



Lumen Academy

Embrace Educate Empower

Assessment, Internal and External Quality Assurance Policy

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Document History

Version	Status		Date	Author	Summary Changes
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Introduction

Lumen Academy is committed to providing fair assessments for all students. All assessments and Internal Quality Assurance activity will be conducted in line with Awarding Organisation requirements, this includes externally marked assessments.

Lumen Academy will

- Deliver a variety of qualifications which provide all students 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. controlled formative and mock assessments) for external assessments, are carried out fairly and in accordance with academy or awarding organisation requirements and those of the Joint Council for Qualifications (JCQ), where appropriate
- Ensure all externally marked tests and exams will be conducted according to the requirements of the awarding organisation, including organising Exam Access Arrangements.

Assessment will be used to support students to build their knowledge and apply that knowledge as skills. Critically we expect teachers to check students' understanding in order to inform the teaching as well as helping them embed and use knowledge fluently and competently. Assessment should not be carried out in a way that creates unnecessary burdens for staff and students.

Assessment, formative or summative, should be understood by leaders and teachers as a mechanism to raise expectations but not be misused or overused.

Purpose

To ensure the quality and consistency of assessment and Internal Quality Assurance (IQA), and to provide guidance on External Quality Assurance requirements (EQA).

Scope

This procedure covers all academy programmes where assessment takes place. Note: Awarding Organisations may have requirements that exceed those identified in this document; where this is the case, then the requirements of the awarding organisation will apply.

Definitions

Summative Assessment	Assessments necessary to achieve the award of a qualification.
Formative Assessment	Assessments that do not directly contribute to the end achievement, but establish student's current

	knowledge, skills and understanding to plan for future learning.
Lead Internal Quality Assurer (LIQA)	An individual responsible for co-ordinating and managing the IQA process for a programme or a range of programmes.
Internal Quality Assurer (IQA)	An individual identified to ensure consistency and quality of assessment on a programme, via the process of IQA.
External Quality Assurance (EQA) Personnel	Those appointed by an awarding organisation to monitor the assessment work of the academy.
Awarding Organisation (AO)	An organisation accredited to award qualifications.
Academic Appeal	A process that allows, in certain circumstances, students to ask for a review of a decision relating to their academic progress or award.

Note: some of the role titles and process names identified within this document will differ, depending on the Awarding Organisation (e.g. IQA may be referred to as Internal verifier (IV), EQAs may be referred to as External Verifier(EVs) or Standards Verifiers (SVs) – this is not a definitive list)

Actions and responsibilities

The Quality Co-ordinator is the key contact for all Awarding Organisations (this includes acting as the Quality Nominee). Any contact to awarding organisations that is not described below and directly related to the role and responsibilities of the individuals titled below, must come to contact@lumenacademy.co.uk.

Centre/Qualification Approvals

Curriculum areas may wish to change/add to their qualifications. It is the L/IQA's responsibility to check the approval status of qualifications and the contact the quality co-ordinator to arrange any updates, changes and/or approvals. The L/IQA for the subject area wishing to deliver new qualification(s) will contact the Principal, with the qualification title, qualification Number and the awarding organisation of interest. This will be done alongside curriculum planning to ensure that approval is achieved in advance of the delivery start date. The quality co-ordinator will then assess the current offer and commence arrangements for next steps accordingly.

Assessment

All assessments need to be planned in accordance with the qualification specification. The assessor(s) will create an assessment plan using the qualification specification guidance.

Note: It is essential that submission/assessment dates are planned in line with qualification specification and assessment expectations of the awarding organisation.

It is mandatory that the plan is kept updated.

Once complete the assessment plan should be passed to the LIQA for verification. Following verification, it is passed to the respective Lead Internal Quality Assurer (LIQA) and shared with the quality co-ordinator via the LIQA file and then with students.

This process ensures that the assessment methods are appropriate, and assessment practices are both sound and consistent.

Where the LIQA identifies actions, these should be completed, re-checked and signed off, by the LIQA and changes reported to quality co-ordinator, prior to distribution to students

Course Director is responsible for ensuring that students are aware of the assessment appeals process (detailed in Appendix 1 of this procedure). The appeals process should be communicated to students during induction, prior to their first summative assessment activity.

Assessors/Tutors/Lecturers will need to follow the assessment plan. They should set assessment activities at the time identified within the plan and using appropriate assessment methods and material (e.g. approved assignment briefs). Where assessment dates change, the changes must be communicated to the Course Director and LIQA and once agreed, the changes should be communicated to the students.

During any assessment activity, the Assessor/Tutor is responsible for following academy's and Awarding Organisation requirements. The Assessor/Tutor, in liaison with the Course Director will ensure that all students have equal opportunities to participate and achieve to their full potential. This includes ensuring that any additional support or reasonable adjustments are in place. The Assessor/Tutor must ensure that all resubmission and retake rules are adhered to.

After the assessment activity, the Assessor/Tutor is responsible for providing, timely, constructive feedback. This needs to be in line with the Awarding Organisation's rules and using the correct method of recording this feedback. The Assessor/Tutor is responsible for maintaining assessment tracking. This should clearly show details of students' achievements. It should be in an appropriate format and in line with academy and the Awarding Organisations requirements.

