requirements relevant to their AOs.
- 4.4. The management of “risk” to ensure that when certification is claimed that it reliably meets National Standards.
- 4.5. Ensuring that the assessment and IQA team have participated in team standardisation activity at the start of the academic year and prior to assessment activity.
- 4.6. Facilitating regular IQA meetings that are evidenced by clear agendas and minutes.
- 4.7. Advising and supporting assessors on interpretation of National Standards and ensuring that assessors clearly understand what evidence is required to meet the assessment criteria.
- 4.8. Ensuring new assessors and IQAs have a sound understanding of the AO’s and **JCQ’s requirements**. This may be through direct training or through allocation of a mentor.
- 4.9. Producing and implementing an IQA plan in line with AO requirements.
- 4.10. Ensuring that any associated actions are redressed and signed off in a timely manner to ensure that students receive their feedback within three weeks of the assessment submission date or prior to the assessment activity/brief being issued.
- 4.11. Conducting sampling across all assessors, locations, grades, all assessment methods (including observation of practice against competence based/work based assessors qualifications) all types of evidence (including assessment plans, reviews and records in addition to student evidence), and all submission types (including initial submission, resubmission and retakes).
- 4.12. Recording and providing constructive feedback to the assessor about the quality of the assessment process.
- 4.13. Ensuring standardised assessment documentation is utilised. The AO’s documentation should be utilised and the **College’s documentation** should only be utilised where this is not available.
- 4.14. Recording IQA decisions on AO documentation where available and the College **IQA documentation** where this is unavailable.
- 4.15. Authenticating any claims for certification and completing the **certification authentication form**.
- 4.16. Ensuring that they are appropriately qualified or trained to meet AO requirements, or where permitted by the AO that unqualified IQAs have IQA decisions countersigned by a qualified IQA. (IQAs for work based provision are required to hold an appropriate quality assurance award e.g. V1/D34/IQA award and have the requisite knowledge and understanding of the occupational area).



- 4.17. Ensuring records of assessment and IQA are accurate, up to date, auditable and retained in a safe secure or electronic environment that complies with JCQ and AO requirements for a minimum of three years.
- 4.18. Ensuring IQA is timely, and that assessment materials are validated prior to issue to the students, and that assessment decisions are IQA'd soon after assessment and before assessment decisions are finalised and certification requested.
- 4.19. Ensuring IQA is carried out continuously throughout the year, and includes both interim and summative sampling.
- 4.20. Monitoring and maintaining an up to date Conflicts of Interest log, and taking appropriate action where required to ensure that no conflicts of interest exist.
- 4.21. Supporting assessors with queries related to reasonable adjustments and fair access applications.
- 4.22. Liaising with EQAs to arrange external sampling.
- 4.23. Ensuring that any actions or recommendations identified by the EQA are addressed and any staff development needs are rectified.
- 4.24. Ensuring copies of the report are sent to the Senior Administrator Awarding Organisations.
- 4.25. Where required, participate in the appeals procedure.
- 4.26. Retaining an electronic Internal Quality Assurance file that is made accessible online. Details of what the Internal Quality Assurance File should include can be accessed [here](#).

## **5. Lead Internal Verifier**

- 5.1. Some Faculty Areas may also appoint Lead Internal Quality Assurers (LIQAs) where provision is noted to be of a substantial size or of significant risk. Where LIQAs are appointed, specific responsibilities should be agreed with the Faculty Area/ Apprenticeship Manager and agreed responsibilities must be written within the LIQA rationale/strategy.

Pearson have a specific Lead Internal Verifier (LIV) quality assurance mechanism, and roles and responsibilities for LIVs can be accessed [here](#).

## **6. Faculty Area / Apprenticeship Managers are responsible for:**

- 6.1. Ensuring that every programme has a robust Internal Quality Assurance Framework and strategy/rationale in place and that IQA activity is in line with the AO requirements.



