



**Coleg Gŵyr Abertawe**  
**Gower College Swansea**

## **ASSESSMENT, APPEALS and MALPRACTICE POLICY**

<b>Issue</b>	<b>April 2020</b>
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<b>Originator</b>	<b>Kay Morgan Vice Principal Academic Services</b>
<b>Location of Policy</b>	<b>BIZ-Sharepoint/Intranet/Policies &amp; Procedures/Quality</b>
<b>Approved by:</b>	<b>College Management Team – 12 March 2020</b>

## **1. Assessment - Introduction**

1.1 Gower College Swansea is committed to providing high quality teaching and support to our students. Assessment is the process of monitoring students' progress against the Awarding Body criteria in order to ensure that all students' work meets the required standards. It provides a continuous check on the quality of work produced by a student. This policy aims to set out the standards required for assessment at Gower College Swansea.

### **1.2 The aim of assessment is to:**

- Inform students of their individual progress.
- Ensure that the required academic standards are met, maintained and monitored.
- Develop the knowledge, skills and understanding of students.
- Provide informative feedback that enables students to make progress.
- Inform academic staff of the effectiveness of their teaching.

## **2. General Practices and Procedures for Assessment**

2.1 The evidence requirements for assessment outcomes should be carefully constructed to be fair and accessible to all participating students to ensure that all have an equal opportunity to achieve e.g. due consideration to tasks/use of equipment should be made so as not to exclude any student with a disability.

2.2 Assessment of students work is based on awarding body/HEI partners assessment criteria and guidelines.

2.3 All provision/courses must have a planned assessment process, which includes; timing and number of assessments and/or assignments, assessment deadline dates and the number of days assessed work will be returned within (normally 10 working days for FE and 20 working days for HE).

2.4 Students must be given a statement of the assessment requirements for their qualification which should be clearly explained.

2.5 Assessment decisions must be based upon clearly defined assessment and/or grading criteria.

2.6 Feedback must be given at a level and depth that ensures assessment is an integral and critical part of the total learning process and complies with awarding body/HEI requirements. Internal verification and moderation must be undertaken on assessment decisions / assignment briefs according to College procedures and awarding body/HEI requirements.

- 2.7 Academic performance and progress on assessments are to be discussed with individual students as an integral part of the tutorial programme (ILP).
- 2.8 Academic staff must keep up to date records of assessments for all their students and monitor their progress.
- 2.9 Assessment outcomes must not be disclosed in any unauthorised manner to any unauthorised individuals.
- 2.10 Records of assessments must be secure and free from interference by unauthorised individuals.
- 2.11 Course teams must review assessment procedures/processes annually to ensure that they are current and valid.
- 2.12 Specific requirements regarding assessment and grading are put in place by the awarding body/HEI partners concerned and are available from the Curriculum Leader.
- 2.13 Any specific requirements of awarding bodies/validating HEIs regarding assessment not covered by this policy must be adhered to at all times.

### **3. Academic Appeals - Introduction**

- 3.1 It is Gower College Swansea policy that all students have the right to appeal against assessment decisions if they feel they have been treated unfairly and Awarding Body/HEI partner standards have not been met. Students are made aware of this policy during induction, in their course handbooks and the policy is available on the student portal on Moodle. This Appeals Procedure is an important aspect of quality control at Gower College Swansea. Students will not be disadvantaged by making an appeal. HE students can only appeal if they think the assessment process has not been followed, they cannot appeal an assessment decision/grade

### **3.2 Appealing Against Internal Assessment Results Made by the College** (FE students only)

#### **3.2.1 STAGE 1**

If students are unhappy with an assessment decision made, they must first discuss their concerns with their Assessor/Lecturer within 7 days of receiving the assessment outcome.

The assessor/lecturer will discuss the assessment decision and the verbal/written feedback provided against specified Performance Criteria with the student, providing advice and support if further evidence is required to prove competence/performance.

### **3.2.2 STAGE 2 (Centre assessed marks for GCSE Controlled Assessments, GCE Coursework and GCSE and GCS Non-examination Assessments)**

If the student is still unhappy with the assessment decision, they must inform the Examinations Manager in writing or verbally within 10 working days of notification of the assessment decision. Non-refundable charges may apply for this appeal.

The Examination Manager will arrange for the student's portfolio/work evidence to be re-assessed in order to confirm that no incorrect assessment was recorded. In such cases, the re-assessment will be carried out by a person or persons other than the person who made the original assessment or assessments. The student will be provided with a report of the re-assessment, and the decision made, within 20 working days from the receipt of the original request.

#### **3.2.2b STAGE 2 (All other internal assessments)**

If the student is still unhappy with the assessment decision, they must inform the Learning Area Manager for their area in writing or verbally within 10 working days of notification of the assessment decision. Non-refundable charges may apply for this appeal.

