

**UNIVERSITY OF THE ARTS LONDON  
AWARDING BODY**

**OPERATIONS,  
POLICIES &  
PROCEDURES**

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# **SECTION A:**

# **INTRODUCTION**

## **1. Introduction to the University of the Arts London Awarding Body**

The University of the Arts London consists of six internationally renowned colleges, Camberwell College of Arts, Central St Martin's College of Art and Design, Chelsea College of Art and Design, London College of Communication and Wimbledon College of Art. Drawing upon 150 years of experience, it is Europe's largest university for art, design, fashion, communication and the performing arts.

University of the Arts London Awarding Body, or UAL Awarding Body, is a part of the wider University of the Arts London and is a specialist further education awarding body focusing on the arts, design and communication sector.

## **2. Mission, Vision and Aims**

Our vision sets out where we want to be by 2015. Our vision is to be recognised by our customers, our regulators and the broader art and design community as the leading awarding body for the arts and design.

Our mission statement sets out how we will achieve our vision: Our mission is to develop and award units and qualifications that promote the very best practice in the design, assessment and quality assurance of art and design qualifications for FE. All of our qualifications will be supported by excellent customer service, administration and support services.

Our strategic aims for the period 2011 – 2013 remain to:

Establish a reputation for excellence in the design, assessment and quality assurance of art and design qualification for FE and operate on a successful commercial basis

### 3. Legal Status

The University's correct legal title is University of the Arts, London. It is usually abbreviated in legal documents to simply UAL.

The University of the Arts, London is a Higher Education Corporation, established by virtue of Section 121 of the Education Reform Act 1988. Statutory Instrument No. 1988 No.1799 acknowledges that the University is such a body, (listed under its former name of the London Institute).

With the implementation of the Charities Act 2006, the Higher Education Funding Council (HEFCE) became the principal regulator under charity law for the University. In turn, HEFCE is responsible to the Charity Commission for the regulatory duties it undertakes under the 2006 Act. The University is not a charitable company.

As an exempt charity, the University has the same tax benefits as registered charities, which include the ability to recover tax deducted from deeds of covenant and receipts under gift aid, exemption from inheritance tax for donors to institutions as well as exemption from capital gains tax.

Information about exempt charities and their status is available on the Charities Commission website at:

<http://www.charitycommission.gov.uk/showcharity/registerofcharities/registerhomepage.aspx?&=&>

Last reviewed: Jan 2011

### 4. Governance

UAL Awarding Body is regulated by the Office of Qualifications and Examinations Regulation, Ofqual. The Apprenticeship, Skills, Children and Learning Act (2009) created statutory duties and responsibilities for Ofqual which, following a period of consultation, they enacted in July 2011.

The new regulations position accountability for awarding body operations at the level of the 'governing body'; the legal entity responsible for the running of the organisation and in the case of UAL Awarding Body, the University's Court of Governors.

The change in regulations required a corresponding change to governance arrangements for the awarding body.

From July 2011 the University's Court of Governors became accountable:

- for the quality and standards of our qualifications
- for our compliance with the *conditions of recognition*
- for ensuring cooperation with OFQUAL
- for overseeing remedial action should things go wrong.

Day-to-day operations are overseen by the Director and the Management Group.

# **SECTION B:**

# **CENTRE APPROVAL**

## **1. Centre and Qualification Approval**

### **Centre Approval**

All centres delivering UAL Awarding Body qualifications must achieve Centre Approval, via the centre approval process. Centre approval often happens at the same time as qualification approval, and consists of the following stages:

#### **Stage 1 - Centre visit**

UAL Awarding Body will visit the Centre to meet delivery staff and look at resources

#### **Stage 2 - Desk research**

UAL Awarding Body will carry out desk research looking at reports, such as Ofsted reports, and the institution's own website

#### **Stage 3 – Centre approval form**

Centres must complete the UAL Awarding Body 'Centre Approval Form' and submit this to the Quality Manager. The form will be reviewed and an approval decision will be made by the UAL Awarding Body Management Group

#### **Stage 4 – Notification of decision**

UAL Awarding Body will contact the Centre to inform them of the decision made by the Management Group. The Centre may be approved, approved with conditions or not approved.

Centres must provide details of the systems and policies they have in place that allow them to carry out the effective delivery and assessment of UAL Awarding Body qualifications. They must also sign up to a series of requirements regarding their obligations to UAL Awarding Body and OFQUAL, and confirm that they have read and understood UAL Awarding Body Policies.

Centre approval is generally given for a period of three years, unless specific conditions are imposed.

UAL Awarding Body must be informed of any changes that a Centre makes which relate to the systems and processes covered by, or to the declarations made during, qualification approval.

The centre approval process used by UAL Awarding Body complies with the 'General Conditions of Recognition' set down by OFQUAL.

The 'Centre Approval Form' and more detailed 'Guidelines on Applying for Centre and Qualification Approval' are available on request from UAL Awarding Body.

### **Qualification Approval**

All centres delivering UAL Awarding Body qualifications must achieve Qualification Approval, via the qualification approval process. Qualification approval often happens at the same time as Centre approval, but does also occur in isolation as previously approved Centres expand their portfolio of UAL Awarding Body qualifications.

If the application for qualification approval happens at the same time as centre approval, then the application is considered during **Stages 1-4** outlined above.

If the application for qualification approval happens in isolation and relates to a previously approved Centre, then the process will be as follows:

**Stage 1 – Qualification approval form**

Centre's must complete the UAL Awarding Body 'Qualification Approval Form' and submit this to the Quality Manager. The form will be reviewed and an approval decision will be made by the UAL Awarding Body Management Group

**Stage 2 – Notification of decision**

UAL Awarding Body will contact the Centre to inform them of the decision made by the Management Group. The Centre may be approved to deliver the qualification, approved to deliver the qualification with conditions or not approved to deliver the qualification.

Qualification approval is generally given for a period of three years, unless specific conditions are imposed.

The 'Qualification Approval Form' asks the Centre to identify a named point of contact. This must be the individual who has direct responsibility for ensuring that there are appropriate policies, strategies and practices in place to fully, transparently and effectively support the quality assurance of UAL Awarding Body Qualifications

This person is also responsible for ensuring that all information and policies, which come from UAL Awarding Body, are cascaded to appropriate staff throughout the organisation within a reasonable timescale.

Centres are requested to provide details of the organisation of and resources relating to the delivery of the qualifications and sign up to a series of requirements regarding their obligations to UAL Awarding Body and OFQUAL.

UAL Awarding Body must be informed of any changes that a Centre makes which relate to the systems and processes covered by, or to the declarations made during, qualification approval.

The qualification approval process used by UAL Awarding Body complies with the 'General Conditions of Recognition' set down by OFQUAL.

The 'Qualification Approval Form' and more detailed 'Guidelines on Applying for Centre and Qualification Approval' are available on request from UAL Awarding Body.



## 2. Guidelines for UAL Awarding Body centres. Using the UAL and UAL Awarding body brand and visual identity

Centres approved to offer UAL Awarding Body qualifications have, through their Qualification Approval Document, *“agreed to abide by all reasonable stipulations by UAL Awarding Body concerning the use of its logo”*.

These guidelines have been developed in order to set-out more clearly for Centres what such ‘reasonable stipulations’ are and how they relate to both the UAL logo and wider brand / visual identity.

These guidelines will be an important reference point when Centres are considering how they describe their approval to deliver and assess UAL Awarding Body qualifications in any course and marketing/promotional materials.

### 1.0 Review and sign off:

1.1 Sign off parties	<p>In most instances these guidelines should make it clear how UAL Awarding Body Centres should approach the use of the UAL brand and visual identity.</p> <p>Where any clarification is required Centres should approach Nick Juba, Director of UAL Awarding Body. Any and all requests to use the UAL Brand and visual identity in contravention of these guidelines must be agreed with Nick Juba in advance.</p>
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### 2.0 Translated text:

2.1 How to describe UAL Awarding Body in different languages	<p>Centres should not translate ‘<b>University of the Arts London Awarding Body</b>’ or any of its qualification titles such as ‘<b>Foundation Diploma in Art &amp; Design</b>’ into different languages. This must always remain as English text.</p>
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### 3.0 Use of Copy/Text relating to UAL and UAL Awarding Body:

3.1 Relationship between the Centre and UAL and UAL Awarding Body	<p>Centres have a relationship with UAL Awarding Body and not UAL. When describing this relationship the following terms should be used:</p> <ul style="list-style-type: none"> <li>• University of the Arts London Awarding Body</li> <li>• University of the Arts London (UAL) Awarding Body</li> <li>• UAL Awarding Body</li> <li>• The Awarding Body – where ‘University of the Arts London’ has been mentioned previously</li> </ul>
3.2 How to describe the relationship	<p>Centres should describe their relationship with UAL Awarding Body as below:</p> <ol style="list-style-type: none"> <li>1. [Name of University/College] is an approved centre for the University of the Arts London Awarding Body [name of qualification] e.g. Foundation Diploma in Art &amp; design.</li> </ol>
3.3 About UAL Awarding Body	<p>The following text can be used in press releases etc.</p> <p>“University of the Arts London Awarding Body is a specialist awarding body offering qualifications in the creative arts, with an emphasis on art, design and communication. It has been approved by Ofqual to develop and award qualifications in the new Qualifications &amp; Credit Framework (QCF). It is owned by, and based within, University of the Arts London.”</p>

	More about UAL Awarding Body and the qualification can be found here: <a href="http://www.arts.ac.uk/awarding">http://www.arts.ac.uk/awarding</a>
3.4 Link to UAL	In describing the relationship between UAL and UAL Awarding Body, Centres can state that: <ul style="list-style-type: none"> <li>• UAL Awarding Body is a part of University of the Arts London, UAL.</li> <li>• University of the Arts London is comprised of six colleges and then list out the names.</li> </ul> <p>Centres must not infer a wider relationship with UAL or any of its constituent colleges. Centres <b>must not</b> use the logos of the constituent colleges.</p>
3.5 Title of Qualifications	In most instances Centres are encouraged to use the full accredited title when describing UAL Awarding Body qualifications. These are clearly listed on all awarding body documentation but can also be found on the National Database of Accredited Qualifications, NDAQ. <p>By way of example, the full title for the Foundation Diploma or FAD is:</p> <ul style="list-style-type: none"> <li>• <b>University of the Arts London Awarding Body (Level 3 / 4) Foundation Diploma in Art &amp; Design</b></li> </ul> <p>Or:</p> <ul style="list-style-type: none"> <li>• <b>UAL Awarding Body (level 3 / 4) Foundation Diploma in Art &amp; Design</b></li> </ul> <p>HOWEVER, where 'University of the Arts London Awarding Body' or 'UAL Awarding Body' has been mentioned in the same sentence / paragraph already, the following shortened title may be more appropriate:</p> <ul style="list-style-type: none"> <li>• <b>Foundation Diploma in Art &amp; Design</b></li> </ul>
3.6 About the qualification	Centres might also want to state that: <ul style="list-style-type: none"> <li>• The [name of qualification] is nationally accredited by Ofqual.</li> <li>• The [name of qualification] is quality assured by UAL Awarding Body through a rigorous external moderation process and grades are monitored against agreed national standards.</li> </ul>

#### 4.0 Visuals/Logos:

4.1 Use of logo and visuals	Centres must not use the UAL / UAL Awarding Body logo on any marketing or promotional materials. <p>Any request to use the UAL Logo must be made to Nick Juba, Director of UAL Awarding Body.</p>
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# **SECTION C:**

# **REGISTRATION AND CERTIFICATION**

## 1. Candidate Registration

Once a Centre has received confirmation of its recognised Centre status, learner registrations may be submitted through a named administrative contact. Registrations will not be accepted from a Centre that is not approved or does not hold valid qualification approval.

Full time registrations should be submitted by the Awarding Body deadline published each year. Late registration fees will be payable for entries received after the date. The Awarding Body will invoice Centres according to Learner Registrations. Invoices will be sent after receipt of registrations.

Registrations will be accepted in the format they are received and candidate names will appear on certificates and documentation in this format. Centres will receive confirmation of registrations made. It is a centre's responsibility to check the registrations are accurate. Any inaccuracies or amendments must be notified giving relevant learner and course details.

Learner registrations must be submitted electronically through the Quartz system (see separate guidance and training service) and must include Unique Learner Numbers (ULN). (Please refer to the section below on ULN's for further information).

### **Unique Learner Number (ULN) & Personal Learner Record (PLR)**

All UAL Awarding Body qualifications are accredited under the qualifications and Credit Framework (QCF). The QCF replaces the NQF (National Qualifications Framework) and is a way of recognising achievement through the award of credits for unit and qualifications

- On the QCF each learner must have a Unique Learner Number (ULN)
- The ULN is a national identifier, which a learner will keep for the rest of their lifetime
- The ULN is provided by the MIAP Learner Registration Service (LRS)
- The ULN is used to create a Learner Record (LR) for each learner.
- The PLR (Personal Learner Record) gives access to a single record of the learner achievements in a user-friendly format to enable understanding of credits, units and qualifications for learners and prospective employers

### **Gaining Access to the MIAP LRS**

Your institution must register with MIAP as a Learner Registration Body in order to gain access to the Learner Registration Service (LRS).

[www.uklrs.miap.gov.uk/secure/](http://www.uklrs.miap.gov.uk/secure/) provides guidance from the Learner Registration Service to obtain the mandatory individual ULN's from [lrsupport@learningrecordsservice.org.uk](mailto:lrsupport@learningrecordsservice.org.uk) or Telephone: 0845 602 2589.

The MIAP will send you the Organisation Agreement and Organisation Registration Form. Alternatively you can download the documents from the MIAP website.

## **2. UAL Awarding Body - Data retention**

UAL Awarding Body uses a system called 'Quartz' to support the management of its' qualifications and services. The information system has been developed by Portico Consulting to support the entire lifecycle of qualification development, the recognition and external assessment of Centres, and the registration and certification of achievement. It provides a comprehensive range of functionality to support all aspects of UAL Awarding Body operations, including the ongoing administration and record- keeping for credit-based provision.

