Assessment and Examinations Policy

POLICY STATEMENT:

The purpose of this policy is to:

- Establish the EKC Group's commitment to fair assessment of students' work and to set out the guiding principles for the delivery of quality assessment processes (section 1 of this document).
- Ensure the planning, management and delivery of examinations is conducted efficiently and in the best interest of candidates (section 2 of this document).
- Define reasonable adjustment and special consideration in relation to assessment and examinations procedures (section 6 of this document).
- Outline the College's/Business Unit's approach to malpractice in examinations and assessments (section 7 of this document).

This policy is complemented by a suite of associated documentation as follows:

- Access arrangements for examinations procedure.
- Exam Exemptions Procedure.
- Internal Quality Assurance Procedure
- Word Processing in examinations
- Emergency evacuation of an examination room procedure.
- Examination contingency procedure.
- Internal appeals procedure.

It is the responsibility of everyone involved in the College's/Business Unit's assessment and examinations processes to read and adhere to this policy and to work in accordance with the associated procedures.

The EKC Group will not alter this policy in response to individual awarding body requirements.

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1. Assessment Processes and Procedures

The aim of assessment is to:

- Ensure students are aware of their individual progress and that they develop their knowledge, skills and understanding in relation to the course that they are undertaking.
- Provide evaluative assessment and feedback to students.
- Inform staff of their own effectiveness in teaching and learning.
- Provide a mechanism for monitoring the quality of qualification/course provision.
- To meet the requirements of the awarding organisations

In order to achieve these aims, the following principles for assessment will be applied:

- Students must be recruited in line with the entry criteria.
- Evidence requirements for assessment outcomes should be offered in such a way that all students have an equal opportunity to achieve.
- Assessment of students' work is based on either awarding body and/or College/Business Unit assessment criteria.
- All provision must have a planned assessment schedule which includes timing, number and form of assessments and deadline dates.
- All students will have access to an assessment schedule and will be encouraged to manage their own progress in collaboration with their tutors through one-to-one tutorials and personal learning plans.
- Feedback must be given at a level and depth that ensures assessment is an integral and critical part of the student's learning experience and aids progression.
- Internal verification must be undertaken on all assessments according to awarding body requirements.
- Assessment outcomes will not be disclosed to any unauthorised individuals.
- Assessment monitoring should form part of the qualification/course quality improvement cycle.
- Dates for final grade submissions for the relevant Awarding Organsations must be published within each programme handbook.
- Where necessary, reasonable adjustment or special considerations will be applied for students who need them (see section 3). Any reasonable adjustments must be agreed and documented in accordance with the relevant awarding body's criteria prior to the

assessment taking place. Awarding bodies have different criteria, and it is therefore advisable to check the relevant awarding body's requirements.

- It is expected that annually all Colleges must ensure students have a briefing session to reinforce key examination and assessment expectations. This should be led by a senior member of staff (e.g. an SLT member or Head of Department) and can include support from an exams officer. This will be completed as part of the Principals Welcome presentations to students at the start of the academic year or Induction for Apprentices and Adults on short courses. **Purpose of these briefings:**
- Ensure candidates understand what the regulations mean in practice
- Highlight what they *must and must not do* before, during and after exams
- Clarify procedures such as arrival times, equipment, regulations, and malpractice consequences. (Including the misuse of AI tools).
- Cover responsibilities like checking timetables, reading exam instructions, mobile phone rules, etc.

Students will also complete an Assessment and Examinations Responsibilities module of on-line learning.

2. Examination Processes and Procedures

2.1 Examination responsibilities

Overall responsibility for the Group and the respective Examination Centre(s)

- **College Principal/ Managing Director** take on the role as Head of Centre, and has overall responsibility for the College/Business Unit as the Examination Centre(s)
- Head of Centre is responsible for reporting all suspicions or actual incidents of academic malpractice. Refer to the Joint Council for Qualifications (JCQ) document *Suspected malpractice in examination and assessments*.
- Escalation of instances where breaches of exam and assessment policy have been identified should be to the Business Unit College Services Manager or Assistant/Deputy Principals/Director or Principal/Managing Director. In the absence of all of those listed, the next point of contact would be the Director of Education Improvement for guidance.
- The BU Senior Leader must inform the Director of Education improvement of any alleged malpractice/maladministration immediately.

Assistant/Deputy Principals/ Assistant Directors/Examinations Officer

- Manage the administration of public and internal examinations and analysis of examination results
- Advise the Senior Leadership Team, teaching staff and other relevant support staff on annual examination timetables.