The Learning Area Manager will arrange for the student's portfolio/work evidence to be re-assessed in order to confirm that no incorrect assessment was recorded. In such cases, the re-assessment will be carried out by a person or persons other than the person who made the original assessment or assessments. The student will be provided with a report of the re-assessment, and the decision made, within 20 working days from the receipt of the original request.

#### **3.2.3 STAGE 3**

If the student is still unhappy with the decision made they need to appeal in writing or verbally to the Dean of Faculty who will organise a formal meeting to discuss appeal and review decisions which could involve Assessor, Curriculum Leader/Internal Verifier and Candidate, as appropriate. This stage of appeal must be within 5 working days of the outcome of the re-assessment (stage 2). Stage 3 does not apply for Centre assessed marks for GCSE Controlled Assessments, GCE Coursework and GCSE and GCS Non-examination Assessments.

#### **3.2.4 STAGE 4**

If the student is still not happy with the internal appeal decision, they may appeal to the relevant Awarding Body/HEI Partner or in the case of HE students the Office of the Independent Adjudicator for HE. The examination department will keep a record of all appeals made. It should be noted that appeals to the relevant Awarding Body can only be made where this process is allowed by that Awarding Body. Stage 4 does not apply for Centre assessed marks for GCSE Controlled Assessments, GCE Coursework and GCSE and GCS Non-examination Assessments.

Awarding Bodies charge fees for this process which will be refunded if the decision is found in the student's favour.

In some cases there may be the requirement to make professional bodies aware of the appeal.

### **3.3 Appealing Against Assessment Results Made by an Awarding Body (FE students only)**

3.3.1 A request for a review of an assessment result by an Awarding Body may be made following the Awarding Body procedure within the time scales stated in that procedure. Guidance on the exact procedure that applies can be provided by the Curriculum Leader for the programme.

3.3.2 If the student wishes the College to request an assessment review on their behalf, the student must apply to the college within 7 working days of receiving the assessment result. This will allow time for the case to be discussed with the Examinations Department at the College and for a review request to be prepared and sent to the Awarding Body.

3.3.3 Awarding Bodies charge fees for this process which will be refunded if the decision is found in your favour.

3.4 In the case of staff malpractice or maladministration the appeal process is contained within the college's disciplinary procedure

## **4. Withdrawal of Awarding Body Accreditation**

4.1 In the event of approval being withdrawn for one or more qualifications (whether voluntary or enforced) by an Awarding Body then the College will support learners who are on programme which may include finding an alternative center to allow the learners to complete their qualification(s).

## **5. Malpractice and Maladministration**

5.1 Attempting to or carrying out any malpractice or maladministration activity is not permitted by Gower College Swansea. The College reserves the right to actively invoke checking procedures.

5.2 The College has the right to reject a student's work on the grounds of malpractice if any of the regulations are broken (see 5.3 and 5.4 below).

### **5.3 Definition of Malpractice**

Malpractice refers to any activity or practice which deliberately contravenes regulations and compromises the integrity of the internal or external assessment process and /or the validity of certificates.

It covers any deliberate actions, neglect, default or other practice that compromises, or could compromise:

- the assessment process;
- the integrity of a regulated qualification;
- the validity of a result or certificate;
- the reputation and credibility of the College; or
- the qualification or the wider qualifications community.

This definition of malpractice is covered during induction week to ensure learners are informed about the meaning of malpractice and Students are made aware of this policy during induction, in their course handbooks and the policy is available on the student portal on Moodle.

#### **5.4 Examples of Malpractice by Learners:**

- Plagiarism by copying and passing off, as the learner's own, the whole or part(s) of another person's work, including artwork, images, words, computer generated work (including Internet sources), thoughts, inventions and/or discoveries whether published or not, with or without the originator's permission and without appropriately acknowledging the source
- Collusion by working collaboratively with other learners to produce work that is submitted as individual learner work. Learners should not be discouraged from teamwork, as this is an essential key skill for many subject areas, but the use of minutes, allocating tasks, agreeing outcomes, etc are an essential part of teamwork and this must be made clear to the learners.
- Impersonation by pretending to be someone else in order to produce the work for another or arranging for another to take one's place in an assessment/ examination/ test
- Fabrication of results and/or evidence
- Failing to abide by the instructions or advice of an assessor, a supervisor, an invigilator, or Awarding Body/validating HEI conditions in relation to the assessment/ examination/ test rules, regulations and security
- Misuse of assessment/examination material
- Introduction and/or use of unauthorised material contra to the requirements of supervised assessment/examination/ test conditions, for example: notes, study guides, personal organisers, calculators, dictionaries (when prohibited), personal stereos, mobile phones or other similar electronic devices
- Obtaining, receiving, exchanging or passing on information which could be assessment/examination/test related (or the attempt to) by means of talking or written papers/notes during supervised assessment/examination/test conditions

- Behaving in such a way as to undermine the integrity of the assessment/examination/test
- The alteration of any results document, including certificates
- Cheating to gain an unfair advantage.