Quartz has been designed as an integrated solution to the management of awarding body data and is built using the industry standard "Service Oriented Architecture" which is also the mechanism used by the PLR and LRS. Portico Consulting provides a range of management consultancy and technology services in the public, not for profit, and education sectors. The company has extensive experience of supporting the operations of awarding bodies and is an organisation committed to ongoing development of the Quartz system and the development needs for information and systems in the area of credit-based learning.

UAL Awarding Body data is hosted securely on two separate 3rd party data centres and is accessible through secure portals and logins from selected members of the Awarding Body team.

As part of the hosting arrangement, Portico Consulting perform backups across multiple machines, and across multiple, geographically distant sites on a day to day basis. In the event of the server, or data-centre where the service is hosted, becoming unavailable, Portico are obliged within their contract to get a disaster recovery service back up and running within 48 hours.

As for the data itself, this lies in two separate 3rd party data centres and therefore, in the unlikely event of Portico going out of business, there are the arrangements for an orderly transfer of data and systems, as necessary.

UAL Awarding Body also maintains separate electronic records of learner registration, centre approvals, external moderation details, external assessment records and award of certificates. Paperbased copies of centre approvals, external moderation details, class lists, external assessment records and certificates issued are filed annually.

### **3. Record Keeping**

Centres are expected to maintain records from learner registration to completion of assessment and award of certificates. As a minimum, every Centre should hold:

- Records of all learners registered with the UAL Awarding Body for each qualification and should include
  - learner name
  - date of birth
  - contact address
  - internal verifier/assessor(s) names
  - date of registration with the UAL Awarding Body.
- Records of learner assessment detailing who assessed what and when, the assessment decision, assessment methods used for each unit and locations of supporting evidence;
- Records of internal assessment/verification activity detailing who was involved and when it took place, details of the sample selected and rationale behind this selection, records of internal standardisation, records of staff support and competence records;
- Record of all certificates claimed including who claimed the certificate and on what date.

Centres must ensure these records are available to the UAL Awarding Body if requested and an audit trail can be provided which clearly substantiates authenticity for claims of certification.

The UAL Awarding Body expects all records listed above to be held for a minimum of five years after completion. This timescale may assist Centres in planning for other external audits, for example from regulators such as Ofqual, DIUS, DfE or funding providers.

### **4. Retention of Evidence Records of Assessed Work**

Centres must retain copies of assessment evidence and internal verification records for a period of three years from the date the learner's certificate was claimed from UAL Awarding Body.

For units that are assessed and internally verified by the assessment Centre, samples of learners work must be retained or digitally recorded and will be subject to monitoring by UAL Awarding Body to ensure standards are maintained over time. Centres may find it useful to use these as the basis for standardisation activities carried out by internal verifiers, external moderators and UAL Awarding Body.

### **5. Issuing results and certificates**

UAL Awarding Body issues its results solely through the issuing of certificates. When all External Moderation and quality assurance is complete, the Centre is responsible for claiming certification via UAL Awarding Body.

Centres should make claims promptly on learner completion when all assessment is completed and the Grade Confirmation Form has been signed by the UAL Awarding Body External Moderator or External Verifier.

Where learners do not complete the full qualification, Centres may claim a unit credit certificate for units that have been successfully completed.

Once they have been printed and checked by UAL Awarding Body staff, certificates are sent to Centres who are responsible for sending the certificates on to learners.

Centres should enter results data carefully and ensure all data is correct and authorised before electronic submission to UAL Awarding Body for certification. Should there be any errors in certificates then these must be returned to UAL Awarding Body with a full explanation and request for replacements if necessary. Any changes must be signed off by the administration contact confirmed through the Centre Approval process.

In the event that certificates are received with errors the Centre should immediately inform UAL Awarding Body. The Awarding Body will ask the Centre to destroy the certificates, and to confirm when they have done so.

UAL Awarding Body will provide certificates to all learners who have a valid entitlement to that certificate or replacement certificate. The centre is responsible for providing accurate assessment and achievement data, on the basis of which UAL Awarding Body will produce certificates. This requirement is set out in the 'Centre and Qualification Approval' forms.

UAL Awarding Body will revoke any certificate if the result on that certificate is found to be false because of malpractice or maladministration, or because of the result of an appeals process. Revoked certificates must be returned to UAL Awarding Body where they will be destroyed.

The regulatory logos on UAL Awarding Body qualification certificates indicate that the qualification is accredited only for England, Wales and Northern Ireland.

The format of UAL Awarding Body certificates has been approved by OFQUAL, and they contain the following information:

- Learner name and ULN
- Centre name
- Qualification level and title
- Overall qualification grade
- Date of achievement
- Units comprising the full qualification.

Certificates are only issued at the end of the quality assurance process, after External Moderation or External Verification has taken place. This ensures that the certificates, and therefore the results, accurately and completely reflect the marking of assessments.

UAL Awarding Body commits to sending out certificates within ten working days of the receipt of results.

## **Process for issuing results and certificates**

### **Stage 1**

External Moderation/External Verification is completed on the date selected by the Centre. The External Moderator/External Verifier signs off the grades proposed by the Centre and completes the UAL Awarding Body 'Grade Confirmation Form'. The 'Grade Confirmation Form' is signed by the External Moderator/External Verifier and also by an appropriate member of Centre staff, often the Course Leader

### **Stage 2**

The External Moderator/External Verifier returns the completed 'Grade Confirmation Form' to UAL Awarding Body

### **Stage 3**

Centre submits the grades signed-off by the External Moderator or External Verifier via the UAL Awarding Body online Quartz system

### **Stage 4**

UAL Awarding Body processes the results, and generates and prints the certificates. UAL Awarding Body checks the certificates and sends them by special delivery, guaranteeing next day delivery, to a named contact within the Centre.

## **6. Issuing replacement certificates**

UAL Awarding Body will issue replacement certificates in the following circumstances:

1. The certificate contains an error, which is the fault of UAL Awarding Body
2. The certificate contains an error, which is the fault of the Centre
3. The certificate contains an error, which is the fault of the learner
4. The certificate is damaged, stolen or lost.

If the replacement certificate is required because of an error, which is the fault of the Centre of learner, or if the certificate has been damaged, lost or stolen, there will be a charge of £25 for the replacement certificate.

If the replacement certificate is required because of an error, which is the fault of UAL Awarding Body, there will be no charge.

The request for a replacement certificate should come from the Centre rather than the individual student, via a completed 'Replacement Certificate Form' available on the UAL Awarding Body website.

UAL Awarding Body will ask the Centre to destroy any damaged or incorrect certificates, and will ask the Centre to notify them when this has been done or the certificate(s) can be returned to UAL Awarding Body.

All replacement certificates will be clearly marked as replacements.

Requests for replacement certificates will be dealt with within ten working days wherever possible. If this is not possible, the centre will be informed of the date on which the replacement certificate will be sent.

The Centre will be invoiced annually for any replacement certificates it has requested. The invoice will indicate the number of replacement certificates issued, the cost per certificate and the total cost.



# **SECTION D:**

# **ASSESSMENT**

## **1. UAL Awarding Body Assessment Policy**

**This policy also exists as a stand-alone document. To ensure consistency, it is reproduced here in its entirety.**

## **Section 1 - Overview of the document**

### **1.1 Scope of the document**

This document is for Centres and External Moderators, and also learners, and is designed to provide guidance on the assessment, external moderation and external verification of UAL Awarding Body qualifications.

This document relates to the qualifications shown below, and should be read by all those who are involved in their delivery and quality assurance:

- L3 and L4 Foundation Diploma in Art & Design
- L2 Award and Diploma in Art & Design
- L2 Award and Diploma in Performing and Production Arts
- L2 Award and Diploma in Media
- L3 Diploma and Extended Diploma in Art & Design
- L3 Diploma and Extended Diploma in Performing and Production Arts
- L3 Diploma and Extended Diploma in Media
- L4 Diploma in Fashion Retail
- L2 and L3 Awards and Certificates in Drawing
- L2 and L3 Awards and Certificates in Animation
- L2 and L3 Awards and Certificates in Photography
- L2 and L3 Awards and Certificates in Printmaking
- Film Suite Qualifications.

This document should be read in conjunction with the qualification specification and centre handbook documents available for each of these qualifications.

These documents are all available to download from the UAL Awarding Body website.

### **1.2 Purpose of the document**

This document sets out the underpinning approach and philosophy that UAL Awarding Body has to the assessment, moderation and verification of its qualifications. Given the nature of education in, and qualifications for, art, design and related subjects, UAL Awarding Body believes that a particular approach is required in order provide assessments that are fit for purpose.

This document also provides information on the mechanics of external moderation and external verification, and outlines the roles and responsibilities of the awarding body, the centre, internal assessors, moderators and verifiers and external moderators and verifiers.

### **1.3 Accessing the document**

You can download copies of the policy from our website here:

[www.arts.ac.uk/awarding/policiesandprocedures/](http://www.arts.ac.uk/awarding/policiesandprocedures/)

#### **1.4 Communication of the document**

UAL Awarding Body will ensure that all Centres have access to this document by making it available and prominent on its website.

UAL Awarding Body approved Centres must ensure all relevant staff involved in the management, assessment, moderation or verification of UAL Awarding Body qualifications are aware of their responsibilities in assessment, external moderation and external verification.

On their centre visits, our External Moderators and External Verifiers may check that Centre staff have received the policy and confirm that it has been disseminated to colleagues and learners.

#### **1.5 Reviewing the policy**

UAL Awarding Body will review this document annually as part of its self-evaluation process and revise it as and when required in response to customer and stakeholder feedback, changes in our practices, actions from Ofqual or changes in legislation.

Our review will ensure that this document continues to be consistent and compliant with Ofqual's *'General Conditions of Recognition'* and that it is applied properly and fairly in order to arrive at fit for purpose assessment decisions.

## Section 2 – Assessment in art, design and related subjects

### 2.1 Approach to assessment

UAL Awarding Body believes that assessments of the qualifications it offers in art, design, media, performing and production arts and other related subjects should always be quality assured through the external moderation or verification of evidence generated by learners to meet defined assessment and/or grading criteria. This ensures that the assessment is fit for purpose in the context of art, design and creative industries education, where evidence is generated in response to assignments or projects.<sup>1</sup>

UAL Awarding Body employs a team of expert External Moderators and Verifiers to carry out the external moderation or verification of the assessment decisions made by a Centre. A robust internal assessment process that includes internal moderation or verification must support the assessment decisions made by the Centre.

At the beginning of each academic year, the external moderation and verification team is reviewed to ensure that there is a sufficient number of each in place, and that they have sufficient expertise to carry out all external moderation and verification activities. External moderator and verifier requirements for new qualifications are considered as part of the qualification development process, and appropriate staff are identified and recruited prior to implementation.<sup>2</sup>

To ensure that the criteria against which learners' performance will be differentiated are understood by External Moderators/Verifiers and applied consistently regardless of the identity of the External Moderator/Verifier, the learner or the Centre, UAL Awarding Body:

- Provides all External Moderators/Verifiers with copies of the relevant documentation containing the learning outcomes and assessment/grading criteria (through hard copies and electronically via the UAL Awarding Body website)
- Requires External Moderators/Verifiers to attend standardisation events
- Requires new External Moderators to attend a training event
- Provides External Moderators/Verifiers with other CPD opportunities via UAL Awarding Body conferences, exhibitions and other events
- Monitors External Moderators/Verifiers via Centre feedback and Chief Examiner observation reports.<sup>3</sup>

Other forms of assessment, such as written examinations or multiple choice tests are appropriate for other sector and subject qualification areas, but are much less appropriate for measuring the knowledge, skills and understanding developed via qualifications in art, design and related subjects.

The production of a portfolio of evidence or performance in order to meet clearly defined assessment and/or grading criteria is the accepted method of measuring the knowledge, skills and understanding of learners in art, design, media and performing arts, and UAL Awarding Body fully subscribes to this.

There are no rules relating to the quantity or type of evidence that should be produced for any UAL Awarding Body qualifications. Guidance relating to the type of evidence that should be produced is given in every unit within each of the specification documents<sup>4</sup>.

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<sup>1</sup> Evidence for Condition E4.2

<sup>2</sup> Evidence for Condition E4.1

<sup>3</sup> Evidence for Condition H1.1 and H2.2

<sup>4</sup> Evidence for Condition H5.3

Due to the nature of assessment evidence in art, design, media and performing arts UAL Awarding Body will always assess the majority of its qualifications via a visit – where an External Moderator (or team of External Moderators) or External Verifier will visit a centre for an appropriate length of time in order to make valid judgments about the Centre’s assessment decisions and ability to meet the National Standard.

UAL Awarding Body does not assess, or carry out significant activities associated with assessment such as standardization, via postal arrangements, the use of digital images, video footage or other similar means.

UAL Awarding Body believes that an effective relationship between an External Moderator, defined as – an individual(s) appointed by the awarding body to ensure accurate and consistent standards of assessment across centres and over time - or External Verifier, defined as – an individual(s) appointed by the awarding body to confirm the validity of assessment methodology and decisions - and a centre is vital in ensuring that National Standards are met.<sup>5</sup>

Some UAL Awarding Body qualifications have a final grade. In these qualifications, grading is based on the learner’s achievement in the final unit of the qualification, which represents the culmination of their learning. This rule is applied to all learners taking the qualification. Grading is determined on the following basis:

- To achieve a Pass, learners must achieve all of the Pass criteria
- To achieve a Merit, learners must achieve all Pass criteria and all Merit criteria
- To achieve a Distinction, learners must achieve all Pass and Merit criteria, and all Distinction criteria
- There is no compensation or condonement. Units are criterion referenced.

