# 

**AWARDS BOARD GUIDANCE 2018/19**

## 

**Including:**

**Policy and Procedures for Awards Boards**

**Protocol for Awards Boards**

**Awards Board Agenda**

**Awards Board Minutes Template**

**The intended audience for this document is:**

**Tutors**

**Assessors**

**Internal Moderators**

**Centre Quality Contacts and Managers**

**Key stakeholders involved in Access to HE**

**Certa staff including contracted external moderators of Access to HE Diplomas**

**QAA**

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# Section 1: Policy and Procedures for Awards Boards

**1. Introduction**

This policy has been designed for use by Certa as an Access Validating Agency (AVA) under licence to the Quality Assurance Agency (QAA), in order that principles, best practice and lines of responsibility for the operation of Awards Boards are clearly defined.

To support this policy, Certa interprets QAA Licensing Criteria and the Access to HE Diploma and Credit Specification. The AVA will also continue to develop and refine its practice through regular review and feedback from providers, students, external moderators, Higher Education Institutes and QAA.

The QAA Licensing Criterion 112 requires that:

The AVA operates standard documented procedures for the award of Access to HE Diplomas that are consistent with QAA requirements. These include:

1. procedures outlining the function, process and membership of Final Awards Boards
2. procedures that ensure a final moderation process has taken place before the Final Awards Board and before recommendations for the award of credits, grades or Diplomas are made to the AVA
3. procedures to ensure that students on Access to HE courses are awarded credit and, where appropriate, grades for all units achieved and an Access to HE Diploma if the specified units have been achieved.

Any definitions used, have been taken from the AVA’s quality documents, and from QAA regulation and guidance on Access to HE Diplomas.

1.1 The policy and procedures set out in this document applies to Access to HE Diplomas regulated by QAA and offered by Certa.

1.2 The document sets out the principles that must be followed when preparing for, and conducting an Awards Board for Access to HE.

1.3 The AVA holds a protocol for the management of Awards Boards which contains the implementation of the principles held in this document – see Section 2.

1.4 As an AVA, Certa has a duty to ensure that the integrity of the Access to HE Diploma is maintained at all times.

1.5 Certa’s Access to HE Diplomas and associated units meet national standards of knowledge, skills and competences. These are defined in the units of assessment as Learning Outcomes and Assessment Criteria. The unit assessment grids are designed to ensure that the required standards are met; they cannot be altered by Centres.

**2. Principles of Awards Boards**

2.1 The formal authority for the award of the Access to HE Diploma rests with the AVA’s Access to HE Committee. This Committee has delegated this authority to the Awards Board for each Diploma.

2.2 The Access to HE Committee will formally approve the award of Access to HE Diplomas and unit achievement made at each Centre Awards Board.

2.3 The Awards Board is convened by the Centre to formally confirm the Award of the Access to HE Diploma and the Award of Credit.

2.4 All the preparation for the Awards Board and the activity of the Awards Board, is the responsibility of the Centre, and will conform to the AVA’s Policy and Protocol for the Access to HE Diploma Awards Board.

2.5 The activity of the Awards Board is part of the provider’s quality assurance procedure for their Access to HE Diploma/s.

2.6 The Recommendation for Award of Credit (RAC) will be signed by the tutor, internal moderator and external moderator at the Awards Board to confirm the Awards Board’s approval of all awards and any other decisions made by the Awards Board.

2.7 The Awards Board minutes will be finalised, checked and signed by the Chair, the AVA Representative and the External Moderator.

**3. The Business of the Awards Board**

The Awards Board will:

* + Comply with the Quality Assurance Agency (QAA) Guidance
  + Take place within four weeks of the completion of the Diploma course (but more usually immediately following the final moderation event
  + Discuss achievement profiles, with reference to the National Achievement rate (78.5%), discuss current grade profiles in comparison to previous year’s profiles, and offer explanations for variance
  + Approve the graded and ungraded units within the Diploma
  + Approve the award of credit
  + Approve the award of the Diploma, ensuring that mandatory considerations, and rules of combination and exclusions have been met
  + Receive information on AVA decisions made in respect of requests for referrals submitted during the academic year
  + Make decisions in respect of requests for referrals received towards the end of the period of study, which were not submitted to the AVA
  + Make decisions in respect to appeals on behalf of student(s)
  + Approve the provider to run the Diploma again for the following academic year.

**4. Membership of the Awards Board**

4.1 An experienced scribe and chair are appointed from the provider.

4.2 There will be two members representing the AVA; one of which must be an external moderator appointed by the AVA; one of which must act as the AVA representative.

