

## Examination Policy & Procedures 2022/2023

**(Incorporating the Internal Appeals Policy & Procedures, Malpractice and Maladministration, Special Consideration, Post Results services, the written procedures for verifying the identity of candidates and the written procedures for emergency evacuation of exam rooms)**

<b>Lead:</b> Exams & Achievements Manager	<b>Status:</b> Approved
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### Equality analysis tool

1.	Is the policy relevant to the public sector equality duty?	No
2.	Have any concerns previously been raised about this policy or practice?	No
3.	Is likely to result in discrimination against a protected group?	No
4.	Does this policy positively contribute to the participation of under-represented groups in the College's activities?	No

### Version Control

Version	Date	Change(s)
5	April 2023	New regulations and clarifications – see comments
4	January 2022	New regulations and regulation amendments – see comments
3	October 2020	Various regulation additions/amendments and clarifications

### Access

Location	Address/Link
Exams Service Centre	<a href="https://wakecoll.sharepoint.com/teams/stf-exams/servicecentre">https://wakecoll.sharepoint.com/teams/stf-exams/servicecentre</a>
Document Centre	A-Z Policies and Procedures

### Communication

Medium	Audience
Moodle	Students
College News Item	Staff

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## A Introduction

### 1. Purpose

- 1.1 The Exams Policy and Procedures document details the Groups practices and procedures relating to the administration of accredited qualifications, for Curriculum, Work Based Learning and Distance Learning qualifications.
- 1.2 It is a statutory requirement that the Group has in place an Exams Policy, aspects of which are more suitable for a Procedural document, and therefore this document incorporates both.
- 1.3 It is also a statutory requirement that the Group has in place and makes available for inspection:
- written procedures to verify the identity of all candidates at the time of the examination or assessment
  - a written Internal Appeals Policy
  - written procedures for dealing with candidates' requests for access to scripts, clerical checks, reviews of marking, reviews of moderation and appeals, as well as disputes in these respects (i.e. when a candidate disagrees with a centre decision not to support their request).
  - a written policy for dealing with an emergency evacuation of the examination room
  - a policy or procedures on the Recognition of Prior Learning (RPL).
  - a written escalation process should the head of centre, or a member of the senior leadership team with oversight of examination administration, be absent
- All of these are incorporated into this document.
- 1.4 The Exams Policy and Procedures document also contains some of the stipulations contained within the official centre agreements that the Group is obliged to have in place with the various awarding organisations that it uses.
- 1.5 The following other policies are also required by the Joint Council for Qualifications (JCQ<sup>CIC</sup>) or awarding organisations and are documented separately, but should be followed in conjunction with the Exams Policy and Procedures:
- a written examination contingency plan, which covers all aspects of examination administration and potential cyber-attacks
  - a written policy regarding the management of GCE and GCSE non-examination assessments
  - a written exams equality policy
  - a written policy on the use of word processors in exams
- 1.6 Additionally, the Group is required to have in place:
- a written child protection/safeguarding policy, including Disclosure and Barring service clearance, which satisfies current legislative requirements ([here](#))
  - a written process to check the qualifications of the educational assessor ([here](#))
  - a written complaints and appeals procedure ([here](#))
  - a written data protection policy ([here](#))

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- a written whistleblowing policy ([here](#))

These are all documented separately.

- 1.7 It should be noted that failure by a member of staff to abide by the Exams Policy and Procedures, the centre agreements which the Group has with awarding organisations and/or the regulations set by either the Joint Council for Qualifications<sup>CIC</sup> (JCQ<sup>CIC</sup>) or awarding organisations could be regarded as gross misconduct and could lead to sanctions being applied by external bodies and internal disciplinary action.

## 2. Aims

- 2.1 The document aims to:

- ensure the efficient planning and management of qualification and exams administration.
- ensure that both centre staff and candidates understand the exams process and what is expected of them.
- set out examples of centre and learner malpractice and detail the procedures if such circumstances arise.
- set out the procedures for appealing against assessment decisions, decisions regarding access arrangements and reasonable adjustments and special considerations.

## 3. Sources

- 3.1 The following sources have been used in the compilation of this document:

- Department for Education and National College for Teaching and Leadership Exam Policy Template. Available: [here](#)
- The Exams Office Exams Policy Template and other templates. Available: [here](#) (N.B. requires membership to access the documents)
- Joint Council for Qualifications General and Vocational Qualifications – General Regulations for Approved Centres. Available: [General Regulations](#)
- Joint Council for Qualifications General and Vocational Qualifications - Instructions for conducting examinations. Available: [ICE](#)
- Joint Council for Qualifications Adjustments for candidates with disabilities and learning difficulties – Access arrangements and reasonable adjustments. Available: [AARA](#)
- Joint Council for Qualifications A Guide to the Special Consideration Process [Special Consideration](#)
- Joint Council for Qualifications General and Vocational Qualifications - Suspected malpractice in examinations and assessments. Available: [Malpractice](#)
- Heart of Yorkshire Education Group Attendance Policy. Available: [here](#)
- Heart of Yorkshire Education Group Emergency Evacuation Procedures. Available: [here](#)
- Heart of Yorkshire Education Group Lockdown Procedures. Available: [here](#)

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- GOV.UK Bomb Threats Guidance. Available at: [here](#)
- BCS Trainer Provider Appeals Policy. Available at: [here](#)

#### 4. Monitoring

4.1 The Procedures will be monitored as follows:

<b>Procedure</b>	<b>Monitoring Mechanism</b>	<b>When?</b>
Examinations	Any irregularities or problems relating to exam entries, the conduct of exams and results will be discussed at the annual Exams Review.	Summer /Autumn term
Malpractice	Details of each case sent to the appropriate Head of Curriculum.	On investigation
Appeals	Details of each case sent to the appropriate Head of Curriculum.	On investigation

#### 5. Communication

5.1 The Procedures are published on the Staff and Student Intranets. The Procedures will be publicised to staff via the Group News Channel on the Staff Intranet.

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## **B Qualification and examination administration**

### **1. Records of learners**

- 1.1 The Group will ensure that appropriate and reliable steps are taken to verify the identity of learners before registration, assessment or exam entry takes place. Learners should produce evidence of their identity at enrolment or to present it as soon as possible thereafter. This is recorded on ProSolution, the College's MIS system.
- 1.2 The Group will have arrangements in place to obtain on behalf of its learners a Unique Learner Number and a learner record (unless the learner chooses not to have one).

### **2. Awarding organisation/qualification approval**

- 2.1 The Group will ensure that the appropriate awarding organisation/qualification approval is granted before running an offering.
- 2.2 Approval for qualifications which come under the remit of the JCQ (see page 4 of the JCQ General Regulations for Approved Centres) must be finalised no later than five months before the closing date for entries.
- 2.3 The Principal will respond to the National Centre Number Register annual update (by the end of October) (administered by OCR on behalf of the JCQ member awarding bodies), by signing and returning the Head of Centre declaration, which includes confirmation:
- that the centres within the Group, details are correct
  - of awareness of and adherence to the latest version of all the JCQ regulations, as well as the requirements of the awarding organisations and the qualification specifications
  - that the Group has all the requisite written policies and procedures
  - that the Exams Officer receives adequate training and support from the Senior Leadership Team
- In accordance with the regulations, this responsibility will not be undertaken by any member of staff other than the principal.
- 2.4 The Group will ensure compliance with all applicable JCQ/awarding organisation regulations, including ensuring that:
- it retains a staff team of appropriate size, competence, and experience to manage, deliver and administrate the qualifications
  - staff have appropriate training and support to facilitate the effective delivery of the qualifications
  - it has appropriate accommodation to support the size of the cohorts being taught, including appropriate accommodation for candidates requiring access arrangements and/or practical assessments.
  - it delivers qualifications, as required by the awarding organisations, in accordance with relevant equality legislation. This includes but is not limited to

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ensuring that qualifications are made available to all candidates capable of undertaking them and seeking reasonable adjustments for disabled candidates

- it takes all reasonable steps to maintain the integrity of examinations/assessments, including the security of all assessment materials
- any conflict of interest is recorded or reported to awarding organisations, as appropriate (see Sections B 3.6 – 3.8 and D, 2.1.4).
- notify awarding organisations of any consortium of centres with joint teaching arrangements for GCE and GCSE qualifications, permitting cohorts across the consortium to be treated as a single group for moderation purposes. (Only required when candidates are being entered for work that is centre assessed).

2.5 The Group will, where it uses third parties to deliver any part of a qualification or assessment, ensure the following.

- maintain oversight and responsibility for the delivery of the qualification in accordance with JCQ regulations and awarding body requirements.
- have in place a written agreement with the third party and have this available for inspection.
- maintain oversight and responsibility when using third party staff to Assess candidates for access arrangements and reasonable adjustments.

2.6 The Group will have designated members of centre staff at each site, Monday to Friday, 08:30am to 15:30pm to receive deliveries of confidential examination/assessment material and / or accompany a JCQ Centre Inspector or awarding body representative.

2.7 The Group will have a reception where appropriate staff are available Monday to Friday between 08:30am to 15:30pm during term time.

### **3. Qualification registrations/entries**

3.1 For all accredited courses, candidates will be registered with the relevant awarding organisation and entered for all appropriate examinations and will be advised of this during the guidance process. The Group will observe any regulatory requirements for individual qualifications.

3.2 It is the responsibility of the subject teacher to ensure that candidates being registered for qualifications and/or entered for examinations are enrolled on the appropriate course, except in the case of students re-sitting examinations due to absence through personal injury or illness. The offering description and learning aim reference code must match the qualification to which students are being registered.

3.3 It is the responsibility of the subject teacher to send correct information to the Exams Office regarding registrations and entries in order to ensure that submissions can be made by Exams staff before the awarding organisation deadlines (without incurring late fees) and in accordance with any requirements of the funding organisations.