The rules for grading decisions are outlined clearly in qualification specifications, centre handbook and student handbooks where grading is used. These documents are made available to External Moderators/Verifiers, Centres and students in hard copy and electronically via the UAL Awarding Body website.<sup>6</sup>

## **2.2 Fitness for purpose of qualifications<sup>7</sup>**

UAL Awarding Body qualifications are designed and written via a rigorous development process by experts within the field of art, design, media and performing arts. Qualifications adhere to the level descriptors described by Ofqual.

UAL Awarding Body ensures that each qualification it makes available is fit for purpose through securing the requirements of:

### **Validity**

Put simply, validity is about ensuring we measure what we intend. Assessments must provide the evidence that those who successfully complete them have met the aim or purpose of the particular qualifications.

UAL Awarding Body qualifications all have a clear and specific purpose that informs and determines the design of the assessment instrument used to measure learner performance. The validity of the assessment instrument and the approach to quality assuring assessment

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<sup>5</sup> Evidence for Condition E4.2

<sup>6</sup> Evidence for Condition H5.4

<sup>7</sup> Evidence for Condition D1

(and grading) decisions constitutes a considerable part of the process of designing and developing UAL Awarding Body qualifications. A very considerable range of individuals are consulted including Sector Skills Councils, employers, schools, FE colleges, HE institutions and learners to ensure that the assessment will indeed measure what it intends to.<sup>8</sup>

Following the award of our qualifications UAL Awarding Body collects and analyses data that provides important evidence of the validity of the assessment and associated quality assurance processes. By collecting destination or progression data we are able to analyse and publish the extent to which learners progress (to higher-level study or employment) as set out in the aims and purposes of our qualifications.

In other words, if the qualification is intended to support progression to Higher Education then the assessments must generate evidence (eg a portfolio of work, a performance etc) that can be used by Universities to make selection decisions about students. Each year we publish a Chief Examiner Report showing how well our qualifications achieve this.

### **Reliability**

The assessments of UAL Awarding Body qualifications are designed and quality assured in a way that supports consistency of outcome regardless of where or when they are delivered.

All UAL Awarding Body assessments are defined by pre-published, fixed learning outcomes and assessment/grading criteria described as a single QCF unit, rather than tests or examinations that are set annually or more frequently. As a result, the learning outcomes (defining what the student will be able to do, know or understand) and the assessment criteria (the standard upon which assessment evidence will be judged) remain unchanged requiring the same assessment process regardless of when or where it is followed.

To further support reliability and consistency in assessment decisions UAL Awarding Body:

- Publishes and distributes high-quality qualification documentation detailing specific assessment and quality assurance approaches for all of its qualifications
- Runs standardisation events where Centres and external moderators/verifiers can develop and promote a shared understanding of national standards
- Recruits, trains and evaluates external moderators in a manner that ensures consistent and repeatable interpretation of assessment arrangements.

### **Comparability**

A key component of UAL Awarding body assessments and quality assurance is the extent to which they generate outcomes that are comparable across centres, between qualifications and over time.

Comparability over time:

UAL Awarding Body monitors performance over time for all of its qualifications, paying particular attention to success rates and grade profiles (where qualifications differentiate between student performance). Data and associated analysis are published in the annual Chief Examiners Report.

Comparability across Centres:

UAL Awarding Body views comparability of standards across Centres delivering the same qualification as the mainstay of its quality assurance activities. Almost everything we do

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<sup>8</sup> Evidence for Condition D1

takes into consideration how we support comparability from the approach we take to approving Centres (only a very small number), the support materials we produce, the quality of our external moderators/verifiers and the training that they receive to the publication of our annual Chief Examiners Report.

Comparability across other awarding organizations:

The Foundation Diploma in Art & Design is the only UAL Awarding Body qualification that other awarding bodies offer. This qualification is offered by four Awarding Organisations; UAL Awarding Body, Edexcel, ABC and WJEC.

At this time, each of the four Awarding Organisations has slightly different versions of the qualification, although they continue to share the same primary aim and are perceived by 'users' as providing a similar experience. The awarding bodies meet biannually as the FFEAD (Forum for Further Education in Art & Design), and the principal aims of the group are to work collaboratively on future redevelopment work and ensure comparability of assessment via a number of mechanisms (eg shadowing on external moderation visits, attendance of standardization events etc).

UAL Awarding Body is in the process of developing a photographic archive of work which will allow the outcomes of assessments over time to be compared. The archive will place particular emphasis on grade boundaries to support the analysis of grade comparability over time.

Pearson awards qualifications at Levels 2 and 3 which are equivalent to UAL Awarding Body qualifications at the same levels in art and design, media and performing and production arts. The qualifications are used by Centres to serve the same purpose, but their approaches and assessment methodologies are very different. It may be possible, over time, to conduct exercises in comparability although this would be dependent on Pearson wishing to engage in this kind of activity.

### **Manageability**

UAL Awarding Body designs and quality assures the assessment process for all its qualifications. It does however delegate the design of the specific assessment vehicle used to support learners to generate assessment evidence to Centres. It does this within a defined context and usually in the form of an assignment. In art, design and media for example, this assignment might take the form of a project or brief. As a result, our assessments are always manageable for the Centre and the student in that they play a part in the design of the assessment instrument.

All of our Centres are asked about the manageability of assessment through our annual customer survey and are encouraged to feedback any issues to the Quality Officer.



**Minimising Bias**

The design of all UAL Awarding Body assessments is delegated to Centre level and, as a result, they are more likely to minimize bias. Assessments can be designed by Centres to take into account learners with common attributes, ensuring that the assessment does not produce unreasonably adverse outcomes for those learners.

Assessments must be designed to provide opportunities for the production of evidence against the learning outcomes and assessment/grading criteria defined by UAL Awarding Body. Learning outcomes and assessment/grading criteria are all developed in accordance with Equalities Law.

## 2.2 Setting the assessment<sup>9</sup>

UAL Awarding Body believes that assessment is an integral part of the learning process and that assessment in art and design must contain a component of objective academic judgment and not purely of computation possible in subject areas like mathematics. Assessment should be explicit, transparent, fit for purpose and ensure fairness of treatment for all students.

Assessments for UAL Awarding Body qualifications are always in the form of assignments or projects, which are determined at Centre level. In some instances, such as in the Foundation Diploma in Art & Design and the Extended Diplomas in Art & Design, Media and Performing and Production Arts, the learner will devise their own assignment or project which will be quality assured by Centre staff.

Delegating the responsibility for developing assignments and projects, the vehicles for assessment, to Centre level ensures that assessments can be delivered efficiently and in a manner which is cost effective. Assessments will therefore also only make use of the Centre's own resources as identified, and approved, during the UAL Awarding Body Centre Approval process.

All assignments and projects, whether devised by the Centre or the learner, must provide appropriate opportunities for the learner to generate the evidence required to meet the assessment/grading criteria for the unit or units that the assignment or project relates to.

For UAL Awarding Body qualifications which are graded, rather than Pass/Fail, assignments and projects must allow each specified level of attainment detailed in the specification to be reached by a learner who has attained the required level of knowledge, skills and understanding.

The level of demand of an assessment for qualifications that UAL Awarding Body makes available is always determined, and only determined, by the learning outcomes and assessment/grading criteria set out for the individual units of the qualification. The level of demand for an assessment will therefore not change unless they change.

The learning outcomes and assessment/ grading criteria for UAL Awarding Body qualifications are made available to Centres and learners in written documents (ie the qualification specification) which set the criteria out in a clear and unambiguous way, allowing learners' levels of attainment to be differentiated. This allows internal assessors and external moderators and verifiers to accurately and consistently differentiate between a range of attainments by learners.

The Centre must authenticate the evidence generated by each learner by ensuring that each learner has completed the 'Candidate Authentication Form', available via the UAL Awarding Body website.

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<sup>9</sup> This section provides evidence for Conditions E4 and G1

## **Section 3 – External Moderation/Verification<sup>10</sup>**

### **3.1 Purpose of External Moderation/Verification**

The purpose of external moderation/verification is to determine whether centres are assessing accurately and consistently to agreed National Standards.

Moderation/verification is concerned solely with judging the quality of centres' assessment decisions through the external moderation/verification of internally assessed and standardised work. It does not necessarily extend to the provision of support and guidance to centre staff, although the process is likely to involve implicit support and guidance, through the generation of feedback reports containing recommendations and actions where appropriate.

### **3.2 The External Moderator/Verifier**

All UAL Awarding Body External Moderators/Verifiers will:

- Be appropriately qualified and experienced
- Have detailed knowledge of the awarding body's policies and procedures
- Have a good understanding of the qualification(s) for which they act as External Moderator/Verifier
- Act as a representative of UAL Awarding Body visiting allocated Centres to ensure that assessment and grading decisions are made on the basis of adequate and appropriate evidence
- Ensure that assessment decisions are fair, valid and consistent and free from bias
- Sample assessment evidence across art and design disciplines and grading levels appropriate to the qualification
- Report to UAL Awarding Body within an agreed time frame their conclusions and recommendations
- Attend standardisation and qualification reviews as required by UAL Awarding Body
- Be subject to quality monitoring and observation reports by the Chief Examiner
- Be subject to reallocation to Centres every 3 years or as deemed appropriate by UAL Awarding Body.

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<sup>10</sup> Evidence for Condition H2.1

### 3.3 The external moderation/verification visit

The External Moderation/Verification visit will be carried out on the date chosen by, and agreed in advance with, the Centre. Prior to the visit, the External Moderator/Verifier will contact the relevant course leader to confirm:

- The date of the visit
- The names of people in the External Moderation/Verification Team (if there is one – relates to cohort size)
- The expected time of arrival – normally 10.00am
- The schedule for the day
- Any other requirements.

On the day of the external moderation/verification visit the External Moderator/Verifier will:

- Confirm that Candidate Authentication Forms have been completed for each learner
- Review the Centre's approach to internal assessment, confirming it conforms to good practice as outlined in Section 3.6 below.
- Identify the sample, unless it has been agreed in advance as per Section 3.5 below
- View the assignment or project where it has been set by the Centre, or the project proposal determined by each learner in the sample
- Review all available and admissible evidence for each candidate in the sample to ensure that grading and ultimately awarding reflect all the evidence produced for the assessment<sup>11</sup>
- Determine if agreed standards have been met or not
- Where standards have not been met and internal assessment decisions are considered to be incorrect, the External Moderator/Verifier will require the Centre to re-grade parts of the cohort, or the entire cohort<sup>12</sup>
- The External Moderator/Verifier will not change individual grades (please refer to Section 3.7 below for more information)<sup>13</sup>
- Extend the sample by 5% if further evidence is required to confirm that agreed standards are being met
- Confirm provisional grades with the Centre where agreed standards have been met
- Identify action to be taken where agreed standards have not been met
- Suggest recommendations which Centres can implement at their own discretion

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<sup>11</sup> Evidence for Condition H5.2

<sup>12</sup> Evidence for Condition H2.3

<sup>13</sup> Evidence for Condition H2.3

- Provide additional feedback to the Centre, identifying areas for improvement or of good practice
- Agree the content of the written report
- Obtain a copy of the signed-off provisional grades
- Provide the Grade Confirmation Form for signatures.

If the External Moderator/Verifier agrees that the proposed grades meet the assessment and/or grading criteria then the Grade Confirmation Form can be signed by the External Moderator/Verifier and the Course Leader.

The completed Grade Confirmation Form will be forwarded to UAL Awarding Body by the External Moderator/Verifier, together with a copy of the signed-off provisional grades.

At this point, the Centre should submit their final grades to UAL Awarding Body via its online registration and certification system, Quartz. As this procedure represents the culmination of the entire assessment process, due care and attention should be taken to ensure that the correct, agreed grades are entered.

UAL Awarding Body will make the final decision to award the qualification on receipt of the Grade Confirmation Form and the signed-off provisional results from the external moderator/verifier, and the final grades from the Centre.

The Quality Manager will check the signed-off provisional results against the final grades from the Centre to confirm they have been entered correctly, and will then make a recommendation to the Awarding Body Management Group to award the qualification.

The External Moderator/Verifier will write a report outlining their observations and recommendations and/or actions and submit this to UAL Awarding Body within 10 days of the visit. The report should only contain information discussed with the Centre in the feedback session at the end of the visit.

Centres will receive a copy of the External Moderator/Moderation teams report via their quality contact. Centres may provide a response to the external moderation report to UAL Awarding Body.

Recommendations and actions to be taken by a centre should be completed within an agreed time frame.

### **3.4 The sample**

The moderation/verification sample for UAL Awarding Body qualifications is usually set at 10% of the cohort. This figure ensures that a sufficient number of sets of assessment evidence, covering all disciplines and a range of internal assessors, are externally moderated/verified.

On the day of the external moderation/verification visit, the External Moderator/Verifier will choose the sample that they wish to see, ensuring that it contains:

- Grades in all categories, Pass, Merit and Distinction where a qualification is graded

- Sufficient examples of the Referral category, to establish the Pass/Referral boundary
- A range of disciplines, reflecting the range of the qualification experience covered at the Centre
- Assessment evidence assessed by a range of internal assessors.

If, after reviewing the initial sample, the External Moderator/Verifier is uncertain that agreed standards are being applied to assessment and grading decisions then they must extend the sample by a further 5% of candidates.

If after extending the sample they are still uncertain that agreed standards are being applied to assessment and grading decisions then they must use the procedures set out in Section 3.7.

All Centres must make all possible efforts to facilitate external moderation. Work must be appropriately displayed and/or presented and clearly labeled.

### **3.5 Internally assessed units**

External Moderators, in addition to moderating assessment and grading decisions for externally moderated units are required to confirm through examination of relevant records that the internal assessment methodology for internally assessed units is rigorous and ensures assessment decisions are fair, valid, consistent and free from bias.

Practically, this means that Centres should provide External Moderators with:

- An outline of the structure of the course assessment and standardisation process (internal moderation/internal verification)
- Examples of assessment and standardisation records sufficient to enable the External Moderator to confirm that the methodology is working in practice.