4.3 There will be a senior representative from the provider who has some responsibility for quality assurance in the organisation – the quality contact.

4.4 At least one Access to HE tutor from the provider must be present. In practice, it is expected that the course co-ordinator, the internal moderators and tutors that represent the delivery and assessment of the Diploma will be available to attend.

4.5 Awards Boards must be quorate to continue. Without the required personnel in attendance, the Awards Board must be rescheduled. The AVA will make a charge for reconvening an Awards Board.

4.6 It should be noted that the QAA specifically excludes students from attendance at the Awards Board but there is no reason why students cannot meet external moderators during the final moderation activity prior to the Awards Board, or after the Awards Board has met.

4.7 There may be an occasion where a Centre is not able to provide a Chair or Scribe. The AVA may be able to provide this service and will apply an appropriate fee.

**5. Where there is more than one Diploma involved**

5.1 There will be at least two members representing the AVA, which will include one external moderator for each Diploma involved with the deliberations of the Awards Board. External moderators may be asked to act as AVA representative for Diplomas that they are not responsible for.

5.2 At least one tutor from each of the Diplomas involved will be present. In practice, the course co-ordinator for each Diploma is expected to be present and some representation from each internal moderation team.

**6. Roles and Responsibilities of Awards Boards Members**

6.1 Awards Board members who are able to contribute to the business of the Awards Board’s decision-making items are:

(a) those from the provider directly involved with the delivery, assessment and quality assurance of Access to HE Diplomas under discussion

(b) an external moderator

(c) an AVA representative.

6.2 The chair and scribe do not contribute to the decision-making process unless they have another role on the Awards Board, such as quality contact or Internal Moderator.

6.3 The chair of the Awards Board ideally should be external to the team of the staff involved with delivering, assessing or quality assuring the Diploma. It is essential that the chair summarises any decisions made by the Awards Board, particularly in relation to the sections on appeals and on-course referrals to ensure the agreement of all Awards Board members, and for clarification for the scribe.

6.4 The scribe is an experienced administrator appointed by the provider. It is the scribe’s responsibility to ensure that the minutes of the Awards Board are sufficiently detailed. In addition, it is the scribe’s responsibility that the minutes from the referral or appeals agenda items are sufficiently detailed to ensure that future amendments to the RAC by the AVA can be made accurately. A succinct summary of the oral reporting of any cases of plagiarism and the range of mitigating circumstances offered by the student(s) is also required.

6.5 The quality assurance representative from the provider will be present:  
  
(a) to ensure that the meeting follows the agreed agenda in line with the AVA’s Awards Board minutes template   
  
(b) to ensure the meeting follows any applicable provider policies  
  
(c) to contribute to the decisions made for individual students.

6.6 Course team members are present to submit recommendations for awards of grades, units and Diplomas on behalf of students. They will also submit any mitigating circumstances materials on behalf of students and are responsible for bringing to the meeting any relevant documents for any of these purposes.

6.7 External moderators have a role in providing feedback to the provider, to submit for the Awards Board’s approval any changes to the RAC they wish to make including grades, to ensure that the RAC is appropriately completed and then to sign the RAC in the presence of Awards Board members.

6.8 The AVA representative may be a member of the AVA staff or a currently appointed external moderator whose role is to ensure that the Awards Board’s business is in accordance with the AVA’s Policy and Protocol, and quality assurance policies.

6.9 Visitor or observer attendance must be notified to the Centre Quality contact and AVA in advance of the Awards Board, and cannot contribute to the Awards Board’s business.

**7. Useful links**

Certa website: [**http://www.certa.org.uk/access\_to\_he**](http://www.certa.org.uk/access_to_he)

**8. Policy Responsibility and Review**

Certa will review this policy and procedure regularly and revise it when necessary in response to customer and stakeholder feedback, changes in practice, requirements of the Quality Assurance Agency and other external agencies, or changes in legislation. The review will ensure that procedures continue to be consistent with the regulatory criteria and are applied properly and fairly.

# Section 2: Awards Board Protocol

## Introduction

This protocol has been designed for use by Certa as an Access Validating Agency (AVA) under licence to the Quality Assurance Agency (QAA) and all Access to HE Diploma providers who hold approved Diploma programmes with the AVA, in order that their respective responsibilities with respect to QAA compliance requirements for the operation of Awards Boards are clearly defined. This protocol is spilt into three quite distinct sections:

* Combined Responsibilities
* Provider Responsibilities
* AVA’s Responsibilities

The Awards Boards are subject to the AVA’s quality assurance policy in respect of the award of credit and the award of the Access to HE Diploma. It should be noted that the QAA specifically excludes students from attendance at the Awards Board but there is no reason why students cannot meet external moderators during the final moderation activity prior to the Awards Board or after the Awards Board has met.

