Reference Number: P73

EXAMINATION, ASSESSMENT, AND INVIGILATION POLICY & PROCEDURE

Policy Review					
Author/Owner	**Position**	**Approved by:**	**Approval Date**	**Review Cycle Review Date**	**Published on Website Y/N**
Sarah Bray	Head of MIS and iZone	SLT- Mark Bolton Principal 	SLT: 22.10.26	Annually Sept	Y

Document Control – Revision History					
Author/Owner	**Summary of Changes**	**Date**	**Date last reviewed by E&D**	**Version**	**Recommend E&D Impact Screening Y/N**
Jane Warren	New Policy – overarching policy/procedure	27/05/2022		v1	
Andrew Porter	Review and amendment – inclusion of contingency regarding cyber-attack, inclusion of statement regarding private candidates, updates relating to JCQ regulations	26/09/2023		v1.1	
Lisa Cheetham	Annual review and amendment – to include change to controlled assessment appendix and policy amendments to reflect AIM requirements	27/09/2024		v1.2	N
Donna Short	Reword of bullet in Appendix 4, to be clearer about venue.	07/05/2025		V1.3	
Donna Short	Annual review and amendment to reflect JCQ General Regulations for Approved Centres 2026/27. Updates include cyber-security policy and training requirements, multi-factor authentication and system-access controls, artificial intelligence in marking and assessment, student materials and candidate opt-out arrangements, candidate privacy notices, continuing professional development requirements, conflicts of interest, third-party arrangements, National Centre Number Register responsibilities, certificate-	21/10/26		V2	

Sophia Dickson	destruction records and reference to a separate Word Processor Policy. Additional updates by SENDCO – to SEND roles to reflect current responsibilities				

Initial Equality Impact Screening

Has anyone else been consulted on this policy and/or procedure? Yes, Examinations Officer, VPQoE

What evidence has been used for this impact screening (e.g. related policies, publications)?

Declaration (please tick one statement and indicate any negative impacts)

[x] I am satisfied that an initial screening has been carried out on this Policy and/or Procedure and a full Equality Impact Assessment is not required. There are no specific negative impacts on any of the Protected Characteristics groups.

[ ] I recommend that an Equality Impact Assessment is required by the Equality and Diversity group, as possible negative impacts have been identified for one or more of the Protected Characteristics groups as follows:

- ☐ Age
- ☐ Disability
- ☐ Gender Reassignment
- ☐ Race
- ☐ Religion or belief
- ☐ Sex
- ☐ Sexual orientation
- ☐ Marriage & civil partnership
- ☐ Pregnancy & maternity

Completed by:	Lisa Cheetham	**Position:**	MIS Manager	**Date:**	27/09/2024

Reviewed by Equality & Diversity Group: YES/NO If Yes: Date:

I confirm that any recommended amendments have been made

Summary of Comments including Recommendations from Equality & Diversity Group Review:

Amended by Author:		**Position:**		**Date:**	

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1. POLICY STATEMENT

1.1 Yeovil College is committed to ensuring that the examinations management and administration process is run effectively and efficiently and in compliance with the published JCQ regulations and awarding body requirements.

1.2 This examinations policy will ensure that:

1.2.1 all aspects of the centre's examinations process is documented, supporting the examinations contingency plan, and other relevant examinations-related policies, procedures and plans are signposted to,

1.2.2 all centre staff are well informed and supported,

1.2.3 all centre staff involved in the examinations process clearly understand their roles and responsibilities,

1.2.4 all examinations and assessments are conducted according to JCQ and awarding body regulations, guidance and instructions, thus maintaining the integrity and security of the examination/assessment system at all times,

1.2.5 students understand the examinations process and what is expected of them,

1.3 This policy is reviewed annually to ensure ways of working in the centre are accurately reflected and that examinations and assessments are conducted to current JCQ (and awarding body) regulations, instructions and guidance.

1.4 This policy will be communicated to all relevant centre staff.

2. SCOPE

2.1 This policy applies to all staff involved in the planning, organisation and management of examinations and assessments. This policy contains appendices which describe the procedures relative to all formal assessment.

APPENDICES

Appendix 1 - Examinations Escalation Procedure
Appendix 2 - Examinations Student Absence Procedure
Appendix 3 - Examinations Emergency Evacuation Procedure
Appendix 4 - Examinations Contingency Plan
Appendix 5 – Examinations Special Considerations Procedure
Appendix 6 – Online Testing Procedure
Appendix 7 – Controlled Assessment Procedure
Appendix 8 – Risk Management Process

3. RESPONSIBILITY AND AUTHORITY

3.1 Key Staff involved in the examinations policy:

- Head of Centre – Principal & CEO
- Vice Principal Quality of Education
- Assistant Principals for Curriculum
- Head of MIS and iZone
- Senior Exams Officer
- Heads of Faculty
- Quality Manager
- Head of Infrastructure
- SENDCo/Deputy SENDCo/ EAA Coordinator
- Teaching Staff
- Invigilators

3.2 Third-party delivery and examination support

3.2.1 Where the College uses a third party to deliver, administer, assess or support any part of a qualification, the College will retain full oversight of and responsibility for the arrangement.

3.2.2 Before entering into a third-party arrangement, the College will:

- assess whether the third party has the capacity and capability to comply with relevant JCQ regulations, awarding body requirements and regulatory conditions;

- put in place a robust written agreement setting out each party's responsibilities and the controls required to protect the security and integrity of examinations and assessments;
- ensure that the agreement can be made available to the awarding body for inspection;
- monitor the third party's delivery and compliance;
- maintain sufficient managerial and operational resources to identify and resolve concerns; and
- take prompt corrective action where the third party fails to meet the required standards.

3.2.3 This section applies where a third party undertakes part of qualification delivery, marking, grading, authentication, examinations administration, invigilation, facilitation of access arrangements or access-arrangements assessment on behalf of the College.
It does not apply where an individual is contracted directly by the College in circumstances excluded by the JCQ regulations, including directly contracted invigilators, readers, scribes or access-arrangements assessors. In all cases, the College remains responsible for ensuring that the individual is appropriately qualified or trained and complies with relevant requirements. JCQ requires centre oversight, capability checks, a robust written agreement and monitoring where a third party delivers or administers any part of a qualification

3.3 Head of Centre Responsibilities

3.3.1 The Head of Centre is accountable to the awarding bodies for ensuring that the centre is always compliant with the published JCQ regulations and awarding body requirements to ensure the security and integrity of the examinations/assessments. It is the responsibility of the Head of Centre to ensure that all staff comply with this policy. Failure to do so may constitute malpractice as defined by current JCQ requirements.

3.3.2 The Head of Centre is responsible for ensuring that:
- the National Centre Number Register annual update is completed by the end of October each year, including where there are no changes to the College's details;
- the annual Head of Centre declaration is completed by the end of October each year;
- the Head of Centre personally confirms awareness of and adherence to the latest JCQ regulations;

- changes affecting the College's centre status are reported promptly to the National Centre Number Register Team;
- the required notice is provided before any relocation of the registered centre or secure storage facility; and
- requests or actions raised by the JCQ Centre Inspection Service, awarding bodies or regulatory authorities are addressed within the stipulated timescale.

3.3.3 Responsibility for the annual Head of Centre declaration cannot be delegated.
Where the College receives an action letter from the JCQ Centre Inspection Service, the Head of Centre will ensure that:

- a responsible senior leader is assigned to each action;
- the required arrangements are implemented within the timeframes and process stated in the action letter;
- evidence of completion is retained; and
- appropriate preventative action is taken to reduce the risk of recurrence.

3.3.4 The Head of Centre

a. understands the contents, refers to and directs relevant centre staff to annually updated JCQ publications including General Regulations for Approved Centres (GR); Instructions for Conducting Examinations (ICE); Access Arrangements and Reasonable Adjustments (AA); Suspected Malpractice – Policies and Procedures (SM); Instructions for conducting non-examination assessments (NEA); A guide to the special consideration process (SC).

b. ensures the centre has appropriate accommodation to support the size of the cohorts being taught including appropriate accommodation for students requiring access arrangements for examinations and assessments.

c. takes responsibility for confirming, on an annual basis, that they are both aware of and are adhering to the latest version of the JCQ's regulations. This confirmation is managed as part of the National Centre Number Register (NCNR) annual update. This responsibility cannot be delegated to a member of SLT or the Examinations Officer, and acknowledges that failure to respond to the NCNR annual update, and/or the Head of Centre's declaration, will result in: the centre status being suspended; the centre not being able to submit examination entries; the centre not receiving or being able to access question papers and ultimately, awarding bodies could withdraw their approval of the centre.

d. retains a workforce of an appropriate size and competence, including sufficient managerial and other resource, to undertake the delivery of the qualification as required by an awarding body. This includes taking reasonable steps to ensure occupational competence where this is required for the assessment of specific qualifications.

e. provides fully qualified staff to mark non-examination assessments, and/or fully qualified assessors for the verification of centre-assessed components.

f. enables the relevant staff to receive appropriate training and support in order to facilitate the effective delivery of examinations and assessments within the centre and ensure compliance with the published JCQ regulations.

g. appoints an ALS lead/SENDCO/Deputy SENDCo/ EAA Coordinator who will determine appropriate arrangements for students with learning difficulties and disabilities.

3.3.5 In the absence of the Head of Centre, the Examinations Escalation Process will be followed.

3.3.6 The Head of Centre will ensure that staff involved in the management, delivery and administration of examinations and assessments receive appropriate training, support and continuing professional development.

In particular:

- the Examinations Officer will undertake regular continuing professional development, including appropriate update training relating to current JCQ regulations and awarding body requirements;
- the Deputy SENDCo and EAA Coordinator will undertake regular continuing professional development relating to access arrangements and reasonable adjustments;
- the College's appointed access arrangements assessor will undertake regular continuing professional development relevant to their role and current JCQ requirements;
- The SENDCo and relevant members of the Senior Leadership Team will maintain a working knowledge of current examination and assessment regulations;
- teachers and assessors will receive or undertake appropriate awarding body and JCQ updates relating to the qualifications they deliver;

- invigilators will receive initial training and annual update training before being allocated to examinations; and
- staff accessing awarding body systems will complete the required annual cyber-security training.

3.3.7 Evidence of training and continuing professional development will be retained and made available for inspection where required.

3.3.8 The Head of Centre will ensure that the SENDCo/Deputy SENDCO/EAA Cordinator and Examinations Officer have sufficient time and support to perform their roles effectively and that appropriate succession and contingency arrangements are in place for key examination roles. JCQ requires regular CPD for the SENDCo, appointed access-arrangements assessor and Examinations Officer, giving an annual update course as an example.

3.4 Artificial intelligence in assessments

3.4.1 The Head of Centre will ensure that the College's arrangements for preventing, identifying, investigating and reporting malpractice include the appropriate and inappropriate use of artificial intelligence in examinations and assessments.