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- 3.4 It is the responsibility of Exams staff to process registrations and exam entries before awarding organisation deadlines to avoid incurring late fees.
- 3.5 The Group will recognise any restrictions regarding the minimum amount of time that candidates must be registered with awarding organisations before certification, as well as the combination of units and/or qualifications that are allowed.
- 3.6 The Group will only enter members of its own centre staff for JCQ qualifications as a last resort where the member of centre staff is unable to find another centre. In such cases, it will inform the relevant awarding organisation before the published deadline for exams, it will record the steps taken to manage the conflict of interest i.e., no access to confidential material, and it will make the records available for inspection.
- 3.7 The Group will inform the relevant JCQ awarding bodies, before the published deadline for entries, for each examination series, of any conflict of interest arising from:
- any member of staff with access to the secure exam storage (i.e. exams officers and invigilators) who has members of their family/household who are being entered for JCQ examinations and assessments, either at Wakefield College or elsewhere.
  - any member of staff with access to confidential assessment materials who is entered for a JCQ examination at this, or another centre.
  - any member of staff involved in teaching, preparing, or making assessment decisions for members of their family/household for JCQ examinations and assessments.
- 3.8 The Group will retain records of any other conflict of interest scenarios regarding JCQ qualification entries. The head of centre or their nominated person must ensure that the records include details of the measures taken to mitigate any potential risk to the integrity of the qualifications affected. The records may be inspected by a JCQ Centre Inspector and/or awarding body staff. They might be requested in the event of concerns being reported to an awarding body. The records must be retained until the deadline for reviews of marking has passed or until any appeal, malpractice or other results enquiry has been completed, whichever is later.

#### **4. Credit Accumulation and Transfer (CAT), Exemption, Recognition of Prior Learning (RPL)**

- 4.1 The Group will use the record of the learner's previous achievements to ensure that opportunities for credit transfer, exemption, and Recognition of Prior Learning (RPL) are maximised, where this is permissible for the qualification and where learner consent is given.
- 4.2 The Group will comply with appropriate awarding organisation regulations and deadlines to ensure the successful processing of credit accumulation and transfer (CAT), exemption and RPL.
- 4.3 Evidence used to support RPL must be:

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- valid
- current
- reliable
- authentic
- sufficient

It will be assessed and verified through the same quality assurance procedures used for any other internal assessment methods and should be retained as required by the awarding organisation.

- 4.5 Where evidence being used for RPL is found to be insufficient, additional assessment methods will be used to create enough evidence to be able to award the learning outcome for the whole unit.
- 4.6 Where required, the Group will inform the awarding organisation Standards Verifier/Quality Assurer/External Examiner before any monitoring activity if RPL is being sought for any units or learners.

## **5. Payment of registration/exam fees**

- 5.1 Candidates must comply fully with the requisite regulations concerning eligibility and payment of fees.
- 5.2 Registration, examination and certification fees, where applicable, will be charged at the time of enrolment and are non-refundable.
- 5.3 If a learner enrolls on a course after the awarding organisation entry/registration deadline has passed, they are liable for any late entry/registration fees which apply.

## **6. Re-sits**

- 6.1 The number of re-sit attempts available to candidates is determined by the qualification i.e., some allow unlimited attempts, whilst others are restricted to one or two.
- 6.2 If a candidate wishes to re-sit an exam, they must consult with and obtain agreement from their subject teacher.
- 6.3 Re-sit exams which do not have to be taken on set dates will be scheduled in agreement by the programme area and the Exams Office.
- 6.4 In cases where awarding organisations charge for second attempts at external tests and the re-submission of assessed work, candidates will be liable for these costs. The following exception applies:
- Students re-sitting essential Functional Skills tests.

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6.5 If candidates have not paid for re-sits by the stipulated deadline, their entry will not be submitted. Candidates wishing to be entered for re-sits after the stipulated deadline will be charged any applicable late fees.

6.6 For HE students, re-sit opportunities to improve grades will be governed by course and awarding organisation regulations.

## **7. External candidates**

7.1 External candidates will only be accepted with the agreement of the Examinations Manager and appropriate Head of Curriculum. An additional external candidate fee will be charged. Where external candidates cannot be accommodated with other Heart of Yorkshire Education Group candidates, invigilation costs and room hire costs will also be charged. It is not permitted for students to be both internal and external candidates for either A level or GCSE qualifications.

## **8. Withdrawal from examinations and programme registrations**

8.1 All candidates who are enrolled on externally accredited programmes will normally take their examinations and complete the assessed units for which they have been registered. There are occasions however when candidates may be withdrawn by their tutors from examinations entry and vocational programme registration, particularly as a result of:

- a) failure to attend College
- b) failure to complete coursework.

8.2 The Group reserves the right to withdraw students if the following criteria are not met:

- a) An 80% attendance record. (Absence through illness should normally be supported by a medical note.)
- b) Sufficient academic progress to achieve the qualification (e.g. non-completion of compulsory coursework before the required date), without mitigating circumstances.

8.3 Students who meet the criteria for withdrawal from an examination entry or registration must be withdrawn from the course unless they are willing to pay the full course fee.

8.4 Learners who wish to withdraw themselves from examinations or programme registration should consult with their tutor. Learners will not be reimbursed the registration/entry/accreditation fees and learners who were under 19 at the time of entry or whose fees were remitted may be charged these fees

8.5 In the circumstances described above, it is the responsibility of the tutor in a timely manner to submit a change request via ProSolution to withdraw the student from the associated enrolment(s) or to notify the Exams Office to withdraw the exam

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entry, taking into consideration any deadlines for the refund of awarding organisation fees.

- 8.6 Students who have been withdrawn from the course via a Change Request will automatically be withdrawn by Exams staff from associated examinations and any registrations for which fees are refundable from the awarding organisations.
- 8.7 In the case of personal injury or illness, some awarding organisations will allow candidates to withdraw up to the date of the examination. It will be necessary for learners withdrawing for these reasons to send medical evidence to the Exams Office.
- 8.7.1 Enrolled learners who withdraw from their examination for **valid** reasons, may be allowed to enter the following year, as an external candidate, in spite of not being enrolled on a college programme (see 5.).

## **9. Access arrangements and the Equality Act 2010**

- 9.1 Full details are available in the College's Exams Equalities Policy.
- 9.2 The head of centre / senior leadership team will appoint a SENCo who will determine appropriate arrangements for candidates with learning difficulties and disabilities.
- 9.3 The head of centre / senior leadership team will ensure that the SENCO (Access Arrangement Coordinator) has sufficient time to manage the access arrangement process and familiarise themselves with the JCQ Access Arrangements and Reasonable adjustments regulations.
- 9.4 The College will make reasonable adjustments to put in place provision for disabled learners to take examinations and/or assessments, subject to both the regulations and provisions of the awarding organisations. As such, a wide variety of access arrangements may be available e.g., extra time, readers, scribes, prompters, separate room. The college will do so no later than six weeks before the date of the assessment.
- 9.5 Any access arrangements must be supported by appropriate evidence (as stipulated by the relevant awarding organisation), they must reflect the learner's normal way of working and they must not give them an unfair advantage.
- 9.6 The need for access arrangements must be considered on a subject-by-subject basis and, as such, course tutors and ALS study coaches are responsible for providing evidence to support the application.
- 9.7 Evidence of need (where required) must be available in centres for inspection by the JCQ Inspection Service or the relevant awarding organisation. Access arrangements cannot be granted solely on the basis that they were approved at the learner's previous educational establishment, even if the approval period is still valid.

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- 9.8 Candidates requiring access arrangements for examinations and/or assessments should discuss these with their course tutors, personal tutor, or Additional Support at the beginning of their course or as soon as it is identified that those arrangements will be required.
- 9.9 It is the responsibility of tutors and the Additional Support department to inform the Exams Access Arrangements Co-ordinator (or member of staff acting as the “SENCo”) as soon as they are aware of any candidates requiring access arrangements. Candidates should also take responsibility for liaising with the Exams Access Arrangements Co-ordinator (or member of staff acting as the “SENCo”) as soon as possible themselves, particularly if they have an emergency requirement for an access arrangement (e.g., broken arm).
- 9.10 Applications for access arrangements must be made through the Exams Access Arrangements Co-ordinator (or member of staff acting as the “SENCo”). It is vital that arrangements are applied for as early as possible in the academic year because evidence in support of the application has to be obtained and submitted to the awarding organisation. Awarding organisations may refuse applications which miss their deadlines or may charge for late requests. Please see the Exams Equalities policy for the main dates.
- 9.11 Where requirements for access arrangements are identified after the above deadlines, the application should be submitted as soon as is practicable. Every attempt will be made to gain permission from the awarding organisation and to accommodate the candidate’s needs, although this cannot be guaranteed.
- 9.12 Reasonable adjustments will be made to ensure that exam-related correspondence is adapted, as appropriate, for students with disabilities.
- 9.13 Reasonable adjustments will be made to find suitable exam accommodation and equipment for students with disabilities.
- 9.14 A candidate may only take their examinations under separate invigilation with the centre where they have an established difficulty (see section 5.16 of the JCQ AA&RA publication). Anxiety alone is not sufficient for the requirement of a separate room.
- 9.15 Where possible, staff acting as readers, prompters and scribes in access arrangement exams will be drawn from the pool of Learning Support Assistants working for the Additional Support Department. Where this is not possible however, staff will be drawn from other areas or the pool of invigilators and candidates may not be supported by their usual contact.
- 9.16 Candidates whose first language is not English and who normally use a bi-lingual dictionary in their lessons may be eligible to use one in their exams. They should contact the Exams Access Arrangements Co-ordinator (or member of staff acting as the “SENCo”), within the above deadlines, to obtain approval (subject to

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awarding organisation regulations) and to check that centre has a copy of the appropriate dictionary. Candidates are not allowed to use their own dictionaries.

## 10. Statements of entry

- 10.1 Candidates will be notified about their exam(s) either by their tutor or a college produced timetable, which may be sent in the post, emailed, or sent by text message. Details can also be viewed via Moodle.
- 10.2 Where a statement of entry or timetable has been produced, the candidate must check that it shows their correct personal details and exam entry/entries and must report any discrepancy or query to the Exams Office **immediately** on receipt.

## 11. Clash of examination dates and times

- 11.1 The Exams Office will seek to identify candidates with a clash of examinations, however it is essential that any candidates with a clash inform the Exams Office of the details immediately, especially if it involves exams being taken at another centre, as the Centre will not be aware of these.
- 11.2 The Group will notify clash candidates in writing of the changes to their exam schedule. Candidates must acknowledge their awareness and understanding of the new arrangements by the deadline specified in the notification.
- 11.3 Clash candidates will be under close, permanent supervision by a member of centre staff from immediately after their first exam of the day until they commence their final exam of the day.
- 11.3.1 Where candidates have a clash of exams which have to be conducted under the Jcq<sup>CIC</sup> regulations, and the total time of their exams is three hours or less, the break between exams must not exceed twenty minutes. It must be conducted within the exam room under formal exam conditions and no revision is allowed.
- 11.4 In rare and exceptional circumstances and as a last resort, a clash exam may have to be postponed by a day, which will require overnight supervision arrangements being put into place.
- 11.4.1 Overnight supervision can normally be undertaken by a parent/guardian.
- 11.4.2 The Jcq Overnight Supervision form must be completed online, prior to the overnight supervision taking place.
- 11.4.3 The Jcq confidentiality declaration form must be signed by the candidate and the overnight supervisor before supervision commences.
- 11.4.4 The candidate will be supervised at all times whilst on centre premises on the morning of the postponed exam.