Any definitions used in this protocol have been taken from the AVA’s quality documents and from the QAA guidance papers on the Access to HE Diplomas.

## Combined Responsibility of the AVA and the Provider

It is the combined responsibility of the provider’s member of staff responsible for the quality of the Access to HE Diploma and the external moderator/s appointed by the AVA to assure the accreditation process, to ensure that:

**More than one Diploma:** where a provider offers more than one Diploma through Certa the date/s for the Awards Board/s are determined in the interests of efficiency such that at least two Diplomas are covered by one Awards Board event.

**The Recommendation for the Award of Credit:** the Recommendations for the Award of Credit are brought to the Awards Board with all issues of achievement and grading resolved during the moderation process, except where individual students have prepared their own appeal or referral. It is not the Awards Board’s business to resolve complex issues of assessment or grading. The process for agreeing achievement and grading decisions is given in the Policy for the Registration and Award of Students.

**Attendance of Visitors or Observers:** attendance at the Awards Board from the QAA, the provider, or the AVA, other than the required representative is with the joint agreement of the AVA’s external moderator for the Diploma in question and the quality contact of the provider.

**Role of any Visitor or Observer:** any visitor or observer at the Awards Board must be clear about their involvement in the Awards Board’s business. They will not be involved in any decision-making activity and cannot influence or overturn assessment and grading decisions. If they have the expertise or experience they may alert the Awards Board if any protocol or policy is being implemented incorrectly in such a way that such processes may be addressed for the future.

## Responsibilities and Roles of the Provider

**To Students:** in order to facilitate the work of the Awards Board, students must be given clear guidance at the start of their programme in accordance with QAA and AVA guidelines on the following:

* Grading processes
* Assessment requirements for achievement and grading
* Working to deadlines
* Late submissions
* Extenuating circumstances
* Resubmissions
* Academic misconduct
* Representations
* Appeals criteria and process
* Referrals criteria and process

This information must be reinforced during the student’s programme of study at appropriate points throughout the course.

**To Tutors:** the staff involved in the delivery and/or the quality of the Access to HE Diploma course must be familiar with the terms and processes and new staff must have appropriate induction.

**Facilities:** the provider will ensure that the facilities provided to convene the Awards Board are appropriate for the event.

**Accurate Recording:** tracking records of requests from students and acceptance by tutors of extenuating circumstances must be kept by provider staff, with individual cases auditable through the achievement mapping process and a written summary prepared for the Awards Board to indicate:

* The number of requests
* The number of acceptances
* The range of extenuating circumstances accepted in the first half of the course
* The range of extenuating circumstances accepted in the second half of the course
* Any action taken by the provider when the extenuating circumstances affected all students: weather, strike action, failure of essential utilities etc

**Reports on academic misconduct:** The term academic misconduct is used to cover cases of plagiarism by the student and also the falsifying of records that directly contribute to the quality or validity of the award of the Diploma. Cases of significant academic misconduct must be fully reported orally to the Awards Board in terms of the steps taken by the provider to remedy the situation; written reports of such cases must be brought to the Awards Board by the course co-ordinator with a copy of the provider procedure from the appropriate policy for reference purposes.

**Student Appeals and Referrals:** the provider should provide guidance to students who wish to prepare material for an appeal or referral for the Awards Board. Prepared documents or supporting material for each student appeal or referral to include:

* Student’s written statement to cover appeal or referral
* Level of attendance – from tutor
* Number of submission extensions – from tutor
* Number of late submissions – from tutor
* Any other record that will enable the Awards Board to gain an insight into student circumstances and commitment – from tutor
* Any testimonial to support the appeal or referral

Copies of these documents will be tabled at the Awards Board.

Reference should also be made to the AVA’s Policy for Dealing with On-Course Referrals.

**Prepare Documents for Aegrotat or Posthumous Diploma Awards:** the AVA will consider individual circumstances on all requests for such awards. It is normally expected that any student who is to be considered for the award of the Diploma under these circumstances must have achieved at least 30 credits. The provider should prepare similar documents that are required for appeals and referrals but also include a convincing testimonial from an appropriate member of staff, that is supported by the tutor team, to be presented to the AVA’s external moderator and tabled at the Awards Board. Any recommendation from the Awards Board to an award of an aegrotat must be ratified by the AVA’s Access to HE Committee.

