Policy/Procedure title	Assessment and Quality Assurance Policy
Review cycle (**Please specify*)	1 Year
Responsible department	Quality
Procedure *owner (**Overall responsibility*)	Head of Quality
Responsible *person (*if different to above*) *responsibility for communicating changes and staff training where appropriate	Quality & Compliance Coordinator
Types of provision this procedure applies to: (*delete as appropriate*)	14-16 Study programmes 19+ Apprenticeships Higher education

Revision record		
Rev. no.	**Date of issue**	**Details and purpose of revision**
2	18/11/2021	Change of owner to Head of Learning Improvement
3	08/03/2023	No changes proposed
4	02/08/2023	Additions regarding AO communications and Artificial Intelligence
5	02/02/2024	Updated to include OU feedback
6	06/08/2025	Full review and Development
7	21/01/2026	Revision to assessment appeals procedure and addition of flowcharts
8	04/09/2026	Review, addition of policy nos., preventing AI misconduct and definitions of malpractice and maladministration

Equality impact assessment

Whenever a policy is reviewed or changed, its impact assessment also must be updated. The Equality Act 2010 seeks to simplify discrimination law and introduced statutory duties to promote equality whereby The College of West Anglia must, in the exercise of its functions, pay due regard to the need to promote equality in relation to the protected characteristics.

Could any staff or students be adversely impacted by this policy/process? If yes, give details and how this will be mitigated: No

Date	**Action and monitoring**
02/02/2024	No actions required
19/05/2025	No actions required
04/09/2026	No actions required

EDI Statement
This procedure has been reviewed in line with the Equality Act 2010 which recognises the following categories of individual as Protected Characteristics: Age, Gender Reassignment., Marriage and Civil Partnership, Pregnancy and Maternity, Race, Religion and Belief, Sex (gender), Sexual Orientation and Disability. We will continue to monitor this procedure to ensure that it allows equal access and does not discriminate against any individual or group of people.

Contents

1. Purpose 4
2. Objectives 4
3. Scope 4
4. Assessment Policy Statement 5
   - 4.1 Recognition of Prior Learning and/or Attainment (RPL RPA) 5
   - 4.2 Initial and Diagnostic Assessment 6
   - 4.3 Formative Assessment 6
   - 4.4 Summative Assessment 6
   - 4.5 Retakes/Resubmission 6
   - 4.6 Controlled/Synoptic Assessment 7
   - 4.7 External Assessment 7
   - 4.8 Access to fair assessment and reasonable adjustments 7
   - 4.9 Extenuating Circumstances and Special Consideration 7
   - 4.10 Conflict of Interest in Assessment/Internal Quality Assurance 8
   - 4.11 Academic Conduct 8
   - 4.12 Academic Appeals 9
5. Quality Assurance Policy Statement 9
   - 5.1 Internal Programme Approval 9
   - 5.2 Awarding Organisation Programme Approval 10
   - 5.3 Assessment Plans/Training Plans 10
   - 5.4 Internal Quality Assurance 10
   - 5.5 External Quality Assurance (EQA) 11
   - 5.6 Claiming Achievements 12
   - 5.7 Record Retention and Contingency Planning 12
6. Accountabilities 13
7. Evaluation and Reporting 14
8. Communication and Training 14
9. Related Policies/Procedures: 15

Appendix 1 - Academic Misconduct (Malpractice and Maladministration) Procedure 16

Appendix 2 - Assessment Appeals Procedure 22

1. Purpose

The College is committed to continuously improving the quality of teaching, learning and assessment for all learners (full-time/part-time students and apprentices). The Assessment and Quality Assurance Policy ensures that assessment is planned and conducted in a fair, valid, timely and open manner to provide learners with an equal opportunity to demonstrate their knowledge, skills and achievements. The assessment experience is integral to the learner journey and delivery teams (teachers/assessors/tutors/lecturers/IQAs) regularly check understanding and use assessment outcomes to inform future planning and raise aspirations.

All planning and recording of assessment activity is completed in accordance with the requirements of the Awarding Organisation (AO) or Skills England Quality Strategy for Apprenticeship Standards. The College has clear Quality Assurance (QA) procedures in place, which ensure adherence to AO Centre Agreements.

For non-accredited programmes, please refer to *CUR001 - RARPA Recognising & Recording Progress and Achievement Policy.*

2. Objectives

The College of West Anglia will:

- Deliver a variety of programmes (qualifications, apprenticeship standards) which provide learners with the opportunity to achieve their full potential by the most appropriate and direct route.
- Ensure that the assessment processes are implemented in a way which is fair and non-discriminatory.
- Ensure that assessment is based on the concepts of quality, diversity, clarity, consistency and openness.
- Ensure all internal assessments and valuable preparatory activity (e.g. formative assessments and mock exams) for external assessments, are carried out fairly and in accordance with college or AO/Skills England requirements and those of the Joint Council for Qualifications (JCQ).
- Ensure all externally marked tests and exams are conducted according to the requirements of the AO, including the organisation of Exam Access Arrangements.

3. Scope

This policy covers all programmes where assessments take place, including apprenticeships. Non-accredited programmes are governed by the RAPRA policy.

This policy does not cover learners studying Higher Education programmes. Please refer to the relevant university's Assessment Policy.

4. Assessment Policy Statement

The Assessment Policy covers all aspects of assessment including:

4.1 Recognition of Prior Learning and/or Attainment (RPL RPA)

RPL RPA encourages wider participation of learners from diverse educational backgrounds and prevents the repetition of learning to maximise learner progress. It is a form of assessment by which individuals can gain credit towards programmes based on evidence of previous achievements. RPL RPA is a method of assessment that considers whether learners can demonstrate they meet the assessment requirements for a unit or parts of a unit through the knowledge, understanding or skills they already possess and so do not need to develop during the programme.

The College is committed to ensuring that all learners have access to individual learning programmes which consider prior learning, knowledge and skills. Learners will be supported and encouraged at interview/enrolment to reflect on their experiences and identify their learning achievements. In doing so, a learner's RPL may:

- Enable them to access a particular programme.
- Provide evidence of accreditation/formal credits towards nationally recognised programmes.
- Exempt them from the normal entry requirements, or from part of a programme.

