

ASDAN centre policy and procedure guide

The following policies and procedures are required for centre approval. They will also be reviewed during quality assurance monitoring activities such as Quality Assurance (QA) reviews. Additional documentation may be requested for course approval based on the different requirements for delivery of each ASDAN course.

Please use the below requirements as a guide. All policies should contain a review date and be updated periodically.

For support with meeting these requirements, please refer to the Education Development Partnerships team prior to submitting your application, or the Quality team once submitted.

Mandatory requirements for centre approval

1. A minimum of two named centre contacts
2. Organisational chart
3. Procedure for dealing with complaints
4. Health and safety policy or statement
5. Safeguarding policy or statement (or equivalent Protection from Sexual Exploitation, Abuse and Harassment (PSEAH) policy if international)
6. Equality, Diversity and Inclusion (EDI) policy or statement (or equivalent DEI or DEIB if international)
7. Conflict of interest policy and procedure
8. UK GDPR policy or statement (or equivalent data/personal information protection policy if international)

1. Centre contacts named on the ASDAN Portal

A minimum of two named contacts must be provided with all six required roles assigned (one contact can hold multiple roles).

- Authorised budget holder
- Examinations officer
- Head, principal or centre manager
- Internal quality assurance contact (IQA)
- Quality assurance contact
- Safeguarding officer

ASDAN centre policy and procedure guide

Centres must ensure that all required roles are correctly assigned and kept current on the ASDAN Portal, reviewed at least annually and whenever there are staff changes, particularly when staff leave and have a corresponding login to the ASDAN website.

2. Organisational chart

An organisational chart should:

- provide a simple visual overview of roles and responsibilities within the centre
- show who reports to whom, making the chain of command easy to understand
- identify staff with specific responsibility for internal quality assurance (IQA), including lead IQAs and any supporting quality roles
- demonstrate that the centre has an appropriate quality assurance structure in place, with clear roles to support compliance and effective delivery
- be kept up to date, reflecting staff changes and updates to roles

3. Procedure for dealing with complaints

The complaints procedure should:

- provide a clear, written process for learners, parents and staff to follow when raising a complaint
- outline clear timeframes for acknowledging, investigating and resolving complaints, covering both informal and formal stages
- identify who is responsible for receiving, investigating and responding to complaints
- explain how complaints are recorded, ensuring accurate and secure documentation of concerns and outcomes
- ensure complaints are handled fairly, consistently, confidentially and without bias
- include a clear escalation process for individuals who are not satisfied with the centre's initial outcome
- state that learners must complete the centre's full complaints process before escalating to the awarding organisation (ASDAN)
- explain how and when complaints may be escalated to the awarding organisation (ASDAN)

4. Health and safety policy or statement

The Health and Safety policy or statement should:

ASDAN centre policy and procedure guide

- state the centre's commitment to keeping learners, staff, visitors and contractors safe, and to meeting all legal health and safety responsibilities
- explain who is responsible for what, including governors, senior leaders, the health and safety lead, all staff and, where appropriate, learners
- set out how the centre identifies and manages risks, including carrying out regular risk assessments and addressing hazards promptly
- describe how accidents, incidents and near misses are reported and recorded, and how serious incidents are investigated and recorded
- outline emergency arrangements, such as fire evacuation, lockdown procedures, first aid provision and how to get help quickly in an emergency
- include arrangements for staff training, ensuring staff understand their responsibilities and know how to work safely
- explain how parties can raise health and safety concerns, and how these will be addressed and escalated if necessary
- state that everyone must follow the centre's health and safety rules, and that not following them may lead to further action where appropriate
- describe when the centre may need to contact external agencies, such as the local authority or the Health and Safety Executive (HSE), for guidance or to report certain incidents

5. Safeguarding policy or statement (or equivalent Protection from Sexual Exploitation, Abuse and Harassment (PSEAH) policy if international)

The policy or statement should:

- state the centre's commitment to keeping all learners safe, promoting their welfare and creating an environment where they can learn without fear of harm
- make clear who is responsible for safeguarding, including the governors, the headteacher/principal, the Designated Safeguarding Lead (DSL) or equivalent, deputy DSLs and all staff
- set out how concerns about a learner's safety or wellbeing should be raised, including what staff must do if they are worried about a learner or receive a disclosure
- outline how the centre records and manages safeguarding concerns, including secure storage, confidentiality and timely action
- explain how the centre works with external agencies
- describe the centre's safer recruitment procedures, including safeguarding checks and vetting for staff, volunteers and contractors
- set out the training expectations for all staff, ensuring everyone receives regular

ASDAN centre policy and procedure guide

safeguarding training and knows how to recognise signs of abuse or neglect

- detail how safeguarding concerns can be escalated if individuals believe appropriate action has not been taken internally

6. Equality, Diversity and Inclusion policy or statement (or equivalent DEI or DEIB if international)

The Equality, Diversity and Inclusion policy or statement should:

- state the centre's commitment to promoting equality, celebrating diversity and ensuring that all learners, staff and visitors are treated with dignity and respect
- make clear the centre's legal responsibilities under the Equality Act 2010 to eliminate discrimination
- explain that discrimination, harassment or victimisation of any kind will not be tolerated and outline the expectation that everyone contributes to an inclusive centre culture
- identify who is responsible for leading EDI, including the Governors, Headteacher/Principal, senior leaders and all staff
- set out how the centre promotes equality of opportunity, ensuring all learners can access learning, participate fully in centre life and receive any support or reasonable adjustments that they need.
- explain how concerns or incidents related to discrimination or unequal treatment can be reported and to whom
- outline the training expectations for staff, ensuring they understand their responsibilities under equality law

7. Conflict of interest policy and procedure

The conflict of interest policy and procedure should:

- contain clear definition of a conflict of interest and a statement confirming who the policy applies to
- provide examples of possible conflicts of interest involving assessors, internal quality assurers, other members of staff or learners
- outline a process for declaring conflicts of interest, including when declarations must be made and how they should be submitted
- identify the person or role responsible for receiving, recording and managing conflict of interest declarations
- detail a procedure for assessing declared conflicts, including how risks are evaluated and what actions may be taken

ASDAN centre policy and procedure guide

- specify measures to prevent or minimise conflicts of interest, such as reassigning assessors, introducing additional quality checks or using independent staff
- describe a process for responding to undeclared or newly identified conflicts of interest, including any sanctions that may apply
- set out the record-keeping requirements, including how declarations and decisions will be stored, updated and reviewed.
- include a procedure for reporting conflicts of interest to the awarding organisation when required.
- provide a clear process for appeals or complaints linked to conflict-of-interest decisions.

8. UK GDPR (or equivalent data/personal information protection policy if international)

The policy/statement should:

- state the centre's commitment to keeping personal information safe, secure and used only for appropriate purposes
- Confirm that the centre follows UK GDPR and the Data Protection Act 2018 (or equivalent local laws) and takes its data protection responsibilities seriously
- identify who is responsible for data protection, including the headteacher/principal and the Data Protection Officer (DPO or equivalent)
- contain the centre's Information Commissioner's Office (ICO) number (or equivalent if international)
- explain what personal data the centre collects and why, such as information needed for teaching, safeguarding, attendance, exams and staff management
- describe how personal information is stored and kept secure, including how the centre protects data from loss, misuse or unauthorised access
- outline how long the centre keeps information, including a clear retention schedule
- explain individual's data rights, such as the right to access their information or request corrections
- describe how learners, parents, staff or others can raise concerns, submit enquiries or make data requests
- set out a process for responding to data breaches, including how issues are reported, investigated and recorded
- explain how the centre works with trusted third parties, ensuring data is shared safely and only when necessary for education or legal purposes.
- include the centre's commitment to ongoing data protection training for staff

ASDAN centre policy and procedure guide

Course approval requirements

Additional documents may be requested for course approval if you are requesting approval to deliver regulated qualifications or certain accredited programmes. The documentation and information originally supplied at the point of membership application will also be reviewed and may require additional detail.

Additional requirements that may be requested as part of course approval

1. Procedure for internal quality assurance (IQA)
2. Malpractice and maladministration policy
3. Appeals policy
4. Access to fair assessment statement or policy
5. Procedure for course evaluation

1. Procedure for Internal Quality Assurance (IQA)

The Procedure for Internal Quality Assurance (IQA) ensures assessments are fair, consistent, accurately recorded and meet required standards by checking assessors' work through clear, unbiased procedures and structured sampling. It should also ensure that IQA and assessment processes are regularly reviewed.