- Oversee the production and distribution of an annual calendar for all examinations in which candidates will be involved and communicates regularly with staff concerning imminent deadlines and events.
- Consult with teaching staff to ensure that necessary coursework is completed on time and in accordance with JCQ guidelines.
- Audit the certificates received from the awarding bodies to ensure accuracy and completeness.
- Receive, check and store securely all examination papers and completed scripts
- Administers access arrangements and makes applications for special consideration using the JCQ document *Access arrangements and special considerations regulations and guidance relating to candidates who are eligible for adjustments in examinations*
- Identifies and manages examination timetable clashes.
- Communicate the awarding body key dates to all staff and Heads of Department/Programme Directors
- Organises the recruitment, training and monitoring of a team of examination Invigilators responsible for the conduct of examinations.
- Submits candidates' coursework marks, tracks despatch and stores returned coursework and any other material required by the appropriate awarding bodies correctly and on schedule.
- Arranges for dissemination of examination results and certificates to candidates and manages any appeals/re-mark requests.
- Maintains systems and processes to support the timely entry of candidates for their examinations and validation of the accuracy of the registrations with the Awarding Body.

These duties may be delegated to the College Support Services Team Leaders.

Head of Department/Programme Directors/Heads of Department/Lecturers/Tutors

- Undertake Exam Access Arrangements workshop to be informed of the lecturer responsibility and procedure to be followed to ensure that students are referred to the Inclusive Learning department to be assessed for exam access arrangements.
- Accurate completion of coursework mark sheets and declaration sheets.
- Accurate completion of entry sheets and adherence to deadlines.
- Changes of course/entry/levels by advising the College Service Team.
- Additions or removals from candidate lists.
- Ensuring that all coursework is marked and/or despatched at the correct time.
- Advises and request appeals and re-marks for their respective Department

Inclusive Learning Support/ Specialist Tutor for Dyslexia:

- Identification by department and testing of candidates' requirements for access arrangements following the Exam Access Arrangements Procedure and electronic completion of standardised evidence for JCQ.
- Provide documentary evidence electronically to the Examination team of identified need for access arrangements for individual candidates.

In any cases where students wish to opt out of having access arrangements, they must confirm this in writing (a parent/carer in the cases of 14-16years).

Provision of additional support (Provided by Specialist Tutor for Dyslexia and/or Learning and Skills Coaches/ Achievement Tutors — with spelling, reading, mathematics, dyslexia or essential skills, hearing impairment, English for speakers of other languages, IT equipment — to help candidates achieve their course aims.

Invigilators

- Room set up
- Collection of examination papers and other material from the examinations office before the start of the examination.
- Run the examinations according to the JCQ guidelines or the respective awarding organisations guidelines.
- Collection of all examination papers in the correct order at the end of the examination and their return to the examinations office.

Qualification Offer

- The qualifications offered at this centre are determined by the Curriculum Group.
- The subjects offered for qualifications in any academic year may be found in the centre's Website for that year. If there has been a change of qualification, the examinations office must be informed.

2.2 Examination sessions, timetables and clashes

Examination sessions

- Internal formative examinations, if any, are scheduled by the appropriate Curriculum Area as required.

- External and Internal examinations are scheduled as required according to the schedules advised by each awarding body.

Timetables

- The College Support Services Team will circulate a timetable of all external examination at dates specified in the published schedule. The College Support Services Team will add room details and will allocate Invigilators.

2.3 Registrations

Registrations - Vocational

Following receipt of the exam registration form, the College Support Services Team will distribute a list of candidates enrolled on the vocational programme to the appropriate Head of Department/Programme Director.

The Head of Department/Programme Director will confirm the candidate list including confirmation of the qualification.

If appropriate any unit information that is needed for the registration will be confirmed at this stage by the Head of Department/Programme Director.

All actions should be completed by the appropriate deadline depending on the awarding body, using the appropriate programme/cohort code in relation to the Awarding Body

The Head of Department/Programme Director is expected to check the registrations via the awarding body on-line portal and to advise the College Support Services Team if any updates/changes are required.

If appropriate the Head of Department/Programme Director will inform the candidates of their registration status.

2.4 Entries, entry details, late entries and retakes

Entries

Candidates are selected for their examination entries by the Head of Department/Programme Directors or Subject Tutors submit entries to exams team/college services using the exam entry form.

A candidate cannot request a subject entry, change of level or withdrawal without the permission of the vocational staff (within deadline or Head of Department/Programme Director beyond deadline). This change or transfer will then be actioned through the Awarding Body website and the learner and Head of Department informed.