In looking at RPL RPA as a route to accreditation, the delivery team ensures evidence is:

- Valid - relevant and at the appropriate level
- Authentic – produced by the student
- Reliable – validates competency
- Current – recent and relevant at the current time
- Sufficient – meets necessary requirements for a whole or part of a unit within a programme

Any RPL RPA is included on the sampling plan as an assessment method and is subject to IQA.

Circumstances when prior learning will not be recognised includes, but is not limited to:

- Learning that is similar to assessment criteria, but which has been met at a level lower than the current programme.
- Prior learning that is more than 3 years old.
- Prior learning that has been referred by the delivery team.
- Prior learning that has not been assessed by the delivery team.

All prior learning that is submitted as evidence must be validated by a professional discussion to ensure the learner's knowledge/understanding/skills meet the requirements of the assessment criteria. The assessor must be satisfied that the evidence provided meets the assessment criteria for which it has been submitted and where evidence from prior learning is missing/weak. The assessor must offer the learner information, advice and guidance to clarify the outcome of the RPL RPA and may plan further work with the learner to address any shortfalls.

Assessors needing to apply RPL RPA must follow the specific RPL RPA requirements of the relevant AO.

4.2 Initial and Diagnostic Assessment

It is a requirement that all full time and substantive part-time learners (best practice that all learners) are subject to initial and diagnostic assessment during the recruitment, enrolment and induction process. The specifics of these assessments can be found in the CUR002 - English and Maths Policy and the Induction Guidance available in INSPIRE Course Director. Curriculum areas may also include a vocational skills test as part of the recruitment process, where appropriate. The information gathered from these assessments is used to make an informed decision about the most appropriate programme, programme level and literacy, language and numeracy support needs as well as any previously unknown additional support needs. Initial and diagnostic assessment results are recorded on Student Portal/SmartAssessor. This information is used to inform individual target setting and tailored teaching, learning and assessment activity.

4.3 Formative Assessment

This is aimed at helping learners to understand and improve their individual progress. Formative assessment should recognise the positive achievements and areas for development of each learner. Regular checks will be made on learners' understanding and the outcomes used to inform target setting and future learning/development that supports individual progression and success in summative assessments. Formative assessment links to wider personal development and employability as well as programme specific assessment criteria. Learners should receive formal constructive feedback in a form that is appropriate for the learner and the subject area which enables the learner to refer to the feedback at a future point in time, for example annotations on the work, a separate feedback sheet or a voice recording. Guidance on effective formative assessment is available in the teacher and LIQA sections of The INSPIRE Suite on LEARN.

4.4 Summative Assessment

Summative Assessments, including mock End Point Assessment (EPA) for apprenticeships, are planned in accordance with the programme specification and will occur at the most appropriate time for each programme. Summative assessments are included in an AST/IQA 01-V1 Assessment and IQA Plan that includes issue and completion dates and is distributed to learners during induction via LEARN/SmartAssessor. Learners must be made aware of any changes to the assessment plan/schedule in a timely manner. In all cases, AO specific guidance about feedback on summative assessments should be followed, including timelines for the return/outcome of assessments. Where an AO does not specify the timeline for the return of marked work, the work will normally be assessed, quality assured and returned within 15 working days so that learners can benefit from and act on the feedback provided in a timely manner.

4.5 Retakes/Resubmission

Some programmes permit learners to resubmit their work, to fully achieve the assessment criteria, or in some instances improve their grade. In all cases, specific AO/End Point Assessment Organisations (EPAOs) assessment guidance linked to resubmission/retakes

should be followed. Where learners are permitted to resubmit/retake work, they must be informed of the rules relating to resubmissions/retakes during their induction and provided with written guidance in line with AO requirements. In these instances, resubmission dates are included in the assessment plan distributed to learners at induction and reminders about the resubmission/retake rules are provided at appropriate intervals throughout the programme. Late enrolments/transferring learners are made aware of this information as soon as they join the programme. When an AO does not specify re-submission rules/criteria the College approach is to allow resubmission opportunities where the learner has met the initial completion date or an agreed extension date. Where an AO does not provide a resubmission approval form, the College AST 04- V1 Resubmission Approval Form should be used.

4.6 Controlled/Synoptic Assessment

Controlled/Synoptic/Supervised Assessment requires learners to demonstrate that they can identify, integrate and effectively apply an appropriate selection of knowledge, skills and techniques in a realistic context in a college-controlled setting. Programme specifications normally identify the units that are subject to controlled/synoptic assessment, indicate whether these units are to be internally or externally assessed and specify timelines for these assessments. In all cases, specific AO assessment guidance linked to controlled/synoptic assessment should be followed. Where learners are expected to engage in controlled/synoptic assessment, they are informed of the arrangements and expected dates during their induction.

4.7 External Assessment

Please refer to the *EX002 - Examinations Policy*, which is based on the JCQ ICE (Instructions for Conducting Exams).

4.8 Access to fair assessment and reasonable adjustments

The College promotes equal opportunities in education, training and employment and is committed to supporting learners to achieve. There are several reasonable adjustments available to eligible learners, including the use of a word processor, which ensures fair access to assessment so that they are not disadvantaged by assessment/exam arrangements. Reasonable adjustments are made for learners by the Additional Learning Support Team based on evidence of need and normal ways of working. In all cases, the latest AO/EPAO guidance on fair access and reasonable adjustments is reviewed and where necessary applications are made through the Exams team. See *EX002 - Examinations Policy*, and *QU010 - Reasonable Adjustment Policy* and *ALS002 - Word Processor Policy* for further details.