3.4.2 The College will ensure that:

- candidates receive the current JCQ information and guidance concerning artificial intelligence and assessments before undertaking relevant assessed work;
- candidates understand when the use of artificial intelligence is permitted, how its use must be acknowledged and the consequences of submitting work that is not their own;
- teaching and assessment staff understand the risks associated with artificial intelligence and the circumstances in which its misuse may constitute candidate or staff malpractice;
- candidate work is authenticated in accordance with awarding body and JCQ requirements;
- concerns regarding undeclared or inappropriate use of artificial intelligence are investigated and, where required, reported to the relevant awarding body;
- teaching staff do not use artificial intelligence as the sole or primary means of marking or grading candidate work;
- teachers and assessors review each candidate's work in its entirety and exercise their own professional judgement when determining the mark or grade it warrants; and

- the teacher or assessor remains responsible and accountable for the mark or grade awarded, regardless of any output or recommendation generated by an artificial intelligence tool.

3.4.3 The College's Malpractice and Maladministration Policy and Academic Misconduct Procedure will explain what artificial intelligence is, when its use may be permitted, how its use must be acknowledged, the risks associated with its use and how misuse will be addressed. JCQ explicitly states that teachers must review all candidate work in its entirety, must not rely on AI as the sole or primary means of marking, and remain responsible for the mark or grade awarded

3.5 Head of MIS and iZone Responsibilities

3.5.1 Responsible for the day-to-day management of the Senior Examinations Officer.

3.5.2 Supports the Senior Examinations Officer in all examination functions.

3.6 Examinations Officer Responsibilities

The Senior Examinations Officer is appointed by the Head of Centre to act on behalf of, and be the main point of contact for, the centre in matters relating to the general administration of awarding body examinations and assessments.

3.6.1 The Senior Examinations Officer:

a. understands the contents of annually updated JCQ publications including General Regulations for Approved Centres (GR); Instructions for Conducting Examinations (ICE); Suspected Malpractice – Policies and Procedures (SM); Post-results services (PRS); A guide to the special consideration process (SC).

b. completes/submits the National Centre Number Register annual update (administered on behalf of the JCQ member awarding bodies by OCR by the end of October each year.

c. is familiar with the contents of annually updated information from awarding bodies on administrative procedures, key tasks, key dates and deadlines.

d. ensures key tasks are undertaken and key dates and deadlines met.

e. recruits, trains, and deploys a team of internal/external invigilators; appoints lead invigilators, as required and keeps a record of the content of training provided to invigilators for the required period.

f. works with the Deputy SENDCo/SENDCo to ensure invigilators supervising access arrangement students and those acting as a facilitator supporting access arrangement students fully understand the respective role and what is and what is not permissible in the examination room.

g. supports the Head of Centre in ensuring that awarding bodies are informed (where required) of any conflict of interest declared by members of centre staff and in maintaining records that confirm the measures taken/protocols in place to mitigate any potential risk to the integrity of the qualifications affected before the published deadline for entries for each examination series.

h. briefs the Examinations Team (and others) where they may be involved in the receipt and dispatch of confidential examination materials on the requirements for maintaining the integrity and confidentiality of the examination materials.

3.7 Vice Principal/SENDCo/Assistant Principal/Head of Faculty& Quality Manager Responsibilities

3.7.1 Ensure teaching staff undertake key tasks, as detailed in this policy, within the examinations process and meet internal deadlines set by the Examinations Officer and Deputy SENDCO/ EAA Coordinator on behalf of the SENDCo.

3.7.2 Ensure teaching staff keep themselves updated with awarding body subject and teacher-specific information to confirm effective delivery of qualifications.

3.7.3 Ensure teaching staff attend relevant awarding body training and update events.

3.8 **Deputy SENDCo and EAA Coordinator Responsibilities**

3.8.1 Understands the contents, refers to and directs relevant centre staff to annually updated JCQ publications including Access Arrangements and Reasonable Adjustments (AA).

3.8.2 Leads on the access arrangements and reasonable adjustments process with the Exam Access Coordinator.

3.8.3 If not the qualified access arrangements assessor, works with the person appointed, on all matters relating to assessing students and ensures the correct procedures are followed.

3.8.4 Presents when requested by a JCQ Centre Inspector, evidence of the assessor's qualification.

3.9 **Invigilator Responsibilities**

Attend/undertake training, update, briefing and review sessions as required**.**

Provide information as requested on their availability to invigilate.

Sign a confidentiality and security agreement and confirm whether they have any current maladministration/malpractice sanctions applied to them.

3.10 **Head of IT**

3.5.1 Support the Examinations Officer in relevant matters relating to examination rooms and resources**.**

3.5.2 Support the Examinations Officer in relevant matters relating to IT equipment and resources.

4 PROCEDURE

4.1 **Security of Assessment Materials**

The College will take all reasonable steps to maintain the integrity of the examinations/assessments including the security of all assessment materials, by ensuring:

4.1.1 The location of the centre's secure storage facility in a secure room.

4.1.2 The secure storage facility only contains exam-related material.

4.1.3 Access to the secure storage facility is by a pin-protected keypad, the pin for which is only known by staff authorised by the Head of Centre.

4.1.4 Arrangements are in place to ensure that confidential materials are only handed over to authorised staff.

4.1.5 The relevant awarding body will be immediately informed if the security of question papers or confidential supporting instructions is put at risk.

4.1.6 That when it is permitted to remove question papers from the secure storage facility, and to avoid potential breaches of security, arrangements are in place to carefully check and record that the correct question paper packets are opened

4.2 The College will have in place:

4.2.1 Arrangements to receive, check and store question papers and examination material safely and securely at all times and for as long as required in accordance with the current JCQ publication Instructions for Conducting Examinations.

4.2.2 Arrangements to receive and issue material received from the awarding bodies to staff and students and notify them of any advice and instructions relevant to the examinations and assessments.

4.2.3 Arrangements to allow students access to relevant pre-release materials on, or as soon as possible after, the date specified by the awarding bodies.

4.3 **Malpractice/Maladministration**

Through taking an ethical approach and working proactively to avoid malpractice among students and staff the College will take all reasonable steps to prevent the occurrence of any malpractice/maladministration before, during the course of and after examinations have taken place by having in place a Malpractice and Maladministration Policy.

4.4 Contingency Planning

The College will ensure risks to the examinations process are assessed and appropriate risk management processes/contingency plans are in place that allow the Senior Management Team to act immediately in the event of an emergency or staff absence to reduce the impact of disruptions on examinations.

4.5 Internal Appeals

The College will have in place an internal appeals procedure which is communicated to all learners.

4.6 Access Arrangements and Special Consideration

The College is committed to creating a non-discriminatory and supportive environment for all students and has in place a Learner Reasonable Adjustments and Special Considerations Policy to ensure all students have every opportunity to access assessment and to achieve the qualification they are undertaking.

4.7 Private Candidates

The College does not accept external private candidates. Under exceptional circumstances, the College may accept examination entries/registrations from a candidate who is not enrolled if this person previously studied the qualification at Yeovil College or is currently studying a related qualification at Yeovil College. This is at the discretion of the Examinations Officer. In the event that a candidate is allowed to sit an examination for which they are not enrolled, they will be expected to cover the costs related to the administration of the examination, including, but not limited to, registration fees and costs of invigilation and room hire.

4.8 Conflicts of Interest

The College will identify, record, manage and, where required, declare all actual, potential or perceived conflicts of interest that could affect the integrity of examinations and assessments. Before the published deadline for entries for each examination series, the College will inform the relevant awarding body of:

- any member of College staff taking a qualification at the College which includes an internally assessed component or unit;
- any member of College staff teaching or preparing a family member, a person with a similar close relationship, a close friend or a member of that person's immediate family for a qualification which includes an internally assessed component or unit;
- any member of College staff conducting an internally or externally assessed Speaking, Listening or Oracy component or unit involving a candidate with whom they have a family, personal or similarly close relationship; and
- any possible conflict of interest where a member of staff assesses a candidate with whom they have a close personal relationship in controlled assessment, coursework or non-examination assessment.

Where a member of staff assesses a candidate with whom they have a close personal relationship, the candidate's work will be submitted for moderation whether or not it would otherwise form part of the moderation sample.

The College will maintain internal records where:

- a member of the Examinations Team has a family member, close friend or similarly connected person entered for examinations or assessments at the College or another centre;
- a member of staff takes a qualification at the College which does not contain an internally assessed component or unit; or
- a member of staff takes a qualification at another centre.

Records will identify the nature of the conflict and the controls put in place to mitigate any risk. They will be maintained by or on behalf of the Head of Centre and retained until the deadline for reviews of marking has passed or until any appeal, malpractice investigation or other results enquiry has concluded, whichever is later.

Entering a member of staff for a qualification at their own centre will only take place as a last resort. The individual will be treated in the same way as any other candidate and will not have access to confidential examination materials or receive preferential treatment. The expanded JCQ requirement expressly includes Speaking, Listening and Oracy components and conflicts involving staff assessment of candidates with close personal relationships.

4.9 Policies and procedures available for inspection

The Head of Centre will ensure that the College has the following written policies, procedures and plans in place and available for inspection:

- Safeguarding and Child Protection Policy;
- Complaints Policy;
- Conflicts of Interest Policy or procedure;
- Examinations Contingency Plan;
- Cyber Security Policy;

- Data Protection Policy;
- Equality, Diversity and Inclusion Policy;
- Academic Appeals Policy and Procedure, including arrangements relating to internal assessment decisions, access to post-results services, access arrangements and special consideration;
- Malpractice and Maladministration Policy, including the use and misuse of artificial intelligence;
- policy or procedure for the management of non-examination assessments, controlled assessments and coursework;
- Whistleblowing Policy; and
- Word Processor Policy for examinations.