NOTE: BTEC have very specific feedback rules, please ensure you familiarise yourself with the relevant Awarding Organisations rules and requirements.

Retention of student work

All work that is produced to evidence competence and counts towards

summative achievement must be retained until appropriate External Quality Assurance (EQA) has been completed. Once the EQA process has been completed, students are able to take their work home with them – if this is a paper-based portfolio, the work will need to be scanned and archived before the portfolio is collected by the student. The learner work, along with all assessment and IQA records must be retained by the Assessor/Tutor and stored with the DSL, for a minimum of 3 years or until the sample has been seen by an EQA – whichever is longer. The LIQA for each qualification is responsible for ensuring the safe archive and storage and to share archived files with DSL.

Conflict of interest in assessment

Assessors/Tutors are responsible for recognising and declaring any potential conflict of interest, relating to an assessment. Where conflict of interest is identified, the Conflict-of-Interest form should be completed and passed to the relevant tutor/teacher. The tutor/teacher will identify how the conflict will be managed. The completed form should be passed to the Principal. The Exams Officer will retain copies of all Conflict-of-Interest forms received, for the purpose of external audit. In certain situations (set by JCQ rules and regulations) the Exams Officer will inform the relevant Awarding Organisation of the declared conflict of interest.

Internal Quality Assurance (IQA) and External Quality Assurance (EQA)

IQA is a process by which we monitor the quality of assessment, it ensures that:

- The assessment process and evidence produced by the students is:
 - Valid - it meets the elements, performance criteria, range and / or knowledge requirement of the standard and is relevant to the standards for which competence is claimed.
 - Authentic - it been produced by the student
 - Reliable – it accurately reflects the level of performance which has been consistently demonstrated by the student
 - Current – it has been produced recently and the student is still able to demonstrate competence
 - Sufficient - it meets, in full, all the requirements of the standard and there is enough evidence to prove that the student has consistently demonstrate competency.

- Assessments are consistent/standardised – across assessors - the grading/marking is consistent, as well as the quality of the feedback. Ultimately, it should ensure that no student is disadvantaged, and all have equal opportunities to succeed/achieve

- Lumen academy uphold and maintain the integrity of the qualification (i.e. we are meeting Awarding Organisation/Ofqual/JCQ/DfE requirements)

- Each Assessor is supported to improve their own practice and development opportunities are identified, and acted upon

Note: The IQA process is also applicable to programmes that are externally assessed and should be approached from a formative perspective to support assessment practices and assessors.

The LIQA is responsible for planning formative and summative IQA activities and is the main person accountable for the Quality Assurance of their programmes. The LIQA will use the assessment plan(s) to generate an IQA sampling plan, which ensures that sampling is appropriate (linked to assessor risk), and covers all assessors, units, assessment methods and students over the academic year. This sampling plan must be shared with all relevant staff. The sampling plan should include details of live and formative IQA activities, where appropriate.

In addition to the sampling plan, the LIQA will also generate an IQA strategy, which will detail how IQA is managed within the programme area. They should maintain the IQA file (The IQA folder checklist - details the requirements for the IQA file), which will contain copies of all IQA reports and other documents that support quality assurance.

The LIQA will continually monitor assessment and IQA activities throughout the academic year, they may do this by sampling assessment decisions, sampling IQA reports and talking to students about their experiences, reporting any concerns to the relevant tutor/teacher. LIQAs are responsible for updating Awarding Organisations when there are staffing changes that impact on the delivery, assessment or IQA of the programme. It is essential that Awarding Organisations are made aware of all staff changes throughout the academic year – each Awarding Organisation has their own process for doing this.

BTEC specific LIQAs are the point of sign off for any resubmissions or retakes – there are very specific rules around resubmissions and retakes, please seek support from the BTEC Quality Co-ordinator where necessary.

LIQAs will participate in the appeals process.

The LIQA, in conjunction with the Quality Co-ordinator will liaise with Awarding Organisation personnel (e.g. External Quality Assurers, Standards Verifiers) to arrange sampling visits or activities.

Note: Whilst the Quality Co-ordinator is the main centre contact and lead representative for the academy, it is the LIQAs responsibility to liaise with the Awarding Organisation and External Moderation staff to arrange and agree a date for sampling, and provide all the requested evidence, within the timeframe specified.

Internal Quality Assurers (IQA) will work under the direction of the LIQA, following the sampling plan to undertake IQA activity, support assessors and ensure the conduct of assessment and assessment decisions are accurate and meet the Awarding Organisations standards.

Note: If an assessor disagrees with an IQA decision, then this should be referred to the Principal for consideration and guidance in the first instance. To formally appeal an IQA decision, Assessor against an IQA decision form should be used

Standardisation

Standardisation is a process that ensures all staff interpret the qualification requirements in the same way. It ensures that students have a consistent experience, and the Awarding Organisation's requirements are met, particularly if and where qualifications are delivered across different sites/different tutors.