- 6.2. Ensuring that they have sufficient trained/qualified colleagues to undertake the responsibilities of internal quality assurance.
- 6.3. Ensuring that IQAs and assessors have participated in standardisation activity at the start of the academic year and prior to undertaking assessment activity.
- 6.4. Monitoring and maintaining an up to date Conflicts of Interest log, and taking appropriate action where required to ensure that no conflicts of interest exist.
- 6.5. Appointing appropriately qualified or experienced IQAs/LIQAs which meet the requirements of the AO or qualification.
- 6.6. Ensuring that IQA/LIQA is carried out continuously throughout the year.
- 6.7. Establishing processes and mechanisms to support assessors and IQAs/LIQAs with implementing changes required by Awarding Bodies.
- 6.8. Supporting IQAs to ensure that identified actions and staff development needs are appropriately redressed.
- 6.9. Supporting LIQAs/IQAs and assessors to resolve disputes relating to identified actions.
- 6.10. Monitoring the EQA reports and ensuring that the action points and developmental recommendations are carried out within curriculum areas and notifying the Quality Nominee of action taken.
- 6.11. Where significant actions have been identified, working in collaboration with the Quality Nominee.
- 6.12. Providing storage that is compliant with JCQ and AO requirements.
- 6.13. Monitoring that IQA records are stored appropriately in line with JCQ and AO requirements.

**7. Heads of Faculty are responsible for:**

- 7.1. Monitoring the effectiveness of the internal quality assurance arrangements within their Faculty/ Industry through feedback from EQA visits, IQA audits and reporting.

**8. Quality Nominee is responsible for:**

- 8.1. Internal sampling and monitoring of IQA activity and records.
- 8.2. Monitoring action points and developmental recommendations resulting from EQA reports.
- 8.3. Overseeing analysis of EQA reports and distribution of reports to Faculty Area / Apprenticeship Managers.



- 8.4.** Facilitating LIV meetings on a half termly basis.
- 8.5.** Ensuring that there is a Lead Internal Verifier allocated to each Principal Subject Area (Pearson) who is accredited by Pearson via an online exercise.
- 8.6.** Leading Centre Quality Review Visits and investigations.
- 8.7.** Collaborating with Partnerships provision to ensure compliance with AO requirements and centre agreement.
- 8.8.** Presenting outcomes of EQA for performance monitoring.

## APPENDIX 10: EMPLOYER INVOLVEMENT

### 1. Purpose

- 1.1. The purpose of this procedure is to ensure that there is a clear and accurate plan for Employer Involvement for the new Technical Qualifications for individual students and to ensure that the activities they undertake with Employers are 'meaningful'. This procedure will also support to assure that individual students and participating employers are clear on activity aims and objectives and ensure that there is a clear audit trail of employer involvement achievement records which are essential for students to successfully achieve their Technical Qualification.
- 1.2. The Department for Education has set out the design principles for technical qualifications ***'Employer involvement in the delivery and/or assessment of technical qualifications provides a clear 'line of sight' enriches learning, raises the credibility of the qualification in the eyes of employers, parents and students and furthers collaboration between learning and skills sector and industry'. All students aged 16-19 working towards one of these qualifications must undertake 'meaningful activity' involving employers. Activities and their contribution to the students' learning are set out in each qualification specification, they relate to one or more elements of the mandatory content of the qualification as a minimum'***.
- 1.3. Examples of 'meaningful employer involvement' is dependent on the Awarding Organisation and Qualification Specification but may for example include;
  - structured work experience or work placements that develop skills and knowledge relevant to the qualification
  - project(s), exercise(s) and/or assessments/examination(s) set with input from industry practitioner(s)
  - units delivered or co-delivered by an industry practitioner(s) - this could take the form of master classes or guest lectures
  - Industry practitioners operating as 'expert witnesses' that contribute to the assessment of a student's work or practice, operating within a specified assessment framework - this may be a specific project(s), exercise(s) or examination(s), or all assessments for a qualification.