These documents will be reviewed and updated annually by an appropriate member of the Senior Leadership Team, communicated to relevant staff and made available to the JCQ Centre Inspection Service or an awarding body where requested. JCQ identifies these policies as written documents that must be available for inspection, annually reviewed by a senior leader and communicated within the centre

4.10 Centre Inspections

4.10.1 The College will:

a. cooperate with the JCQ Centre Inspection Service, an awarding body or a regulatory authority when subject to an inspection, an investigation or an unannounced visit, and takes all reasonable steps to comply with all requests for information or documentation made by an awarding body or regulatory authority as soon as is practical.

b. allow all venues used for examinations and assessments, paperwork and secure storage facilities to be open to inspection.

c. understand the JCQ Centre Inspector will identify him/herself with a photo ID card and **must** be accompanied throughout his/her tour of the premises, including inspection of the centre's secure storage facility

4.11 The Examination Cycle

4.11.1 The examinations management and administration process that needs to be undertaken for each **examination series** is often referred to as the **examination cycle** and relevant tasks required within this grouped into the following stages:

- planning
- entries
- pre-examinations
- examination time
- results and post-results

4.11.2 This policy identifies the roles and responsibilities of staff within this cycle.

4.12 Planning: Roles and Responsibilities

4.12.1 Information Sharing

a. The Head of Centre will:
   - direct relevant centre staff to annually updated JCQ publications including GR, ICE, AA, SM, NEA (and the Instructions for conducting coursework) and SC

b. The Senior Examinations Officer will:
   - signpost relevant centre staff to JCQ publications and awarding body documentation relating to the examinations process that have been updated
   - signpost relevant centre staff to JCQ information that should be provided to students
   - as the centre administrator, approve relevant access rights for centre staff to access awarding body secure extranet sites

4.12.2 Information Gathering

a. The Senior Examinations Officer will:
   - undertake an annual information gathering exercise in preparation for each new academic year to ensure data about all qualifications being delivered is up to date and correct
   - collate all information gathered into one central point for reference

- research awarding body guidance to identify administrative processes, key tasks, key dates and deadlines for all relevant qualifications
- produce an annual exams plan of key tasks and key dates to ensure all external deadlines can be effectively met; informs key centre staff of internal deadlines
- collect information on internal examinations to enable preparation for and conduct of mock examinations

4.12.3 Vice Principal/Assistant Principal/Heads of Faulty & Quality Manager will:

a. respond (or ensure teaching staff respond) to requests from the Examinations Officer on information gathering.

b. meet internal deadlines for the return of information.

c. inform the Senior Examinations Officer of any changes to information in a timely manner, minimising the risk of late or other penalty fees being incurred by an awarding body.

d. note internal deadlines in the annual examinations cycle and direct teaching staff to meet these.

4.13 Invigilation

4.13.1 The Head of Centre will:

a. ensure relevant support is provided to the Senior Examinations Officer in recruiting, training and deploying a team of invigilators.

b. ensure, if contracting supply staff to act as invigilators, that such persons are competent and fully trained, understanding what is and what is not permissible (and not taking on its own an assurance from a recruitment agency, that this is the case).

4.13.2 The Senior Examinations Officer will:

a. recruit additional invigilators where required to effectively cover all examination periods/series throughout the academic year.

b. collect information on new recruits to identify if they have invigilated previously and if any current maladministration/malpractice sanctions are applied to them.

c. provide training for new invigilators on the instructions for conducting examinations and an annual update for the existing invigilation team so that they are aware of any changes in a new academic year before they are allocated to invigilate an examination.

d. ensure invigilators supervising access arrangement students understand their role (and the role of a facilitator who may be supporting a student) and the rules and regulations of the access arrangement(s).

e. ensure invigilators are briefed on the access arrangement students in their examination room and made aware of the access arrangement(s) awarded (ensuring these students are identified on the seating plan) and confirms invigilators understand what is and what is not permissible.

f. collect an evaluation of training to inform future events.

4.14 Entries: Roles and Responsibilities

4.14.1 Examination Registration/Entries

a. The Examinations Officer will:

- Request registration/entry information from The relevant Teaching teams Or Curriculum Leads (CL)in a timely manner to ensure awarding body external deadlines for submission can be met.
- Inform Head of Faculty (HOFs) or CLs of subsequent deadlines for making changes to registrations/entries without charge.
- Ensure as far as possible that registration/entry processes minimise the risk of registrations or entries being missed reducing the potential for late

or other penalty fees being charged by awarding bodies. For more information – see the Registration & Certification policy[1].

- Observe each awarding body's terms and conditions for the registration, entry and withdrawal of students for their examinations and assessments, and observe any regulatory requirements for the qualification

b. Heads of Faculty or Curriculum Leaders will;:

- Provide information requested by the Examinations Officer to the internal deadline.
- Inform the Examinations Officer immediately, or at the very least prior to the deadlines, of any subsequent changes to entry information which includes:
  - changes to student personal details
  - amendments to existing registrations/entries
  - withdrawals of existing registrations/entries
- Check any registration/entry information provided by the Examinations Officer and confirm the information is correct.

4.15 Pre-Examinations: Roles and Responsibilities

4.15.1 Briefing Students

a. The Examinations Officer will:

- issue individual examination timetable information to students and inform students of any designated contingency day awarding bodies may identify in the event of national or significant local disruption to exams
  - examination timetable clashes
  - arriving late for an examination
  - absence or illness during examinations
  - what equipment is/is not provided by the centre
  - food and drink in examination rooms
  - unauthorised items in examination rooms
  - when and how results will be issued
- post-results services and how the process is managed

[1] SLT - Registration & Certification Policy & Procedure v1 .pdf - All Documents (sharepoint.com)

when and how certificates will be issued before candidates undertake examinations or assessments, the Examinations Officer will ensure that all candidates, including any private candidates accepted by the College, are provided with or directed to:

- the current JCQ Information for Candidates documents relevant to their examinations and assessments;
- the JCQ information concerning artificial intelligence and assessments;
- the relevant awarding body privacy notices;
- information explaining how the College and awarding bodies will process and transfer their personal data; and
- information explaining how candidate work and other student materials may be used by awarding bodies.
- Information may be provided electronically or in hard copy. Where candidates are directed to documents electronically, the link will be accompanied by clear information explaining the importance of reading and understanding the documents.
- The College will reinforce this information through an appropriate candidate briefing and will take reasonable steps to ensure that information is accessible to candidates. JCQ requires centres to distribute the relevant candidate information documents and awarding body privacy notices before examinations or assessments take place.

4.16 Student materials

4.16.1 For the purposes of this policy, “Student Materials” may include written work, audio or visual materials, computer programs, data, examination scripts, recordings, coursework and non-examination assessment submitted by a candidate for assessment.

4.16.2 The College will inform candidates that, by submitting Student Materials for assessment, the relevant awarding body may use those materials as necessary for the operation of the assessment, qualification and regulatory framework.

This may include use for:

- marking and moderation;
- standardisation;
- grading and awarding;
- quality assurance; and
- malpractice detection.

4.16.3 This use may include processing through automated or artificial intelligence-enabled tools and systems. These activities form an integral part of the assessment and qualification process and candidates cannot opt out of these essential uses.

Awarding bodies may also use anonymised Student Materials for:

- teacher and examiner training;
- examiner reports and similar assessment-related publications; and
- research directly related to assessment, qualification and regulatory activities.

Candidates may opt out of these additional uses by submitting a notice to the College. The College will:

- make candidates aware of the right to opt out of these additional uses;
- provide a clear route through which an opt-out notice can be submitted;
- record the date on which the notice is received;
- promptly submit the notice to the relevant awarding body; and
- retain appropriate evidence that the notice has been submitted.

4.16.4 An opt-out from additional uses does not prevent the awarding body from using Student Materials for marking, moderation, standardisation, grading, awarding, quality assurance or malpractice detection. These distinctions between essential uses and additional permitted uses are set out in the new JCQ student-materials provisions

4.17 Internal Assessment and Endorsements

a. The Head of Centre will:
   - ensure procedures are in place for students to appeal internal assessment decisions and make requests for reviews of marking

b. Teaching Staff will:
   - support the SEND Team in implementing appropriate access arrangements for students undertaking internal assessments and practical endorsements
   - assess and authenticate students' work
   - assess endorsed components
   - ensure students are informed of centre assessed marks prior to marks being submitted to awarding bodies

c. Head of Faculty and Quality Manager will:
   - ensure teaching staff assess and authenticate students' work to the awarding body requirements

- ensure teaching staff assess endorsed components according to awarding body requirements
- ensure teaching staff provide marks for internally assessed components and grades for endorsements of qualifications to the Examinations Officer to the internal deadline
- ensure teaching staff provide required samples of work for moderation and sample recordings for monitoring to the Examinations Officer to the internal deadline

d. The Examinations Officer will:

- submit marks, endorsement grades and samples to awarding bodies/moderators/monitors to meet the external deadline
- keep a record to track what has been sent
- log moderated samples returned to the centre
- ensure teaching staff are aware of the requirements in terms of retention and subsequent disposal of students' work

e. Students will:

- authenticate their work as required by the awarding body

4.18 **Invigilation**

a. The Senior Examinations Officer will:

- issue the latest ICE (and any other awarding-body specific regulations) to invigilators, train new invigilators on appointment and update experienced invigilators on any regulation or centre-specific process changes
- deploy invigilators effectively to examination rooms throughout an examination series
- allocate invigilators to examination according to the required ratios
- liaise with the SENDCo regarding the facilitation and invigilation of access arrangement students

4.19 **JCQ Centre Inspections**

a. The Senior Examinations Officer will:

- accompany the inspector throughout a visit

b. The SENDCo or Deputy and the Exams Access Coordinator will:

- meet with the inspector when requested to provide documentary evidence regarding access arrangement students and address any questions the inspector may raise
- ensure that information is readily available for inspection at the venue where the student is taking the examination(s)

4.20 **Examination Room Arrangements**

a. The Examinations Officer will:

- ensure a process is in place to verify the identity of all students
- "All candidates must present valid photographic identification (e.g., Student ID Card) prior to entering the exam room, and their identity must be verified against the photographic seating plan; any uncertainty must be reported immediately to the Exams Officer, and the candidate must not be admitted.
- ensure invigilators are aware of the process
- provide seating plans for examination rooms according to JCQ and awarding body requirements (and ensures students with access arrangements are identified on the seating plan and invigilators are informed of those students with access arrangements and made aware of the access arrangement(s) awarded)

b. Invigilators will:

- confirm the identity of all students sitting examinations by checking their Yeovil College student ID badge or another form of photographic ID
- seat students in examination rooms as instructed by the Examinations Officer or seating plan

c. Students will:

- produce their Yeovil College student ID badge or another form of photographic ID

4.21 **Security of Examination Materials**

a. The Examinations Officer will:

- confirm appropriate arrangements are in place to ensure that confidential materials are only handed over to those authorised by the Head of Centre
- ensure access to the secure storage facility is restricted and staff named and approved by the Head of Centre are accompanied by a member of the Exams team at all times.
- ensure a process is in place to demonstrate the receipt, secure movement and secure storage of confidential examination materials within the centre
- ensure a log is kept at the initial point of delivery, recording confidential materials received and signed for by authorised staff within the centre and that appropriate arrangements are in place for confidential materials to be immediately transferred to the secure storage facility until they can be removed from the dispatch packaging and checked in the secure room before being returned to the secure storage facility in timetable order
- ensure the secure storage facility contains only current and live confidential material (ensuring that past examination question papers, internal tests and mock examinations are not kept in the centre's secure storage facility)
- ensure that examination stationery, e.g., answer booklets and formula booklets are stored in the secure storage facility
- ensure the integrity and security of any electronic question paper is maintained during the downloading, printing and collating process (ensuring printing is carried out in an area that can be controlled to prevent unauthorised personnel accessing live assessment materials and ensuring only authorised members of centre staff have access to electronic question papers)

b. Teaching Staff will:

- Adhere to the process to record the secure movement of confidential materials taken from or returned to secure storage throughout the time the material is confidential.

4.22 **Cyber Security**

4.22.1 The College will maintain a written Cyber Security Policy which is reviewed and updated annually by a member of the Senior Leadership Team, communicated to relevant staff and made available for inspection.