4.9 Extenuating Circumstances and Special Consideration

Where appropriate the College may apply to the AO/EPAO for Special Consideration where adverse events are considered to impact a learner's ability to take the assessment or demonstrate their normal level of attainment in the assessment. Typical examples of extenuating circumstances might include, but are not limited to, bereavement of a close family member, terminal or critical illness of a close family member, family breakdown (such as divorce), recently being made homeless, personal trauma because of a serious crime, serious mental health or new physical health condition. See *EX002 - Examinations Policy* for guidance on eligibility and the associated application process.

4.10 Conflict of Interest in Assessment/Internal Quality Assurance

A conflict of interest is defined as a conflict between the official responsibilities of individuals within the delivery team and any other interests the individuals may have which could compromise, or appear to compromise, their assessment decisions.

This may include but is not limited to the following examples, which could lead to actual or perceived conflict of interest:

- working with a business outside of the College that is in direct competition.
- having a close or familial relationship with a learner on programme, or learner's family whilst being involved in decisions about the outcome of their programme.
- using privileged information or college learner records for personal gain or advantage.

The existence of such interests does not necessarily imply conflict but is likely to give an appearance of conflict and as such must be declared. It is, therefore, the duty of members of the delivery team to disclose any actual or potential conflict of interest in assessment/internal quality assurance during the annual Conflict of Interest Audit conducted by Exams.

The Exams, EPA and Achievement Manager (EEAM) will advise Programme Managers (PMs) on action needed to mitigate any conflict of interest declared and retain all related information for external audit purposes. In certain situations (set by JCQ rules and regulations) the Exams, EPA and Achievement Manager will inform the relevant AO/EPAO of the declared conflict of interest.

Should a potential conflict of interest in assessment/internal quality assurance arise after the annual audit, it is incumbent on the individual concerned to declare it to the Exams, EPA and Achievement Manager.

4.11 Academic Conduct

The College is committed to creating an ethos of honesty and authenticity and has an obligation to Awarding Organisations, learners, apprentices, employers and other stakeholders to ensure that the learners' achievements are a fair and accurate representation of their knowledge, skills and understanding. Learners are supported to understand good academic conduct during induction and throughout their programme. The College doesn't tolerate academic misconduct (malpractice/maladministration or attempted malpractice/maladministration) and takes appropriate action when it is detected, see the Academic Misconduct Procedure (Malpractice and Maladministration) (Appendix 1), which applies to misconduct in all aspects of internal assessment activity. Many AOs/EPAO will have their own misconduct/plagiarism procedures, and these procedures are followed in conjunction with the College policy.

Academic Misconduct Definitions

Maladministration is any activity, omission or practice that results in non-compliance with Awarding Organisation, regulatory or College requirements where there is no evidence of deliberate intent to gain an unfair advantage or compromise the integrity of assessment.

Examples include:

- administrative errors in registration, certification or assessment records
- failure to follow approved assessment or quality assurance procedures

- poor record keeping
- failure to retain required evidence
- unintentional breaches of Awarding Organisation requirements.

Malpractice is any deliberate act, default or practice that compromises, or could compromise, the integrity of assessment, certification or quality assurance processes.
Examples include:

- falsification of assessment records
- fabrication of evidence
- plagiarism, collusion or cheating
- fraudulent certification claims
- deliberate failure to follow Awarding Organisation requirements
- misuse of AI to gain an unfair assessment advantage

The College's *SL003 - Whistleblowing Policy* provides employees with the confidence to raise concerns about matters of public interest, in this case academic malpractice / maladministration. The Principal delegates authority for investigating suspected misconduct to the EEAM, who will notify AOs/EPAOs accordingly.

4.12 Academic Appeals

The College allows learners an opportunity to appeal against any internal assessment decision where they feel that the assessment procedures have not been properly conducted or where they believe that the decision is unfair, and learners are made aware of the Assessment Appeals Procedure (Appendix 2) during Induction and a copy should be placed on LEARN.

A learner has the right to appeal against an internal assessment decision where the learner 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.

All efforts are made to resolve internal assessment issues using the informal stages of the Academic Appeals Procedure.

Where assessments are set and assessed externally, the College has no power to reconsider assessment decisions but can advise students how to make an appeal to the appropriate AO.

5. Quality Assurance Policy Statement

5.1 Internal Programme Approval

The internal programme approval process is a requirement for all new programmes and applies to programmes where there have been substantial revisions. The Internal Approvals Request form provides guidance to PMs as to the quality assurance arrangements needing to be in place when seeking approval for new programmes. The Head of Quality provides support to

PMs to understand the AO Programme Approval process and sharpen QA arrangements as appropriate.

5.2 Awarding Organisation Programme Approval

It is the responsibility of the PM to ensure programmes they intend to deliver have AO Programme Approval. The PM gathers the evidence needed for AO Programme Approval and ensures the Quality Assurance & IQA Coordinator has access to the relevant file, once evidence gathering is complete. The Quality Assurance & IQA Coordinator checks the documentation and submits the application on behalf of the PM and advises the PM once AO Programme Approval has been granted.

AO Programme Approval must be in place before learners are enrolled onto the programme.

The PM monitors programmes with existing AO Programme Approval and liaises with the Quality Assurance & IQA Coordinator to process any renewals required in a timely manner.

5.3 Assessment Plans/Training Plans

Each programme has an assessment plan/training plan in place before the programme starts. The assessment plan/training plan aligns with AO/EPAO requirements and ensures assessment is timely and assessment methods are appropriate and consistent. Assessment plans/training plans are distributed to learners during induction via LEARN and learners are made aware of any changes to the assessment plan/training plan in a timely manner.

5.4 Internal Quality Assurance

Internal Quality Assurance is the process of monitoring assessment practice to ensure that assessment methods are consistently applied, and assessment decisions meet national standards which assure the integrity and value of achievements.

Faculties identify Lead Internal Quality Assurers (LIQA) and Internal Quality Assurers (IQA) for each programme and LIQAs develop an IQA strategy for each programme.

IQAs use sampling to ensure that comparable standards are applied across all elements of a programme. Interim Sampling (whilst the learner is at different stages of their programme) checks the different assessment processes in place. Summative Sampling checks the assessment decisions made by the assessor and ensures the validity, authenticity, reliability, currency and sufficiency of the assessment evidence. IQAs record and report all sampling in sufficient detail to justify assessment decisions. Sampling is carefully planned to ensure appropriate coverage of all elements of a learner's programme and mitigate the risk of inconsistent assessment practice.