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11.4.5 If the Group is made aware of any infringement of the conditions governing overnight supervision arrangements, the awarding organisation will be notified immediately, and action taken in accordance with the JCQ's malpractice policy and procedures.

11.5 If a candidate has a clash of exams at College and another centre, an application for transferred candidate arrangements may have to be made (JCQ exams). The deadlines for applications are 8th October (November series) and 21<sup>st</sup> March (May/June series) and the candidate is liable for the fee charged by the awarding organisation for this service. The candidate must ensure that they abide by all regulations of the host centre.

11.6 Clash candidates are not permitted to be in possession of an electronic communication device, be coached by a member of centre staff or to have access to the internet during their supervision.

11.7 Clash candidates are advised to bring refreshments for their supervision period, as they cannot be permitted to visit the refectory/café.

## **12. Locations and times of examinations**

12.1 The Exams staff will either book exam rooms themselves or liaise with the Timetabling team to organise them, unless these have been prior booked by teaching staff. Any member of staff requesting to run an exam within 10 working days must also provide a suitable room.

12.1.1 When booking rooms, attention must be paid to conditions such as heating, lighting, ventilation and noise, whether internal or external, intermittent or continuous

12.2 Where rooms cannot be located on College property, the Estates Department will be responsible for sourcing suitable alternative venues which comply with the Equality Act and awarding organisation regulations.

12.3 The Exams Office will inform the JCQ Centre Inspection Service, using the JCQ Alternative Site form, of any alternative sites that will be used to conduct timetabled examination components of the qualifications listed in the JCQ regulations. This will be sent to the Inspection Service no later than six weeks before the start of the examination series.

12.4 The Exams Office is responsible for notifying the Caretaking and Security teams about the dates, times and locations of any exams which are being held on campus. This is done automatically using the centres MIS.

12.5 The Exams Office is responsible for notifying IT Services about any computer-based exams which are being held on campus. This is done automatically using the centres MIS.

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- 12.6 Candidates can see the examination venue displayed on the examination notice boards before the examination date.
- 12.7 If candidates are required to take their exams in rooms which are located at another campus or at external locations, information will be provided as early as possible with regards to the address and location of the venue.
- 12.8 A Levels and GCSEs will normally commence at 9.30am in the morning and at 14.00pm in the afternoon, unless advised otherwise.
- 12.9 Candidates are responsible for arriving at the exam in a timely manner (recommendation – at least 20 minutes before the start time).

### **13. Invigilation**

- 13.1 It is the responsibility of the Head of Curriculum or their nominated person to provide invigilators for examinations or to authorise the Exams Office, in a timely manner, to arrange cover from the pool of invigilators.
- 13.2 If it is not possible to allocate invigilators from the pool, Heads of Curriculum or Head of Service Areas will provide sufficient staff to invigilate, in accordance with the numbers required by the JCQ/awarding organisations.
- 13.3 Invigilators are responsible for the conduct of the examination, and all are required to have received appropriate instruction, through annual training of current regulations provided by the Exams Office.
- 13.3.1 Staff invigilating or acting as support staff (i.e. readers, scribes, prompters etc.) in JCQ exams for the first time must have attended the training for new invigilators. Existing invigilators must attend annual (update) training.
- 13.3.2 In accordance with JCQ regulations, a record of the training given to invigilators, and the content of that training, will be retained on file until the deadline for enquiries about results has passed or until any appeal, malpractice or other results enquiry has been completed, whichever is later. This must be available for inspection.
- 13.3.3 In accordance with JCQ Regulations, testing following invigilation training will take place to ensure the competence and understanding of the regulations is rigorous, this will include testing on the facilitation of access arrangements.
- 13.3.4 If invigilators are supplied by a recruitment/supply agency, it is the responsibility of the centre to ensure that such persons are competent and fully trained and not rely on reassurance from said recruitment/supply agency.
- 13.3.5 Invigilators must declare whether they have invigilated previously and have any current maladministration/malpractice sanctions applied to them. The Exams Office will collate this information on an annual basis.

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- 13.3.6 Staff invigilating BCS exams for the first time must be observed during their first live test and existing invigilators must be observed annually. Observations must be documented using the BCS paperwork on the same day and must be stored electronically and made available to BCS upon request.
- 13.4 Unless a qualification specification expressly allows it, teachers/tutors and teaching assistants are not permitted to invigilate examinations which involve candidates that they have taught for the subject of the examination during the academic year. Should this be the case
- 13.4.1 Staff who have taught the subject being examined or a senior member of teaching staff who has had overall responsibility for the candidates' preparation for the exam are not allowed to invigilate at all during timetabled written exams or on-screen tests which fall under the JCQ General Regulations (e.g. A level, GCSE, BTEC and Cambridge National or Technical exams). Exceptions include Art and Design timed tests and Science Practical's.
- 13.5 Invigilators should notify the Exams Office immediately if they are aware of a conflict of interest with any of the exam candidates that they are supervising. In the event that they cannot be replaced, the conflict of interest will be recorded.
- 13.6 Additional "roving" invigilators must be used to check up on rooms where sole invigilators are also acting as readers, scribes and/or practical assistants in JCQ exams.
- 13.7 Invigilators should be familiar with the awarding organisation invigilation regulations and should ensure that both Group and awarding organisation procedures are followed correctly.

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## 14. Exam materials

- 14.1 A log of the delivery of confidential materials will be kept on Reception and a log of receipt and movement of materials will be kept in the Exams Office.
- 14.2 The Exams Office will store live exam material in secure facilities which comply with the awarding organisation requirements. It will notify the National Centre Number Register Team no later than six weeks prior to re-locating the secure storage facility.
- 14.3 Access to the secure storage facility will be limited to between two to six keyholders, each ensuring they understand their responsibilities as a key holder. Access must be restricted to named staff approved by the Head of Centre. Any other staff must be accompanied by a key holder at all times.
- 14.4 The Group, either via the Exams Office or teaching staff, where appropriate, will allow candidates access to relevant pre-release materials on or as soon as possible after the date specified by the awarding organisations.
- 14.5 Any live assessment material which is required to be opened in advance of an examination and held for use over an extended period must be signed in and out of the Exams Office, kept secure at all times and checked regularly to ensure that it has not been annotated or amended.
- 14.6 If an alternative venue is being used for a timetabled written exam which comes under the JCQ General Regulations or City & Guilds, question papers and exam stationery will be kept at the centre's registered address and not transported until 90 minutes before the published start time of the exam.
- 14.7 If question papers require splitting for different exam rooms or to facilitate access arrangements, as few packets as possible will be opened and will be within 90 minutes of the published starting time. Unless the papers are for an alternative site, they will not leave the exam secure store until 60 minutes prior to the published starting time.
- 14.7 If a candidate requires an exam paper to be enlarged from A4 to A3, or copied onto coloured paper for a timetabled written exam which comes under the JCQ General Regulations, the exam paper packet will not be opened until 90 minutes before the published start time of the exam.
- AQA and Pearson – it is recommended a PDF copy is downloaded from the awarding organisation website, one hour before the published start time of the exam.
  - OCR, WJEC and other boards – it is recommended a non-interactive copy of the question paper is ordered online via AA online.
- 14.8 If approval has been granted for a Communication Professional or Language Modifier for a timetabled written exam which comes under the JCQ General

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Regulations, the exam paper packet will not be opened until an hour before the published start time of the exam.

- 14.9 The day, date, time, subject, unit/component and tier of JCQ exam paper packets will be checked and the verification recorded before being opened by an authorised member of staff no earlier than 90 minutes of the published start time of the exam. (exams officer or invigilator). Should an incorrect packet of papers be opened, this will be reported to the awarding body's investigation team immediately.
- 14.10 Past examination question papers will not be kept in the centre's secure storage facility. Mock Exam papers and internal college exam papers are permitted in the secure store but must be stored separately from awarding organisation exam material.
- 14.11 Electronic question paper materials will only be accessed by those authorised by the head of centre and staff will be made aware of the most recent instructions issued by awarding organisations.
- 14.12 A minimum of 2 and a maximum of 6 members of centre staff will have access to electronic exam materials, this will replicate those members of staff who have access to the Exams secure store.
- 14.13 Secure materials should only be receipted by members of staff authorised to do so, including the use of a group e-mail account. In most instances the Exams mailbox will be used for this facility and access monitored, ensuring security of materials is maintained.
- 14.14 Electronic question papers will only be stored locally and accessible by members of the Exams team and deleted immediately after sufficient papers have been printed. Any hard copy materials will be sealed in a non-transparent envelope, with the details identified on the front. Any links and e-mails relating to the materials will also be deleted permanently.
- 14.15 The Group will ensure an annual review of accounts to access awarding organisations is completed annually as a minimum. This is practiced monthly to ensure the integrity of exams and assessment materials.
- 14.16 The Group will ensure that any breaches in regulations to 14.11 to 14.15 are reported to the awarding body immediately.

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## **15. On the day of the examination**

### **15.1 Contingency planning**

- 15.1.1 In the event of possible disruption to exams e.g., caused by adverse weather, the centres will aim, wherever feasible, to remain open or to make available alternative arrangements.
- 15.1.2 The Group will use various sources to keep candidates notified about exams: the College websites, Facebook, local radio, text messages, phone calls.
- 15.1.3 Further information can be found in the College's Exam Contingency Plan.