## **5.5 Examples of Malpractice by Staff**

- Failure to carry out internal assessment, internal moderation or internal verification in accordance with awarding organisations requirements.
- Alteration of Awarding Body/HEI partners mark scheme and assessment and grading criteria.
- Assisting learners in the production of work for assessment, where the support has the potential to influence the outcomes of assessment beyond that required for effective learning, for example where the assistance involves staff producing work for the learner.
- Producing falsified witness statements, for example for evidence the learner has not generated.
- Allowing evidence, which is known by the staff member not to be the learner's own, to be included in a learner's assignment/task/portfolio/coursework.
- Facilitating and allowing impersonation.
- Misusing the conditions for special learner requirements, for example where learners are permitted support, such as an amanuensis. This is permissible up to the point where the support has the potential to influence the outcome of the assessment.
- Failing to keep learner computer files secure.
- Falsifying records/certificates, for example by alteration, substitution, or by fraud.
- Fraudulent certificate claims, that is, claiming for a certificate prior to the learner completing all the requirements of assessment.
- Failing to keep assessment/examination/test papers secure prior to the assessment/examination/ test.
- Obtaining unauthorised access to assessment/examination/test material prior to an assessment/examination/test.
- Misuse of Recognition of Prior Learning (or APL).

- Deliberate failure to adhere to the awarding organisations qualification approval requirements, learner registration and certification procedures.

This list will form the basis of guidance to staff and will be disseminated through team meetings along with any relevant updates from awarding bodies.

## **5.6 Definition of Maladministration**

Maladministration refers to any activity or practice which results in non-compliance with administration regulations and requirements and includes the application of persistent mistakes or poor administration.

## **5.7 Examples of Maladministration**

- Persistent failure to adhere to awarding organisations learner registration and certification procedures.
- Persistent failure to adhere to awarding organisation's center recognition and/or qualification requirements.
- Late learner registrations with the awarding organisation.
- Unreasonable delays in responding to requests from awarding organisations.
- Inaccurate claims for certificates.
- Failure to maintain auditable records e.g. certification claims.
- Withholding of information, by deliberate act or omission, from an awarding organisation.

## **6. Procedure for dealing with Learner Malpractice**

- 6.1 Malpractice could constitute a disciplinary offence as outlined in the Student Code of Conduct and could result in disciplinary action under the College's Student Disciplinary Procedure.
- 6.2 This will be dealt with by a member of staff raising their concern with the personal tutor or, for Work based learning, the assessor who will liaise with the Learning Area Manager to decide on the next course of action. The action taken will depend on the seriousness of the learner's behavior and could lead to use of the Student Disciplinary Procedure.
- 6.3 In the event of alleged learner malpractice, a nominated person will carry out an investigation in line with the College's disciplinary Procedure. As part of any investigation the college will:
- make the learner fully aware at the earliest opportunity of the nature of the alleged malpractice



- give the learner the opportunity to respond to the allegations made.
- inform the learner of the avenues for appealing should a judgment be made against them

Further details can be found in the Student Disciplinary Procedure.

6.4 For HE students on franchised programs, any incident of learner malpractice will be referred to the relevant HEI and dealt with under the HEI's regulations.

## **7. Procedure for dealing with Staff Malpractice or Maladministration**

7.1 Where there has been a complaint or an observed or reported incident of malpractice or maladministration, the Head of HR Services or Vice Principal along with the Quality Manager will carry out an initial assessment following which a decision will be made whether to:

- Deal with the matter informally
- Refer the matter back to the Faculty Manager or other immediate line manager
- Carry out a full investigation
- Suspend the member of staff involved

7.2 In the event of a full investigation the College Disciplinary procedure will be followed. The process and levels of disciplinary action which may be taken as a result of malpractice or maladministration are outlined in the College Staff Disciplinary procedure.

### **7.3 Confidentiality and Whistle Blowing**

Sometimes a person making an allegation of malpractice or maladministration may wish to remain anonymous. Although it is always preferable to reveal your identity and contact details, if you are concerned about possible adverse consequences you may request that your identity is not divulged. The Head of HR Services or Vice Principal will determine whether the allegation falls within the realms of the Whistleblowing Policy and if 'protected disclosure' can apply, in which case the procedure under that policy will be used.

The Whistleblowing Policy and Procedure (Public Interest Disclosure) provides further details.