It is recognised that different Centres use different methodologies and nomenclature specific to their culture. The Centre Handbooks for UAL Awarding Body qualifications outline some examples of good practice for the internal moderation of units. However, all Centres are required to ensure that their methodologies are suitably robust.

### 3.6 Referral

Centres that, after assessment and internal moderation of the internally assessed units within a qualification, identify a learner's failure to meet assessment criteria must refer that learner.

The Centre must identify to the learner the assessment criteria which they have failed to meet and provide them with opportunities to work toward meeting those assessment criteria within a suitable period of time.

A learner will only be allowed one opportunity to redeem a referral in each internally assessed unit.

In some qualifications, learners must gain credit for the internally assessed units before proceeding to the internally assessed and externally moderated/verified unit/s. For example, in the Foundation Diploma in Art & Design, learners must complete Units 1 - 6 before beginning Unit 7: Art and Design Project Proposal and Realisation.

If, when a learner's work for an externally assessed unit is submitted it does not meet the pass (assessment) criteria, the Centre will refer that learner using the following procedure:

- The Centre will inform the learners of those assessment criteria they have failed to meet and confirm that they have been referred
- Records of all referrals will be recorded, discussed with the External Moderator and marked accordingly when results are submitted to UAL Awarding Body
- A relevant course tutor will agree with the learner a time framed action plan for the submission of additional work required to meet the assessment criteria
- Centres will notify the Awarding Body of the final date for the submission of further evidence. The final date for submission of the required work will normally be mid – September but Centres may negotiate appropriate time-frames as necessary
- If the Centre's previous assessment and grading decisions have been agreed as meeting national standards then no additional visit from an External Moderator is necessary.
- Where there have been large numbers of referred learners or other reasonable concerns, UAL Awarding Body reserves the right to arrange another visit by an External Moderator. The cost of any additional visit will be borne by the Centre
- A candidate will only be allowed one opportunity to redeem a referral and can only achieve a pass grade.

### **3.7 Failure to apply assessment and grading criteria to agreed standards**

If the Centre's proposed grades are found by the External Moderator / Moderation team not to meet agreed standards then the following procedure will apply:

- If a small subset of the sample is in question, (eg a particular discipline area, or a specific grade band) then the Centre team will be required to re-assess and re-submit the grades to the External Moderator/Moderation team for confirmation on the day of the moderation visit
- If the External Moderator/Moderation team is able to confirm that the re-submitted grades are now in line with the assessment and grading criteria then the Grade Confirmation Form can be authorised
- If the re-submitted grades are still not in line with the assessment and grading criteria, then the Grade Confirmation Form for the entire cohort cannot be signed. A second visit, within a reasonable timescale, will then be made by a second External Moderator/Moderation team.
- The cost of this additional visit will be borne by the Centre. If a resolution cannot be reached the Centre may appeal against the assessment decision
- Where over/under grading occurs across the entire cohort, or there is substantial inconsistency in the grading, then the External Moderator / Moderation team will recommend that the Centre team re- assess and re-grade across the entire cohort
- If this cannot be done on the day then the Centre and the External Moderator/Moderation team will arrange a mutually convenient time for a second moderation visit. The cost of this additional visit will be borne by the Centre
- If the External Moderator is able to confirm that the re-submitted grades are now in line with national standards then the Grade Confirmation Form can be authorised
- If the re-submitted grades are still not in line with the assessment and additional grading criteria then the Grade Confirmation Form for the entire cohort cannot be signed. A further visit, within a reasonable time scale, will then be made by a Senior External Moderator/Moderation team. The cost of this additional visit will be borne by the Centre. If a resolution still cannot be reached, the Centre may appeal against the assessment decision.



## Section 4 – The role of the Centre

### 4.1 Internal assessment

UAL Awarding Body requires each Centre to safeguard the validity of its assessment decisions by ensuring that it has a rigorous assessment and internal moderation/verification process which is clear and transparent.

In the process of making assessment decisions, Centres are required to review all available and admissible evidence for each candidate in the sample to ensure that grading, and ultimately awarding, reflect all the evidence produced for the assessment<sup>14</sup>

UAL Awarding Body provides its Centres with guidance and support to ensure that the assessment (in the form of an assignment or project) remains fit for purpose, and that the criteria against which learners' performance is differentiated are being applied consistently and accurately by assessors in different Centres regardless of the identity of the assessor, learner or Centre.

This guidance and support is provided in the form of:

- Free advisory visits by the Chief Examiner and Academic Advisor or appropriate member of UAL Awarding Body Staff
- Free copies of qualification documentation including the Specification, Centre Handbook and Student Handbook and access to them electronically via the UAL Awarding Body website
- Invitations to standardization events led by the Chief Examiner
- Invitations to free conferences, events and exhibitions to discuss best practice and to look at work produced by learners.<sup>15</sup>

Some examples of good practice relating to internal assessment are listed below. The precise format of the assessment and moderation/verification methodology at any particular Centre will vary according to circumstance. External Moderators/Verifiers are required to make professional judgements as to the effectiveness and rigour of each Centre's assessment methodology.

- Assessment judgements are made by relating evidence to published assessment criteria
- Initial assessment decisions are made by a team of staff to ensure breadth of judgement although the exact number of assessors will be dependent on the availability of staff and course size
- Assessment teams include staff from art and design disciplines who have appropriate experience of the qualification and are adequately informed and supported to fulfil their responsibilities
- Blind marking, where staff make individual assessment decisions prior to communicating those decisions to other members of the assessment team, may be used to ensure greater objectivity
- Internal moderation/verification samples assessment decisions across all assessment

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<sup>14</sup> Evidence for Condition H5.2

<sup>15</sup> Evidence for Condition H2.2

teams and across a range of achievement to ensure that decisions are standardised

- The assessment teams have an opportunity to discuss all assessment and moderation/verification decisions
- All assessment and internal moderation/verification decisions, including all instances of Special Consideration and Aegrotat awards, are tracked and recorded providing evidence of performance over time
- The assessment and moderation/verification system is subject to regular review.

## Section 5 – Reasonable Adjustments

Standard assessment arrangements can be altered and adapted to reduce the impact of a disability that puts the learner at a disadvantage. Given the nature of assessment in art and design, it would be expected that arrangements might be altered and adapted for a given learner from the outset of delivery.

What is 'reasonable' is determined by a learner's individual circumstances, the impact of the disability, and the cost and effectiveness of the proposed alterations or adaptations. The particular adjustment used will depend on the nature of the learner's disability.

Reasonable adjustments fall into two categories:

- 1) Those that can be applied at the discretion of a Centre
- 2) Those for which the centre must apply to UAL Awarding body within 20 days of the learner registration

Some examples of these two categories are shown below:

<b>1) Reasonable adjustment permitted at the discretion of the Centre</b>	<b>2) Reasonable adjustment requiring permission from UAL Awarding Body</b>
Change in the organisation of assessment rooms	Language modified assessment material
Use of coloured overlays, low vision aids, tinted spectacles	Assessment material in BSL
Use of bilingual and bilingual translation dictionaries	Responses in BSL
Assessment material in large format	Responses in Braille
Assessment material on coloured paper	BSL/English interpreter
Use of ICT	Other – contact UAL Awarding Body for guidance
Responses using electronic devices	

The assessment evidence produced by that learner will be marked against the assessment and/or grading criteria in the same way as all other learners.

Reasonable adjustments will not be considered if the achievement has already been claimed and certificated.

### Process

- 1) Centre identifies a disabled learner who requires Reasonable Adjustments in accordance with equalities law, and collects and retains evidence to support decisions to implement suitable assistance
- 2) Centre determines whether the Reasonable Adjustment required falls into Category 1 or Category 2 as outlined above
- 3) If the Reasonable Adjustment is in Category 1, then the Centre must notify UAL Awarding Body in writing, via email or letter, who will record the relevant details in the 'SC and RA log' for that academic year.

- 4) If the Reasonable Adjustment is in Category 2, then the Centre must request permission from the Awarding Body prior to implementation. This should be done in writing, via email or letter
- 5) The request will be considered by the Awarding Body Management Group, who will explore the implications of the Reasonable Adjustment on external moderation and confirm that the reasonable adjustment will enable the learner to demonstrate their knowledge, skills and understanding to the levels of attainment required by the specification for the qualification
- 6) The Awarding Body will notify the centre in writing, via email or letter, of their decision within ten working days of receiving the initial request
- 7) All relevant details relating to the request and its outcome will be recorded in the 'SC and RA log' for that academic year
- 8) The 'SC and RA' log will be monitored on an annual basis to ensure that requests for Reasonable Adjustments are being made appropriately

## Section 6 – Special Consideration and Aegrotat

Examples of circumstances in which a learner may be eligible for special consideration include:

- Category (a) – an injury or illness such as a broken arm or glandular fever
- Category (b) – bereavement or other form of emotional shock.

Examples of circumstances in which a learner is not eligible for special consideration include:

- Where personal arrangements impact on assessment or attainment
- Where preparation for the assessment is affected by environmental factors within the centre such as building work or staff shortages.

The special consideration given to a candidate will be the revision of the original agreed timeframe for the completion of the assessment, to allow them additional time. In most cases, this would mean that the candidate would be assessed on another occasion agreed with their Centre.

Responsibility for determining the need to apply special consideration, and the length of time appropriate, is devolved to Centres. They are best placed to make judgements on the specific circumstances of individual learners. Centres must keep a record of the decision made, and of the evidence that supports this decision. Centres are expected to apply special consideration with integrity.

Centres must inform UAL Awarding Body of all decisions to apply special consideration in writing prior to, or as soon as possible after, their internal assessment process. The External Moderator must also be informed of all special consideration decisions at the start of their visit.

Notification of the decision to apply special consideration must confirm:

- That the centre has read and understood the Awarding Body's definition of special consideration as set out here
- The name of the learner
- The ULN of the learner
- The agreed timeframe for completion of the assessment

UAL Awarding Body will confirm to the Centre, in writing, that their special consideration decision has been accepted and recorded. The Awarding Body will monitor the use of special consideration over time, and will investigate its use within individual centres where necessary.

Learners can achieve Pass, Merit or Distinction.

Special consideration will not be considered if achievement has already been claimed and certificated.

## **Aegrotat award**

Aegrotat awards may be awarded in exceptional circumstances, which may include chronic incapacitating illness or death. Aegrotat awards should only be considered where there is no prospect of the student ever being able to be reassessed.

Centres who wish to apply for an aegrotat award, on behalf of a learner, must do so in writing giving a full explanation for their request. This must include:

- That the centre has read and understood the Awarding Body's definition of aegrotat awards as set out here
- The name of the learner
- The ULN of the learner
- Evidence to support the request for an aegrotat award.

The timings of such requests will be dependent on the qualification but must be made before any formal claim for certification is made.

UAL Awarding Body will confirm to the Centre, in writing, that their request for an aegrotat award has been considered, accepted and recorded. If necessary, the Awarding Body will request further information. The Awarding Body will monitor the use of aegrotats, and will investigate their use within individual centres where necessary.

Aegrotat awards can only be made if the learner has generated sufficient evidence of achievement upon which to base the aegrotat assessment decision.

## **Section 7 - Language of the assessment**

Currently, UAL Awarding Body only works with Centres in England. All learners are therefore assessed in English.

UAL Awarding Body has no plans to award qualifications in Northern Ireland or Wales. If in the future it does, then appropriate actions will be taken to ensure that the language of assessment can be in Irish and Welsh.

UAL Awarding Body has plans to award qualifications to international centres, but the language of assessment will be in English. This is because the majority of international student will take our qualifications as a precursor to further study in Further Education, or more likely Higher Education, in England. The ability to communicate effectively in English in an art and design context will be vital to their continued success.

A learner may be assessed in British Sign Language for the purpose of Reasonable Adjustments, although given the nature of the evidence generally produced for art and design qualifications this is likely to be a rare occurrence.

UAL Awarding Body has no plans to make its qualifications available in any language other than English.

# **SECTION E:**

# **RECOGNITION OF PRIOR LEARNING**



## **1. UAL Awarding Body Recognition of Prior Learning Policy**

**This policy also exists as a stand-alone document. To ensure consistency, it is reproduced here in its entirety.**

## **SECTION 1.**

### **Introduction and purpose of the guidance**

This document draws deliberately and explicitly on guidance for the Recognition of Prior Learning (RPL) published by the Qualifications and Curriculum Authority (QCA) in 2008<sup>16</sup>. It takes many of the examples and suggestions for good practice relating to RPL and applies them to the particular circumstances of learners studying for units and qualifications in the Art, Design and Communication disciplines.

The guidance is intended to support University of the Arts London Awarding Body centres to develop practice and procedures for RPL that meet the awarding bodies regulatory obligations within the Qualifications and Credit Framework (QCF). These obligations state that awarding organisations are required to

‘have in place the necessary systems and procedures to ensure... achievement is recognised through the recognition of prior learning (RPL) where this is appropriate’<sup>17</sup>.

In addition to this general requirement, awarding organisations must also ensure that

‘each centre... where appropriate, has in place arrangements that allow for recognition of prior learning (RPL)’<sup>18</sup>.

The Regulatory arrangements for the QCF establish an obligation for all awarding bodies to have in place systems for RPL, and to ensure that learners have appropriate access to these systems.

University of the Arts London Awarding Body qualifications have been designed to support the wide application of RPL. The units of assessment upon which all our qualifications are based create a common language of learning outcomes and assessment criteria. This unit-based approach to the award of credit allows for individuals to earn credit, where appropriate, for unit achievements as well as pursuing full qualifications. It is at the unit level that the Awarding Body believes opportunities for RPL will present themselves.

### **Aims of the Guidance**

This guidance aims to support University of the Arts London Awarding Body centres to develop and offer opportunities to recognise students prior learning. The guidance aims to simplify RPL processes, build mutual trust among centres and the Awarding Body and underwrite the reliability and validity of credit achievements made through RPL.