**Provide a Verbal Report on the Grade Profile of the Students being considered by the Awards Board:** this should include whether the grades awarded are similar, higher or lower than previous years. If there is any noticeable variance in the grade profile, the provider should provide their initial thoughts as to why there has been such a change. This section is essential, as Certa is required to report to QAA regarding the grade profiles of centres.

**Appoint Chairperson and Scribe:** it is the provider’s responsibility to appoint an experienced scribe and chair for the Awards Board, from within their organisation. The chair, under these circumstances, is not able to take part in the decision-making processes of the Awards Board unless they have another role on the Awards Board such as the quality contact. Where more than one Diploma is covered by a single Awards Board it is expected that the chair and scribe will remain in place to complete the business of all Diplomas brought to the Awards Board. The provider must give the names of the appointees to these roles to the AVA’s external moderator.

**Circulation of Awards Boards Documents:** the provider’s quality contact must circulate copies of the Awards Board agenda, to all provider staff who will be attending the Awards Board. The documents are available to download from the AVA’s website. In addition, the list of required documents, must be sent to the appropriate tutor-contact for the Diploma/s to be presented at the Awards Board. The Awards Board minutes proforma must be sent (preferably electronically) to the person appointed as scribe.

**Contributors to the Decision-Making Process:** tutors and internal moderators involved with the Diploma in question and the quality contact for the provider can contribute to the decision-making process of the Awards Board and should be present at the Awards Board.

**Preparation of a Signed, Accurate Recommendation for the Award of Credit (RAC):** students and tutors must be asked at the end of the course to check and then sign a document that validates all the units, credits and grades claimed; these forms will be regarded as definitive and will be used to check the version of the RAC used by the external moderator, which is also the version brought to the Awards Board.

The forms signed by the student must be available to the Awards Board for possible reference purposes. The provider must ensure that the RAC is fully prepared for the Awards Board, showing all grades achieved including Level Twos that contribute to the Diploma’s 60 credits. **NB**: it is important that any Level Two credits that have been delivered as part of the Diploma course, but that do not sit within the Diploma rules of combination, must be verified as a separate activity outside of the Awards Board.

The quality contact must check that the RAC has been signed by representatives of both the tutor team and the internal moderation team, and that the final document is available for the external moderator/s and for the Awards Board. The chair should ensure that the RAC is appropriately completed with no outstanding issues before opening the Awards Board.

**Student Appeal against the Awards Board Decisions**: in most cases the Awards Board decision will be final. The exceptional circumstances are:

* **Administration error in the RAC**: if such an error occurred in the provider’s organisation, then the corrected RAC will need an external moderator’s endorsement and the provider will be required to pay a fee to the AVA. The provider may request re-imbursement from the student. If the AVA made an administrative error, the matter will be rectified within three working days.

(*Note:* The AVA will be using the provider’s own electronic form of the RAC to generate credits and Diplomas and the tutor and student sign the definitive document, agreeing the claim for credits and grades).

* **Late reporting of extenuating circumstances:** that occur shortly before Awards Board that would be agreed as extenuating and could not be communicated to the Awards Board because of the nature and timing of those circumstances then the student should appeal through the provider's appeal procedure. If the provider upholds the student’s appeal, the provider should forward the documents relating to the appeal with any supporting evidence to the AVA within two weeks after the date of the Awards Board. The external moderator involved with the Diploma will be informed and may request evidence of assessment and internal moderation from the provider, if appropriate. After reviewing any documents, the external moderator will recommend a course of action in writing, normally within two weeks, to the AVA’s Head of Access to HE. The matter is then dealt with under chair’s action and reported to the AVA’s Access to HE Committee for ratification.

Only in the following two situations can there be a further appeal allowed, by using the above two processes of administrative error and late reporting of extenuating circumstances:

* Where the appeal could lead to accreditation for the Award of the Diploma i.e. to bring the number of credits to 60;
* Where a student is unable to meet the offer for the HE course of their choice.

*Note:* Any errors in the RAC that do not affect the Award of the Diploma or affect a student’s ability to meet their HE offer are resolved through Certa’s normal procedure for such corrections.

**Quality Assurance**:the quality contact for the provider will ensure that the business of the Awards Board is conducted in accordance with the provider’s quality assurance policies and this protocol. Attendance of a quality assurance representative is mandatory. An Awards board will be cancelled if this is not achieved.