The LIQA is responsible for arranging and chairing, at least 3, standardisation meetings throughout the academic year. These meetings must be attended by all Assessors and IQAs, and accurate records of standardisation activities must be kept, by the LIQA, and available to all staff that attend the meetings.

Some examples of Standardisation activities:

- Reviewing student work, assessment decisions and feedback
- Reviewing, revising and agreeing documentation format and completion
- Peer observation/shadowing – focusing on assessment practices

NOTE: BTEC have very specific standardisation requirements, please seek advice from the BTEC Quality Co-ordinator

External Quality Assurance (EQA)

Note: Different Awarding Organisations have different requirements and processes relating to EQA activity. This process may also be referred to as External Moderation, External Verification or Standards Verification – depending on the Awarding Organisation.

EQA is the process by which the Awarding Organisation ensures the integrity and quality of the qualifications we deliver. They do this by:

- Sampling students work (including resubmissions and retakes), assessment decisions and assessment feedback – to ensure quality and consistency in meeting national standards and Awarding Organisation requirements.
- Sampling IQA reports and other course documentation
- Talking to the relevant staff and/or students

External Quality Assurers (EQAs) will be allocated to the centre, throughout the

academic year (usually after January), these allocations are sent to the Quality Coordinator. The Quality Coordinator will forward the allocation notification to the relevant LIQA and Principal for actioning.

After, EQA sampling has taken place, the EQA will produce a written report, which is sent to the Quality Co-ordinator. This report will provide details on the quality of the sampling, good practice observed and any potential corrective actions that need to be undertaken.

Awarding Organisations have the power to apply sanctions to the academy, these can include: stopping certification of students, and ultimately removing centre approval. Where removal of certification occurs, an internal action plan will be generated by the relevant teacher, and the Quality Co-ordinator that addressed the issues identified by the EQA.

Claiming Achievements

Once the EQA process has been completed (providing there have been no sanctions applied, or any issues that may stop certification) achievements can be claimed. The tutor/teacher will submit claims via the required process for each awarding organisation. Some courses may have Direct Claims Status (DCS), where this is the case, claims can be made as and when students have completed all required work, assessment and IQA have been satisfactorily carried out. Note: not all qualifications will be able to attain DCS.

BTEC Claims:

- The Course Director (teacher or tutor in case of Lumen academy) submits the claim via Edexcel Online. A second person must be present to ensure grade accuracy.
- The Course Director and the other person present must sign each claim record.
- The Course Director will retain a copy of the claim and send a copy to the Exams department.
- Certificates will be sent to the academy (from BTEC) and the receptionist will notify each student.

Note: it is good practice to allow the student to check these grades achieved and the grades claimed.

Responsibilities

Quality Co-ordinator (in liaison with the Principal) is responsible for:

- liaising with, and being the first point of contact for, all awarding organisations
- Providing guidance and support to academy staff and Awarding Organisation staff around Quality Assurance (QA) processes
- identifying the minimum standards for assessment and internal quality assurance
- promoting good practice in assessment and internal quality assurance

- monitoring external quality assurance reports and bringing those of concern to the attention of the relevant teacher/tutor, students and other staff as relevant and appropriate
- Assisting with corrective Action Planning where necessary
- Maintaining and running effective systems to process and monitor student and curriculum data
- Delivering an effective examinations service
- Maintaining complete, accurate and up to date records of student achievements
- Ensuring compliance with relevant regulatory and audit requirements
- overseeing the smooth administration of external qualifications from registration/entry to certification
- adhering to the awarding organisation's requirements and JCQ regulations
- maintaining the security and integrity of external assessments and the provision of tests/exams
- ensuring that effective systems for assessment and internal quality assurance are established for all courses
- ensuring that the awarding organisation has appropriate access to staff, student work and records, as requested
- ensuring that any actions identified by the External Quality Assurer are appropriately addressed
- creating a corrective action plan, in the event of sanctions being imposed on the academy by an awarding organisation,
- ensuring that each programme has a named Lead Internal Quality Assurer (or similar role)
- ensuring that effective systems for assessment and internal quality assurance are established for all courses

Lead Internal Quality Assurer (LIQA) is the main point of accountability for Quality Assurance of the programme and is responsible for:

- being fluent with the awarding organisation's specific requirements, and ensuring the wider team is fluent of requirements
- creating an internal Quality Assurance strategy for local qualifications
- creating an IQA sampling plan, that ensures all units, all assessors, and where possible, all students are sampled throughout the academic year
- completing the Assessor Risk Rating form and ensuring that the sampling plan reflects the risk status of all assessors
- creating and maintaining an Internal Quality Assurance file and sharing the file with Senior Leaders
- Ensuring practice consistently meets and advises on the interpretation of qualification standards
- Ensuring that the assessment tools and gradebook are utilised to raise the quality and meet the requirement of the Academy and awarding organisations
- Quality Assuring all assessment methods - ensuring that the assessment practice is sound, i.e. ensuring the quality of the assessment process prior to any release to students