4.22.2 The Head of Centre will ensure that appropriate procedures and controls are in place to protect examination and assessment information, candidate data, awarding body systems and electronically produced candidate work from unauthorised access, loss, corruption, disclosure or cyber-attack.

The College will:

- ensure that all staff who access awarding body online systems undertake cyber-security training annually;
- retain evidence of completed cyber-security training in a form that can be made available for inspection;
- ensure training covers strong and unique passwords, account confidentiality, multi-factor authentication, social engineering and phishing, secure account recovery and the prompt reporting of suspicious activity or incidents;
- ensure that staff use individual user accounts and do not share passwords or authentication credentials;
- require multi-factor authentication to be used for accounts and systems containing examination-related information wherever it is available;
- where multi-factor authentication is not available, implement an equivalent multi-layered approach, including strong log-in controls, controlled access, monitoring and secure storage;
- regularly review access rights and remove or amend access promptly when a member of staff changes role, leaves the College or no longer requires access;
- ensure passwords and authentication details are changed immediately where compromise is known or suspected;
- monitor and review connected applications and account recovery arrangements;
- ensure that examination and assessment information is stored, transferred, downloaded, printed and disposed of securely;
- ensure that authorised staff have access to devices which comply with the security and multi-factor authentication requirements of the relevant awarding body;
- immediately report any actual or suspected compromise of an awarding body's online system to the relevant awarding body;
- promptly report any incident that may compromise examination or assessment delivery, including a cyber-attack; and

- follow the College's Cyber Security Policy, Data Protection Policy, Business Continuity Plan and Examinations Contingency Plan when responding to a cyber-security incident.

4.22.3 The Head of Centre will ensure that records of cyber-security training, system access reviews and any examination-related cyber incidents are retained and available for inspection where required. These arrangements reflect the JCQ requirements for annual staff training, training records, MFA or equivalent multi-layered security and the immediate reporting of suspected system compromise

4.23 Timetabling and Rooming

a. The Examinations Officer will:

- produce a master centre examination timetable for each examination series
- identify and resolve student examination timetable clashes according to the regulations (only applying overnight supervision arrangements as a last resort, once all other options have been exhausted)
- identify examination rooms and specialist equipment requirements
- allocate invigilators to examination rooms (or where supervising students due to an examination timetable clash) according to required ratios
- liaise with the Head of Infrastructure to ensure examination rooms are set up according to JCQ and awarding body requirements
- liaise with the Deputy SENDCO and EAA Coordinator regarding rooming of access arrangement students

a. The Deputy SENDCO and EAA Coordinator will:

- liaise with the Examinations Officer regarding rooming of access arrangement students
- liaise with other staff to ensure appropriate arrangements, adjustments and adaptations are in place to facilitate access for disabled students to examinations

b. The Head of Infrastructure will:

- liaise with the Examinations Officer to ensure examination rooms are set up according to JCQ and awarding body requirements

4.25 **Internal Examinations**

a. The Examinations Officer will:
- prepare for the conduct of internal examinations under external conditions as appropriate
- provide a centre examination timetable of subjects and rooms
- request internal examination papers from teaching staff
- arrange invigilation as appropriate
- liaise with SENDCO to make appropriate arrangements for access arrangement students

b. The Deputy SENDCO and EAA Coordinator will:
- liaise with the Examinations Officer to make appropriate arrangements for access arrangement students

c. Teaching Staff will:
- provide examination papers and materials to the Examinations Officer

4.26 **Examination Time: Roles and Responsibilities**

4.26.1 **Access Arrangements**

a. The Examinations Officer will:
- provide cover sheets for access arrangement students' scripts where required for particular arrangements
- have a process in place to deal with emergency/temporary access arrangements as they arise at the time of examinations
  - applies for approval through AAO where required or through the awarding body where qualifications sit outside the scope of AAO

4.26.2 **Student Absence**

a. The Examinations Officer will:
- inform invigilators of the procedure for dealing with absent students through training

b. Invigilators will:

- follow the procedure for dealing with absent students
- ensure confirmed absent students are clearly marked on the internal attendance register

4.26.3 **Student Late Arrival**

a. For nationally sat examinations, the awarding body standard published start time is 9:00am for a morning examination and 1:30pm for an afternoon examination. Examination centres have the flexibility to vary the start time by up to 30 minutes before or after the published start time. The College's standard start times are 9:30am for a morning examination and 1.30pm for an afternoon examination.

a. A student will be considered late if they arrive within one hour of the awarding body's published starting time for an examination which lasts an hour or more.

b. A student will be considered very late if they arrive more than one hour after the awarding body's published starting time for an examination which lasts an hour or more or after the awarding body's published finishing time for an examination that lasts less than one hour.

c. Yeovil College reserves the right to exercise discretion whether to allow a student who arrives after the start of the examination to enter the examination room and sit the examination.

d. Any student who is permitted to enter the examination room late will be allowed the full time for the examination.

- The Examinations Officer will:
  - inform invigilators of the process for dealing with a student who arrives late/very late through training
  - ensure students who arrive very late for an examination are reported to the awarding body by submitting the appropriate documentation
  - warn the student that their script may not be accepted by the awarding body

- Invigilators will:
  - follow the process for dealing with a student who arrives late/very late
  - allow the student the full time for the examination
  - ensure the relevant information is recorded on the examination room incident log

4.27.4 **Conducting Examinations**

a. The Head of Centre will:
- ensure venues used for conducting exams meet the requirements of JCQ and awarding bodies

b. The Examinations Officer will:
- ensure examinations are conducted according to JCQ and awarding body instructions
- use an '*exam day checklist*' to ensure each examination session is fully prepared for, unplanned events can be dealt with, and associated follow-up is completed
- ensure examination rooms are set up and conducted as required in the regulations
- provide invigilators with appropriate resources to effectively conduct examinations
- ensure sole invigilators have an appropriate means of summoning assistance (if this is a mobile phone, instructs the invigilator that this must be on silent mode)
- ensure invigilators understand they must be vigilant and remain aware of incidents or emerging situations, looking out for malpractice or students who may be in distress, recording any incidents or issues on the examination room incident log
- ensure invigilators understand how to deal with students who may need to leave the examination room temporarily and how this should be recorded on the examination room incident log
- provide authorised examination materials which students are not expected to provide themselves
- ensure invigilators and students are aware of the Examinations Emergency Evacuation Procedure

- ensure invigilators are aware of arrangements in place for a student with a disability who may need assistance if an examination room is evacuated

c. The Head of Infrastructure will:

- ensure examination rooms are set up as requested by the Examinations Officer
- ensure grounds or other maintenance does not disturb students in examinations rooms
- ensure fire alarm testing does not take place during examination sessions

d. Invigilators will:

- conduct all examinations according to JCQ Instructions for conducting examinations and/or awarding body requirements and as instructed by the Examinations Officer in training/update and briefing sessions

e. Students will:

- follow the instructions given to them in examination rooms by centre staff and invigilators
- remain in the examination room for the full duration of the examination

4.27.5 **Irregularities**

a. The Head of Centre will:

- ensure (as required by an awarding body) any cases of alleged, suspected or actual incidents of malpractice or maladministration before, during or after examinations/assessments (by centre staff, students or invigilators) are investigated and reported to the awarding body immediately, by completing the appropriate documentation and appointing an appropriate senior member of staff as Reporting Officer if required

b. The Reporting Officer will:

- conduct any investigation into the suspected malpractice/maladministration
- complete appropriate paperwork as determined by JCQ regulations

- collate any evidence that is required, including taking statements from all parties concerned
- submit required paperwork and evidence to the regulator
- ensure any actions resulting from the report are carried out by the College

c. Curriculum Area Managers will:

- ensure support is provided for the Examinations Officer and invigilators when dealing with disruptive students in examination rooms
- ensure that internal disciplinary procedures relating to student behaviour are instigated, when appropriate

d. The MIS Manager will:

- Provide support and guidance to the Examinations Officer and Reporting Officer to ensure all external rules and regulations are followed
- Review the paperwork and evidence with the Reporting Officer before it is submitted
- Review and amend any college processes with the Examinations Officer, if recommended to do so as a result of the report

e. The Examinations Officer will:

- provide an examination room incident log, attached to each attendance register for all examination rooms for recording any incidents or irregularities
- action any required follow-up and reports to awarding bodies as soon as practically possible after the examination has taken place, in liaison with the Reporting Officer
- ensure all incident logs are stored securely to support any future investigations, if required
- Review and amend any college processes with the MIS Manager, if recommended to do so as a result of the report

f. Invigilators will:

- record any incidents or irregularities on the examination room incident log (for example, late/very late arrival, student or centre staff suspected malpractice, student illness or needing to leave the examination room

temporarily, disruption or disturbance in the examination room, emergency evacuation)

4.27.6 **Special Consideration**

a. The Examinations Officer will:
- process eligible applications for special consideration to awarding bodies
- gather evidence which may need to be provided by other staff in centre or students
- submit requests to awarding bodies to the external deadline

b. Students will:
- provide appropriate evidence to support special consideration applications where required

4.27.7 **Examination Papers, Materials and Scripts**

a. The Examinations Officer will:
- ensure all examination-related secure papers and resources are organised appropriately within the secure storage facility
- attach erratum notices to relevant sealed question paper packets
- collate attendance registers and examiner details
- regularly and systematically check awarding body electronic resources for updates
- ensure a process is in place whereby the question paper is checked by an additional person prior to opening to minimise the risk of a breach of security
- ensure the additional/second check of the question paper is recorded
- where allowed by the awarding body, only release examination papers and materials to curriculum areas for teaching and learning purposes after the published finishing time of the exam, or until any timetable clash students have completed the exam
- dispatch scripts as instructed by JCQ and awarding bodies
- keep appropriate records to track dispatch

4.28 Results and Post-Results: Roles and Responsibilities

4.28.1 Internal Assessment

a. Curriculum Area Managers will:

- ensure teaching staff keep students' work, whether part of the moderation sample or not, secure and for the required period stated by JCQ and awarding bodies
- ensure work is returned to students or disposed of according to the requirements

4.28.2 Accessing Results

a. The Examinations Officer will ensure that certificates are received, checked, stored and issued securely.