**Report/Minutes**: it is required that the scribe will complete each section of the template with sufficient detail for the AVA to address accreditation requirements under ’Appeals’ and ‘Referrals’. It is necessary to summarise the oral reporting of the tutor-presenter of any cases of plagiarism and the range of mitigating circumstances received from students. The chair will ensure through summarising each section that all attendees agree with decisions made and outcomes from the oral presentations.

Although it is the provider’s responsibility to finalise the under-mentioned documents, the Awards Board will make final agreement on whose responsibility it is to:

(a) Send an electronically scanned signed copy of the Awards Board minutes to Certa

(b) Submit the complete and accurate RAC via the online portal.

**Distribution of Diplomas and Credit Certificates**: this activity is the responsibility of the provider. The Diploma and any credit certificates must be sent/given directly to the student involved.The provider must also confirm with the AVA the status of the certificates once they receive them:

* they have been given to the student;
* they have been posted to student;
* they have either not been collected by the student or
* they have been returned to sender, in which case the provider must return these certificates to the AVA.

**Diploma Awarded in Error**: if the provider or the AVA discovers that a Diploma was awarded in error, the provider must return the Diploma certificate to the AVA immediately. If the Diploma has already been sent to the student, the provider must give sufficient detail to enable the AVA to retrieve the Diploma. The issuing of an Access to HE Diploma certificate in error is considered to be a serious issue that the AVA may need to inform QAA of.

## Responsibilities and Roles of the AVA

**Date of the Board**:the AVA, through the external moderator, will liaise with the appropriate provider staff to agree the date for the final moderation and Awards Board. The date is usually agreed at the previous year’s Awards Board or no later than three months in advance of the proposed date of the Awards Board.

**AVA Representative**: the AVA will aim to notify the provider of the name of the AVA representative within two months of the proposed date of the Awards Board. The AVA representative will ensure that the business of the Awards Board complies with the AVA’s quality policies, QAA regulations, and is in accordance with the approved Learning Programme Plan of the Diploma. The AVA representative is able to contribute to the decision-making items on the agenda. The AVA will ensure that adequate training is given to any AVA representative who will also take responsibility for agreeing the minutes taken at the Awards Board on behalf of the AVA.

**Documentation**:the AVA will make appropriate documentation available to download from the AVA website. Documentation will include the Awards Board agenda and Awards Board minutes template in use for the current year.

**Minutes:** the external moderator and AVA representative, as well as the chair, will sign the verification sheet of the minutes at the end of the Awards Board and take a copy of the minutes away in order that the minutes arriving at the AVA can be ratified if required.

**Reports:** the representatives from the AVA, including the external moderator/s, will respond to any requests from the AVA’s Access to HE Committee for any additional reports on the activities of the Awards Board within seven working days of the request being made.

**Approval of the Awards Board’s Decisions:** all decisions made at the final moderation as shown on the agreed RAC and in the Awards Board’s minutes, are subject, as required, to confirmation by the AVA’s Access to HE Committee as delegated by the Board of Trustees.

**Conferring of the Award and Issuing of Diplomas:** in line with QAA requirements, the AVA will send the approved Access to HE Diploma certificates directly to the provider. The AVA aims to forward the certificates within 10 working days of the Awards Board and in most cases, it is expected that the period of time will be much less.

**Diploma Awarded Incorrectly through an Administrative Error:** if the AVA becomes aware that a Diploma has been erroneously awarded and sent to the student concerned, the AVA must take appropriate action in order that the Diploma can be retrieved as soon as possible, using the assistance of their legal department if needed. The AVA will inform QAA immediately of any Diploma that is awarded erroneously, even if the Diploma is retrieved. The circumstances surrounding the error will be investigated, in order to identify any action that needs to be taken either by the provider or the AVA with regards to its processes.

# Section 3: Awards Board Agenda

Please check on quoracy; the provider’s quality representative (must be a senior member from the quality team), AVA representative, scribe (must be experienced in electronic minute-taking), chair (must be a senior member of the Centre staff), external moderator, tutor/course co-ordinator.

1. Welcome, introductions, attendees and roles.

2. Conflicts of Interest.

3. Agreed order of Diplomas to be considered (a set of minutes must be produced for each Diploma. Where the same Diploma is delivered on different sites, minutes must reflect this.)

***Referring to the Awards Board Minutes template:***

4. Confirmation by the course tutor/leader, internal moderator and AVA representative that they have checked the pre-populated minutes before commencement of the Awards Board. A minutes template that has not been pre-populated is likely to add significant time to the Awards Board timings.