- Ensuring consistent and reliable assessment and IQA decisions, via formative and summative IQA
- Maintaining accurate records of IQA activity (IQA tracking)
- Guiding, supporting and advising tutors, assessors and other IQAs on the programme
- Arranging and chairing standardisation meetings in line with awarding organisation requirement
- Identifying and monitoring actions for improvement
- Liaising with the awarding organisation where deemed necessary
- Liaise with Quality Co-ordinator to arrange and leading the External Quality Assurance visit, and ensuring the Quality Co-ordinator has access to all requested information to share with Awarding organisations where necessary.
- Ensuring an effective system of recording student assessment, achievement and IQA is in place and has been carried out
- Managing own Continuing Professional Development, in order that own knowledge is current
- Reporting any breaches of requirements to quality co-ordinator immediately

Internal Quality Assurers (IQAs) are responsible for:

- ensuring consistent and reliable assessment, and IQA decisions (Formative & Summative)
- checking the quality of assessment to ensure that it is consistent, valid, fair, authentic and reliable (highlighting problems, trends and development needs of assessors to relevant managers)
- Informing the LIQA and quality co-ordinator of any staffing changes and any changes to the assessment plan
- Checking the assessment methods produced by assessors before they are issued to the students (where appropriate or applicable using appropriate templates) This checking should ensure that the assessment method will produce valid, reliable and authentic results
- Providing assessors with constructive written feedback regarding the quality of assessment design.
- Providing accurate advice and relevant support to assessors on a regular basis enabling them to achieve consistency in assessments to the required standard
- Ensuring that the programme team develops a standard approach to assessment recording and a shared understanding of the appropriateness and sufficiency of evidence
- Assisting assessors with arrangements for students with special assessment requirements
- Sampling and confirm whether assessment decisions meet required standards and authenticity
- Providing assessors with constructive feedback on the quality of their assessments, including action to be taken if assessment decisions are judged to be incorrect
- Observe assessors perform a range of activities as appropriate in accordance with the qualification and Awarding organisation requirements.

- Ensure assessment documentation is complete
- Maintain systematic internal quality assurance records
- Ensure that assessment and internal quality assurance records are stored in a secure place and that the requirements of awarding bodies for the duration of storage of such records are met
- Forward appropriate documentation promptly to the relevant personnel
- Be aware of the academy's Academic Appeals procedure
- Liaise with the External Quality Assurance personnel when required
- Managing own and assessors continuing professional development, in order that own/assessors knowledge is current

Course Teachers/tutors are responsible for:

- ensuring that all the awarding organisation assessment requirements for the qualification are met
- liaising with the Lead Internal Quality Assurer to ensure that each programme has a summative assessment plan and an internal quality assurance sampling plan
- working with assessors and IQA's to create a summative assessment plan
- ensuring Exam Access Arrangements are in place and appropriate, as well as any additional support – any dispensations will need to be communicated to the Quality Coordinator and the Exams Officer/lead/Principal
- Informing the LIQA of any staffing changes and any changes to the assessment plan
- carrying out assessments and making effective assessment decisions, based on the given grading criteria
- providing purposeful, written and verbal, feedback to all students, in line with academy and awarding organisation requirements
- for maintaining accurate and secure records of assessment decisions
- Complying with the in internal quality assurance and standardisation activities.
- Checking authenticity of learner work
- ensure that each student has been given details of the arrangements for assessment at the start of their programme.
- devise assessments which are at an appropriate standard and test the achievement of all the agreed aims and objectives
- ensure that students are aware that assessments must be made available for internal and external quality assurance purposes
- advise students on how to appeal against assessment decisions
- reject / refer assessments, if not up to the awarding organisation standards

Note: If an assessor disagrees with an IQA decision, then this should be referred to the LIQA or Principal for consideration and guidance.

Authenticity, Plagiarism and Artificial Intelligence.

All work will be submitted electronically so it can be checked against the misuse of Artificial Intelligence. Assessors will conduct the usual and regular checks alongside

AI detector to assess for potential plagiarism. All assessors will verify authenticity and ensure that learner declarations are signed.

Process for Academic Appeals

The process is designed to provide an opportunity for students to appeal against the outcomes of assessment for the qualifications for which they are enrolled with the academy and registered for with an awarding organisation.

In the case of internal assessments, the academy will make provision to ensure systems for Internal Quality Assurance are in place in line with academy policy.

In the case of external assessments, the Academy will ensure that all assessments and examinations are carried out in accordance with the regulations laid down by the Awarding Organisations and the JCQ.

Definitions

Academic Judgement:	the result of assessment solely by one assessor or examiner of academic or professional expertise, in determining the quality of a student's performance in any part of the assessment
Academic Decision:	the result of assessment by more than one assessor or examiner of academic or professional expertise, in determining the quality of a student's performance in any part of the assessment process; usually this would mean that the individual assessment (coursework or examination script) in question had been reviewed by an internal quality assurer or second marked by another assessor or examiner

Grounds for appeal

These procedures apply specifically to those students who undertake an examination or assessment that is within the control of the academy. Where the assessment is set and assessed by an external Awarding Organisation, the academy will be able to advise students how an appeal to the Awarding Organisation can be made.

Students can only appeal against an Academic Decision on the following grounds:

Ground 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).