Full Awarding Organisation Guidance relating to Employer Involvement can be accessed [here](#) for BTEC qualifications and [here](#) for City and Guilds Qualifications.

### 2. Assessors are responsible for:

- 2.1. Ensuring that there is an appropriate plan in place for students to undertake 'meaningful activities' that adhere to the AO qualification specification and guidance and reflect the meaningful activities that contribute to the technical qualification.



- 2.2. Ensuring that the employer involvement plan is clear and accurate and covers all students and Contingency plans in place for students potentially unable to complete / access employer involvement activities.
- 2.3. Ensuring that the employer involvement plan for 'meaningful activities' is shared with and authorised by the IQA/LIQA at the start of the programme.
- 2.4. Establishing and agreeing milestones with employers to develop, execute and review meaningful activities for students.
- 2.5. Effectively preparing students to engage actively and positively with opportunities offered with employer involvement.
- 2.6. Ensuring that all students undertake meaningful activity involving employers during their programme that conforms to AO requirements.
- 2.7. Confirming student engagement against the defined meaningful activities identified and having robust and accurate recording procedures that minimise the opportunity for malpractice.
- 2.8. Ensuring effective, reliable and accurate tracking and recording of individual student involvement in meaningful activity in relation to the individual student's field of study.
- 2.9. Utilising the AO's documentation relating to Employer Involvement, or the **College's documentation**, where this is not available.
- 2.10. Retaining documentation and tracking of engagement in 'meaningful activity' for each individual student for 3 years following certification in storage that complies to JCQ requirements.

**3. IQAs are responsible for:**

- 3.1. Maintaining a robust and rigorous IQA procedure.
- 3.2. Providing training and support to ensure Programme teams fully understand the AO expectations regarding Employer Involvement and tracking of student activity.
- 3.3. Providing confirmation that the 'meaningful activity' is fit for purpose before the activity is undertaken.
- 3.4. Reviewing and authorising the employer involvement plan of 'meaningful activities' at the start of the programme and setting actions and providing assessors with support and intervention where required.
- 3.5. Ensuring that the employer Involvement Plan effectively covers all students and designated units and assignments and the 'meaningful activities' fully comply with the AO qualification specification and guidance.



- 3.6. Monitoring and ensuring that there is an accurate and detailed recording of meaningful employer involvement for each individual student that minimises the opportunity for malpractice.
- 3.7. Monitoring and undertaking IQA on the Employer Involvement plan and providing support and intervention where required to ensure that the college fully meets AO requirements.
- 3.8. Undertaking IQA activity on a sufficient sample of activity undertaken, in line with the AO and qualification requirements and providing feedback and support to assessors to redress any identified actions or areas for development.
- 3.9. Monitoring progress against milestones that were agreed with employers to develop, execute and review meaningful activities for students.
- 3.10. Collating evidence in preparation for EQA monitoring activity and making this available to the AO upon request.
- 3.11. Ensuring that the AO's Employer Involvement Documentation is utilised and utilise the College's documentation where this is not available.
- 3.12. Ensuring that documented records of meaningful activity are retained and kept in storage that complies with JCQ standards for 3 years following certification.

**4. Faculty Area Managers are Responsible for:**

- 4.1. Ensuring that there is a designated lead within the Faculty Area for Employer Involvement for the programme.
- 4.2. Ensuring that all students undertake meaningful activity involving employers during their study.
- 4.3. Ensuring all assessors, LIVs and IVs have access to sufficient training, support and guidance on the AO Employer Involvement requirements.
- 4.4. Monitoring progress of assessors and IQAs against the Employer Involvement Plan and providing further support and intervention where appropriate.
- 4.5. Having procedures in place within the Faculty to monitor, review and respond to IQA and EQA outcomes and ensuring support and intervention is put in place where samples do not fulfil AO requirements.
- 4.6. Ensuring that all colleagues teaching on Technical qualifications understand the requirements and importance of meaningful employer involvement.
- 4.7. Providing resources to ensure effective employer involvement and accurate monitoring and recording.
- 4.8. Ensuring that activity records are retained securely in storage that is JCQ compliant for a minimum of 3 years.