### **15.2 Prior to the Examination**

- 15.2.1 The Caretaking teams are responsible for setting up desks in exam rooms, according to the regulations regarding seating arrangements issued by the awarding organisations.
- 15.2.2 Invigilators are responsible for setting up exam rooms in terms of numbering desks, putting up statutory notices, checking display material etc.
- 15.2.3 The IT Services team is responsible for responding to exam job logs, ensuring that any computers being used for exams are in working order and have any necessary software or links set-up. If candidates have to use specific, individual exam log-in accounts, the IT Services team is also responsible for ensuring that these have been set up and can be accessed/locked at the appropriate times.
- 15.2.4 A seating plan is displayed outside the examination room and candidates are advised to arrive 20 minutes in advance of the advertised start of the examination to look for their desk number.
- 15.2.5 No mock exams, revision or coaching sessions for the candidates may take place in the exam room(s) immediately prior to the exam(s).
- 15.2.6 Candidates are not allowed to enter the examination room until asked to do so and should follow the invigilator's instructions to:
  - a. deposit all articles not specifically required for the examination in the designated area of the room.
  - b. hand in any unauthorised material to the invigilator.
  - c. help with the inspection of any specified authorised articles e.g., calculators.

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- d. produce their learner ID card in order that their identity can be verified by the invigilator or other member of staff (see Appendix 1 - Procedures for verifying the identity of candidates before examinations or assessments)
- e. comply with other instructions pertaining to examinations given by the invigilator.
- f. ensure that, if they have brought any of the prohibited items into the room, they are switched off, with any alarms disabled, and that they are handed in to the invigilator or put away in their bag (candidates should not have with them or about their person): mobile phone, iPod, MP3/4 player or similar devices, smartwatch, or any other watch.

15.2.7 In an exam room, candidates must not have access to items other than those clearly allowed in the instructions on the question paper, the stationery list, or the specification for that subject.

15.2.8 Candidates are responsible for bringing to the exam their own writing materials (i.e., pen, pencil, rubber etc.) and any mathematical instruments that are required for the exam (e.g., calculator, ruler, protractor, compass etc.). Candidates are responsible for ensuring that calculators meet the regulations of the awarding organisations and have a working power supply.

15.2.9 The only pencil cases which are permitted in the exam room are clear, (i.e., non-tinted), transparent ones.

### 15.3 **At the start of the exam**

15.3.1 The invigilator should remind any clash candidates to remain in their seats at the end of the exam.

15.3.2 The invigilator must read out the evacuation instructions to candidates.

15.3.3 The invigilator should make an announcement regarding the regulations and details of the exam. If a script is provided by the awarding organisation, this should be read out.

15.3.4 The invigilator must read out any erratum notices to candidates, ensuring that any late comers are also given this information.

15.3.5 The invigilator should check the identity of the candidates, where possible before the exam starts. If this is not feasible, this should be done discreetly during the exam. Under no circumstances should candidates leave the exam room before their identity has been verified.

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15.3.6 The invigilator must ask candidates to check that they have been given the correct question paper for the day, date, time, subject, unit/component and tier of entry, if appropriate.

15.3.7 The invigilator must clearly display the date, the centre number, the subject title and paper number of the exam(s), the tier of entry (if applicable) and the start and finish time(s).

#### 15.4 **During the exam**

15.4.1 The invigilator must give their full attention to conducting the examination properly. They must respond promptly to candidate queries and be vigilant for any malpractice.

15.4.2 The invigilator must complete all necessary paperwork, which typically includes an attendance register and a seating plan. Any candidates with access arrangements should be identified on the seating plan.

15.4.3 If any problems arise during the exam (e.g., technical issues, malpractice, illness), the invigilator should contact the Exams Office or runner, if one is available, for assistance. They should also complete an Incident Report.

15.4.4 Candidates must remain silent during the examination but may attract the attention of the invigilator by raising a hand to ask for any essential information. Invigilators are not allowed to discuss examination questions.

15.4.5 Candidates will conduct themselves in the examination room so as not to disturb other candidates.

15.4.6 Candidates must not communicate with another candidate by any means (e.g., notes, talking, signs etc.) and must not attempt to read another candidate's work.

15.4.7 Candidates must write in black ink/ball-pen or, in the case of some multiple choice tests, an HB pencil.

15.4.8 Correcting fluid/pens/tape must not be used.

15.4.9 Candidates must use only the approved awarding organisation's stationery in an examination. "Rough work" should be done on the paper provided and then clearly crossed through.

15.4.10 Candidates are allowed to have drinks in the exam room but only from plastic bottles. All labels must be removed. (Drinks are not allowed in computer rooms.) If candidates need to take any food stuffs into the exam (e.g., cough sweets, or food for diabetic students), all packaging must be removed. Food and drink should be made available for scrutiny by invigilators.

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- 15.4.11 Candidates may not leave the examination room before being given permission to do so by the invigilator, in accordance with awarding organisation regulations (candidates are not usually allowed to leave during the first hour). Some awarding organisations also stipulate that candidates are not allowed to leave during the final minutes of the exam.
- 15.4.12 Provision is made for a candidate to be accompanied out of the examination room e.g., to go to the toilet, but a candidate who leaves the examination room unaccompanied will not be allowed to return. All instances of leaving the exam room, including toilet breaks, are to be logged on the incident log.
- 15.4.13 The invigilator must not assist candidates in any way, other than clarifying the instructions on the front of the question paper. In JCQ exams, the only time reminder or indication of the time elapsed which the invigilator is allowed to give is a five-minute warning before the end of the exam (unless the candidate is allowed a prompt).
- 15.4.14 When candidates are instructed to stop work they should do so immediately and ensure that their script is correctly presented for collection by the invigilator who will also collect any items supplied by the Group. Scripts and continuation sheets should be attached together clearly showing the candidate's name and number as well as the Centre number.

## 15.5 Candidates arriving after the start of the examination

- 15.5.1 The procedures of the specific awarding organisation should be followed in all instances where candidates arrive late for an examination. If there is any doubt, the invigilator should check the procedures with the Exams Office.
- 15.5.2 If the candidate is permitted to sit the examination, the invigilator should check with the Exams Office, before allowing the candidate to leave at the end of the exam, whether the awarding organisation requires a written report.
- 15.5.3 In the case of JCQ examinations the candidate should be warned that the awarding organisation may not be prepared to accept the script.
- 15.5.4 Candidates arriving after the examination has finished will not normally be allowed to sit the examination but advice should be taken from the Exams Office. Some exams are held within "windows" and it may be possible to allow the candidates to take the exam in a later session during the window.
- 15.5.5 If the candidate is permitted to sit the examination, they must be allowed the full time for the examination.

## 15.6 Evacuation procedures

- 15.6.1 In the event of any emergency requiring evacuation of the building, invigilators must follow the general Group emergency evacuation procedures

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or lockdown procedures and the specific College examination evacuation procedures (see Appendix 2).

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## 15.7 After the exam

- 15.7.1 The College will respect the confidentiality of scripts by not allowing them to be read or photocopied by any person prior to marking, without the permission of the awarding organisation.
- 15.7.2 The Exams Office will check the candidate and centre information on the front of the question paper matches the details on the awarding body register. Any discrepancies identified will be corrected, this will be limited to centre number, candidate number, candidate name and component/unit code. This will be countersigned by a second member of staff.
- 15.7.2 The Exams Office will despatch scripts promptly, where possible on the day of the examination. If scripts must be retained overnight or for a longer period, in accordance with awarding organisation guidance, they will be retained in secure conditions and always handled securely until collection is possible.
- 15.7.3 The Group will follow the instructions issued by awarding organisations relating to the use of question papers after the examination has taken place. The college will ensure that question papers are not released to centre personnel until the day following the exam.

## 15.8 Absence and Special Consideration

- 15.8.1 If a candidate is unable to attend the examination, the Exams Office should be informed as soon as possible.
- 15.8.2 Candidates who fail to attend their examinations without valid or certified reason, may be charged the appropriate registration/examination fee. This includes candidates who were under 19 at the time of entry or whose fees were remitted.
- 15.8.3 Candidates who are absent due to illness or misfortune may be eligible for an enhanced grade, subject to them having fulfilled the minimum requirements of the awarding organisation.
- 15.8.4 Requests from candidates who are absent from **all** parts of the examination will **not** be considered by the awarding organisation.
- 15.8.5 Candidates who feel that recent circumstances or problems during an exam may have affected their performance (e.g., illness, bereavement, trauma) may be eligible for special consideration, subject to the regulations of the awarding organisations.
- 15.8.6 If a candidate believes that they may be eligible for either special consideration or an enhanced grade, it is their responsibility to inform the Exams Office as soon as possible after the exam and provide appropriate evidence of their circumstances before the appropriate deadline (of which

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they will be appraised). The Group must be satisfied that there has been a material detrimental effect on the candidate's examination performance.

- 15.8.7 Special consideration may also be available in assessed work. Applications are considered on a case-by-case basis by the relevant awarding organisations and tutors should notify the Exams Office of any instances where an application should be made. The College must be satisfied that there has been a material detrimental effect on the candidate's production of coursework or NEA.
- 15.8.8 Candidates will be informed of any Special Consideration applications made on their behalf and the College will ensure it complies with the UK GDPR/Data Protection act 2018.
- 15.8.9 A member of the Senior Leadership Team is required to sign evidence in support of an application for Special Consideration. This may be requested by the awarding body for quality assurance purposes.

## 15.9 Irregularities

- 15.9.1 Any irregularity will be reported to the Examinations and Achievement Manager and to the appropriate awarding organisation subject to their specific regulations (see Section C for further information). Candidates will be informed of any irregularity reported thus and, if the candidate is aged under 18, their parent(s)/guardian(s) will also be informed.
- 15.9.2 If College is notified by an awarding organisation that a candidate has intentionally spoiled an examination script, the candidate will be subject to disciplinary action which may result in the withdrawal from that and any other examinations, subject to examination fees incurred by the Group. In addition, disciplinary action may be taken against the candidate by the awarding organisation.

## 16. Internal assessment/claims

- 16.1 For details of how to conduct non-examination assessments (for GCE and GCSE specifications), please refer to the separate Non-examination Assessment Policy and Procedure documents.
- 16.2 All candidates completing coursework for assessment (JCQ qualifications) must sign the declaration of authentication, prior to submitting it for final assessment, to confirm that the work is their own. This form must then be countersigned by the member of staff who assesses their work.
- 16.3 Candidates have a right of appeal against a coursework assessment. Any appeal should be made in accordance with the College's procedures for Appealing Against an Assessment (See Section E) and, if applicable, the Internal Appeals Policy and Procedures for JCQ qualifications (Appendix 4).