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<sup>16</sup> Claiming Credit: Guidance on the recognition of prior learning within the Qualifications and Credit Framework, QCA, 2008, QCA/08/3989

<sup>17</sup> Regulatory arrangements for the Qualifications and Credit Framework, The office of the Qualifications and Examinations Regulator (Ofqual), 2008, 08/327

<sup>18</sup> Ibid

## What is RPL? Definition and scope

University of the Arts London Awarding Body has adopted the definition for RPL used by Ofqual, QCA and more widely throughout the Further Education sector. When this document refers to PL it means:

‘A method of assessment [leading to the award of credit] that considers whether a learner can demonstrate that they can meet the assessment requirements for a unit through knowledge, understanding or skills they already possess and do not need to develop through a course of learning’<sup>19</sup>.

From the perspective of an University of the Arts London Awarding Body there is no fundamental difference between RPL and the assessment of learning achievements through a formal route typically following a programme of study. The candidate being assessed for credits through RPL must still comply with all the requirements of the unit and qualification specifications. The principle difference lies in the route taken to achieve the learning, skills or competences. ***RPL is an alternative route to recognition and not a shortcut and must therefore be an integrated part of a quality-assured assessment process.***

Learners, therefore, must accompany any evidence of experience with reliable and valid evidence of the learning they have achieved. In the context of University of the Arts London Awarding Body qualifications, the definition of RPL is quite specific and relates to summative assessment and recognition rather than formative assessment. It concerns the process of recognising the achievements of an individual by comparing knowledge, skills and competencies to the requirement of the Awarding Bodies unit specifications.

This can be done in either of the following ways:

- standardised assessment methods that apply to a cohort of learners, where candidates who did not participate in a formal programme of learning participate in the assessment
- an individually tailored process of providing evidence adapted to the needs of a candidate.

It is anticipated that in a significant majority of cases, learners seeking RPL against University of the Arts London Awarding Body units will follow the second of these processes.

Candidates will be awarded credit when they have successfully demonstrated that they meet the learning outcomes and assessment criteria of a QCF unit. As specified in the regulatory arrangements for the QCF individuals must make a claim for RPL against a whole unit or whole units within a qualification. University of the Arts London Awarding Body cannot award credit via RPL for the partial completion of a unit.

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<sup>19</sup> Ibid

## **SECTION 2.**

### **How to approach RPL for University of the Arts London Awarding Body units and qualifications**

The individual is central to the RPL process; it will ultimately be their choice and responsibility (following dialogue with staff at their centre) to decide whether they want to claim credit via an RPL route. It may, therefore, be useful to use the term 'claiming credit' instead of RPL, when discussing RPL with students or learners, as a way of making the concept more easily understood.

The idea of claiming credit stresses the active role the learner will have to play in RPL. The system of claiming credit must, therefore, include the provision of appropriate initial information and advice on the claiming credit or RPL process. Students need to know when they are in a position to claim credit for learning or achievements outside of the formal training system.

Once individuals decide to make a claim, they will need the support of their centre as well as access to specialist advice and support about the claiming credit/RPL process, including the timeframe and the different steps. Appropriately trained staff from within centre should give specialist advice of this type.

### **Guidance to University of the Arts London Awarding Body centres**

What does the Awarding Body expect of its centres when they undertake a process to recognise the prior learning of students undertaking its units and qualifications?

#### **Principles**

The following principles form the basis for good practice and should inform and guide the approach to RPL taken by University of the Arts London Awarding Body centres. The principles may also be used as a checklist for staff in centres to ensure RPL practices meet the awarding bodies requirements. The principles relate very closely to those set out by QCA in its guidelines on the use of RPL, and provide the basis for the awarding body to demonstrate how it fulfills its regulatory obligations to Ofqual.

#### **Principle 1**

RPL is a valid method of enabling individuals to claim credit for units in the QCF, irrespective of how the learning took place or the assessments undertaken. There must be no difference between the achievement of the required standards (as set out in the unit specification) through prior learning or through a formal programme of study.

#### **Principle 2**

RPL policies, processes, procedures, practices and decisions taken by centres must be transparent, rigorous, reliable, fair and accessible to students and the awarding body to ensure that users can be confident of the decisions and outcomes of RPL.

#### **Principle 3**

RPL is a learner-centred, voluntary process. The student should be offered advice on the nature and range of evidence considered appropriate to support a claim for assessing RPL, and be given guidance and support to make his or her claim.

#### **Principle 4**

The process of RPL is subject to the same standard of quality assurance and monitoring processes as any other form of learning and assessment.

#### **Principle 5**

Assessment methods for RPL must be of equal rigour to any other assessment methods, be fit for purpose and relate to the evidence of learning. A student can claim RPL against any whole unit unless the assessment criteria of the unit states otherwise.

### **Process**

The process of RPL involves learners from the moment they consider making a claim and supports them through to the result of the assessment. The following stages represent the likely journey a student would take to make a claim for RPL. Each stage requires support from the centre or learning provider. The five stages are shown diagrammatically in Figure 1<sup>20</sup>, Annex A. University of the Arts London Awarding Body centres will be expected to have in place appropriate arrangements to support learners through each of the stages. These should be discussed with the Awarding Bodies Chief Examiner once a centre has established a need to recognise the prior learning of one or more of its students.

#### **Stage 1: General awareness about claiming credit – information, advice and guidance**

Once a student has made the decision to reflect on their learning they will need to know about:

- the process of claiming credit through RPL
- the sources of professional support and guidance available to individuals and employers
- the administrative processes for RPL applications timelines, appeals processes and any fees and subsidies.

#### **Stage 2: Pre-assessment – gathering evidence and giving information**

A student may decide to make his or her learning visible and to claim credit. This stage is vital to ensure that the candidate is fully informed of the RPL process and has sufficient support to make a viable claim and to make decisions about evidence collection and presentation for assessment.

During this stage the candidate will carry out the evidence collection and develop an assessment plan. The evidence required for the award of credit will depend on the purpose, learning outcomes and assessment criteria for the relevant unit(s) within the QCF.

#### **Stage 3: Assessment/documentation of evidence**

Assessment as part of RPL and within the QCF is a structured process for gathering and reviewing evidence and making judgements about a candidate's prior learning and experience in relation to unit standards.

Assessment must be valid and reliable to ensure the integrity of units and qualifications and the RPL system as a whole. The assessment process for RPL must be subject to the same quality-assurance processes of awarding

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<sup>20</sup> Reproduced from original in 'Claiming Credit: Guidance on the recognition of prior learning within the Qualifications and Credit Framework', QCA, 2008, QCA/08/3989

organisations as any other part of the assessment process.

#### **Stage 4: Awarding credit**

Awarding organisations are responsible for awarding credit. The procedure is the same as for other forms of assessment. The credit is recorded in the learner record (when available). Certificates, where appropriate, are awarded by the awarding organisation.

#### **Stage 5: Feedback**

After the assessment the assessor will need to give feedback to the candidate, discussing the results and giving support and guidance on the options available to the candidate, which may include, for example, further learning and development.

#### **Stage 6: Appeal**

If claimants wish to appeal against a decision made about their claim for credit they would need to follow the standard appeals processes that exist within learning provider organisations and awarding organisations.

Centres may also wish to develop or address the following issues through the production of their own procedures or guidance:

- how to implement RPL based on this guidance provided by the Awarding Body
- capacity of staff to manage the RPL process
- resourcing and costing of RPL
- tailoring planning towards careers, advice and guidance to individuals flexible provision of courses for individuals.

#### **Practice**

If a Centre does decide to apply the RPL principles and process as outlined above, they must adhere to the following steps to ensure that there is a clear understanding between the Centre and UAL Awarding Body.

The Centre must:

- notify the Awarding Body's Quality Manager of their intentions prior to making the offer available to Learners
- notify the Awarding Body of the number of Learners intending to achieve via RPL, and must indicate which units they will achieve
- confirm when the RPL decisions will be made
- outline the delivery model for the remaining units of the qualification
- confirm when it expects the learners to complete the remaining units, and when it requires an External Moderation visit
- confirm
- the number of candidates undertaking RPL by registering them via Quartz, clearly identifying them as an RPL cohort.

Additionally, at the point of confirming their intention to use RPL, the Centre must confirm the following:

- How it will support learners so that they understand the RPL process
- How it will support learners in the selection and collection of evidence for achievement against the relevant assessment criteria and learning outcomes
- How it will gather and review evidence – what systems/processes are in place?
- How it will make judgements about a candidate's prior learning and experience in relation to unit standards – what systems/processes are in place?
- The named individual who has overall responsibility for the quality assurance of the RPL process – ie who will sign-off the internal assessment decisions?
- Who will be making assessment decisions in a given centre using the selected and collected evidence against the relevant assessment criteria and learning outcomes
- That the individual making assessment decisions in a given centre is appropriately qualified to do so – ie they have appropriate expertise relating to the specific qualification, both in terms of the standard and level of evidence and the quality assurance requirements.

### **Which qualifications are suitable for RPL?**

Currently, UAL Awarding Body will only consider RPL for the Foundation Diploma in Art and Design qualification. RPL will be considered in the following way:

- FAD units 1-4 are suitable for RPL. These units collectively form the diagnostic element of the qualification, and it is entirely possible for learners to have completed a similar experience via other qualifications or forms of learning.
- FAD units 5 and 6 are suitable for RPL, but only in exceptional circumstances. These units form the pathway stage of the qualification, and as such are the key formative element within the FAD.
- FAD unit 7 is not suitable for RPL, and achievement via RPL is not possible.

# **SECTION F:**

# **CUSTOMER SERVICE**



## 1. Customer service statement

### Who are we?

We are the only specialist Art, Design and Creative Industries awarding body in England. In fact, we don't do anything else. We are owned by, and based within, The University of the Arts London which comprise six internationally renowned colleges; Camberwell College of Arts, Central St Martins College of Art and Design, Chelsea College of Art and Design, London College of Communication, London College of Fashion and Wimbledon College of Art. UAL Awarding Body has been recognised and audited by the independent body that regulates qualifications in England (Ofqual) to offer qualifications for young people and adults.

The expertise and experience that we draw from across The University of the Arts London in the design and development of our qualifications and assessments, allied to our involvement in national education policy puts us in a unique position to respond to the needs of schools, colleges and higher education institutions.

### What can you expect from us? A different approach...

UAL Awarding Body aims to provide exceptional customer service. We hope that our approach to, and understanding of, our customers makes us different from other awarding bodies.

We believe that your level of satisfaction with the qualifications, services and events that we offer is a key indicator of how responsive and effective we are and will regularly ask for your opinion and feedback on what we can do to improve. This will include an annual customer survey from the summer of 2011.

An important part of our commitment to providing exceptional service is to set out the standards you can expect from us across our awarding activities:

- We are a small, specialist awarding body, and we pride ourselves on our knowledge of the sectors we work in and the quality and integrity of the qualifications we award.
- Our programmes are developed in collaboration with our Centres. As a result, we are able to draw on the best practice of lecturers and course leaders to inform the overall design of our qualifications and the assessment processes that support them
- We believe in providing a personal experience for all our customers. We do not believe in call-centres. We actively encourage you to contact us on our direct line, email and mobile numbers. We are always available and happy to help.
- Our customers see us regularly in person. Our aim is build a community of providers where ideas and approaches to education in the arts can be shared and debated. We offer our Centres a number of opportunities to attend free events, conferences and workshops to share good practice with their colleagues from across the country; we hold annual conferences for the Foundation Diploma in Art & Design and Drawing qualifications, standardisation events for all of our qualifications and exhibitions celebrating student work and achievements
- We believe that our External Moderators and Verifiers should be experts in the relevant subject area, and we are careful to recruit, select and train individuals who act with integrity and are supportive of the diversity of approaches in our provider network
- We allow you to choose the date our External Moderator will visit, at a time most appropriate and convenient for you

- We are committed to making the administration of our qualifications as easy as possible. Our new online system, Quartz, provides an accessible and simple electronic solution to registration, assessment and certification. We provide a free visit to administrative and examinations staff in all of our new centres to train them to use it

### **Communication**

We will:

- be easy to contact! Our office hours are 9.00 until 17.00 Monday to Friday. Moreover, we commit to acknowledging and responding to any phone message, email or letter within 2 working days
- publish phone numbers and email addresses for all employees on our website (under 'Contact Us') and in many of our publications. If you can't access the website, please phone 020 7514 9853 for these details
- provide information in plain English - by using everyday language and avoiding jargon and acronyms
- provide our publications and assessment materials in alternative and accessible formats, where appropriate and on request. UAL Awarding Body publications and assessment materials are produced in English.

### **Efficiency**

To make the process from registration to certification as simple as possible, we will:

- acknowledge or respond to any phone message, email or letter within 2 working days of receipt
- confirm approval for any qualifications or units you want to deliver within 15 working days of receiving the completed forms
- allocate an External Moderator and confirm the arrangements for the visit by email in plenty of time
- send your certificates within 10 working days of receiving the signed grade confirmation and accompanying results forms

### **Support and information**

To help you to deliver our qualifications effectively, we will:

- publish our fees for the forthcoming year in January
- send you our newsletters and regular email updates
- provide an informative and accessible website where you can download all our publications free of charge
- provide a range of training and networking events for staff throughout the year and provide forums for debate and discussion
- provide comprehensive support and guidance on our processes from approval to certification by telephone, in person or by email

- provide academic advisory visits; prior to the submission of an approval application, throughout the year or on individual request
- allocate an appropriate External Moderator when you register learners, for each qualification, who will visit to sample candidate portfolios and provide a formal report

### **Service Level Agreements**

We want to offer the best service possible, so to do this we work to tight deadlines.

- Approval Forms - Processed within 15 working days
- Electronic registrations - Processed within 10 working days
- External Moderator reports - Submitted within 10 working days of the visit
- Certificates - Issued within 10 working days of receipt of signed grade confirmation & results sheets.