**5. Quality Nominee is responsible for:**

- 5.1.** Monitoring EQA and AO Monitoring reports and undertaking any remedial action required.
- 5.2.** Facilitating the sharing of good practice between all Technical qualification teams in reference to Employer Involvement.
- 5.3.** Ensuring that there is a Standardised centre approach to documentation that is used across the College for the purpose of employer involvement.
- 5.4.** Facilitating an annual review of employer involvement to ensure that activities are meaningful and appropriate and enhance all future employer involvement.

## APPENDIX 11: END POINT ASSESSMENT

### 1. Purpose

- 1.1. The purpose of this procedure is to ensure that end point assessment processes are consistent across the College. The procedure is designed to ensure that the standards set down by Institute for Apprenticeships (IFA) are met.
- 1.2. The EPA procedures outlines the processes that should be implemented by each Industry Area.
- 1.3. In addition to the EPA procedures Assessors, IQAs, colleagues and managers are required to comply with the following external requirements of the IFA Institute for Apprenticeships, the Education and Skills Funding Agency and also the EPAO End Point Assessment Organisation relevant terms and conditions.

### Definitions

**End Point Assessment** is defined by the (ESFA) Education and Skills Funding Agency as:

*'a holistic and independent assessment of the knowledge, skills and behaviours, which have been learnt throughout an apprenticeship standard. The requirements for end-point assessment are set out in the assessment plan for each specific standard. Frameworks have different assessment arrangements and do not require end-point assessment'.*

The institute for Apprentices states:

*'All apprentices must take an independent assessment at the end of their training to confirm that they have achieved occupational competence. Rigorous, robust and independent end-point assessment (EPA) is essential to give employers confidence that apprentices completing an apprenticeship standard can actually perform in the occupation they have been trained in and can demonstrate the duties, and knowledge, skills and behaviours (KSBs) set out in the occupational standard'.*

### Responsibilities

All colleagues have a responsibility to give full and active support for the procedure.

### 2. The Assessor is responsible for:

- 2.1 Being familiar with and complying with the on programme assessment requirements of the occupational standard and occupational the assessment plan. For further information please access all occupational standards here: [Institute For Apprenticeships](#)
- 2.2 Designing assessment activities which meet the on programme assessment requirements of the occupational standard and occupational the assessment plan.



- 2.3 Complete accurate and up to date assessment schedules, assessment tracking and feedback of student work available to the Employer and IQA upon request.
- 2.4 Ensuring that the apprentice has meet the minimum duration of an apprenticeship for both training and end point assessment is a minimum of 372 days.
- 2.5 Ensuring that the apprentice has satisfied the gateway requirements set out in the assessment plan for example on-programme mandatory qualifications including the relevant level of English and Maths.
- 2.6 Work in consultation with the employer to provide feedback and evidence of on-programme learning and formative assessments of attainment of sufficient knowledge, skills and behaviours to enable the employer to decide the student is ready to undertake the end point assessment and successfully complete the apprenticeship.
- 2.7 Ensuring an appropriate sample of assessed work has been IQA'd if a formal mandatory qualification forms part of the on-programme.
- 2.8 Provide any evidence to the Independent End Point Assessor as required as part of the End Point Assessment process identified in the occupational assessment plan.

### **3 The Internal Quality Assurer (IQALIQA) is responsible for:**

- 3.1 Ensuring that subject tutors use the correct programme specifications and assessment requirements relevant to the occupational standard and the occupational assessment plan.
- 3.2 Advising and supporting assessors on interpretation of occupational standard and occupational the assessment plan and ensuring that assessors clearly understand what evidence is required to meet the on programme requirements and End Point Assessment Gateway readiness processes for individual standards.
- 3.3 Conducting sampling across all assessors, locations, mock grades, all formative assessment methods including observation of practice against competence, skills and behaviours all types of evidence (including assessment plans, progress reviews and records in addition to student evidence).
- 3.4 Recording and providing constructive feedback to the assessor about the quality of the assessment process.
- 3.5 Ensuring that evidence is IQA'd and returned to the assessor within the required timeframe (see IQA procedure).
- 3.6 Recording IQA decisions on AO documentation (if mandatory qualification are included) where available and the College [IQA documentation](#) where this is unavailable.