The centre does not accept entries from external candidates.

Existing learners can undertake GCSE re-sits following advice and guidance from the appropriate department and where re-sits are available.

Previous learners of the EKC Group who have failed external elements with the group can return the following year to re-sit at the discretion of the Principals/Managing Director.

The College/Business Unit can act as an examination centre for other organisations subject to receiving prior approval from the awarding organisation.

Entry details

All individual candidate statements of entry or individual timetables will be given to the Head of Department/Programme Director and Student Progression Mentor for distribution.

The College Support Services Team will accept withdrawals (using the appropriate withdrawal forms) and amendments up to the date set by the awarding body. Withdrawals must be actioned on the awarding body and in line with their respective deadline.

Late entries

Late entries are authorised by the College Principal.

The deadlines for late entries are circulated via email, and the Examinations Officer will accept entry amendments and withdrawals up to the dates set by the awarding bodies.

Certification and Claims

The Examination Officer and College Services Team must validate, and process claims and certification in line with awarding body guidelines

The College Services Team will carry out an audit of certificates received ensuring the programme and grade is accurate and reflects the claim made through the awarding body. Anomalies to certification and assessment must be communicated to the awarding body in a timely manner and a record kept reflecting the changes.

2.5 Examination fees

Normal registration and examination fees are paid by the candidates when they or an employer has paid tuition fees, including re-take fees.

Students are not required to pay re-take fees for English and maths qualifications.

2.6 Examination arrangements for candidates with disabilities

Access arrangements

Candidates who may require access arrangements are identified during the admissions process. Others could be identified after enrolment.

The Inclusive Learning Department/ Specialist Tutors for Dyslexia will inform Head of Department/Programme Directors of candidates with special educational needs, students who are embarking on a course leading to an examination and the date of that examination. Through the Normal Ways of Working application process the Inclusive Learning Department will be informed of individual staff and any special arrangements that individual candidates may be granted during the course and in the examination.

Making these special arrangements is the responsibility of the College Services Team once the correctly completed electronic paperwork from the Additional Learning Support Team has been received within the appropriate time frame.

Submitting completed access arrangement applications to the awarding bodies is the responsibility of the College Support Services Team. The procedure entitled 'Access arrangements for examinations' gives further details about access arrangements.

2.7 Invigilators and Examination Days

Managing Invigilators

Invigilators will be used for all examinations.

The recruitment of invigilators is the responsibility of the Head of College Services and Support/ College Services Manager

Training for invigilators is provided by the College Services Team Leaders annually to advise on the JCQ guidelines.

Securing the necessary Disclosure and Barring Service (DBS) clearance for new Invigilators is the responsibility of People Services. The first DBS certificate if paid for by the EKC Group, however individuals are required use the update service for subsequent DBS'/ . Invigilators are timetabled and briefed by the College Support Services Team Leaders.

Invigilators 'rates of pay are harmonised across the EKC Group, and all invigilators are workers and not employees.

Examination days

The College Services Team will book all examination rooms.

The College Services Team provides an examination pack comprising of; the question papers, other examination stationery and materials available for the invigilator.

The Estates and IT Teams are responsible for ensuring the set-up of the allocated rooms at their respective Colleges. The College Services Team will give sufficient notice of any special requirements for rooms.

In cases where the examination hosts 70 or more learners, the exam must be started by an EKC Group leader (Middle or Senior). An invigilator will then proceed with the remaining duties throughout the exam.

The invigilator will start all examinations in accordance with JCQ guidelines.

Subject staff may be present prior to the start of the examination to assist with identification of candidates but must not advise on which questions are to be attempted. They must leave when instructed to by the invigilator.

In practical examinations subject staff may be on hand in case of any technical difficulties.

Examination papers must not be read by subject staff or removed from the examination room before the end of a session. Papers will be distributed to Head of Department/Programme Director at the end of the examination session.

2.8 Candidates, clash candidates and special consideration

Candidates

The following points must be adhered to by candidate during exam condition in line with JCQ rules and regulations:

JCQ rules on candidates' use of mobile phones and all electronic devices apply at all times.

Candidates' personal belongings remain their own responsibility and the centre accepts no liability for their loss or damage.

Disruptive candidates are dealt with in accordance with JCQ guidelines.

For examinations longer than one hour, candidates will not be allowed to leave the examination room until at least one hour after the published starting time and not within the last half hour of the examination. They will not be allowed to return. There is an expectation that students should remain in the examination room for the entire exam time for both Functional Skills and GCSE examinations. This may vary between awarding bodies.