The College will:

- obtain and maintain accurate candidate contact details;
- distribute certificates to candidates without unreasonable delay;
- not withhold certificates because of outstanding fees or other disputes unless prior permission has been obtained from the awarding body;
- maintain a record of certificates issued;
- retain unclaimed certificates securely for a minimum of 12 months from the date of issue;
- destroy unclaimed certificates confidentially once the minimum retention period has passed, or return them to the relevant awarding body where secure destruction is not available; and
- retain a certificate-destruction record for four years from the date of destruction.

b. The certificate-destruction record will include:

- candidate number;
- awarding body;
- qualification or qualifications;
- examination series; and
- date and method of destruction.

c. Candidates will be advised that replacement certificates may not be available from all awarding bodies and that a Certifying Statement of Results may be

issued instead. These record fields and retention periods are specified in the JCQ regulations.

c. The Head of Centre will:

- ensure results are kept entirely confidential and restricted to key members of staff until the official dates and times of release of results to students
- understand that it is not permitted to withhold provisional results from students under any circumstances

d. The Examinations Officer will:

- inform students in advance of when and how results will be released to them for each examination series
- access results from awarding bodies under restricted release of results, where this is provided by the awarding body
- ensure that results made available to the college during an embargo period (where results cannot be released to learners until a specific date) are held securely and are only made available to key staff within the college for administrative purposes.
- resolve any missing or incomplete results with awarding bodies
- issue statements of results to students on issue of results date
- provide summaries of results for relevant centre staff on issue of results date

4.28.3 **Post-Results Services**

a. The Head of Centre will:

- ensure an internal appeals procedure is available where students disagree with any centre decision not to support a clerical re-check, a review of marking, a review of moderation or an appeal
- ensure that senior members of centre staff are available immediately after the publication of results
- understand that if the centre has concerns about one of its components/subject cohorts, then requests for reviews of marking should be submitted for all students believed to be affected (student consent is required, as marks and subject grades may be lowered, confirmed, or raised)

b. The Examinations Officer will:

- provide information to all students and staff on the services provided by awarding bodies and the fees charged
- publish internal deadlines for requesting the services to ensure the external deadlines can be effectively met
- provide a process to record requests for services and to collect student informed consent (after the publication of results) and fees where relevant
- submit requests to awarding bodies to meet the external deadline for the particular service
- track requests to conclusion and informs students and relevant centre staff of outcomes
- update centre results information, where applicable

c. Teaching Staff will:

- meet internal deadlines to request the services and gain relevant student informed consent

d. Students will:

- meet internal deadlines to request the services
- provide informed consent and fees where relevant

4.29 **Use of word processors in examinations**

4.29.1 The College will maintain a separate written Word Processor Policy which is reviewed annually, communicated to relevant staff and available for inspection. The policy will set out:

- the criteria for allowing a candidate to use a word processor;
- how use of a word processor reflects the candidate's normal way of working, where required;
- the responsibilities of the Deputy SENDCO, EAA Coordinator, Examinations Officer, IT staff, curriculum staff and invigilators;
- the preparation and checking of devices;
- measures used to prevent candidates from accessing unauthorised files, applications, internet services, artificial intelligence tools or communication platforms;
- the secure use of examination accounts and removable storage devices;

- procedures for saving, identifying and securely printing candidate work;
- procedures for maintaining the confidentiality of live assessment materials and completed candidate work;
- arrangements for technical failure, recovery and contingency; and
- the completion of any required cover sheets, logs or awarding body documentation.

4.29.2 Candidates using word processors will be subject to the same examination conditions and regulatory requirements as all other candidates.

4.29.3 The existing inspector's comment in Examinations and Invigilation Policy Procedure v2 states that a separate policy is needed covering secure material completed using a word processor and the secure printing of completed work. JCQ also lists a word-processor policy among the written policies that must be available for inspection

5 RELATED POLICIES, PROCEDURES, DOCUMENTS, DEFINITIONS

Malpractice and Maladministration Policy
Academic Appeals Policy & Procedure
Learner Reasonable Adjustments and Special Considerations Policy
Learner Disciplinary Policy
Academic Misconduct Procedure

APPENDIX 1 - EXAMINATIONS ESCALATION PROCEDURE

PURPOSE OF THE PROCEDURE

This purpose of this procedure is to confirm the main duties and responsibilities to be escalated should the Head of Centre be absent.

SCOPE

In creating this procedure Yeovil College is seeking to ensure continuity of the examinations management and administration process in the absence of the Head of Centre.

PROCEDURE

Before Examinations (Planning)

In the event of the absence of the Head of Centre, responsibility for implementing JCQ regulations and requirements relating to activity prior to examinations will be escalated to the Vice Principal – Quality of Education.

To support understanding of the regulations and requirements, the following JCQ publications will be referenced:

- General Regulations for Approved Centres
- Instructions for conducting examinations
- Access Arrangements and Reasonable Adjustments
- Instructions for conducting coursework
- Instructions for conducting non-examination assessments
- Suspected Malpractice – Policies and Procedures
- A guide to the special consideration process

Main duties and responsibilities relate to:

- Centre status
- Confidentiality
- Communication
- Recruitment, selection and training of staff
- Internal governance arrangements
- Delivery of qualifications

- Public liability
- Conflicts of interest
- Controlled assessments, coursework and non-examination assessments
- Security of assessment materials
- National Centre Number Register
- Centre inspections
  Additional JCQ publication for reference:
  Centre Inspection Service Changes
- Policies
  Specific JCQ publications for reference:
  General Regulations for Approved Centres (section 5)
  Instructions for conducting examinations (section 25)
  Access Arrangements and Reasonable Adjustments (section 5)
- Personal data, freedom of information and copyright
  Additional JCQ publication for reference:
  Information for candidates – Privacy Notice

Before Examinations (Entries and Pre-Examinations)

In the event of the absence of the Head of Centre or the member, responsibility for implementing JCQ regulations and requirements relating to entries and examination preparation will be escalated to the Vice Principal – Quality of Education.

To support understanding of the regulations and requirements, sections of relevant JCQ publications will be specifically referenced including:

- General Regulations for Approved Centres (section 5)
- Instructions for conducting examinations (sections 1-15)
- Access Arrangements and Reasonable Adjustments (sections 6-8)

Main duties and responsibilities relate to:

- Access arrangements and reasonable adjustments
- Entries
  Additional JCQ publications for reference:
  Key dates in the examination cycle
  Guidance Notes for Transferred Candidates
  Alternative Site guidance notes
  Guidance notes for overnight supervision of candidates with a timetable variation

- Centre assessed work
  Additional JCQ publication for reference:
- Guidance Notes – Centre Consortium Arrangements
  Candidate information
  Additional JCQ publications for reference:
  Information for candidates' documents
  Exam Room Posters

During Examinations (Examination Time)

In the event of the absence of the Head of Centre, responsibility for implementing JCQ regulations and requirements relating to during examination time will be escalated to the Vice Principal – Quality of Education.

To support understanding of the regulations and requirements, sections of relevant JCQ publications will be specifically referenced including:

- General Regulations for Approved Centres (sections 3, 5)
- Instructions for conducting examinations (sections 16-30)
- Access Arrangements and Reasonable Adjustments (section 8)
- A guide to the special consideration process (sections 2-7)

Main duties and responsibilities relate to:

- Conducting examinations and assessments
  Additional JCQ publication for reference:
  Guidance Notes – Very Late Arrival
- Malpractice
- Retention of students' work

After Examinations (Results and Post-Results)

In the event of the absence of the Head of Centre, responsibility for implementing JCQ regulations and requirements relating to after examinations will be escalated to the Vice Principal – Quality of Education.

To support understanding of the regulations and requirements, sections of relevant JCQ publications will be specifically referenced including:

- General Regulations for Approved Centres (section 5)

Main duties and responsibilities relate to:

- Results
  Additional JCQ publication for reference:
  Release of Results notice
- Post-results services and appeals
  Additional JCQ publications for reference:
  Post-Results Services: *Information and guidance to centres*
  JCQ Appeals Booklet (A guide to the awarding bodies' appeals processes)
- Certificates

APPENDIX 2 - EXAMINATIONS STUDENT ABSENCE PROCEDURE

PURPOSE OF THE PROCEDURE

This purpose of this procedure is to confirm the arrangements for students who are absent from an examination at Yeovil College.

SCOPE

In creating this procedure Yeovil College is seeking to ensure a consistent process is followed when a student is absent from an examination.

An absent student may subsequently arrive once the examination is underway, becoming a late or very late arrival, at which point the College reserves the right to exercise discretion whether to allow a student who arrives after the start of the examination to enter the examination room and sit the examination.

Based upon the circumstances for the absence, and subject to the required conditions being met, an application for special consideration may also be made to the relevant awarding body

PROCEDURE

Identifying and Dealing with Student Absence

A student will be considered absent from an examination if they are not present in the room once all students are seated and the examination has started.

An absence is identified by the invigilator in the examination room and reported back to the Examinations team.

If the examination is series-based, once a student is identified as absent from an examination, the following action will be taken:

- the Exams team contact the student immediately using contact information from the central student records system - where a student aged 16-18 cannot be contacted in the first instance, the person named on their record as their parent/guardian will be contacted

- the student will be advised to report to the Exams team as soon as possible and they will be escorted to the examination room

If the examination is on-demand, absence will be communicated to the curriculum area for them to speak to the student(s). The curriculum area will then re-submit them for a later date.

Failure to Sit an Examination

If a student fails to sit an examination the following action is taken:

- the invigilator indicates the student absence on the internal attendance register
- a confirmed student absence is clearly recorded on the attendance register which is sent to the examiner/marker
- the Exams team inform the student's curriculum area of the absence other than in the case of English or maths which is informed to the Curriculum Manager of English & Maths

Special Consideration

If a student is absent from a timetabled written examination for an acceptable reason, the student may be eligible for special consideration. This is where an adjustment may be made to the student's terminal grade by the awarding body, providing the following conditions are met:

- the College is informed of the reason for the absence
- the student provides documentary evidence of the reason for absence where applicable
- the absence is during the student's terminal examination series
- the student has completed or will be able to complete the required percentage of the assessment to meet the minimum requirements for enhanced grading in the cases of acceptable absence

Special consideration requests and applications will be made by the Examinations Officer and countersigned by the Head of Centre or MIS Manager.

APPENDIX 3 - EXAMINATIONS EMERGENCY EVACUATION PROCEDURE

PURPOSE OF THE PROCEDURE

This purpose of this procedure is to confirm the arrangements for an emergency evacuation where it is unsafe for students to remain in the examination room. This might include a fire, the fire alarm sounding to warn of fire, bomb alert or other serious threat.

In exceptional situations, where students might be severely disadvantaged or distressed by remaining in the room, the emergency evacuation procedure may also need to be followed. This might include situations where there is severe disruption in the examination room, serious illness of a candidate or invigilator or similarly serious incidents.

SCOPE

In creating this procedure Yeovil College is seeking to ensure a consistent process is followed to maintain student safety and ensure compliance with JCQ regulations (ICE 25.2) which state that centres must have a written policy for dealing with emergency evacuation of the examination room which is subject to inspection by the JCQ Centre Inspection Service.

PROCEDURE

Immediately on hearing the fire alarm, the invigilator must follow the emergency evacuation procedure, using the instructions provided within the pack they have been given for the examination.