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- 16.4 Depending on the awarding organisation specification and regulations, an appeal may proceed in the following circumstances:
- (a) That a candidate's performance in an assessment was adversely affected by illness or other personal circumstances, which the candidate was unable or unwilling to divulge at the time of assessment. Appropriate proof of these circumstances will usually be required (e.g. Medical Certificate). This may not lead to an improved internal mark/grade but may warrant a special consideration application which could lead to an enhanced mark from the awarding organisation.
  - (b) That a candidate's performance in an assessment was adversely affected by administrative error or that the assessment was not conducted in accordance with the current regulations for the course.
  - (c) That the marking has not been applied fairly and consistently in line with the qualification specification, the mark scheme and the awarding organisation/JCQ guidelines.
  - (d) That a candidate's performance in an assessment was adversely affected by other irregularities.
- 16.5 An appeal will not be allowed where the internal mark/grade has been confirmed by external moderation/verification.
- 16.6 For HE students on courses leading to awards of partner higher education institutions, appeals should be made in accordance with the requirements of that institution.
- 16.7 Learners who fail to submit assessment by the prescribed date, without good cause and prior authorisation, may be penalised in accordance with appropriate course and awarding organisation regulations.
- 16.8 If a candidate is unable to complete coursework before the required deadline and has extenuating circumstances, they must notify their course tutor as soon as possible, supplying evidence of the circumstances. The tutor should liaise with Exams staff, who will request an extension from the relevant awarding organisation, if applicable.
- 16.9 Lead internal verifiers and Heads of Curriculum will authorise the resubmission of assignments, where appropriate to the qualification.
- 16.10 It is the responsibility of the subject teacher or the internal verifier/internal quality assurer to send accurate coursework marks/grades to the Exams Office before any stipulated dates, in order to ensure that Exams staff are able to submit the marks/grades to the relevant awarding organisations ahead of relevant awarding organisation or funding deadlines.

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- 16.11 Lead internal verifiers and Heads of Curriculum will ensure that any claims for full or unit certification, where relevant to the qualification, have met all minimum standards and have gone through the internal quality assurance process.
- 16.12 Where a partial/unit claim is being made, the member of staff submitting the claim will indicate whether or not the claim is final, and the registration should be closed (where appropriate to the qualification).
- 16.13 The College will take all reasonable steps to guard against fraudulent or mistaken claims.
- 16.14 Staff should understand that any corrections which have to be made to coursework marks/grades, particularly after certification, may result in financial penalties (e.g. amendment fees) and/or an investigation as to the reasons for the incorrect claim. This in turn may lead to sanctions being imposed by the awarding organisation.
- 16.15 In instances where postal moderation is to be carried out, it is the responsibility of the subject teacher to provide the Exams Office with the requested samples of work for despatch before the stipulated deadline.
- 16.16 All coursework, including non-examination assessment assessments, which has not been despatched as part of the moderation sample, will be stored securely in accordance with awarding organisation regulations (usually until at least the deadline for a review of moderation has passed or until a review of moderation, an appeal or a malpractice investigation has been completed). Any work which has been returned by an awarding organisation will be stored under the same criteria.

## **17. Results**

- 17.1 Examination results are issued by a variety of means depending on the qualification/exam e.g. e-mail, post, tutor notification, statement given out after the exam, candidates accessing awarding organisation website.
- 17.1.1 Results for GCEs, GCSEs and Extended Projects can be collected from the Wakefield Campus, Castleford Campus or Selby Campus (as announced) on the day of issue between 8.30am and 2.00pm. Any person collecting the results on behalf of the candidate must have a note of authorisation together with their own form of personal identification.
- 17.2 The college will ensure results remain entirely confidential and restricted to the head of centre (and key staff at the discretion of the head of centre). Results will remain restricted to such staff, until the official dates and times of release of results to candidates is permitted.
- 17.3 The Exams & Achievements Manager is responsible for providing analysis of results to appropriate centre staff.
- 17.4 The Examinations team are responsible for undertaking college performance tables September Checking exercise.

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## 18. Post results services (e.g. enquiries about results, including appeals on outcomes of reviews)

- 18.1 Depending on the qualification, various post results services may be available, including a review of the mark of the candidate's exam and access to the candidate's exam script. Details of the services offered by awarding organisations are available on request from the Exams Office. Information relating to GCE and GCSE qualifications is provided to learners along with results and published on Moodle prior to the release of results.
- 18.1.1 The service offered by the awarding organisation BCS is detailed in Appendix 3.
- 18.1.2 Further details relating to JCQ qualifications are provided in the Internal Appeals Policy and Procedure (Appendix 4).
- 18.2 Applications for post results services must be made to the Exams Office within the deadlines set by the awarding organisations. Unless specifically stated by the awarding organisation, candidates should not contact the awarding organisation directly.
- 18.3 Fees are applicable for post results services and these must be paid in advance. A fee for a review of marking may be refunded by the awarding organisation if an improvement is made, subject to the regulations of the appropriate awarding organisation.
- 18.4 Any candidates requesting a review of marking should understand that their unit score and their overall grade may go down as well as up and the new mark/grade must be accepted.
- 18.5 Any candidates who remain dissatisfied with the result of a review of marking and wish to appeal against the decision must provide appropriate and reasonable grounds to the Examinations and Achievement Manager, in line with awarding organisation guidelines. Any application must be endorsed by the Principal, who will consider the grounds and decide whether College is in a position to support the appeal.
- 18.6 If a candidate disagrees with the College's decision not to support an appeal, they must submit their reasons in writing, within the notified timescale (depending on the qualification), and the decision will be reviewed.
- 18.7 If, for any reason, College wishes to obtain a candidate's script (copy or original), prior written permission must be obtained. Candidates have a right to refuse permission. If they agree to the script being accessed and used, they can request to have their name and candidate number removed.
- 18.8 The JCQ post-results review of moderation service is not available to individual candidates nor is it available on non-examination assessment or coursework marks which have been accepted without change. Only work included in the original sample will be reviewed. (This does not affect a learner's right of appeal **before** the

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marks have been submitted to the awarding organisation – see section E and Appendix 4 – the Internal Appeals Policy and Procedures for JCQ qualifications.)

## **19. Certificates**

- 19.1 In circumstances where awarding organisations allow certificates/records of achievements to be sent out by normal post, they will be mailed to the candidate's address, unless otherwise requested. It is therefore essential that the College is kept up to date of any change of address.
- 19.2 If candidates have not received their certificates within three months of completing the course, they should contact the Exams Office.
- 19.3 In circumstances where certificate(s)/records of achievement(s) have to be collected, candidates will be notified by post but they will be required to provide adequate identification to the College staff before the certificates are released. Any person collecting the documents on behalf of the candidate must have a note of authorisation together with their own form of personal identification.
- 19.4 The College only guarantees to retain uncollected certificates for 12 months. Learners should be aware that some awarding bodies do not offer a replacement certificate service and that others charge for this service.

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## **20. Retention of records**

20.1 The College will retain complete, accurate records for at least three years from completion of all qualifications (or longer if required by interested parties).

## **21. Liaison with awarding organisations**

21.1 Where applicable, the College will keep relevant awarding organisations informed of any resource changes affecting the qualifications that it is delivering. These include staffing changes, accommodation changes and the use of third parties and sub-contractors.

21.2 The College will comply with requests from relevant awarding organisations for access to appropriate information, data and documents.

21.3 The College will co-operate with awarding organisations, regulatory authorities and the JCQ Centre Inspection Service when subject to inspection, investigation or unannounced visits.

21.4 Members of staff will not forward emails and letters from awarding bodies or JCQ personnel without prior consent to third parties or upload such correspondence onto social media sites and applications.

## **22. Internal governance arrangements**

22.1 The College will have in place a written escalation process should the head of centre, or a member of the senior leadership team with oversight of examination administration, be absent. (See Exam Contingency plan)

22.2 The College will have in place a member of the senior leadership team who will provide support and guidance to the examinations officer and ensure the integrity and security of the examinations and assessments are maintained throughout an examination series.

22.3 The head of centre will ensure that the examinations officer is line managed and actively supported by a member of the senior leadership team, who has a good working knowledge of the examination system.

22.4 The College will ensure that relevant members of staff respond promptly to actions raised by JCQ Centre Inspection Services and understands a failure to do so, may result in not being able to access assessment material and/or withdrawal of centre approval.

22.5 The College will ensure that any incidents, which may compromise any aspect of assessment delivery, are promptly reported to the relevant awarding organisation. i.e. cyber attack.

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22.6 The Head of Centre and/or examinations officer can operate across more than one centre. The College will ensure that suitable support is in place so that obligations can be met across all centres within the group.

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## **C Learner Malpractice**

### **1. Introduction**

- 1.1 These Procedures apply to assessments and examinations, the results of which are taken into account in the certification of candidates by awarding/validating organisations.
- 1.2 These Procedures do not apply to assessments which are made by the College for its own purposes.
- 1.3 The College takes very seriously any instance of malpractice or attempted malpractice by learners and will investigate such circumstances thoroughly and take appropriate action.
- 1.4 It is recommended that any candidate who becomes involved in these procedures should seek advice from persons not directly involved e.g. College's Student Services.
- 1.5 The parents/guardians/wards of candidates who are under 18, and whose sons/daughters are involved in the Procedures, will be kept fully informed of developments. Parents/guardians/wards will be invited to attend any interviews or hearings which their sons/daughters are required to attend as part of the Procedures.

### **2. Malpractice in an assessment/examination**

- 2.1 Malpractice, with regard to assessment and examination, is defined as any form of behaviour by which a candidate(s) seeks to improperly influence the outcome of the assessment/examination.

#### **2.1.1 Plagiarism**

This is where a candidate deliberately includes in their own work a substantial unacknowledged portion of someone else's material. As well as words, it can apply to artwork, images, computer generated work, thoughts, inventions and discoveries. Examples include:

- a) the inclusion of several sentences or more from another person's work without the use of quotation marks and acknowledgement of the sources
- b) the summarising of another person's work by simply changing a few words or altering the order of presentation without acknowledgement
- c) the use of another person's ideas without acknowledgement
- d) copying the work of another student

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### 2.1.2 **Collusion**

This is where a student either:

- a) submits work done in collaboration with another person as entirely his/her own
- b) collaborates with another student to complete work which is submitted as the other student's work e.g. lending research or work to other candidates or allowing their work to be copied.

### 2.1.3 **Falsifying Data**

This is where a student either:

- a) presents data in reports and projects based on experimental work which the student claims to have carried out but which (s)he has invented or obtained by unfair means.
- b) makes alterations to results documents or certificates.