Vocational staff may deal with any candidate not present at the start of an examination through their own local procedures.

Identifying candidates:
JCQ guidance states 'Where it is impossible to identify a candidate due to the wearing of religious clothing, such as a veil, the candidate should be approached by a member of staff of the same gender, then taken to a private room and politely asked to remove the religious clothing for identification purposes. Centres must inform candidates in advance of this procedure and well before their first examination.' Following confirmation of identity, the candidate should replace their religious clothing and continue with the assessment/examination as scheduled.

Clash candidates

The supervision of escorts, identifying a secure venue and arranging overnight supervision is the responsibility of the College Services Team Leader/Examinations Officer.

Special consideration

Should a candidate be unable to sit an examination due to exceptional circumstances, it is the candidate's responsibility to alert the centre to that effect.

The candidate must support any special consideration claim with appropriate evidence within five days of the examination.

Should the candidate fall ill during the exam the invigilator will complete a report for consideration by the College Services Team Leader/Examinations Officer.

The College Services Team Leader/Manager will then forward a completed special consideration form to the relevant awarding body within the deadline set out by JCQ/awarding body. See section 6 for further guidance on special consideration.

3. Coursework and appeals against internal assessments

Coursework

Candidates who have to prepare coursework should do so by the required date.

The College Services Team will collate the sampled coursework and marks and send this to the appropriate awarding body representative as required.

A record of this will be kept and the samples submitted/ uploaded. The sharing of assessment materials with awarding bodies will only be via secure means, which includes digital sending being via the awarding body portal or OneDrive.

The College Services Team Leader/Examinations Officer will ensure that certificate claims are timely and based solely on internally verified assessment records – Tutors are responsible for submitting claims online and in line with the relevant awarding body timelines.

Appeals against internal assessments:
Candidates may appeal if they feel their coursework has been assessed unfairly, inconsistently or not in accordance with the specification for the qualification.

Appeals must be made in writing to the Assistant/Deputy Principal/Assistant Director/Examinations Officer who will decide whether the process used conformed to the necessary requirements.

The College Principal/Managing Director will be notified in writing, copied to the Chief Education Officer and recorded for awarding body inspection. The 'internal appeals' procedure gives further details about the process.

4. Results, enquiries about results (EARs) and access to scripts (ATS)

Results

All individual candidates will be informed by their business unit as to how they will receive their results. For GCSE results those that are not collected in person on the results release day by 2.30pm will have their results posted to home address the same day the results are released.

Enquiries about results EARs

EARs for general qualifications may be requested by subject staff or candidates if there are reasonable grounds for believing there has been an error in marking.

When the College/Business Unit does not uphold an EAR, a candidate may apply to have an enquiry carried out. If a candidate requires this against the advice of subject staff, they will be charged.

Access to scripts ATS

After the release of results, candidates may ask subject staff to request the return of papers within the awarding bodies deadlines for scrutiny of the results. If a result is queried, the Deputy/Assistant Principal in conjunction with subject staff will investigate the feasibility of asking for a re-mark at the College's/Business Unit's expense.

5. **Centre staff may also request scripts for investigation or for teaching purposes, but any charges incurred will be payable by the department. For the latter, the consent of candidates must be obtained.**

Certificates

Certificates are posted by recorded delivery to those candidates with a post code that is not local to the College/Business Unit. For those candidates with a local postcode, they receive a postcard and are expected to collect the certificate from the College Support Services Team.

All candidates are required to produce some form of identification before a certificate is released.

Certificates may be collected on behalf of a candidate by a third party, provided they have been authorised to do so.

Certificates are recorded as being received and distributed to the candidate so allowing for an audit of the process to ensure the accuracy and completeness of the achievement.

Certificates are not withheld from candidates who owe fees.

The College/Business Unit only retains certificates for a year following the date of certification. After this time, any certificates will be destroyed.

6. Reasonable Adjustment and Special Considerations

EKC Group complies with the requirements of the Equality Act 2010 and in so doing seeks to treat all students as individuals and works to identify and remove barriers to opportunity and ensure fairness; part of this commitment is to ensure that reasonable adjustments and special considerations are applied to the assessment and examinations process.

Further details about the College's/Business Unit's commitment to supporting students are available in the following documents:

- Access arrangements for examinations procedure.
- Equality and Diversity policy.
- Additional Learning Support policy.
- Accessibility Statement.