At Yeovil College, the following actions (in accordance with ICE 25.3) are taken if an examination room has to be evacuated:

- students are instructed to stop writing and close their answer book (a note must be taken of the time this takes place on the internal attendance register)
- the attendance register is collected in order to be used to ensure all students are accounted for
- students are instructed to leave all question papers, scripts, examination materials, personal possessions and electronic devices in the examination room and to leave the room in silence in the order they were seated
- if safe to do so, the invigilator should shut all windows and doors
- evacuate the examination room by the nearest available exit and proceed to the designated assembly point reporting the room empty to the zone supervisor and Exams team

- supervise the students as closely as possible ensuring they stay calm but are reminded that they remain under examination conditions and must not talk to each other
- only when advised by either a fire warden or the Exams team should the students be allowed to re-enter the examination room
- the invigilator must make a note of the duration of the disruption
- the invigilator must allow students time to settle down once back in the examination room and be reminded they are still under examination conditions and must not open their answer book until instructed to do so
- the invigilator must announce clearly to students when they may begin and how much time they have - they must be allowed the remainder of the working time set for the examination
- the invigilator must amend the displayed finish time(s) for all students to see
- the invigilator must make a full report of the incident (including the duration of the disruption and the exam re-start time) and of the action taken on the Incident Report Form which should be returned with the examination material (this must be retained until the relevant date for Enquiries About Results has passed)
- the Examinations Officer will send the incident report to the appropriate awarding body

Where students are not permitted to re-enter the examination room or a decision is made that the examination cannot be resumed, the College's Examinations Contingency Plan will be invoked, and students briefed accordingly at the time.

APPENDIX 4 - EXAMINATIONS CONTINGENCY PLAN

PURPOSE OF THE PLAN

This plan describes the potential risks and issues that may cause disruption to the management and administration of examinations that take place at Yeovil College. By reviewing the procedures to be followed in the case of disruption, it is intended to reduce the impact that these disruptions will have on our examinations.

Implementing this policy will safeguard the interests of students whilst maintaining the integrity of the examination system and qualification standards.

Alongside internal processes, this plan is informed by the Ofqual (and Northern Ireland Council for the Curriculum, Examinations and Assessment) Exam system contingency plan: England, Wales and Northern Ireland which provides guidance in the publication *What schools and colleges and other centres should do if exams or other assessments are seriously disrupted* and the JCQ Joint Contingency Plan for the Examination System in England, Wales and Northern Ireland and the JCQ notice Preparing for disruption to examinations (effective from 11 October 2021).

This plan also confirms Yeovil College's compliance with JCQ's General Regulations for Approved Centres (section 5.3z) that the centre has in place:

- a written examination contingency plan which covers all aspects of examination administration. This will allow members of the senior leadership team to act immediately in the event of an emergency or where the head of centre, examinations officer or SENDCO/Deputy SENDCo or EAA Coordinator is absent at a critical stage of the examination cycle. The examination contingency plan should reinforce procedures in the event of the centre being unavailable for examinations, or on results day, owing to an unforeseen emergency. The potential impact of a cyber-attack should also be considered.

SCOPE

The Examinations Contingency Plan has been created to ensure that a consistent and effective response, in the event of major disruption, is implemented across the college irrelevant of number of awarding bodies that may potentially be affected. When required the College will liaise directly with awarding bodies to ensure that disruptions to students are kept to a minimum. This policy aims to complement awarding body contingency plans.

The plan will be implemented in the event of major disruptions to the working of the College such as bad weather, widespread illness, power failures or system/IT failures (including those as a result of cyber-attack). The plan may be implemented on the advice of local/national emergency services, the local authority or other external agencies.

RESPONSIBILITY AND AUTHORITY

In the event of disruption, communication to staff and students will be managed as stipulated in the Adverse Weather Procedure and Business Continuity Plan.

Possible Causes of Disruption to the Examinations Process

Examinations Officer extended absence at key points in the exam process (cycle)

The Examinations team is structured with an Examinations Officer, Examinations Administrators and Invigilators; if the Examinations Officer is absent for an extended period and to ensure that all tasks are completed, then one of the following will apply either:

- The MIS Manager will assume direct supervision of the Examinations team or
- The MIS Manager will appoint a member of the MIS team to assume direct supervision of the Examinations team

Invigilators – lack of appropriately trained invigilators or invigilator absence

The College retains a bank of externally recruited invigilators. All invigilators receive an initial induction and update training during the year to ensure compliance with JCQ and awarding body regulations. Minor invigilation issues on the day of an examination will be covered by an alternative invigilator, a member of the Examinations team or other appropriate member of staff.

For examinations with large volumes of learners e.g., GCSE English and Maths, trained invigilators and business support/teaching staff will assist with invigilation duties as required ensuring compliance with JCQ regulations.

Examination rooms – lack of appropriate rooms or main venues unavailable at short notice

If the Examinations Officer is unable to identify sufficient/appropriate rooms during examinations timetable planning or the larger examination rooms are unavailable due to an unexpected incident, the Examinations Officer will:

- liaise with curriculum/iZone team to move taught classes to accommodate examinations
- liaise with SLT to make a decision on either cancelling classes or closing the campus to accommodate high volume examinations such as GCSE English and Maths examinations

Failure of IT systems

The Examinations Officer will:

- ensure examination platform software is installed on all computers/devices prior to each examination
- send daily updates to the IT team advising them of all examinations taking place in the following four weeks
- ensure computer reader files are downloaded as soon as the awarding body makes them available and transfer to the appropriate examination IT accounts

Invigilators will:

- immediately inform the Examinations Officer of any IT issues/failures during the examination

Failure of IT systems resulting from a cyber-attack

In the event of a cyber-attack, rendering college systems unavailable, the Business Continuity procedure will be followed. This will ensure continuity for any examinations due to take place in the short term (approx. 6 weeks). Where examination dates are flexible, the college will determine, on a case by case basis, whether it is better to proceed with the examinations as planned or move these to a later date.

For written examinations:

- appropriate paperwork required to run the examinations (e.g. seating plans) will have already been produced for the following week, allowing these to take place
- for examinations in future weeks, the Business Continuity procedure will be followed to enable the appropriate paperwork to be produced
- where access arrangements require word processors, students will be given the opportunity to sit the exam without this arrangement and the Exams Officer will apply for special consideration
- students will be offered the opportunity to sit the examination in the next available series

For online examinations:

- students will be informed by the Examinations Officer that their examination will not be able to take place, communicating with students in line with the Business Continuity procedure
- Students will be offered the opportunity to sit the examination at the next appropriate date, after systems have been restored.

If examination databases/systems were to be unavailable for a long period of time (more than 6 weeks), alternative systems would need to be implemented to administer examinations. This would be the responsibility of the MIS Manager and Exams Officer, in liaison with the Head of Centre.

Disruption of teaching time in the weeks before an examination – College closed for an extended period

If the college is closed or students are unable to attend for an extended period during normal teaching or study supported time, interrupting the provision of normal teaching and learning, the following options will be explored:

- implement alternative methods of learning
- postpone the sitting of an examination until the next available series

Students at risk of being unable to take examinations – College remains open

If a student is at risk of being unable to attend examinations at the College, the College will:

- arrange an alternate venue for the student to sit the examination as appropriate, ensuring compliance with JCQ/awarding body regulations
- offer the student the opportunity to sit the examination in the next available series
- apply for special consideration for the student

College at risk of being unable to open as normal during the examination period

If the College is at risk of being unable to open as normal for scheduled examinations, the College will:

- consider an alternative building to locate the examinations
- consider relocating scheduled examinations to the Colleges identified alternative venue in liaison with the relevant awarding body
- communicate with students in line with the College's Business Continuity procedure
- re-schedule examinations where possible
- offer students the opportunity to sit the examination in the next available series

Disruption in the distribution of examination papers

If the distribution of examination papers is disrupted, the College will:

- liaise with the appropriate awarding body to access examination papers electronically, print and store as per JCQ regulations

Disruption to transporting completed examination scripts

If there is a disruption with the transportation of completed examination scripts to awarding bodies the College will:

- securely store all examination papers until confirmation of collection as per awarding body regulations
- liaise with the awarding body for advice and instructions where examinations are part of the national 'yellow label' service
- for examinations where the College makes collection arrangements, investigate alternative options that comply with JCQ

Assessment evidence is not available to be marked

If there is damage or destruction of completed examination scripts/assessments before they can be distributed to the awarding body, the College will:

- notify the awarding body immediately
- liaise with the awarding body to resolve or supply further examples of students work
- ensure students are given the opportunity to re-take the examination

College unable to distribute results as normal

If the College is unable to access or manage the distribution of results, the College will:

- notify the awarding body immediately
- arrange for students to access results from a different building/location
- arrange for students to access post-results services from a different building/location

APPENDIX 5 - EXAMINATIONS SPECIAL CONSIDERATIONS PROCEDURE

PURPOSE OF THE PROCEDURE

The purpose of this procedure is to identify roles and responsibilities in the special consideration process and confirms that Yeovil College will submit any applications for special consideration where students meet the published criteria (JCQ's General Regulations for Approved Centres, section 5.9i)

SCOPE

Special consideration is given to a student who has temporarily experienced illness, injury or some other event outside of their control at the time of the assessment. It is applied when the issue or event has had, or is reasonably likely to have had, a material effect on a student's ability to take an assessment or demonstrate his or her normal level of attainment in an assessment.

Special consideration can go some way to assist a student affected by a potentially wide range of difficulties, emotional or physical, which may influence performance in their examinations. It cannot remove the difficulty faced by the student. This means that there will be some situations where students should not be entered for an examination. This is because only minor adjustments can be made to the mark awarded. To make larger adjustments would jeopardize the standard of the examination. (JCQ's A guide to the special consideration process, section 1 – hereafter referred to in this policy as SC)

Eligibility for Special Consideration

Roles and Responsibilities

The Head of Centre will:

- be familiar with the contents, refer to, and direct relevant centre staff to the annually updated JCQ publication SC
- ensure that, where relevant and in eligible situations, applications for special consideration are submitted to awarding bodies by the Examinations Officer

The Examinations Officer will:

- understand the criteria as detailed in SC to determine where students will/will not be eligible for special consideration

- ensure that, where relevant and in eligible situations, applications for special consideration will be submitted to awarding bodies

Curriculum Area Managers will:

- provide any appropriate evidence or information that may be required to determine a student's eligibility for special consideration

Students will:

- provide any medical or other evidence that may be required to determine eligibility for special consideration

Applying for Special Consideration

Where eligible, special consideration will be applied for at the time of the assessment, where students have been fully prepared and have covered the whole course but performance in the examination, or in the production of coursework or non-examination assessment, is materially affected by adverse circumstances beyond their control. (SC, section 2)

For students who are present for the assessment but disadvantaged, the College must be satisfied that there has been a material detrimental effect on student examination performance or in the production of coursework or non-examination assessment. (SC, section 3)

Where a student may arrive for an examination and is clearly unwell, extremely distressed and/or may have sustained an injury that requires emergency access arrangements to be put in place:

- the student will be kept comfortable and under centre supervision from the required time while appropriate arrangements are put in place for the student to take the examination in the best possible conditions
- a judgement will be made on how the student's situation or disposition affected performance in the examination
- where appropriate and where eligible, special consideration will be applied for

Where students may be affected by a major disturbance in the examination room (emergency evacuation etc.), special consideration will be applied for on behalf of all students.