### 2.1.4 **Impersonation**

This is where a student arranges for someone else to take their place in an assessment/examination/test or where a student pretends to be someone else in order to produce the work for another.

### 2.1.5 **Non-compliance with instructions**

This involves the failure to abide by the instructions or advice of an assessor, a supervisor, an invigilator or awarding organisation conditions in relation to the assessment/examination/test rules, regulations and security.

### 2.1.6 **Misuse of assessment/examination material**

Examples include:

- a) acquiring an exam paper or information about an exam paper prior to the examination.
- b) removing examination material e.g. question paper, spare stationery from the exam room without the permission of the invigilator.

### 2.1.7 **Unauthorised material**

This is where a student has unauthorised material during a supervised assessment or examination, whether they intend to use it or not e.g. notes, calculator, dictionary, mobile phone, MP3/4 player, iPod, smart watch.

### 2.1.8 **Illegal communication**

This includes passing on or receiving information (e.g. orally, in the form of notes, or by gestures) during a supervised assessment or examination.

### 2.1.9 **Improper behaviour**

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This relates to any behaviour which could undermine the integrity of the assessment/examination or test.

### 2.1.10 **Cheating**

This includes any means, other than those listed above, of seeking to gain an unfair advantage.

## **3. Procedures relating to unfair advantage in an assessment/examination**

### **3.1 Procedures relating to those awarding/validating organisations whose regulations require that they be informed of Unfair Advantage.**

3.1.1 Where there are grounds for suspicion of Unfair Advantage the Principal or nominee will conduct an investigation in line with the requirements of the appropriate awarding organisation. This will include an interview with the candidate(s) involved and with any other relevant parties.

3.1.2 The Group will notify the awarding organisation immediately of any cases of suspected malpractice or irregularity.

3.1.1.1 In the instance of malpractice relating to AAT qualifications, the College will follow the awarding organisations guidance relating to malpractice and will ensure that all incidents of malpractice, proven or not proven, are reported to the awarding organisation within 48 hours.

3.1.1.2 In the instance of malpractice relating to Ascentis qualifications, the college will follow the awarding organisations guidance relating to malpractices, and make the awarding organisation aware at the earliest opportunity, following the suspicion of malpractice occurring.

3.1.2 The candidate(s) will be made aware of the allegations and the possible consequences and will have the opportunity to provide a written statement.

3.1.3 The Principal or nominee will produce a written report within 6 working days of the results of the investigation, which will be sent to the awarding organisation.

3.1.4 A copy of the report will be sent to the candidate(s), the Examination and Achievement Coordinator and to the relevant Head of Curriculum.

3.1.5 The Principal or nominee will inform the candidate(s), in writing, of the decision taken by the awarding organisation.

3.1.5.1 The Principal or nominee will facilitate communications between the awarding body and the individual concerned, in accordance with data protection laws, where the awarding body does not have assurance that the centre is communicating appropriately with the candidate.

3.1.6 For HE students on programmes leading to awards of a partner HEI, procedures for dealing with alleged cheating, plagiarism or seeking other

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forms of unfair advantage will be in conducted in accordance with University requirements.

- 3.1.7 Any candidates who remain dissatisfied with the decision made by an awarding organisation as a result of candidate malpractice must provide appropriate and reasonable grounds to the Principal, in line with awarding organisation guidelines. Any application must be endorsed by the Principal, who will consider the grounds and decide whether College is in a position to support the appeal.

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### **3.2 Procedures relating to those awarding/validating organisations whose regulations authorise the College to deal with Unfair Advantage.**

- 3.2.1 Where there are grounds for suspicion of Unfair Advantage the Principal or nominee will conduct an investigation. This will include an interview with the candidate(s) involved and with any other relevant parties.
- 3.2.2 The Principal or nominee will produce a written report within 6 working days of the results of the investigation.
- 3.2.3 The report will be submitted by the Principal or nominee to the Head of Curriculum concerned.
- 3.2.4 A copy of the report will be sent to the candidate(s).
- 3.2.5 The Head of Curriculum or Nominee concerned will do one of the following:
  - a) decide that no further action be taken
  - b) decide that the candidate(s) concerned be referred, which would require that the candidate(s) be given the opportunity to re-take the assessment.
  - c) decide to fail the candidate.
- 3.2.6 The candidate(s) will be informed of the decision by the Head of Curriculum in writing.
- 3.2.7 Candidates will have a right of appeal. Any appeal should be made in accordance with the College's procedures for Appeals. (See Section E, point 1)

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## **D Centre Malpractice**

### **1. Introduction**

- 1.1 These Procedures apply to assessments and examinations, the results of which are taken into account in the certification of candidates by awarding/validating bodies.
- 1.2 The College takes very seriously any instance of malpractice or attempted malpractice by College staff and will investigate such circumstances thoroughly and take appropriate action.

### **2. Malpractice relating to an assessment/examination**

- 2.1 Malpractice, with regard to assessment and examination, is defined as any form of behaviour by which a member of College staff either seeks to improperly influence the outcome of the assessment/examination or fails to comply with awarding organisation regulations and procedural instructions.

#### **2.1.1 Breach of security**

This involves acts which break the confidentiality of exams or candidates' scripts and includes such instances as:

- a) failing to keep assessment/examination/test papers secure prior to the assessment/examination/test.
- b) obtaining unauthorised access to assessment/examination/test material prior to an assessment/examination/test.
- c) tampering with or reading candidate scripts or controlled assessments or coursework after collection and before despatch to the awarding organisation/examiner/moderator.
- d) failing to supervise adequately candidates who have been affected by a timetable variation.
- e) failing to keep mark schemes secure.
- f) failing to keep student computer files which contain controlled assessments or coursework secure.

#### **2.1.2 Deception**

This involves acts of dishonesty and includes such instances as:

- a) inventing or changing marks for internally assessed components (e.g. coursework) where there is no actual evidence of the candidates' achievement to justify the marks awarded.
- b) fabricating assessment and/or internal verification records or authentication statements;

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c) fraudulent certificate claims e.g. claiming before the learner has completed all the requirements of assessment.

d) falsifying records/certificates e.g. by alteration or substitution.

### 2.1.3 **Improper assistance to candidates**

This involves any assistance being given to a candidate which results in a potential or actual advantage. Examples include:

a) College staff producing, editing, amending or substituting work for the learner e.g. adding or removing any material to or from coursework after it has been presented by a candidate for final assessment.

b) sharing or lending candidates' controlled assessments or coursework with other candidates in a way which allows malpractice to take place.

### 2.1.4 **Conflict of interest**

Some awarding bodies have regulations and restrictions relating to the assessment of learners and access to confidential/secure assessment material by a member of staff who has a potential interest in the result of the assessment e.g.

a) friend or family member taking a qualification

b) Wakefield College employee taking a qualification

Failure by staff in such a position to declare a known conflict of interest and ensure that appropriate alternative provision is made, if required, would constitute malpractice.

(See also Section B 3.6 – 3.8.)

### 2.1.5 **Maladministration**

This involves a failure to follow the regulations regarding the conduct of exams or assessments. Examples include:

a) failure to meet the requirements of centre approval.

b) failing to ensure that candidates' coursework or work to be completed under controlled conditions is adequately monitored and supervised.

c) failing to retain candidates' controlled assessments or coursework in secure conditions after the authentication statements have been signed or the work has been marked.

d) failure to train invigilators adequately, leading to non-compliance with the regulations of the awarding organisation.

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- e) failing to issue to candidates the appropriate notices and warnings.
- f) failure to inform the JCQ Centre Inspection Service of alternative sites for examinations;
- g) failure to ensure that the examination venue conforms to the requirements as stipulated by the awarding organisation.
- h) failure to invigilate examinations in accordance with the regulations issued by the awarding organisation.
- i) inappropriate members of staff assessing candidates for access arrangements.
- j) granting access arrangements to candidates who do not meet the eligibility requirements or where prior approval has not been obtained.
- k) failing to despatch candidate scripts/controlled assessments/coursework to the awarding bodies or examiners or moderators in a timely way.
- l) submitting incorrect marks or grades.
- m) failing to notify the appropriate awarding organisation of an instance of suspected malpractice in examinations or assessments as soon as possible after such an instance occurs or is discovered.

### **3. Procedures relating to Centre Malpractice**

- 3.1 Any instance of suspected centre malpractice may lead to disciplinary procedures being invoked against individual members of staff and could be regarded as gross misconduct.
- 3.2 Where there are grounds for suspicion of Unfair Advantage the Principal or nominee will conduct an investigation in line with the requirements of the appropriate awarding organisation and the College's Disciplinary Procedures. This will include an interview with the member(s) of staff involved and with any other relevant parties.
- 3.3 The member(s) of staff will be made aware of the allegations and the possible consequences and will have the opportunity to provide a written statement.
- 3.4 The Principal or nominee will produce a written report within 6 working days of the results of the investigation, which will be sent to the awarding organisation if required.
- 3.5 A copy of the report will be sent to the member(s) of staff and to their line manager.
- 3.6 The Principal or nominee will inform the member(s) of staff, in writing, of the decision taken by the awarding organisation.

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- 3.7 Should the member(s) of staff or College be dissatisfied with the decision made by an awarding organisation as a result of centre malpractice, they have a right to appeal, in accordance with the awarding organisation/JCQ/Ofqual guidelines, as appropriate.