Where AOs specify the risk management process for sampling, this is adhered to. Where AO's do not specify the risk management process for sampling, staff are to follow the risk rating applied to low/medium/high risk assessors in document *IQA 09 Assessor Risk Rating*. This form should accurately represent the risk presented by an assessor and show the planned percentage of sampling that will be undertaken per learner.

When completing sampling plans CAMERA should also be considered.

C	Candidates	Ethnic origin, gender employed full time /part time, special requirements.
A	Assessors	Experience, qualifications, workload, occupational experience, location, CPD, evidence of countersigning unqualified TAQA assessors.
M	Methods of assessment	Questioning, observation, the evidence is RPL, product evidence, professional discussions assignments, projects, product evidence written reflective review, oral presentations.
E	Evidence types	To include all aspects of the programme/apprenticeship (including OTJ training records and progress reviews) are valid, authentic, current and sufficient.
R	Records	Reports from assessors, correct assessment practice, internal quality assurance records, learner portfolios and files.
A	Assessment locations	Workplace assessments, other assessment locations.

LIQAs ensure the consistent implementation of the IQA strategy and accuracy of assessment decisions, recording and tracking through regular standardisation meetings (at least termly) and moderation where appropriate. This ensures that work is marked to the same standard, regardless of assessor or campus, giving all learners equal opportunity to achieve.

Records of all internal QA activity will be kept in the IQA 02-V1 IQA Checklist and are safely retained for 3 years after certification.

5.5 External Quality Assurance (EQA)

EQA is the process by which AOs assure the integrity and quality of the programmes delivered. (Some AOs refer to this process as external moderation, external verification or standards verification.) It is the process by which internal assessments are reviewed against national standards to check the accuracy of internal assessment decisions. In some instances, there may be a requirement for an External Quality Assurer to observe practical assessments to ensure the delivery team are assessing the practical skills to the required standards. The EQA activity informs the AO as to whether college assessment decisions are in line with the national standard.

EQA activity is likely to include some or all the following activities:

- Sampling of students work, assessment decisions and assessment feedback.
- Observing practical assessments.
- Sampling programme documentation and IQA reports.
- Sampling training and development records.
- Talking to assessors/tutors/lecturers.
- Talking to students.

The LIQA leads the preparations and management of EQA activity.

Once EQA activity is complete, the External Quality Assurer produces a written report outlining good practice observed and any potential corrective actions that need to be undertaken. In cases where inconsistent assessment practice is discovered, the AO may choose to apply a sanction and require a formal action plan to be implemented to address

inconsistencies. Programme Managers, in liaison with the LIQA and Quality Assurance & IQA Coordinator, take swift action to resolve any sanctions applied.

Some AOs conduct Centre Quality Assurance Visits. These visits are planned by the Quality Assurance & IQA Coordinator in liaison with the AO, with assistance from the relevant LIQAs/PMs. LIQAs prepare the QA files/samples requested by the AO and prioritise attendance at the visit to discuss and receive feedback on their QA arrangements. The Head of Quality will also be available to attend these.

5.6 Claiming Achievements

Once the EQA report has been received and, providing no AO sanctions are applied, achievements are claimed through the internal claims system by the Course Director. Exams will action all claims submitted through the internal claims system.

Where programmes have been granted Direct Claims Status, achievement claims can be made as soon as the assessment and IQA processes are complete.

For BTEC claims, the Course Director submits the claim via Edexcel Online. A second person must be present to ensure grade accuracy. Both parties sign each claim record, and the Course Director retains a copy of the claim and sends a copy to Exams. BTEC sends certificates to Exams and Exams notify individual students accordingly.

For any other AO where claims are made directly through their online system, evidence of the claims must be sent to Exams for cross reference when certificates are received.

5.7 Record Retention and Contingency Planning

Assessed learner work is retained for at least 12 weeks after learner certification and assessment and IQA records are retained for at least 3 years. Where a programme is selected for EQA, the learner assessment evidence and learner work is retained for the EQA visit or sample.

Special Consideration/Extenuating Circumstances
In the case of special consideration/extenuating circumstances, records are retained by the LIQA for at least 3 years, including supporting evidence and decision outcomes.

Suspected Academic Misconduct
Where an investigation of suspected academic misconduct is carried out, related records and documentation are retained by the LIQA for at least 3 years. Records include the learner's work and assessment/internal QA records relevant to the investigation. In the instance of an investigation involving a criminal prosecution or civil claim, records and documentation are retained by the Quality Team for at least 6 years in line with Ofqual regulation after the case has been heard. In the case of an appeal to an AO/EPAO against the outcome of Academic Misconduct the learner's work, assessments and IQA records are retained for at least 6 years by the Quality Team. Records relating to allegations or investigations of maladministration shall be retained and managed in the same manner as malpractice investigations.

All records are retained in accordance with the General Data Protection Regulation as outlined in the College *GDPR012 - Data Retention and Destruction Policy*.

A College Disaster Recovery Plan is in place which makes provisions to protect the continuity of assessment and quality assurance practice and to ensure a speedy and safe return to normal practice in the event of disruption.

6. Accountabilities

All members of the delivery team are responsible for adhering to and implementing the Assessment and Quality Assurance Policy and related procedures. All staff involved in assessment and quality assurance are responsible for preventing, identifying and reporting suspected malpractice and maladministration and for cooperating fully with any subsequent investigation.

The Assessor is accountable for:

- ensuring learners are given the opportunity to accredit prior learning where appropriate.
- ensuring learners have access to fair assessment/reasonable adjustments where needed.
- ensuring learners are regularly assessed in a fair, accurate and timely manner and receive focused constructive feedback which supports further development.
- understanding the current AO/EPAO requirements and participating in regular standardisation activity to ensure assessment judgments align with national standards.