Where a student takes multiple examinations (three or more examinations) timetabled for the same day and the total duration for those papers is more than 6 hours for GCE examinations or more than 5 hours 30 minutes for GCSE examinations including any approved extra time but not any time taken for supervised rest breaks, special consideration for an allowance on the last paper taken will be applied for.

Where a student may be affected by a minor disturbance in the examination room caused by another student (momentary bad behaviour, mobile phone ringing etc.), special consideration cannot be applied for.

If a student is absent from a timetabled component/unit for acceptable reasons, and the centre is able to support this, special consideration will be applied for if the examination missed is in the terminal series and the minimum requirements for enhanced grading in cases of acceptable absence can be met. For unitised examinations taken in an examination series prior to certification, students must be re-entered for any missed units at the next assessment opportunity. Unless there are difficulties arising, e.g. group performances which cannot be repeated, special consideration will not be awarded. (SC, section 4)

Where other issues or problems affect a student or a group of students, special consideration will be explored in SC 5 and applied for where eligible. This might include, for example:

- other certification
- coursework/non-examination assessment extensions
- shortfall in work (coursework/non-examination assessment)
- lost or damaged work (non-examination assessment components)
- students taking an incorrect or defective question paper
- students undertaking the wrong controlled assessment or non-examination assessment assignment

Where a student may be eligible for special consideration (a post assessment adjustment) in a vocational qualification, the centre will follow SC 7 and awarding body guidance to determine if, when and how an adjustment can be applied for.

Processing Applications for Special Consideration

Roles and Responsibilities

The Head of Centre will:

- ensure that all eligible applications will be supported by signed evidence produced by a member of the senior management team

Curriculum Area Manager will:

- produce signed evidence in support of all eligible applications

The Examinations Officer will:

- understand that special consideration must be applied for at the time of the assessment

- understand that special consideration cannot be applied in a cumulative fashion and that where a student may be affected by different indispositions, special consideration should only be applied for the most serious indisposition
- ensure applications will be processed as required by the awarding bodies
- keep evidence to support all applications on file until after the publication of results and provide the signed evidence provided by a member of the senior management team to support an application where this may be requested by an awarding body
- meet the required deadline(s) for submitting applications

The SENDCo/Teaching Staff will:

- provide any appropriate evidence or information that may be required to support a student's application for special consideration

Students (or their parents/guardians) will:

- be asked to provide any required medical or other evidence that may be required to support an application for special consideration
- be informed that all cases must be dealt with by the centre

Submitting Applications for Special Consideration

Where a student or group of students is/are eligible for special consideration, applications will be submitted to the relevant awarding body following the published processes in SC.

Evidence to support all applications will be kept on file until after the publication of results.

Timetabled Written Exams

- For GCE and GCSE qualifications, applications for individual students will be submitted online by logging into the relevant awarding body secure extranet site and following the links to special consideration
- The processes for submitting a single application to cover all exams affected where a student is present but disadvantaged, and a separate application for each day on which exams are missed where a student is absent from an examination for an acceptable reason, as detailed in SC 6 will be followed
- For other qualifications, applications will be submitted online where the awarding body's secure system accepts these

- The paper form 10 Application for special consideration will only be completed and submitted to the awarding body where a paper application is specifically required by the awarding body
- For cases involving groups of students, applications will be made online where the awarding body's secure system accepts group applications or form 10 will be completed
- The paper form 14 Self certification form (Self certification for students who have missed an examination) will only be completed by a student where circumstances warrant this and will not be used where the centre knows the student was ill

Internally Assessed Work

- Where appropriate, applications will be made online where the awarding body's secure system accepts them or form 10 will be completed and submitted to the awarding body
- Where a short extension to a work submission deadline for an individual student is being requested, the awarding body will be contacted directly
- Where an application relates to a shortfall in work for an individual student, this will be submitted online or by completing form 10, dependent on the awarding body

Post Assessment Adjustments – Vocational Qualifications

- Where the student's circumstances are eligible, form 10 or form VQ/SC Application for special consideration Vocational qualifications will be completed and submitted to the awarding body

Private Candidates

- Any private candidate entered by the centre must liaise with the exams officer (not the awarding body) regarding any application for special consideration

Late Applications

If, after the publication of results for a particular examination series, a claim is made that special consideration was not applied for at the time of an assessment where a student was eligible, the claimant will be informed that late applications will only be accepted by an awarding body in the most exceptional circumstances and where a member of the senior management team is able to produce evidence to support a late application.

If a claim is made after the completion of a review of results, the claimant will be informed that an application for special consideration cannot be submitted.

APPENDIX 6 – ONLINE TESTING PROCEDURE

1. PURPOSE OF THE PROCEDURE

1.1 To inform all staff of the different types of online tests and examinations.

1.2 To inform all staff of the correct procedures and regulations relating to online testing to comply with the function of the Examinations Team who are subject to JCQ and awarding body inspection.

1.3 To aid in the efficiency of administration processes

2. SCOPE

2.1 This policy and procedure document is applicable to:

- anyone involved in the delivery and administration of accredited courses which include the online assessment method
- Curriculum Area Managers
- Quality Manager
- Assistant Principals

3. RESPONSIBILITY AND AUTHORITY

3.1 Online test resource/software demand for the year must be notified to the Examinations Officer by the Curriculum Area Manager/Assistant Principal no later than 31st March of the preceding academic year. This demand is to include all apprenticeship/work-based learning contract requirements.

3.2 All requests to be processed by the Examinations Office – see contact list overleaf.

3.3 All tests/examinations to take place on campus in compliance with JCQ regulations, with the only exception to this being for those apprentices/work-based learners who are unable to come to college for assessment and do not normally come to the college site.

3.4 Test/examination rooms should be secured by the requester via the Examinations Team/iZone Team in accordance with the room booking procedure.

3.5 All requests to be submitted to the Examinations team using ProSolution Web – details overleaf.

3.6 A minimum of 2 weeks' notice must be given for all bookings.

3.7 Examinations requiring invigilation to be organised and carried out by the Examinations team and Invigilation staff.

3.8 Test/examination results to be communicated to students by the member of staff requesting the booking.

3.9 Any re-sits are payable by the department and accepted at the Examinations team's discretion (only Functional Skills enrolments carry two free attempts for each learner, with the third attempt and beyond being payable).

3.10 A gap of at least one week is required between test attempts. Further hours of teaching must have taken place before any re-sit can take place.

Named Examinations Team Contacts	**Extension**	**Responsibility**
Adam Everett	x5455	All online examinations
Shaina Simmonds	x5523	All online examinations

4. TYPES OF ONLINE EXAMS/TESTS by awarding body

4.1 **AAT**

4.1.1 AAT use Secure Assess as their main testing platform, requiring AAT Secure Assess Client installation on the testing machine. AAT examinations are dependent on our server or the internet server wherever the test is taking place. Atlas Cloud is used for certain online tests, these can be done onsite or remotely but required a working internet connection.

4.1.2 AAT examination activity must be **invigilated** by the Examinations team in line with AAT CBA regulations. AAT classroom-based test activity is organised and managed by the curriculum as it is centre-marked.

4.1.3 **Results** on Secure Assess and Atlas Cloud are final and should correlate with the results on My AAT these are accessible by each learner and the course manager.

4.2 **City & Guilds *Evolve***

4.2.1 *Evolve* is a Secure Assess product, requiring Evolve Secure Assess Client installation on the testing machine. Evolve offsite testing requires the test to be loaded on to the testing laptop by the Examinations team so the test is actually taken offline – this is the preferred Secure Assess method as there is no reliance on the workplace's server. Offsite tests are then uploaded via our server to City & Guilds once the laptop is back onsite.

4.2.2 **Results** showing in the City & Guilds Secure Assess area (accessible by curriculum areas with a log-on from the Examinations Team) are not formal until they are checked by City & Guilds and showing on the Walled Garden.

4.2.3 For any City and Guilds test, invigilation must **not** be the subject lecturer/assessor.

4.3 **EAL**

4.3.1 EAL use Secure Assess as their testing platform, requiring Secure Assess Client installation on the testing machine. EAL offsite testing requires the testing machine to be connected to the internet, on any server. The advantage to this is the test is not downloaded onto the test machine; the disadvantage is the reliance on the workplace's internet.

4.3.2 **Supervision** for any EAL test invigilation must **not** be the subject lecturer/assessor.

4.3.3 **Results** (only instant for multiple choice tests) showing in the EAL Secure Assess area (accessible by Examinations Team and curriculum area) are not formal until they are checked by EAL and showing on the EAL secure administration area.

4.4 **IMI**

4.4.1 No software installation required as it is an internet-based system. Bookings are not required as the tests are automatically attached to a learner's IMI registration once processed with the Examinations team.

4.4.2 **Supervision** For any IMI test must **not** be the subject lecturer/assessor, it must be a trained invigilator.

4.4.3 **Results** are accessible at the end of a test on the IMI testing platform by the Examinations Team and the curriculum area and are fed through to the secure administration area.

4.5 **NCFE**

4.5.1 NCFE use Secure Assess as their testing platform, requiring Secure Assess Client installation on the testing machine.

4.5.2 **Supervision** For any NCFE tests it must **not** be the subject lecturer/assessor, it must be a trained invigilator.

4.5.3 **Results** (only instant for multiple choice tests) showing in the NCFE Secure Assess area (accessible by the Examinations Team and curriculum area) are not formal until they are checked by NCFE and showing on the NCFE secure administration area.

4.6 **Pearson**

4.6.1 Pearson use Pearson Online Platform (POP), requiring installation on an invigilator computer and all testing machines.

4.6.2 **Supervision** for any POP test must not be the subject lecturer/assessor, it must be a trained invigilator

4.6.3 **Results** take up to 30 days and appear in the mailbox for the curriculum area and Examinations Team members who have signed up for result alerts**.**

4.7 **VTCT *Linx2***

4.7.1 No software installation is required on testing machines as it is an internet-based testing platform. Bookings are submitted to the examinations team via change requests on ProSolution.

4.7.2 **Supervision** for any VTCT test must **not** be the subject lecturer/assessor.

4.7.3 **Results** are accessible at the end of a test within the Linx2 platform accessible by the curriculum area and the Examinations Team.

4.8 **Oxford Admissions Test Platform**

4.8.1 No software installation is required on testing machines as it is an internet-based testing platform, used for learners applying to the University of Oxford.

5. ONLINE TESTING CYCLE

5.1 **Procedure steps**

5.2.1 **Procedure detail**

(i) Awarding body registration of learner

Please see the registration policy and procedure; please note that any awarding body test is only accessible if the learner is registered on the appropriate qualification with the awarding body.

(ii) Submitting test requests to the Examinations team

All examinations are to be requested using the ProSolution Exams Change Request instructions available upon request from the examinations team.