- 3.7** Ensuring records of assessment and IQA are accurate, up to date, auditable and retained in a safe secure or electronic environment that complies with JCQ and AO requirements for a minimum of three years.
- 3.8** Ensuring IQA is timely, that assessment decisions are IQA'd soon after assessment.
- 3.9** Ensuring IQA is carried out continuously throughout the year to quality assurance all the on-programme journey.
- 3.10** Supporting assessors with queries related to reasonable adjustments and fair access applications.

**4 Faculty Area / Apprenticeship Managers are responsible for:**

- 4.1** Ensuring that they have sufficient trained/qualified colleagues to undertake the responsibilities of on-programme 'off the job' training, on-programme assessment of the apprentice against the standards and internal quality assurance.
- 4.2** Establishing processes and mechanisms to support assessors and IQAs/LIQAs with implementing changes required to deliver apprenticeship standards.
- 4.3** Ensuring that we have an agreed contract in place authorised by the Quality nominee as the managing agent to pay for the EPA registration and independent assessments.
- 4.4** Once the employer has selected the End Point assessment Organisation informing the Quality nominee and relevant documentation to contract with the end-point assessment organisation that has been selected by the employer and lead the relationship with. This allows the college, on behalf of the employer, to make payment to them for conducting the end-point assessment.
- 4.5** Ensuring that the EPA's are booked by the relevant timescales and act as the point of contact with the EPAO and independent assessors in ensuring the EPA is completed.

**5 The Exams Department are responsible for:**

- 5.1** Liaising with Assessors/IQA/LIQA and Apprenticeship Managers to ensure that entries/registrations/EPA bookings/access arrangements are accurate.



**6 Heads of Faculty/Operations are responsible for:**

**6.1** Monitoring the effectiveness of the internal /external quality assurance arrangements within their Faculty/ Industry through feedback from EQA visits, IQA audits and reporting.

**7 Quality Nominee is responsible for:**

**7.1** Supporting the quality of provision and services offered to students by stakeholders.

**7.2** Authorising the contracts with the chosen End Point Assessment Organisations.

**8 The Employer is responsible for:**

**8.1** Supports the 'on-the-job' training and offers relevant experience

**8.2** At ***least 3 months before the apprentice reaches the gateway*** the employer must have: Selected the independent third party that will conduct the end point assessment this must be an organisation that is registered on the Education and Skills Funding Agency's (ESFA) Register of End-Point Assessment Organisations (RoEPAO) for the relevant apprenticeship standard. The employer will confirm to college colleagues of the selected EPAO and negotiated a price with the end-point assessment organisation and the industry lead/colleague will record this selection in the individual employer contracts.

**8.3** Make the decision to put an apprentice forward for EPA, once they are confident that their apprentice is ready. The employer may, at their discretion, consult with the apprentice and/or training provider(s) delivery and assessment staff. The employer in consultation with the main provider must ensure that the apprentice is prepared and understands the end-point assessment process. Engaging the end-point assessment organisation can be at any time, but to ensure timely delivery of the endpoint assessment ***no less than 3 months' notice*** that the apprentice will be ready for the end-point assessment should be given.

**9 The End Point Assessment Organisation is responsible for:**

**9.1** Being approved to offer the relevant end point assessment for the relevant standard and is on the Education and Skills Funding Agency's (ESFA) Register of End-Point Assessment Organisations (RoEPAO).