6.1 What is Special Consideration?

This is a post-assessment allowance to reflect temporary illness, injury or indisposition that occurred at the time of assessment. Any special consideration granted cannot remove the

difficulty the student faced at the time of assessment and can only be a relatively small adjustment to ensure that the integrity of the assessment is not compromised. Special consideration **cannot** apply to "licence to practice" units within a qualification, or to "licence to practice" qualifications.

The following are examples of circumstances which might be eligible for special consideration (this list is not exhaustive):

- terminal illness of the student;
- terminal illness of a parent;
- recent bereavement of a member of the immediate family;
- serious and disruptive domestic crises leading to acute anxiety about the family;
- incapacitating illness of the student;
- severe car accident;
- recent traumatic experience such as death of a close friend or distant relative;
- flare-up of severe congenital conditions such as epilepsy, diabetes, asthma etc.
- recent domestic crisis;
- recent physical assault trauma;
- broken limb on the mend;

A student will **not** be eligible for special consideration if:

- no evidence is supplied by the centre to the awarding body that the student has been affected at the time of the assessment by a particular condition;
- any part of the assessment is missed due to personal arrangements including holidays or unauthorised absence;
- preparation for a component is affected by difficulties during the course, e.g. disturbances through building work, lack of proper facilities, changes in or shortages of staff, or industrial disputes;

Applications for special consideration must be presented to the appropriate awarding body for evaluation and decision.

7. Malpractice

Malpractice in the context of examinations and assessment is any action which is taken by a member of staff, invigilator or a student to undermine the validity and integrity of an assessment/examination result. If an instance of suspected malpractice is identified this should be escalated as per section 2 of this policy. Malpractice', which includes maladministration and non-compliance, is essentially any activity or practice, which deliberately contravenes regulations and compromises the integrity of the internal or external assessment process and/or the validity of certificates. It covers any deliberate actions, neglect, default or other practice that compromises, or could compromise

Prior to starting any assessments candidates should have the rules regarding use of computer-generated Artificial Intelligence (AI) tools explained. If an awarding body does allow the use of AI tools candidates must be shown/reminded how to reference clearly, failure to reference the use of AI is malpractice as referenced as part of the candidate briefing (or a form cheating). Candidates must also be made aware that any computer-generated content from Artificial Intelligence (AI) tools is not considered to be a demonstration of understanding and as such will not contribute to the achievement of marks/assessment criteria.

Examples of maladministration

- Persistent failure to adhere to our learner registration and certification procedures.
- Persistent failure to adhere to our centre recognition and/or qualification requirements and/or
- Associated actions assigned to the centre
- Late learner registrations (both infrequent and persistent)
- Unreasonable delays in responding to requests and/or communications from Awarding Bodies.
- Inaccurate claim for certificates
- Failure to maintain appropriate auditable records, e.g. certification claims and/or forgery of evidence
- Withholding of information, by deliberate act or omission.
- Failure to disclose any conflicts of interest.

Examples of **staff malpractice** include:

Breach of security - breaking the confidentiality of question papers or materials, and their electronic equivalents, or the confidentiality of candidates 'scripts or their electronic equivalents. For example:

- failing to keep examination material secure prior to an examination;
- discussing or otherwise revealing secure information in public, e.g. internet forums;
- moving the time or date of a fixed examination beyond the arrangements permitted by the published regulations of the JCQ;
- failing to supervise adequately candidates who have been affected by a timetable variation;
- permitting, facilitating or obtaining unauthorised access to examination material prior to an examination;
- failing to retain and secure examination papers after an exam in cases where the life of the paper extends beyond the particular session. For example, where an examination is to be sat in a later session by one or more candidates due to a timetable variation;
- tampering with candidate scripts or controlled assessments or coursework after collection and before despatch to the awarding body/examiner/moderator;
- failing to keep student computer files which contain controlled assessments or coursework secure.

Deception - any act of dishonesty in relation to any examination or assessment, but not limited to:

- 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 being given;
- manufacturing evidence of competence against national standards;
- fabricating assessment and/or internal verification records or authentication statements;
- entering fictitious candidates for examinations or assessments or otherwise subverting the assessment or certification process with the intention of financial gain (fraud).

Improper assistance to candidates - giving assistance beyond that permitted by the specification to a candidate or group of candidates, which results in a potential or actual advantage in an examination or assessment. For example:

- assisting candidates in the production of controlled assessments or coursework, or evidence of achievement, beyond that permitted by the regulations;
- sharing or lending candidates'-controlled assessments or coursework with other candidates in a way which allows malpractice to take place;
- assisting or prompting candidates with the production of answers;
- permitting candidates in an examination to access prohibited materials (dictionaries, calculators etc.);
- prompting candidates in Language Speaking Examinations by means of signs, or verbal or written prompts;
- assisting candidates granted the use of an oral language modifier, a practical assistant, a prompter, a reader, a scribe or a Sign Language Interpreter beyond that permitted by the regulations.