5. Confirmation by tutor/course leader, internal moderator and external moderator that the Recommendations for the Awards of Credits documentation (RACs) have been thoroughly checked and that students have confirmed their agreement to the correct names and grades

6. A verbal summary of the achievement rates of the students being considered by the Awards Board.

7. On-Course Referrals submitted to the AVA prior to the Awards Board.

8. On-Course Referrals submitted to the external moderator at final moderation.

9. Amendments to Unit Outcome by external moderator.

10. Aegrotat Awards.

11. Posthumous Awards.

12. Appeals.

13. Record of students who are deferring.

14. Record of students who registered but did not achieve any credits.

15. Award Board Decisions – Recommendation for the Award of the Diploma (being 60 credits).

16. Award Board Decisions – Recommendation for the Award of Credit (being less than 60 credits).

17. Oral Report on Mitigating Circumstances (by Quality Manager or designate).

18. Oral Report on Academic Misconduct.

19. Date of Awards Board for the following academic year.

20. External moderator feedback to the tutor team.

21. RAC front sheet and Awards Board declaration to be signed by required personnel.

23. Approval of Diploma to Run in 2019/20 (devolved approval from Access to HE Committee).

22. Final agreement on whose responsibility it is to:

(a) send a scanned electronic copy of the Awards Board minutes to the Access to HE Team at Certa [**accesstohe@certa.org.uk**](mailto:accesstohe@certa.org.uk)

(b) submit the eRAC via the on line portal.

# Section 4: Awards Board Minutes Template

***(Available to download from the Certa website)***

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| **Awards Board Minutes 2018/19**  The inputting of these minutes is the responsibility of the provider’s scribe. One set of minutes is required for each Diploma – it is not permitted to group Diplomas together into one set of minutes. Where a Diploma is being delivered across sites, minuting must reflect this.  The formal decision about the award of all Access to HE Diplomas, credits and grades are made by, and recorded at the Awards Board.  To ensure that students’ results are uploaded to UCAS within the required timescales, the minutes must be fully completed and submitted within the timescales as indicated below. |
| **Instructions for completion:**  *In line with QAA Licensing Criteria 8f: “Certa’s Governing Body has ultimate responsibility for the procedures for the award and certification of Access to HE Diplomas”*  *In line with QAA Licensing Criteria 112: “The AVA operates standard documented procedures for the award of Access to HE Diplomas that are consistent with QAA requirements. These include:*  *a. procedures outlining the function, process and membership of Final Awards Boards*  *b. procedures that ensure a final moderation process has taken place before the Final Awards Board and before recommendations for the award of credits, grades or Diplomas are made to the AVA*  *c. procedures to ensure that students on Access to HE courses are awarded credit and, where appropriate, grades for all units achieved and an Access to HE Diploma if the specified units have been achieved.”*   * **Whilst much of the information can be inputted by the provider’s scribe prior to the event in preparation for the actual Awards Board, the final version of the minutes must be completed at the time of the Awards Board. Best practice would be for the Awards Board Minutes to be available on a large screen for viewing during the Awards Board. The timely completion of an Awards Board can be achieved by accurate prior completion of the Awards Board Minutes template. An experienced scribe must be made available for this task and will have familiarised themselves of the requirements of the event and completion of the Awards Board minutes.** * **All personnel present should be familiar with the Awards Board documentation which is available to download from the Certa website.** * **A printer should be available on the day to ensure that all personnel present sign these minutes before leaving the Awards Board.** |

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| **Summary of Events for the Provider to follow after completion of the Awards Board:** |
| The signed copy of the Awards Board minutes, showing all required signatures, must be scanned in and sent to the AVA’s Access to HE Team at Certa House, Wakefield within **two working days** of the Awards Board. ***Actual signatures are required and not just a change of type font. The minutes should be printed at the Awards Board for all required attendees to sign the minutes.*** |
| The provider must submit the electronic RACs immediately through the portal (or within 24 hours). If you have any queries on how to do this please contact the Access to HE Team at Certa. Following upload, the external moderator will be required to verify the RAC through the portal within 2 working days. |
| **The External Moderator is required to check the accuracy of the RAC by accessing the RAC through the portal once it has been uploaded by the provider and verify the results.** |
| **The RAC cannot be processed by Certa until the Awards Board minutes have been received and the results verified by the EM. The Access to HE Team will then process and despatch the certificates to the provider.** |