## **8. Associated Documentation**

- Student Code of Conduct
- Student Disciplinary Procedures
- Code of Conduct for Staff
- Disciplinary & Dismissal Procedures (Staff)
- The Whistleblowing Policy and Procedure (Public Interest Disclosure)

## **9. Yr Iaith Cymraeg / The Welsh Language**

Mae Coleg Gŵyr Abertawe yn ymrwymedig i hyrwyddo'r iaith Gymraeg, yn unol â Safonau'r Iaith Gymraeg a Mesur y Gymraeg (Cymru) 2011.

Gower College Swansea is committed to the promotion of the Welsh language, in accordance with the Welsh Language Standards and the Welsh Language (Wales) Measure 2011.

### **GOWER COLLEGE SWANSEA** **REVIEWS OF MARKING – CENTRE ASSESSED MARKS** **(GCSE CONTROLLED ASSESSMENTS, GCE COURSEWORK,** **GCE AND GCSE NON-EXAMINATION ASSESSMENTS)**

Gower College Swansea is committed to ensuring that whenever its staff mark candidates' work this is done fairly, consistently and in accordance with the awarding body's specification and subject-specific associated documents.

Candidates' work will be marked by staff who have appropriate knowledge, understanding and skill and who have been trained in this activity. Gower College Swansea is committed to ensuring that work produced by candidates is authenticated in line with the requirements of the awarding body. Where a number of subject teachers are involved in marking candidates' work, internal moderation and standardisation will ensure consistency of marking.

1. Gower College Swansea will ensure that candidates are informed of their centre assessed marks so that they may request a review of the centre's marking before marks are submitted to the awarding body.
2. Gower College Swansea will inform candidates that they may request copies of materials to assist them in considering whether to request a review of the centre's marking of the assessment.
3. Gower College Swansea will, having received a request for copies of materials, promptly make them available to the candidates.
4. Gower College Swansea will provide candidates with sufficient time in order to allow them to review copies of materials and reach a decision.
5. Requests for review of marking must be made in writing accompanied by the relevant fee.
6. Gower College Swansea will allow sufficient time for the review to be carried out, to make any necessary changes to marks and to inform the candidate of the outcome, all before the awarding body's deadline.
7. Gower College Swansea will ensure that the review of marking is carried out by an assessor who has appropriate competence, has had no previous involvement in the assessment of that candidate and has no personal interest in the review.
8. Gower College Swansea will instruct the review to ensure that the candidate's mark is consistent with the standard set by the centre.
9. The candidate will be informed in writing of the outcome of the review of the centre's marking.
10. The outcome of the review of the centre's marking will be made known to the head of centre and will be logged as a complaint. A written record will be kept and made available to the awarding body upon request. Should the review of the centre's marking bring any irregularity in procedures to light, the awarding body will be informed immediately.

After candidates' work has been internally assessed, it is moderated by the awarding body to ensure consistency in marking between centres. The moderation process may lead to mark changes. This process is outside the control of Gower College Swansea and is not covered by this procedure.

## Appendix 2

### Confirmation to the student of marks for GCSE Controlled Assessments, GCE Coursework and GCSE and GCS Non-examination Assessments (NEA)

Student I.D.: \_\_\_\_\_ Candidate Full Name: \_\_\_\_\_  
 Assessor: Name: \_\_\_\_\_ (print) \_\_\_\_\_  
 Moderator: Name: \_\_\_\_\_ (print) \_\_\_\_\_  
 Subject: \_\_\_\_\_ Unit: \_\_\_\_\_  
 Mark: \_\_\_\_\_

Your NEA has been internally moderated and the mark for this work is as detailed above.  
**This mark has been confirmed by the internal moderator.**

#### Review of Centre 68815 Marking \*

You may request copies of materials to assist you in considering whether to request a **review** of the centre's marking of the assessment. You will need to allow one week in order for these materials to be made available to you. You then have one week to reach a decision whether you would like to request a **review of the marking**. This request must be put in writing to the Examinations Manager and no later than the date of \_\_\_\_\_.

There will be a fee of £ 100 for the **review of marking** which must be paid for at the time of your request.

The **review of marking** will be carried out by an assessor who has no previous involvement in the assessment and no personal interest in the review. You will be informed in writing of the outcome of the **review** of the centre's marking.

\*This is subject to meeting internal submission deadlines.

#### Awarding Body Moderation

After your work has been internally assessed, it is moderated by the awarding body to ensure consistency in marking between centres. The moderation process may lead to mark changes. This process is outside the control of Gower College Swansea and is not covered by this procedure.

I confirm receipt of the above information:

Name: \_\_\_\_\_ (print) D.O.B: \_\_\_\_\_

Signed: \_\_\_\_\_ Date: \_\_\_\_\_

White Copy To be signed and returned to lecturer	Yellow Copy To be retained by candidate	Pink Copy To be retained by lecturer
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