Ground 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 awarding organisation, or that some other material

irregularity relevant to the assessment has occurred; disagreement with the Academic Decision of assessors or examiners is not in itself grounds for appeal.

Ground 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 ground be considered.

Process for making an appeal:

If you are unsure about the appeals procedure, there is help available from the SENCo

Stage 1 – informal resolution If a student believes that they have a justified grievance related to an assessment judgement or decision, the matter should be discussed informally with the assessor or examiner concerned in the first instance within 10 days of receiving the assessment decision. The student may receive academic counselling. A record of the meeting needs to be produced and a copy given to the student.

Stage 2 – informal resolution with the teacher. If the matter cannot be resolved at stage 1, the student should complete the Learner Appeal Against Assessment Decision Form and hand it to the appropriate teacher within 20 working days of receiving the assessment decision. This includes the 10 days allowed for Stage 1.

Stage 3 – Appeals Panel If there is still no resolution the student can ask to appeal, which will be heard by an Appeals Panel, providing the evidence listed in the relevant sections below within 5 working days of the result of the Stage 2 Informal resolution being communicated to the student.

Appeals against Academic Decision on ground A The student should provide details of the illness or other factor that may have resulted in poor assessment performance and written corroborative evidence from a professional person concerned (a medical practitioner for example). An Appeals Panel will consider this evidence.

Appeals against Academic Decision on the grounds B The student should provide details of the alleged error or irregularity with any other evidence that they possess. An Appeals Panel will consider this evidence.

Appeals against Academic Judgement on the grounds C This only applies if the assessment in question has been assessed by a single Assessor and has not been directly verified or second marked. The student should provide the relevant teacher with a written description detailing how the grading criteria have been incorrectly applied. An internal quality assurer will review the assessment concerned and will reach an Academic Decision with the assessor. This mark or

grade will stand unless the student subsequently appeals against the Academic Decision on Grounds A or B.

Appeals Panel

The Senior Leadership team will arrange for an Appeals Panel to meet within 10 working days to consider the appeal. The Appeals Panel will include:

- An independent Chair (Faculty Manager unrelated to the curriculum area with no prior involvement in this appeal)
- 2 academic members of staff (not involved in the curriculum area or in any prior stage of this appeal) The following should be made available to the Appeals Panel at least 2 working days before the meeting:
 - The written appeal and supporting documentation from the student
 - Complete results for the cohort of the assessment in question
 - Copy of the assessment
- At the Appeal Hearing, the Appeals Panel will:
 - hear the appeal by the student who may be accompanied by a friend or a representative and have representation from the curriculum team concerned
 - request the attendance of any other party who may be relevant to the case
 - inform the student and the staff of the Appeal Decision within 5 working days of the Appeal Hearing
 - report the decision to the relevant member of staff and keep records for a period of three years

Possible outcomes from the Panel Meeting

1. The Panel concludes that the appeal should not be upheld. The student will have no further right of appeal
2. The Panel concludes that the appeal should be upheld and the assessment outcome has not yet been subject to an Examination or Assessment Board or has not yet been quality assured by an External Examiner/Quality Assurer.
3. The Panel concludes that the appeal should be upheld and an Examination or Assessment Board has already agreed the assessment decision or that the assessment has been agreed by an External Quality Assurer.

The decision of the Appeals Panel is final for all judgements made within the jurisdiction of the academy. The decision of the panel will be confirmed to the student within 5 working days of the panel meeting.

If, after all internal procedures have been followed on an appeal, the student may appeal directly to the Examination or Awarding Organisation concerned. If, after following both the Lumen Academy's and the Awarding Organisation's processes, the student isn't satisfied by the outcome, the student can escalate their issue to the appropriate regulator i.e. Ofqual.

Assessment Malpractice

Malpractice consists of those acts which undermine the integrity and validity of assessment, the certification of qualifications and/or damage the authority of those responsible for conducting the assessment and certification. Lumen Academy does not tolerate actions (or attempted actions) of malpractice by either Students or Staff, in connection with any qualifications. Lumen Academy may impose penalties and/or sanctions on students where incidents (or attempted incidents) of malpractice have been proven. Incidents of malpractice will be reported to the awarding organisation via the appropriate channels.

Briefing Note on Assessment Malpractice

All staff must be vigilant regarding assessment malpractice and where malpractice occurs it must be dealt with in an open and fair manner. In the interest of students and staff, the academy will respond effectively and openly to all requests for an investigation into an incident or a suspected incident of malpractice. For policy on malpractice relating to GCSE, AS, GCE, AVCE, GNVQ and Functional Skills qualifications see the JCQ publication Suspected Malpractice in Examinations and Assessments, the latest issue (www.jcq.org.uk).

The Academy exists to provide and extend education and training amongst the communities it serves. An important aspect of academic endeavours is recognition of the effort and work of the individual student. As such, the academy views attempts to falsely claim the achievements of others as one's own as a serious academic offence and will deal with such actions in a fair and just manner.