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| **Checklist for the provider in preparation for the Awards Board taking place:** | | | | | |
| Date has been confirmed with the External Moderator. | | | | | Yes/No |
| Room available with computer, projector and screen (ensuring confidentiality). | | | | | Yes/No |
| The following people are available: | | | | | |
| Curriculum Manager/  Course Leader | Tutor(s) | Internal Moderator(s) | Quality Manager or Designate | Scribe | Other(s) |
| All populated paper copy RACs are available. | | | | | Yes/No |
| All students have signed to confirm that units, credits and grades for award are correct. | | | | | Yes/No |
| If “no” to any of the above, please indicate the reasons: | | | | |  |

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| --- | --- |
| Awards Board Minutes | |
| **Provider:** |  |
| **Site(s):** |  |
| **Access to HE Diploma Title:** |  |
| **Date of Awards Board:** |  |

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| --- | --- | --- |
| **Names of Attendees and Roles**  These must include at least: tutors, internal moderator(s), curriculum manager(s), quality manager – or designate, scribe, external moderator(s) and AVA representative. | | |
| **Name** | **Role** | **Email** |
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| **Please indicate any conflicts of interest:** | | |
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| **Confirmation prior to commencement of the Awards Board**  By signing this confirmation, the Tutor/Course Leader and Internal Moderator are stating that they have **populated** and **thoroughly** **checked** the RAC for accuracy and that awards for the listed students can be made.  By signing this confirmation, the External Moderator is confirming that he/she has checked that the process has been undertaken by the Tutor/Course Leader and Internal Moderator and is confident that the information is accurate and that the Awards Board can proceed.  **An actual signature is required.** | | |
| **Role** | **Name** | **Signature** |
| 1. Tutor/Course Leader |  |  |
| 1. Internal Moderator |  |  |
| 1. External Moderator |  |  |

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| **Summary of the achievement rate for the classes being considered by the Awards Board.**  It is a QAA requirement that Certa can account for the achievement rate. QAA define the achievement rate as the number of students registered that complete the full Access to HE Diploma within one academic year.  Please outline what the achievement rate was for this group and any factors that impacted upon the achievement rate (i.e. what did the Provider do to help students achieve and was this successful? Also what factors caused students to leave the course without achieving the full Access to HE Diploma?). |
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| **On-Course Referrals (submitted to the AVA prior to the Awards Board) in line with the AVA On-Course Referral Policy (please see the Access Section of the Certa website).**  Recorded evidence must be presented to the Awards Board of all requests for On-Course Referrals made to the AVA during the academic year in accordance with the AVA’s Policy for Dealing with On-Course Referrals.  NB There is a maximum of 15 credits allowed for referral for each student. | | | | |
| **Student Name** | **Unit Title and Code** | **Credit Value** | **AVA Decision (agreed or rejected)** | **Evidence checked by EM** |
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| *Please add additional lines as required* |  |  |  |  |

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| **On-Course Referrals (submitted to the EM at final moderation) in line with the AVA On-Course Referral Policy (please see the Access Section of the Certa website).**  Recorded evidence must be presented to the Awards Board of all requests for Referrals made to the External Moderator at final moderation in accordance with the AVA’s Policy for Dealing with On-Course Referrals.  NB There is a maximum of 15 credits allowed for referral for each student.  A fee of £50 per student referral/extension will be made for each referral presented at final moderation. | | | |
| **Student Name** | **Unit Title and Code** | **Credit Value** | **External Moderator Decision**  **(agreed or rejected)** |
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| *Please add additional lines as required* |  |  |  |

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| **External Moderation – Amendment to Unit Outcome**  Following the external moderation process, the External Moderator has amended the following results. As the student will have signed the RAC to confirm initial results, it is the responsibility of the provider to ensure that the student is made aware of the amendments. | | | |
| **Student Name** | **Unit Code** | **Unit Outcome before change:** | **Unit Outcome after change:** |
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| **Aegrotat Awards** **(will only be considered if the student has completed more than 30 credits)**  Please give details including name, extenuating circumstances, documentary evidence submitted, number of credits completed, attendance level and units/assignments that were not completed, and evidence that the student has assurance from their receiving HEI of choice that an Aegrotat will be accepted for progression. The reason why an Aegrotat is appropriate must also be given and appropriate supportive evidence available, e.g. a police incident report number, a hospital document. |
| Student Name: |
| Please give details of extenuating circumstances, documentary evidence submitted etc: |
| External Moderator feedback based on work sampled: |
| Awards Board decision: |

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| **Posthumous Awards**  Please provide a testimonial and give details of student name and completed units. |
| Student Name: |
| Testimonial: |
| Awards Board decision: |