**9.2** Designing and offering the end assessments that meet the occupational EPA plan for the relevant standard.

**9.3** Meet the appropriate requirements of the relevant (EQA) external quality assurance body for the relevant occupational standard this may be a professional Body, Employer led model, Ofqual or the Institute for Apprenticeships.

## APPENDIX 12: ACCESS TO QUALITY ASSURANCE HANDBOOKS AND ASSESSMENT GUIDANCE

Awarding Organisation	Link to AO website	Link to Quality Assurance Documentation
1st4Sport	<a href="http://www.1st4sportqualifications.com">www.1st4sportqualifications.com</a>	<a href="#">1<sup>st</sup> 4 Sport QA system</a>
AAT	<a href="http://www.aat.org.uk">www.aat.org.uk</a>	<a href="#">AAT QA documents</a>
AIM	<a href="http://www.aimawards.org.uk">www.aimawards.org.uk</a>	<a href="#">AIM QA documents</a>
AQA	<a href="http://www.aqa.org.uk">www.aqa.org.uk</a>	<a href="#">AQA QA documents</a>
Ascentis	<a href="http://www.ascentis.co.uk">www.ascentis.co.uk</a>	<a href="#">Ascentis QA documents</a>
C&G	<a href="http://www.cityandguilds.com">www.cityandguilds.com</a>	<a href="#">C&amp;G QA documents</a>
C&G NPTC	<a href="http://www.nptc.org.uk/">www.nptc.org.uk/</a>	<a href="#">C&amp;G QA documents Templates</a>
CACHE /NCFE	<a href="http://www.cache.org.uk">www.cache.org.uk</a> <a href="http://www.ncfe.org.uk">www.ncfe.org.uk</a>	<a href="#">CACHE QA documents</a> <a href="#">NCFE QA documents</a> <a href="#">Templates</a>
CAVA	<a href="http://www.cava.ac.uk">www.cava.ac.uk</a>	<a href="#">CAVA login screen</a>
YMCA Awards	<a href="http://www.cyg.org.uk">www.cyg.org.uk</a>	<a href="#">YMCA Awards QA documents</a>
EAL	<a href="http://www.eal.org.uk">www.eal.org.uk</a>	<a href="#">EAL QA documents</a>
Pearson	<a href="http://www.pearson.com">www.pearson.com</a>	<a href="#">Pearson QA documents</a> <a href="#">BTEC templates</a>
HABC	<a href="http://www.highfieldabc.com">www.highfieldabc.com</a>	<a href="#">HABC QA documents</a>
ILM	<a href="http://www.i-l-m.com">www.i-l-m.com</a>	<a href="#">ILM QA documents</a>
IMI	<a href="http://www.imiawards.org.uk">www.imiawards.org.uk</a>	<a href="#">IMI login screen</a>
NIC EIC	<a href="http://www.niceic.com/">www.niceic.com/</a>	
NOCN/ Cskills (CITB)	<a href="http://www.nocn.org.uk">www.nocn.org.uk</a>	<a href="#">NOCN QA documents</a>
OCR	<a href="http://www.ocr.org.uk">www.ocr.org.uk</a>	<a href="#">OCR QA documents</a>
PAAVQ-set	<a href="http://www.paa-uk.org">www.paa-uk.org</a>	<a href="#">PAAVQ login screen</a>
SKILLS FIRST Awards		<a href="#">Skills First QA documents</a>
VTCT	<a href="http://www.vtct.org.uk">www.vtct.org.uk</a>	<a href="#">VTCT Login screen</a>
WJEC	<a href="http://www.wjec.co.uk/">http://www.wjec.co.uk/</a>	<a href="#">WJEC QA documents</a>
UAL	University of the Arts London <a href="http://www.arts.ac.uk/">http://www.arts.ac.uk/</a>	<a href="#">UAL QA documents</a>
NTU	Nottingham Trent University <a href="http://www.ntu.ac.uk/">http://www.ntu.ac.uk/</a>	<a href="#">NTU QA documents</a>