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## **E Appeals Policy**

### **1. Appealing against an Assessment**

- 1.1 The Executive Director (Quality and Planning) is the senior member of staff responsible for the Appeals Procedure.
- 1.2 This procedure applies to those programmes leading to an award or qualification where an assessment of the candidate's performance is made by the College and the result of that assessment is taken into account in the determination of the candidate's final grade(s). It only applies where the regulations of the validating or awarding organisation concerned permit that candidates be informed of the results of College assessments and where there is either no external appeal mechanism at all or appeals can only be made in limited circumstances (e.g. if the marks have been changed by an external moderator). In addition, this procedure applies to all programmes of institutions of HE whose academic board has accepted Wakefield College's Appeals Procedure in lieu of their own.
- 1.3 The Internal Appeals Policy and Procedure (in relation to qualifications to which the JCQ General Regulations apply), which differs somewhat from the procedures listed below, is detailed in Appendix 4.
- 1.4 The appeals procedure offered by the awarding organisation BCS is detailed in Appendix 3.
- 1.5 Where a College assessment is an element in the award of a qualification by an external validating or awarding organisation then the body concerned will be kept fully informed of any appeal, where applicable. If necessary, representatives of the body may be involved in any stage of the Appeals Procedure.
- 1.6 It is strongly recommended that any candidate who becomes involved in the Appeals Procedure should seek advice from persons not directly involved in the subject matter of the appeal (e.g. College's Student Services).
- 1.7 The parents/guardians of candidates who are under 18 at the time of an appeal and whose sons/daughters are involved in the Procedure for Appealing against an Assessment, will be kept fully informed of developments. Candidates are entitled to be supported by parents/guardians or a friend at any interviews or hearings appeal which they attend as part of the Procedure for Appealing against an Assessment.
- 1.8 All candidates will be made aware of the appeals procedure during induction.
- 1.9 A written record of all appeals will be maintained by the College for a minimum of three years and will include the outcome of the appeal and the reasons for the outcome. A copy will be given to the candidate involved.
- 1.10 All appeals will include a review of the procedures used by the centre to award marks for internal assessments and will consider whether those procedures were in

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conformity with the published requirements of the awarding organisation and the Code of Practice.

## 1.11 Procedure

- 1.11.1 Where a candidate disagrees with the assessment given, (s)he must discuss this with the assessor concerned as soon as possible. In all circumstances this should be done within **one week** of receiving the assessment decision.

## 1.12 Stage One: Assessor and Candidate

- 1.12.1 The candidate should complete the first section of the Candidate Appeal Form (see Appendix 5).

- 1.12.2 The assessor will consider the candidate's appeal and provide a response through:

- a) clear explanation/reiteration (as appropriate) of the assessment decision following re-evaluation of the evidence.
- b) amendment of the candidate's assessment record, if appropriate.

The assessor should record the action they have taken and the decision they have reached on the Candidate Appeal Form.

- 1.12.3 Feedback will be given to candidates within one week of receiving the appeal. The candidate will be entitled to have access to:

- a) any correspondence between the centre and the awarding organisation relating to their internally assessed work.
- b) information, if available at the time of the appeal, as to whether their work was sampled by the awarding organisation.
- c) the moderated mark given to the work by the awarding organisation, if known.
- d) relevant awarding organisation procedures for the conduct of internal assessments.

- 1.12.4 If the candidate agrees with the decision provided then they should tick the box on the Candidate Appeal Form to indicate that they accept the assessor's decision and the appeal need not proceed further.

- 1.12.5 Where the candidate is unhappy with the decision reached, they should tick the box on the Candidate Appeal Form to indicate that they reject the assessor's decision and wish to proceed to Stage 2.

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## 1.13 Stage Two - Internal Verifier

1.13.1 The assessor concerned must forward:

- a) the original assessment record and candidate evidence, where appropriate
- b) the Candidate Appeal Form

to the nominated Internal Verifier within 24 hours of the appeal being completed.

1.13.2 The Internal Verifier must reconsider the assessment decision and this will normally involve an evaluation of:

- a) the candidate's evidence and associated records
- b) the assessor's rationale for the decision
- c) the opinion of the candidate

1.13.3 In doing so, the Internal Verifier must complete the relevant section of the Candidate Appeal Form and provide the candidate with the reconsidered decision within 6 working days of receiving the appeal.

1.13.4 Where the candidate remains unhappy with the reconsidered assessment decision, the appeal must proceed to Stage 3.

## 1.14 Stage Three - Internal Verifiers' Panel

1.14.1 A panel of three Internal Verifiers from other programme areas will be established, who must evaluate the candidate appeal.

1.14.2 Copies of the candidate's work and the assessor's decision should be presented to each verifier.

1.14.3 The identity of both the candidate and the assessor must be removed from any documents presented.

1.14.4 A decision will be returned to the Internal Verifier who has presented the appeal within three weeks.

1.14.5 The Internal Verifier will then inform the candidate and assessor of the majority decision which is **final**.

1.14.6 The Candidate Appeal Form should then be held with programme documentation. The result of the appeal will be sent to the appropriate Head of Curriculum.

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## **2. Appealing against an exam mark**

- 2.1 Candidates have a right of appeal against an exam mark. Any appeal should be made in accordance with both the College's procedures (see Section B, part 17) and the regulations of the appropriate awarding organisation.

## **3. Appealing against a malpractice decision**

- 3.1 A request to appeal against a malpractice decision made by an awarding organisation should be made in accordance with the College's procedures (see Section C, part 3) and the regulations of the appropriate awarding organisation.

## **4. Appealing against an Access Arrangement application decision**

- 4.1 A request to appeal against an Access Arrangement decision made by the centre itself, should be made in accordance with the College's procedures (see Section B, part 9 and Appendix 4) and the regulations of JCQ and the appropriate awarding organisation.

## **5. Appealing against the outcome of a Special Consideration application**

- 5.1 A request to appeal against an Access Arrangement decision made by the centre itself, should be made in accordance with the College's procedures (see Section B, part 15.8 and Appendix 4) and the regulations of JCQ and the appropriate awarding organisation.

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## **Appendix 1**

### **Procedures for verifying the identity of candidates before examinations or assessments**

*It is mandatory for all learners at College to wear a College ID badge and learners are unable to access most areas on campus unless they scan their badge.*

Candidates must wear their ID badge to all examinations and assessments, ensuring that the photograph is clearly visible.

Candidates must comply with invigilator requests to view the details of the badge, including placing the badge face up on the desk, if asked to do so.

Candidates who have forgotten their badge will be subject to identity checks by the invigilator/Exams staff, unless a member of staff is able to vouch for them.

If it is impossible to identify a candidate due to the wearing of religious clothing, such as a veil, the candidate will be approached by a member of staff of the same gender and taken to a private room where they will be asked to remove the religious clothing for identification purposes.

Private/external or transferred candidates, who are not known to College staff, will be asked to bring photographic identity evidence to prove that they are the same person who was registered/entered for the examination or assessment e.g. passport or photographic driving licence.

Verification of the identity of candidates will ideally be undertaken before the exam starts but may be carried out during the exam.

Under no circumstances should candidates leave the exam room before their identity has been verified.

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## Appendix 2

### Emergency Evacuation Procedures (Exams)

**(See also the College Emergency Evacuation Procedures and separate Lockdown Procedures)**

#### **Standard evacuation (e.g. fire)**

The awarding bodies require invigilators to inform candidates of the evacuation procedures in case of emergencies. Most candidates will have been involved in a fire drill but there may be candidates who are not familiar with the procedures e.g. they are normally based at another campus. You must, therefore, read out the evacuation script (see attached) before the exam starts, as well as all the other, usual announcements.

Evacuation instructions and assembly points are displayed near to the entrance of all College rooms.

Fire drills will not normally be held when exams are running, so if you hear a continuous bell or siren, assume it is the real thing.

Remember that the security of both you and the candidates is paramount.

Tell candidates to stop what they are doing.

Remind candidates that they remain under exam conditions and should stay silent.

If there is a small number of candidates, consider the possibility of taking their exam papers with you, but only if it is safe and quick to do so. Otherwise, remind candidates to leave their papers (closing the exam paper if possible) and belongings in the room. If candidates are taking an IT test, they should switch off their machines using the on/off button on the computer.

Pick up the attendance register.

Escort the candidates to the nearest exit, take the register once you are there and ensure they remain closely supervised. If possible, exam staff will try and accompany you but do not wait for them.

Do not use the lift.

Do not return to the building once you have left, unless and until you have been instructed that it is safe to do so.

Make a note of the time of the interruption and how long it lasted.

Note any incidences of malpractice e.g. communication.

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If it is deemed safe to return to the room, add on the time lost during the evacuation and inform candidates that a full report will be sent to the awarding body and special consideration will be requested.

If the College lockdown alarm should sound during an exam, please follow the instructions given.

Report the incident in full to the Exams Office once the exam is finished. Following the incident, the College will contact the relevant awarding body as soon as possible to seek advice, particularly where the security of the exam may have been compromised and/or candidates have been unable to finish the exam.

For full evacuation and lockdown procedures, please see the College [Emergency Evacuation Procedures](#) and the College [Lockdown Procedures](#)

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## EMERGENCY EXAM EVACUATION SCRIPTS

### City Centre Campus

We have not been advised of any planned fire alarms today, so if the alarm rings, we will have to evacuate the building.

On my instruction, please leave your papers on your desk/switch off your PC, walk in an orderly fashion to the nearest available fire exit and follow me to the congregation point in Margaret Street, where a register will be taken. Do not try to collect your belongings.

**You will still be under exam conditions**, so you must not talk or communicate with anyone, nor are you allowed to use mobile phones or any other electronic devices. If you are seen to do so, you may be disqualified from the exam.

If it is deemed safe to return to the building, you will be given further instructions regarding the continuation of the exam.

### Castleford SkillsXchange Campus

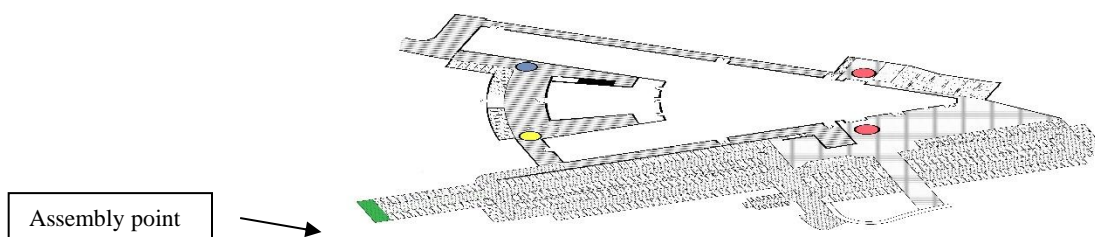
We have not been advised of any planned fire alarms today, so if the alarm rings, we will have to evacuate the building.

On my instruction, please leave your papers on your desk/switch off your PC, walk in an orderly fashion to the nearest available fire exit and follow me to the congregation point at the lower end of the car park, at the back of the building, where a register will be taken.

Do not try to collect your belongings.

**You will still be under exam conditions**, so you must not talk or communicate with anyone, nor are you allowed to use mobile phones or any other electronic devices. If you are seen to do so, you may be disqualified from the exam.

If it is deemed safe to return to the building, you will be given further instructions regarding the continuation of the exam.



### Selby Campus

We have not been advised of any planned fire alarms today, so if the alarm rings, we will have to evacuate the building.