Academic offences are defined as:

- Cheating in an examination: Copying from the work of other students, obtaining help from other students 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: This means copying work from any other source published, in a manner not authorised by the regulations for assessment and presenting the copied work as if it were the student's own work. Work presented by a student in assessment must be the student's own, and where exceptions are permitted, any such exceptions must be clearly identified, and the source fully acknowledged (including downloads from any internet site).
- Fabrication of information: This is the presentation of any false or fabricated information, results or conclusions in any form of assessment, including practical or field work studies, oral presentations, unpublished work, and including the work of fellow students, interviews and reports from work placements, etc.
- Collusion: This is the deliberate and intentional collaboration, without official approval, between two or more students in the development and production of

work that is eventually submitted by each student, in a substantially similar and/or identical form; and is presented by each student to be the outcome of his or her individual efforts.

Collusion also occurs where there is unauthorised co-operation between a student and another person, in or outside of Academy, in the preparation and production of work, which is ultimately presented, as the student's own.

- Artificial Intelligence Whilst we acknowledge that the risk of misuse of AI for assessment is new, the same check for plagiarism can be applied alongside the use of new AI detectors. AI carries many advantages for students when applied in accordance with acceptable use and referenced accordingly as part of research for summative assessment. We will be clear in our inductions that students are not to use AI to complete part/all of their assignments and the following (but not limited to) is classed as misuse:

- Copying or paraphrasing AI generated content so the work is no longer the original submission of the student.
- 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 students own work, analysis, calculations or evaluation and 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.

Action to be taken at the time of any suspected offence

- Cheating in Examinations: If an invigilator in an examination has cause to suspect any student 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 student up to that time will be suitably annotated. The student will, however, be allowed to complete the examination. At the end of the examination the student may be asked for an explanation. Unless a satisfactory response is received, the invigilator will submit a written report to the Exams Officer/Principal. This report will include a description of the evidence that cheating has occurred, together with details of the student's name, the date and time of the examination and any other relevant information. Where material is confiscated this material should be presented along with the written report. The Exams Officer/Principal will forward this information to the examining organisation in line with Examination Regulations.

- Plagiarism / Fabrication / Misuse of AI: Where a member of staff marking an assessment, or otherwise associated with the presentation of an assessment, suspects plagiarism, fabrication or collusion of information, the matter will be reported to the Principapl via a written report. The written report must include the appropriate details, including the nature of the alleged offence and the evidence for suspecting it. The academy's disciplinary process will then be followed.

- Collusion : Where a member of staff marking an assignment, or any piece of work associated with the assessment of modules, suspects unauthorised collusion in the production of that piece of work, between two or more students, the matter will be reported to the Principal. The written report should include: the nature of the alleged offence; the names of the students suspected of colluding; and the evidence upon which the allegation is based. The school's disciplinary process will then be followed.

Guidance on assessment malpractice

The academy requires assessors to ask students to declare that their work is their own, for instance:-

- For internally assessed units, assessors are responsible for checking the validity of the student's work.
- Internal quality assurers are responsible for checking the assessor has verified the validity of students work
- The Lead IQA is responsible for checking the IQA have verified the assessors checks of validity.
- For NVQs, students must provide a written declaration that the evidence is authentic and that the assessment was conducted under the requirements of the assessment specification.

The academy will take positive steps to prevent or reduce the occurrence of student malpractice. These steps will include:

- Using the induction period to inform students of the academy's policy on malpractice and the penalties for attempted and actual incidents of malpractice
- Showing students the appropriate formats to record cited texts and other materials or information sources including websites. Students should not be discouraged from conducting research evidence of relevant research often contributes to the achievement of higher grades. However, the submitted work must show evidence that the student has interpreted and synthesised appropriate information and has acknowledged any sources used.
- Introducing procedures for assessing work in a way that reduces or identifies malpractice, e.g. plagiarism, collusion, cheating, etc. These procedures may include:
 - Periods of supervised sessions during which evidence for assignments/tasks/coursework is produced by the student
 - Altering assessment assignments/tasks/tools on a regular basis
 - The assessor assessing work for a single assignment/task in a single session for the complete cohort of students
 - Using oral questions with students to ascertain their understanding of the concepts, application, etc within their work
 - Assessors getting to know their students' styles and abilities, etc.
 - Ensuring access controls are installed to prevent students from accessing and using other people's work when using networked computers.

Student malpractice

Attempting to or carrying out any malpractice activity is not permitted by the academy. The following are examples of malpractice by students; this list is not exhaustive and other instances of malpractice may be considered by the academy at its discretion:

- Plagiarism by copying and passing off, as the student'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 students to produce work that is submitted as individual student work. students should not be discouraged from teamwork, as this is an essential key skill for many sectors and subject areas, but the use of minutes, allocating tasks, agreeing outcomes, etc are an essential part of teamwork and this must be made clear to the students
- 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
- Fabrication of results and/or evidence
- Failing to abide by the instructions or advice of an assessor, a supervisor, an invigilator, or awarding organisation conditions in relation to the assessment/examination/test rules, regulations and security
- Misuse of assessment/examination material
- Introduction and/or use of unauthorised material contra 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 which could be assessment/examination/test related (or the attempt to) by means of talking or written papers/notes during supervised assessment/examination/test conditions
- 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.