The Course Director is accountable for:

- the accurate submission of all achievement claims.

The IQA is accountable for:

- ensuring assessors adhere to the Assessment and Quality Assurance Policy and related procedures and adhere to the IQA strategy for the area.
- ensuring the accuracy and timeliness of QA for all programmes under their allocation.

The LIQA is accountable for:

- ensuring assessors and IQAs adhere to the Assessment and Quality Assurance Policy and related procedures.
- developing, monitoring and supporting the implementation of the IQA strategy for their area.
- ensuring the QA activity for programmes under their area meets national standards.

The Programme Manager is accountable for:

- securing appropriate AO Programme Approvals for programmes in their area.
- ensuring there are sufficient well-trained Assessors, IQAs and LIQAs in place to secure the integrity of the programmes delivered.
- monitoring and supporting the implementation of the Assessment and Quality Assurance Policy and associated procedures.
- supporting the implementation of IQA strategies within their area.

The Head of Faculty is accountable for:

- ensuring effective systems for assessment/internal QA are established within the faculty which secure the integrity of programmes delivered.

- ensuring time is allocated and used effectively for IQA and LIQA activity.
- supporting the training and development of assessors, IQAs and LIQAs.

The Exams, EPA and Achievement Manager is accountable for:

- ensuring the College adheres to AO and JCQ regulations in relation to external assessments/examinations and notifying AOs of any suspected misconduct.
- the accurate timely administration of all external programmes from registration to certification.

The Quality Assurance & IQA Coordinator is accountable for:

- supporting the implementation of the Assessment and Quality Assurance Policy, providing or signposting stakeholders to appropriate assistance, advice and guidance.
- acting as the key point of contact and college lead representative for AOs.
- supporting PMs to secure AO Programme Approval Process.
- disseminating information from AOs ensuring LIQAs are kept abreast of any developments.
- tracking EQA activity, recording and reporting EQA outcomes.
- supporting LIQAs to implement actions required and resolve sanctions applied by AOs.

The Head of Quality is the Assessment Quality Nominee and accountable for:

- supporting the development of robust QA processes.
- monitoring effectiveness of internal QA processes and supporting improvements required.
- promoting the training and development of assessors, IQAs and LIQAs.
- the annual updating of the Assessment and Quality Assurance Policy and procedures.

The Vice Principal Quality and Curriculum is accountable for:

- ensuring the Assessment and Quality Assurance Policy and associated procedures are reviewed annually, updated as required and consistently implemented across the College.

7. Evaluation and Reporting

The Head of Quality, as Assessment Quality Nominee, constantly reviews the effectiveness of the policy and related procedures through on-going sampling, student survey feedback, feedback from EQAs and related complaints and compliments.

Review findings are used to inform training and development activity.

The Head of Quality updates the policy and associated procedures annually in response to review findings/feedback, in the spirit of continuous improvement.

8. Communication and Training

The Policy and related procedures are communicated as follows:

- The policy is uploaded on the website, LEARN and INSPIRE LIQA.
- The policy/related procedures are cascaded to Faculty Managers via Heads of Faculty.
- The policy/ related procedures are cascaded to Faculty Staff via Faculty team meetings.

- The policy/related procedures are cascaded to IQAs through the start of year QA update.
- The policy/related procedures, guidance and forms are uploaded on Quality SharePoint and INSPIRE LIQA.
- The policy/related procedures are introduced to learners by the delivery team during induction and as appropriate throughout the programme.
- A suite of training for assessors, IQAs and LIQAs is available and includes Assessor and IQA qualifications, support materials on INSPIRE LIQA, short training videos re assessment and QA processes and coaching/mentoring.

9. Related Policies/Procedures:

- CUR001 - RARPA - Recognising & Recording Progress and Achievement
- CUR002 - English and Maths Policy
- EX002 - Examinations Policy
- GDPR012 - Data Retention and Destruction Policy.pdf
- QU010 - Reasonable Adjustment Policy.pdf
- SL003 - Whistleblowing Policy

Appendix 1 - Academic Misconduct (Malpractice and Maladministration) Procedure

To be read in conjunction with any guidance, policy or briefing notes issued by the relevant AO.

The College is committed to creating an ethos of honesty and authenticity and has an obligation to Awarding Organisations, learners, apprentices, employers and other stakeholders to ensure that learners' achievements are a fair and accurate representation of their knowledge, skills and understanding. Misconduct consists of those acts which undermine the integrity and validity of assessment, certification and/or damage the authority of those responsible for conducting the assessment and certification. The College is committed to the detection of misconduct and does not tolerate actions (or attempted actions) of misconduct by either learners or members of delivery teams in any aspect of assessment activity.

Delivery teams must be vigilant about assessment malpractice and where malpractice occurs it must be dealt with in an open and fair manner. In the interest of learners and members of delivery teams, the College will respond openly to requests for an investigation into an incident/suspected incident of misconduct. The College Public Interest Disclosure "Whistleblowing" Policy and Procedure supports individuals having the confidence to raise concerns about academic misconduct.

Many AOs have their own malpractice/plagiarism policies and procedures which must be followed in conjunction with the College procedure.

This procedure applies only to internal investigations and does not deal with external enquiries; AOs have their own procedures.

Academic Malpractice is defined as:

Cheating: communicating or copying from the work of other learners, obtaining help from other learners in a way that contravenes the regulations for the examination, bringing into the examination any unauthorised materials, or referring during the examination to any unauthorised material, or any form of impersonation.

Plagiarism: copying work from any published source (including internet sites), in a manner not authorised by regulations and presenting copied work as if it were the learner's own. Work presented in assessment must be the learner's own, and where exceptions are permitted, any such exceptions must be clearly identified, and the source fully acknowledged.

Fabrication of information: presenting false or fabricated information, results or conclusions in any assessment, including practical or field work studies, oral presentations, unpublished work (including the work of fellow learners), interviews and reports from work placement.