Candidate malpractice may include:

- The alteration or falsification of any results document, including certificates;
- a breach of the instructions or advice of an invigilator, supervisor, or the awarding body in relation to the examination or assessment rules and regulations;
- Failing to abide by the conditions of supervision designed to maintain the security of the examinations or assessments;
- Collusion: working collaboratively with other candidates, beyond what is permitted;
- Copying from another candidate (including the use of ICT and computer-generated AI tools to aid the copying of others work)
- Misuse of Computer-generated Artificial Intelligence (AI) tools: AI stands for Artificial Intelligence and there are an increasing number of AI tools available that can help in researching and producing written materials. for example, using something created by Artificial Intelligence (AI) as their own work.
- Artificial Intelligence (AI) tools are not allowed to be used in exams.

- Artificial Intelligence (AI) tools are only permitted for use by candidates in assessments if the awarding body for the qualification permits their appropriate use.
- Content submitted for and assessment that has been computer generated using an Artificial Intelligence (AI) tool will not constitute a demonstration of understanding and as such cannot contribute to the award of marks or assessment criteria.
- Misuse of Artificial Intelligence (AI) tools could also result in marks being lost or disqualification from the assessment or exam. More details for students including acceptable uses of AI in assessments (depending on the qualification) can be found at JCQ-AI-poster-for-students-2.pdf; Instances where malpractice of this kind are detected should be escalated as per section 2.
- Allowing work to be copied e.g. posting written coursework on social networking sites prior to an examination/assessment;
- The deliberate destruction of another candidate's work;
- Disruptive behaviour in the examination room or during an assessment session (including the use of offensive language);
- Exchanging, obtaining, receiving, passing on information (or the attempt to) which could be examination related by means of talking, electronic, written or non-verbal communication;
- Making a false declaration of authenticity in relation to the authorship of controlled assessments, coursework or the contents of a portfolio;
- Allowing others to assist in the production of controlled assessments, coursework or assisting others in the production of controlled assessments or coursework;
- The misuse, or the attempted misuse, of examination and assessment materials and resources (e.g. exemplar materials);
- Being in possession of confidential material in advance of the examination;
- Bringing into the examination room notes in the wrong format (where notes are permitted in examinations) or inappropriately annotated texts (in open book examinations);
- The inclusion of inappropriate, offensive or obscene material in scripts, controlled assessments, coursework or portfolios;
- Impersonation: pretending to be someone else, arranging for another person to take one's place in an examination or an assessment;
- Plagiarism: unacknowledged copying from published sources, AI tools or incomplete referencing; theft of another candidate's work;
- Bringing into the examination room or assessment situation unauthorised material, for example: notes, study guides and personal organisers, own blank paper, calculators, dictionaries (when prohibited), instruments which can capture a digital image, electronic dictionaries, reading pens, translators, wordlists, glossaries,
- Candidates must not be in possession of devices that could create an advantage including iPods, mobile phones, MP3/4 players, pagers, earbuds/earphones, tablets, Smart Glasses, watches or other similar smart or electronic devices
- The unauthorised use of a memory stick where a candidate uses a word processor;
- Behaving in a manner so as to undermine the integrity of the examination.
- Accessing spell check, their own drive, AI tools and the internet during exams is

prohibited.

Where malpractice is suspected, a member of staff (or student) must bring it to the attention of the Deputy/Assistant Principal, as soon as possible by completing a JCQ 'suspected malpractice' form. The Senior Leader is expected to confirm that all evidence has been shared with the candidate before submission of the form.

When collecting statements Senior Leaders will ensure due consideration is given as to how best to obtain the information. Reasonable adjustments should be considered and implemented including access arrangements and normal ways of working for any interactions with those whose disabilities or SEND could be substantially disadvantaged during the evidence collection process. (For full details refer to JCQ guidance)

Where a student is suspected of cheating in an examination, the Invigilator should observe the candidate's actions during the examination, complete a 'suspected malpractice' form and inform the Exams Officer who will liaise with the Deputy/Assistant Principal as soon as reasonably practicable at the end of the examination.

EKC Group will ensure that all staff and students are aware of the definitions of malpractice and the serious implications and sanctions that can be imposed where malpractice is proven to have taken place.

Staff or students who submit 'suspected malpractice' reports which are subsequently found to have been created for malicious purposes will be subject to the relevant disciplinary procedure.