****A minimum of 2 weeks' notice is required for all booking requests – flexible only for WBLs at the discretion of the Examinations team****

5.2 **Malpractice**

Any instances of maladministration, including breach of the relevant supervision or invigilation regulations, and candidate malpractice will be reported to the awarding body, in conjunction

with the current *Joint Council for Qualifications Suspected Malpractice* document found on the JCQ website [2]

[2] **https://www.jcq.org.uk/exams-office/malpractice/**

APPENDIX 7 – CONTROLLED ASSESSMENT PROCEDURE

CONTROLLED ASSESSMENTS POLICY

1. PURPOSE OF THE POLICY

1.1 To provide support, guidance and define responsibilities to curriculum areas and management for controlled assessments as a form of internal assessment where control levels are set for each stage of the assessment process.

2. SCOPE

2.1 This policy applies to all controlled assessment activities and procedures that are within the control of the College. It does not cover external examinations.

2.2 What is controlled assessment?

2.2.1 Controlled assessment is a form of internal assessment where the control levels are set for each stage of the assessment process: task setting; task taking and task marking.

2.2.2 Controlled assessment can apply to most qualifications, including most notably:

- Functional Skills entry level
- NCFE/CACHE
- BTECs
- A levels
- T levels

2.2.3 Controlled assessment measures subject specific skills that may not necessarily be tested by external assessment.

2.2.4 Depending on the level of control defined within the specification, controlled assessments may take place for example:

- In a normal timetabled lesson or other defined session under supervised conditions; and
- Entirely within the Centre under supervision with controlled access to resources; or
- Outside the Centre and involve research with limited supervision.

2.2.5 Controlled assessments may take place at any time during the course. However, the centre must ensure that the controlled assessment task issued to candidates is appropriate to the year in which the assessment will be submitted to the awarding organisation.

2.2.6 There is a requirement from the Joint Council for Qualifications (JCQ) for centres to have in place a policy regarding the management of controlled assessments. JCQ centre inspectors will check with the Exams Office that such a policy has been put in place within the centre. The policy should cover procedures for **planning and managing controlled assessments**, including **staff responsibilities** and **risk management**.

2.2.7 This centre (63459) operates controlled assessments under the guidance issued by the JCQ with staff responsibilities and risk management as outlined in this document.

3. RESPONSIBILITY AND AUTHORITY

3.1 **The Head of Centre will ensure**:

- Accountability for the safe and secure conduct of controlled assessments. Ensure assessments comply with JCQ guidelines and awarding bodies' subject-specific instructions.

- At the start of the academic year, Curriculum Area Managers, co-ordinating with their programme managers, schedule the controlled assessments and advise the Examinations Officer should any qualifications require specific secure website access which is controlled by the Examinations Officer.

- When scheduling controlled assessments, they do not impact where reasonably practicable on a persons protected characteristic including religious fasting and disability and that their individual needs are met with appropriate resources and timings.

- Assistant Principals and the Vice Principal – Quality of Education will map overall resource management requirements for the year, and as part of this, resolve:
    - Clashes/problems over the timing or operation of controlled assessments; and
    - Issues arising from the need for particular facilities (rooms, IT networks, time out of college etc.)

- That all staff involved have a calendar of events.

- Create, publish, and maintain an internal appeals policy for controlled assessments.

3.2 **Curriculum Area Managers/Programme Managers will:**

- Ensure that individual curriculum staff members understand their responsibilities regarding controlled assessment and that this policy must be read in accordance with the task brief and any pre-release material either downloaded directly from the awarding body or sent by exams.

- Ensure that individual curriculum staff members understand the requirements of the awarding organisation's specification and are familiar with the relevant guidance and subject specific instructions.

- Ensure the Task brief has been fully read prior to the controlled assessment. This key document outlines all requirements for the controlled assessment (including if internet access is allowed, time allowed for tasks, the window for completion, whether it's supervised / invigilated, which documents are allowed and details all the permitted equipment learners can use during their controlled assessment).

- Where appropriate, develop new assessment tasks or contextualise sample awarding organisation assessment tasks to meet local circumstances, in line with awarding organisation specifications and control requirements.

3.3 Curriculum staff with supervising role **will:**

- Understand and comply with the awarding organisation specification for conducting controlled assessments, including any subject-specific instructions or additional information on the awarding organisation's website.

- Obtain confidential materials/tasks set by the awarding organisations in sufficient time to prepare for the assessment(s) and ensure that such materials are always stored securely.

- Supervise assessments (at the specified level of control). Undertake the tasks required under the regulations, only permitting assistance to students as the specification allows.

- Ensure that students and supervising lecturers sign authentication forms on completion of an assessment.

- Mark internally assessed components using the mark schemes provided by the awarding organisation. Submit marks through the Examinations Office to the awarding organisation when required, keeping a record of the marks awarded.

- Retain candidates' work securely between assessment sessions (if more than one).

- Post-completion, retain candidates' work securely until the closing date for enquiries about results. If an enquiry is submitted, retain candidates' work securely until the outcome of the enquiry and any subsequent appeal has been conveyed to the Centre.

- Implement learners' additional support requirements which should be their normal and approved way of working, seeking assistance from the Learning Support Practitioners as necessary.

3.4 **Examinations Office staff will**:

- Exams team will work in conjunction with curriculum staff to ensure the correct documentation is available prior to the specified assessment window.

- Exams will ensure that all relevant information including task brief, pre-release material, and link to the above college policy is made available for CAMs for all internal 24/25 controlled assessments.

- Be responsible for receipt, safe storage, and safe transportation of confidential materials, whether in digital or hard copy format, where these are directly received by the Examinations Office.

- Download and distribute mark sheets for teaching staff to use and collect and send mark sheets to awarding organisations before deadlines.

- **In exceptional circumstances** where controlled assessment cannot be conducted in the classroom, arrange suitable accommodation where controlled assessment can be carried out, at the direction of the senior leadership team.

3.5 **Additional Learner Support Manager/SENDCO will:**

- Ensure learners with support in place have valid evidence of need on file.

- Work with lecturing staff to ensure requirements for support staff are met.

RISK MANAGEMENT PROCESS

EXAMPLE RISKS AND ISSUES	POSSIBLE REMEDIAL ACTION		STAFF
	FORWARD PLANNING	ACTION	
Timetabling			
Assessment schedule clashes with other activities	Plan/establish priorities well ahead (e.g., start of academic year) for all subjects or lines of learning.	Plan dates in consultation with main college calendar as well as the Exams Office key dates calendar – negotiate with other parties.	CAMs
Too many assessments close together across subjects or lines of learning	Plan assessments so they are spaced over the duration of the course.	Space assessments to at least allow candidates some time between assessments.	CAMs/Programme Managers
Accommodation			
Insufficient space in classrooms for candidates	Once group sizes are known at the start of the year, flag instances where regular classroom space may not be suitable to conduct controlled assessment.	Use more than one classroom or multiple sittings where necessary – book via iZone, as necessary.	CAMs/Programme Managers
Insufficient facilities for all candidates	Careful planning ahead and booking of rooms/centre facilities.		CAMs/Programme Managers
Downloading awarding organisation set tasks			
IT system unavailable on day of assessment	Download tasks well ahead of scheduled assessment date in all cases.		Programme Manager
Lecturing staff/assessors unable to access task details	Test secure access rights ahead of schedule every year and every session.	Ensure lecturing staff/assessors have access rights for correct area of awarding organisation secure extranet sites ahead of time.	Programme Manager/ Examinations Officer
Absent candidates			
Candidates absent for all or part of assessment (assorted reasons)	Plan alternative session(s) for candidates.		Programme Manager/Lecturing staff

Candidates have a scheduling clash for examinations or assessments	Always consider candidate timetables well ahead and decide on priorities in advance to scheduling clashes.	Check before booking the date; provide an alternative date where necessary consult awarding organisation procedures for dealing with timetabling clashes.	Programme Manager/Examinations Officer

EXAMPLE RISKS AND ISSUES	POSSIBLE REMEDIAL ACTION		STAFF
	FORWARD PLANNING	ACTION	
Control levels for task taking			
Assessment is undertaken under incorrect level of control (time, resources, supervision, and collaboration)	Ensure lecturing staff/assessors know what level is applicable and understand what is involved, provide training if required.	Seek guidance from the awarding organisation.	CAMs/Programme Managers
Supervision			
Lecturing staff/assessors do not understand supervision of controlled assessment is their responsibility	Ensure lecturing staff/assessors understand nature of controlled assessments and their role in supervision.		CAMs/Assistant Principals
Suitable supervisor has not been arranged for an assessment	A suitable supervisor must be arranged for any controlled assessment within the curriculum area.		CAMs/Programme Managers
Task setting			
Lecturing staff/assessors fail to correctly set tasks	Ensure lecturing staff/assessors understand the task setting arrangements as defined in the awarding organisation specification*.	Seek guidance from the awarding organisation.	CAMs/Assistant Principals
Assessments have not been moderated as required in the awarding organisation specification	Check specification and plan required moderation appropriately.	Seek guidance from the awarding organisation.	CAMs/Assistant Principals
Security of materials			

Assessment tasks not kept secure before assessment	Ensure lecturing staff understand importance of task security.	Request/obtain different assessment tasks.	CAMs/Programme Managers
Candidates' work not kept secure during or after assessment	Define appropriate level of security, in line with awarding organisation requirements.	Take materials to secure storage.	CAMs/Programme Managers
Insufficient or insecure storage space	Look at provision for suitable storage early in the Programme.	Find alternative spaces.	CAMs/Programme Managers
* All tasks whether set by the awarding organisation or the centre must be developed in line with the requirements of the specification.			

EXAMPLE RISKS AND ISSUES	POSSIBLE REMEDIAL ACTION		STAFF
	FORWARD PLANNING	ACTION	
Deadlines			
Deadlines not met by candidates	Ensure all candidates are briefed on deadlines/penalties for not meeting them.	Mark what candidates have produced by deadline and seek guidance from awarding organisation on further action.	Lecturing staff/Programme Managers
Deadlines for marking and/or paperwork not met by lecturing staff/assessors	Ensure lecturing staff are given clear internal deadlines to complete marking etc. so the Examinations Office can process and send off marks ahead of external deadlines.	Seek guidance from awarding organisation.	CAMs/Programme Managers
Authentication			
Candidate fails to sign authentication form	Ensure all candidates have authentication forms to sign and attach to work when it is completed before handing in	Find candidate and ensure form is signed.	Lecturing staff
Lecturers fail to complete authentication forms or leave before completing authentication	Ensure lecturing staff understand importance of authentication forms and the requirement of a signature.	Return form to staff for signature. Ensure forms are signed as work is marked, not at end of season.	Lecturing Staff/ CAMs/ Programme Managers
Marking			

Lecturers interpret marking descriptions incorrectly	Ensure appropriate training and practising of marking, Plan for sampling of marking during the practice phase.	Arrange for remarking. Consult awarding organisation specification for appropriate procedure.	CAMs/Assistant Principals/ Quality Manager
Centre does not run standardisation activity as required by the awarding organisation	Plan against the requirements for standardisation for the awarding organisation when and how this activity will be conducted.	Check with the awarding organisation whether a later standardisation event can be arranged.	CAMs/Assistant Principals