Collusion: deliberating and intentionally collaborating, without official approval, with other learners in the development/production of work that is submitted by each learner, in a substantially similar and/or identical form and presented by each learner to be the outcome of their individual efforts. Collusion also occurs where there is unauthorised co-operation between a learner and another person, in or outside of college, in the preparation and production of work, which is ultimately presented as the learner's own.

Misuse of Artificial Intelligence: copying or paraphrasing AI generated content so the work is no longer the original submission of the learner, copying or paraphrasing whole responses of AI generated

To be read in conjunction with any guidance, policy or briefing notes issued by the relevant AO.

The College is committed to creating an ethos of honesty and authenticity and has an obligation to Awarding Organisations, learners, apprentices, employers and other stakeholders to ensure that learners' achievements are a fair and accurate representation of their knowledge, skills and understanding. Misconduct consists of those acts which undermine the integrity and validity of assessment, certification and/or damage the authority of those responsible for conducting the assessment and certification. The College is committed to the detection of misconduct and does not tolerate actions (or attempted actions) of misconduct by either learners or members of delivery teams in any aspect of assessment activity.

Delivery teams must be vigilant about assessment malpractice and where malpractice occurs it must be dealt with in an open and fair manner. In the interest of learners and members of delivery teams, the College will respond openly to requests for an investigation into an incident/suspected incident of misconduct. The College Public Interest Disclosure "Whistleblowing" Policy and Procedure supports individuals having the confidence to raise concerns about academic misconduct.

Many AOs have their own malpractice/plagiarism policies and procedures which must be followed in conjunction with the College procedure.

This procedure applies only to internal investigations and does not deal with external enquiries; AOs have their own procedures.

Academic Malpractice is defined as:

Cheating: communicating or copying from the work of other learners, obtaining help from other learners in a way that contravenes the regulations for the examination, bringing into the examination any unauthorised materials, or referring during the examination to any unauthorised material, or any form of impersonation.

Plagiarism: copying work from any published source (including internet sites), in a manner not authorised by regulations and presenting copied work as if it were the learner's own. Work presented in assessment must be the learner's own, and where exceptions are permitted, any such exceptions must be clearly identified, and the source fully acknowledged.

Fabrication of information: presenting false or fabricated information, results or conclusions in any assessment, including practical or field work studies, oral presentations, unpublished work (including the work of fellow learners), interviews and reports from work placement.

Collusion: deliberating and intentionally collaborating, without official approval, with other learners in the development/production of work that is submitted by each learner, in a substantially similar and/or identical form and presented by each learner to be the outcome of their individual efforts. Collusion also occurs where there is unauthorised co-operation between a learner and another person, in or outside of college, in the preparation and production of work, which is ultimately presented as the learner's own.

Misuse of Artificial Intelligence: copying or paraphrasing AI generated content so the work is no longer the original submission of the learner, copying or paraphrasing whole responses of AI generated content, using AI to generate parts of the assessment so that the work does not reflect the learner's own work, analysis, calculations, evaluation and/or conclusions, failing to acknowledge the use, or poor/inconsistent acknowledgement of the use of AI tools when they have been used as a source of information, submitting work with intentionally incomplete or misleading reference and/or bibliographies.

Academic Maladministration is defined as:

Administrative practices, omissions or procedural failures that lead to non-compliance with College, Awarding Organisation or regulatory requirements without evidence of deliberate intent.

Examples include:

- inaccurate learner registrations
- incorrect assessment documentation
- missed quality assurance checks
- failure to maintain assessment records
- certification claims made in error
- failure to follow required assessment procedures

Preventing Academic Misconduct

The following steps ensure learners fully understand the expectations around Academic Conduct to minimise the risk of misconduct:

- The induction period and LEARN are used to inform learners of the Assessment and Quality Assurance Policy and Academic Misconduct Procedure, so they understand what constitutes malpractice and the action that is taken for attempted/actual incidents of malpractice.

- Learners are shown the appropriate formats to record cited texts and other materials or information sources, including websites. Relevant research often contributes to the achievement of higher grades and submitted work must show evidence of interpreted/synthesised information and acknowledge the sources used**.**

- Learners may use AI tools to support learning where permitted by the College and Awarding Organisations. However, learners must ensure that all submitted work accurately reflects their own knowledge, understanding and skills. Unauthorised use of AI or presenting AI-generated content as original work without appropriate acknowledgement may constitute academic malpractice and will be dealt with in accordance with college procedures. The College will provide guidance to help learners use AI ethically, responsibly and safely.

- Where possible assessment is conducted in a way that reduces malpractice, for example through:

    - supervised sessions during which evidence for assignments/tasks/coursework is produced by the learner.
    - altering assessment assignments/tasks/tools on a regular basis.
    - assessing work for a single assignment/task in a single session for the complete cohort of learners.
    - questioning learners to ascertain their understanding of concepts and their application which are presented in their work.
    - ensuring network access controls are installed to prevent learners from accessing/using other people's work.

Learner Academic Malpractice

The following are examples of malpractice by learners; this list is not exhaustive and other instances of malpractice may be considered by the College at its discretion:

- Plagiarism by copying and passing off, as the learner's own, the whole or part(s) of another person's work, including artwork, images, words, computer generated work (including Internet sources),

thoughts, inventions and/or discoveries whether published or not, with or without the originator's permission and without appropriately acknowledging the source.

- Collusion by working collaboratively with other learners to produce work that is submitted as individual learner work. Where assessment tasks involve teamwork learners must keep records of idea generation, agreed outcomes of discussions and task allocation and completion.
- Impersonation by pretending to be someone else to produce the work for another or arranging for another to take one's place in an assessment/examination/test.
- Fabrication of results and/or evidence.
- Failing to abide by the instructions or advice of an assessor, an invigilator or AO conditions in relation to the assessment/examination/test rules, regulations and security.
- Misuse of assessment/examination material.
- Introduction and/or use of unauthorised material contrary to the requirements of supervised assessment/examination/test conditions, for example: notes, study guides, personal organisers, calculators, dictionaries (when prohibited), personal stereos, mobile phones or other similar electronic devices.
- Obtaining, receiving, exchanging or passing on information during an assessment/examination/test.
- Behaving in such a way as to undermine the integrity of the assessment/examination/test.
- The alteration of any results document, including certificates.
- Cheating to gain an unfair advantage.
- Obtaining unauthorised access to assessment/examination/test material prior to an assessment/examination/test.