On my instruction, please leave your papers on your desk/switch off your PC, walk in an orderly fashion to the nearest available fire exit and follow me to the congregation point at the central grass point, near Car Park A, where a register will be taken. Do not try to collect your belongings.

**You will still be under exam conditions**, so you must not talk or communicate with anyone, nor are you allowed to use mobile phones or any other electronic devices. If you are seen to do so, you may be disqualified from the exam.

If it is deemed safe to return to the building, you will be given further instructions regarding the continuation of the exam.

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### Appendix 3 Post Results Services/Learner Appeals (BCS qualifications)

- Should learners wish to appeal against an assessment decision made by BCS, the application must be made within 20 working days of the assessment.
- In all instances, the learner must provide written permission for the application, accepting that their grades/results may go up, stay the same or go down.
- Learners must initially follow the internal appeals process, as detailed in Section E of the Exams Policy and Procedures. If all stages of the Appeals Procedure have been followed and the learner is still dissatisfied with the outcome, they should appeal directly to BCS, providing evidence that an appeal has already been made to College.
- Appeals should be sent to [qualifications@bcs.uk](mailto:qualifications@bcs.uk) and should include the following information:
  - the learner's name and BCS registration number
  - the date(s) that the learner received notification of a BCS result
  - the title and number of the BCS qualification affected or nature of service affected (if appropriate)
  - the full nature of the appeal
  - the contents and outcome of any communications relating to the investigation carried out the Centre
- An appeal to BCS will incur a fee but a full refund will be made if the appeal is upheld.
- BCS will acknowledge the appeal within two working days and provide an outcome within 20 working days.
- There are two possible outcomes from BCS:
  - The result is upgraded from a fail to a pass
  - The appeal is rejected and the learner is notified of the reason(s).
- If, following a BCS review, the learner remains dissatisfied with the outcome, the learner should notify BCS within 15 working days of its decision. A final review will then be carried out by someone independent of BCS.
- The independent review may involve:
  - a discussion with the learner
  - a discussion with relevant BCS staff
  - a request for further information from the learner, the Centre or BCS personnel
  - a Centre visit by authorised BCS personnel
- An independent review will incur a fee but a full refund will be made if the appeal is upheld.
- BCS will acknowledge the appeal within two working days and provide an outcome within 20 working days.
- If, following the independent review, the learner is still unhappy with the outcome, the learner has a right to raise the matter with the regulator, Ofqual.

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## **Appendix 4**

### **Internal Appeals Policy and Procedure**

**(in relation to qualifications to which the JCQ General Regulations apply)**

#### **1. Purpose of the policy**

1.1 In its “General Regulations for Approved Centres”, the Joint Council for Qualifications<sup>CIC</sup> (JCQ<sup>CIC</sup>) places a statutory requirement upon College to have a written Internal Appeals policy setting out how the centre:

- manages internal assessment decisions

*“a written internal appeals procedure relating to internal assessment decisions and to ensure that details of this procedure are communicated, made widely available and accessible to all candidates” and that the centre “must inform candidates of their centre assessed marks [as] a candidate is allowed to request a review of the centre’s marking before marks are submitted to the awarding body.”*

- deals with requests for post-results services and appeals

*“have in place written procedures for how it will deal with candidates’ requests for access to scripts, clerical checks, reviews of marking, reviews of moderation and appeals to the awarding bodies. Details of these procedures must be made widely available and accessible to all candidates. Candidates must be made aware of the arrangements for post-results services before they sit any examinations and the accessibility of senior members of centre staff immediately after the publication of results;*

1.2 This document is provided as a JCQ-specific supplement to other College policies, in particular the Exams Policy and Procedures, the Non-Examination Assessment Policy and Procedures and the Internal Verification Policy.

#### **2. Appeals against internal assessment decisions (centre assessed marks)**

2.1 This Policy relates to components of GCSE and GCE (GCE coursework, GCE and GCSE non-examination assessments) and other qualifications that contribute to the final grade of the qualification and which are internally assessed (marked) by the centre before being submitted to the awarding organisation, before set deadlines, for external moderation.

2.1.1 The deadline for the submission of GCSE and GCE assessment marks is 15<sup>th</sup> May.

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- 2.2 The College is committed to ensuring that candidates' work is marked fairly, consistently and in accordance with the awarding organisations' specifications and subject-specific associated documents, as well as with JCQ<sup>CIC</sup> regulations. Internal moderation/verification and standardisation will ensure consistency of marking.
- 2.3 The College will inform candidates of their marks in sufficient time before the marks have to be submitted to the awarding organisation in order to allow for candidates to request an internal review of their marks and for this to be carried out.
- 2.4 If, on being informed of their centre assessed marks, a candidate believes that the procedures set out in 2.2 were not followed in relation to the marking of their work, or that the assessor has not properly applied the mark scheme, they may request a review of the centre's marking.
- 2.4.1 The timescale for this will be determined by each department but it is recommended that requests should be made within one week of receiving the assessment decision.
- 2.4.2 Late requests will not be considered, unless there are valid mitigating circumstances and the timescale for the submission of marks allows this.
- 2.4.3 Requests should be made using the Candidate Appeal Form (Appendix 5 of the Exams Policy and Procedures) or a similar form issued by the relevant department.
- 2.5 To assist candidates in considering whether to request a review of the marking, they may request copies of materials (for example, a copy of their marked work, the relevant specification, the mark scheme and any other associated subject-specific documents).
- 2.6 Any review of marks will be carried out by an assessor who has appropriate competence, has had no previous involvement in the assessment of that candidate and has no personal interest in the review.
- 2.7 Feedback will be given to candidates in writing within one week of receiving the appeal.
- 2.8 Candidates should understand that the moderation process carried out by the awarding bodies may result in a mark change, either upwards or downwards, even after an internal review. The internal review process is in place to ensure consistency of marking within the centre, whereas moderation by the awarding organisation ensures that centre marking is in line with national standards. The mark submitted to the awarding organisation is subject to change and should therefore be considered provisional.

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### 3. Post-Results Services and Appeals

- 3.1 Following the issue of results, awarding bodies make post-results services available. Subject tutors should make candidates aware of these services before they sit any examinations and the Exams Office will provide further details, including information about deadlines and fees, when the results are issued.
- 3.2 Candidates wishing to request a post-result service must apply in writing using a form obtained from the Exams Office (or obtained via their tutor). The appropriate fees must be paid at the Finance Department or on Reception and the form must then be returned to the Exams Office, together with the receipt showing payment. If the form is not returned to the Exams Office before the stipulated deadline, it may not be possible to process the request and the fees will be refunded.
- 3.3 If candidates are considering a review of marks and their exam is comprised of more than one paper, it is advisable to have only one paper reviewed initially, if time allows this. This is because:
- the fees are per paper
  - the marks can go up, down or stay the same and the new mark/grade must be accepted.
- If the outcome of the first review does not lead to an improved grade, or if the outcome has not been received by the deadline for requesting the service, the candidate can then decide whether to pay to have (an)other paper(s) reviewed as well.
- 3.4 Exams staff are unable to advise which paper to have reviewed and it is recommended that this decision is made in consultation with the subject tutor.
- 3.5 The standard procedure is for candidates themselves to pay for post-results services but, in some exceptional circumstances, College may offer to pay for these. Candidates will, however, still have to give prior written consent before these requests are submitted to the awarding organisations.
- 3.6 The JCQ post-results review of moderation service is not available to individual candidates nor is it available on non-examination assessment or coursework marks which have been accepted without change.
- 3.7 If, following the outcome of a review of marks, the candidate remains dissatisfied, they may be able to appeal against the decision.

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- 3.7.1 A request for an appeal must be submitted in writing to the Examinations and Achievements Coordinator within 15 calendar days of receiving the outcome and should provide appropriate and reasonable grounds made in line with the JCQ<sup>CIC</sup> publications “*Post-Results Services*” and “*JCQ Appeals Booklet (A guide to the awarding bodies’ appeals processes)*”.
- 3.7.2 The Principal or nominee will be consulted to determine whether College is in a position to support a preliminary appeal.
- 3.7.3 If a candidate disagrees with the College’s decision not to support an appeal, they must submit their reasons in writing within 10 calendar days and the decision will be reviewed.
- 3.7.4 Awarding organisation fees, which may be charged for the preliminary appeal, must be paid to College by the appellant before the preliminary appeal is submitted to the awarding organisation (fees are available from the Exams Office). If the appeal is upheld by the awarding organisation, this fee will be refunded by the awarding organisation and repaid to the appellant by the centre.

## 4. Access Arrangement and Appeals

- 4.1.1 Access Arrangement decisions are made following the JCQ Access Arrangements and Reasonable Adjustments and Special Considerations regulations and guidelines.
- 4.1.2 If a candidate disagrees with the College’s decision relating to access arrangements, the candidate must submit a written appeal to the centre within 10 calendar days of them being made aware of the outcome, and the decision will be reviewed.

## 5. Special Consideration

- 5.1.1 Special Consideration decisions are made following the JCQ Access Arrangements and Reasonable Adjustments, and Special Considerations regulations and guidelines.
- 5.1.2 If a candidate disagrees with the College’s decision relating to access arrangements, the candidate must submit a written appeal to the centre within 10 calendar days of them being made aware of the outcome, and the decision will be reviewed.

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## 6. Appendix 5

### Candidate Appeal Form – Internal Assessment Decision

Student Name:	Student ID Number:
Qualification and Level	Awarding organisation
Assessor Name:	IV Name:

Reason for Appeal (Student to complete)

Signature:

Date:

Action taken by Assessor and details of decision reached.

Assessor signature:

Date:

Student to indicate acceptance or rejection of Assessor decision:

I accept the Assessor's decision

I reject the Assessor's decision and wish to appeal to the Internal Verifier

Signature:

Date:

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Action taken by Internal Verifier and details of decision reached.

Internal Verifier signature:

Date:

Student to indicate acceptance or rejection of Internal Verifier's decision:

I accept the IV's decision

I reject the IV's decision and wish to appeal to the Internal Verifier Panel

Signature:

Date:

Action taken by Internal Verifier Panel and details of decision reached.

Lead Internal Verifier signature:

Date:

Student to indicate acceptance or rejection of Internal Verifier's Panel decision:

I accept the IV Panels decision

I still disagree with the assessment decision and although I understand that the decision of the IV Panel is final, I wish my disagreement to remain on record.

Signature:

Date:

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