### **Feedback**

We want to know whether we are providing the right kind of qualifications, support and service for you and your colleagues. One way of doing this will be to conduct an annual survey, but please don't wait until then to tell us what you think. If you want to give us your thoughts you can contact any of us on the telephone numbers and email addresses below. If you write or email to formally complain, we will acknowledge this within 1 working day and we will give you the contact details of the person dealing with the complaint. Once we have fully looked into the problem, we can let you know what went wrong and what we have done, or are going to do, to resolve it within a maximum of 20 working days. After we have sent you a response, we will contact you again to make sure that you are happy with the way we dealt with your complaint.

Full details on our internal processes are also available in our handbooks. We have an appeals policy that covers enquiries about results, assessment and approval decisions that is also available in our Centre guidance publications.

### **Who do you need to speak to?**

Nick Juba, Director	020 7514 9856	n.juba@arts.ac.uk
Helen Roberts, Operations Manager	020 7514 9853	h.l.roberts@arts.ac.uk
Ross Anderson, Quality Manager	020 7514 9854	r.anderson@arts.ac.uk
Danielle Knight, Qualifications Officer	020 7514 9850	d.c.knight@arts.ac.uk
Maisie James, Administrative Assistant	020 7514 9851	m.g.james@arts.ac.uk

You can also find out more from our website [www.arts.ac.uk/awarding](http://www.arts.ac.uk/awarding)

## 2. Complaints

A *complaint* is concern about a service, or lack of service, provided by UAL Awarding Body or Centre to candidates.

An *appeal* is concern about the assessment decision given by UAL Awarding Body or Centre that affects a candidate. See section 11 for details of how to make an appeal.

Centres are expected to have complaints and appeals procedures. If candidates have a complaint or an appeal, they must follow **their procedures** in the first instance. UAL Awarding Body will require details of the outcomes of these processes when investigating a complaint or an appeal.

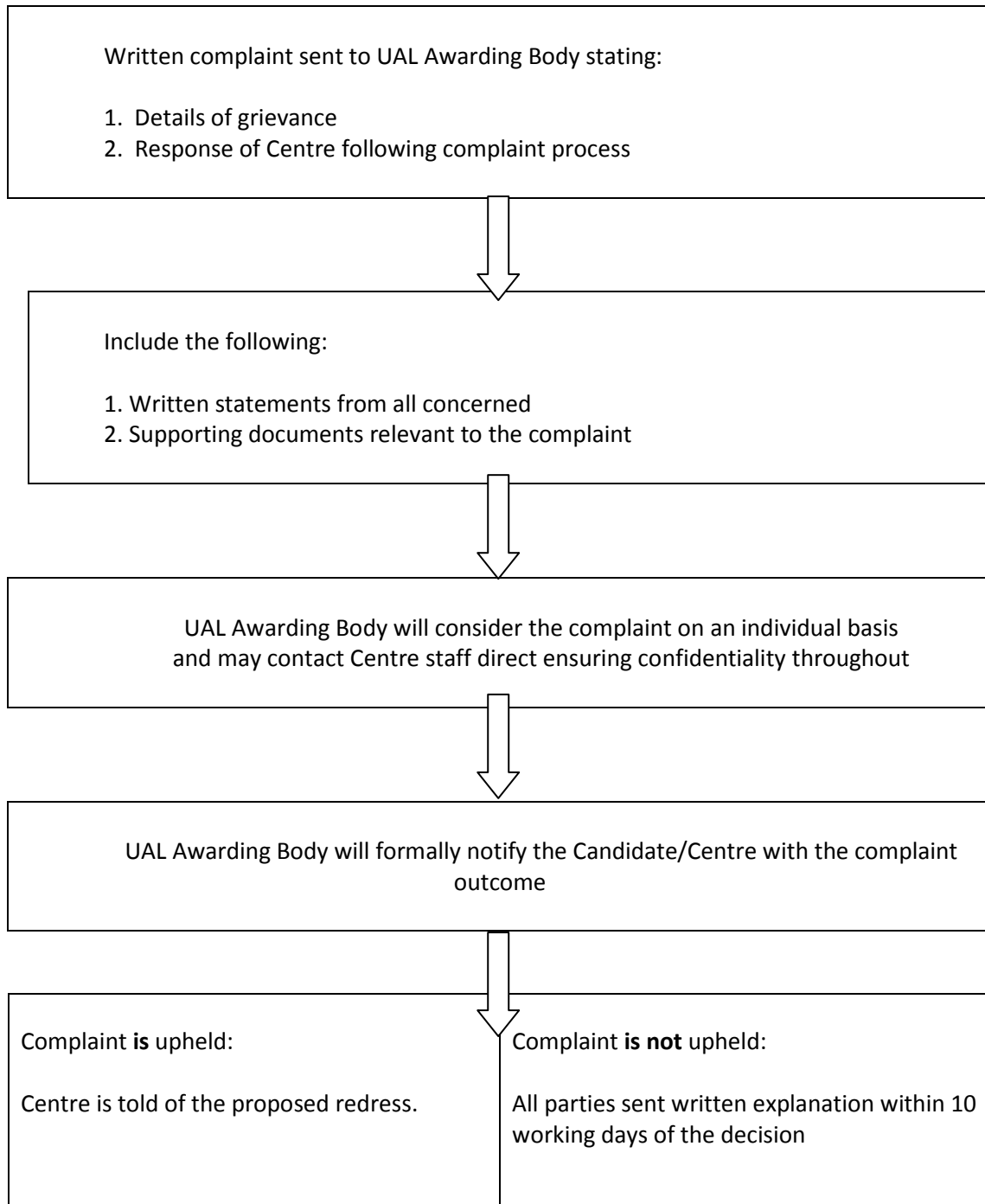
If a complaint or appeal is still not resolved, OFQUAL can be contacted [www.ofqual.gov.uk](http://www.ofqual.gov.uk)

### **When a complaint is made UAL Awarding Body will require:**

- a description of the problem (including when it happened)
- a contact name
- Unique Candidate Number (ULN) if relevant
- the qualification title
- the name and address of the Centre

All complaints are handled sensitively, confidentially, logged and monitored.

**UAL Awarding Body Process for making a Complaint**



### **3. Enquiries**

#### **Enquiries covered by the procedure:**

Centres & Candidates can check with UAL Awarding Body any assessment decisions affecting candidates' results and other decisions affecting Centres and/or Candidates, such as a decision to withhold certificates or to suspend an approved Centre status.

Centres and Candidates should note that this procedure is concerned with specific enquiries related to our decisions that affect them and not general enquiries such as those related to products, services and finance. This enquiry procedure is closely linked with the appeals procedure.

#### **Procedure:**

1. Enquiries and supporting should be directed to the Quality Manager within 10 working days of the decision to be questioned.
2. The enquiry details will be checked to ensure it relates to an assessment decision or other decision affecting results and whether an appeal is necessary.
3. A response will be provided within 10 working days of the receipt of the enquiry and timescales provided if a full response or an appeal is necessary.

#### **Monitoring:**

UAL Awarding Body monitors the performance of the enquiry service and, as part of this monitoring welcomes both Centres' and Candidates' views which may be conveyed formally or informally. Formal feedback is collected through annual customer service satisfaction surveys and feedback forums which we would encourage our customers to take advantage of to assist us in improving this and other services we provide.

## 4. Appeals

*For details on the appeal process by category of appeal, please see supporting flowcharts.*

### **Stages of Appeal:**

1. The first stage of an appeal must be fully and formally conducted and recorded within a Centre, unless the Centre is appealing against a decision made by UAL Awarding Body, in which case the Centre may jump to stage 2 below.
2. If the appeal cannot be resolved internally, or is a Centre appeal, then an appeals form must be requested from either [r.anderson@arts.ac.uk](mailto:r.anderson@arts.ac.uk) or [d.c.knight@arts.ac.uk](mailto:d.c.knight@arts.ac.uk)
3. The full grounds of the appeal must be submitted via the form within 10 working days of receiving the UAL Awarding Body Appeals form. Submission of an appeal is free for students, but is assessed on a case-by-case basis for Centre appeal to cover the cost of holding an Appeals board. Any relevant documentation in support of the appeal relating to internal investigations or initial decisions must be submitted to UAL Awarding Body at this time. If any evidence essential for the appeal investigation is missing, UAL Awarding Body will contact you as soon as possible and you must submit the evidence in question within a further 10 working days. Recommendations on supporting documentation by type of appeal are listed below:
  - Reasonable adjustment decision
  - Special consideration decision
  - Candidate appeal following an investigation into malpractice/maladministration
  - Centre appeal following an investigation into malpractice/maladministration
  - Candidate appeal against an assessment decision
  - Centre appeal against an assessment decision
4. Within 10 working days of receiving the completed appeal form and all supporting evidence necessary to conduct an investigation, UAL Awarding Body will conduct an Appeals Board to investigate the decision being appealed against. The appeal board will include relevant Quality staff from UAL Awarding Body and at least one external, appropriately experienced independent individual. All evidence from the appeal form and supporting evidence from initial decision making will be examined against the UAL Awarding Body procedures in relation to the appeal category in question (see categories above.) The purpose of the appeal board is to investigate whether the Awarding Body has applied procedures consistently, properly and fairly in this instance.
5. The decision of the board will be formally recorded and submitted to the Centre and/or Candidate within 5 working days. The decision of the Appeal board is final.
6. The Awarding Body will take all necessary steps to review processes and procedures where they have failed despite being carried out fairly and accurately. Where procedures have not been followed correctly or fairly, training may need to be delivered to individuals responsible for not following procedures correctly, fairly or consistently. Training of other staff will also be considered to ensure that procedures are clear to key staff and followed correctly in the future.

## Appeal against a reasonable adjustment decision

### **Stages 1,2 and 3**

If the appeal is from a Candidate regarding a Centre decision not to apply a reasonable adjustment then the first stage of the appeal must be formally conducted within the Centre. If this cannot be dealt with internally, then a candidate requests appeal form from UAL Awarding Body for an individual Candidate appeal.

They must then return this **within 10 days of the request** – stating the **full grounds** of the appeal. Proof of the internal investigation will then be requested from the Centre. If the full grounds are not indicated, UAL Awarding Body will return this to the Candidate. If the appeal concerns a Category 2 reasonable adjustment the Centre has previously submitted, the Centre can apply directly to the Awarding Body with the appeal form with a £250 fee and full supporting documentation of the original request for reasonable adjustment.

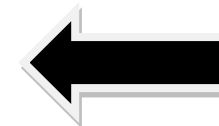


### **Stage 4**

UAL Awarding Body will conduct an Appeals board comprised of quality staff from UAL Awarding Body and an appropriately qualified and experienced individual who has not been involved in any part of the investigation or decision making relating to the reasonable adjustment to date nor has any direct or indirect connection with the Centre or the Awarding Body.

All records relating to the original reasonable adjustment decision must be provided alongside the appeal form.

The Board will then formally and thoroughly assess the evidence that the Centre and/or the Awarding Body's decision was correct in this instance and that the UAL Awarding Body followed the process for reasonable adjustments fairly and correctly. This is held **within 10 working days** of the appeal submission.



### **Stage 6**

If the Appeal is upheld then;

If the Centre and/or UAL Awarding Body applied procedures improperly/unfairly in arriving at judgements then the Awarding Body will require appropriate reasonable adjustments to be applied.

The Awarding Body may also, depending on the severity and extent of the appeal in question, ask the Centre to review their process for making decisions regarding reasonable adjustments.

If the outcome of an appeal questions the accuracy of other reasonable adjustments at a Centre then the Awarding Body will require a review of these also.

If the fault in judgement lies with the Awarding Body, then an investigation will be initiated to prevent this happening in future (see Appeals overview point 6.)

### **Stage 5**

The decision of the Appeals board is final and a report from the Appeal with an overview of how the decision was reached will be sent to the Centre and/or Candidate(s) as appropriate.



## Appeal against a special consideration decision

### **Stage 1,2,3**

Responsibility for determining the need to apply special consideration, and the length of time appropriate, is devolved to Centres. The first stage of a candidate appeal against a special consideration decision must be formally conducted within the Centre. If this cannot be dealt with internally, then a candidate requests appeal form from UAL Awarding Body for an individual Candidate appeal.

They must then return this **within 10 days of the request** – stating the **full grounds** of the appeal. Proof of the internal investigation will then be requested from the Centre. If the full grounds are not indicated, UAL Awarding Body will return this to the Candidate. Alternatively, the Centre may appeal directly to the Awarding Body if their decision to apply special consideration to the learner was rejected.



### **Stage 4**

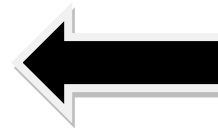
UAL Awarding Body will conduct an Appeals board comprised of quality staff from UAL Awarding Body and an appropriately qualified and experienced individual who has not been involved in any part of the investigation or decision making relating to the special consideration to date nor has any direct or indirect connection with the Centre or the Awarding Body.

All records relating to the special consideration decision made by the Centre and/or UAL Awarding Body will be scrutinised alongside the appeal form. The Appeals Board will assess the decision made and all supporting evidence by which the Centre or UAL Awarding Body came to their decision to not apply special consideration and whether this was decided fairly and accurately in accordance with procedures.



### **Stage 5**

The decision of the Appeals board is final and a report from the Appeal with an overview of how the decision was reached will be sent to the Centre and/or Candidate(s) as appropriate.



### **Stage 6**

If the Appeal is upheld then;

If the Centre applied procedures improperly/unfairly/neglectfully when making a judgement concerning special consideration then the Awarding Body will require special consideration to be applied. The Awarding Body may also, depending on the severity and extent of appeal in question, ask the Centre to review their process for making decisions regarding special consideration. If the outcome of an appeal questions the accuracy of other special consideration decisions at a Centre then the Awarding Body will require a review of these also.

If the fault in judgement lies with the Awarding Body, then an investigation will be initiated to prevent this happening in future and procedures reviewed where necessary. (Please see point 6 of the Appeals overview for more detail.)