Action to be taken at the time of any suspected Academic Malpractice

Cheating in Examinations

If an invigilator in an examination suspects any learner of cheating, for example by the discovery of unauthorised books or papers brought into the examination, these will be confiscated when discovered and any work done by the learner up to that time should be suitably annotated. The learner will be allowed to complete the examination. At the end of the examination, the learner will be asked for an explanation, and the invigilator will submit a written report to the Head of Quality and Exams, EPA and Achievement Manager outlining the evidence that cheating has occurred together with details of the learner's name, the date and time of the examination and any other relevant information.

Where material is confiscated, the material should be presented along with the written report to the Exams, EPA and Achievement Manager. The Exams, EPA and Achievement Manager will then follow the malpractice process of the relevant AO/ Regulatory Body.

Plagiarism / Fabrication / Collusion/ Misuse of AI

Where a member of the delivery team suspects plagiarism, fabrication collusion or misuse of AI when marking an assessment, they should discuss the matter with the learner to understand the reason for the academic misconduct.

If 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, this should be pointed out to the learner, and with the LIQAs permission the learner should be allowed to correct their work (where permitted by the AO) or undertake additional assessment (where permitted by the AO).

If the offense constitutes major malpractice, such as a second instance of minor malpractice, deliberate plagiarism, copying other learners' work, impersonation, collusion or intimidating other learners for access to their work, the assessor discusses the suspected malpractice with the learner(s) concerned and submits a written report to the Programme Manager and LIQA, outlining the nature of the offense, the evidence for suspecting it, details of the learners involved and any other relevant information.

In line with the procedure for dealing with Academic Misconduct, the Programme Manager activates the relevant disciplinary policy, procedure and appeals process and the LIQA notifies the Quality Assurance and IQA Coordinator and Exams, EPA and Achievement Manager. The Exams, EPA and Achievement Manager will inform the AO where required.

Delivery Team Maladministration

Examples may include:

- failure to complete assessment or IQA documentation accurately
- failure to retain assessment evidence
- failure to meet AO deadlines
- inadequate record keeping
- failure to implement sampling as identified in the IQA strategy
- registration or certification errors
- failure to communicate AO updates to relevant staff

Delivery Team Malpractice

Examples may include:

- falsified records
- fraudulent certification claims
- facilitating impersonation
- knowingly allowing non-authentic evidence
- altering assessment criteria or mark schemes

Procedure for dealing with Academic Misconduct

If the College suspects misconduct, within 5 working days of the discovery, the individual is made fully aware (in writing) of the nature of the alleged misconduct and of possible outcomes should misconduct be proven. The relevant disciplinary policy, procedure and appeals process are activated and followed.

It may be necessary during this process to notify third parties in addition to the AO, for example funding bodies and in some cases the police.

Appendix 1 - ACADEMIC MISCONDUCT PROCESS

CHEATING IN EXAMS SUSPECTED

Suspected cheating in exams.
The invigilator confiscates any unauthorised materials and annotates the learner work to show point at which materials removed.

↓

The learner completes the exam and at the end is asked for an explanation.

↓

The invigilator submits a written report with the confiscated materials to Exams, EPA and Achievement Manager. → The Exams, EPA and Achievement Manager instigates the appropriate AO Malpractice Procedure.

SUSPECTED MALPRACTICE IN ASSESSMENT

Suspected malpractice in assessments.
The assessor discusses the matter with the learner to understand the reason for the academic misconduct.

↓

If judged to be major misconduct the assessor submits a written report to the PM and LIQA.

↓

The PM activates the Disciplinary Procedure and the LIQA notifies the Quality Assurance and IQA Coordinator and Exams, EPA and Achievement Manager.

↓

The Exams, EPA and Achievement Manager instigates the appropriate AO Malpractice Procedure.

← ↓

If judged to be minor misconduct e.g. missing reference the matter is referred to the LIQA.

↓

The LIQA will decide whether the learner can correct the work or need to undertake another assessment.

Appendix 2 - Assessment Appeals Procedure

The process provides learners with an opportunity to appeal assessment outcomes for programmes on which they are enrolled at CWA and registered with an Awarding Organisation (AO). Assessments at the College are undertaken by assessors and by examiners working directly for the AO. In the case of internal assessments, the College will ensure systems for Internal Quality Assurance are in place and in the case of external assessments, the College will ensure that assessments/examinations are carried out in accordance with AO and Joint Council for Qualifications (JCQ) regulations. *See summary process: Appendix 2 – FE Appeals Procedure*

Note: *Learners on BCS programmes (Chartered Institute for IT) can appeal direct to BCS within 20 working days of assessment.*

Definitions

Assessment Decision

The result of assessment by more than one assessor or examiner of academic or professional expertise, in determining the quality of a learner's performance in any part of the assessment process; usually this would mean that the individual assessment (coursework or examination script) in question has been reviewed by an internal quality assurer or has been second marked by another assessor/examiner.

Grounds for Appeal

These procedures apply specifically to learners who undertake an examination/assessment that is within the control of the College. Where the assessment is set and assessed externally, the College can only advise learners how to make an appeal to the AO.

Learners can only appeal against an assessment decision on the following grounds:

- **A** If they believe that personal circumstances affected their assessment, or that there were valid reasons for poor performance in assessment, that they were unwilling, or unable, to divulge prior to the assessment, or they were adversely affected by illness or other personal factors (that is, that there were mitigating circumstances).

- **B** If there is evidence that there has been an internal administrative error, or that the assessment was not conducted in accordance with the regulations of the College or the relevant AO, or that some other material irregularity relevant to the assessment has occurred. Disagreement with assessment decision of assessors or examiners is not in itself grounds for appeal.