Academy staff malpractice

The following are examples of malpractice by centre staff. The list is not exhaustive and other instances of malpractice may be considered by the academy at its discretion:

- Failing to keep any awarding organisation mark schemes secure
- Alteration of any awarding organisation mark schemes
- Alteration of any awarding organisation's assessment and grading criteria
- 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 staff 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 staff member 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 a scribe, this is permissible up to the point where the support has the potential to influence the outcome of the assessment
- Failing to keep student computer files secure
- Falsifying records/certificates, for example by alteration, substitution, or by fraud
- Fraudulent certificate claims, that is claiming for a certificate prior to the student completing all the requirements of assessment
- Failing to keep assessment/examination/test papers secure prior to the assessment/examination/test
- Obtaining unauthorised access to assessment/examination/test material prior to an assessment/examination/test.

Investigating and dealing with alleged malpractice

If the academy discovers or suspects anyone of malpractice, it will make the individual fully aware (in writing) within 5 working days of the discovery of the nature of the alleged malpractice and of the possible outcomes should malpractice be proven. Also inform such individuals of the avenues for appealing should a judgment be made against them. The Academy's Disciplinary Process / Staff Disciplinary Code may be applied.

A senior leader will decide if the relevant awarding organisation will be contacted. If the college is alleging an individual may have been involved in act(s) of malpractice, the centre must give the individual the opportunity to respond (in writing) to the allegations made. The academy will commence an Investigation process which will conclude within two weeks of the formal notification of alleged malpractice allegations to the student.

It may be necessary during this process to notify the funding authorities. The academy may have to notify the police in some cases of malpractice. It is accepted that awarding bodies may apply sanctions to the academy.

Possible outcomes:

- Allegations dismissed or unfounded
- Written warning
- Resubmission of work required
- Removal from qualification (last resort repeated attempts at malpractice)

Note: This information must be read in conjunction with any guidance, policy or briefing note issued by an awarding organisation

Conflict of Interest in Assessment and IQA Policy

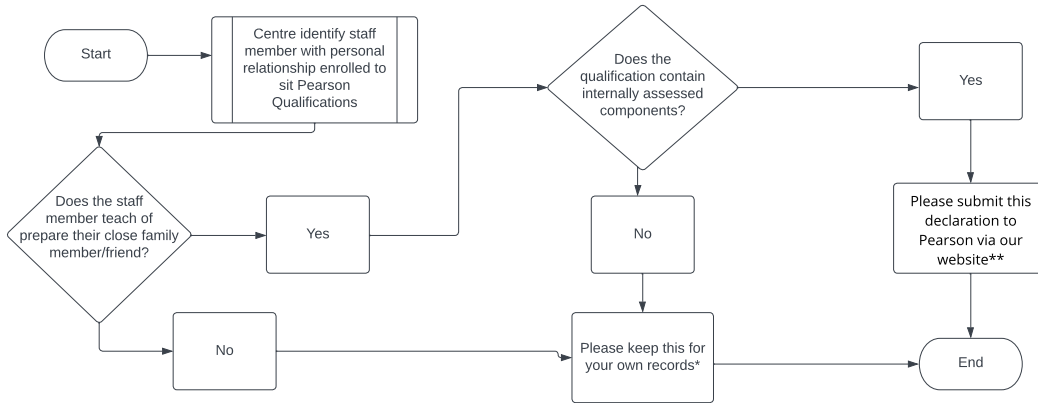
Lumen Academy will ensure that assessment and internal quality assurance processes are free from conflicts of interest that could adversely affect judgement or objectivity and advantage / disadvantage a student.

Further Information A conflict of interest may generally be defined as a conflict between the official responsibilities of a Tutor, Assessor or internal quality assurer, and any other interests the particular individual may have that could compromise or appear to compromise their decisions. The policy covers any member of staff, full time, fractional or hourly paid tutor, or any other member of staff undertaking a role within assessment / quality assurance, who has a relationship with a student or potential student which is likely to appear, to a reasonable person, to influence that member of staff's objectivity. This could include support staff, tutors, assessors or internal quality assurers having a close or familial relationship with a student, or student's family whilst being involved in decisions about the outcome of their qualification.

Process It is the responsibility of each individual to recognise situations in which they may have a conflict of interest or might reasonably be seen by others to have a conflict; to disclose this conflict and to take such further steps as may be appropriate.

When this is the case, the individual should complete a Conflict of Interest in Assessment form. This information should be submitted to the Principal, to be evaluated and identify if any further action is required and who shall record of all declarations of a conflict of interest will be maintained. Most situations require no further action than the completion of the form. In some instances, however, the information declared will require some follow up action, in order for the conflict of interest to be managed appropriately.