Candidate appeal following an investigation into learner malpractice

**Stage 2 & 3**

Following a UAL Awarding Body investigation into learner malpractice, the learner may request an appeal form from UAL Awarding Body to appeal against a sanction resulting from the investigation.

They must then return this **within 10 days of the request** – stating the **full grounds** of the appeal. There is no charge for a candidate appeal.

If the full grounds are not indicated, UAL Awarding Body will return this to the Candidate.



**Stage 4**

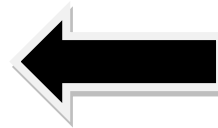
UAL Awarding Body will conduct an Appeals Board comprised of quality staff from UAL Awarding Body and an appropriately qualified and experienced individual who has not been involved in any part of the malpractice investigation or decision making to date nor have any direct or indirect connection with the Centre or the Awarding Body.

All records relating to the original malpractice decision must be provided alongside the appeal form, primarily the malpractice investigation report form. The Board will then formally and thoroughly assess the evidence that the Awarding Body's decision was correct in this instance and that the UAL Awarding Body followed the procedures for investigating malpractice fairly and correctly. This is held **within 10 working days** of the appeal submission.



**Stage 5**

The decision of the Appeals board is final and a report from the Appeal with an overview of how the decision was reached will be sent to the Centre and/or Candidate(s) as appropriate.



**Stage 6**

If the Appeal is upheld then;

If the Awarding Body and/or the Centre applied procedures improperly/unfairly in arriving at judgements then the Awarding Body will revoke the action that followed the investigation into malpractice.

Further, the Awarding Body will review the processes and procedures concerning malpractice if the appeal is upheld as the initial decision was incorrect.

## Centre appeal following an investigation into malpractice/maladministration

### Stage 2 & 3

Following a UAL Awarding Body investigation into Centre malpractice/maladministration, the Centre may request an appeal form from UAL Awarding Body to appeal against a sanction resulting from the investigation.

They must then return this **within 10 days of the request** – stating the **full grounds** of the appeal.

If the full grounds are not indicated, UAL Awarding Body will return this to the Centre.



### Stage 4

UAL Awarding Body will conduct an Appeals Board comprised of quality staff from UAL Awarding Body and an appropriately qualified and experienced individual who has not been involved in any part of the malpractice/maladministration investigation or decision making to date nor have any direct or indirect connection with the Centre or the Awarding Body.

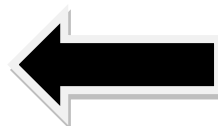
All records relating to the original malpractice/maladministration decision must be provided alongside the appeal form, primarily the malpractice investigation report form.

The Board will then formally and thoroughly assess the evidence that the Awarding Body's decision was correct in this instance and that the UAL Awarding Body followed the procedures for investigating malpractice fairly and correctly. This is held **within 10 working days** of the appeal submission.



### Stage 5

The decision of the Appeals board is final and a report from the Appeal with an overview of how the decision was reached will be sent to the Centre as appropriate.



### Stage 6

If the Appeal is upheld then;

If the Awarding Body applied procedures improperly/unfairly in arriving at judgements then the Awarding Body will revoke the action that followed the investigation into malpractice.

Further, the Awarding Body will review the processes and procedures concerning malpractice if the appeal is upheld as the initial decision was incorrect.

## Candidate appeal against an internal/external assessment/grading decision

### **Stage 1,2 and 3**

The first stage of the appeal must be formally conducted within the Centre. If this cannot be dealt with internally, then a candidate requests appeal form from UAL Awarding Body for an individual Candidate appeal.

They must then return this **within 10 days of the request** – stating the **full grounds** of the appeal. Proof of the internal investigation will then be requested from the Centre. If the full grounds are not indicated, UAL Awarding Body will return this to the Candidate.



### **Stage 4**

An Appeals board will be conducted, comprised of quality staff from UAL Awarding Body and an appropriately qualified and experienced individual who has not been involved in any part of the external assessment and grading process or appeal to date nor has any direct or indirect connection with the Centre or the Awarding Body.

All internal verification and assessment paperwork must be provided alongside the appeal form as well as any other information that may affect the outcome of the appeal (which must have been submitted alongside the appeal form.)

The Appeals Board will first formally and thoroughly assess the evidence that the Centre internal assessment and/or verification was fair, consistent and correct in this instance. This is held **within 10 working days** of the appeal submission.

The Appeals board will also need to investigate all documentation from the External Moderation to check that the UAL External Moderator has acted fairly, consistently and accurately in line with procedures in this instance. Investigation into the External moderator will include looking at all evidence relating to their employment and that all recruitment and training necessary has been followed by UAL Awarding Body to ensure that the External Moderator is appropriately qualified to make decisions and acted fairly, accurately and consistently.



### **Stage 6**

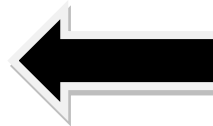
If the Appeal is upheld then;

- 1) If an **External Moderator** and/or the Centre applied procedures improperly/unfairly in arriving at judgements then the Awarding Body will require a reassessment and possibly the return of invalid certification of the entire cohort. The Awarding Body may also, depending on the severity and extent of appeal in question, impose conditions on the involvement of specific staff in the conduct of assessment / grading in the future. If the outcome of an appeal questions the accuracy of other assessment results at a Centre then the Awarding Body will require a reassessment and, if applicable, the return of invalid certification.
- 2) Other cohorts where the EM has been involved will be considered for re-moderation if necessary.

The Awarding Body will take appropriate action to ensure that all future assessment / grading meets agreed standards (see Appeals overview point 6.)

### **Stage 5**

The decision of the Appeals board is final and a report from the Appeal with an overview of how the decision was reached will be sent to the Centre and/or Candidate(s) as appropriate.



## Centre appeal against External Moderator's decision

### Stage 2 &3

Centre requests appeal form from UAL Awarding Body and must return **within 10 days of the request** – stating the **full grounds** of the appeal. If the full grounds are not indicated, UAL Awarding Body will return this to the Centre.

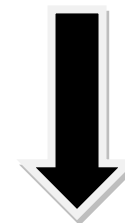


### Stage 4

An Appeals board will be conducted, comprised of quality staff from UAL Awarding Body and an appropriately qualified and experienced individual who has not been involved in any part of the external assessment and grading process or appeal to date nor has any direct or indirect connection with the Centre or the Awarding Body.

The Appeals board will use the appeals form in the investigation alongside all documentation from the External Moderation to check that the UAL External Moderator has acted fairly, consistently and accurately in line with procedures in this instance. Investigation into the External moderator will include looking at all evidence relating to their employment and that all recruitment and training necessary has been followed by UAL Awarding Body to ensure that the External Moderator is appropriately qualified to make decisions and acted fairly, accurately and consistently.

This will be held **within 10 working days** of the appeal submission.



### Stage 6

If the Appeal is upheld then;

If an **External Moderator** applied procedures improperly and unfairly in arriving at judgements then the Awarding Body will require a reassessment and, if applicable, the return of invalid certification. The Awarding Body may also, depending on the severity and extent of the inaccurate assessment / grading, impose conditions on the involvement of specific staff in the conduct of assessment / grading in the future. The Awarding Body will take appropriate action to ensure that all future External moderation meets agreed standards.

If the outcome of an appeal questions the accuracy of **assessment results** at other Centres then the Awarding Body will require a reassessment and, if applicable, the return of invalid certification. The Awarding Body may also, depending on the severity and extent of the inaccurate assessment / grading, impose conditions on the involvement of specific staff in the conduct or administration of assessment / grading in the future. The Awarding Body will take appropriate action to ensure that all future assessment / grading meets agreed standards.



### Stage 5

The decision of the Appeals board is final and a report from the Appeal with an overview of how the decision was reached will be sent to the Centre and/or Candidate(s) as appropriate.

## 5. Fees and Invoicing Policy

The UAL Awarding Body will publish a fee schedule 8 months in advance of the academic year in January.

The UAL Awarding Body can invoice Centres for:

- Centre Approval Applications
- Qualification Approval Application
- Registration fees for each registered candidate
- Learner change of name
- Replacement Certificate
- Late Registration fee
- Appeals

Registration deadlines will be published in advance of the academic year. A late Registration fee will be levied on all registrations received after the due date.

The UAL Awarding Body will refund fees on a discretionary basis.

Fees as published on the schedule include any advisory visits, administration visits, qualification specific events, involvement in the student exhibition, standardisation, external moderation, registration and certification.

Centres will be invoiced after registration and again after certification for any late students. The invoices will be sent directly from the University central finance team and will go to a named contact at each Centre as provided on the Centre Approval paperwork.<sup>21</sup>

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<sup>21</sup> F3 - General Conditions of Recognition – Ofqual 2011

# **SECTION G:**

# **WITHDRAWAL**

## **1. Centre Withdrawal Policy**

UAL Awarding Body is committed to ensuring that learners taking its qualifications are not disadvantaged should a Centre decide to withdraw from delivering one of its qualifications.

In most circumstances, Centres will make the decision to withdraw from a qualification well in advance of beginning delivery during a given academic year, or delivery cycle for qualifications that are delivered over a particular timescale.

In this event, UAL Awarding Body will make available to that Centre and to those learners who may have wished to study there, a list of approved UAL Awarding Body Centres who deliver that same qualification. Learners will be able to apply to study on that UAL Awarding Body qualification at a different institution of their choice.

In the unlikely event of a Centre opting to withdraw from the delivery of a qualification part-way through an academic year or delivery cycle, then UAL Awarding Body will do everything it can to help learners make alternative arrangements for completing their qualification at another Centre.

In the first instance, UAL Awarding Body will provide the learners with a list of approved UAL Awarding Body Centres who offer the qualification that they wish to complete. The learner can approach any Centre directly to find out if they are able to join the course in question to complete the qualification.

UAL Awarding Body will hold any credits and units achieved by learners until such time as they are able to complete the full qualification.

UAL Awarding Body publishes the names and web addresses of all its accredited Centres on its website.

UAL Awarding Body requires its Centres to take all reasonable steps to protect the interests of learners in any instance of withdrawal, and this commitment is given via the 'Qualifications Approval Form'.

### **Centre Withdrawal Process**

1. Centre notifies UAL Awarding Body of its decision
2. Centres confirm if there are learners who have not completed the full qualification
3. UAL Awarding Body provides the Centre and/or learners with the names of Centres that they could complete the qualification with.



## 2. Withdrawal of Qualifications Policy

All UAL Awarding Body qualifications are accredited by OFQUAL and obtain 'operational start', 'operational end' and 'certification end' dates. The 'operational end' is the date by which learners must be registered for a qualification and the 'certification end' is the date by which Centres must claim their certificates on behalf of the learners. These dates are set on introduction of all nationally recognised qualifications and must be adhered to by all UAL Awarding Body approved Centres.

UAL Awarding Body will advise Centres of start, end and certification dates for qualifications in advance of these being reached. In some cases UAL Awarding Body will request an extension to accreditation dates for a qualification from OFQUAL. A qualification may also be redeveloped to ensure content is current and a replacement may be introduced; or a qualification may be withdrawn without a replacement being made available.

Whichever of the above applies, UAL Awarding Body will keep all Centres informed of the future of a qualification that is currently being offered.

When qualifications are updated, UAL Awarding Body will provide arrangements for the transfer of candidates to any revised version.

UAL Awarding Body will draft a transition plan to ensure that learners' interests are adequately protected in advance of the withdrawal of the qualification. The transition plan will address, among others, the following issues:

- Are there any learners currently enrolled on the qualification – and if so, what are the arrangements for ensuring they are not unnecessarily disadvantaged?
- Is there adequate alternative provision available elsewhere in the qualifications framework?
- Are there any specialist sector or regulatory issues that must be considered?

### 3. Sanctions Policy

UAL Awarding Body is committed to ensuring that learners taking its qualifications have the best possible learning experiences, and have appropriate opportunities to achieve at the highest possible level.

In order to do this, UAL Awarding Body has in place a Centre and qualifications approval process to confirm that a Centre wishing to deliver its qualifications has in place the appropriate resources, systems and processes.

This process culminates in the completion of signed, enforceable agreements at both Centre and qualification level in which the Centre declares that it will comply with the requirements of UAL Awarding Body, which are informed by Ofqual's 'General Conditions of Recognition'.

To support high quality delivery in its Centres, UAL Awarding Body has a series of policies and procedures to which Centre must adhere.

Should any Centres be found to be in breach of the declarations they have made in the Centre and qualifications forms, or in breach of any of UAL Awarding Body's policies outlined in this document, then sanctions may be imposed.

The Awarding Body Management Group will agree sanctions, and each breach will be assessed on a case-by-case basis. Sanctions will be imposed at a level commensurate with the breach. The aim of any sanctions will be to protect the learner, and to prevent or minimize any adverse effects.

In instances where maladministration or malpractice has been proven to have occurred, sanctions will always be imposed.

Sanctions may be imposed if:

- A centre is in breach of its Centre approval
- A centre is in breach of its qualification approval
- A centre is in breach of any UAL Awarding Body policies or procedures.
- A centre is found guilty of malpractice or maladministration.

Sanctions might include:

- Withdrawal of Centre approval
- Withdrawal of qualification approval
- Conditions to Centre approval
- Conditions to qualification approval
- Suspension of your centre approval status for all UAL Awarding Body qualifications
- Suspension of your approval to run a specific UAL Awarding Body qualification
- An increased number of external moderation or external verification visits, quality advisor
- visits or centre visits by appointed UAL Awarding Body staff at the cost of the centre
- Training for centre staff
- Disallowing all or part of the learner's internal assessment evidence
- Disallowing all or part of the learner's external assessment evidence
- Not issuing the learner's certificate(s)
- Not accepting any further registrations for the learner
- Other appropriate measure to prevent recurrence of malpractice/maladministration.