- **C** The assessment criteria relating to the specific assessment were incorrectly applied in awarding a grade or mark. Only in exceptional circumstances will an appeal on this be considered.

Process for making an Appeal:

<u>Stage 1 – Initial Resolution</u>
If a learner wishes to dispute an assessment or IQA decision, the matter should be discussed informally with the assessor or IQA concerned within 5 working days of receiving the assessment decision.

The learner should have re-examined the standard or criteria upon which the decision was made prior to meeting with the assessor/IQA. The assessor/IQA must clearly explain the rationale for their decision at

the outset. If the learner is not satisfied with the rationale given, the assessor/IQA must revisit/review the evidence again, taking into consideration the learner's reasons and explain their existing or new decision and meet with the learner again within 5 days of the Initial Resolution meeting. Records of reviewed assessment or IQA decisions must be retained and stored in department's SharePoint IQA Folder for potential examination by an AO.

Every effort should be made to achieve resolution at this point. If the learner is still not satisfied with the outcome, then proceed to **Stage 2** of appeal and direct learner to form IQA 08 Appeal against an Assessment decision - FE only, as well as this supporting Appeals Procedure information.

Stage 2 – Formal Assessment Appeal to LIQA

The learner will complete form IQA-08 within 5 days of the Initial Resolution meeting, providing as much detail about their reason for the formal appeal: providing evidence to support this. The LIQA will ensure they have access to re-assessment or re-IQA of their evidence for this stage and any meeting notes that were taken at Initial Resolution.

Evidence Required:

Grounds A - Appeals against the Assessment Decision

- The learner should provide details of the illness/other factor that may have resulted in poor assessment performance and provide written corroborative evidence from a professional person concerned, such as a medical practitioner.

Grounds B - Appeals against the Assessment Decision

- The learner should provide details of the alleged error or irregularity with any other relevant evidence that they possess.

Grounds C - Appeals against Assessment Decision Judgement

- This only applies if the assessment has been assessed by a single Assessor and has not been directly quality assured or second marked. The learner should provide a written description detailing how the grading criteria have been incorrectly applied. A LIQA will review the assessment concerned and will reach a final decision with the assessor/IQA/Learner. This mark or grade will stand unless the learner subsequently appeals against the decision on Grounds A or B.

The Lead IQA will conduct a full and thorough review of the evidence, assessment and IQA decision and then provide their response to the learner in a formal meeting within 5 working days of the submission of form IQA-08. A suitable report of the IQA conducted should be produced and shared with the learner as well as being retained within the department's IQA folder for potential review by the AO. Every effort should be made to achieve learner satisfaction with the outcome. Should this not be the result then proceed to **Stage 3.**

Stage 3 – Appeal to Awarding Organisation

The Lead IQA is to refer the learner to the appropriate Awarding Organisation and ensure they can access the information. The learner now takes responsibility for this stage of their appeal, and they follow the AO processes.

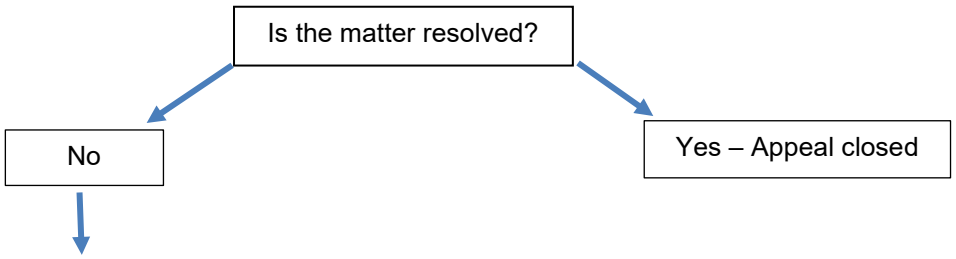
Be advised that the learner may be able to escalate an AO appeal afterwards to Ofqual.

Appendix 2 – FE Appeals Procedure

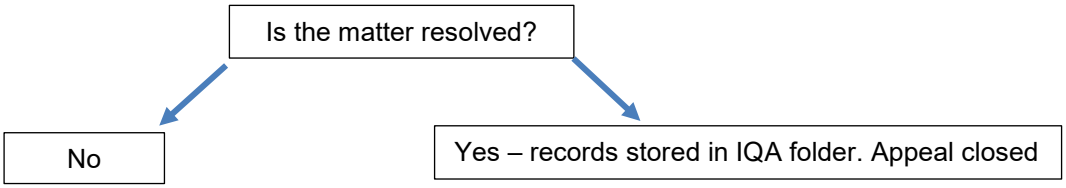
Stage 1

Learner disagrees with assessment decision after examining the standard/criteria. Meets with Assessor for initial resolution

If learner disagrees with assessment that has been subject to the IQA, then meet with IQA for initial resolution



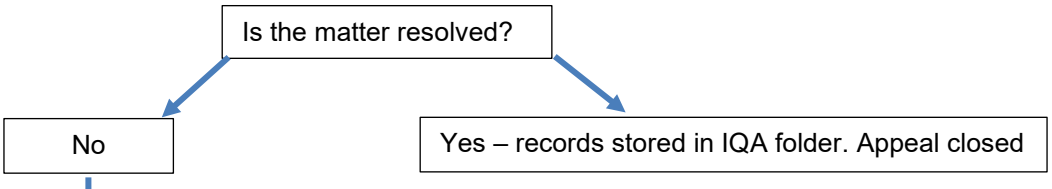
Assessor or IQA reviews evidence again and explains their existing or new decision within 5 days of initial resolution meeting



Stage 2

1. Learner lodges formal appeal using the IQA-08 Appeal against Assessment or IQA Decision form and submits to LIQA within 5 days of meeting with Assessor or IQA

2. LIQA conducts full review of assessment and/or IQA decision and meets with learner within 5 days of submission of IQA-08 form to provide the final decision



Stage 3

Learner escalates to relevant Awarding Organisation Appeals Procedure

Learner may further escalate appeal to Ofqual if satisfaction not obtained from Awarding Organisation