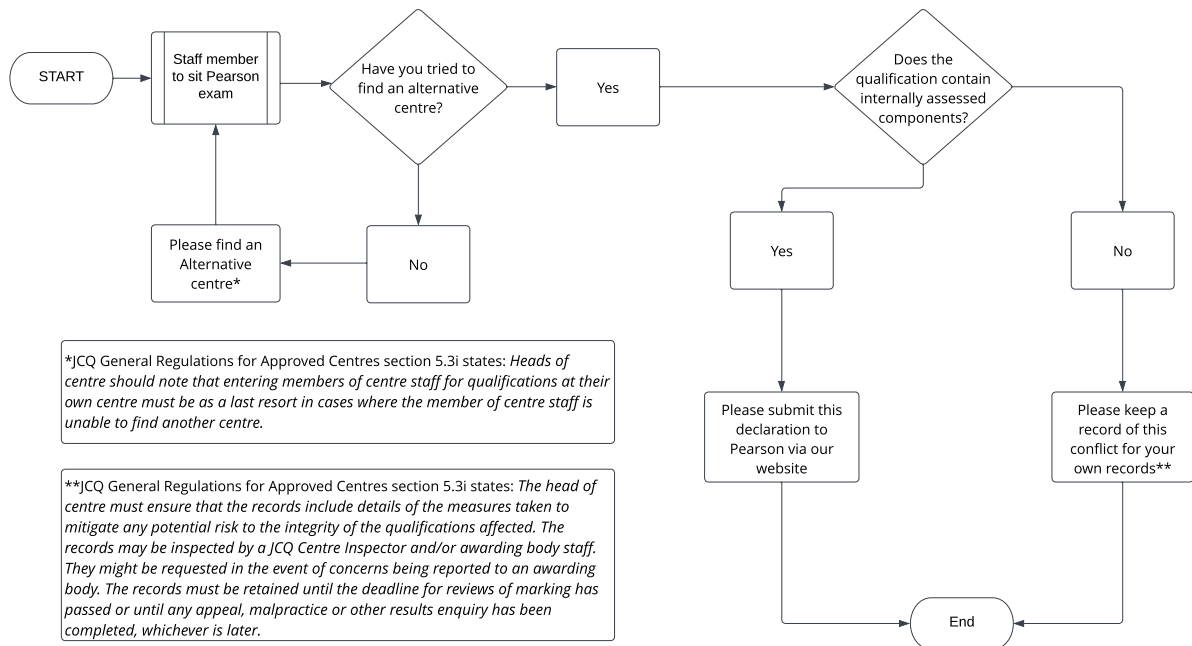
Centre Declarations of Interest: Submitting a declaration for staff members teaching or preparing a family member or close friend



*JCQ General Regulations for Approved Centres section 5.3i states: *The head of centre must ensure that the records include details of the measures taken to mitigate any potential risk to the integrity of the qualifications affected. The records may be inspected by a JCQ Centre Inspector and/or awarding body staff. They might be requested in the event of concerns being reported to an awarding body. The records must be retained until the deadline for reviews of marking has passed or until any appeal, malpractice or other results enquiry has been completed, whichever is later.*

**JCQ Instructions for conducting coursework section 8.2 States: *Centres must make every effort to avoid situations where a candidate is assessed by a person who has a close personal relationship with the candidate, for example, members of their family (which includes step-family, foster family and similar close relationships) or close friends and their immediate family (e.g. son/daughter). Where this cannot be avoided, the centre must declare the possible conflict of interest to the relevant awarding body and submit the marked work for moderation whether or not it is part of the moderation sample. Further details are given in section 5 of the JCQ publication General Regulations for Approved Centres. This publication is available in an interactive format within the Centre Admin Portal (CAP). The Centre Admin Portal can be accessed via any of the awarding bodies' secure extranet sites. The document is also available in PDF format on the JCQ website.*

Centre Declarations of Interest: Submitting a declaration for staff members sitting exams at their own centre



*JCQ General Regulations for Approved Centres section 5.3i states: *Heads of centre should note that entering members of centre staff for qualifications at their own centre must be as a last resort in cases where the member of centre staff is unable to find another centre.*

**JCQ General Regulations for Approved Centres section 5.3i states: *The head of centre must ensure that the records include details of the measures taken to mitigate any potential risk to the integrity of the qualifications affected. The records may be inspected by a JCQ Centre Inspector and/or awarding body staff. They might be requested in the event of concerns being reported to an awarding body. The records must be retained until the deadline for reviews of marking has passed or until any appeal, malpractice or other results enquiry has been completed, whichever is later.*

End Point Assessment - Conflict of Interest Declaration

Use this form to record the details of any real or potential conflict of interest. Refer to the *Conflict of Interest Policy* for further guidance and examples.

Please retain a copy for your records.

Name: _____ Date: _____

Role (please tick): Lead Independent Assessor Independent Assessor

Please provide the names and position of those identified with a conflict of interest

Name/s	Position/s

Please provide details of the conflict of interest that has been identified

Please tick to indicate whether: Temporary Ongoing

What measures have been taken to avoid the conflict of interest if possible?

If unavoidable, what action is being taken to minimise the risk of any adverse effects?

Declaration

I confirm that the information provided is true and accurate

Name: _____ Signature: _____

Date: _____

Reviewed By:

Monika Sethi

September 2024

Next Review Date:

September 2025

Approved by Director:

19th September 2024

Signed:

A handwritten signature in black ink, appearing to be 'Monika Sethi', written in a cursive style.

Monika Sethi
Principal and Director