The IQA procedure should:

- explain the process of how assessor decisions, units and methods of assessment are selected and internally quality assured
- specify whether a risk-based sampling approach is used, including which risks are considered (e.g., new assessors, new units, previous concerns)
- state whether or how sampling levels change according to identified risks, increasing or reducing scrutiny as appropriate
- describe how the centre ensures standardisation across assessors and IQAs, such as through standardisation meetings, shared marking materials or regular quality checks
- outline how the consistency of assessment decisions is monitored and maintained, ensuring all assessors apply standards consistently
- include steps for addressing and resolving inconsistent or incorrect assessment decisions identified during sampling

ASDAN centre policy and procedure guide

- detail ongoing communication, support and training to ensure assessors and IQAs maintain consistent, high quality assessment practice
- ensure IQA and assessment processes are regularly reviewed to maintain fairness, accuracy and compliance with required standards

2. Malpractice and maladministration policy

The malpractice and maladministration policy should:

- detail how the centre works to minimise malpractice by staff and learners
- provide a clear process for handling incidents of learner and/ or staff malpractice, including possible sanctions
- include examples of both learner and staff malpractice and maladministration
- define a process for delegating investigations to ensure fairness and avoid any conflicts of interest
- set out a process for managing plagiarism and misuse of AI, including any sanctions applied
- outline the process for learner appeals linked to malpractice decisions. This may also feature in an appeals policy
- provide a clear process for reporting malpractice and maladministration to ASDAN including timescales that meet ASDAN M&M requirements (see ASDAN M&M policy)

3. Appeals policy

The appeals policy should:

- state the clear grounds for appeal, such as disagreement with an assessment decision or the outcome of a reasonable adjustment or special considerations request
- provide a clear internal review and appeals process, including timelines for each stage
- include a process for recording each stage of an appeal, with all documentation stored securely for three academic years
- outline the full stages of the appeals process, covering both the centre's internal stages and the external stages required by ASDAN, with a requirement to record and evidence every stage

ASDAN centre policy and procedure guide

- identify who is responsible for monitoring appeals
- detail how conflicts of interest will be managed
- state that both staff and learners must follow the centre's appeals process in full before contacting ASDAN

4. Access to fair assessment statement or policy

An access to fair assessment statement or policy should:

- state the centre's commitment to comply with Equalities Law and ensuring no learner is unfairly disadvantaged in assessments
- outline a process for monitoring assessments to identify any features that may disadvantage learners
- commit to providing clear information to learners about assessment expectations, support available and how to request adjustments
- require the removal of any unjustifiable disadvantage and the recording of justifiable disadvantages with clear reasons
- describe how assessments will be delivered in an accessible and barrier-free way, including use of accessible language, materials and layout
- set out a procedure for centres to manage Reasonable Adjustments
- provide a procedure for centres to manage Special Consideration where a learner is affected by temporary illness, injury or other adverse circumstances
- include a process for record-keeping, including adjustments made, decisions reached and ongoing monitoring of accessibility
- reference to the centre's complaints and appeals procedures to ensure learners can challenge decisions affecting fair access

5. Procedure for course evaluation

A procedure for course evaluation should:

- set out a plan explaining how the centre will evaluate and review the course on a regular basis
- identify who is responsible for conducting the evaluation
- detail a process for documenting course strengths, weaknesses, and areas for development

ASDAN centre policy and procedure guide

- provide a method for capturing feedback from staff, including assessors, tutors, support staff and internal quality assurers
- detail a method for capturing feedback from learners, such as surveys, discussions, reviews, or reflective logs
- include a formal process for collecting and reviewing comments, complaints, and concerns received from users of the qualification
- require the consideration of evidence or data that may indicate the need for course changes
- ensure evaluation findings feed into course improvements, staff CPD, resource changes or curriculum updates
- outline a process for sharing evaluation outcomes with relevant staff and, where appropriate, ASDAN
- require the recording of all evaluation activity, maintaining evidence for external quality assurance