8. Conflict of Interest

If it is identified by an assessor/ teacher that there is a known conflict of interest between student and staff member (friend, family, colleague, link) or family friend (and their relatives) then it is compulsory to inform the Deputy/Assistant Principal immediately and follow any procedures/ process dictated by the awarding body as well as following the EKC Group Conflict of Interest procedure. This will ensure that all assessment is fair and unbiased and in-line with awarding body rules and regulations.

Related Policies and Procedures

Internal Quality and Assurance (IQA Procedure)
Plagiarism Policy
Access arrangements for Exams
Conflicts of Interests in Assessment Procedures and reporting form
Emergency evacuation of an examination room Procedure
Examination contingency Procedure
FE Plagiarism Procedure
Internal Appeals Procedure
Procedure for Exams Exemptions and relevant forms
Internal Appeals Procedure

IQA procedure
Word Processing in examinations Procedure
Malpractice/Maladministration Procedure

Internal - Staff Only

Appendix 1 – Risk Management Process for Controlled Assessments

Risks and issues	Possible remedial action		Responsible (R) Consulted (C) Informed (I)
	Forward planning	Action	
Timetabling			
Controlled assessment schedule clashes with other activities	Plan/establish assessment schedule during curriculum planning.	Plan dates in consultation with College/Business Unit calendar – work with Executive Support Team	College Principal (R) Executive Support Team Leader (C) Teaching Teams (I) College Services Teams (I)
Controlled assessments may be scheduled close together across GCSE subjects	Plan controlled assessments so they are spaced over the duration of the course	Space controlled assessments to allow candidates time between the assessments	College Principal (R) Head of department Teaching Teams (I) College Services Teams (I)
Accommodation			

Insufficient space in rooms for candidates	Once the size of the cohort and class sizes is known at the start of the year, flag instances where regular classroom space may not be suitable to conduct controlled assessments	Use more than one classroom or multiple sittings where necessary	College Principal (R) Teaching Teams (R,I) College Services Teams (C,I)

Risks and issues	**Possible remedial action**		**Responsible (R)** **Consulted (C)** **Informed (I)**
	Forward planning	**Action**	
Insufficient facilities for all candidates with Special Considerations	Careful planning ahead and booking of rooms / centre facilities	Use offices, small rooms or multiple sittings where necessary	Head of Inclusive Learning(R) College Principal (I) Teaching Teams (R,I) College Services Teams (C,I)
Absent candidates			
Candidates absent for all or part of assessment (various reasons)	Plan alternative session(s) for candidates	Use offices, small rooms. Advice to candidates if they do miss a controlled assessment.	College Principal (I) Teaching Teams (R,I) College Services Teams (C,I) Head of Inclusive Learning (C,I)
Downloading awarding body set tasks			

IT system unavailable on day of assessment	Download tasks well ahead of scheduled assessment date in all cases	Book IT equipment well ahead and download tasks before scheduled date of assessment	College Services Team Leader/ Manager (R) College Principal (I) Teaching Teams (I)
Risks and issues	**Possible remedial action**		**Responsible (R)** **Consulted (C)** **Informed (I)**
	Forward planning	**Action**	
Academic staff unable to access task details	Test secure access rights ahead of controlled assessment schedule every year and every session	Ensure teaching staff have access rights for the correct area of awarding body secure extranet sites well ahead of the controlled assessment schedule	College Services Team Leader/ Manager (R) College Principal (I) Teaching Teams (I) Assistant/Deputy Principals(C,I)
Loss of task details in transmission	Download tasks well ahead of scheduled assessment date	Contact awarding body and ask for replacement task; download again	College Services Team Leader/ Manager (R) College (I) Teaching Teams (I) Assistant/Deputy Principals (C,I)

Control levels for task taking			
The assessment is undertaken under incorrect level of control (time, resources, supervision and collaboration)	Ensure Academic staff know what level is applicable and understand what is involved. Provide training if required.	Seek guidance from the awarding body	College Principal (R,I) Head of Department (R,I) Teaching Teams Assistant/Deputy Principals(C,I)
Supervision			
Student study diary/plan not provided or completed where appropriate	Ensure Academic staff are aware of the need for study diary/plans to be completed early in course, if appropriate	Ensure candidates start, continue and complete study diary/plans that are signed after every session, if appropriate.	Head of Department (R) Teaching Teams (C,I) Assistant/Deputy Principals (C,I)
Academic staff do not understand that the supervision of controlled assessments is their responsibility	Ensure Academic staff fully understand the nature of controlled assessments and their role in supervising assessments	Training and awareness raising sessions provided on Staff Information day and Staff Improvement Days.	Teaching Teams (C,I) Assistant/Deputy Principals (C,I)