#### **4. Malpractice and Maladministration Policy**

**This policy also exists as a stand-alone document. To ensure consistency, it is reproduced here in its entirety.**

## **Section 1 - Overview of the policy**

### **1.1 Scope of the policy**

This policy is aimed at our customers, including learners, who are using the products and services shown below and who are aware of or involved in suspected or actual malpractice or work with us to deal with such cases:

- L3 and L4 Foundation Diploma in Art & Design
- L2 Award and Diploma in Art & Design
- L3 Diploma and Extended Diploma in Art & Design
- L3 and L4 Diploma in Communication Arts
- L2 and L3 Awards and Certificates in Drawing
- L2 and L3 Awards and Certificates in Animation
- L2 and L3 Awards and Certificates in Photography
- L2 and L3 Awards and Certificates in Printmaking
- Film Suite Qualifications
- Any other accredited UAL Awarding Body qualification.

### **1.2 Purpose of the policy**

This policy sets out the steps you, your learners or other personnel must follow when reporting suspected or actual cases of malpractice or maladministration. It also sets out the responsibilities of the awarding body in dealing with such cases.

UAL Awarding Body will act upon all reports of suspected or actual cases of malpractice or maladministration we receive about your activities, your personnel or your learners which may affect the integrity of UAL Awarding Body qualification(s).

### **1.3 Accessing the policy**

You can download copies of the policy from our website here:

[www.arts.ac.uk/awarding/policiesandprocedures/](http://www.arts.ac.uk/awarding/policiesandprocedures/)

### **1.4 Communication of the policy**

UAL Awarding Body approved Centres must ensure all relevant staff involved in the management, assessment, moderation or verification of UAL Awarding Body qualifications are aware of their responsibilities in relation to malpractice, maladministration and misconduct.

On their centre visits, our External Moderators and External Verifiers may check that you've received the policy and confirm that it has been disseminated to colleagues and learners.

## 1.5 Reviewing the policy

We will review this policy annually and revise it as and when required in response to customer and stakeholder feedback, changes in our practices, actions from Ofqual or changes in legislation.

Our review will ensure that this policy continues to be consistent with Ofqual's '*General Conditions of Recognition*' and that is applied properly and fairly in order to arrive at fair judgements.

## 1.6 Definitions

### 1.6.1 Malpractice

Malpractice is defined as any deliberate activity, neglect, default or other practice that compromises the integrity of the assessment process, and/or the validity of certificates. Malpractice may include a range of issues from the failure to maintain appropriate records or systems to the deliberate falsification of records in order to claim certificates.

Failure by a centre to deal with identified issues as a result of UAL Awarding Body external moderation may in itself constitute malpractice.

Centre Staff malpractice – malpractice committed by a member of staff or contractor at a centre, or an individual appointed as a practical assistant to a learner.

Candidate malpractice – malpractice committed by a learner in the course of any examination or assessment. This includes the preparation, presentation and authentication of any work, plagiarism, and the compilation of portfolios of assessment evidence.

The list below contains some examples of malpractice:

- Contravention of our centre and qualification approval conditions
- Failure to satisfactorily implement conditions of approval within stated timescales
- Denial of access to resources (premises, records, information, learners and staff) by any authorised UAL Awarding Body representative and/or Ofqual
- Actions required by our External Moderators or External Verifiers not being met within agreed timescales
- Failure to carry out delivery, internal assessment, internal moderation or internal verification in accordance with our requirements
- Failure to adhere to our learner registration and certification procedures
- Failure to continually adhere to our qualification/centre approval criteria
- Failure to maintain auditable records, eg certification claims
- Fraudulent claim for certificates
- Intentional withholding of information from us which is critical to maintaining robust quality assurance mechanisms
- Deliberate misuse of our logo and our Investing in Quality trademark
- Forgery of evidence
- Plagiarism of any nature by learners.

Allegations of malpractice may be brought to our attention by a range of sources. These may include:

- UAL Awarding Body's own quality assurance systems or monitoring visits may identify that a centre is not adhering to quality assurance procedures
- centres may report instances of malpractice themselves
- a learner may have a legitimate complaint about a centre's personnel or practices that he or she raises with the awarding body
- an employer or parent (on behalf of the learner) may report an incident to UAL Awarding Body
- whistleblowers may report allegations of malpractice to UAL Awarding Body. Their identity must not normally be disclosed without their permission
- anonymous allegations may be reported to UAL Awarding Body; however, the allegation can only be acted on if there are sufficient details to identify the centre. UAL Awarding Body will log the information in case other similar allegations are reported and trends emerge
- external organisations such as SSCs (Creative & Cultural Skills or Skillset) and funding agencies may notify UAL Awarding Body of the need for an investigation.

### **1.6.2 Maladministration**

Maladministration is defined as any activity, neglect, default or other practice that results in the centre or candidate not complying with the specified requirements for the delivery of the qualifications.

UAL Awarding Body will investigate all cases of maladministration in liaison with the parties concerned. If an investigation results in evidence of maladministration, we will impose the appropriate sanction and take the necessary steps to ensure that the learners' interests are protected as far as is reasonably possible. This may include making arrangements for re-assessment or certification as appropriate.

### **1.7 Reporting suspected or actual cases of malpractice or maladministration**

Where malpractice or maladministration is suspected this must be reported in writing to UAL Awarding Body.

It should be sent to the Quality Manager via the contact details at the end of this document.

**For more information about your role and responsibilities please refer to Section 2.**

### **1.8 Reviewing reports of suspected or actual cases of malpractice or maladministration**

UAL Awarding Body will:

- acknowledge receipt of reports within 5 working days
- agree proposed actions and timescales with the Centre
- will fully investigate all alleged cases of malpractice and misconduct
- ensure that the investigation is carried out rigorously and effectively by persons of appropriate competence who have no personal interest in the outcome
- aim to action and resolve all investigations within 30 working days of receipt of the report
- We will advise the complainant and the Centre of the outcome of our investigation within 10 working days of making our decision.

**For more information about our role and responsibilities please refer to Section 3.**

## **Section 2 – Notifying UAL Awarding Body of suspected or actual cases of malpractice or maladministration**

2.1 Anybody who identifies or is made aware of suspected or actual cases of malpractice or maladministration at any time must immediately report their findings to the UAL Awarding Body Quality Manager.

If UAL Awarding Body External Moderators or External Verifiers discover suspected or actual cases of malpractice or maladministration when visiting your centre, they will inform you of their intention to report their findings to the UAL Awarding Body Quality Manager.

2.2 Where appropriate, you should submit accompanying evidence with the report.

2.3 The report and any accompanying evidence should be sent to the UAL Awarding Body Quality Manager by post or email.

Reports must include:

- centre's name, address and number
- learner's name and ULN
- centre personnel's details (name, job role) if they are involved in the case
- title of the UAL Awarding Body qualification affected or nature of the service affected
- date(s) suspected or actual malpractice occurred
- full nature of the suspected or actual malpractice
- contents and outcome of any investigation carried out by the centre or anybody else involved in the case, including any mitigating circumstances
- written statements from those involved in the case, eg witness statements
- date of the report and the informant's name, position and signature.

2.4 If you conduct your own centre investigation before submitting your report to us, you should notify the UAL Awarding Body Quality Manager of the suspected malpractice or maladministration prior to the investigation.

When conducting your own investigation, you should:

- ensure that staff leading the investigation are independent of the staff, learners or department being investigated
- inform those who are suspected of malpractice that they are entitled to know the necessary details of the case and possible outcomes
- submit the findings of your investigation to us with your report.



## **Section 3 – Investigating suspected or actual cases of malpractice or maladministration**

### **3.1 The review timescales at each stage of the process**

3.1.1 When we receive your report, we will acknowledge its receipt within 5 working days.

3.1.2 We will then allocate a panel comprising UAL Awarding Body staff and, where appropriate, independent contractors or volunteers. The panel will review the report and supporting evidence and carry out the investigation. We will ensure that UAL Awarding Body personnel who have had previous involvement in the matter do not participate in the review process. We will also endeavour to ensure that all personnel involved in the investigation are independent of the usual working relationships with our centres or our External Moderators and External Verifiers.

3.1.3 We will aim to action and resolve all stages of the investigation within 30 working days of receipt of the report. Please note that in some cases the investigation may take longer; for example, if a centre visit is required. In such instances, we will advise all parties concerned of the likely revised timescale.

3.1.4 We will advise you of the outcome of our investigation within 10 working days of making our decision.

### **3.2 The investigation**

3.2.1 We expect all parties, who are either directly or indirectly involved in the investigation, to fully co-operate with us.

3.2.2 During the investigation the panel's review may involve:

- a request for further information from our centre or UAL Awarding Body personnel interviews (face to face or by telephone) with personnel involved in the investigation
- arranging for UAL Awarding Body authorised personnel to carry out a centre visit.

3.2.3 We will make informed decisions based on the evidence.

3.2.4 In serious cases of suspected or actual malpractice or maladministration, we will notify the Head of Centre that an investigation will take place

3.2.5 In the case of centre malpractice or maladministration, we will offer you support and guidance to help us investigate the matter and reach the appropriate conclusions.

3.2.6 In the case of learner malpractice or maladministration, we will ask you to investigate the issue in liaison with our own personnel.

3.2.7 We will protect the identity of the informant or whistleblower as required.

3.2.8 Where applicable, we will inform Ofqual of any investigation into suspected or actual cases of serious malpractice and will agree the appropriate course of remedial action with them. In exceptional cases, Ofqual may lead the investigation.

3.2.9 We will share information with other external parties as required.

3.2.10 In cases where certificates for regulated qualifications are deemed to be invalid, we will inform you and Ofqual of the reason they are invalid and any action to be taken for

reassessment and/or certification. We will also ask you to let your learners know the action we are taking and that their original certificates are invalid. We will amend our records to show that the certificates have been revoked and require you to do the same.

3.2.11 At the point of notification of a suspected or actual case of malpractice or maladministration, or at any time during the investigation, we reserve the right to suspend any claims for learner certification submitted by you.

3.2.12 We reserve the right to withhold a learner's results for all the UAL Awarding Body qualifications they are studying at the time of the notification or investigation of suspected or actual malpractice or maladministration, if the case is deemed to be of a serious nature.

## **Section 4 – The outcome of the investigation**

We will consider all factors put forward by you or the learner in determining the outcome of the investigation and, where appropriate, any sanctions.

### **4.1 Centre malpractice or maladministration**

If the investigation confirms that centre malpractice or maladministration has taken place, we may impose one or more sanctions, in line with our 'Sanctions Policy'. The list below provides some examples of possible sanctions:

- Suspension of your centre approval status for all UAL Awarding Body qualifications
- Suspension of your approval to run a specific UAL Awarding Body qualification
- An increased number of external moderation or external verification visits, quality advisor visits or centre visits by appointed UAL Awarding Body staff at the cost of the centre
- Training for centre staff
- Other appropriate measure to prevent recurrence of the malpractice or maladministration.

It is your responsibility to inform your personnel and learners affected of the implications of the sanctions.

### **4.2 Learner malpractice or maladministration**

If the investigation confirms that learner malpractice or maladministration has taken place, we may impose one or more of the following sanctions on the learner. Please note that this list is not exhaustive:

- Disallowing all or part of the learner's internal assessment evidence
- Disallowing all or part of the learner's external assessment evidence
- Not issuing the learner's certificate(s)
- Not accepting any further registrations for the learner
- Other appropriate measure to prevent recurrence of the malpractice or maladministration.

In cases of malpractice or maladministration by learners, you should make your learners aware that their final results may be void if the case is proven. All certificates already issued will be deemed to be invalid and must be returned to UAL Awarding Body.

## **Section 5 – Reporting the outcome**

After an investigation, we will produce a draft report for you/learner to check the factual accuracy.

Any subsequent amendments will be agreed between you/learner and ourselves.

We will make the final report available to you/learner and to the regulatory authorities and other external agencies as required

If an independent/third party notified us of the suspected or actual case of malpractice or maladministration, we will inform them of the outcome.

If we believe that the occurrence of malpractice or maladministration, or any connected occurrence may affect a Centre undertaking the delivery of one of our qualifications, we will inform that Centre. The UAL Awarding Body Quality Manager will carry this out in writing via email or a letter within 5 working days of completion of the investigation.

If we believe that the occurrence of malpractice or maladministration, or any connected occurrence may affect another awarding organisation, we will inform that awarding organization. The UAL Awarding Body Quality Manager will carry this out in writing via email or a letter within 5 working days of completion of the investigation.

## **Section 7 – Your UAL Awarding Body contact for this policy**

If you have any queries about the contents of this policy, please contact:

Ross Anderson  
Quality Manager  
UAL Awarding Body  
Chelsea College of Art & Design  
16 John Islip Street  
London  
SW1P 4JU

Tel: 020 7514 9854  
Email: [r.anderson@arts.ac.uk](mailto:r.anderson@arts.ac.uk)

# **SECTION H:**

# **CONTACT DETAILS**

## 1. Contacting the UAL Awarding Body

You can contact us:

*Nick Juba / Director*

By e-mail n.juba@arts.ac.uk  
By phone 020 7514 9856 / 07841 569 973

*Helen Roberts/ Operations Manager*

By e-mail h.l.roberts@arts.ac.uk  
By phone 020 7514 9853 / 07872 005 471

*Ross Anderson/ Deputy Director*

By e-mail r.anderson@arts.ac.uk  
By phone 020 7514 9854

*Sarah Atkinson/ Chief Examiner & Academic Advisor*

By e-mail s.j.atkinson@arts.ac.uk  
By phone 020 7514 9852 /

*Danielle Knight/ Communications and Qualifications Officer*

By e-mail d.c.knight@arts.ac.uk  
By phone 020 7514 9850

*Maisie James/ Administrative Assistant*

By e-mail m.g.james@arts.ac.uk  
By phone 020 7514 9851

*Claire Clark/Quality Officer*

By email c.m.clark@arts.ac.uk  
By phone 020 7514 9855

By writing to

University of Arts London Awarding Body  
16 John Islip Street  
LONDON  
SW1P 4RJ