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| **Appeals**  Each student must have presented details in writing of the process against which the appeal is directed and copies of any documentary evidence**.** |
| (1) Student Name, process and evidence: |
| College response: |
| Awards Board advice: |
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| (2) Student Name, process and evidence: |
| College response: |
| Awards Board advice: |

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| **Students who are deferring, or returning to complete at a later date should be recorded here. Certificates will not be issued for the under-mentioned students.**  Please note that an admin fee of at least £50 will be charged for each student whose work is submitted after the Awards Board. It is the responsibility of the provider to ensure that a tutor and internal moderator are available to progress over the summer period. | | | | |
| **Student Name and Run Number** | **Indicate unit(s) for which work will be submitted late** | **Hand-in date for work** | **Name of Tutor to be responsible for marking and progressing** | **External Moderator to indicate what documentation/work etc is to be submitted by the student/provider to enable a decision to be made** |
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| *Please add additional lines as required* | |  |  |  |

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| **Students who registered but did not achieve any credits and have withdrawn from the course since registration with Certa should be recorded here.** | | |
| **Student Name** | **Run Number** | **Reason for Withdrawal** |
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| *Please add additional lines as required* | | |

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| **Awards Board Decisions for the Recommendation of the Award of the Diploma** **(being 60 credits in line with the Diploma Rules of Combination).** All students’ names must be read out and recorded below. The names should be spelt correctly in accordance with the Recommendation for the Award of Credit (RAC) documentation. The AVA will cross-check these names with those on the submitted RAC. Any anomaly will result in certification being delayed and charges incurred. | |
| Student Name | Programme Run Number (eg 15250) |
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| *Please add additional lines as required* |  |

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| **Awards Board Decisions for the Recommendation of the Award of the Credit** **(being less than 60 credits). Only students who are not returning to complete the full Diploma should be listed here. Any student who has not achieved a full Diploma is entitled to and must receive a transcript of units achieved. This will include students who have been unsuccessful in achieving a full Diploma due to a referral being unsuccessful.**  All students’ names must be read out and recorded below. The names should be spelt correctly in accordance with the Recommendation for the Award of Credit (RAC) documentation. The AVA will cross-check these names with those on the submitted RAC. Any anomaly will result in certification being delayed and charges incurred. | |
| Student Name | Programme Run Number (eg 15250) |
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| Add further lines as required |  |

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| **Oral Report on Mitigating Circumstances**  The Diploma Co-ordinator will supply the number and range of extenuating circumstances accepted and rejected. The Quality Manager (or designate) should confirm that the extenuating circumstances accepted is in line with the provider’s policy, or provide guidance for use the following run of the Diploma. |
| Overview of the process: |
| Total number of requests for extensions: |
| Total number of requests for extensions accepted: |
| Overview of the types of extensions requested by students: |
| Awards Board advice: |

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| **Oral Report on Academic Misconduct**  The Quality Manager (or designate) should provide details of all cases including: student ID (not name), the type of misconduct, and the audit trail of action taken. By completing this section the Quality Manager (or designate) is also confirming that the action taken was in line with the provider’s policy. |
| (1) Student ID: |
| Action taken: |
| Awards Board advice: |
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| (2) Student ID: |
| Action taken: |
| Awards Board advice: |

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| **Date of Awards Board in the next academic year (subject to final confirmation)** |
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| **External Moderator Feedback to the Tutor Team** |
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| **Declaration. The under-signed confirm that the Awards Board minutes are a correct and accurate record and that the certificates can be issued and information uploaded to UCAS. An actual signature is required.** | | |
| **Role** | **Name** | **Signature** |
| Awards Board Chair |  |  |
| External Moderator |  |  |
| AVA Rep |  |  |

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| **Request to Run the Access to HE Diploma and Approval (or otherwise) to run the Access to HE Diploma in 2019/20** |
| The senior member of staff is requesting approval to run this Access to HE Diploma in 2019/20 on behalf of the Centre:  Signed: |
| The AVA Representative confirms that the Centre may run the Access to HE Diploma in 2019/20:  Signed: |
| The AVA Representative defers confirmation of the Centre approval to run the Access to HE Diploma in 2019/20 |
| Rationale: |
| Signed: |

**And Finally:**

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| **Task** | **Person Responsible** |
| The completed Awards Board minutes will be signed, scanned and submitted to [accesstohe@certa.org.uk](mailto:accesstohe@certa.org.uk) by: |  |
| The completed RAC will be uploaded through the portal by: |  |

**Please note** that post-Awards Board amendments that highlight administration errors, is considered as maladministration by QAA; an administration fee will be charged to process amendments and may impact on the Diploma risk rating.