A suitable supervisor has not been arranged for an assessment where Academic staff are **not** supervising	A suitable supervisor must be arranged for any controlled assessment session where Academic staff are not supervising, in line with the awarding body's specification	Training and awareness raising sessions provided on Staff Information day and Staff Improvement Days.	Head of Department (R) Teaching Teams (C,I) Assistant/Deputy Principals(C,I)

Task setting			
Teaching staff fail to correctly set tasks	Ensure teaching staff fully understand the task setting arrangements as defined in the awarding body's specification	Seek guidance from the awarding body. Training and awareness raising sessions provided on Staff Information day and Staff Improvement Days.	Head of Department (R) Teaching Teams (C,I) College Principal (R,I)
Assessments have not been moderated in line with the awarding body's specification	Check specification and plan required moderation appropriately	Seek guidance from the awarding body Training and awareness raising sessions provided on Staff Information day and Staff Improvement Days.	Head of Department (R) Teaching Teams (C,I) College Principal (R,I)

Security of materials			
Assessment tasks not kept secure before assessment	Ensure teaching staff fully understand the importance of task security	Contact the awarding body to request/obtain different assessment tasks Training and awareness raising sessions provided on Staff Information day and Staff Improvement Days.	College Principal (R,I) Head of Department (C,I) Teaching Teams (I) Assistant/Deputy Principals / Ass. (R,C)
Candidates' work not kept secure during or after assessment	Define the appropriate level of security, in line with the awarding body's requirements, for each department as necessary	Seek guidance from the awarding body Training and awareness raising sessions provided on Staff Information day and Staff Improvement Days.	College Principal (R,I) Head of Department (C,I) Teaching Teams (I) Assistant/Deputy Principals / Ass. (R,C)
Insufficient or insecure storage space	Look at provision for suitable storage at the start of the GCSE course Exam secure room to be provided at Colleges/Business Units	Find alternative storage within the centre Training and awareness raising sessions provided on Staff Information day and Staff Improvement Days.	College Principal (R,I) Head of Department (C,I) Teaching Teams (I) Assistant/Deputy Principals/ Ass. (R,C)

Deadlines			
Deadlines not met by candidates	Ensure all candidates are briefed and receive schedule of deadlines and the penalties for not meeting them	Mark what candidates have produced by the deadline Seek guidance from awarding body on further action	Head of Department (R) Teaching Teams (C,I) College Principal (R,I)
Deadlines for marking and/or paperwork not met by teaching staff	Ensure teaching staff are given clear deadlines (prior to the awarding body deadline) to complete marking/paperwork (Marks can then be processed and submitted ahead of awarding body deadlines)	Seek guidance from awarding body Training and awareness raising sessions provided on Staff Information day and Staff Improvement Days.	Head of Department (R) Teaching Teams (C,I) College Principal (R,I)

Risks and issues	**Possible remedial action**		**Responsible (R)** **Consulted (C)** **Informed (I)**
	Forward planning	**Action**	
Authentication			

Candidate fails to sign authentication form	Ensure all candidates have authentication forms to sign Ensure that the authentication form is securely attached to their work when it is completed and handed in for marking	Find candidate and ensure authentication form is signed Training and awareness raising sessions provided on Staff Information day and Staff Improvement Days.	College Principal / (R,I) Head of Department (C,I) Teaching Teams (R) Assistant/Deputy Principals (C,I)
Teaching staff fail to complete authentication forms or leave before completing the authentication process	Ensure teaching staff fully understand the importance of authentication forms and the requirement of a signature	Return the authentication form to the teacher for signature Ensure authentication forms are signed as work is marked Awareness raising sessions provided on Staff Information day and Staff Improvement Days	College Principal (R,I) Head of Department (C,I) Teaching Teams (R) Assistant/Deputy Principals / Ass. (C,I)
Marking			

Risks and issues	**Possible remedial action**		**Responsible (R)** **Consulted (C)** **Informed (I)**
	Forward planning	**Action**	

Teaching staff interpret marking descriptions incorrectly	Ensure appropriate training and practicing of marking Plan for sampling of marking during the practice phase	Arrange for re-marking Consult the awarding body's specification for appropriate procedures Awareness raising sessions provided on Staff Information day and Staff Improvement Days.	Teaching Teams (C,I) College Principal (R,I) Head of Department (R)